

APPENDIX A

HLC Letter to President Cross, October 31, 2017



HIGHER LEARNING COMMISSION

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October 31, 2017

VIA ELECTRONIC MAIL

Dr. Raymond Cross, President
University of Wisconsin System
1700 Van Hise Hall
1220 Linden Dr.
Madison, WI 53706

Dear President Cross:

The Higher Learning Commission (“HLC” or “the Commission”) was recently apprised of the proposed restructuring of the University of Wisconsin System (“the System”). Earlier this month, the System announced its intentions to integrate the University of Wisconsin Colleges (“the Colleges”), currently overseen by the System with its campuses accredited as a single entity by HLC, into the System’s four-year universities (“the universities”, collectively) as branch campuses.¹ Following the restructuring, the Colleges will resign its separate accreditation with HLC and its former campuses will be accredited under the status of the respective universities. Further, the proposal also includes a reassignment of the University of Wisconsin-Extension within the System’s structure. This letter serves to provide information about HLC’s review process regarding such proposals.

Under HLC policy INST.B.20.040, *Change of Control, Structure, or Organization*, an institution is required to seek approval from the Commission prior to undergoing a transaction that may affect the structure or governance of an affiliated institution. Based on the preliminary information from the System regarding this proposal, HLC staff have concluded that this restructuring constitutes a change of structure under policy, and is therefore subject to review. Approval prior to the restructuring is necessary to ensure the continued accreditation of the System’s institutions that are parties to this restructuring.

Under HLC policy INST.F.20.070, *Processes for Seeking Approval of Change of Control*, staff are provided discretionary authority to determine the appropriate review mechanism for a proposed transaction, within the boundaries set forth in said policy. Because this proposal entails a state-wide restructuring of the oversight authority of nine HLC-accredited institutions (and the University of Wisconsin-Extension), staff have determined that a desk review by HLC staff and appropriate peer

¹ The proposal does not impact the following System institutions: UW – La Crosse, UW – Parkside, UW – River Falls, UW – Stout, and UW – Superior.

reviewers is the most prudent review mechanism for this transaction. A Fact-Finding Visit to the System and its institutions will not be conducted at this time.

As part of the review process, an institution is typically required to submit its own application for change of structure to the Commission. Given the nature of this proposal, however, the Commission will accept a single, joint application that is applicable to all institutions involved in the restructuring. It should be noted that while the System will largely oversee the preparation of this application, the separately-accredited universities that are seeking to add branch campuses should participate collaboratively in this process.

For your convenience, copies of HLC's policies on Change of Control, Structure or Organization are enclosed. The policies outline the approval process for the restructuring and the materials to be reviewed by HLC. To further assist the System and its institutions in preparing the application, the Commission's procedure on Change of Control, Structure, or Organization is also enclosed.

As you will find noted in the procedure document, not every document listed applies to every transaction that is subject to HLC's policy on Change of Control, Structure, or Organization. Generally, based on HLC's cursory review of the System's announcements regarding the proposal, the System should anticipate submitting an application that includes the following information:

- Part A: General Introduction, which should succinctly explain the basis for the proposal, an overview of any required approvals, an anticipated timeline for the restructuring, and a broader overview of the direction of the System following its restructuring.
- Part B: Transactional Documents, with particular focus on the following:
 - Item 1: The resolution adopted by the Board of Regents approving the restructuring;
 - Item 2: New governance documents, if any, that will arise out of the restructuring, at both the System and institutional levels;
 - Item 5: Confirmation from the U.S. Department of Education that review/approval is not required. [Note: Effective February 2017, HLC policy requires confirmation, via email or letter, from the Department that review is not needed to ensure Title IV continuity; because HLC cannot assume the Department's stance on any given transaction, policy requires this confirmation to be received before the HLC Board of Trustees reviews an application for Change of Control, Structure, or Organization.]
 - Item 6: The two most recent System-wide audits, the budget for the two most recent fiscal years, and two years of anticipated budgets following the restructuring. The budgets must provide sufficient detail regarding the current and post-restructuring operations at the universities; and
 - Item 7: Current and proposed organizational charts for the System and the universities.
- Part C: Institutional Statement, with particular focus on the following:
 - Item 1: Explanation of the alignment of the missions of the Colleges and of the universities;

- Item 2: Explanation of the continuity of educational programs to be offered following the restructuring;
- Item 4: Post-restructuring enrollments at each university, with delineation by department and by modality;
- Item 5: The revised enrollment and recruitment projections for each institution following the transaction, by semester;
- Item 7: Evidence of revised planning processes at the System and universities following the restructuring. This should include detailed information regarding plans to address enrollment declines and assure financial integrity at the universities;
- Item 8: Short-range and long-range strategic plans for the System and universities following the restructuring;
- Item 9: Explanation of the impact of the revised structure on the System and on each university following the restructuring;
- Item 13: Regarding continued compliance with the Eligibility Requirements, Assumed Practices, and Criteria for Accreditation at each university (note that these sections can be completed in summary form and need not provide extensive detail about any specific institution unless there are specific considerations for that institution that need to come to HLC's attention);
- Item 15: Any additional information the System, Colleges, and universities believe the Commission needs to review regarding the proposal.

When preparing the application, please ensure that the application includes statements about how the individual universities will continue to meet the Criteria for Accreditation, each Core Component, and each Eligibility Requirement following the restructuring. *As noted above, many of these statements can be brief and can apply to the universities as a collective.* The application should also address the effect of this restructuring on governance, finances, and planning at the individual universities. The universities, with the exception of University of Wisconsin – Stevens Point², will also need to include branch campus applications with the larger application for each respective new branch campus following the restructuring.

The Commission will conduct the desk review of the application with the assistance of a team of peer reviewers. Dr. Jeffrey Rosen, the HLC Staff Liaison for several of the universities involved in the restructuring, will lead the review process. Dr. Rosen and staff have identified a suitable group of peer reviewers for this review. The Evaluation Summary Sheet (“ESS”) and Professional Data Reports (“PDRs”) are enclosed for your review. The ESS lists the names of the reviewers and their institutional affiliations, and the PDRs provide additional information about each reviewer. Each institution that is part of this transaction has a separate ESS that lists the institution’s CEO and secondary contact, so please check the accuracy of this information and inform Dr. Rosen if any changes need to be made. The Commission has identified a set of reviewers with expertise and experience appropriate to the nature of this application. If, however, you believe that either team member presents a conflict of interest, please let us know as soon as possible but, no later than **November 7, 2017**.

² UW – Stevens Point is the only institution approved for the Notification Program for additional locations in this proposal.

The System has stated its intention to begin restructuring in mid-2018. If this is the case, the universities will need to receive approval from the HLC Board of Trustees at its February 2018 meeting. Therefore, the Commission must receive the application for Change of Control, Structure, or Organization as soon as possible, but no later than **November 24, 2017**. The peer review team and Dr. Rosen will begin review of the application as soon as it is received.

The Commission will maintain the current comprehensive evaluation schedules for the institutions involved in the restructuring. If the application is approved by the HLC Board of Trustees, HLC may modify visit dates to accommodate the post-approval focused visit that is required by policy and federal regulation. Additional clarification will be provided regarding evaluative schedules as the institutions proceed through this process.

Thank you for your cooperation. Please feel free to contact Dr. Rosen if you have any questions.

Sincerely,

A handwritten signature in blue ink, reading "Karen L. Peterson Solinski". The signature is fluid and cursive, with a long horizontal stroke at the end.

Karen L. Peterson Solinski
Executive Vice President for Legal and Governmental Affairs

Enc: HLC Policies on Change of Control, Structure, or Organization
HLC Procedure on Change of Control, Structure, or Organization
Document and Submission Guidelines
Evaluation Summary Sheets
Professional Data Reports

Cc: Cathy Sandeen, Chancellor, University of Wisconsin Colleges
James Schmidt, Chancellor, University of Wisconsin – Eau Claire
Gary Miller, Chancellor, University of Wisconsin – Green Bay
Rebecca Blank, Chancellor, University of Wisconsin – Madison
Mark Mone, Chancellor, University of Wisconsin – Milwaukee
Andrew Leavitt, Chancellor, University of Wisconsin – Oshkosh
Dennis Shields, Chancellor University of Wisconsin – Platteville
Bernie Patterson, Chancellor, University of Wisconsin – Stevens Point
Beverly Kopper, Chancellor, University of Wisconsin – White Water
Thomas Bordenkircher, Vice President for Accreditation Relations, Higher Learning
Commission
Barbara Johnson, Vice President for Accreditation Relations, Higher Learning Commission

Jeffrey Rosen, Vice President for Accreditation Relations and Director of the Open Pathway,
Higher Learning Commission

Karen Solomon, Vice President for Accreditation Relations and Director of the Standard
Pathway, Higher Learning Commission

Anthea Sweeney, Vice President for Accreditation Relations, Higher Learning Commission

APPENDIX B

Mission Statements

University of Wisconsin System Mission Statement

The mission of the University of Wisconsin System is to develop human resources, to discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of its campuses, and to serve and stimulate society by developing in students heightened intellectual, cultural, and humane sensitivities, scientific, professional and technological expertise, and a sense of purpose. Inherent in this broad mission are methods of instruction, research, extended training, and public service designed to educate people and improve the human condition. Basic to every purpose of the UW System is the search for truth.

University of Wisconsin Colleges Mission Statement

In addition to the UW System Mission, the [University of Wisconsin Colleges has the following select mission](#) (revised June 9, 2011):

The University of Wisconsin Colleges is a multi-campus institution committed to high quality educational programs, preparing students for success at the baccalaureate level of education, providing the first two years of a liberal arts general education that is accessible and affordable, providing a single baccalaureate degree that meets local and individual needs, and advancing the Wisconsin Idea by bringing the resources of the University to the people of the state and the communities that provide and support its campuses.

University of Wisconsin – Eau Claire Mission Statement

In addition to the UW System Mission and the Core Mission of the University Cluster Institutions, the [University of Wisconsin-Eau Claire has the following select mission](#) (revised June 10, 2016):

We foster in one another creativity, critical insight, empathy, and intellectual courage, the hallmarks of a transformative liberal education and the foundation for active citizenship and lifelong inquiry.

We fulfill our mission through a pervasive university commitment to provide:

- Rigorous, intentional and experiential undergraduate liberal education for life and livelihood;
- Strong, distinctive professional and graduate programs that build on and strengthen our proud tradition of liberal education;
- Multicultural and international learning experiences for a diverse world;
- Exemplary student-faculty research and scholarship that enhance teaching and learning;
- An inclusive campus community that challenges students to develop their intellectual, personal, cultural, and social competencies;
- Educational opportunities responsive to the needs of our communities, state, region and beyond; and
- Academic leadership in transforming liberal education.

The University offers undergraduate programs and degrees in the arts, humanities, social

sciences, health sciences, sciences, select engineering fields, education, nursing, and business. The institution also offers graduate programs related to areas of strength within the institution, including business, education, nursing, human sciences, humanities, and sciences.

University of Wisconsin – Extension Mission Statement

In addition to the UW System Mission, the [University of Wisconsin-Extension has the following select mission](#) (revised December 11, 2015):

Through the University of Wisconsin-Extension, people of Wisconsin and beyond can access university resources and engage in learning, wherever they live and work.

Fundamental to this mission are UW-Extension's partnerships with the 26 UW campuses, the county and tribal governments, and other public and private organizations. Fulfilling the promise of the Wisconsin Idea, UW-Extension extends the boundaries of the university to the boundaries of the state and helps the university establish beneficial connections with all of its stakeholders.

For Wisconsin individuals, families, businesses and communities, UW-Extension fulfills its mission by:

- Supporting personal growth, professional success and organizational effectiveness through formal and informal learning.
- Offering professionally-focused and cross-disciplinary competency-based credit certificates, associate degrees, and baccalaureate degrees in the area of business and management.
- Addressing the changing needs of the state and society by conducting, applying, and conveying relevant university research.
- Building greater access to educational, cultural and civic resources through the use of technologies.

In addition, UW-Extension supports the University of Wisconsin System mission by:

- Providing strong leadership for the university's statewide public service mission.
- Integrating a scholarly approach to outreach across many academic disciplines.
- Addressing the specific educational needs of under-served, disadvantaged and nontraditional students.

University of Wisconsin – Green Bay Mission Statement

In addition to the UW System Mission and the Core Mission of the University Cluster Institutions, the [University of Wisconsin-Green Bay has the following select mission](#) (revised December 5, 2014):

The University of Wisconsin-Green Bay provides an interdisciplinary, problem-focused educational experience that prepares students to think critically and address complex issues in a multicultural and evolving world. The University enriches the quality of life for students and

the community by embracing the educational value of diversity, promoting environmental sustainability, encouraging engaged citizenship, and serving as an intellectual, cultural and economic resource.

The University offers undergraduate and graduate programs in liberal arts and sciences and in professional studies that cultivate knowledge and encourage investigations into disciplinary and interdisciplinary fields, promote civic engagement and lifelong learning, and serve the needs of a diverse student body. Programs in the arts and humanities; business, management, and communication; science and technology; education; environment; health science; social and behavioral sciences; and social justice lead to a range of degrees, including AAS, BA, BAS, BM, BS, BSN, BSW, BBA, MS, MSW, and MSN degrees.

University of Wisconsin – Milwaukee Mission Statement

In addition to the UW System Mission and the Core Mission of the Doctoral Cluster, the [University of Wisconsin-Milwaukee has the following select mission](#) (revised June 10, 1988):

To fulfill its mission as a major urban doctoral university and to meet the diverse needs of Wisconsin's largest metropolitan area, the University of Wisconsin-Milwaukee must provide a wide array of degree programs, a balanced program of applied and basic research, and a faculty who are active in public service. Fulfilling this mission requires the pursuit of these mutually reinforcing academic goals:

- To develop and maintain high quality undergraduate, graduate and continuing education programs appropriate to a major urban doctoral university.
- To engage in a sustained research effort which will enhance and fulfill the University's role as a doctoral institution of academic and professional excellence.
- To continue development of a balanced array of high quality doctoral programs in basic disciplines and professional areas.
- To attract highly qualified students who demonstrate the potential for intellectual development, innovation and leadership for their communities.
- To further academic and professional opportunities at all levels for women, minority, part-time, and financially or educationally disadvantaged students.
- To establish and maintain productive relationships with appropriate public and private organizations at the local, regional, state, national and international levels.
- To promote public service and research efforts directed toward meeting the social, economic and cultural needs of the State of Wisconsin and its metropolitan areas.
- To encourage others from institutions in the University of Wisconsin System and from other educational institutions and agencies to seek benefit from the University's research and educational resources such as libraries, special collections, archives, museums, research facilities and academic programs.
- To provide educational leadership in meeting future social, cultural and technological challenges.

University of Wisconsin – Oshkosh Mission Statement

In addition to the UW System Mission and the Core Mission of the University Cluster Institutions, the [University of Wisconsin-Oshkosh has the following select mission](#) (revised October 7, 2016):

The University of Wisconsin-Oshkosh provides a high-quality liberal education to all of its students in order to prepare them to become successful leaders in an increasingly diverse and global society. Our dedicated faculty and staff are committed to innovative teaching, research, economic development, entrepreneurship and community engagement to create a more sustainable future for Wisconsin and beyond. High-quality academic programs in nursing, education, business, social sciences, natural science, humanities, fine and performing arts, engineering technology, information technology, health sciences and applied and liberal studies -- all delivered in an innovative and inclusive learning environment -- lead to degrees at the associate, baccalaureate, master's and professional doctorate levels.

University of Wisconsin – Platteville Mission Statement

In addition to the UW System Mission and the Core Mission of the University Cluster Institutions, the [University of Wisconsin-Platteville has the following select mission](#) (revised June 6, 2014):

The University of Wisconsin-Platteville provides associate, baccalaureate, and master's degree programs in a broad spectrum of disciplines including: science, technology, engineering, and mathematics; criminal justice; education; business; agriculture; and the liberal arts. We promote excellence by using a personal, hands-on approach to empower each student to become broader in perspective, intellectually more astute, ethically more responsible, and to contribute wisely as an accomplished professional and knowledgeable citizen in a diverse global community.

University of Wisconsin – Stevens Point Mission Statement

In addition to the UW System Mission and the Core Mission of the University Cluster Institutions, the [University of Wisconsin-Stevens Point has the following select mission](#) (revised December 11, 2015):

The select mission of UW-Stevens Point is to provide programs that help communities become more vibrant, healthy, prosperous, and sustainable. We accomplish this by providing a broad foundation in the fine arts, humanities, natural sciences, and social sciences for associate and baccalaureate degrees.

Our commitment to helping communities thrive requires that we provide education, research and outreach in a wide array of disciplines, with particular emphases at the baccalaureate level in integrated natural resources management and environmental education; in the performing and visual arts; and in areas such as business, health and wellness professions, communicative disorders, design, select engineering programs, family and consumer sciences, information science, paper science, social work, and teacher education.

UW-Stevens Point provides select master's programs in communication, communicative disorders, health care, health promotion, natural resources, teacher education, wellness, and other select areas clearly associated with this university's undergraduate emphases. UW-Stevens Point provides a clinical doctoral program in audiology, as well as professional doctoral programs in select areas of strength at the master's level.

UW-Stevens Point puts special emphasis on promoting inclusivity, advancing human wellness, providing excellent academic support resources, offering extensive study abroad and international programs, and providing a robust array of UW-Stevens Point programs.

University of Wisconsin – Whitewater Mission Statement

In addition to the UW System Mission and the Core Mission of the University Cluster Institutions, the [University of Wisconsin-Whitewater has the following select mission](#) (revised February 11, 2005):

The University of Wisconsin-Whitewater is committed to the development of the individual, the growth of personal and professional integrity and respect for diversity and global perspectives. These are met by providing academic and co-curricular programs that emphasize the pursuit of knowledge and understanding and a commitment to service within a safe and secure environment.

The mission of the University of Wisconsin-Whitewater is:

1. To provide a range of undergraduate programs and degrees, including interdisciplinary programs, in letters, sciences, and the arts as well as programs and degrees leading to professional specialization.
2. To offer graduate education built clearly upon its undergraduate emphases and strengths with particular emphasis in the fields of business, education, communication, and human services.
3. To engage in scholarly activity, including research, scholarship and creative endeavor, that supports its programs at the associate and baccalaureate degree level, its graduate programs, and its select mission.
4. To create and maintain a positive and inviting environment for multicultural students, students with disabilities, and nontraditional students, and provide support services and programs for them.
5. To serve as a regional cultural and economic resource center through its service initiatives.
6. To provide continuing education and outreach programs as integrated institutional activities.
7. To provide a variety of co-curricular activities to enhance out-of-class learning opportunities.
8. To encourage and maintain a high level of personal and professional integrity in all University life and activities.

The Core Mission of the University Cluster Institutions

As institutions in the University Cluster of the University of Wisconsin System, the University of Wisconsin-Eau Claire, the University of Wisconsin-Green Bay, the University of Wisconsin-La Crosse, the University of Wisconsin-Oshkosh, the University of Wisconsin-Parkside, the University of Wisconsin-Platteville, the University of Wisconsin-River Falls, the University of Wisconsin-Stevens Point, the University of Wisconsin-Stout, the University of Wisconsin-Superior and the University of Wisconsin-Whitewater share the following core mission.

Within the approved differentiation stated in their select missions, each university in the cluster shall:

- a. Offer associate and baccalaureate degree level and selected graduate programs within the context of its approved mission statement.
- b. Offer an environment that emphasizes teaching excellence and meets the educational and personal needs of students through effective teaching, academic advising, counseling and through university-sponsored cultural, recreational and extra-curricular programs.
- c. Offer a core of liberal studies that supports university degrees in the arts, letters and sciences, as well as specialized professional/technical degrees at the associate and baccalaureate level.
- d. Offer a program of pre-professional curricular offerings consistent with the university's mission.
- e. Expect scholarly activity, including research, scholarship and creative endeavor that supports its programs at the associate and baccalaureate degree level, its selected graduate programs and its approved mission statement.
- f. Promote the integration of the extension function, assist the University of Wisconsin-Extension in meeting its responsibility for statewide coordination, and encourage faculty and staff participation in outreach activity.
- g. Participate in interinstitutional relationships in order to maximize educational opportunity for the people of the state effectively and efficiently through the sharing of resources.
- h. Serve the needs of women, minority, disadvantaged, disabled and non-traditional students and seek racial and ethnic diversification of the student body and the professional faculty and staff.
- i. Support activities designed to promote the economic development of the state.

The Core Mission of the Doctoral Cluster

As institutions in the Doctoral Cluster, the University of Wisconsin-Madison and the University of Wisconsin-Milwaukee share the following core mission. Within the approved differentiation stated in their select missions, each university shall:

- a. Offer degree programs at the baccalaureate, master's and doctoral levels.
- b. Offer programs leading to professional degrees at the baccalaureate and post-baccalaureate levels.
- c. Conduct organized programs of research.
- d. Promote the integration of the extension function, assist the University of Wisconsin-Extension in meeting its responsibility for statewide coordination, and encourage faculty and staff participation in outreach activity.
- e. Encourage others in the University of Wisconsin System and in other state and national agencies to seek the benefit of the unique educational and research resources of the doctoral institutions.
- f. Serve the needs of women, minority, disadvantaged, disabled and non-traditional students and seek racial and ethnic diversification of the student body and the professional faculty and staff.
- g. Support activities designed to promote the economic development of the state.

APPENDIX C

Organizational Charts

UW System Administration Organizational Chart

UW Colleges and UW-Extension Current Structure

UW-Eau Claire and Branch Campus Current and Future Organizational Charts

UW-Green Bay and Branch Campus Current and Future Organizational Charts

UW- Milwaukee and Branch Campus Current and Future Organizational Charts

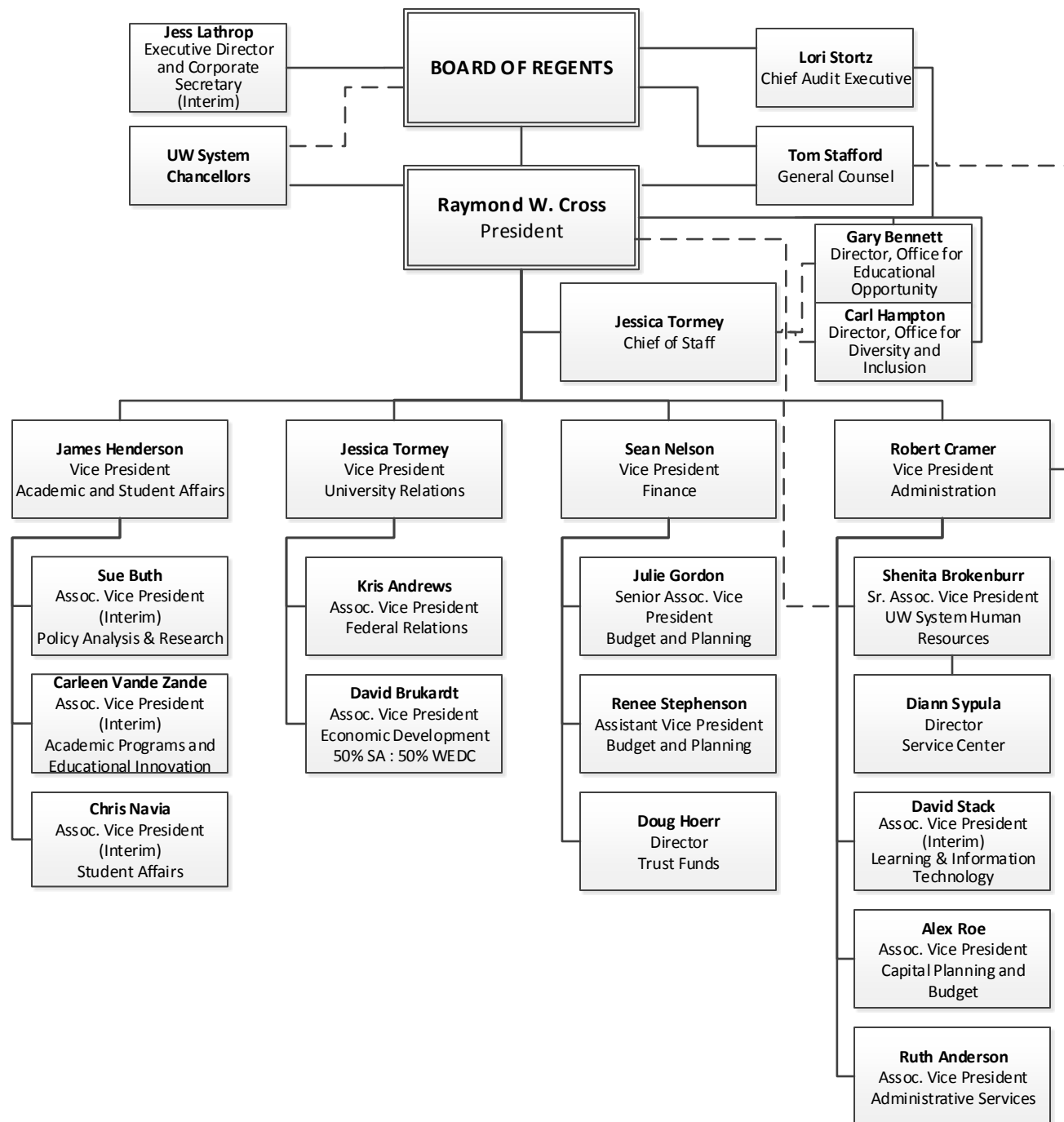
UW- Oshkosh and Branch Campus Current and Future Organizational Charts

UW- Platteville and Branch Campus Current and Future Organizational Charts

UW- Stevens Point and Branch Campus Current and Future Organizational Charts

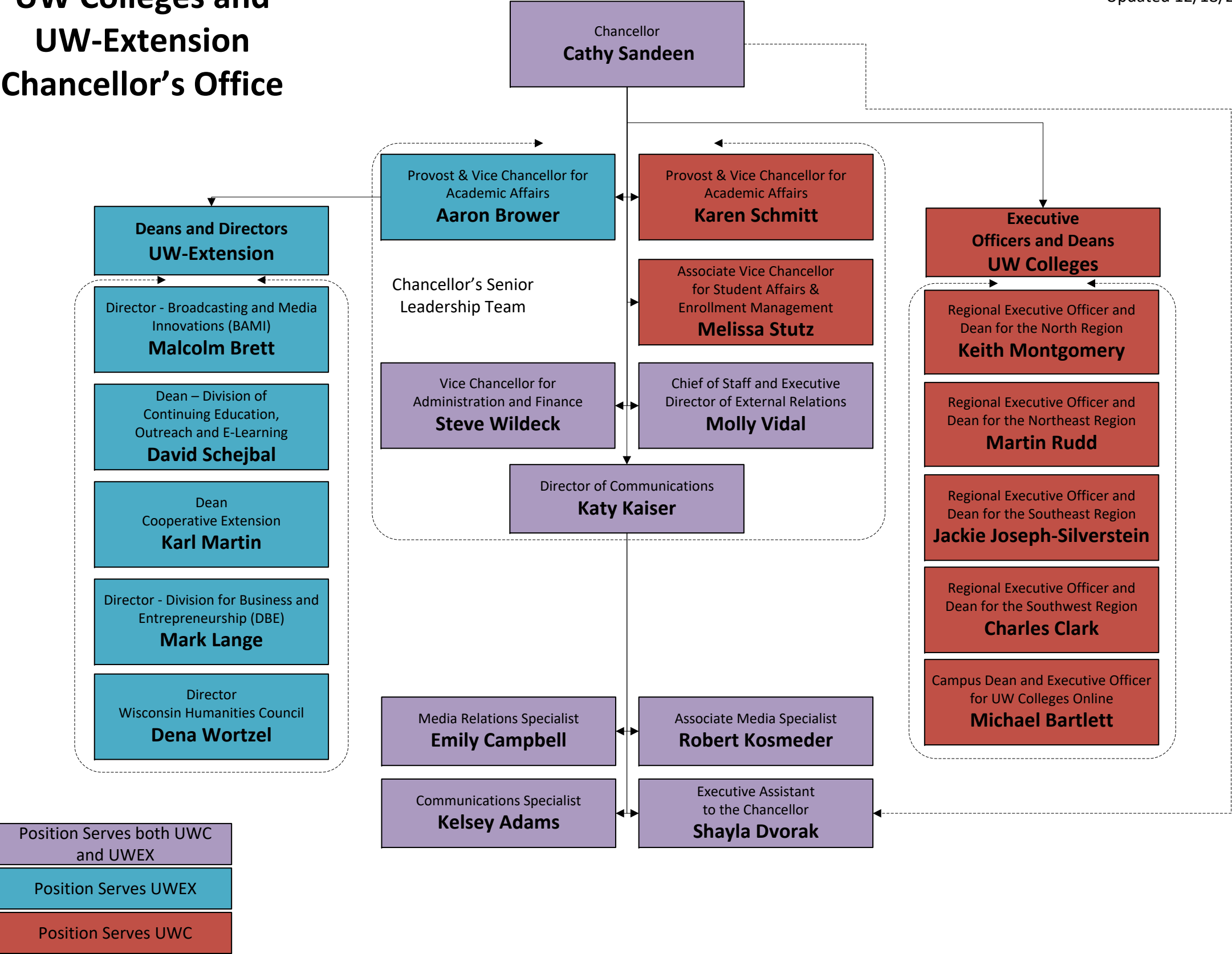
UW- Whitewater and Branch Campus Current and Future Organizational Charts

University of Wisconsin System



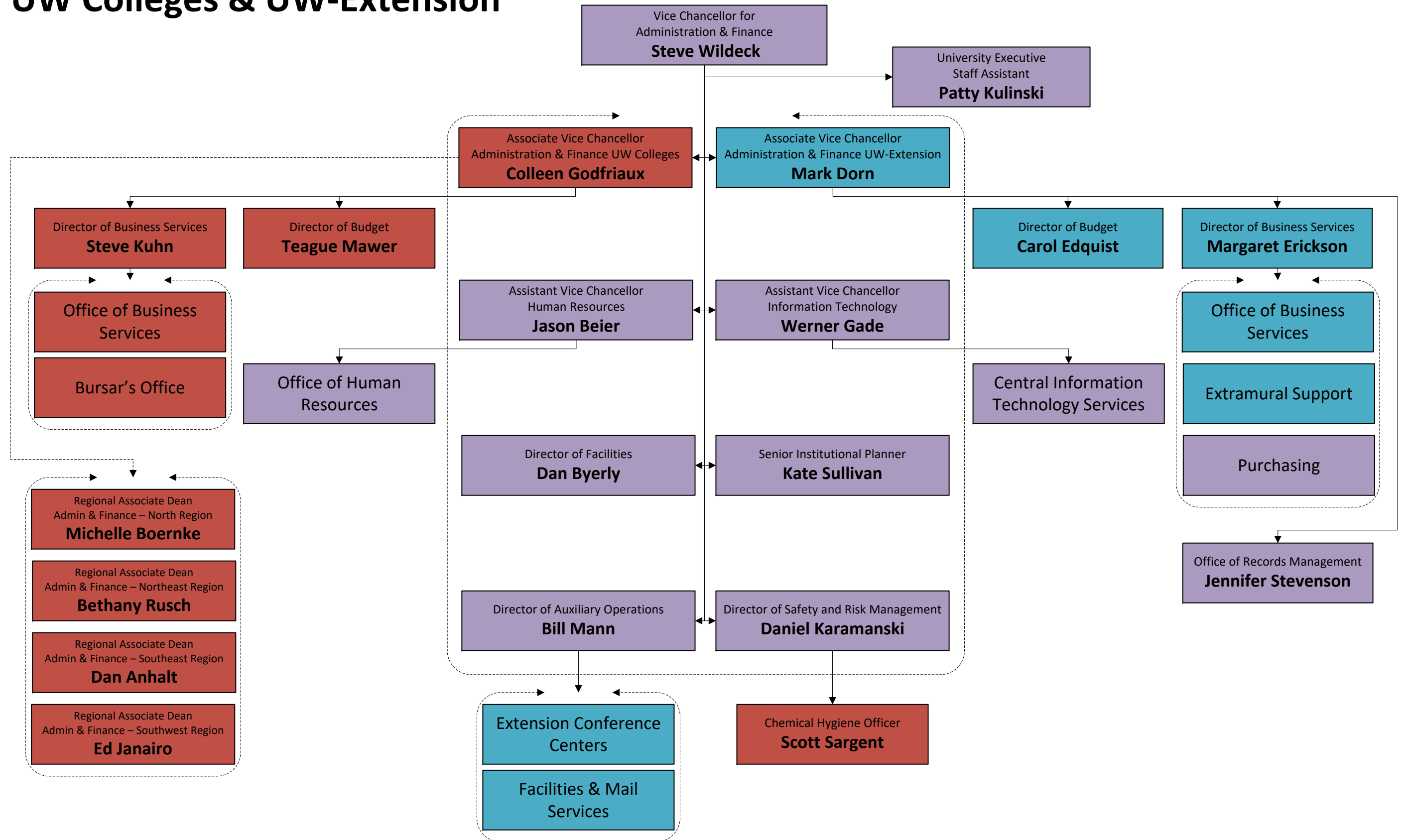
UW Colleges and UW-Extension Chancellor's Office

Updated 12/18/2017

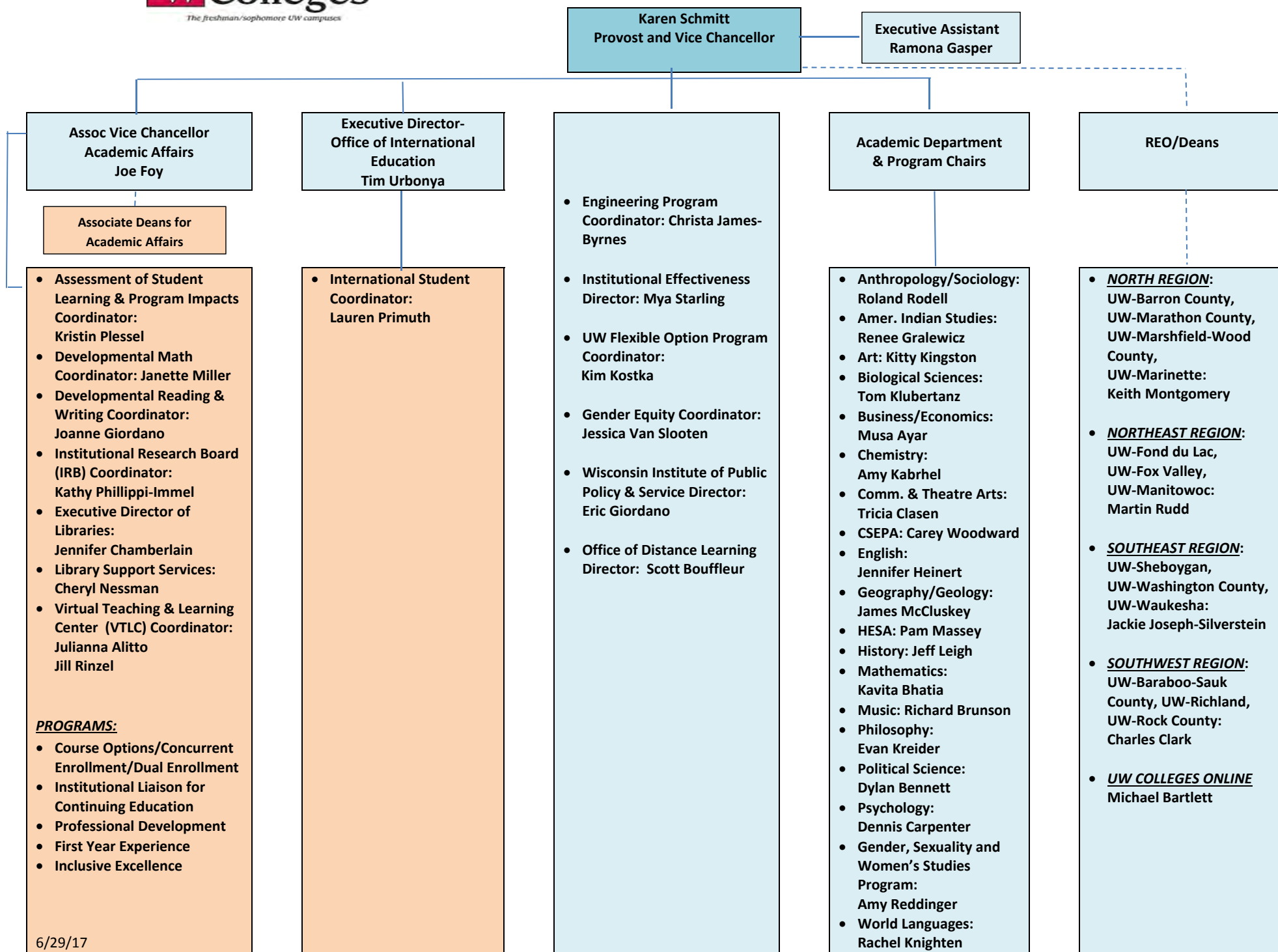


Administration & Finance UW Colleges & UW-Extension

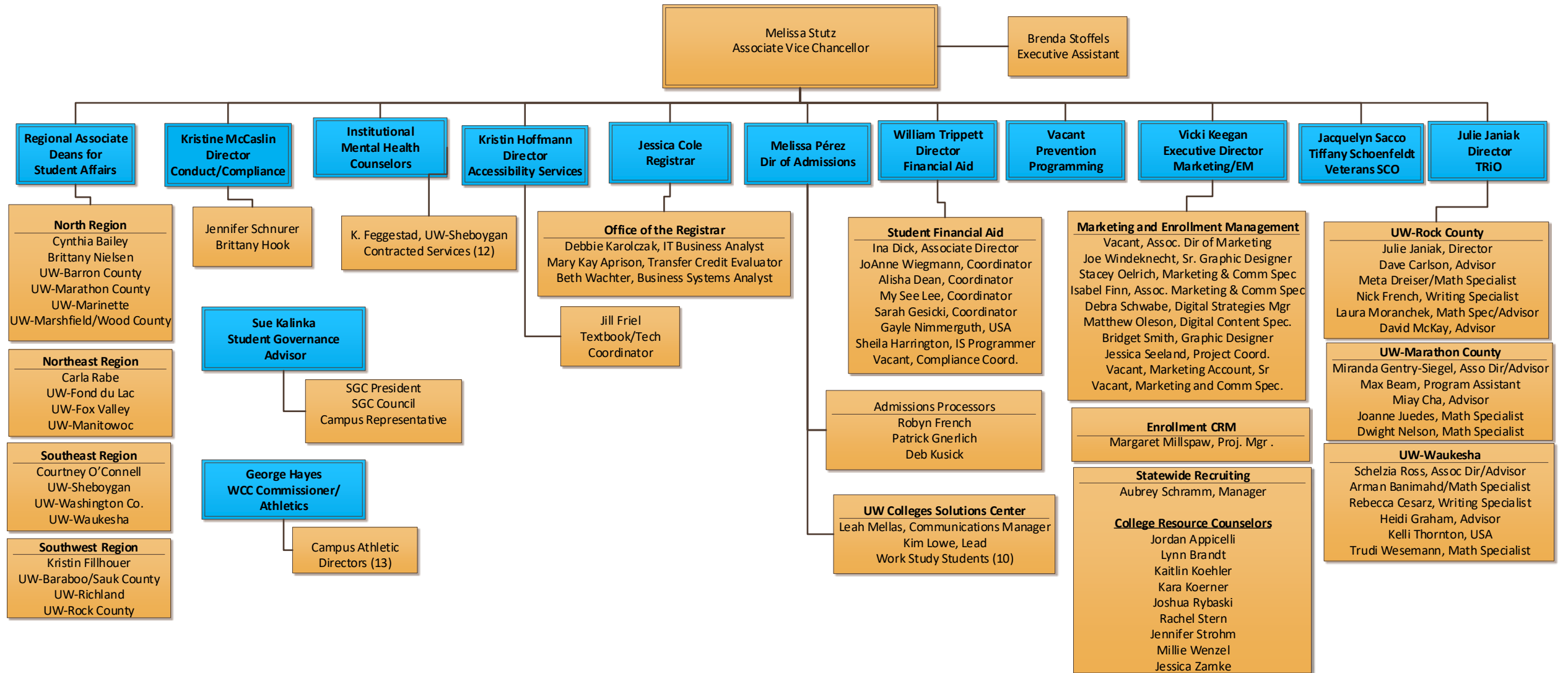
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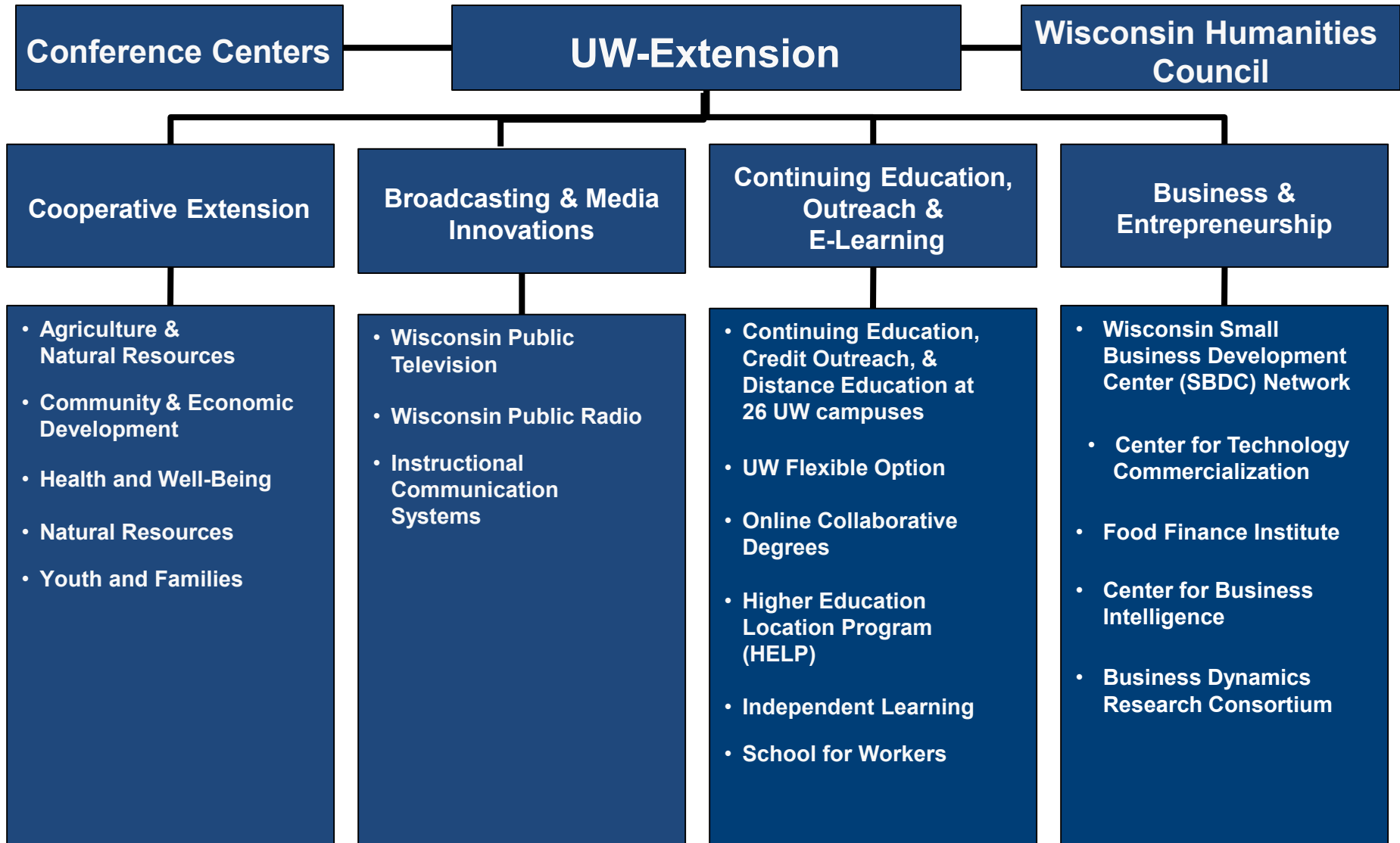
UW Colleges Office of Academic Affairs

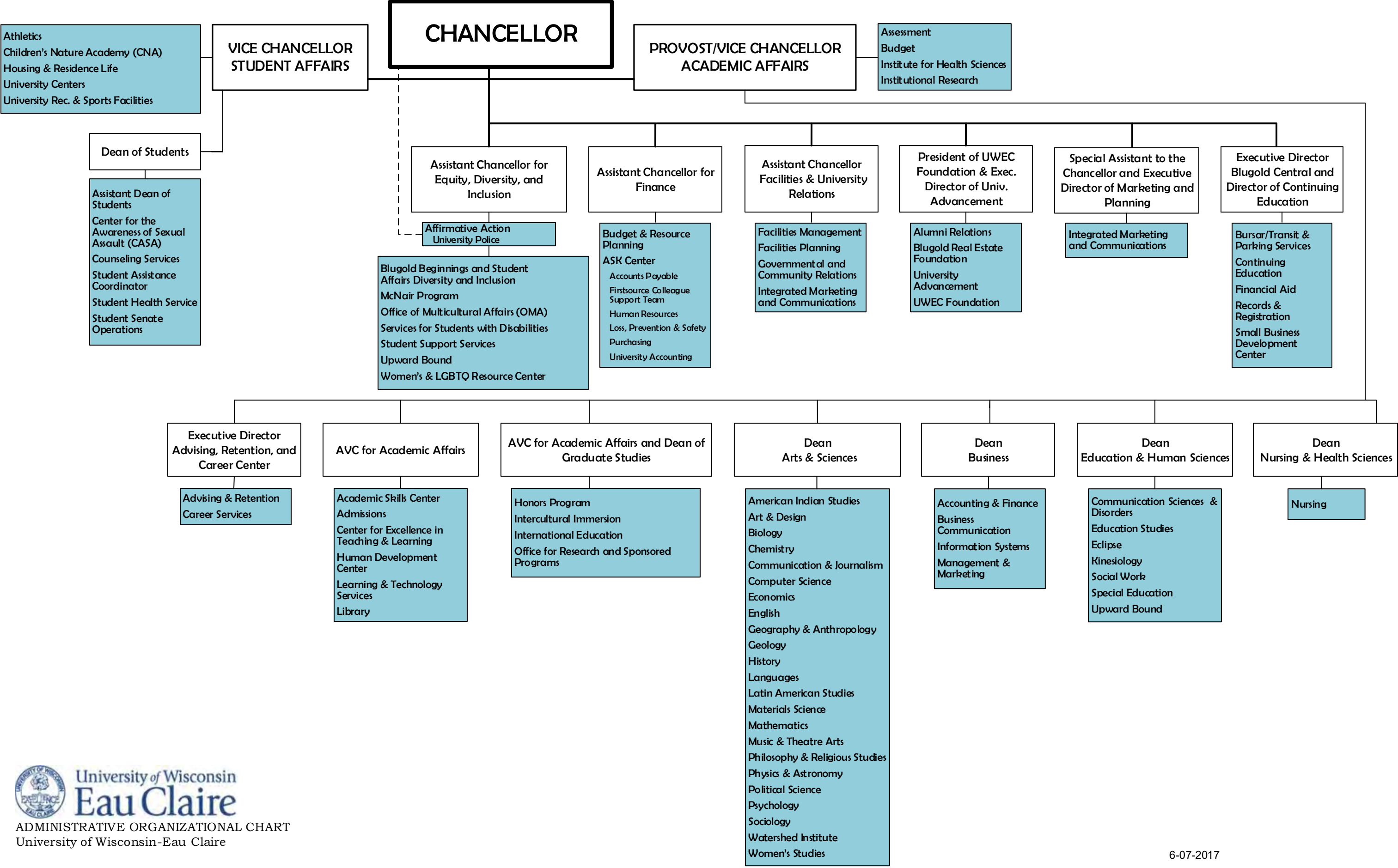


Student Affairs & Enrollment Management



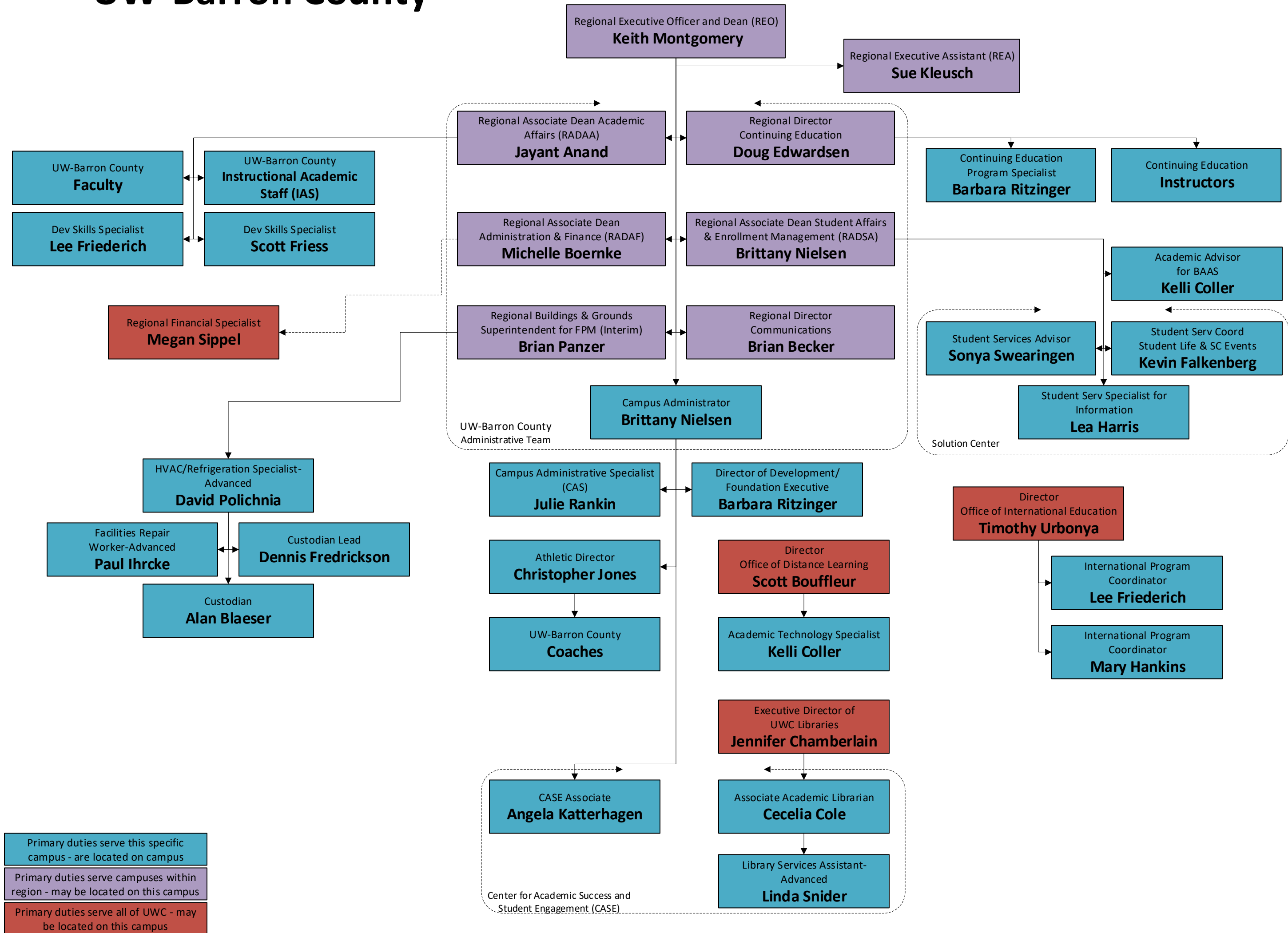
UW-Extension Structure

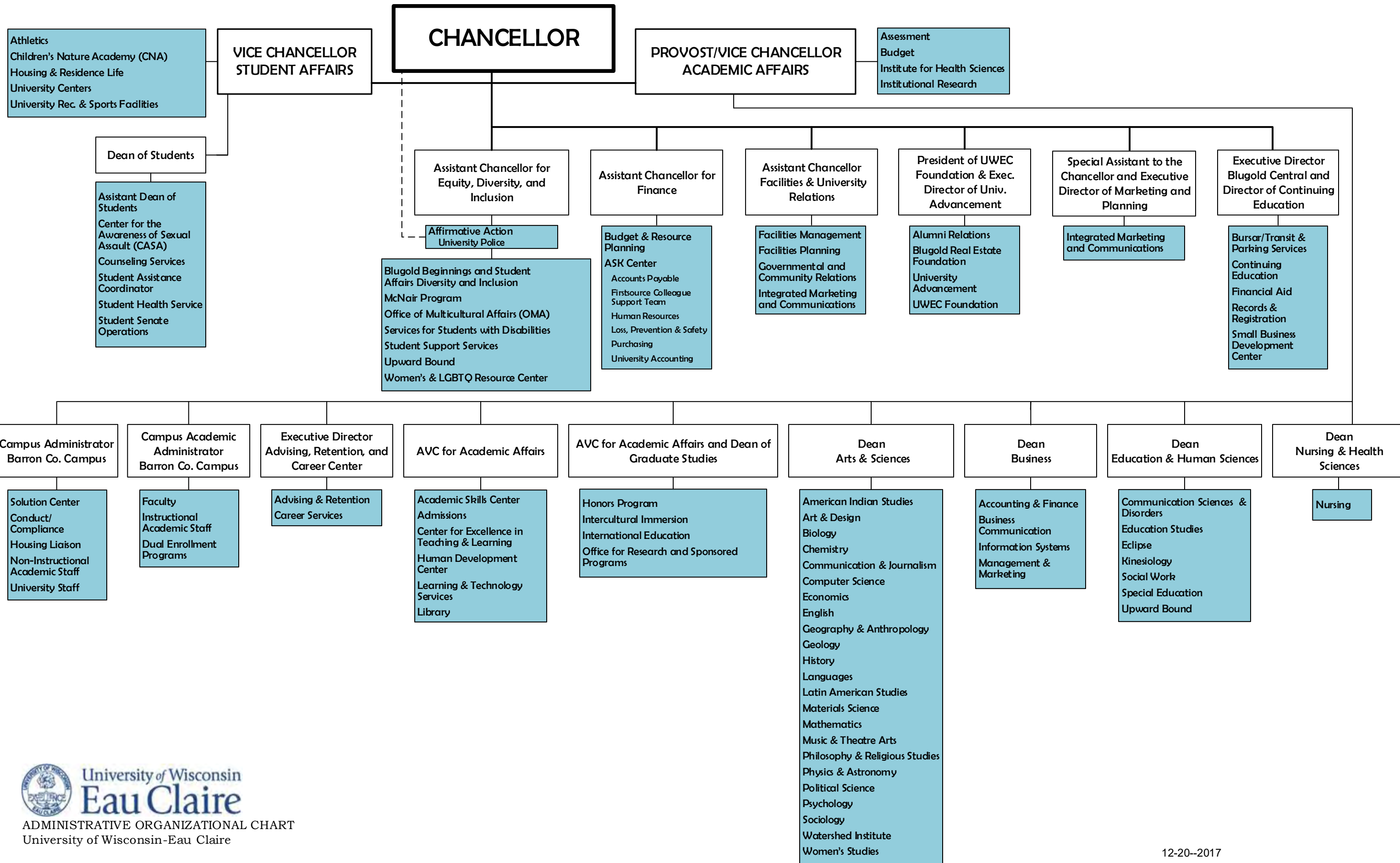




UW-Barron County

Updated 06/15/2017



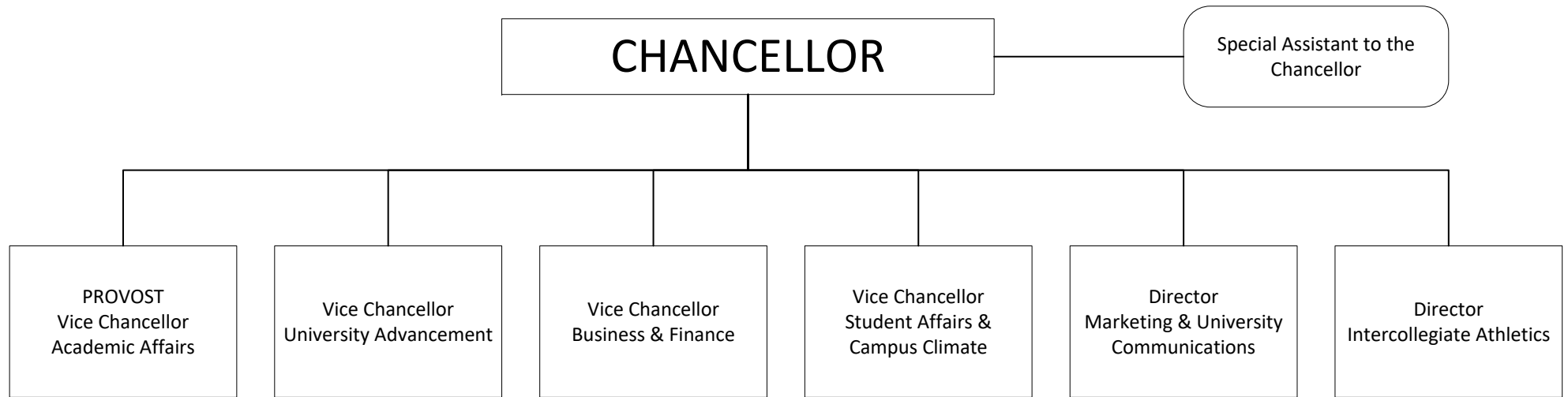


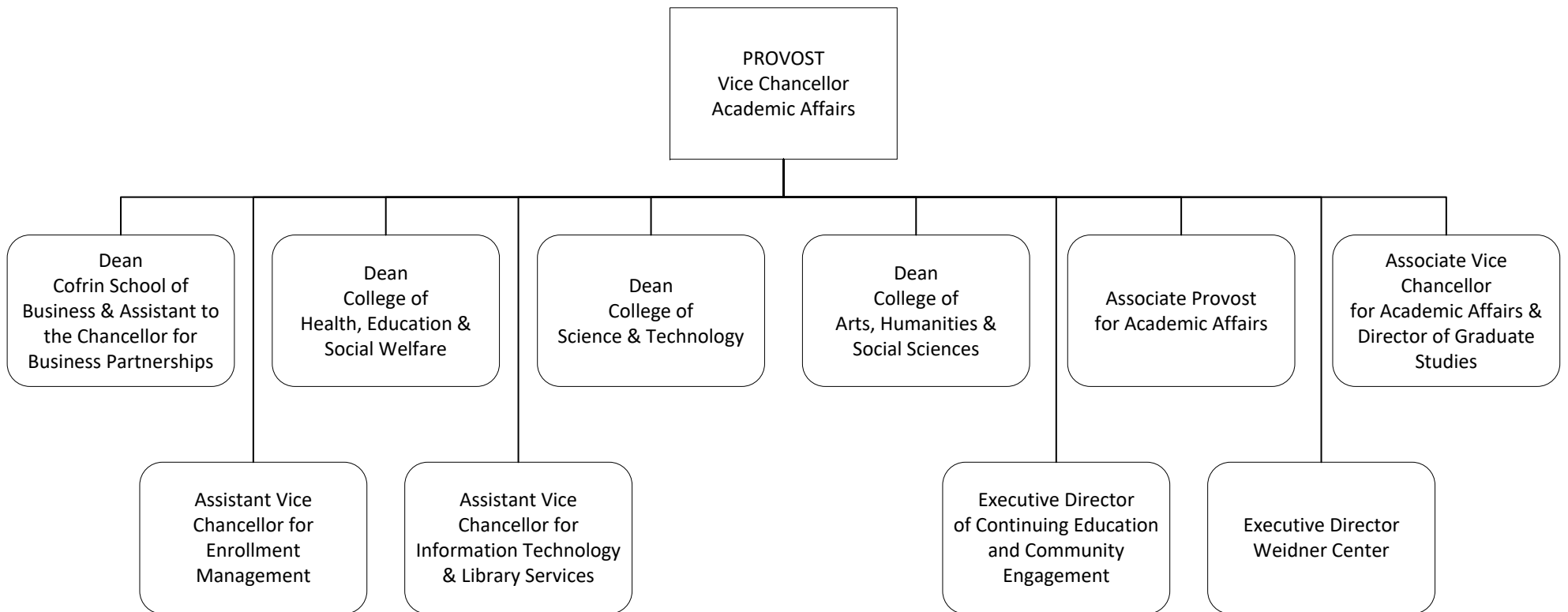
University of Wisconsin
Eau Claire

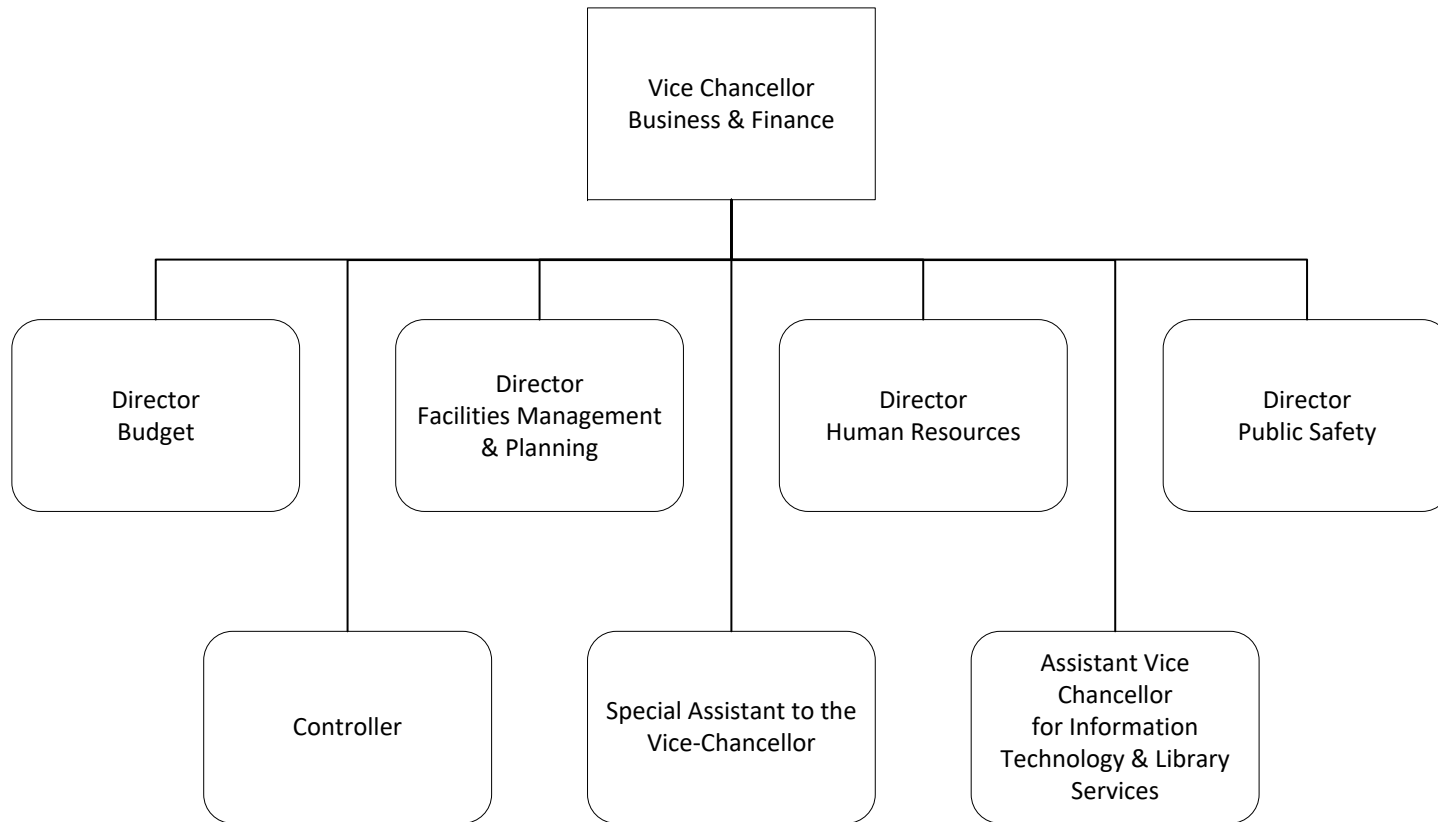
ADMINISTRATIVE ORGANIZATIONAL CHART
University of Wisconsin-Eau Claire

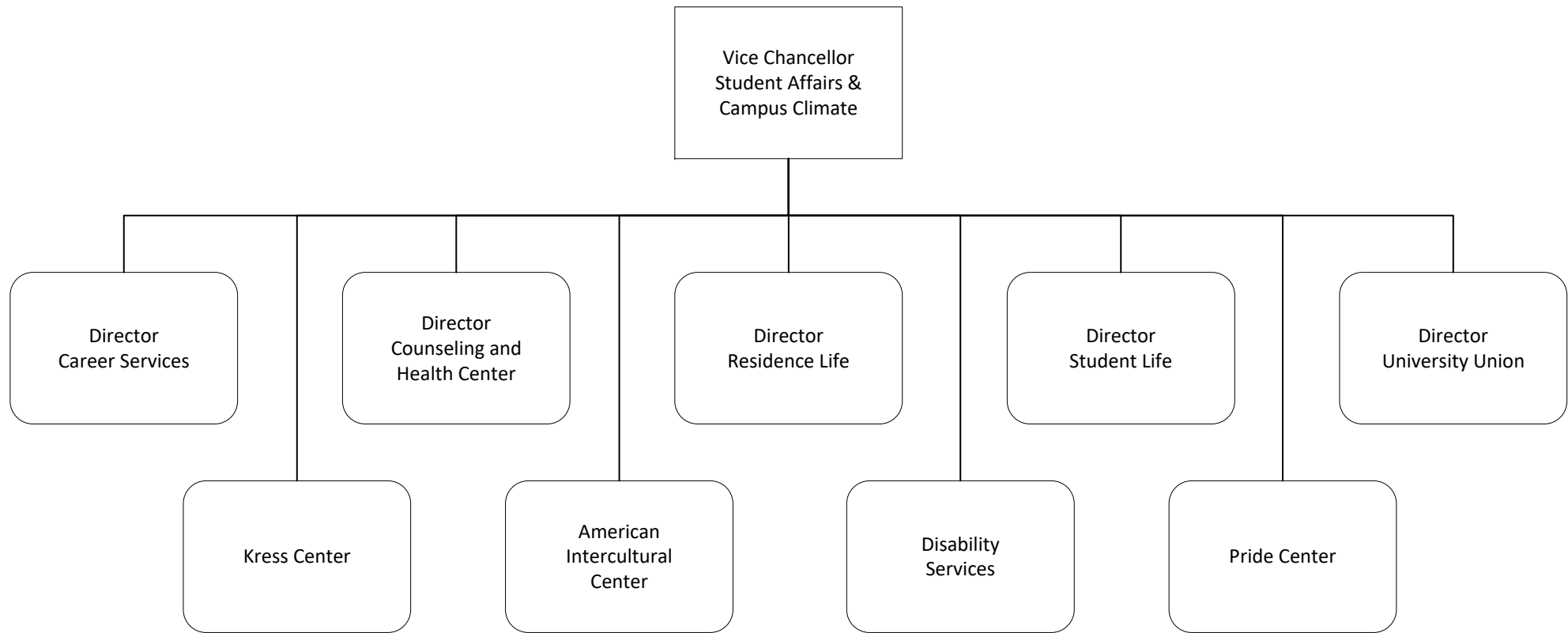
UWGB Organizational Structure

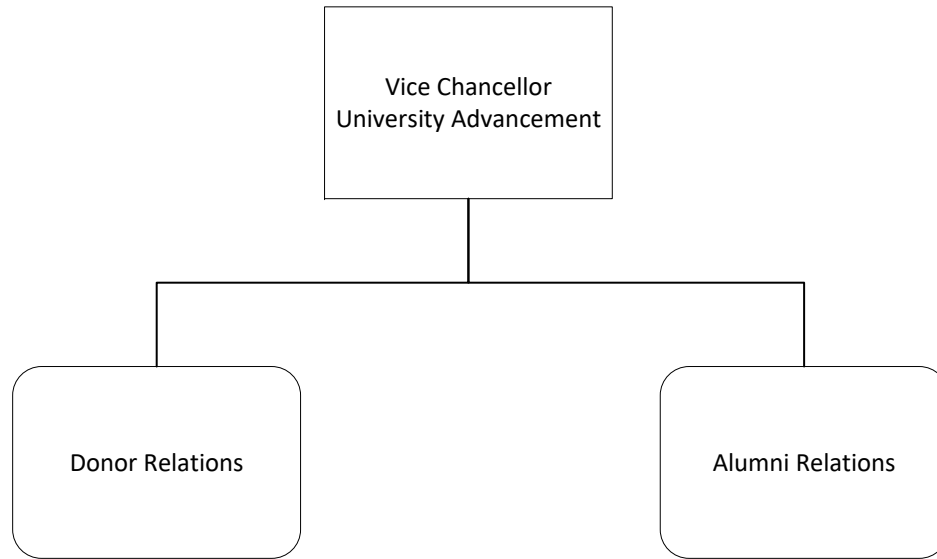
Fall 2017

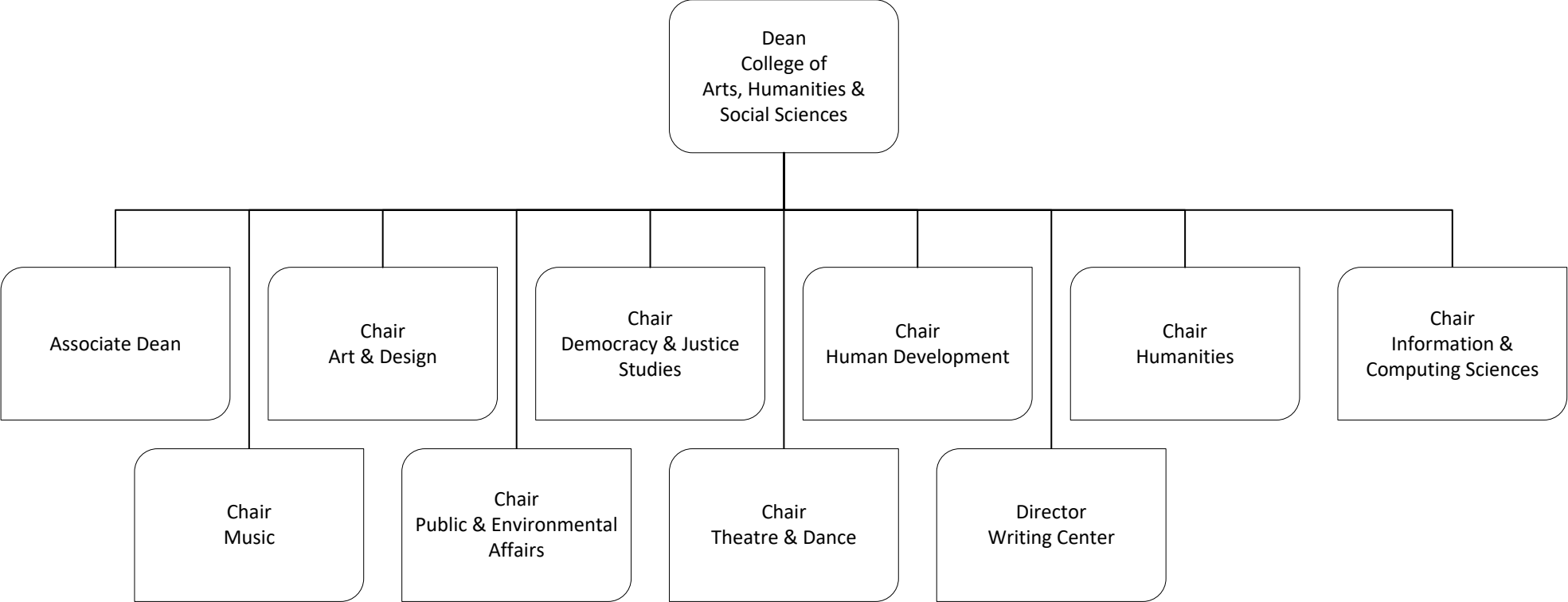


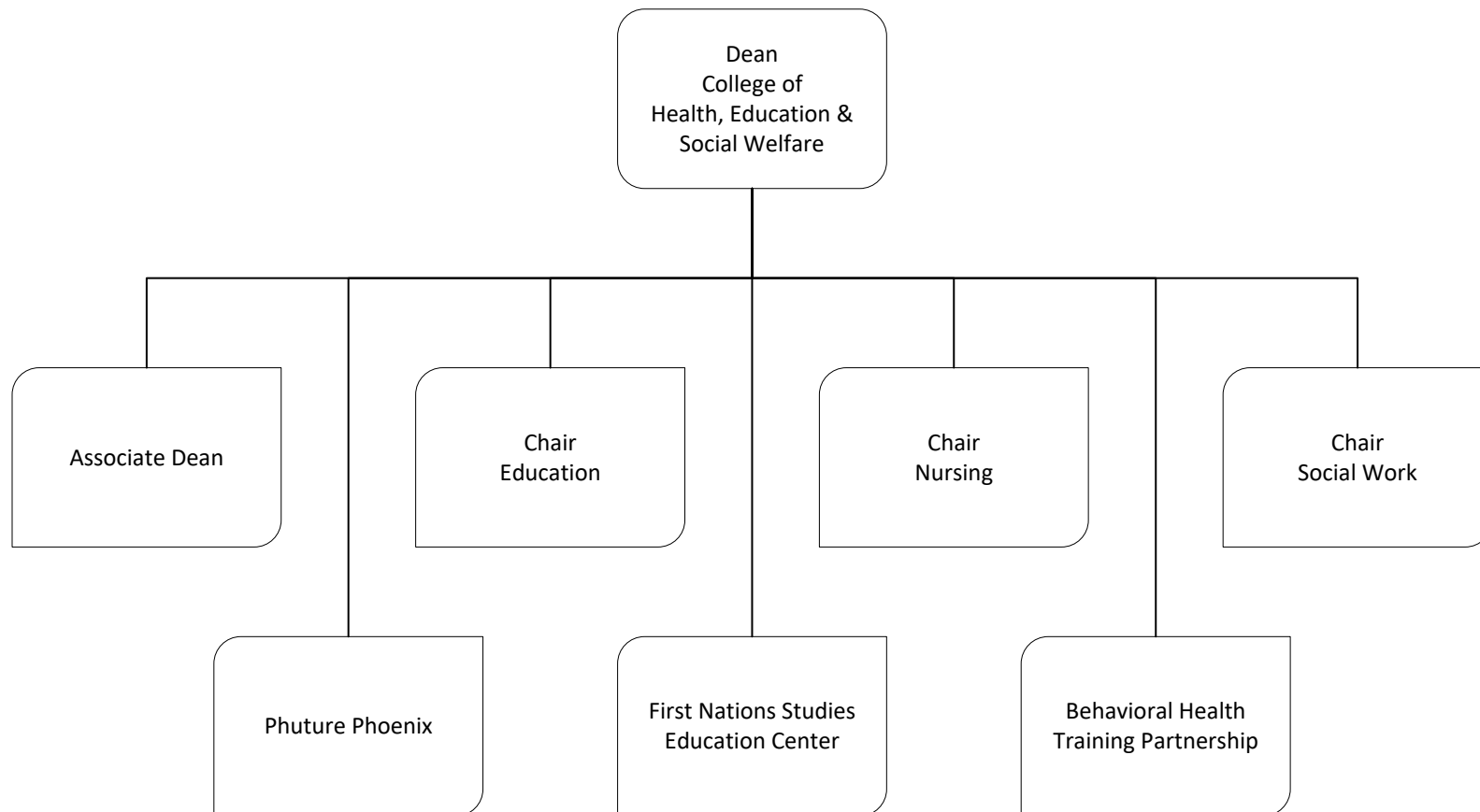


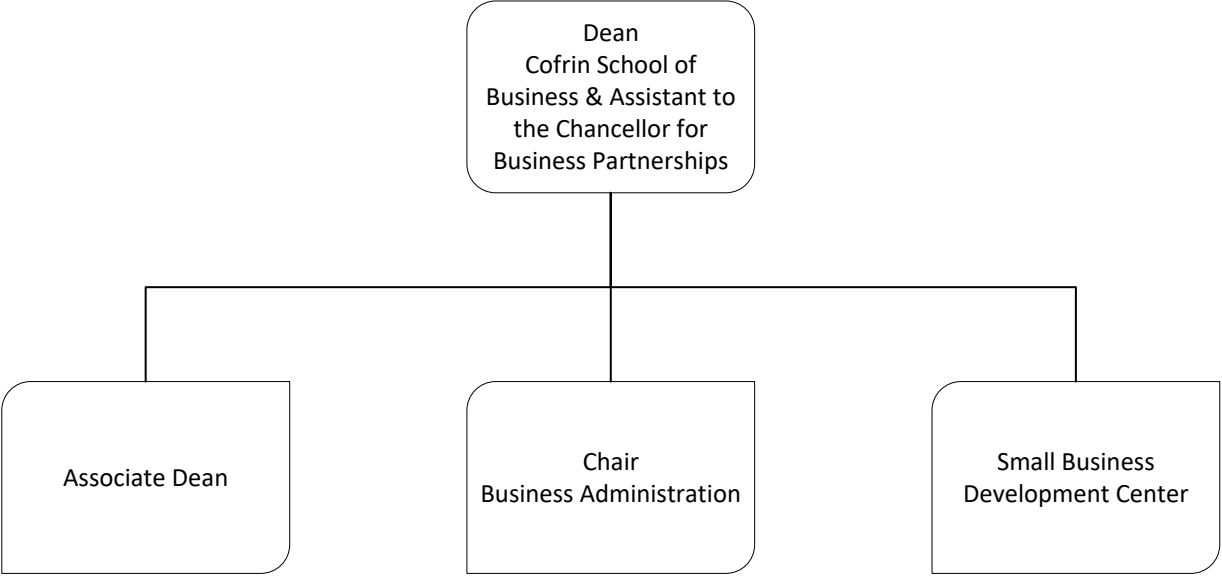


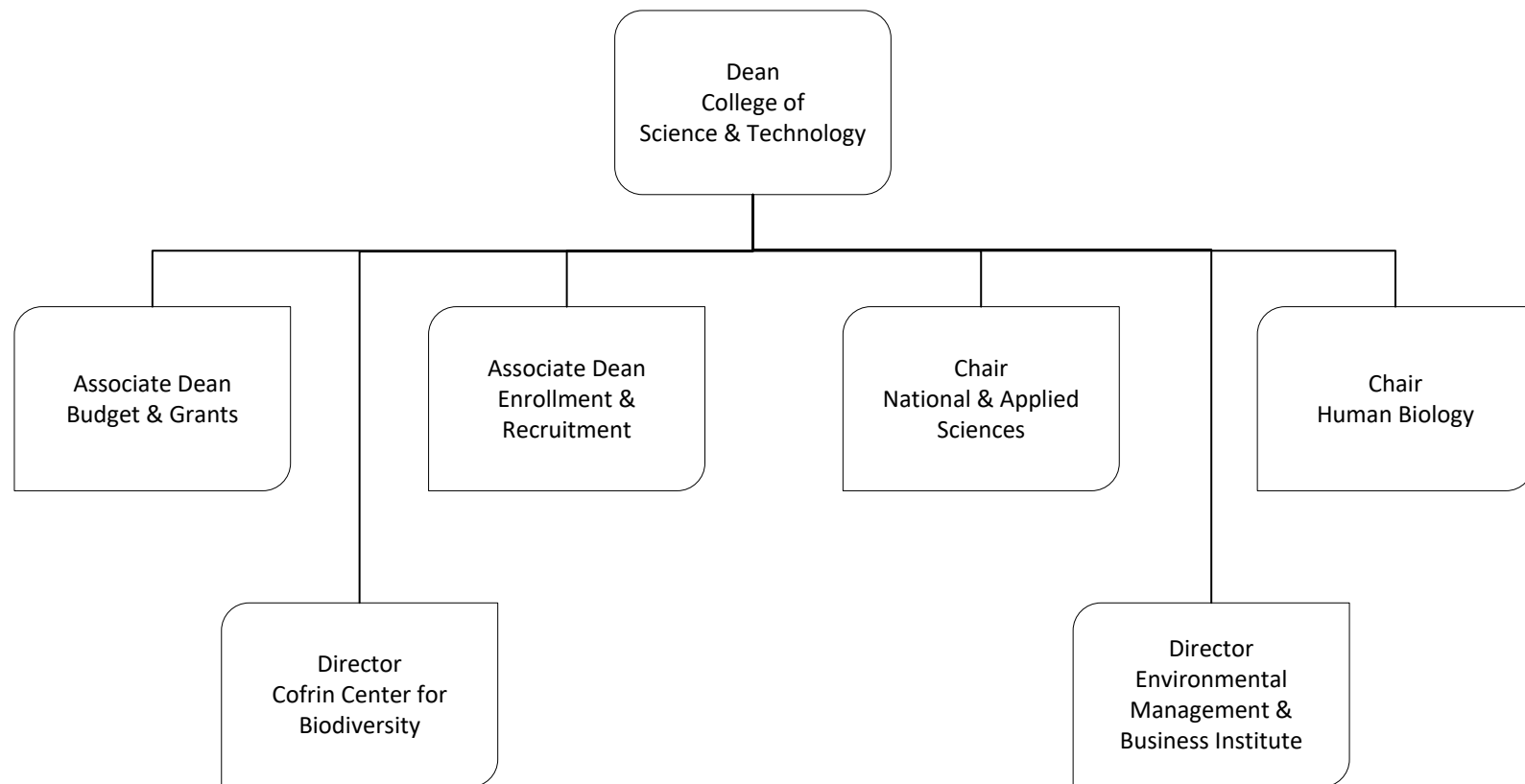


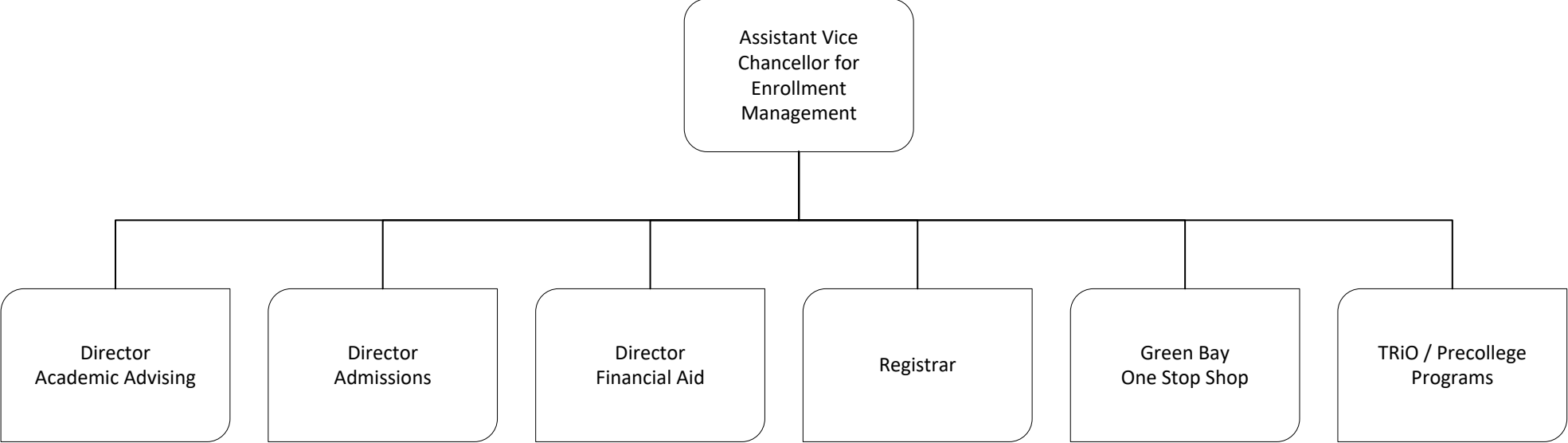


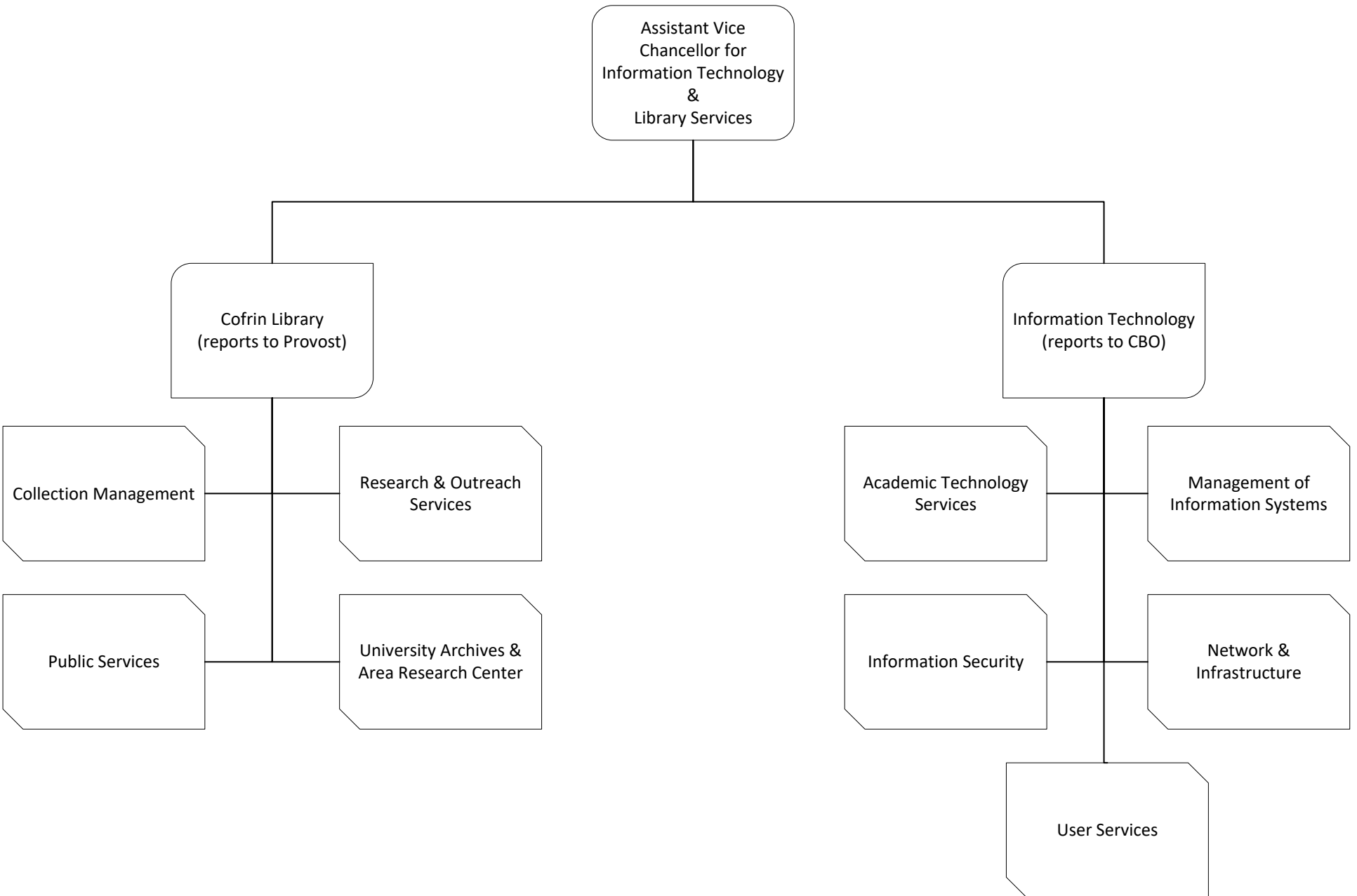


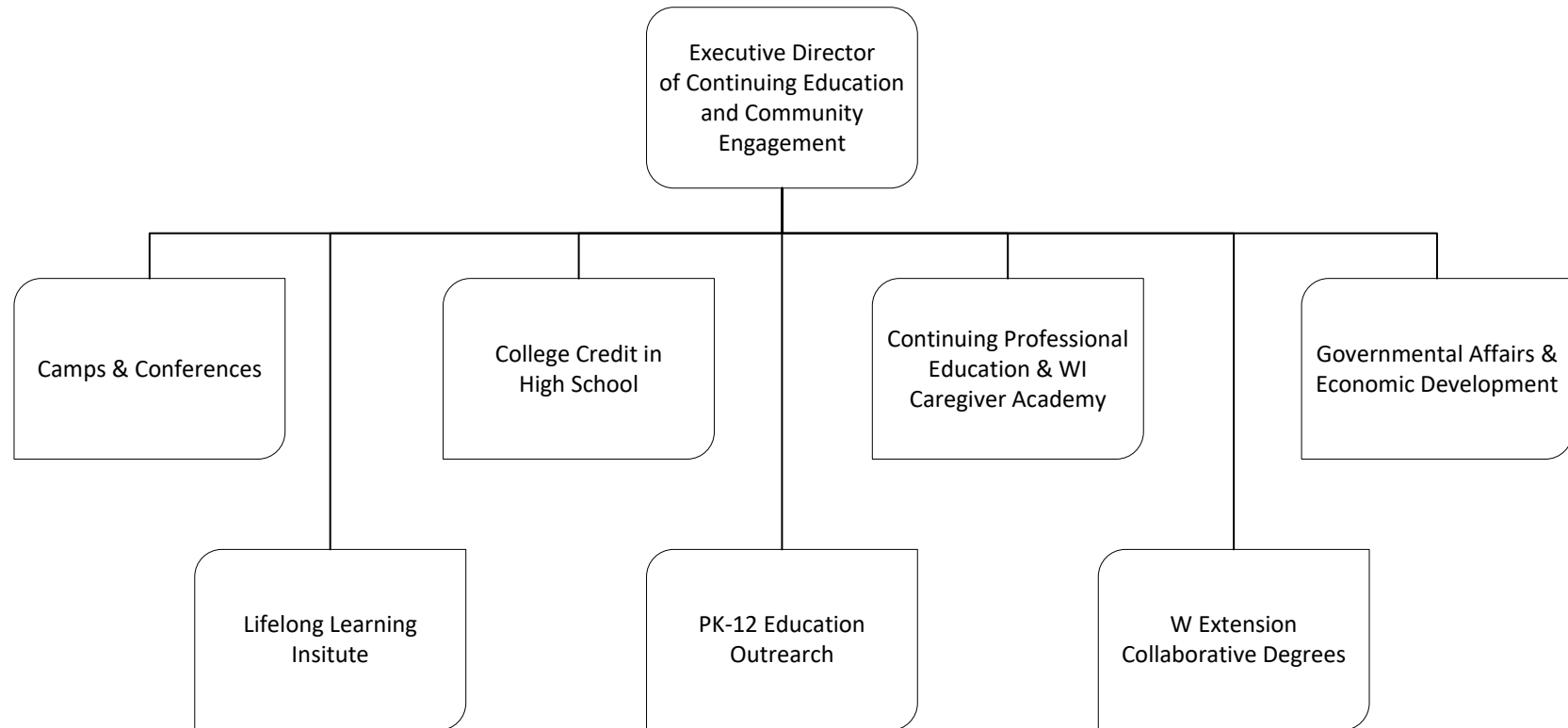


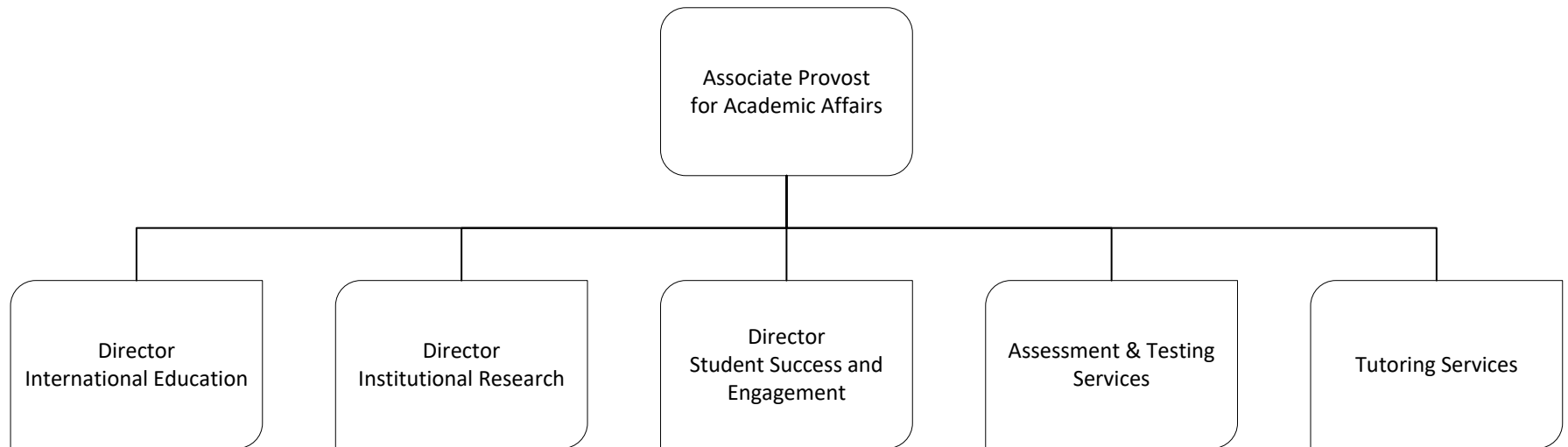


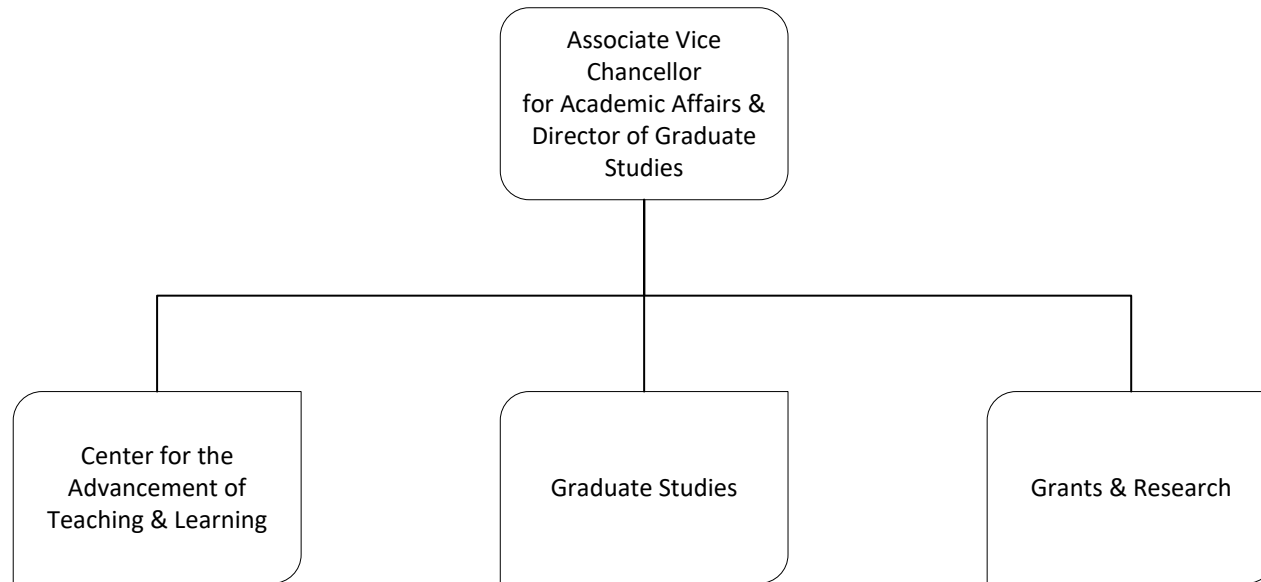


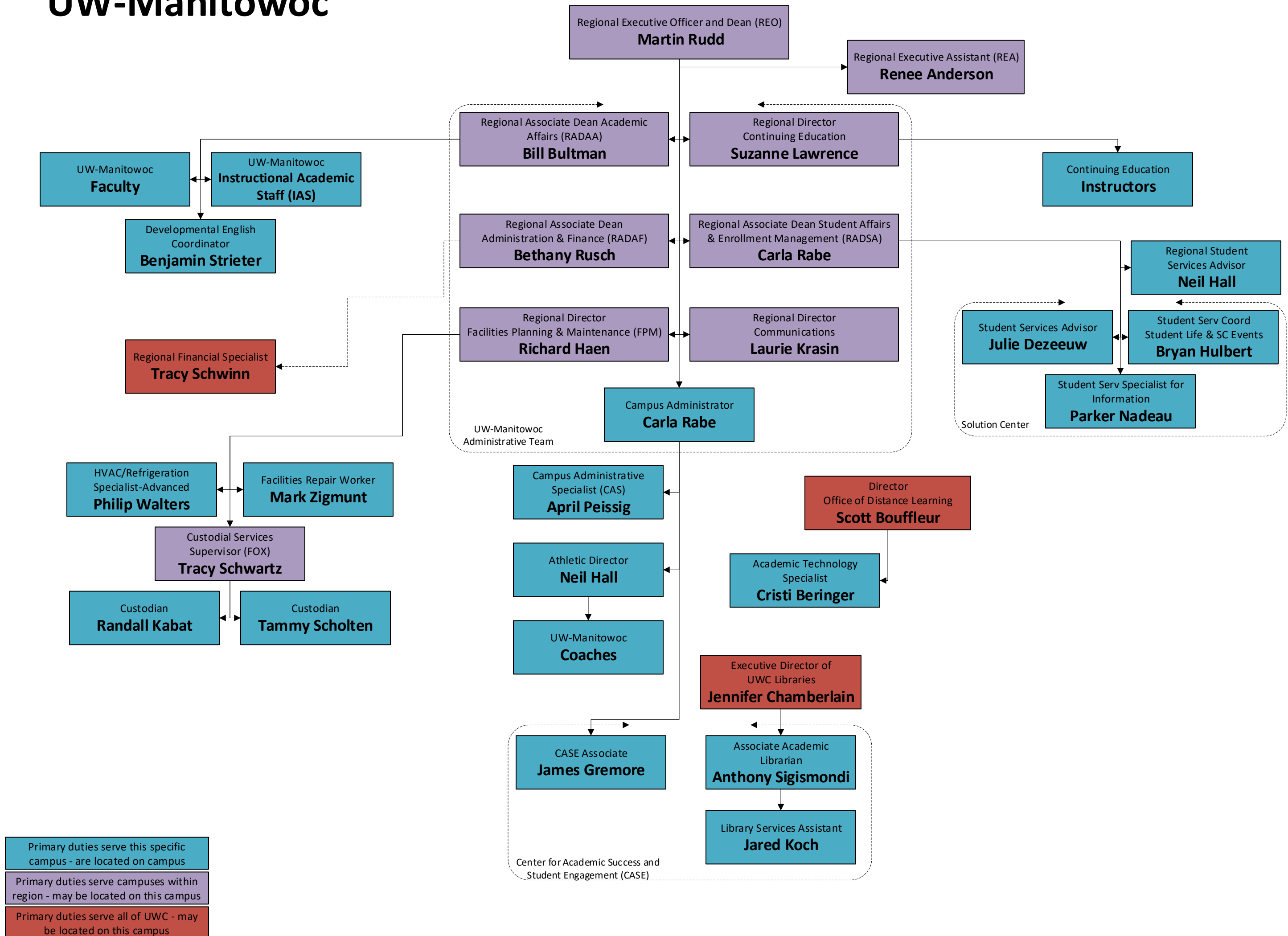






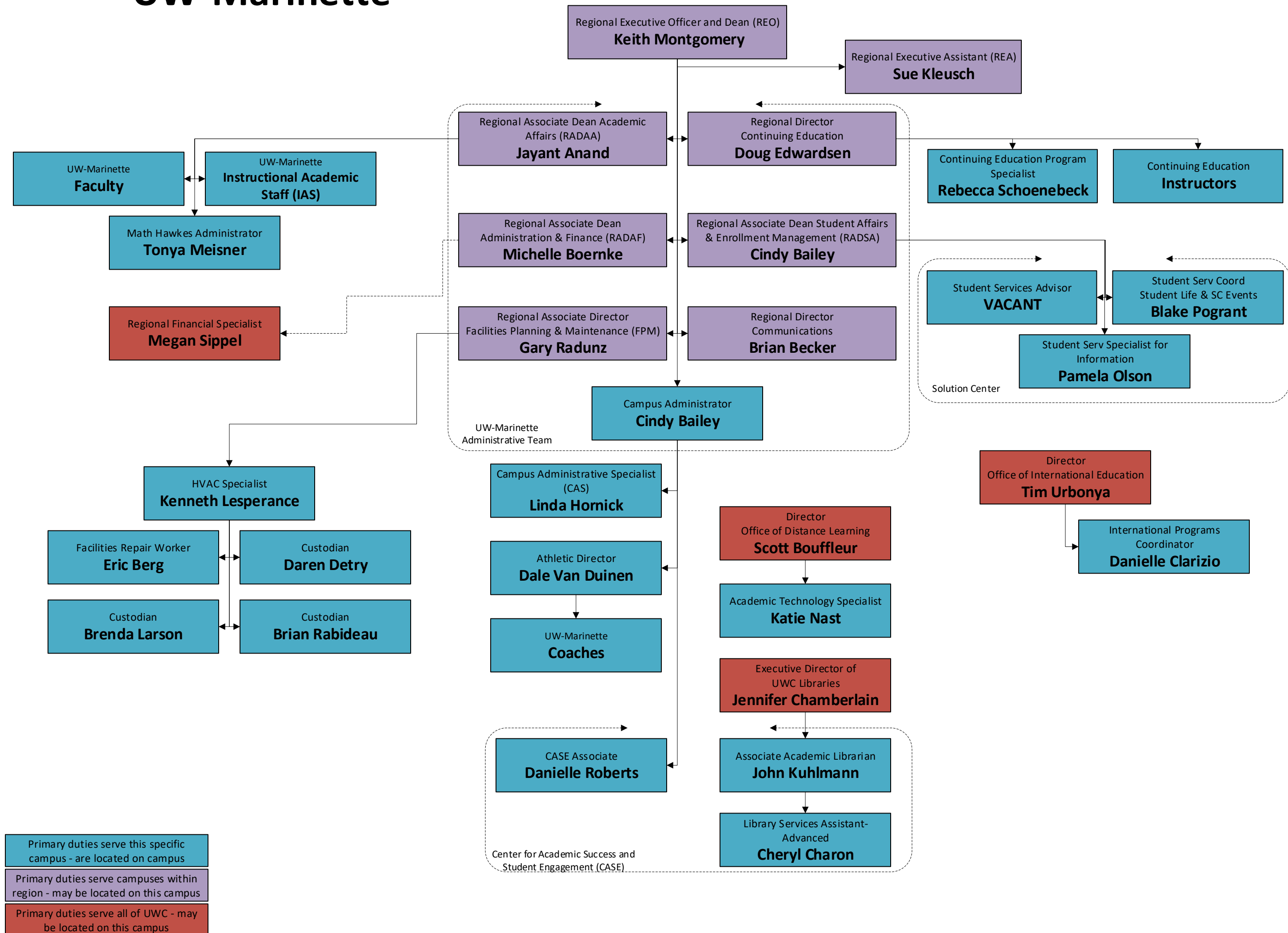






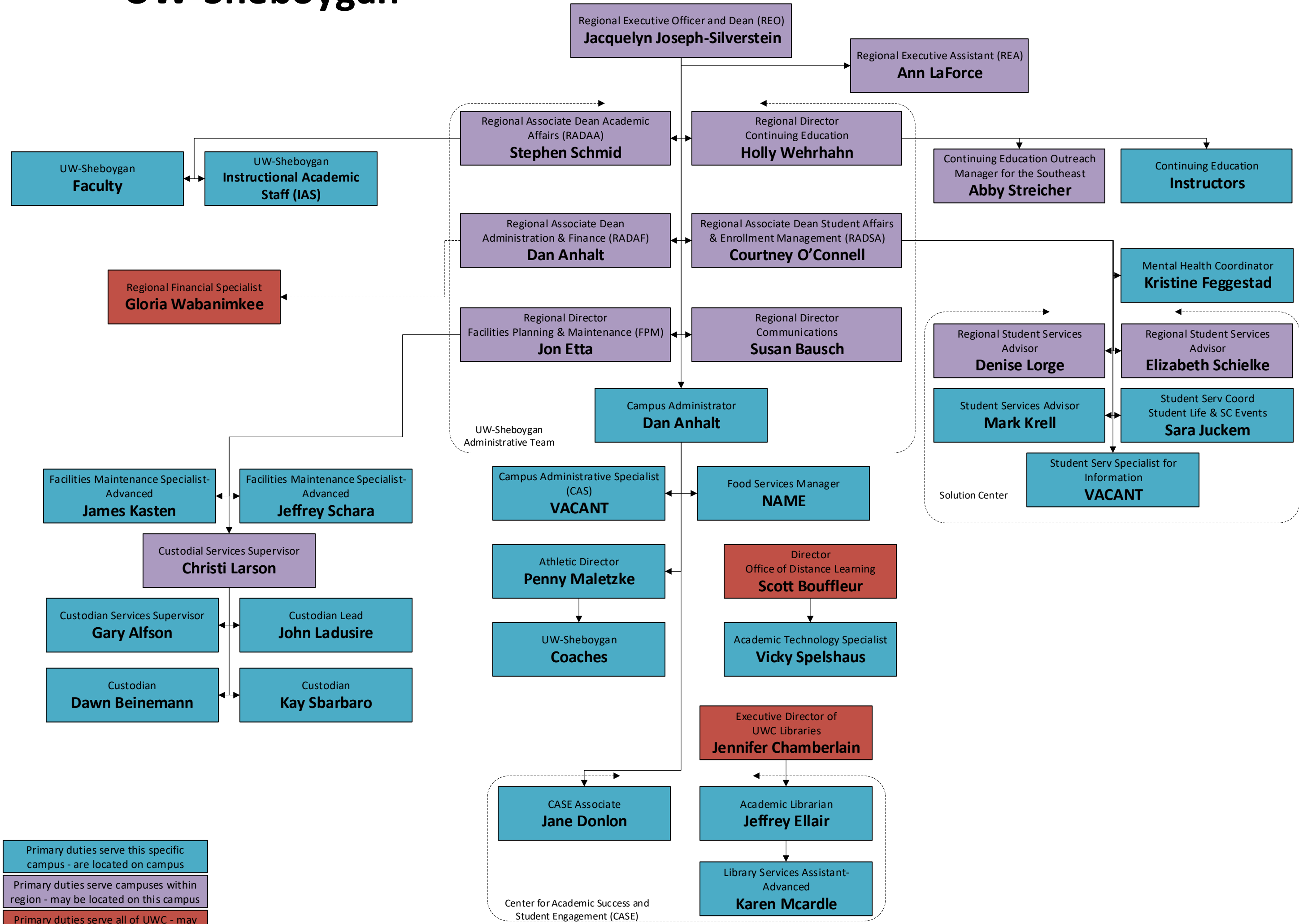
UW-Marinette

Updated 06/15/2017



UW-Sheboygan

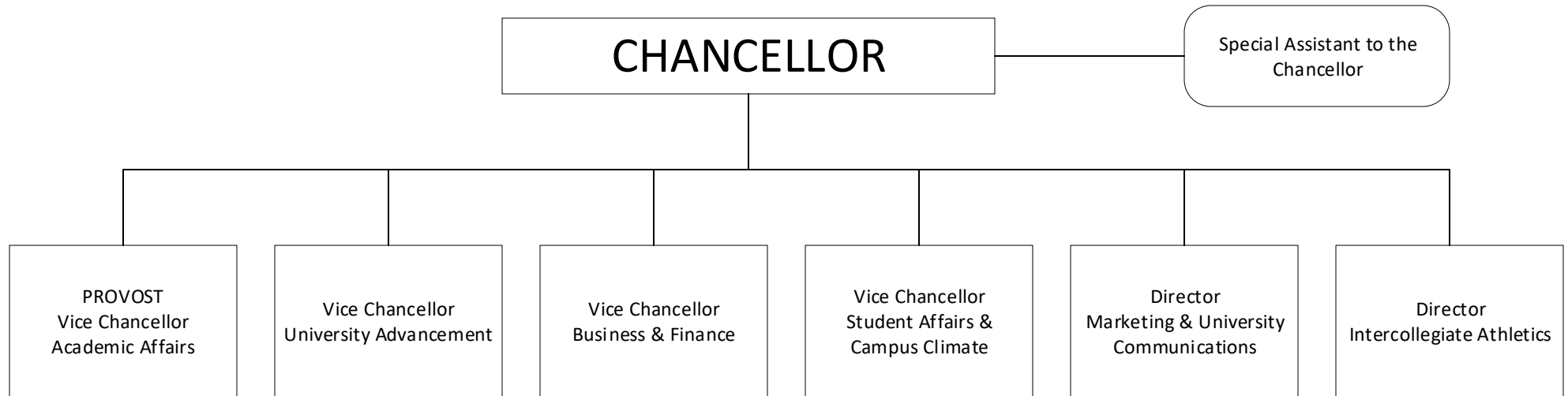
Updated 06/15/2017

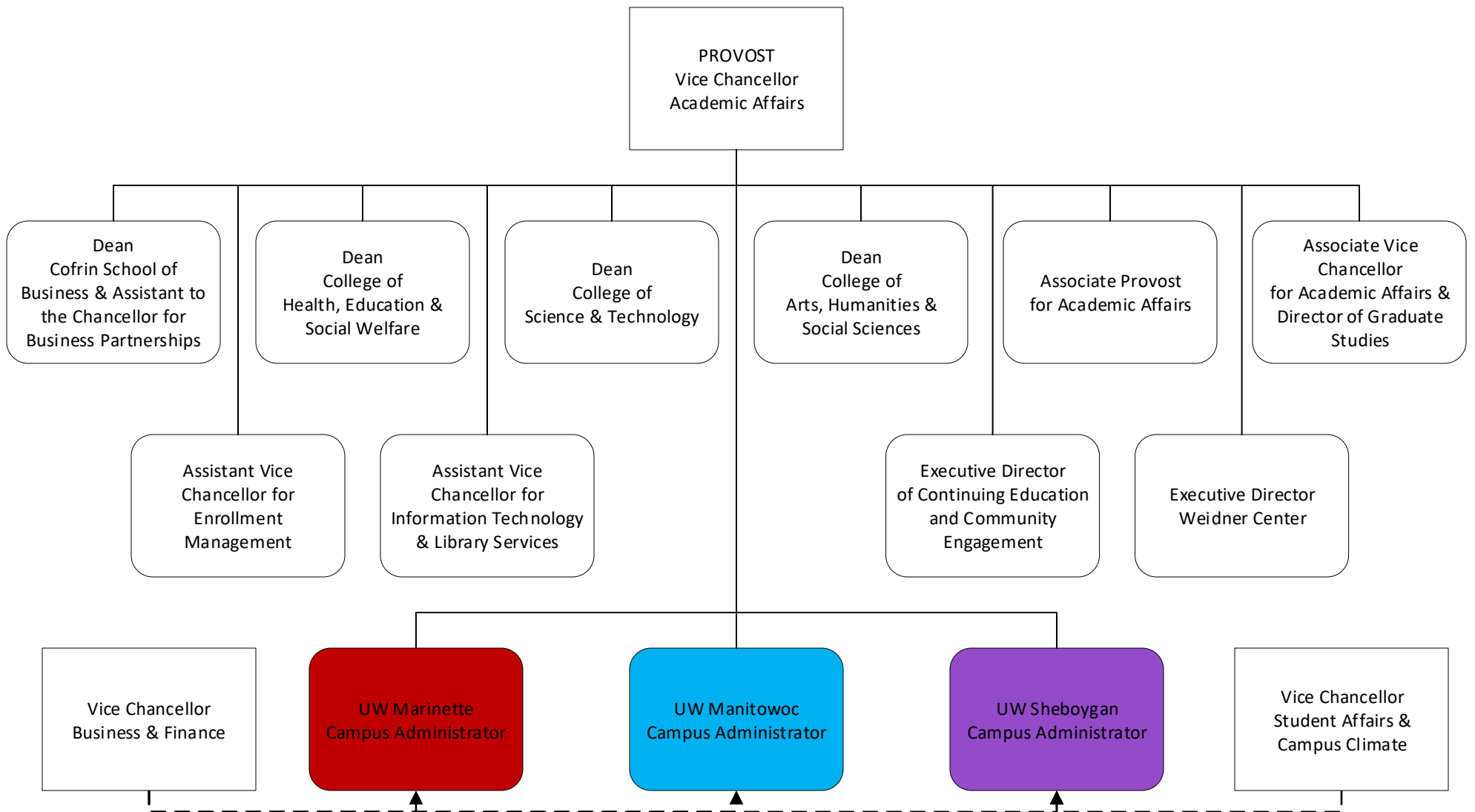


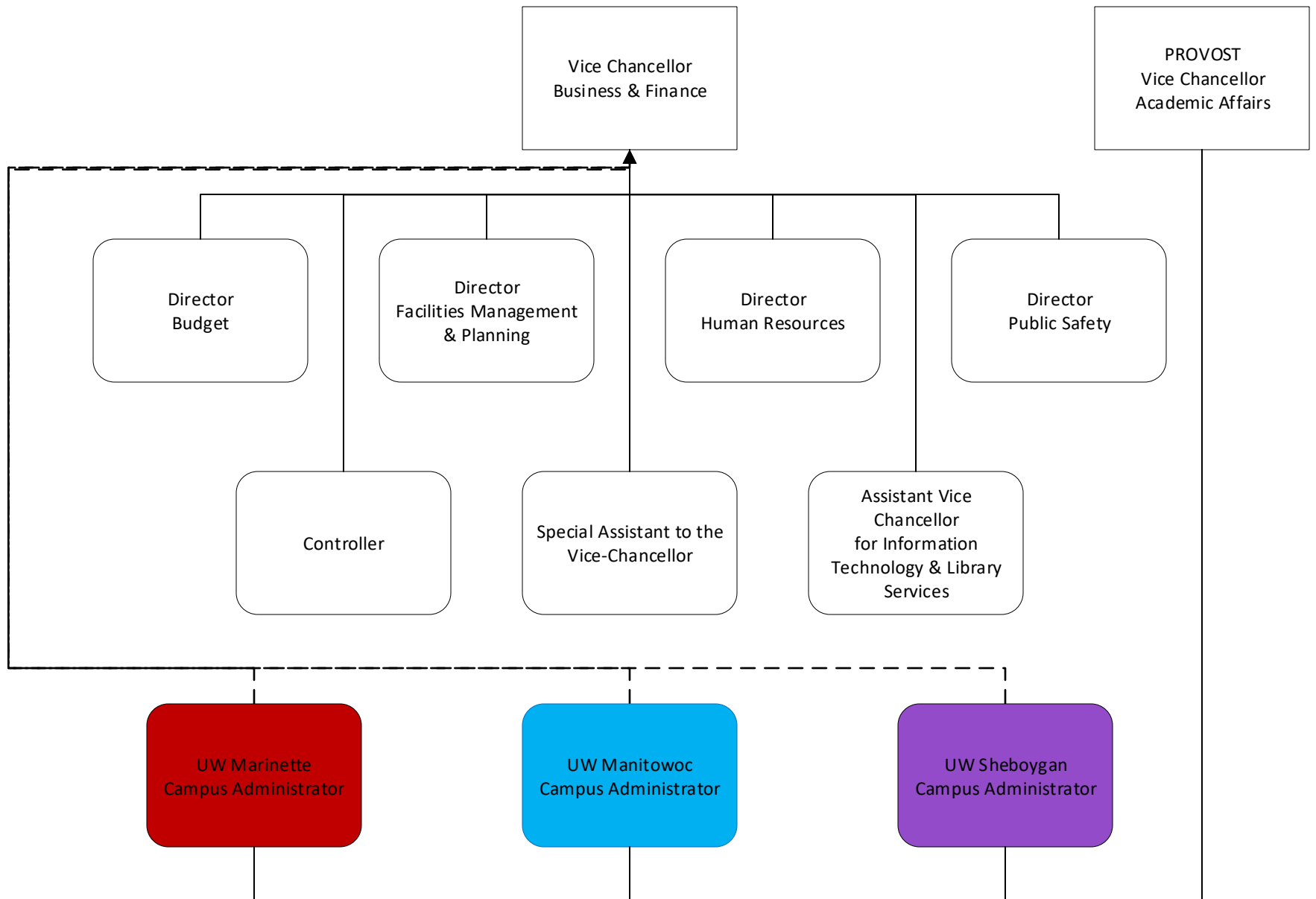
Proposed Changes
indicated in Color

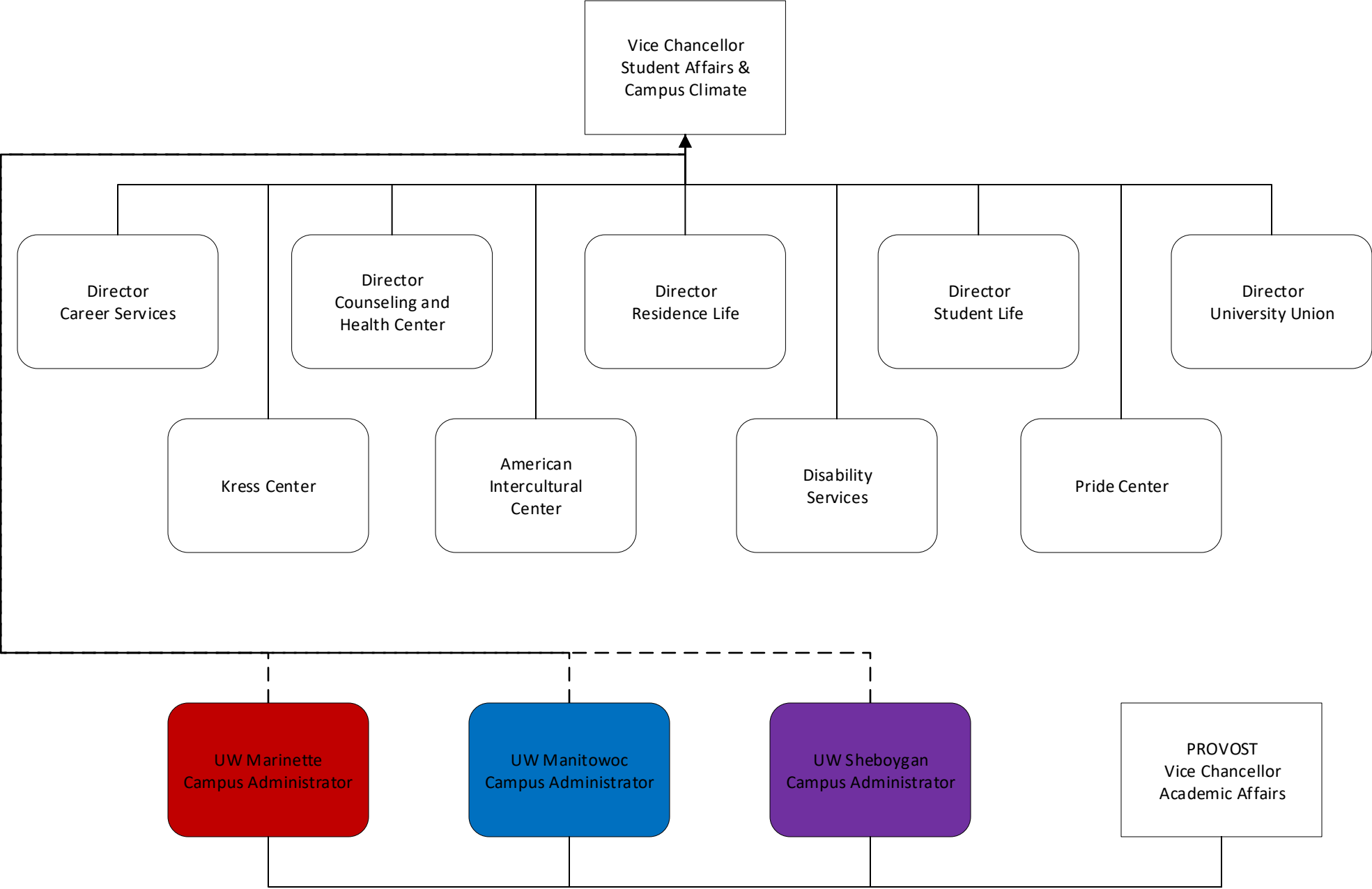
UWGB Organizational Structure

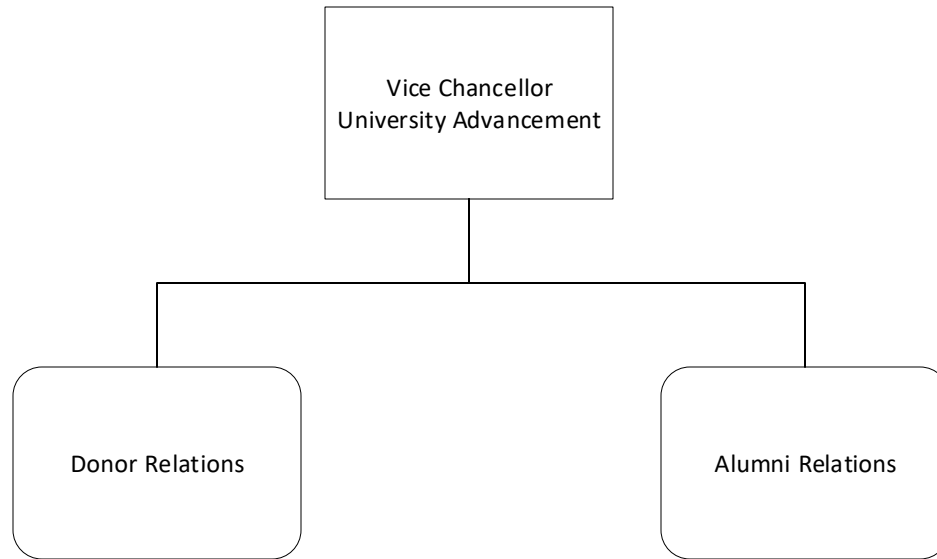
Proposed Fall 2018

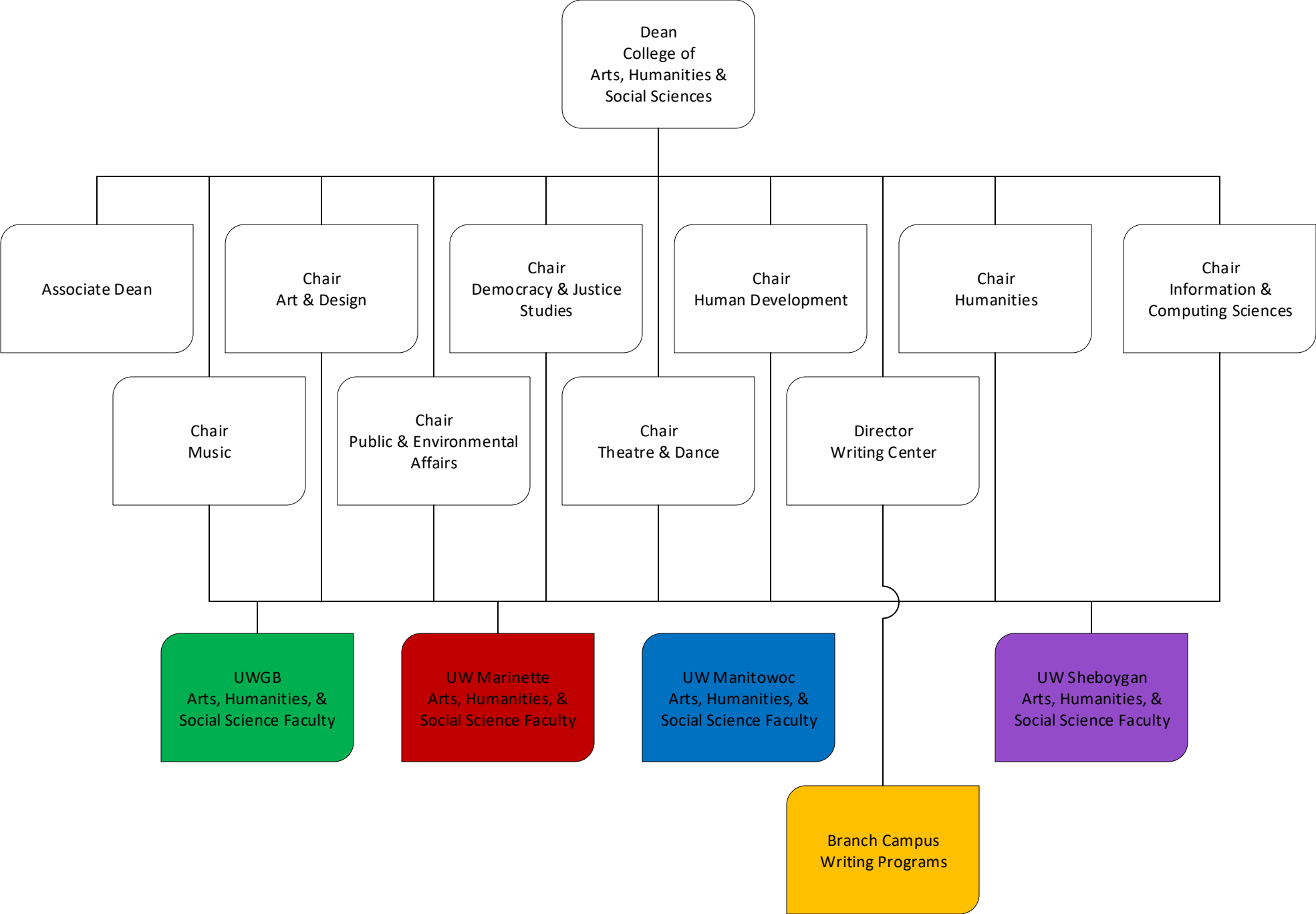


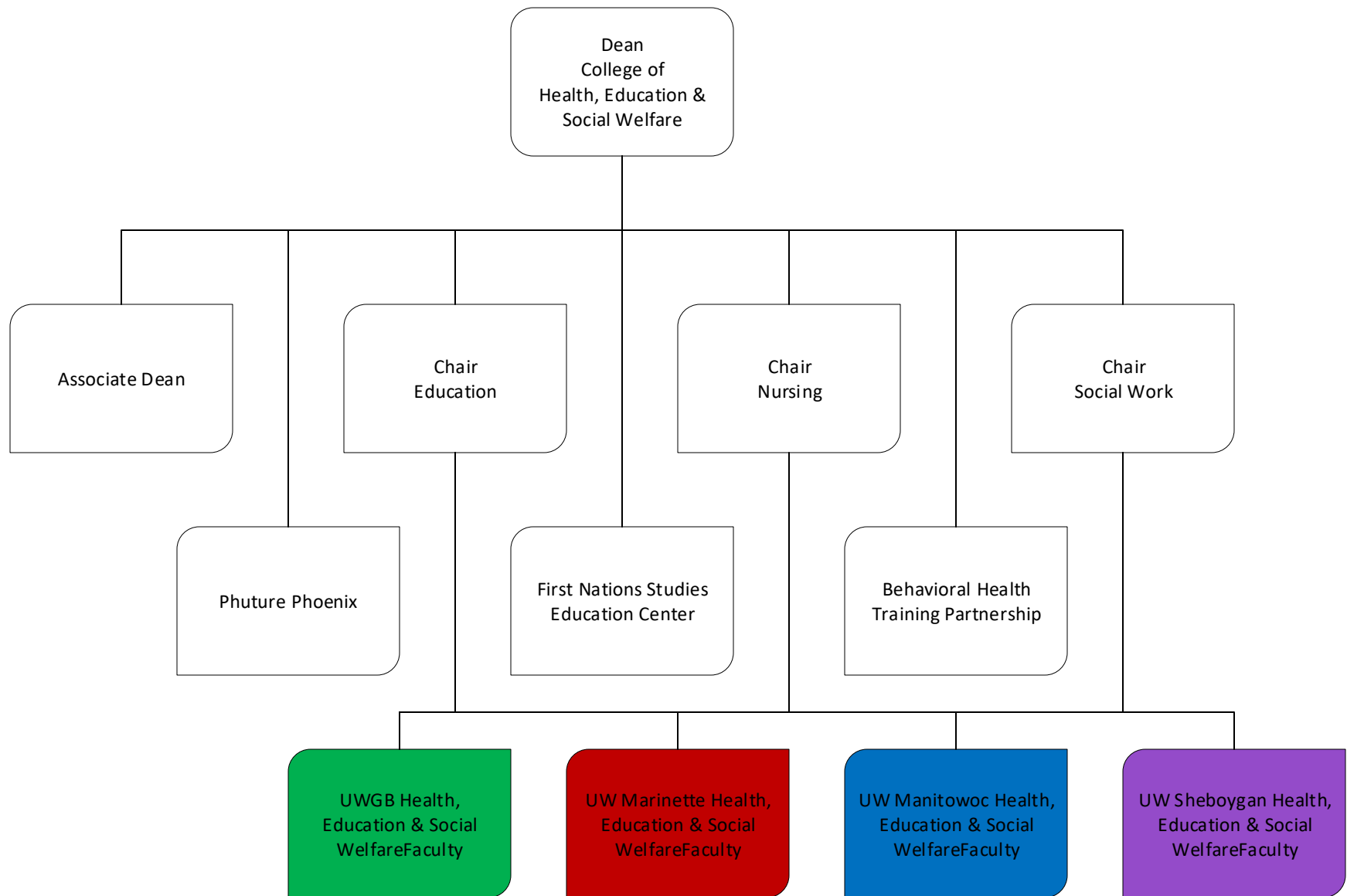


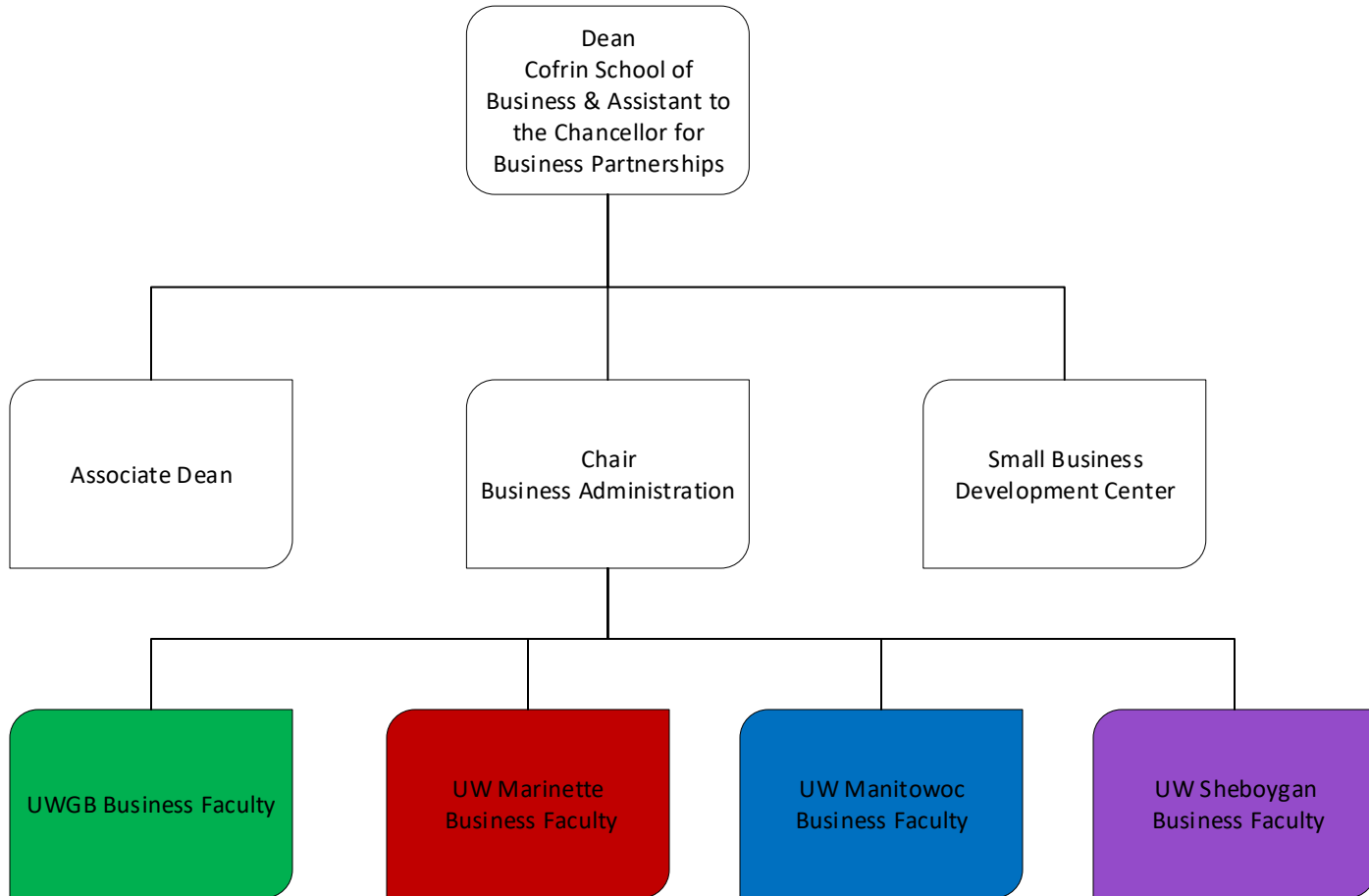


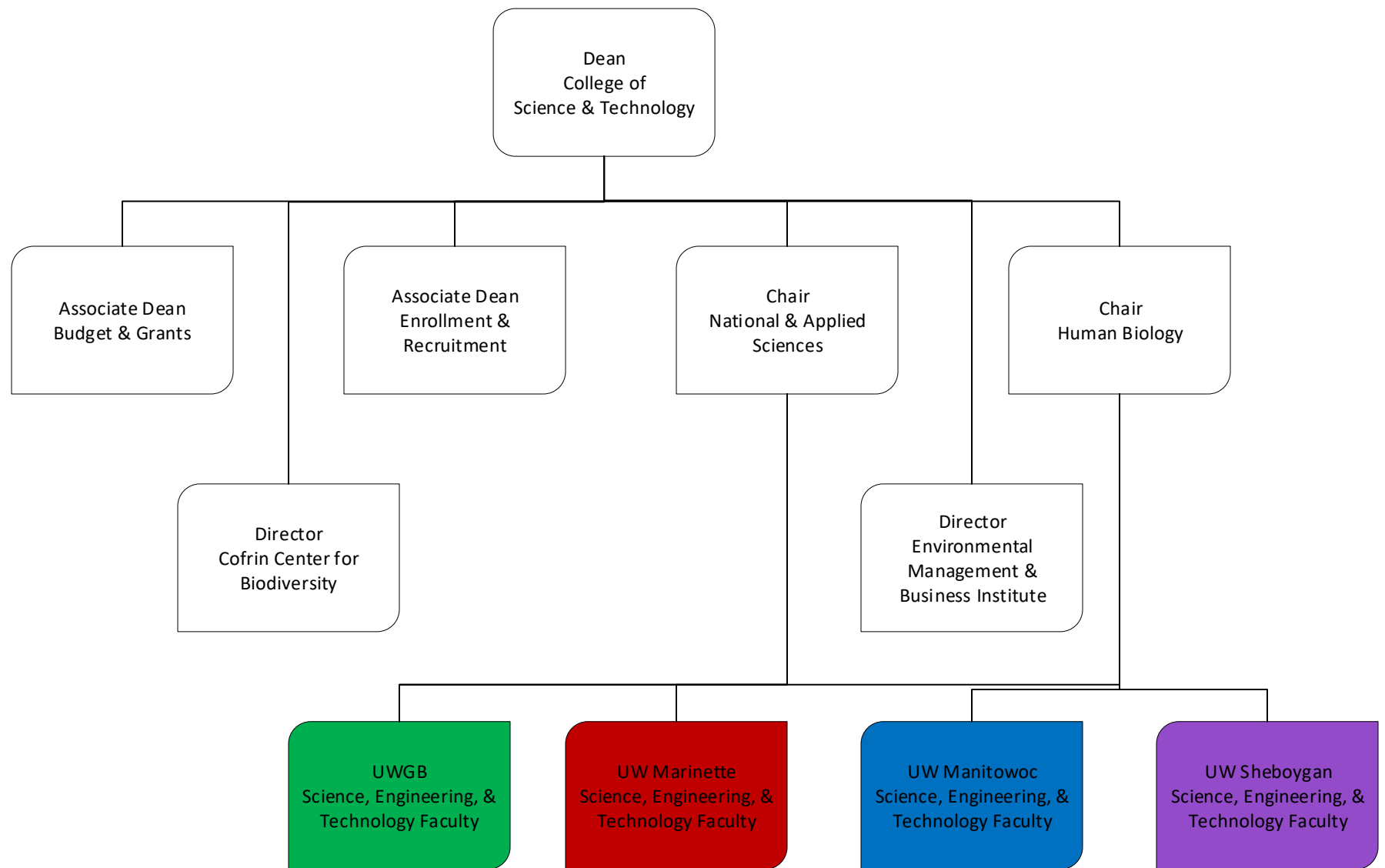


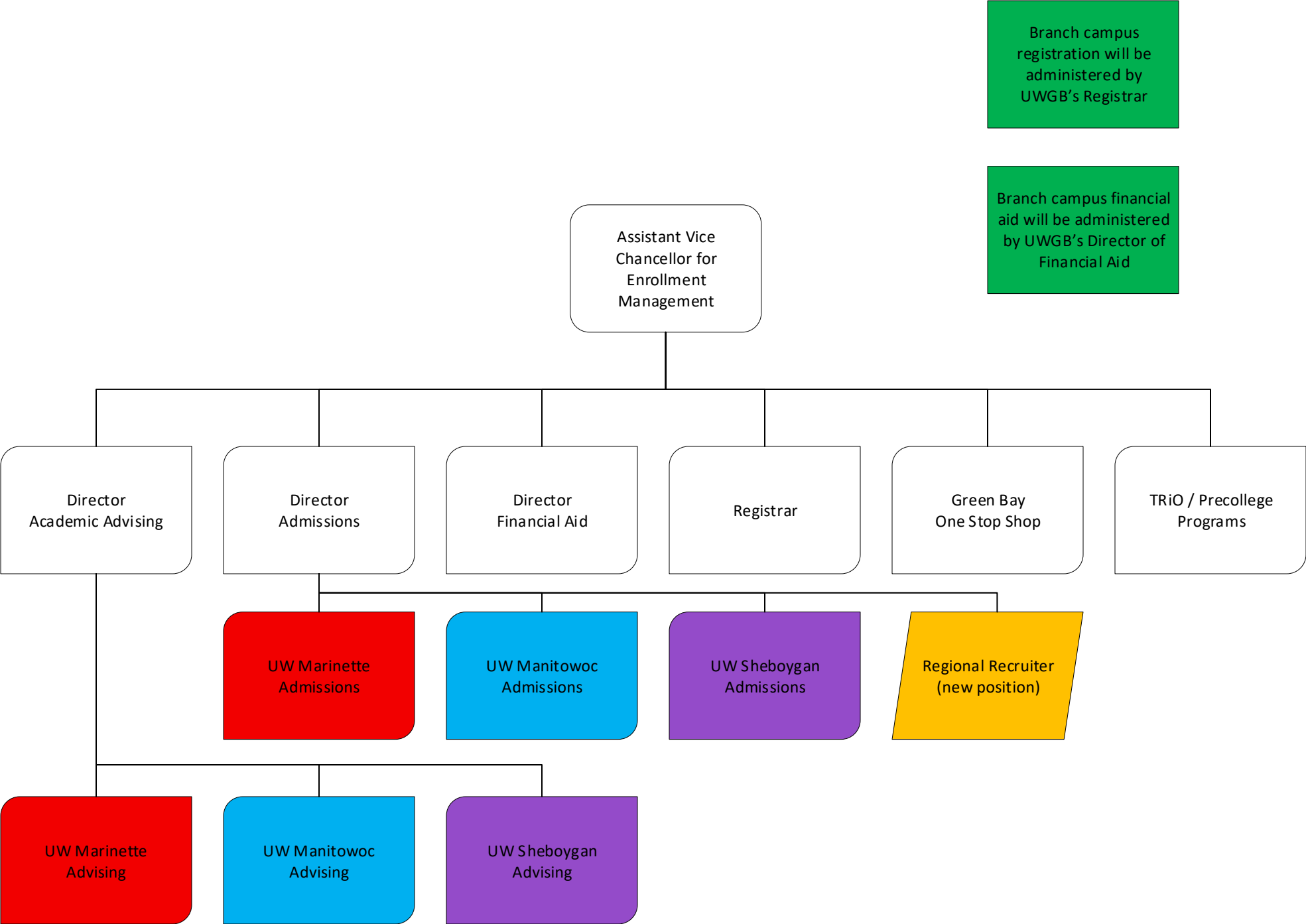


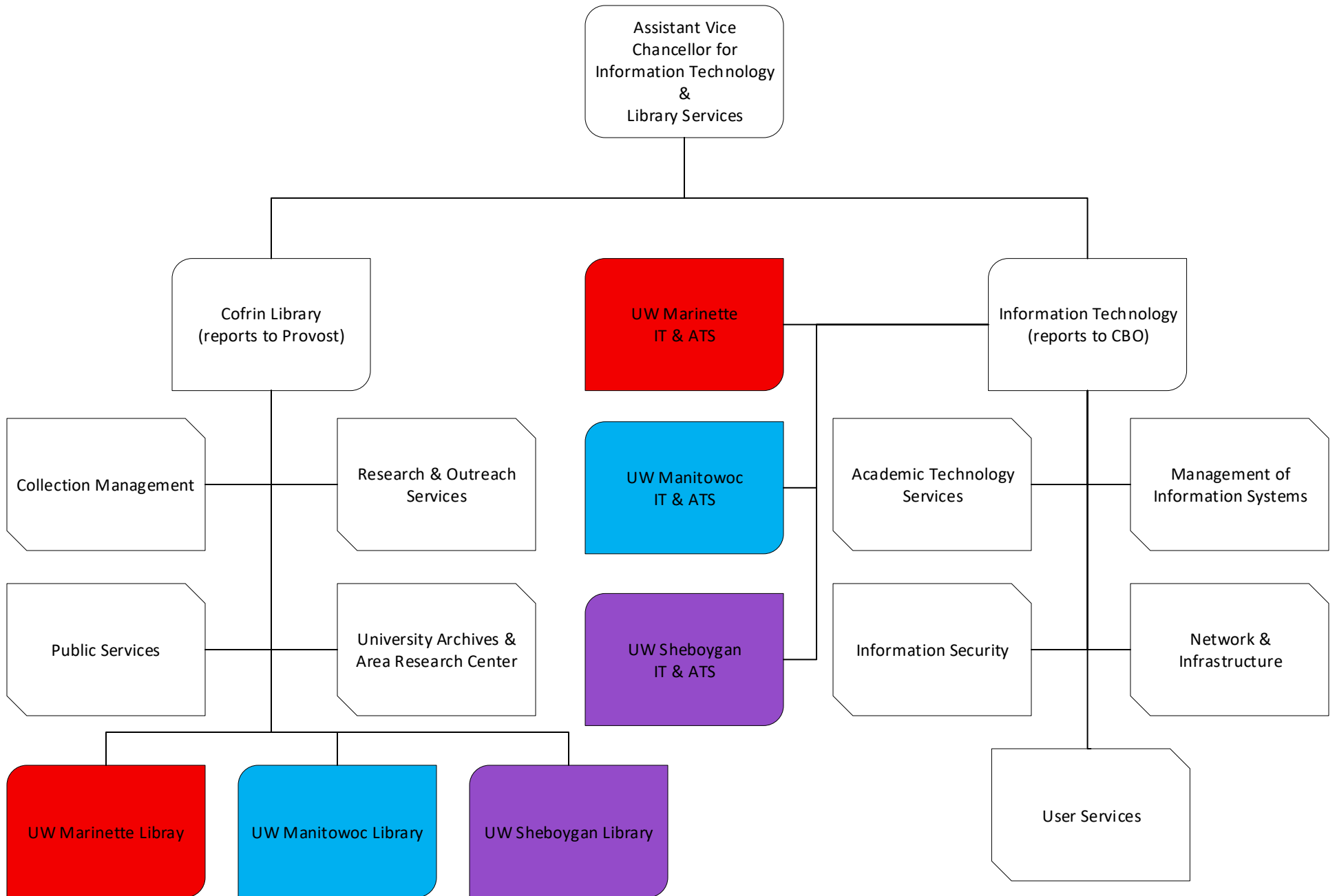


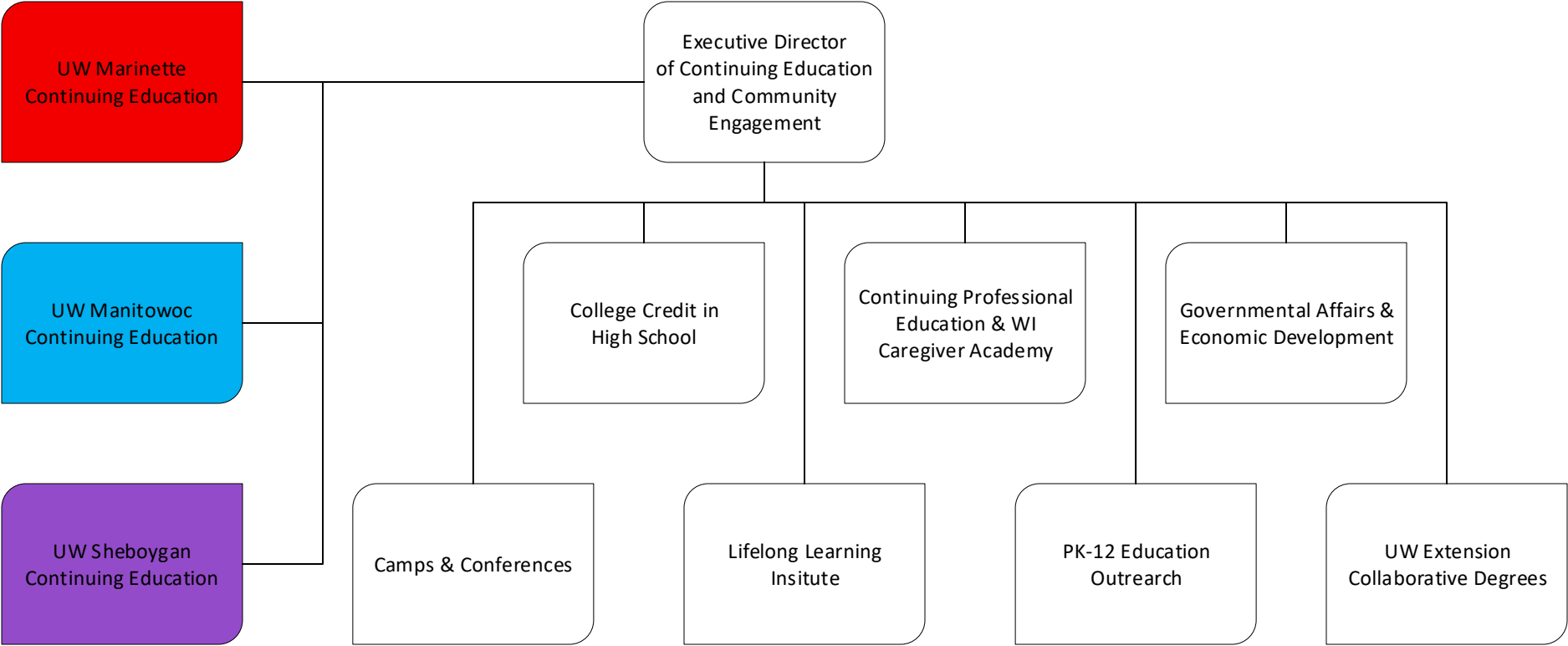


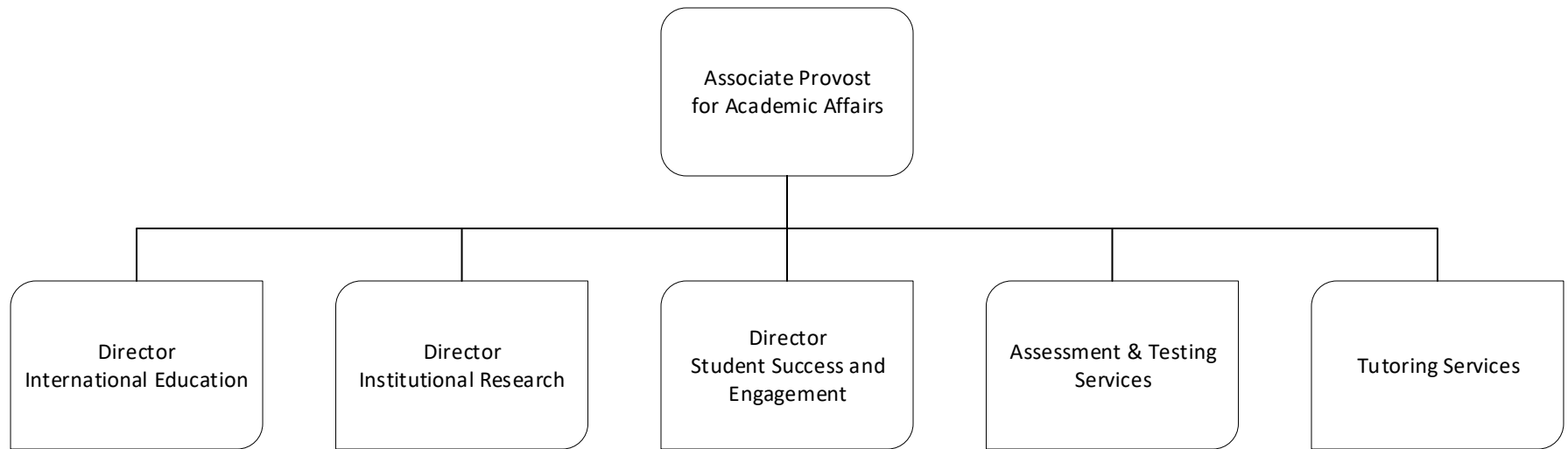


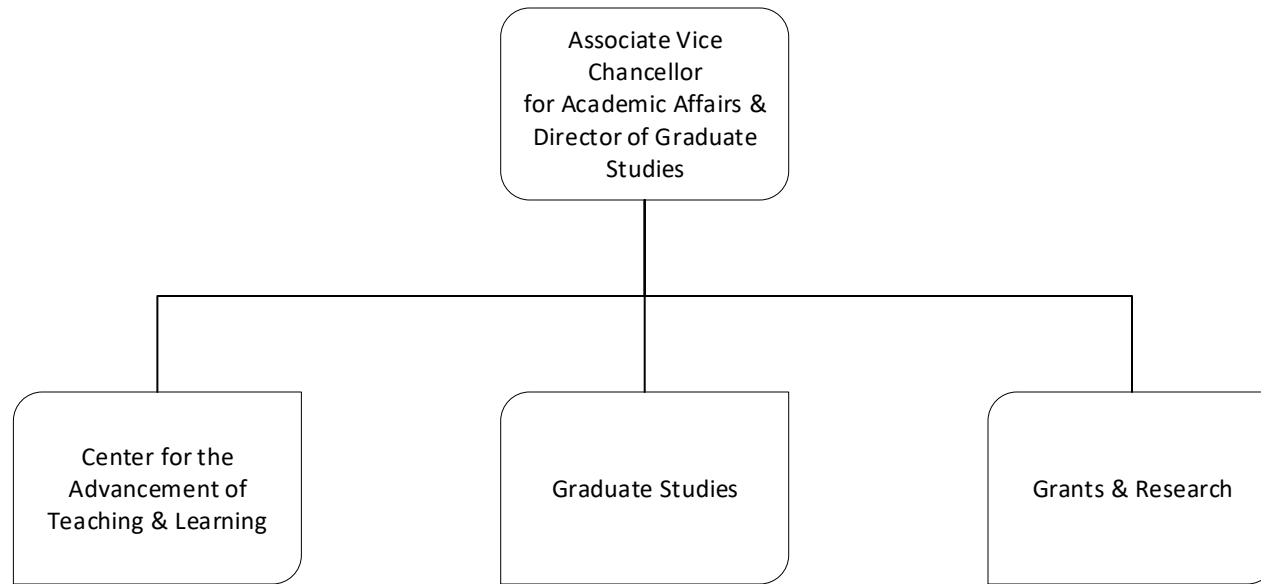




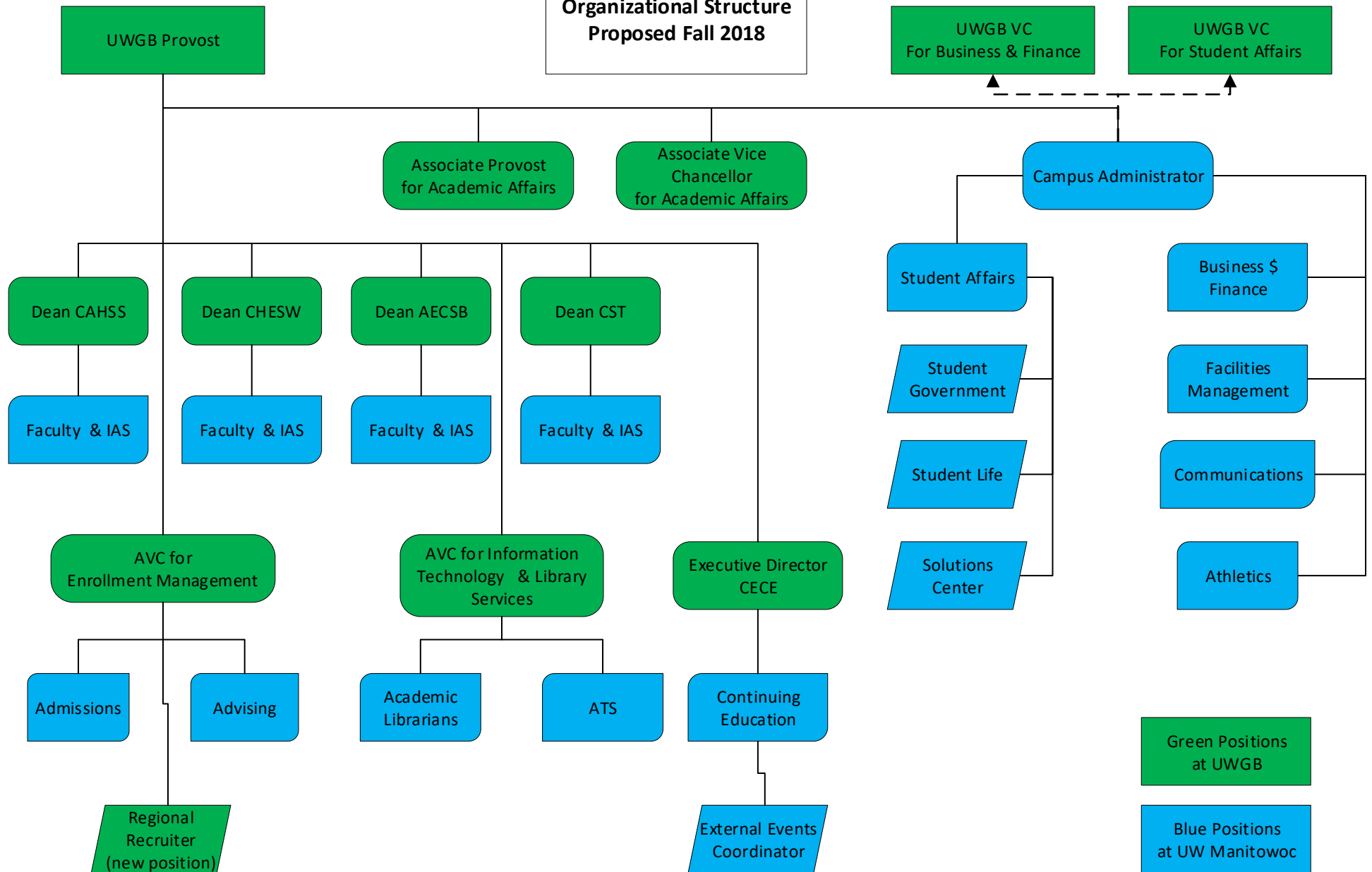




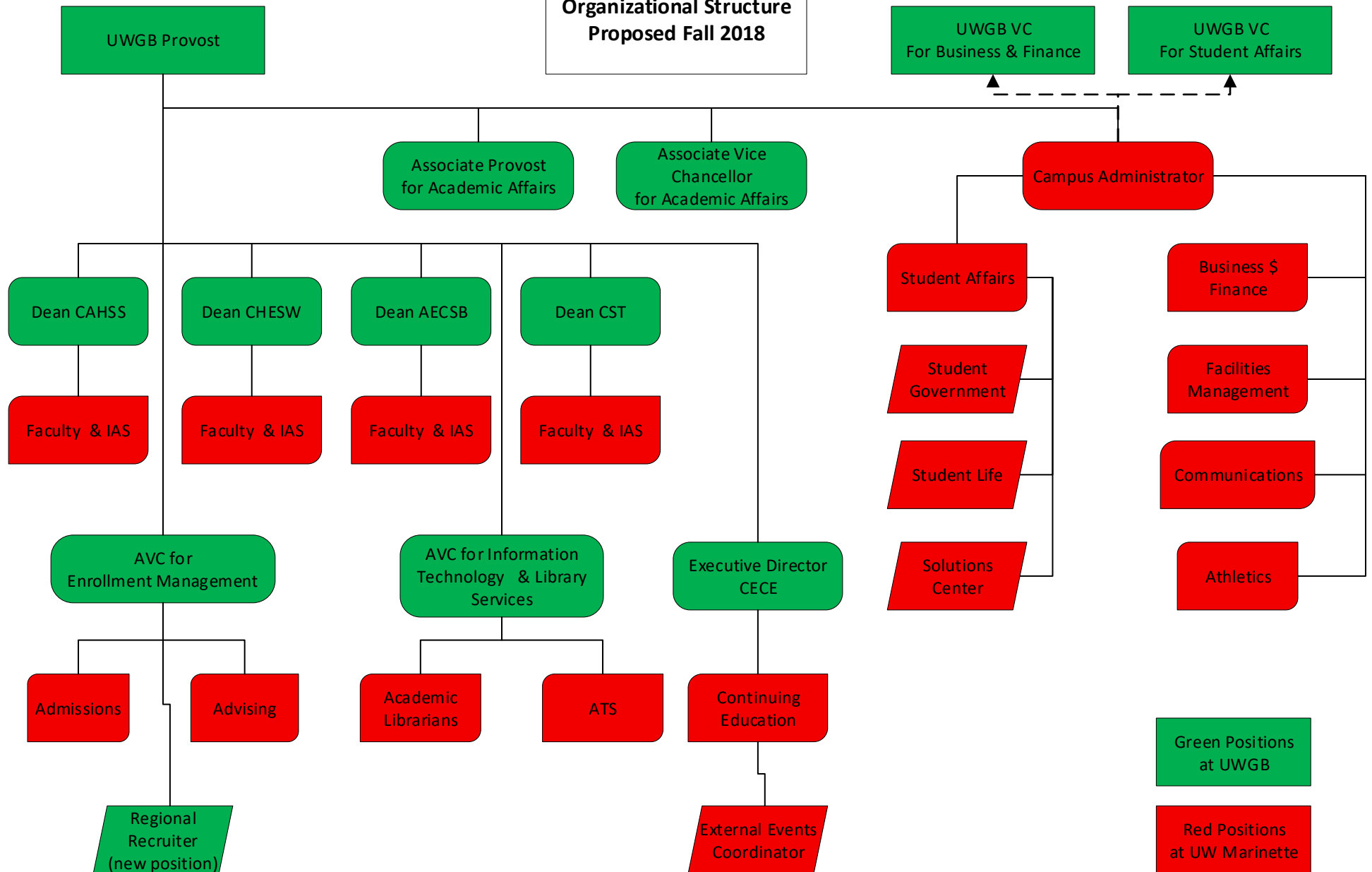




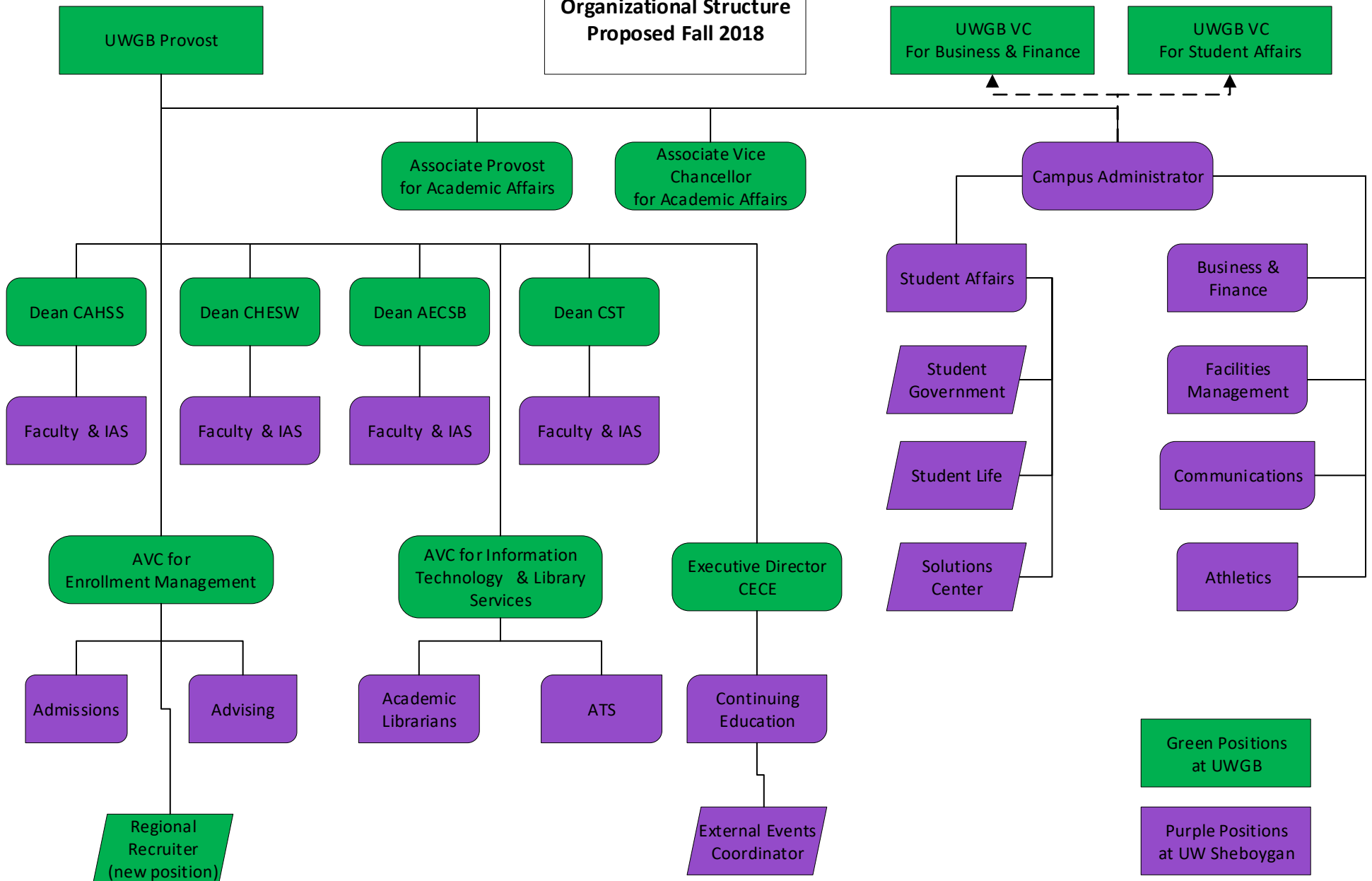
**UW Manitowoc
Organizational Structure
Proposed Fall 2018**

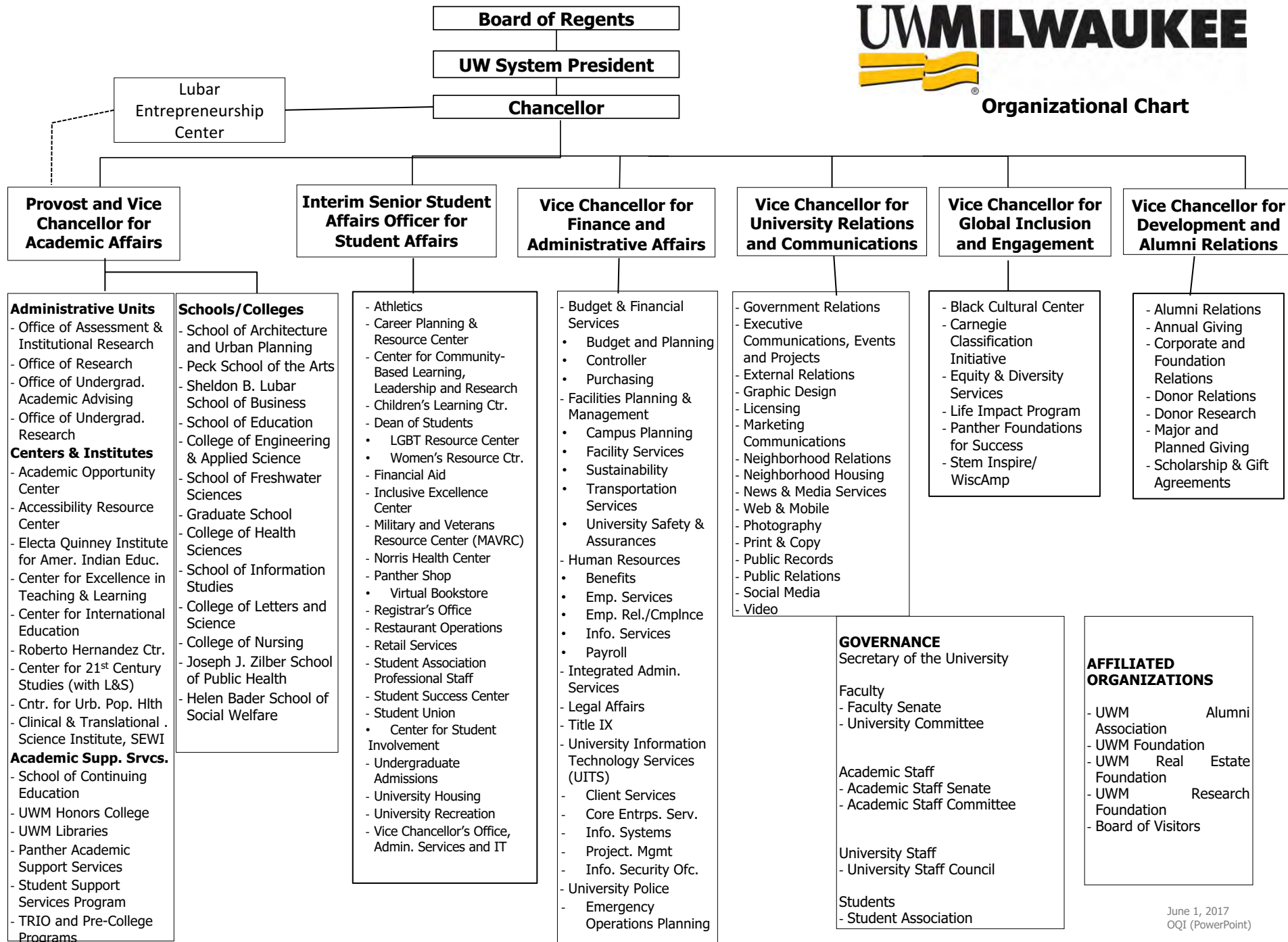


**UW Marinette
Organizational Structure
Proposed Fall 2018**



**UW Sheboygan
Organizational Structure
Proposed Fall 2018**

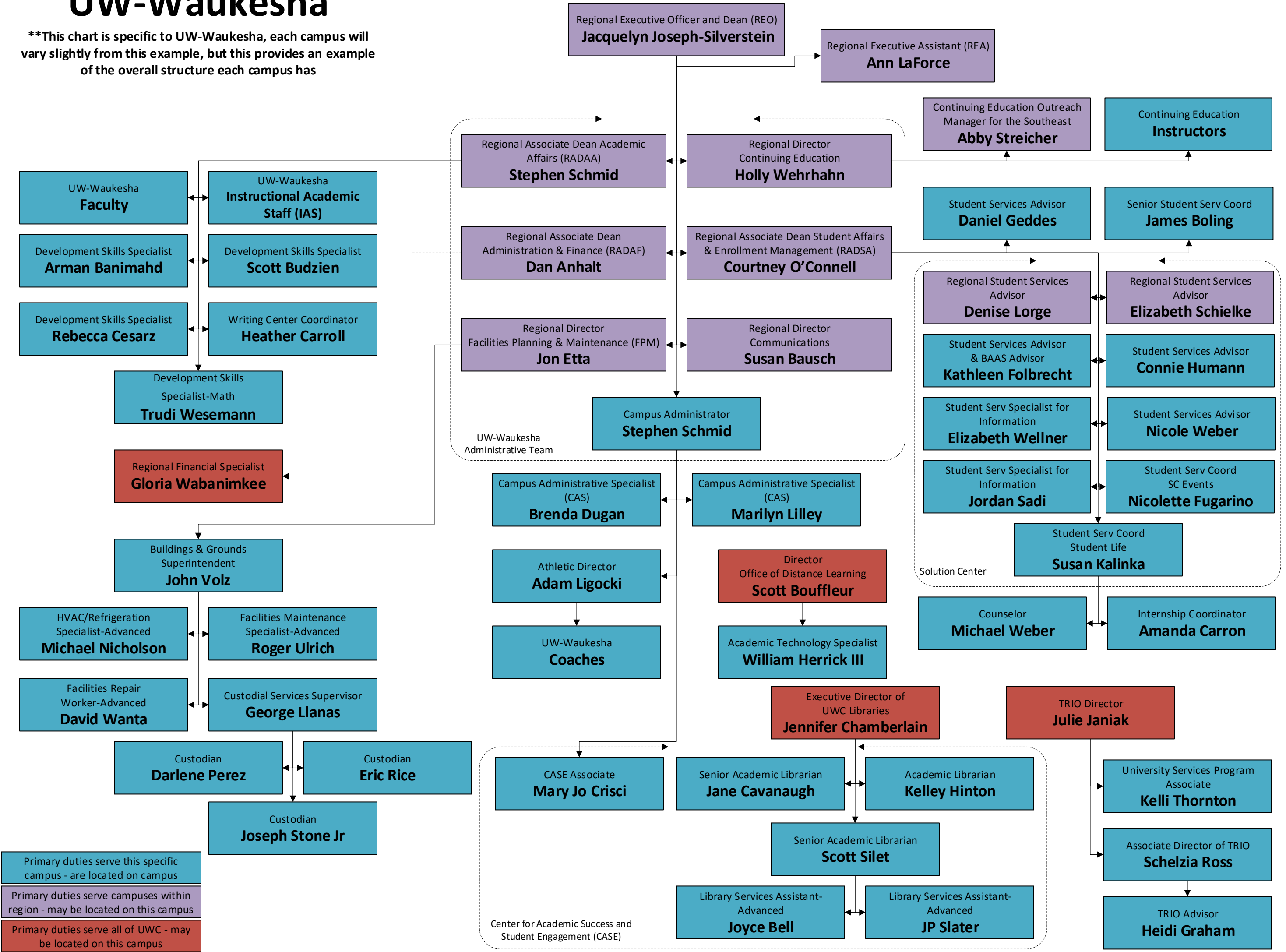




UW-Waukesha

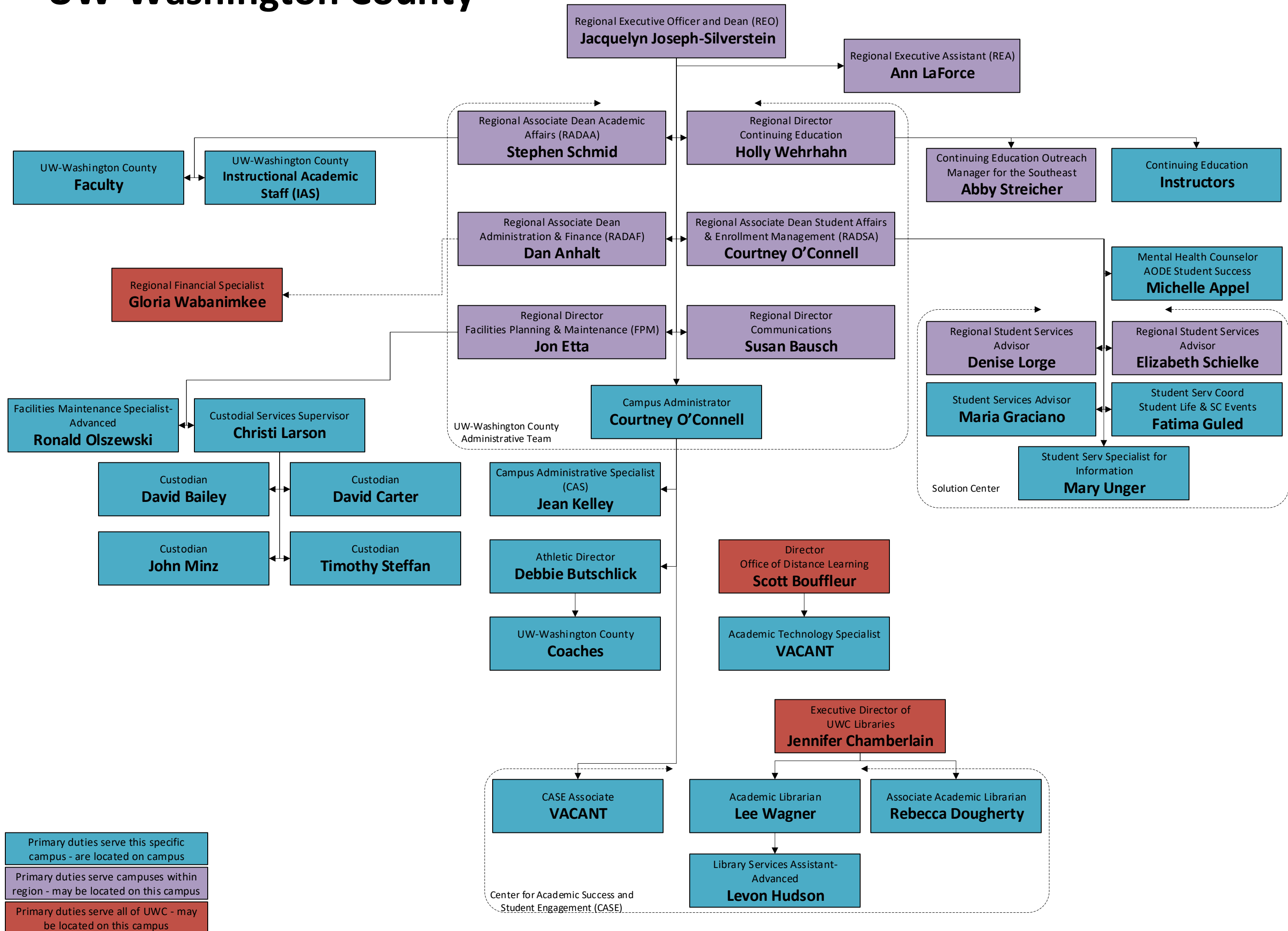
Updated 06/15/2017

****This chart is specific to UW-Waukesha, each campus will vary slightly from this example, but this provides an example of the overall structure each campus has**

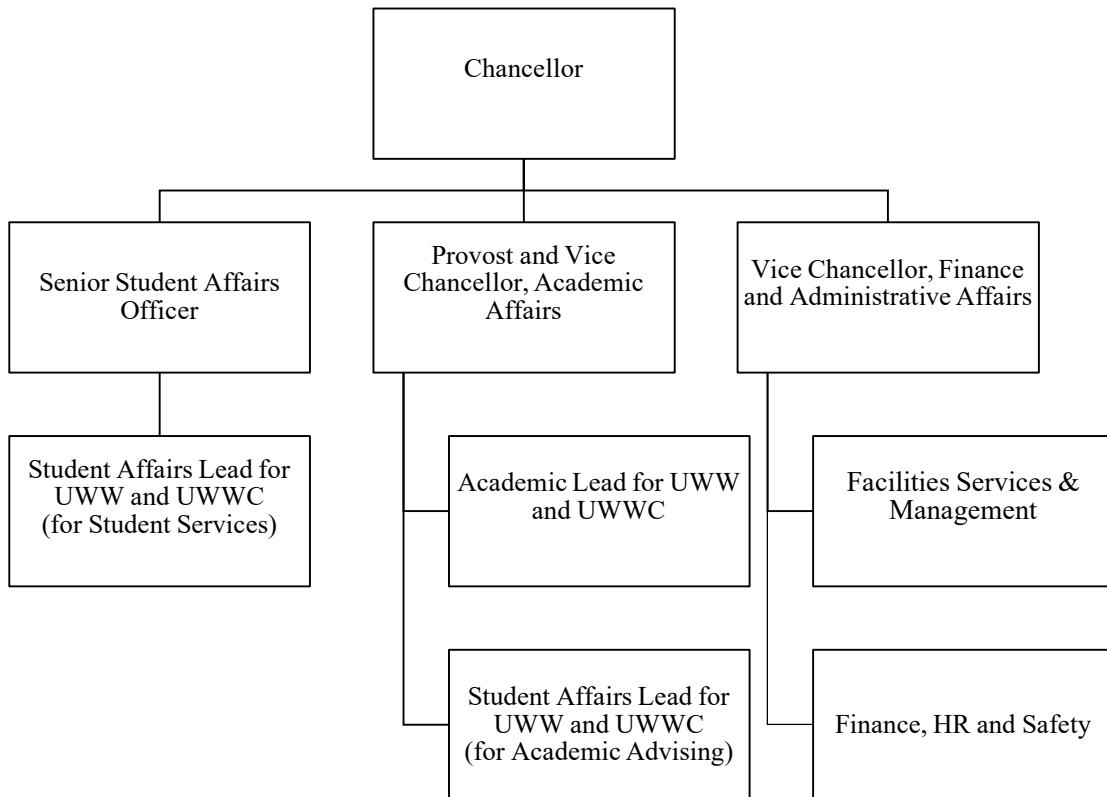


UW-Washington County

Updated 06/15/2017



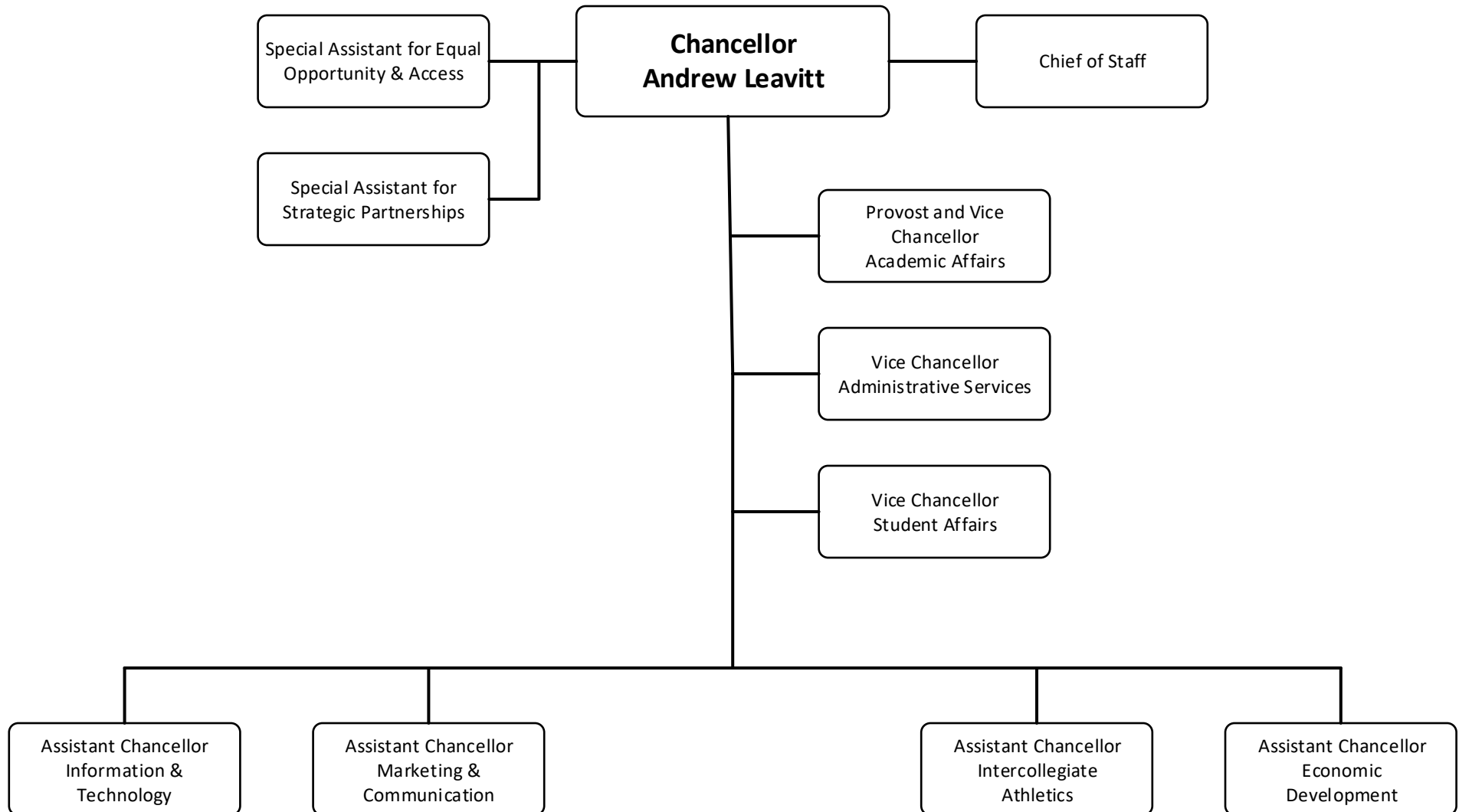
UWM Organizational Chart for UWW and UWWC



UW Oshkosh Chancellor's Cabinet

Effective December 2017

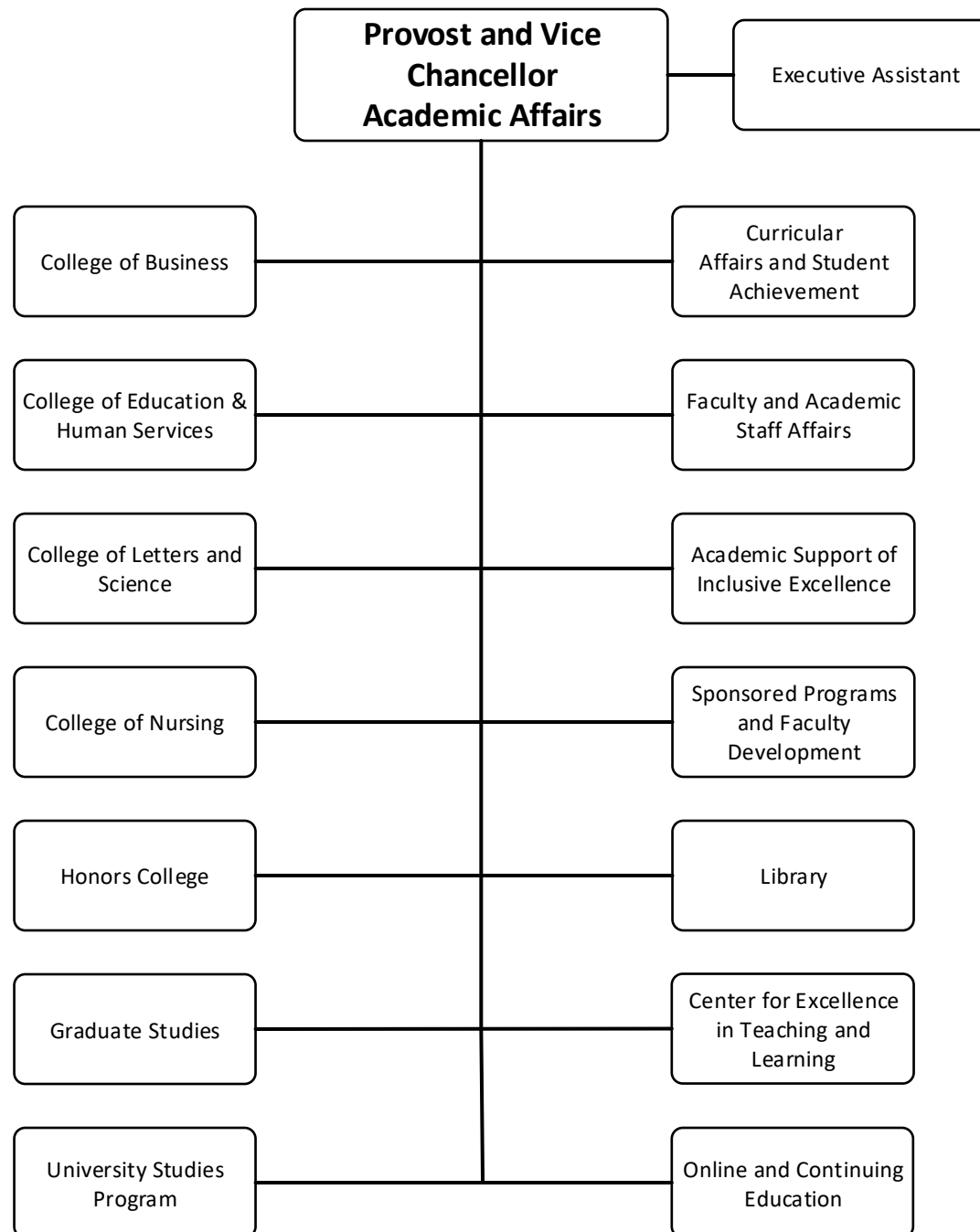
December 2017 HLC Submission

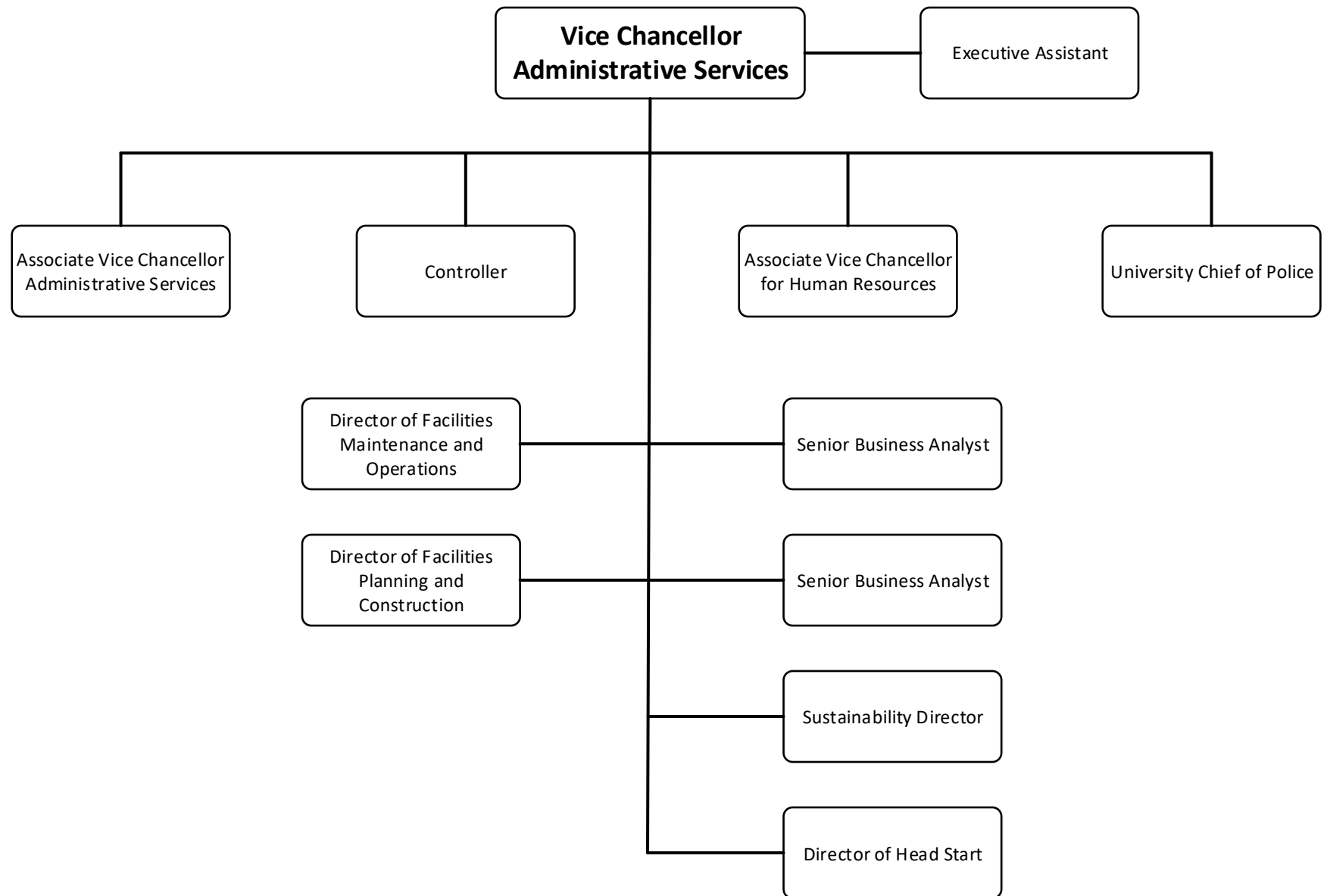


Academic Affairs

Effective December 2017

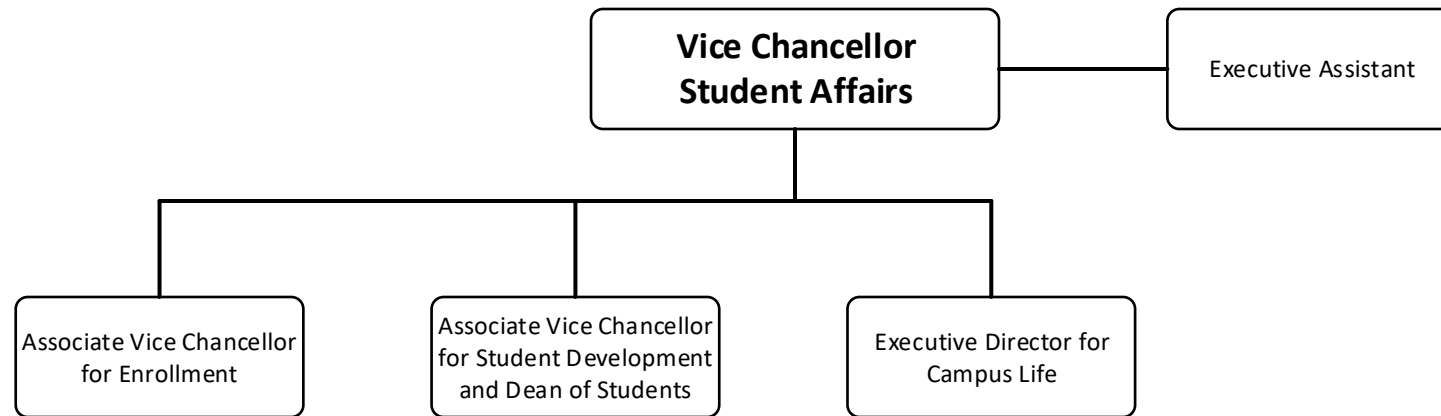
December 2017 HLC Submission

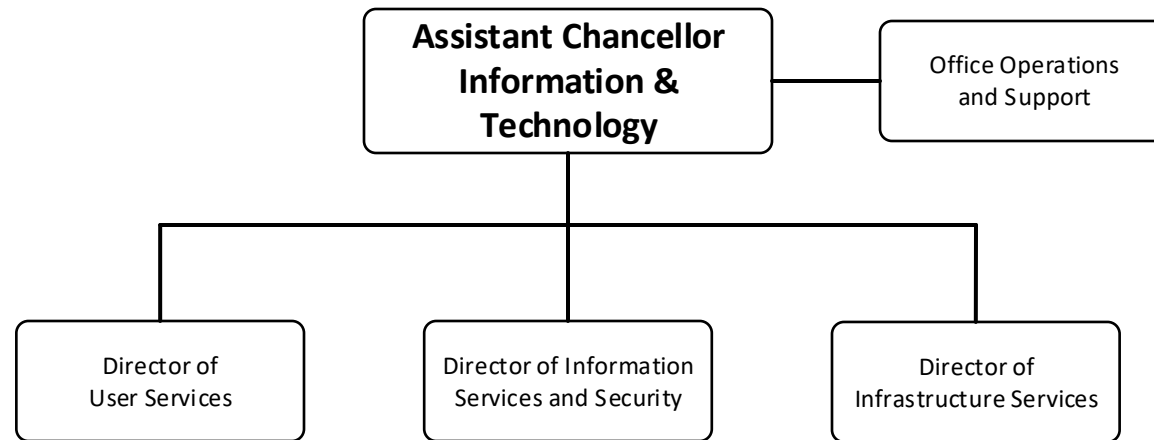




Student Affairs Effective December 2017

December 2017 HLC Submission

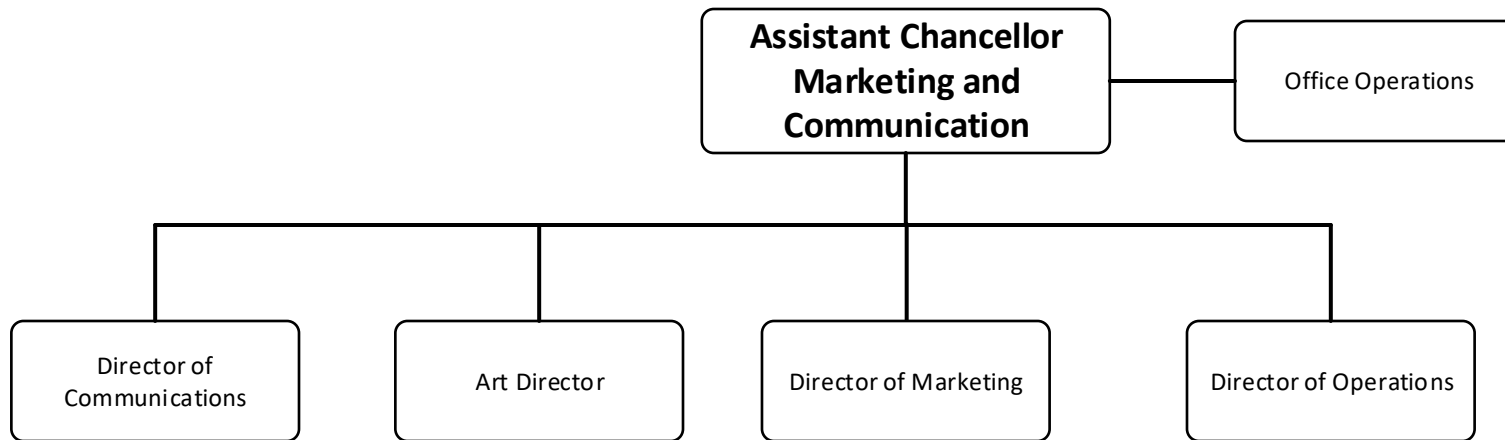




Marketing and Communication

Effective December 2017

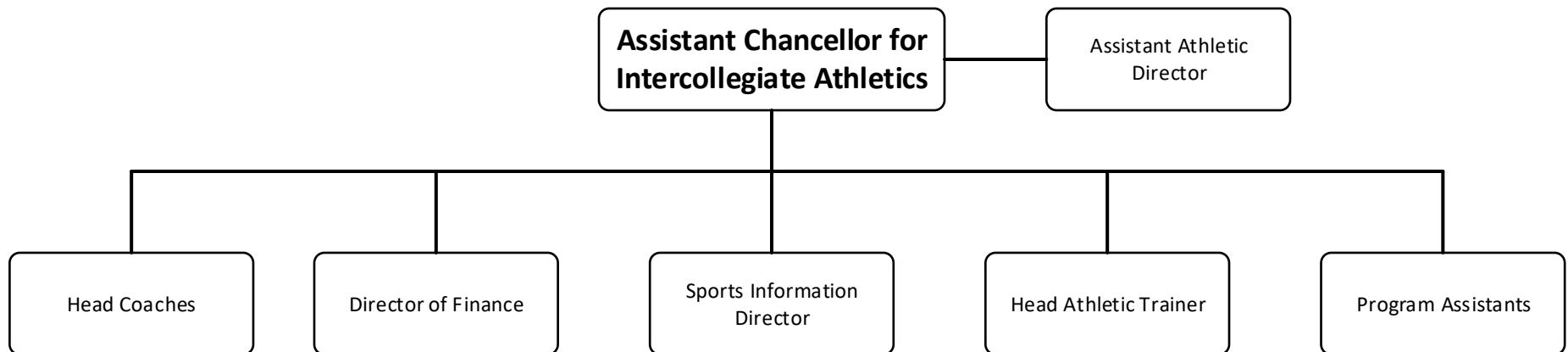
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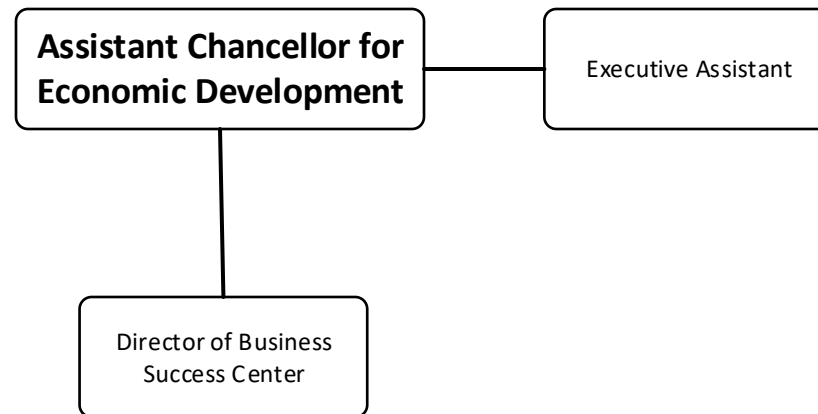


Intercollegiate Athletics

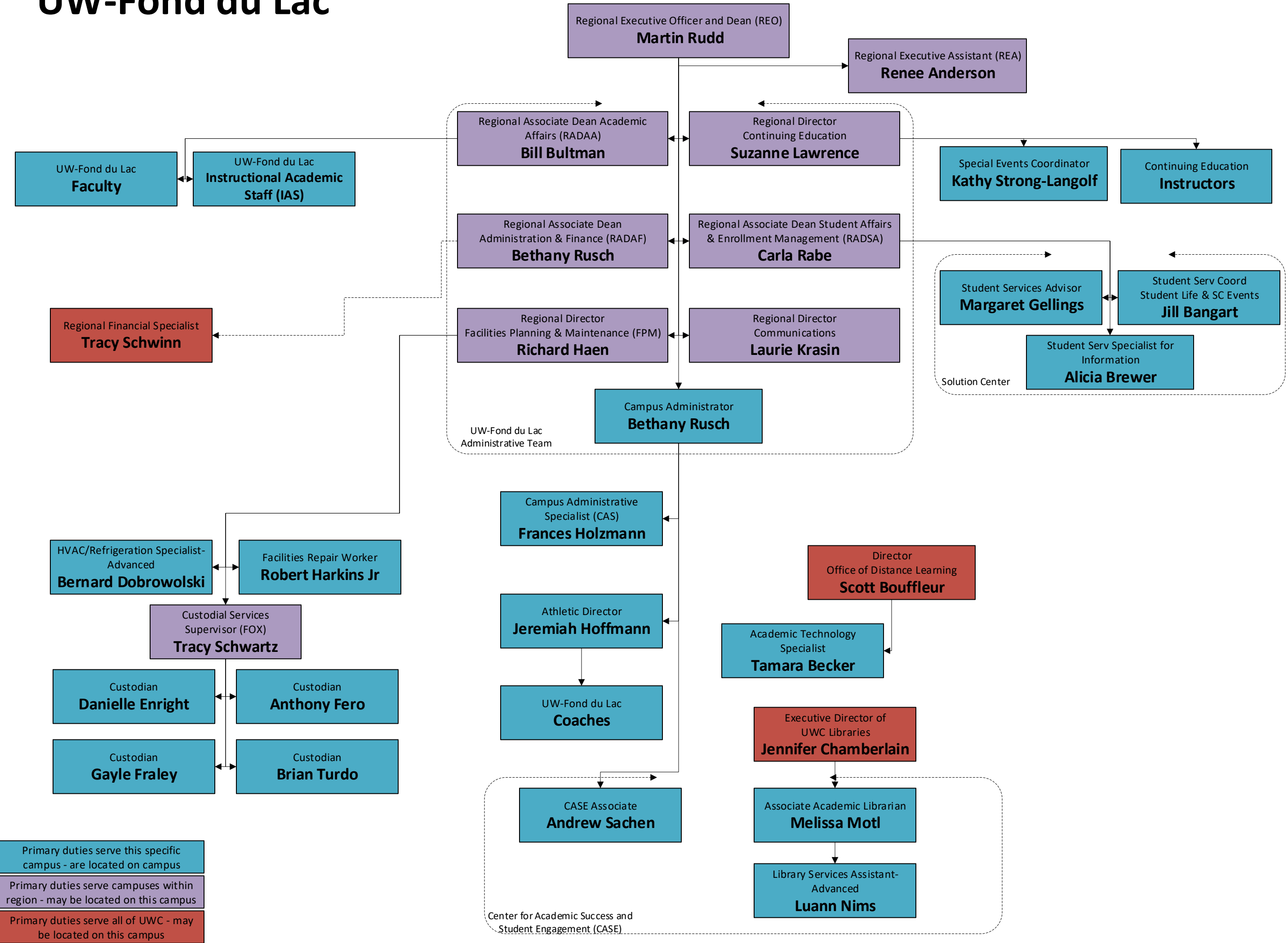
Effective December 2017

December 2017 HLC Submission

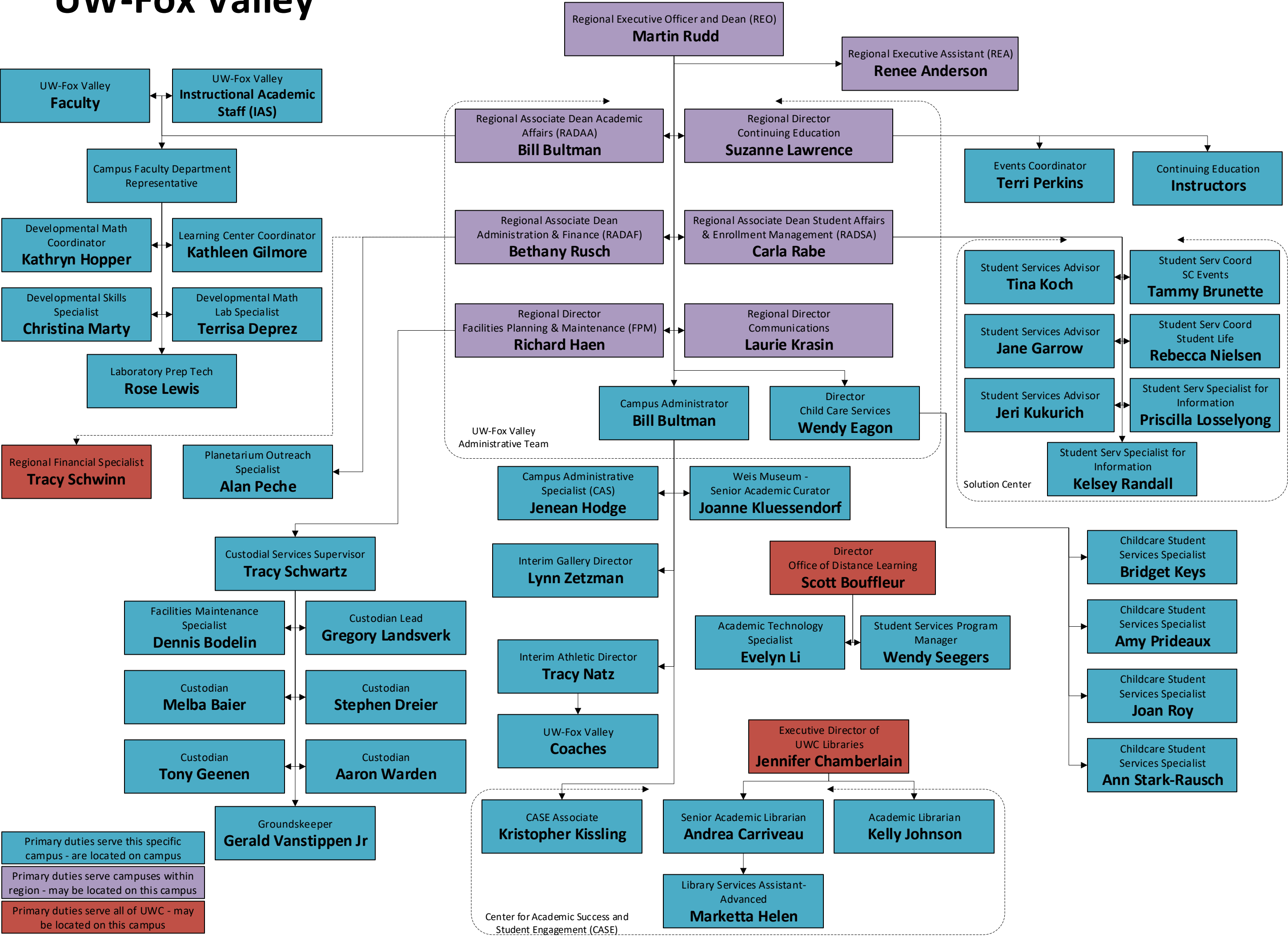




UW-Fond du Lac



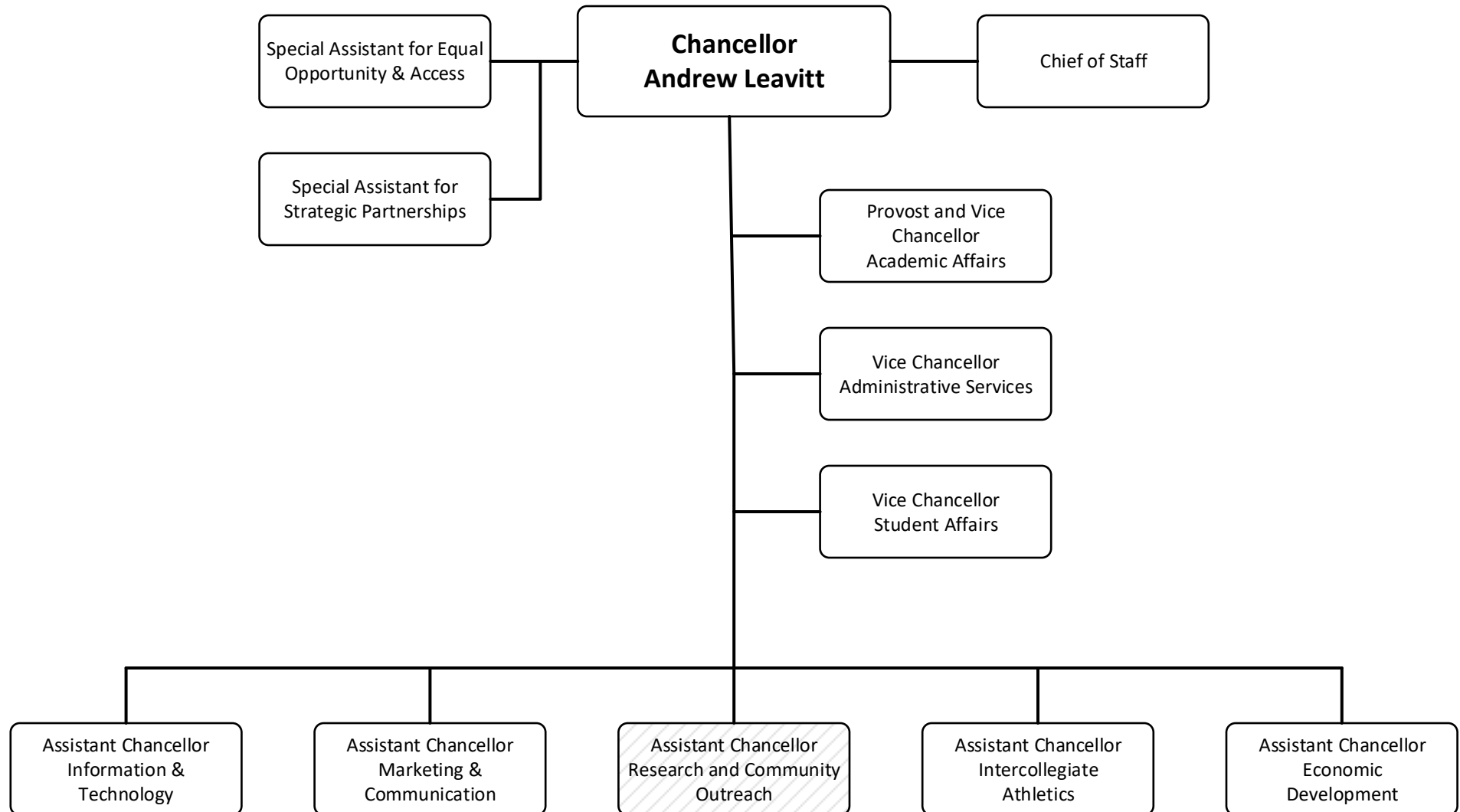
UW-Fox Valley



UW Oshkosh Chancellor's Cabinet

Effective July 2018

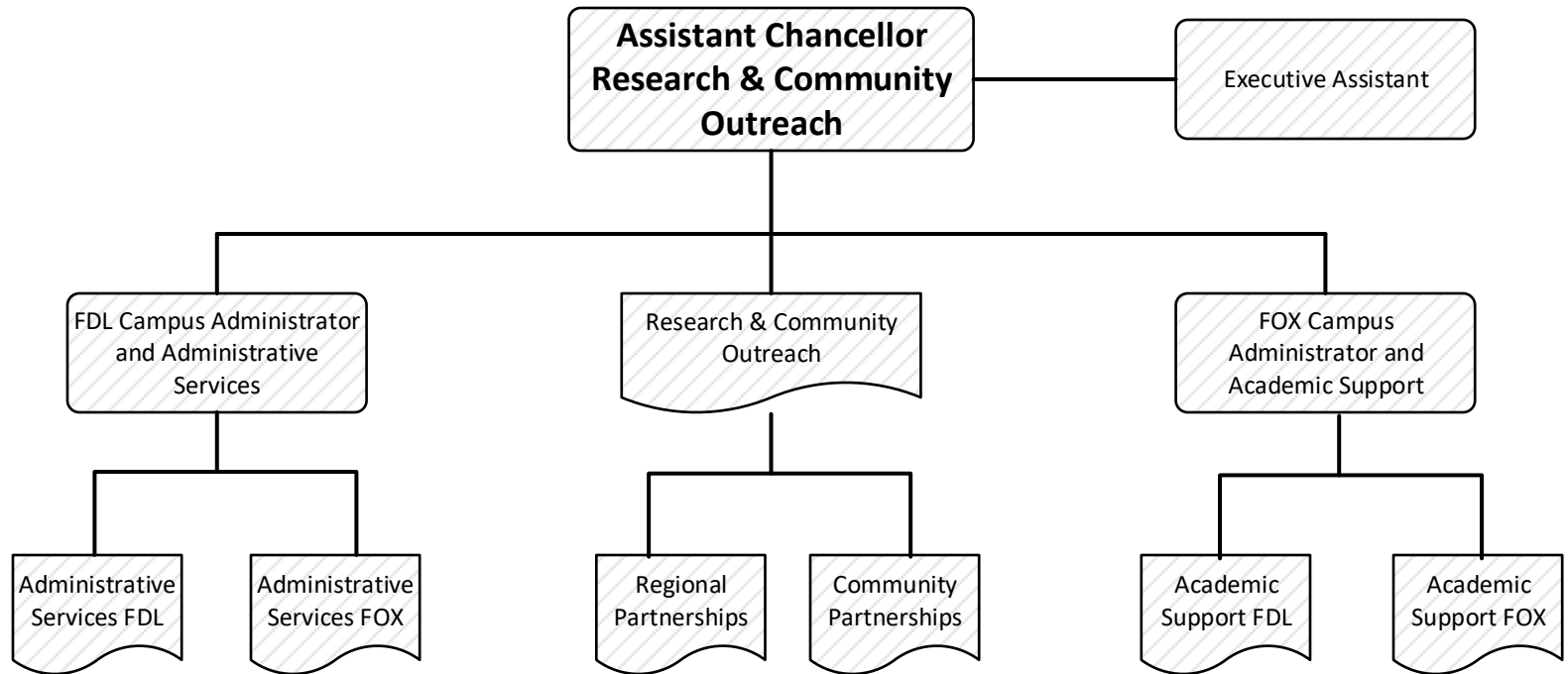
December 2017 HLC Submission



Shade indicates regional
positions integrated effective
July 2018

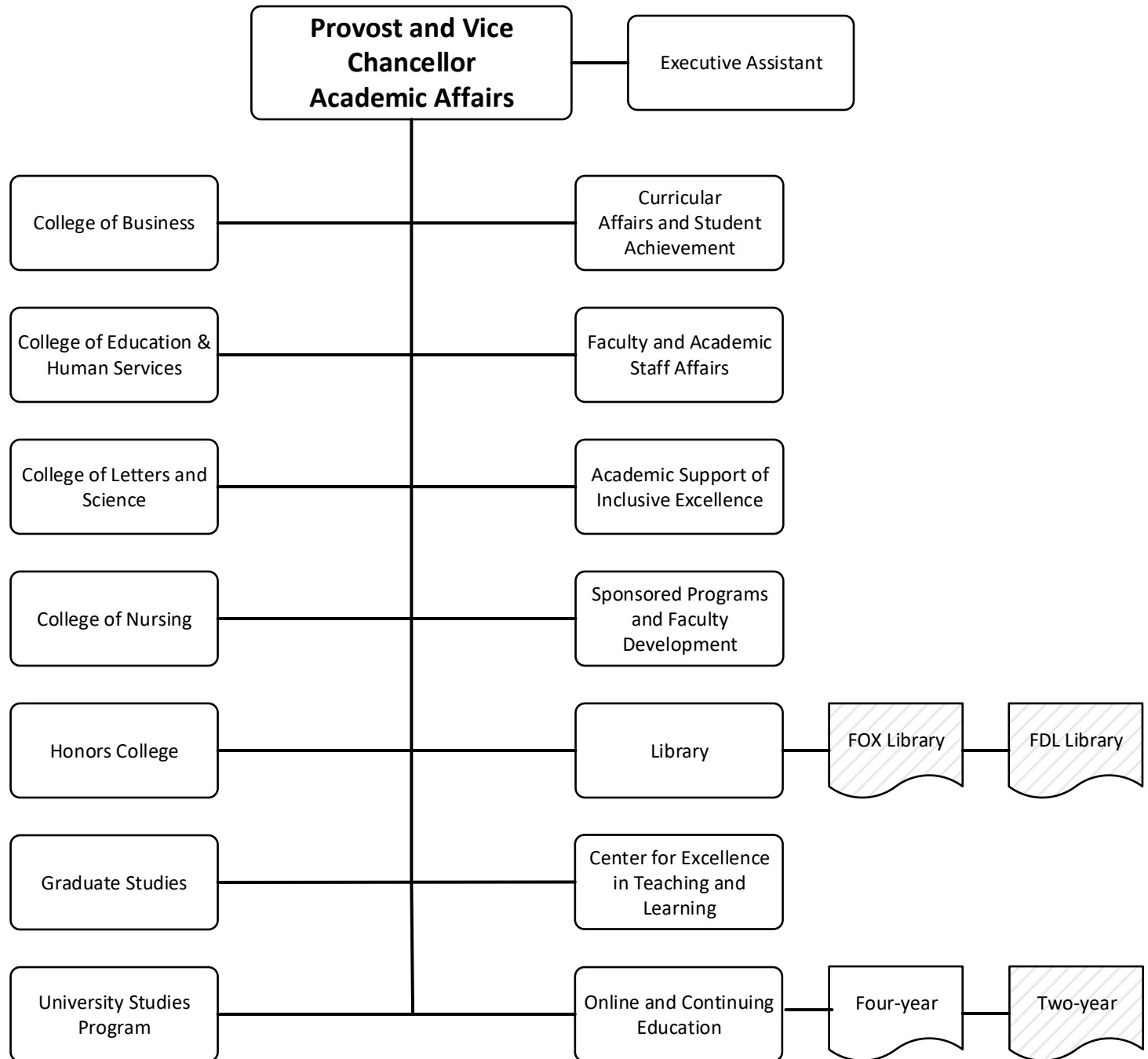
Research and Community Outreach Effective July 2018

December 2017 HLC Submission



Indicates
Function

Shade indicates regional
positions integrated effective
July 2018

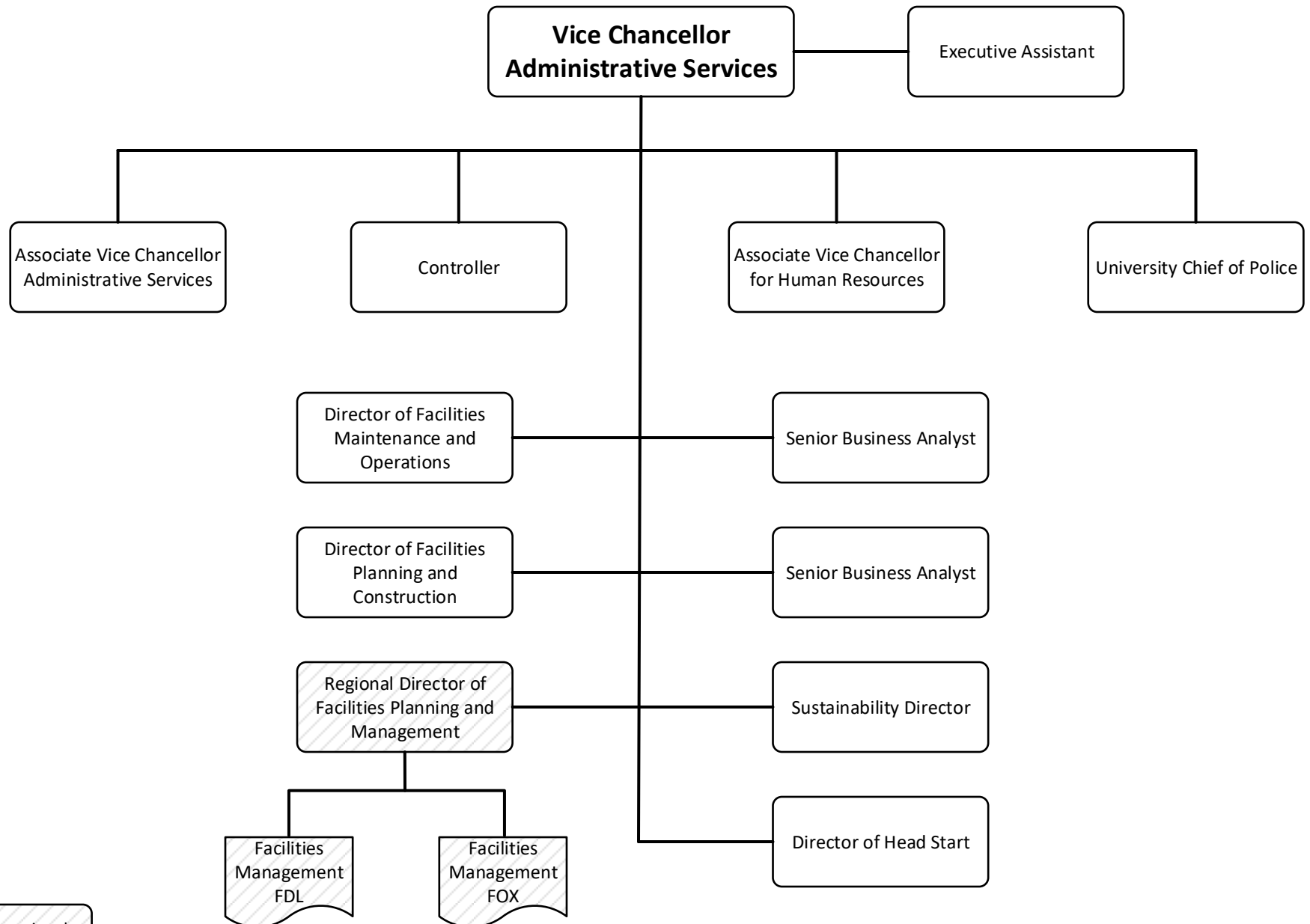


Indicates
Function

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positions integrated effective
July 2018

Administrative Services Effective July 2018

December 2017 HLC Submission

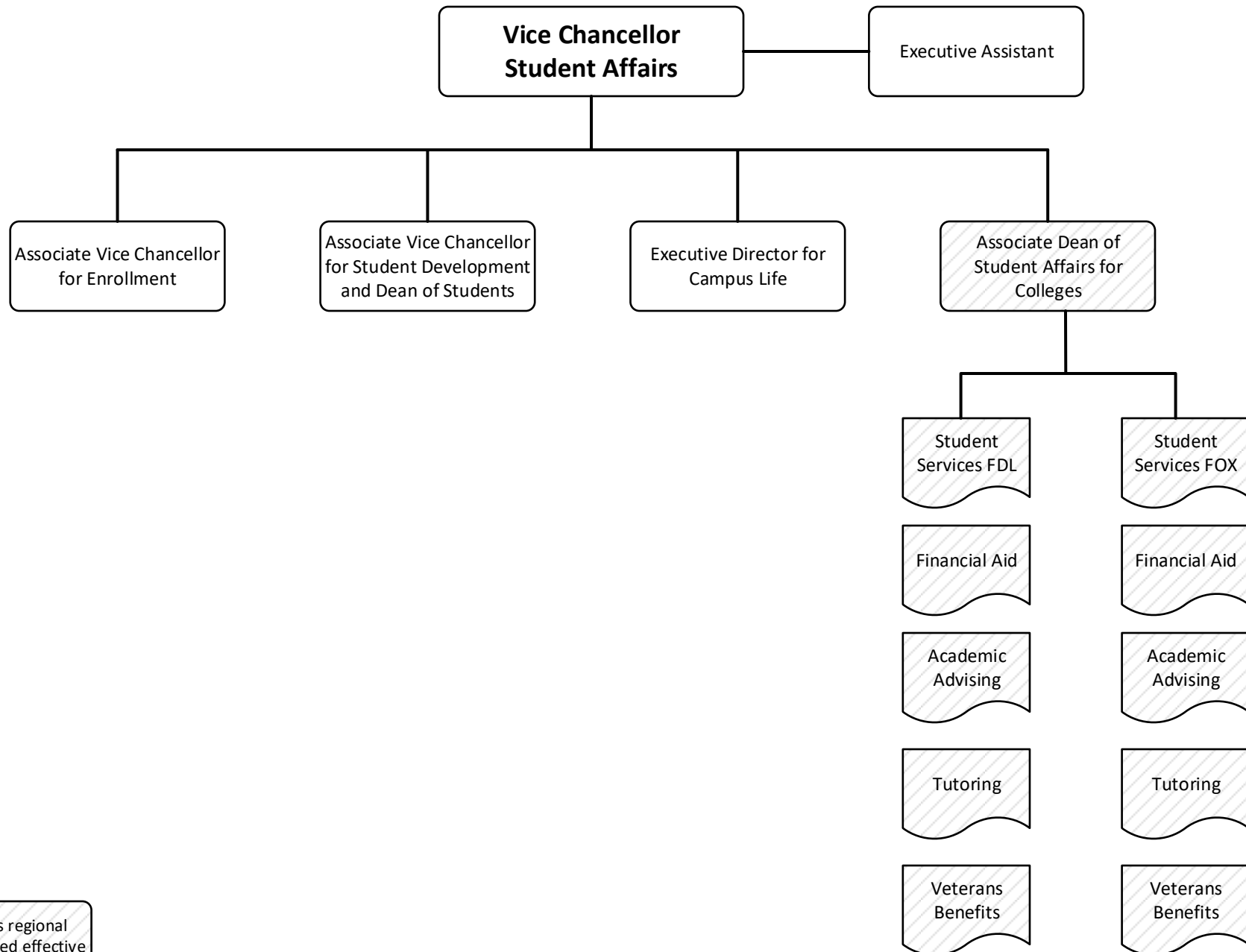


Indicates
Function

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positions integrated effective
July 2018

Student Affairs Effective July 2018

December 2017 HLC Submission

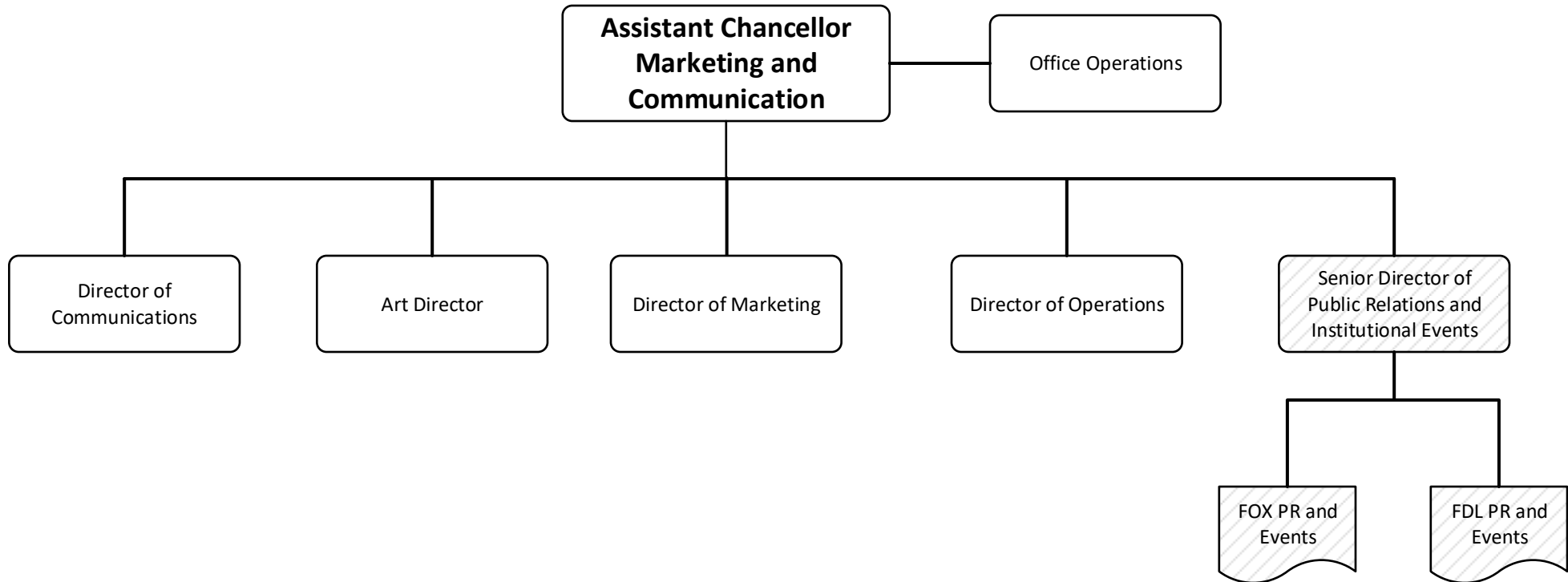


Indicates
Function

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positions integrated effective
July 2018

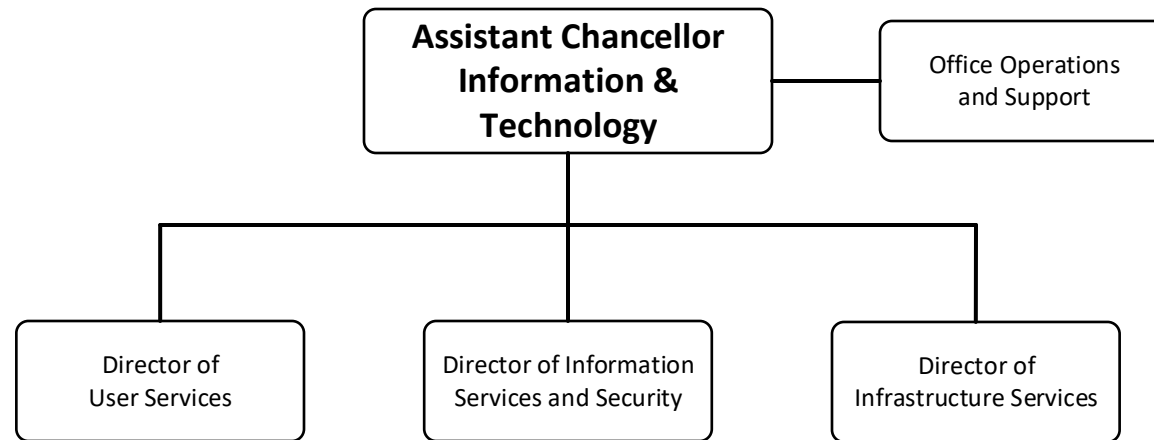
Marketing and Communication Effective July 2018

December 2017 HLC Submission



Indicates
Function

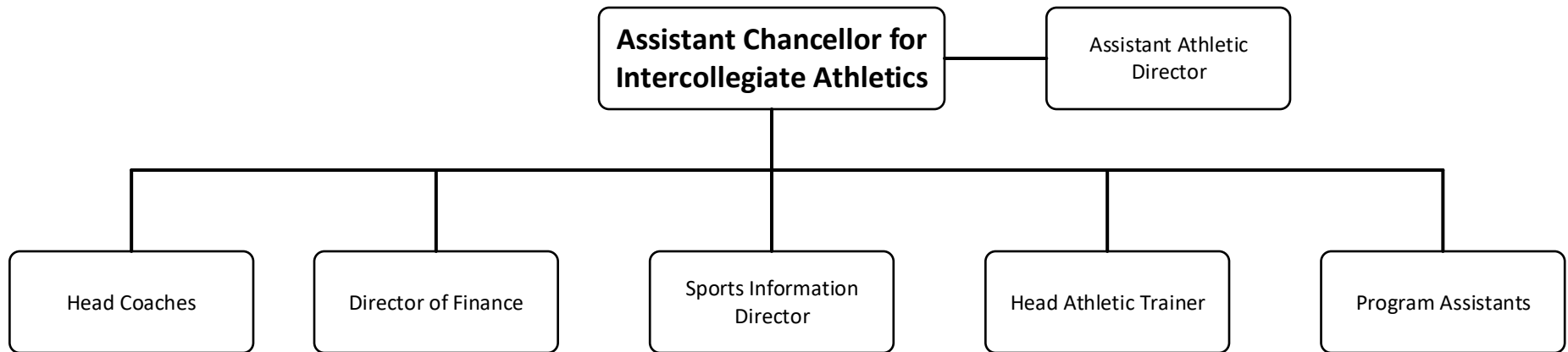
Shade indicates regional
positions integrated effective
July 2018



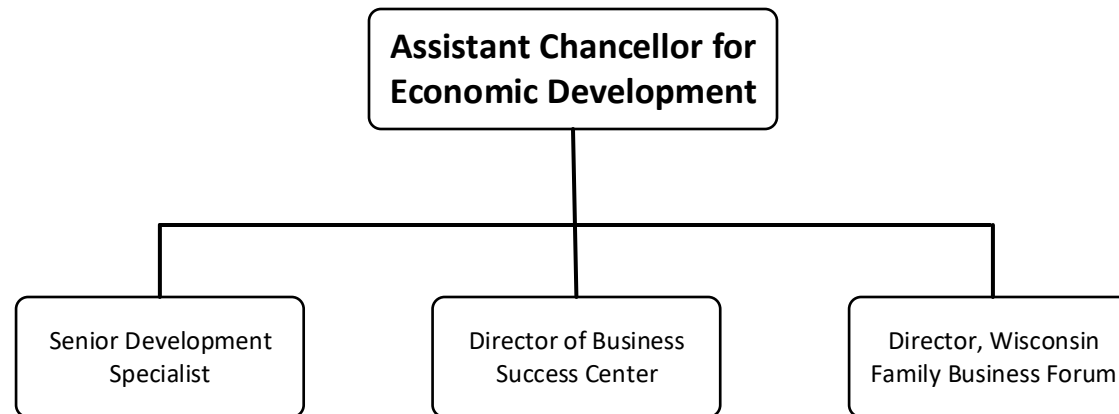
Intercollegiate Athletics

Effective July 2018

December 2017 HLC Submission

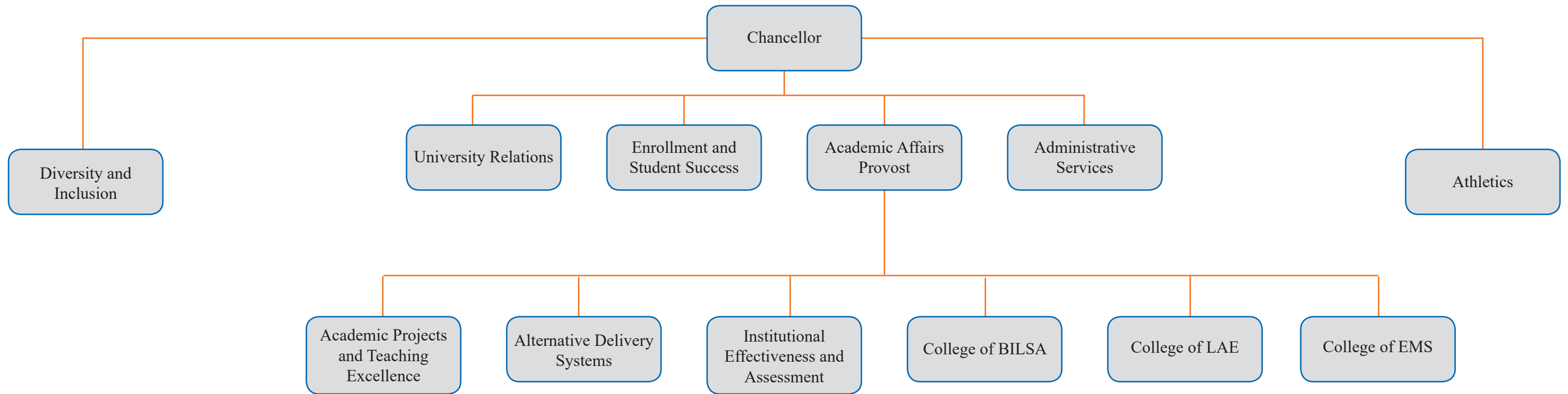


Restructuring changes will be considered pending guidance from the NCAA.

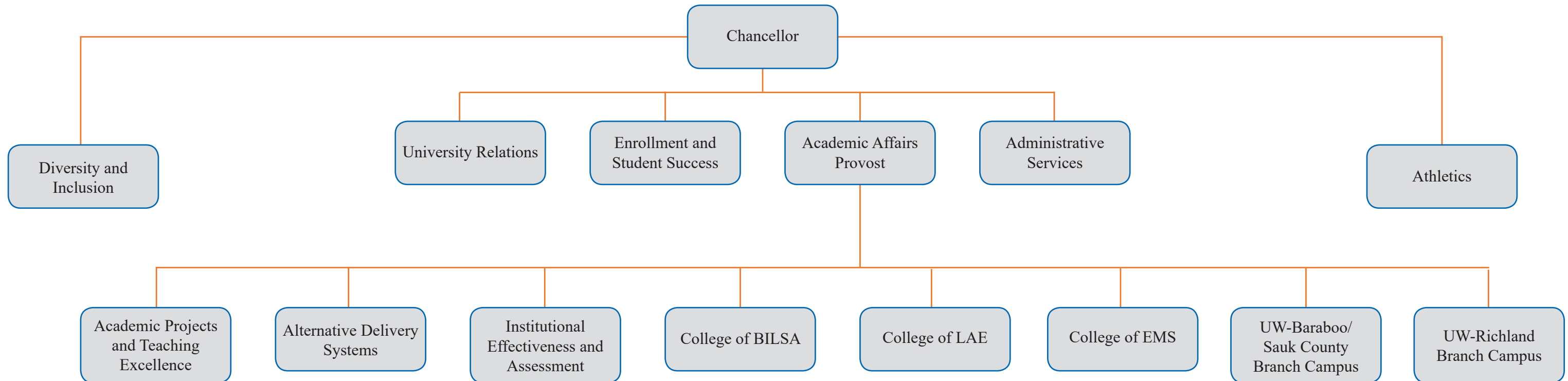




CURRENT STRUCTURE

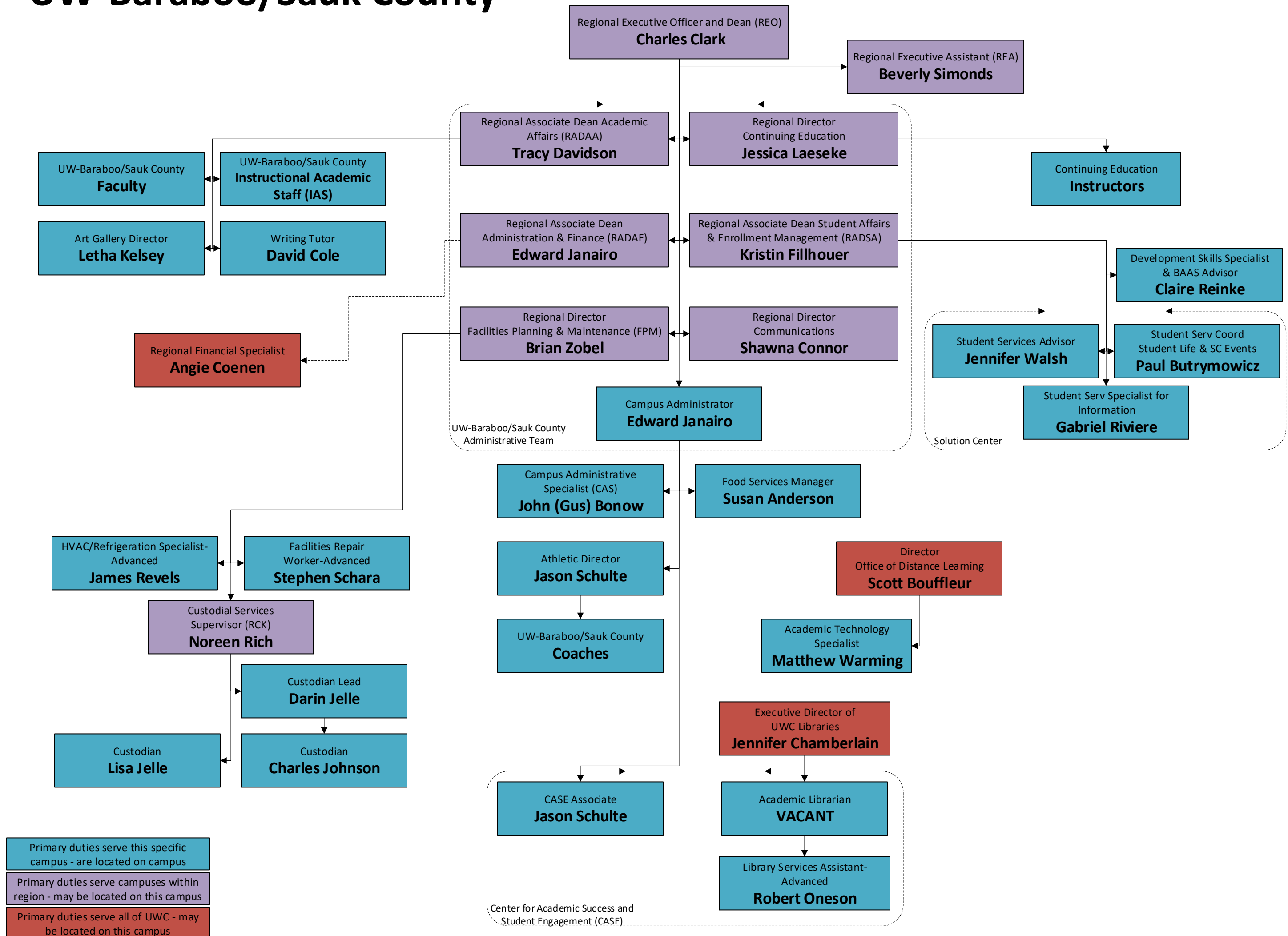


PROPOSED STRUCTURE

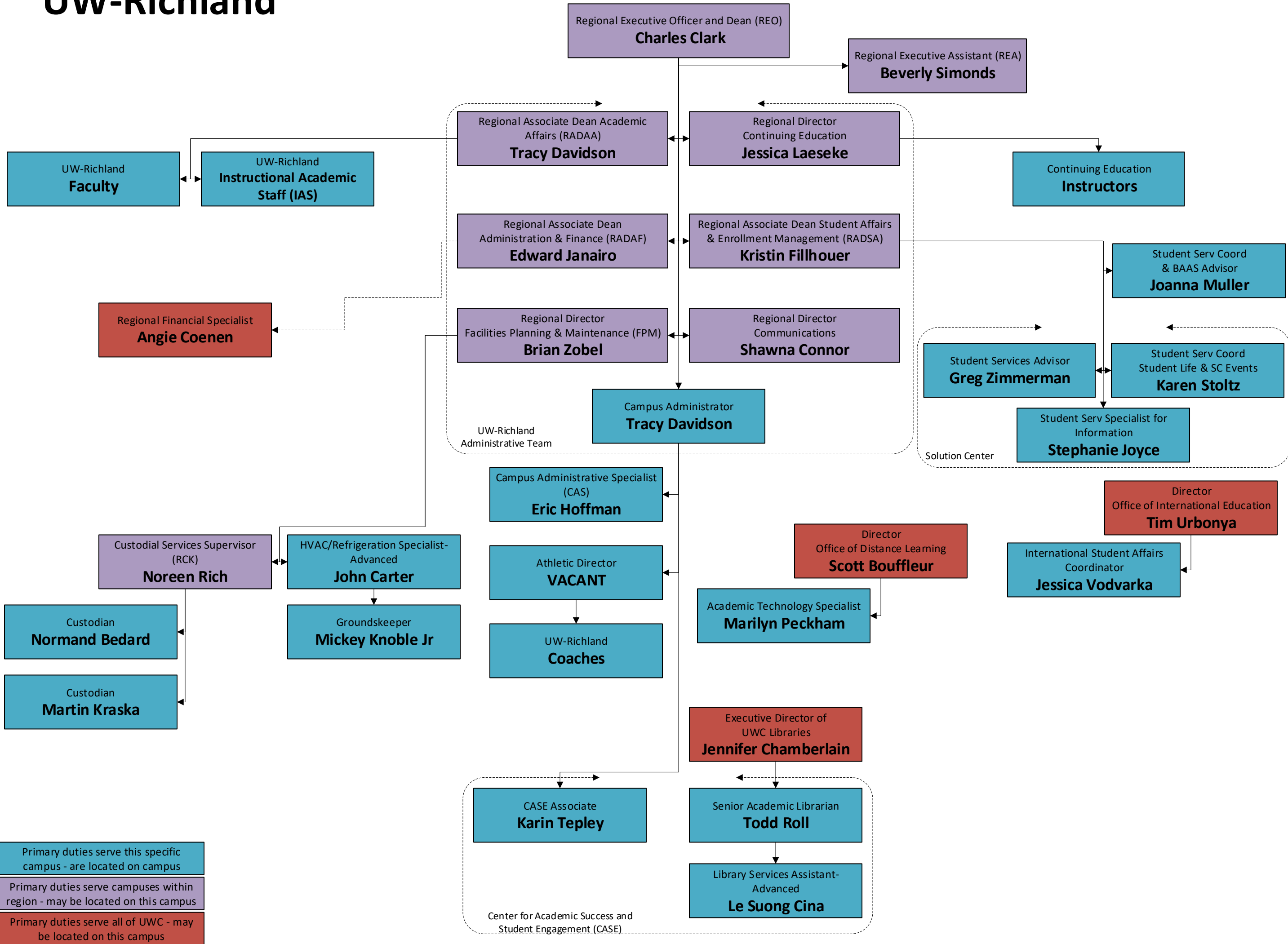


UW-Baraboo/Sauk County

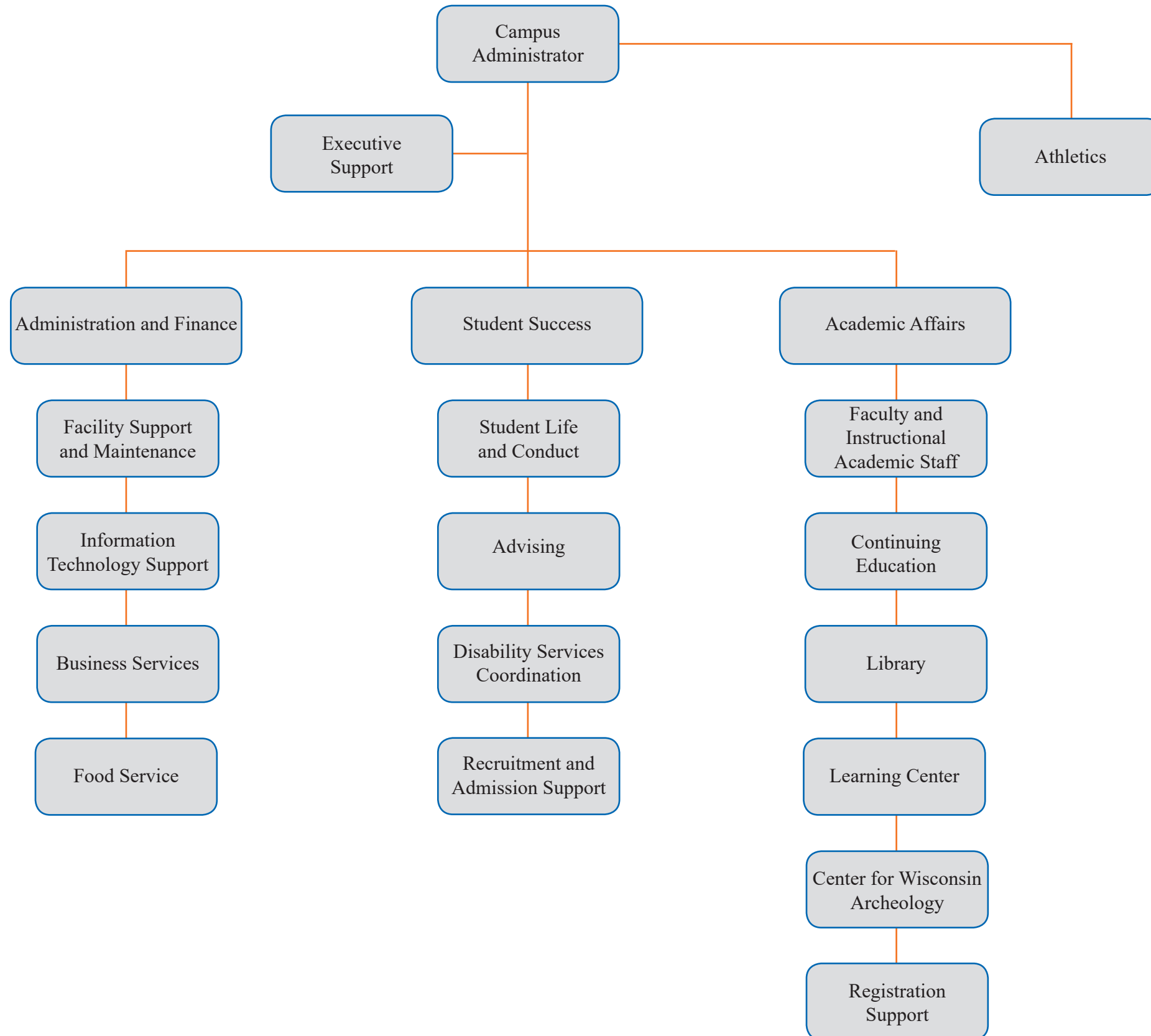
Updated 06/15/2017



UW-Richland



UW-BARABOO/SAUK COUNTY PROPOSED FUNCTIONAL STRUCTURE



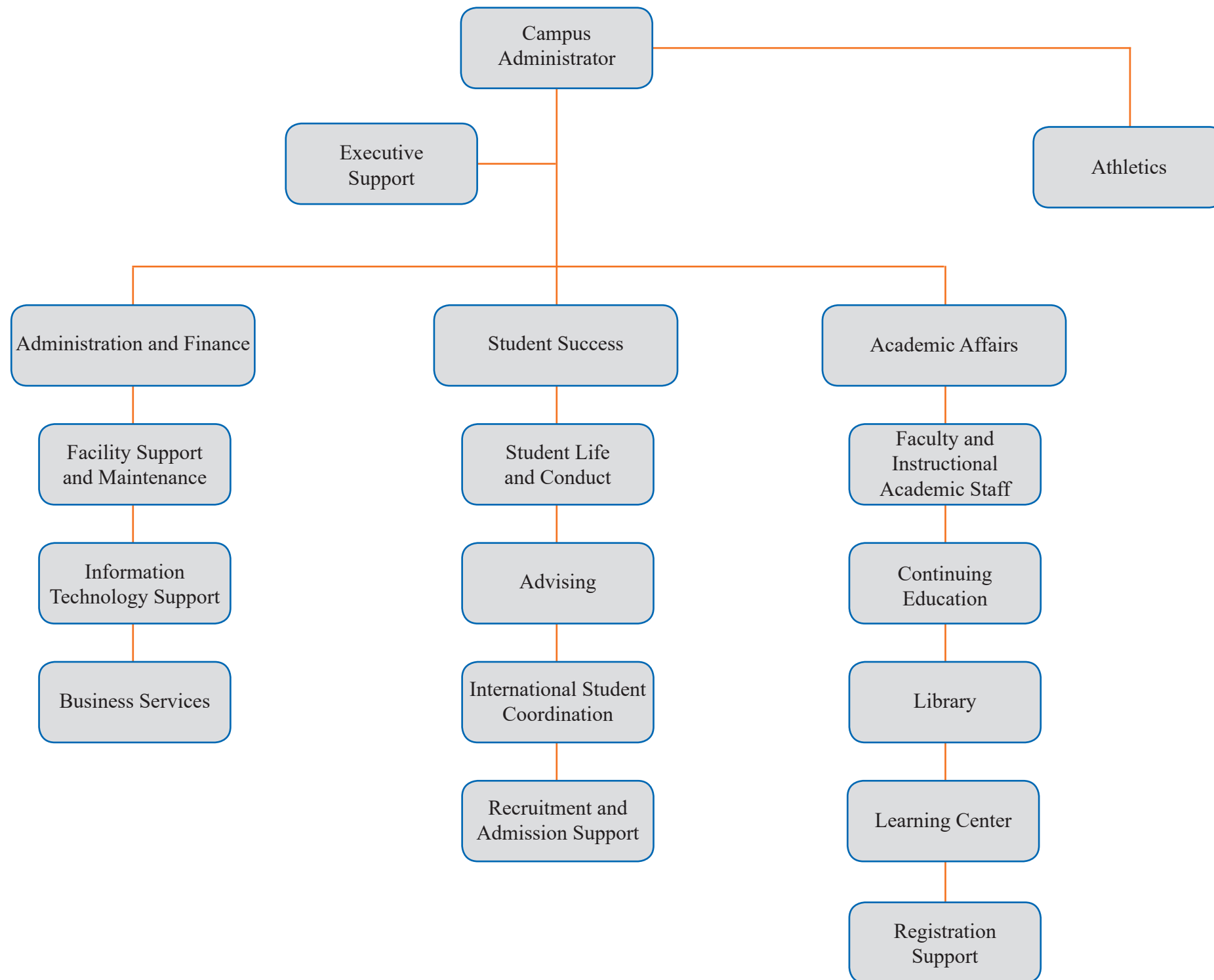
CURRENTLY CONTRACTED SERVICES WILL CONTINUE

- Bookstore
- Housing/Residence Life

SERVICES PROVIDED BY UW-PLATTEVILLE CAMPUS

- Communications
- Marketing
- Development
- Information Technology Services
- Facility Planning and Oversight
- Business Services
- Human Resources
- Recruitment/Admission
- Student Services
 - Veterans Affairs
 - Financial Aid
 - Disability Services
 - Registration
 - Dean of Students

UW-RICHLAND PROPOSED FUNCTIONAL STRUCTURE



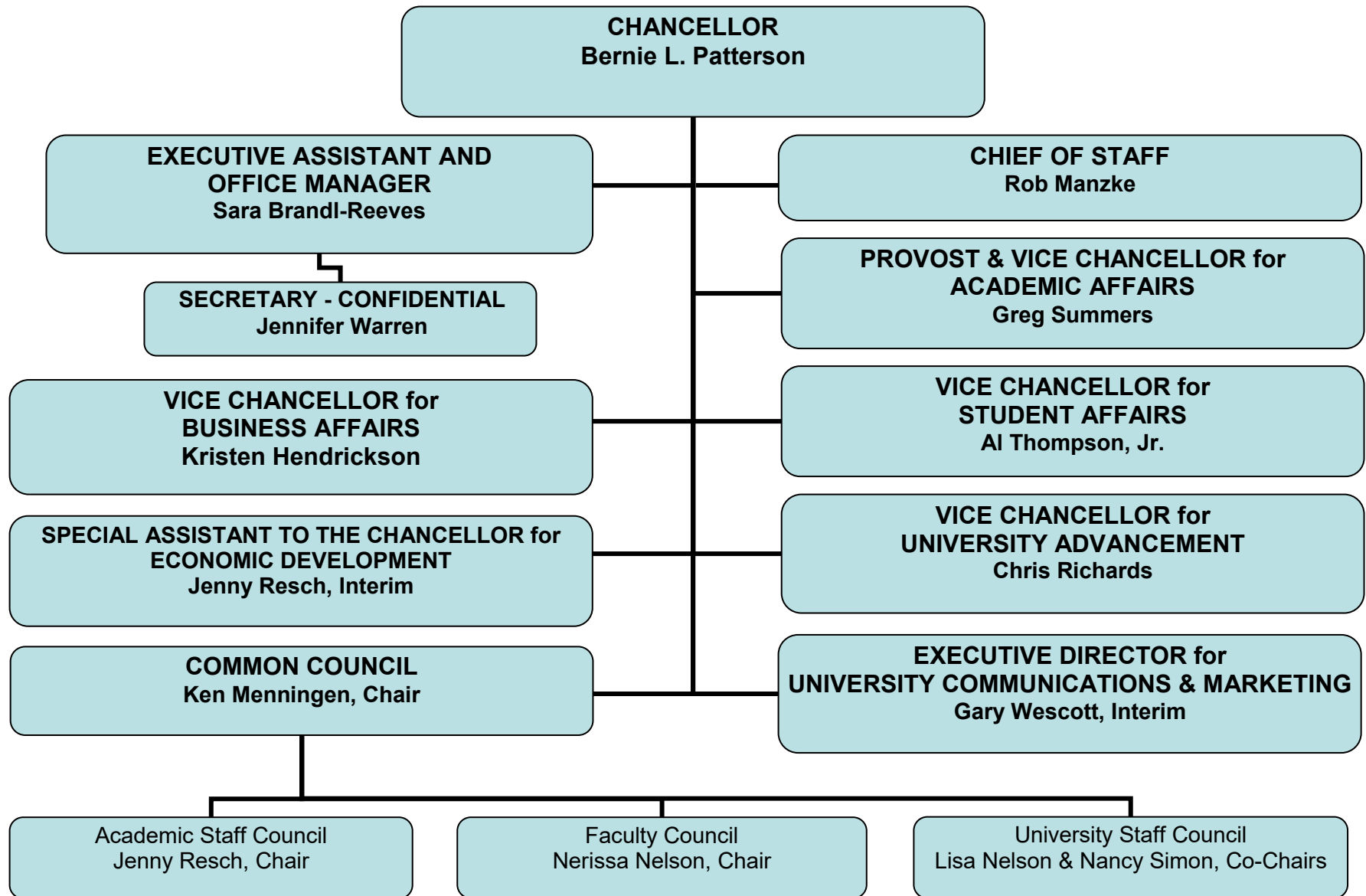
CURRENTLY CONTRACTED SERVICES WILL CONTINUE UNTIL FURTHER EVALUATION

- Bookstore
- Food Service
- Housing/Residence Life

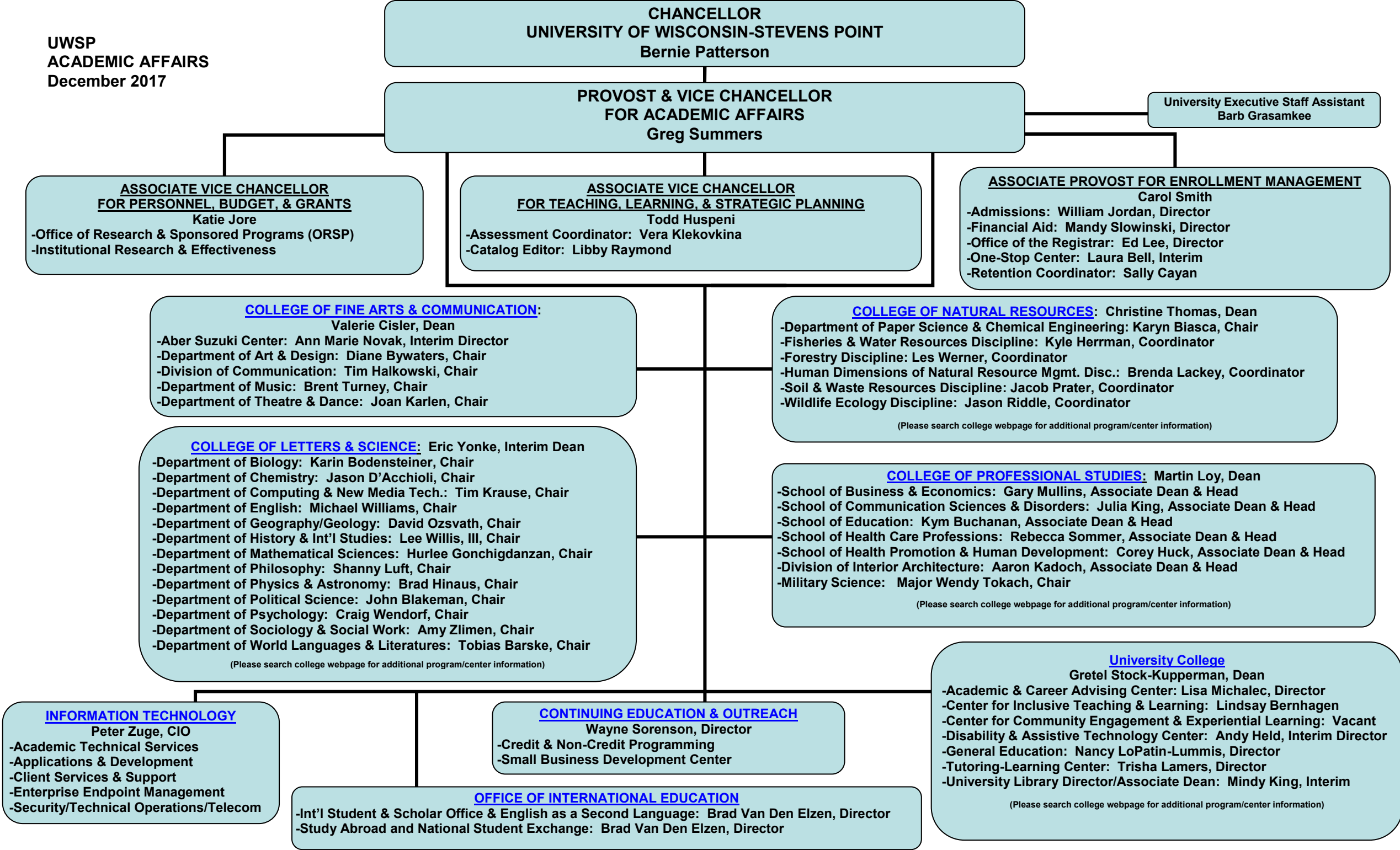
SERVICES PROVIDED BY UW-PLATTEVILLE CAMPUS

- Communications
- Marketing
- Development
- Information Technology Services
- Facility Planning and Oversight
- Business Services
- Human Resources
- Recruitment/Admission
- Student Services
 - Veterans Affairs
 - Financial Aid
 - Disability Services
 - Registration
 - Dean of Students

UNIVERSITY OF WISCONSIN – STEVENS POINT
EXECUTIVE OFFICE
October, 2016

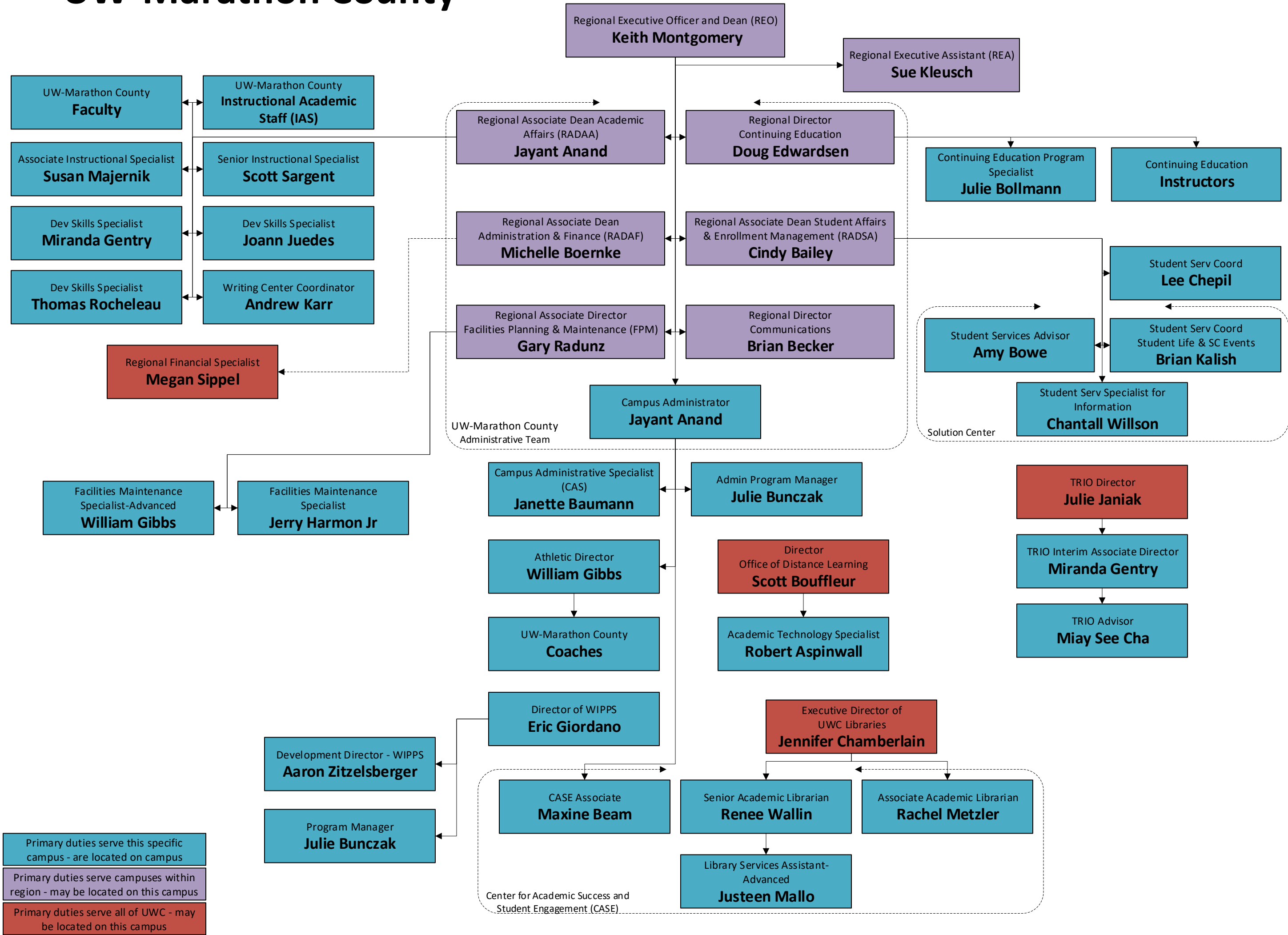


UWSP
ACADEMIC AFFAIRS
December 2017



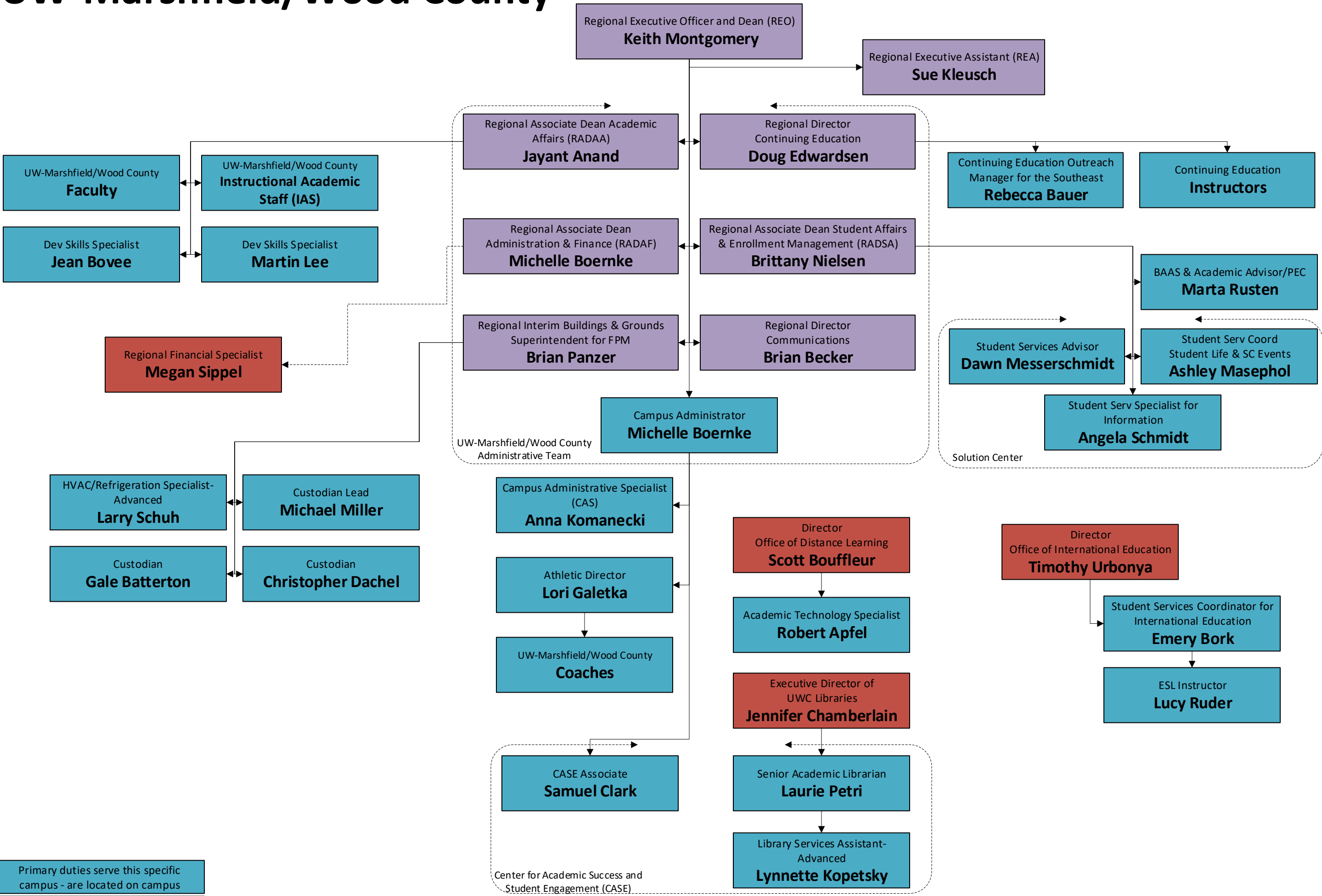
UW-Marathon County

Updated 06/15/2017



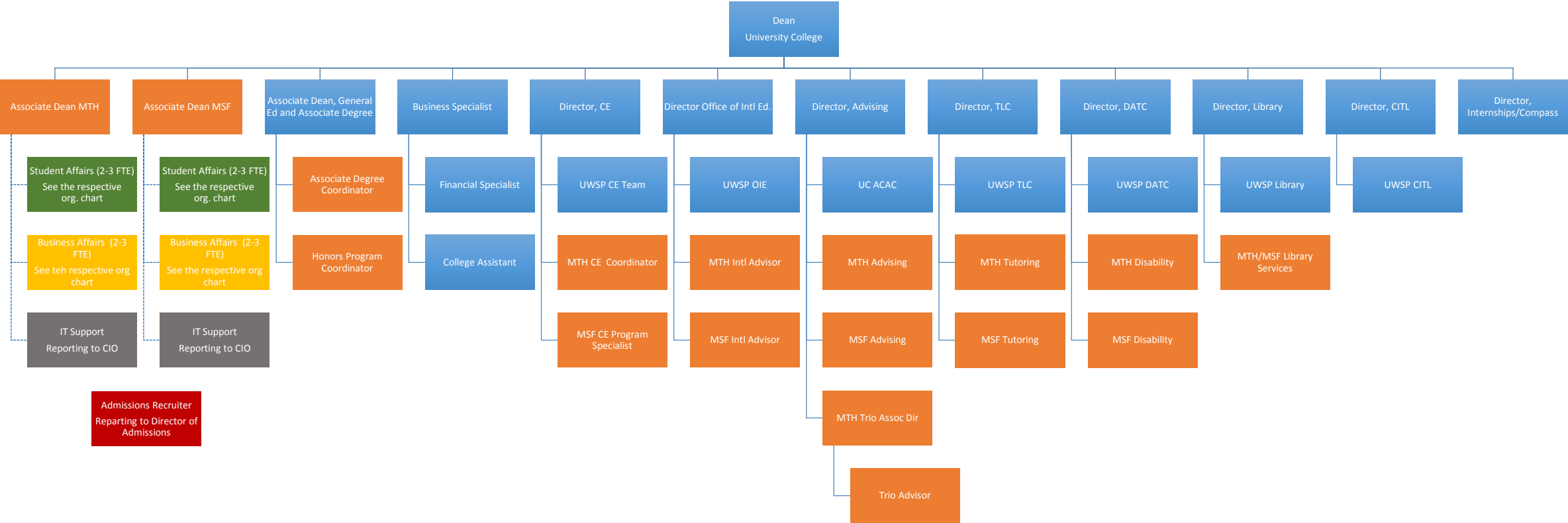
UW-Marshfield/Wood County

Updated 06/15/2017



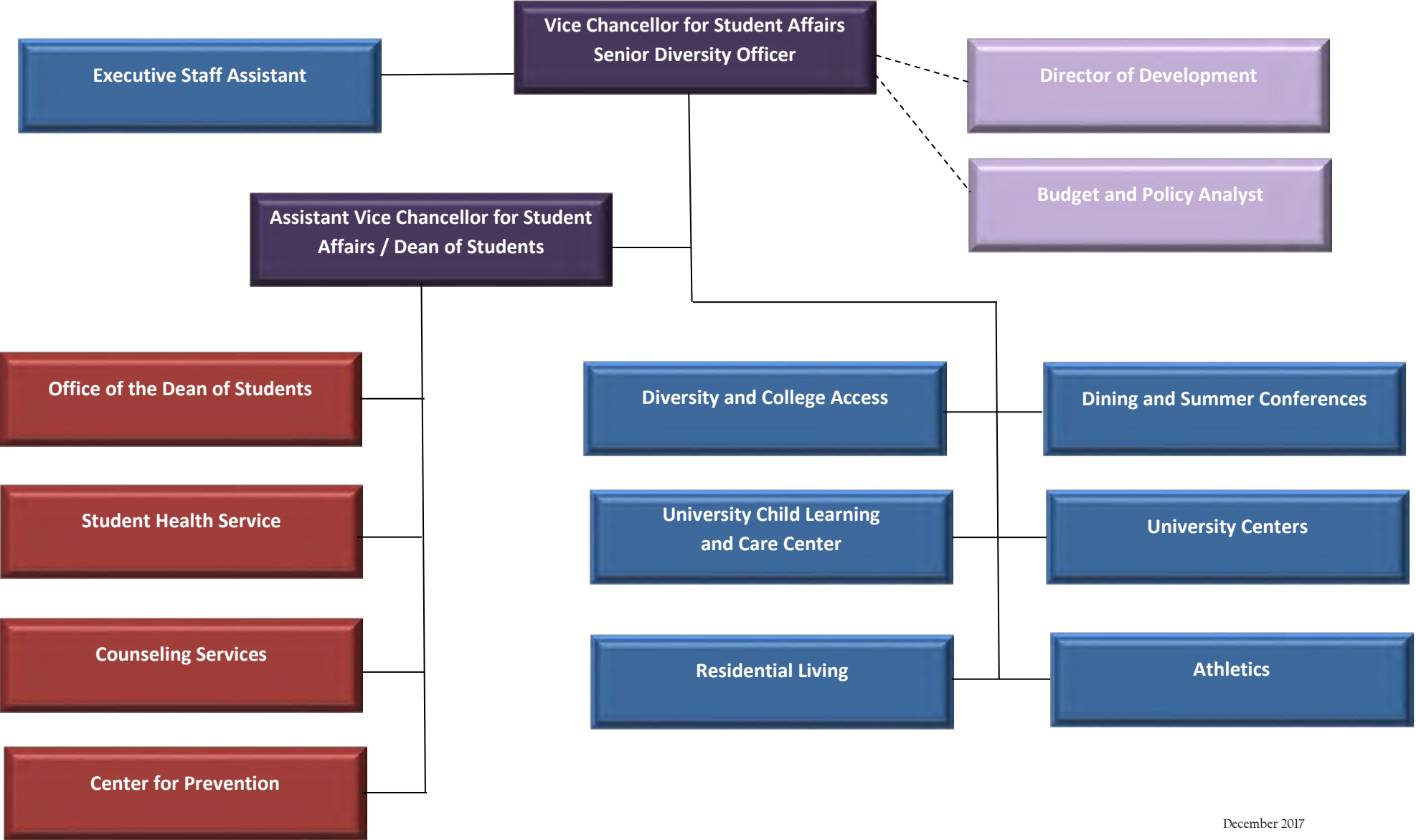
- Primary duties serve this specific campus - are located on campus
- Primary duties serve campuses within region - may be located on this campus
- Primary duties serve all of UWC - may be located on this campus

Post-restructuring Organization of University College (UWSP)



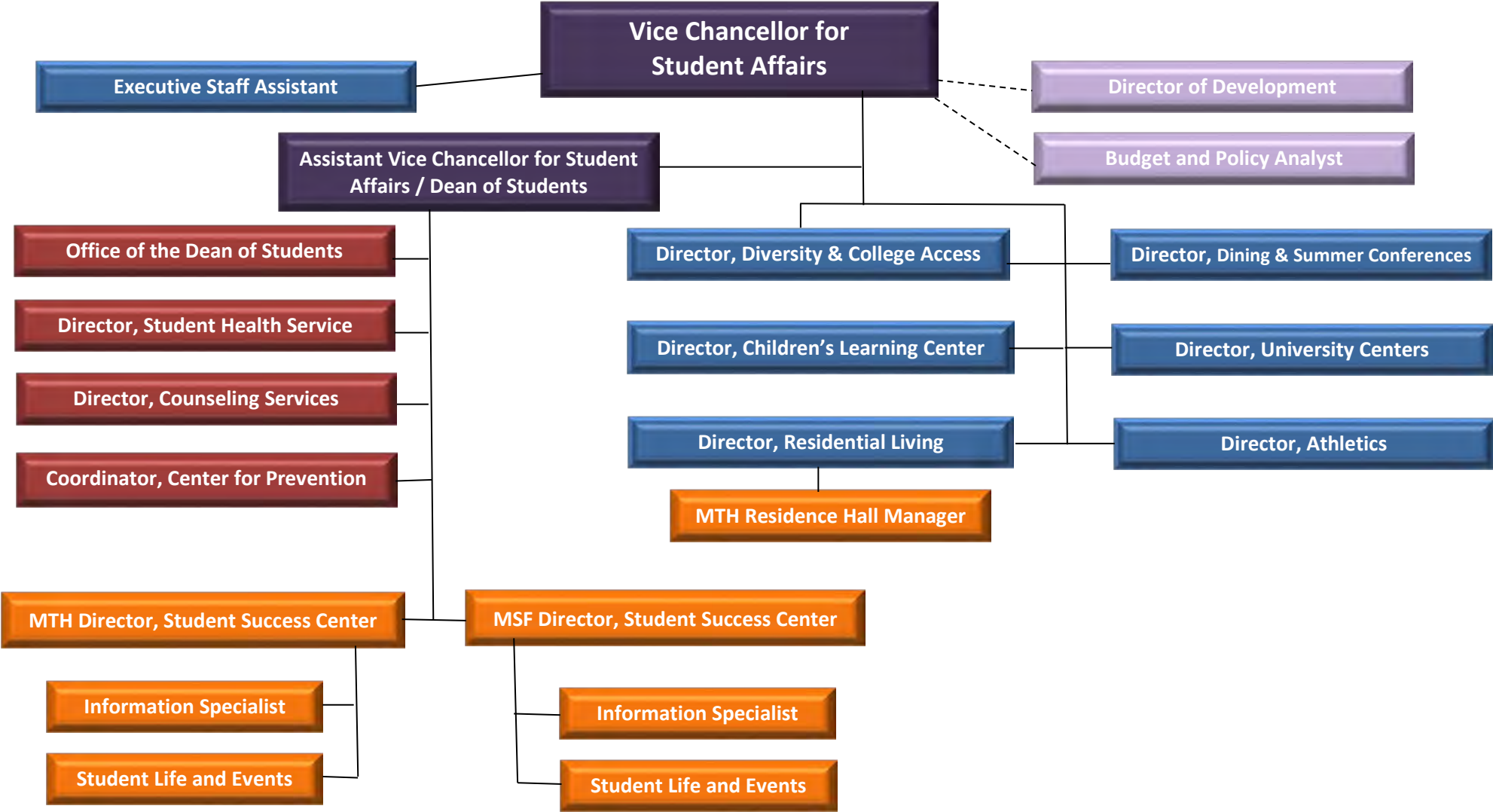


Division of Student Affairs
UNIVERSITY OF WISCONSIN-STEVENS POINT



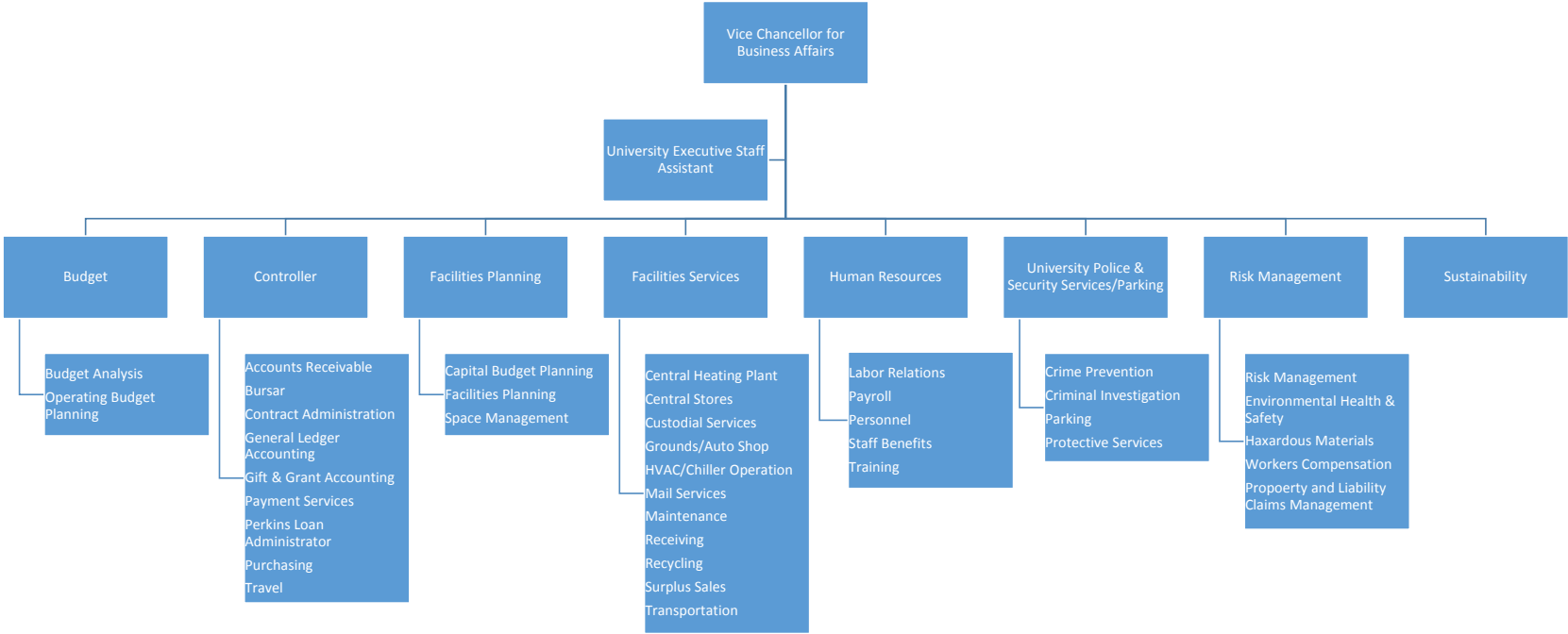


Division of Student Affairs
UNIVERSITY OF WISCONSIN-STEVENS POINT



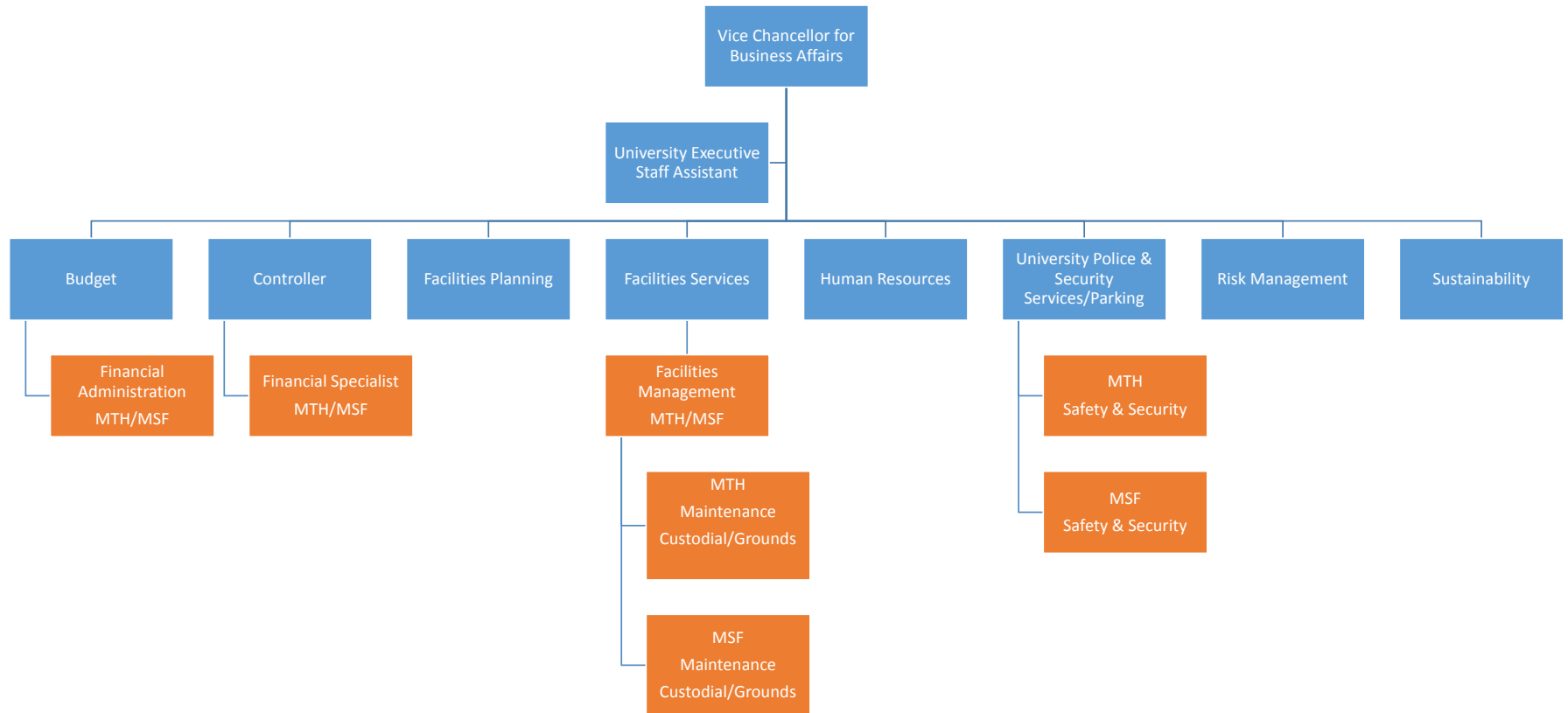
Current Structure of UWSP Division of Business Affairs

UW-Stevens Point
Division of Business Affairs Organizational Chart

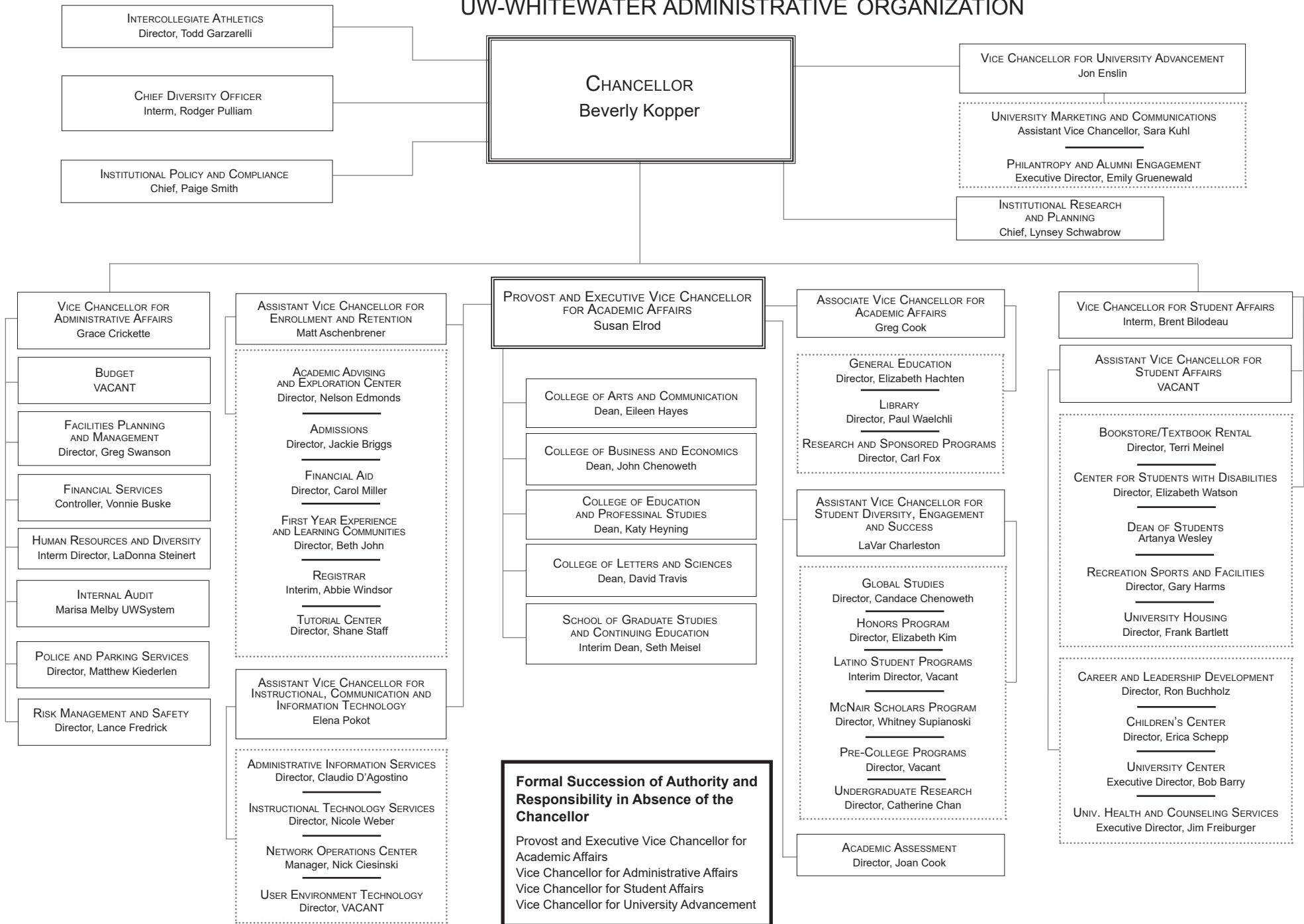


Post-restructuring Organization of Division of Business Affairs

UW-Stevens Point
Division of Business Affairs Organizational Chart
(includes connections with branch campuses)

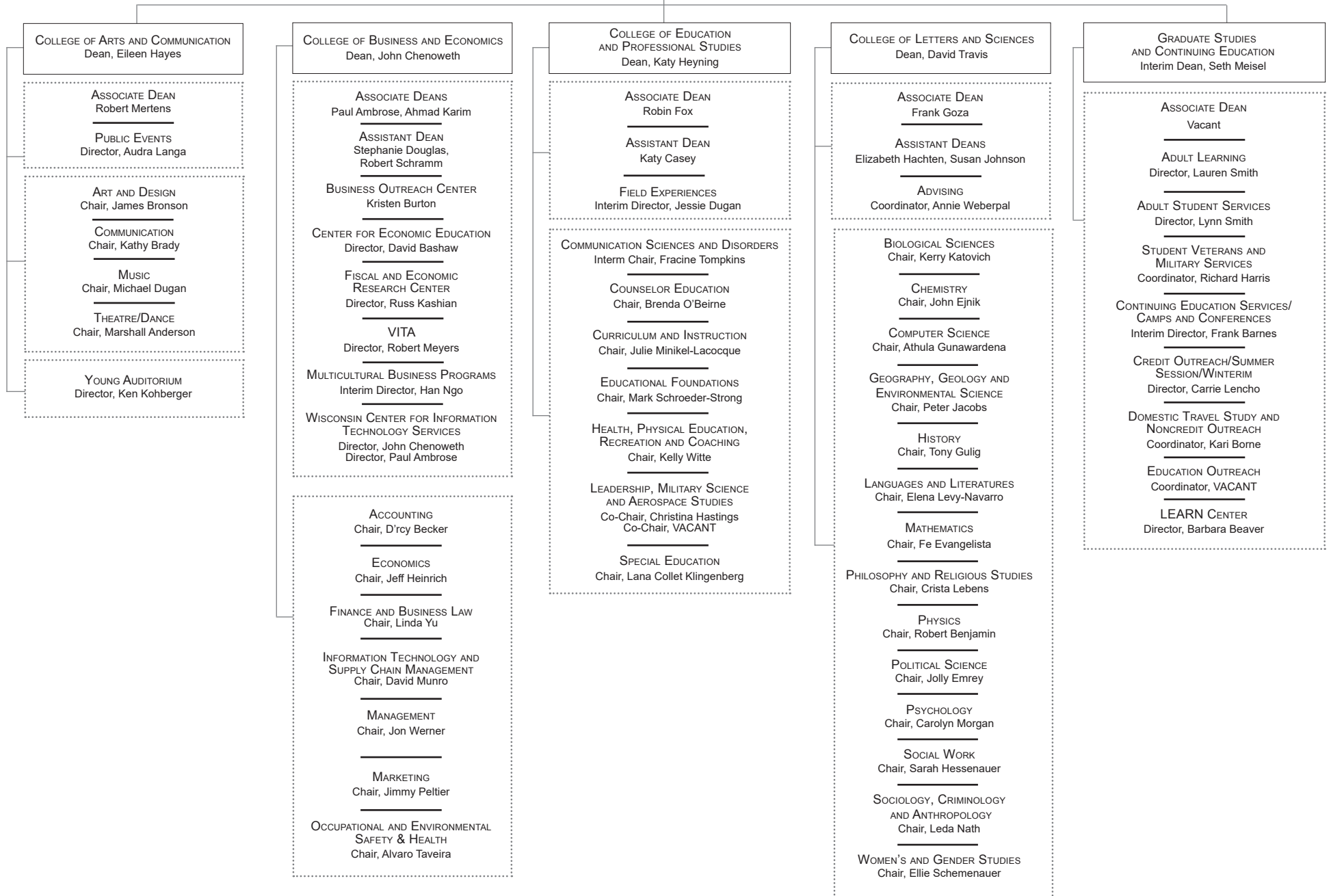


UW-WHITEWATER ADMINISTRATIVE ORGANIZATION



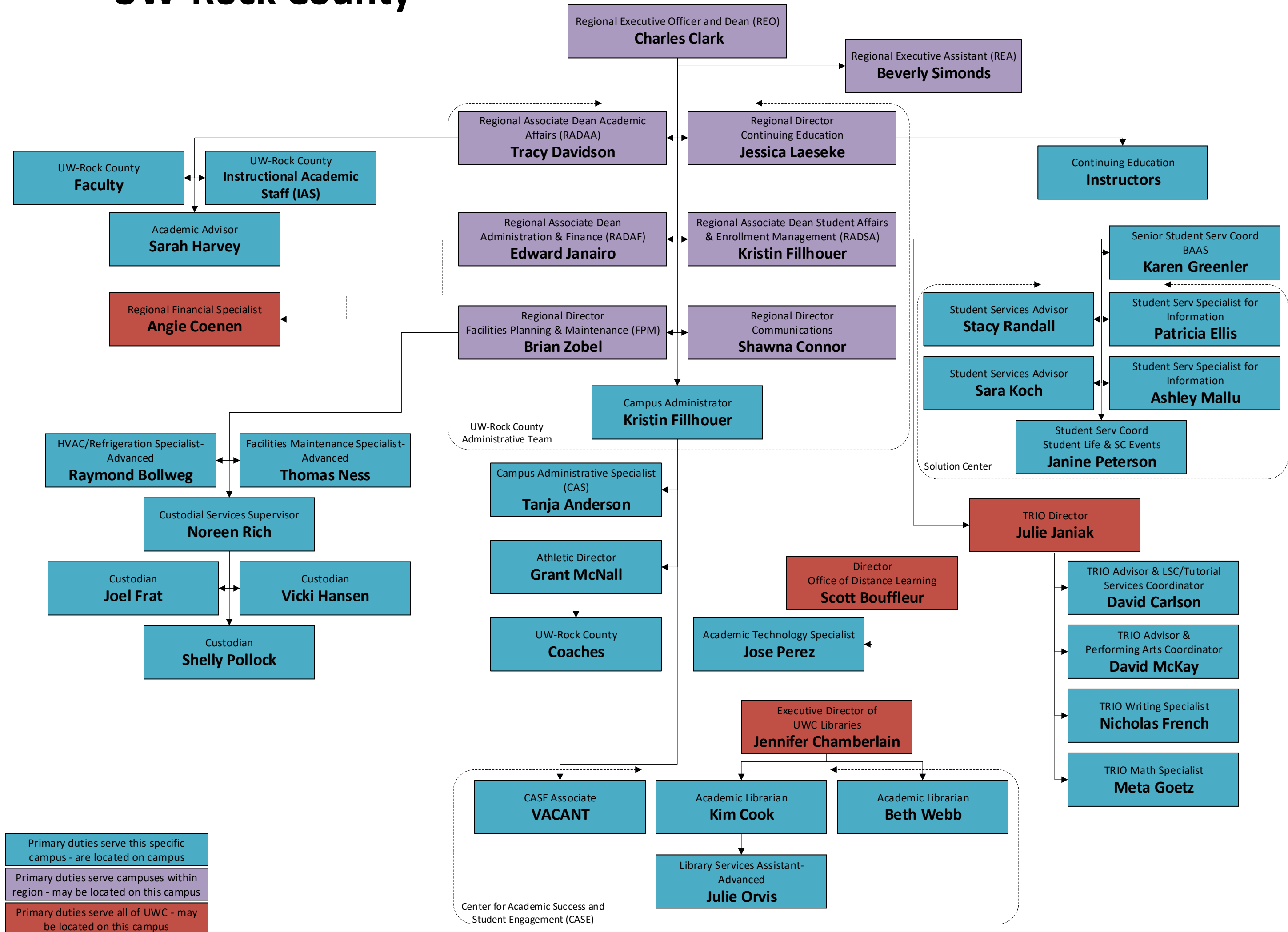
ADMINISTRATIVE ORGANIZATION (PAGE 2)

PROVOST AND EXECUTIVE VICE CHANCELLOR FOR ACADEMIC AFFAIRS
Susan Elrod



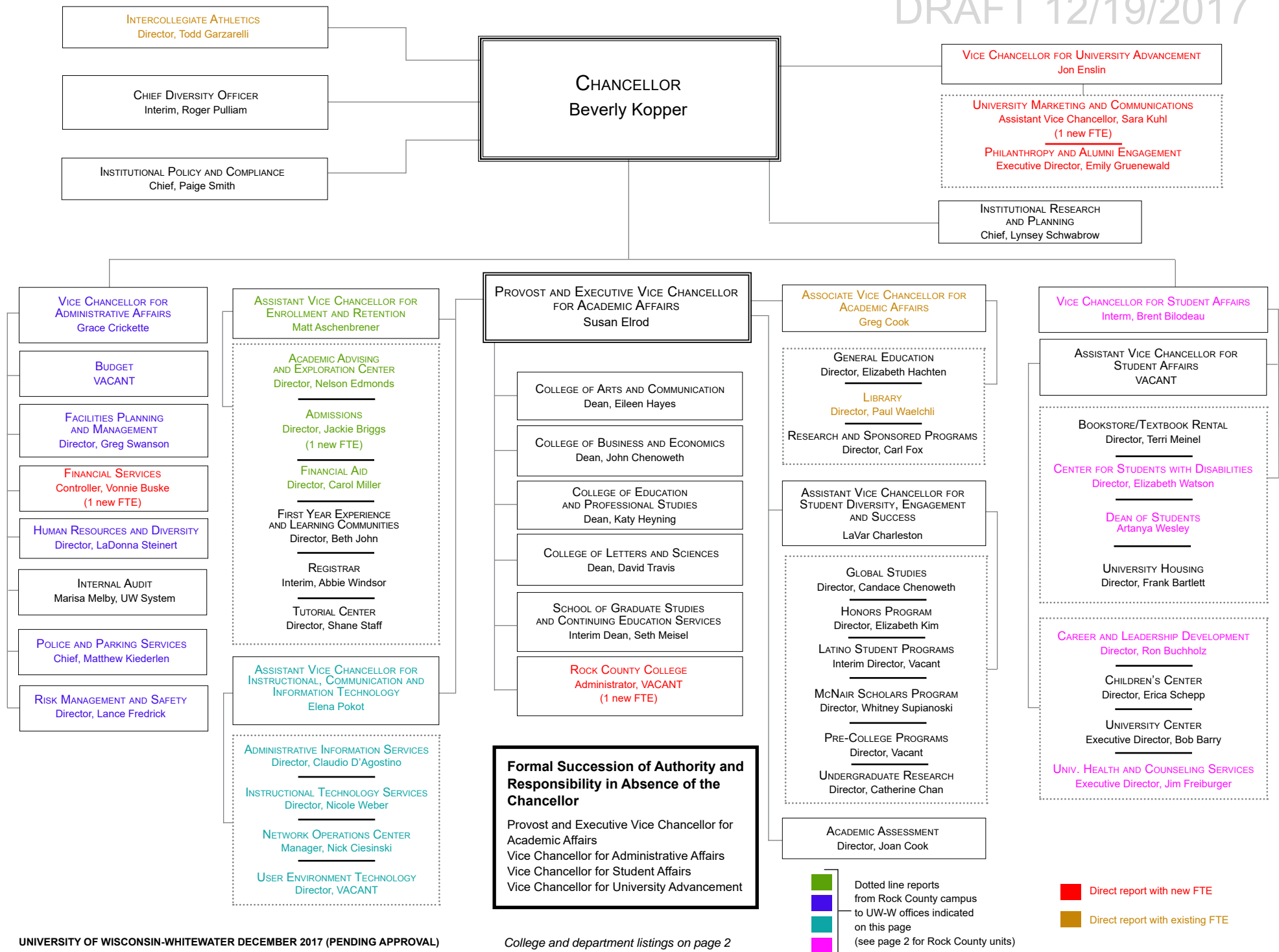
UW-Rock County

Updated 06/15/2017

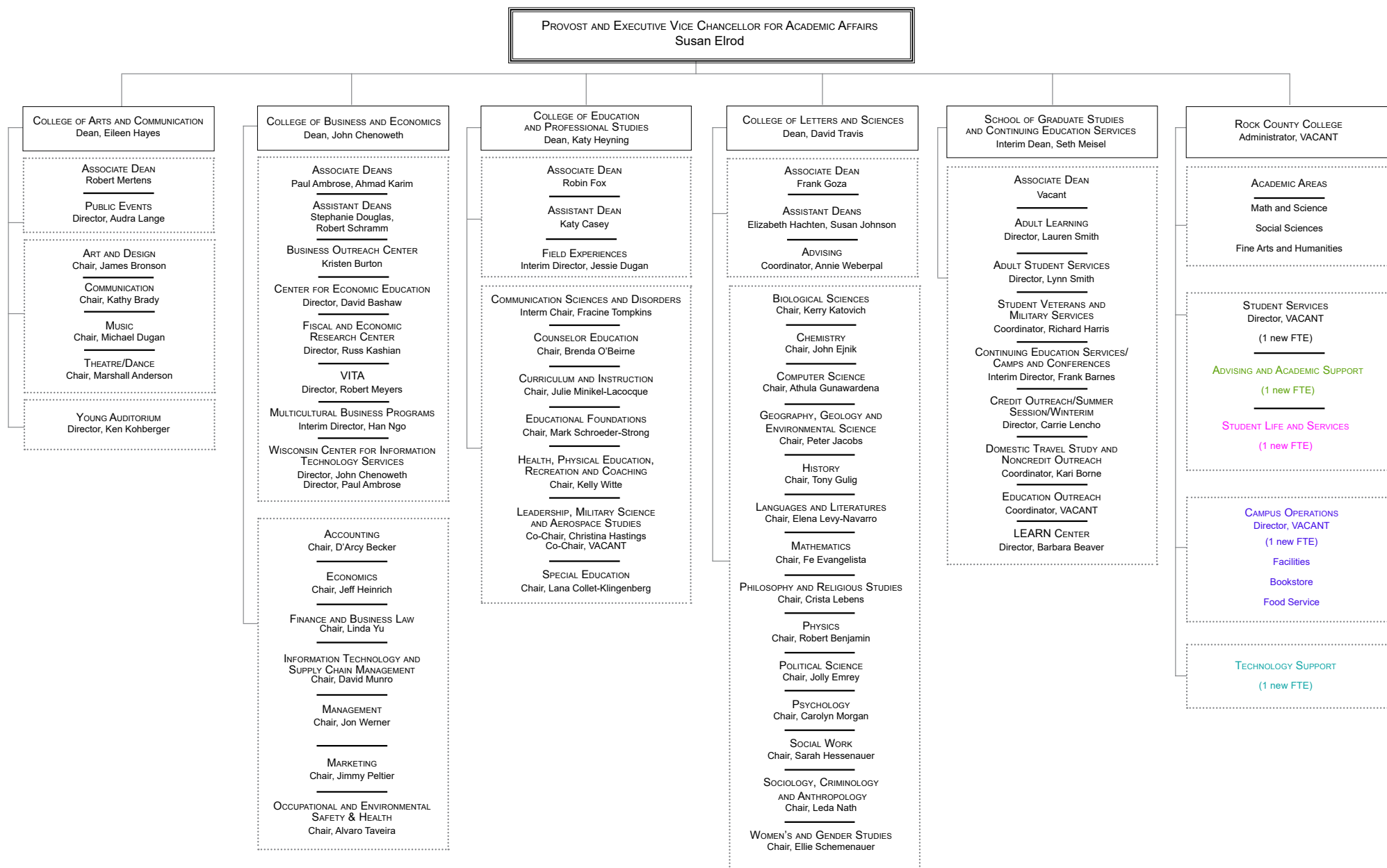


UW-WHITEWATER ADMINISTRATIVE ORGANIZATION WITH ROCK COUNTY CAMPUS

DRAFT 12/19/2017



UW-WHITEWATER ADMINISTRATIVE ORGANIZATION WITH ROCK COUNTY CAMPUS (PAGE 2)



DRAFT 12/19/2017

APPENDIX D

Board of Regents Resolutions and Follow-up

Approval of Restructuring of UW Colleges and UW-Extension

Resolution 10956 WHEREAS since 2005, UW Colleges and UW-Extension have functioned as separate UW System institutions led by a single chancellor with consolidated administrative services; and

WHEREAS demographic trends across Wisconsin indicate the decline in the number of high school graduates currently presents and will continue to pose considerable enrollment challenges for the UW Colleges; and

WHEREAS full-time student equivalent enrollment at UW Colleges campuses has declined 32% in the past seven years, and several UW Colleges campuses currently enroll only 200 FTE students; and

WHEREAS the UW Colleges' administrative and faculty leadership has worked diligently to address financial challenges, including establishing an effective regional and consolidated shared services model; and

WHEREAS the UW Colleges provide educational opportunities for an important and valued segment of the Wisconsin population through their distinct mission of open access and transfer; and

WHEREAS the UW System has long-standing partnerships with counties and municipalities that financially invest in and support the UW Colleges campuses in their communities; and

WHEREAS UW System institutions provide an important economic, civic, and cultural presence in the communities in which UW Colleges campuses are located; and

WHEREAS UW-Extension's Cooperative Extension Division has a visible presence in all seventy-two counties in Wisconsin and close ties to UW-Madison; and

WHEREAS the State benefits when faculty research expertise is tightly linked with county extension agents around the State; and

WHEREAS UW-Extension was previously part of the State's land-grant university at Madison, and integrating the extension service as a component of the state's land-grant university is consistent with other states; and

WHEREAS the other three divisions of UW-Extension – the Division of Business and Entrepreneurship, the Division of Broadcasting and Media Innovation, and the Division of Continuing Education, Outreach, and E-

Learning – and UW Colleges Online can all serve statewide audiences without being connected to a single institution, and can continue providing existing programs and services under UW System Administration; and

WHEREAS the affiliated foundations of the UW Colleges and UW-Extension have contributed significantly to the students, faculty, communities and participants served by these institutions, and the restructuring process should strive to maintain and expand these important relationships; and

WHEREAS, restructuring the UW Colleges and UW-Extension would allow the UW System to maintain affordability for students and families by continuing to provide courses currently taught at UW Colleges institutions, while expanding access to upper-level college courses; and

WHEREAS, students will continue to be able to transfer credits to all institutions within the UW System, and the UW System will continue to identify and reduce barriers to credit transfer; and

WHEREAS, the UW System will further standardize and regionalize administrative operations and services to more efficiently use resources; and

WHEREAS, the UW System aims to leverage resources at UW institutions to move more students through the educational pipeline to better meet Wisconsin's current and projected workforce needs, which is in the economic interest of Wisconsin's citizens; and

WHEREAS, UW Colleges and UW-Extension exemplify the Wisconsin Idea and the UW System's commitment of providing affordable, quality higher education and programs for all Wisconsin residents who seek it, and it is crucial to take action to maintain and strengthen the UW System's connection to citizens, communities, and businesses across the state; and

WHEREAS based on the foregoing, President Cross recommends restructuring the UW Colleges and UW-Extension;

BE IT THEREFORE RESOLVED that, effective July 1, 2018, the UW Colleges campuses be joined with UW System universities and operate as units of those universities while maintaining the open access and transfer mission of the UW Colleges campuses and the strong partnerships with counties and municipalities in which the campuses are located; it is expected that these two-year programs will continue to allow open access recruiting and transfer to all UW four-year institutions;

BE IT FURTHER RESOLVED that, effective July 1, 2018, UW-Barron County will be joined with UW-Eau Claire; UW-Manitowoc, UW-Marinette and UW-Sheboygan will be joined with UW-Green Bay; UW-Washington County and UW-Waukesha will be joined with UW-Milwaukee; UW-Fond du Lac and UW-Fox Valley will be joined with UW-Oshkosh; UW-Baraboo/Sauk County and UW-Richland will be joined with UW-Platteville; UW-Marathon County and UW-Marshfield/Wood County will be joined with UW-Stevens Point; and UW-Rock County will be joined with UW-Whitewater; and

BE IT FURTHER RESOLVED that, effective July 1, 2018, UW-Eau Claire, UW-Green Bay, UW-Milwaukee UW-Oshkosh, UW-Platteville, UW-Stevens Point, and UW-Whitewater are authorized to grant those degrees granted by the UW Colleges and are directed to amend their mission statements accordingly if necessary; and

BE IT FURTHER RESOLVED that, effective July 1, 2018, the UW-Extension Cooperative Extension Division and the UW-Extension Conference Centers be joined with UW-Madison and operate as a component part of that institution, and that the Division of Business and Entrepreneurship, the Division of Broadcasting and Media Innovation, the Division of Continuing Education, Outreach, and E-Learning, and UW Colleges Online be moved within UW System Administration as an entity that can maintain separate accreditation; and

BE IT FURTHER RESOLVED the Board of Regents anticipates that UW Colleges and UW-Extension employees who become employees of a UW System campus or UW System Administration shall continue to enjoy job security rights and shared governance rights consistent with their current appointment at UW Colleges and UW-Extension, the particulars of which will be developed by campus administration and UW System Administration in consultation with relevant governance bodies, and

BE IT FURTHER RESOLVED that President Cross is authorized to conduct any necessary planning and implementation to effectuate this resolution; and

BE IT FURTHER RESOLVED that President Cross shall provide regular updates to the Board of Regents on the progress of the planning and implementation of this restructuring; and

BE IT FURTHER RESOLVED that, to the extent they are inconsistent with this resolution, Regent Policy Documents 18-1, 18-2, and 19-7 are superseded.

MINUTES OF THE REGULAR MEETING
of the
BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

Held in the Symphony Room
Gordon Dining & Event Center
770 W. Dayton Street
Madison, Wisconsin

Thursday, November 9, 2017
10:00 a.m.

VETERAN’S DAY GREETING	3
APPROVAL OF THE MINUTES OF THE OCTOBER 2017 MEETING	4
INTRODUCTIONS.....	4
REPORT OF THE PRESIDENT OF THE SYSTEM	4
LEGISLATIVE UPDATES.....	4
NEWS FROM AROUND THE UW SYSTEM	5
<i>WisPolitics Partners with UW-Extension to Offer Economic Roundtables</i>	<i>6</i>
<i>UW-Marshfield/Wood County Celebrates Opening of Everett Roehl STEM Center</i>	<i>6</i>
<i>UW-Whitewater Celebrates Grand Opening of Mary Poppe Chrisman Success Center.....</i>	<i>6</i>
<i>UW-Superior’s Lake Superior Research Institute Celebrates 50th Anniversary.....</i>	<i>6</i>
<i>UW-Stout Celebrates Naming of Robert F. Cervenka School of Engineering</i>	<i>6</i>
<i>UW-Stevens Point Music Student Finds Inspiration and Mentors.....</i>	<i>6</i>
<i>UW-River Falls Celebrates Opening of WinField United Facility.....</i>	<i>6</i>
<i>UW-Platteville Breaks Ground on Williams Fieldhouse Expansion.....</i>	<i>7</i>
<i>Wisconsin Library Association Names “2017 Library of the Year” at UW-Parkside</i>	<i>7</i>
<i>UW-Oshkosh Holds Grand Opening Celebrations for Two Student-Focused Buildings</i>	<i>7</i>
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MINUTES OF THE REGULAR MEETING
of the
BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

Held in the Symphony Room
Gordon Dining & Event Center
770 W. Dayton Street
Madison, Wisconsin

Thursday, November 9, 2017
10:00 a.m.

-President Behling presiding-

PRESENT: Regents Robert Atwell, John Behling, José Delgado, Lisa Erickson, Tony Evers, Margaret Farrow, Michael Grebe, Eve Hall, Tim Higgins, Mike Jones, Tracey Klein, Regina Millner, Janice Mueller, Drew Petersen, Ryan Ring, Bryan Steil, Mark Tyler, and Gerald Whitburn

UNABLE TO ATTEND: None

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VETERAN'S DAY GREETING

In recognition of Veterans' Day on Saturday, November 11, 2017, President Behling announced that the Board of Regents was honored to be joined by the University of Wisconsin Naval ROTC Color Guard, commanded by Color Sergeant Midshipman 2nd Class Evan Lallensack.

Following the entrance and presentation of the colors, President Behling invited any and all veterans and active military personnel present to stand and be recognized. On behalf of the Board of Regents, he thanked all those who wear, have worn, or will wear the uniform in service of our country. He further expressed the Board's deep respect and gratitude for those who serve, both on and off the battlefield, and who steadfastly stand on guard to ensure our freedom, our security, and our way of life.

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APPROVAL OF THE MINUTES OF THE OCTOBER 2017 MEETING

The minutes of the October 2017 Board of Regents meeting had been provided. Regent Petersen moved approval of the minutes. The motion was seconded by Regent Tyler and adopted on a voice vote.

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INTRODUCTIONS

President Cross began by personally thanking the University of Wisconsin Naval ROTC Color Guard. In addition to their commander, Color Sergeant Midshipman 2nd Class Lallensack, he also introduced Midshipman 2nd Class John Tilstra, Midshipman 3rd Class Alex Canney, Midshipman 3rd Class Katherine Katula, and Midshipman 3rd Class Maren Kirkland, saying it was an honor to have them join the meeting.

President Cross said he was also pleased to introduce Eric Arneson, Vice Chancellor for Student Affairs and Campus Climate at UW-Green Bay. Vice Chancellor Arneson comes to the UW System from Florida International University, where he served as Assistant Vice President for Student Affairs. He has worked for more than two decades in various aspects of university administration in the Midwest and southern U.S.

Vice Chancellor Arneson earned a doctorate in higher education from Florida International University, a master of arts in college student personnel from Bowling Green State University, and a B.S. in political science from UW-La Crosse. President Cross said his UW System colleagues looked forward to working with Vice Chancellor Arneson.

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REPORT OF THE PRESIDENT OF THE SYSTEM

As this was a one-day meeting, President Behling explained he would hold his comments to allow enough time for the significant topic on the agenda for that afternoon. He then turned to President Cross for his report.

Legislative Updates

President Cross opened his report with an overview of several key legislative initiatives that the UW System is currently following at the state level. The UW System has been working closely with legislators on a bill that is being introduced to enact many of the capital flexibilities sought as part of the System's 2017-19 budget request. President Cross indicated that the bill incorporates the State Building Commission threshold changes that were included by Governor Walker in his Executive Budget proposal, but were removed as non-fiscal policy at the beginning of the budget process.

Other related legislation addresses enhanced operational authority of the Board of Regents for capital budget and planning. President Cross explained that this would include authority for the Board to fund program revenue-supported capital projects with the proceeds of UW revenue bonds authorized for issuance by the State Building Commission, as well as authority for the Board to approve and manage building projects funded by non-GPR funds.

The UW System is also working with legislators on proposals to reform and update the administrative rules governing the UW System, as well as legislation to update the System's accountability and reporting requirements. President Cross said that this legislation would eliminate outdated reports and make the reports that the university currently submits more meaningful. All of these bills are aimed at giving the UW System more flexibility, allowing it to operate more efficiently and effectively.

On the federal front, the "Tax Cuts and Jobs Act," the House Republicans' proposal for revision of the federal tax code, was released on November 2. President Cross noted the U.S. House Ways and Means Committee had been debating the bill that week, while the Senate has said it will not use the House bill and will instead start from scratch.

He observed that there are several issues that would have both direct and indirect impacts on public colleges and universities. More specifically, the bill consolidates three tax credits that taxpayers may claim for credit for postsecondary expenses: the American Opportunity Tax Credit, the Lifetime Learning Credit, and the Hope Scholarship Credit. The bill would give students an extra year, but at half the rate of support. Graduate students or lifelong learners would lose those tax benefits.

The bill would also repeal the current Student Loan Interest Deduction. There is also a provision that reduces the cost of graduate education and mitigates the tax liability of graduate students teaching and researching as part of their academic programs. President Cross said that this provision is critical to the research endeavor for major universities like UW-Madison and UW-Milwaukee, particularly in the critical STEM fields. For all these reasons, the UW System will work closely with its higher education partners and Wisconsin's elected officials in Congress as it looks to recommend tax policy changes.

President Cross indicated that work also continues to extend the Federal Perkins Loan Program, despite its expiration. There is strong bipartisan support for this in both the U.S. Senate and House of Representatives; so far 238 members have signed legislation to revive it. The Regents had been provided with a fact sheet that was distributed across Capitol Hill offices the previous week, showing the impact of the Federal Perkins Loan Program on public and private colleges and universities in Wisconsin. President Cross expressed hope that the nation's elected leaders would find a way to extend this program until simplification of all student loan programs becomes a reality.

News from Around the UW System

President Cross next shared some news from around the UW System, through a video presentation.

WisPolitics Partners with UW-Extension to Offer Economic Roundtables

WisPolitics partnered with UW-Extension to offer economic roundtables in Hudson, Richland Center, and Sheboygan. Experts from the Department of Revenue, Division for Business & Entrepreneurship, and Cooperative Extension shared data with community leaders to help drive future economic growth.

UW-Marshfield/Wood County Celebrates Opening of Everett Roehl STEM Center

UW-Marshfield/Wood County celebrated the opening of its Everett Roehl STEM Center. This UW Colleges facility houses chemistry, microbiology, and Certified Nursing Assistant programs. The state-of-the-art center features simulation labs, flexible classrooms, and study spaces designed to enhance student-teacher interactions.

UW-Whitewater Celebrates Grand Opening of Mary Poppe Chrisman Success Center

UW-Whitewater Celebrated the Grand Opening of the Mary Poppe Chrisman Success Center. The facility helps students succeed with supplemental instruction from qualified tutors. The Center was made possible thanks to a generous donation from alumnus Byron “Chris” Chrisman, in honor of his late wife, Mary.

UW-Superior’s Lake Superior Research Institute Celebrates 50th Anniversary

UW-Superior’s Lake Superior Research Institute (LSRI) celebrated its 50th anniversary. The event reflected on LSRI’s accomplishments in environmental research and set the stage for the next 50 years. Alexandra Cousteau, granddaughter of Jacques Cousteau, spoke about the importance of water conservation at the event.

UW-Stout Celebrates Naming of Robert F. Cervenka School of Engineering

UW-Stout celebrated the naming of the new Robert F. Cervenka School of Engineering. The late founder of Phillips Plastics, and his wife, Debbie, donated \$2.5 million to the engineering school. UW-Stout has more than 1,000 students enrolled in engineering majors.

UW-Stevens Point Music Student Finds Inspiration and Mentors

Music student Zach Finnegan has found inspiration and mentors at UW-Stevens Point. Mr. Finnegan spent the summer in intense music study, thanks to music professors Brent Turney and Matt Buchman, who helped find scholarships and wrote letters of recommendation. Mr. Finnegan hopes to teach after graduate school.

UW-River Falls Celebrates Opening of WinField United Facility

UW-River Falls celebrated the opening of a new facility for WinField United. This subsidiary of Land O’Lakes provides products and services to help farmers optimize yields. It moved its operations from Minnesota to River Falls because of a long-standing relationship with the College of Agriculture, Food and Environmental Sciences.

UW-Platteville Breaks Ground on Williams Fieldhouse Expansion

UW-Platteville broke ground on the Williams Fieldhouse expansion. This project will increase fitness and training space for the Pioneer community and 16 varsity athletic teams. It will include basketball and volleyball courts, a running track, and a modern training room.

Wisconsin Library Association Names “2017 Library of the Year” at UW-Parkside

UW-Parkside’s library was named the 2017 Library of the Year by the Wisconsin Library Association. The Association cited the library’s successful Big Read program, among other events, and praised UW-Parkside for having a diverse academic library.

UW-Oshkosh Holds Grand Opening Celebrations for Two Student-Focused Buildings

UW-Oshkosh held grand opening celebrations in October for two student-focused buildings. The Reeve Memorial Union and Fletcher Residence Hall underwent transformations to make the spaces more accessible, up-to-date, and responsive to student needs.

UW-Milwaukee Physicists at Cutting Edge of Astrophysical Discoveries

UW-Milwaukee physicists are at the cutting edge of astrophysical discoveries and opening new avenues of research. UWM played a key role in discovering gravitational waves, and that work contributed to the 2017 Nobel Prize in physics. The research also confirmed a prediction Albert Einstein made 100 years ago.

UW-Madison Students Support Mosquito-Control Efforts

To support ongoing mosquito-control efforts in the wake of Hurricane Harvey, two UW-Madison students have flown to Texas to help trap and identify mosquitoes. Melissa Farquhar and Erin McGlynn will monitor for disease-spreading species of mosquitoes and determine the effectiveness of control efforts.

UW-La Crosse McNair Scholarship Program Receives \$1.1 Million Award

The U.S. Department of Education awarded the UW-La Crosse McNair Scholar program \$1.1 million. At least 50 percent of the McNair scholarship students major in STEM fields. Since the program began in 2010, 78 percent of alumni have enrolled in graduate studies.

UW-Green Bay’s Gateway to Phoenix Success Program Helps Students Succeed

UW-Green Bay’s Gateways to Phoenix Success program helps students be successful. GPS is a free, high-impact experience for first-year college students which provides tools and support to help eliminate gaps in academic achievement. GPS students are significantly more likely to graduate on time compared to other underrepresented students.

UW-Eau Claire Names Residence Hall in Honor of Alumni

UW-Eau Claire's Towers residence hall is now called Karlgaard Towers in honor of alumni David and Marilyn Karlgaard. The couple's history of giving to the UW-Eau Claire Foundation exceeds \$6 million and includes the largest donation in support of student scholarships in university history.

Student Spotlight

Turning to the student spotlight, President Cross said it was his pleasure to introduce Aaron Kloss, a senior at UW-Oshkosh majoring in social work. Mr. Kloss served nearly 17 years as a Sergeant in the Wisconsin Army National Guard, including three tours of duty in Iraq, prior to retiring in June 2017. He also was part of a unit that assisted with Hurricane Katrina relief in 2005. Mr. Kloss started at UW-Oshkosh 15 years after graduating from high school. He expects to graduate in May, and already has a job lined up. President Cross then invited everyone to join him in welcoming Mr. Kloss.

Mr. Kloss began by thanking President Cross, the Regents, Chancellor Leavitt, guests, and the members of his UW-Oshkosh team who had been instrumental in his success at that institution. He explained that when Timber Smith, a veterans resource coordinator at UW-Oshkosh, first approached him about speaking to the Board, he thought it would be "a fairly low key situation." Mr. Kloss joked that "I've been shot at and blown up and I've never been as nervous as I am right now."

Mr. Kloss indicated that he is frequently asked why he joined the military in 2000 instead of seeking a college education. Noting that he had made some poor decisions when he was younger, he recalled his mother telling him to "choose a uniform of orange or camouflage."

Stating that he had learned many lessons over the course of his career – "more lessons than I have time to share today" – Mr. Kloss said he had been a member of some of the best units in the state of Wisconsin: the 1157th out of Oshkosh, the 147th out of Madison, and finally the 1158th in Beloit. On his three deployments, he had done everything from truck driving, to base security, to working with local nationals overseas in Iraq.

One thing he learned along the way was that "every moment of every day, we have choices that we have to make." Mr. Kloss observed that you can choose the easy route or the hard route – the easy route is sometimes just staying with what you are comfortable with and going with what you know, while taking the hard route quite often means stepping outside of your comfort zone and looking at the long game in life.

Mr. Kloss recalled his father working the southern swing shift in a factory for a number of years: two days on, two days off, three days on, three days off, for 12 hour shifts, rotating days and nights every two weeks. When he became a husband and a father of two, Mr. Kloss realized that he wanted to be there for his own children.

A colleague from his third deployment, who returned to UW-Oshkosh afterwards, encouraged Mr. Kloss to come talk to the Veterans Resource Center at the university. Mr. Kloss said he learned that all the barriers he thought were keeping him from returning to school were not really there, because of the various G.I. Bills that make resources available to veterans and how well those worked within the UW System. He indicated that this made it an easy choice for him to come back.

Describing his time at UW-Oshkosh as “a whirlwind of activity,” Mr. Kloss said he had been blessed on many counts to serve as the Student Veteran Association president on campus for a number of years. This afforded him the opportunity to collaborate with both faculty and staff on a number of committees, including serving as a student representative on search and screen committees.

Mr. Kloss argued that nothing he has been able to do would be possible without the environment of inclusion and support created at UW-Oshkosh, both on a larger scale by Chancellor Leavitt, and on a smaller scale by Lisa Danielson in the Registrar’s Office and the Veterans Resource Center team. He expressed appreciation for the opportunity to be with people who think the way he does and have lived lives like his.

Mr. Kloss said he looked forward to graduating in May, with plans to continue on for a Master’s degree after that. Mr. Kloss noted that he recently accepted a position in the UW-Oshkosh Registrar’s Office as a student status examiner. Reiterating that his life at UW-Oshkosh had been blessed, Mr. Kloss expressed his hope that by continuing on with UW-Oshkosh in the future he can give that kind of experience to more student veterans, non-traditional veterans and traditional veterans along the way.

After thanking the Board of Regents again for the opportunity to speak, Mr. Kloss presented a challenge coin from the UW-Oshkosh Student Veteran Association to President Cross, on behalf of the Board of Regents, for all of the support given to student veterans, non-traditional veterans, and students across the UW System.

President Cross thanked Mr. Kloss for his remarks, saying that he made the UW System proud. He also recognized veterans resource coordinator Timber Smith, veterans benefit coordinator Michelle Munns, and student academic affairs officer Jean Patt from UW-Oshkosh, who were all present in the gallery.

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REPORT AND APPROVAL OF ACTIONS TAKEN BY THE BUSINESS AND FINANCE COMMITTEE

President Behling called upon Regent Whitburn to present the report of actions taken by the Business and Finance Committee.

Regent Whitburn indicated that the report of gifts, grants, and contracts received across the System in the first quarter of FY 2018 was encouraging. The total \$511 million represents an increase of \$10 million from the same period last year. He noted that federal awards in the first quarter of the current fiscal year were up \$65 million.

The Business and Finance Committee also acted on two important resolutions, which Regent Whitburn suggested the Board should take up separately.

Regent Whitburn reminded his colleagues that the \$550 million UW Trust Funds are managed by director Doug Hoerr, who would soon be leaving System Administration. As a result, Regent Whitburn and Regent Steil, chair of the Subcommittee on Investments, had been working with Vice President for Finance Sean Nelson in recent months to discuss transferring management of these funds to the State of Wisconsin Investment Board (SWIB), which currently manages over \$100 billion. Regent Whitburn noted that UWS Chapter 36 of the Wisconsin Statutes explicitly gives the UW System the option of contracting with SWIB for this purpose.

In addition to managing retirement dollars for Wisconsin state and municipal employees, SWIB also handles funds for the State Historical Society, the State Life Insurance Fund, the Edvest Tuition Trust Fund, and the Injured Patient and Families Compensation Fund.

Regent Whitburn reported that the SWIB board met several weeks earlier and voted to authorize their staff to work with the UW System to negotiate an appropriate contract. The proposed Resolution 10954 would authorize the System to proceed with finalizing an appropriate contract under which the university would begin to move its trust fund assets to SWIB for ongoing management.

Regent Whitburn indicated that he, Regent Steil, and Regent Mueller, who previously chaired the Business and Finance Committee, believed that this action would significantly strengthen the Board's fiduciary oversight of UW System assets. Therefore, he moved adoption of Resolution 10954, with a second by Regent Atwell.

Responding to a question from Regent Farrow, Regent Whitburn indicated that SWIB would put in place an appropriate management platform for UW System funds consistent with the goals of the donors.

Vice President Nelson noted that asset allocation for UW System funds will be part of the conversations to be held over the coming six to seven months. Suggesting that the System's investment policy statement will be an indication of its desired allocation, he said that those decisions would still be under the purview of the Board of Regents. However, the System would defer to SWIB management to help guide that process.

With no further discussion, Resolution 10954 was approved on a voice vote.

Approval to Negotiate and Enter into an Appropriate Contractual Agreement to Transfer Management of UW System Trust Fund Assets to the State of Wisconsin Investment Board (SWIB)

Resolution 10954 Whereas under Section 36.11 (11m) of the Wisconsin statutes, the UW System Board of Regents may elect to contract with the State of Wisconsin Investment Board (SWIB) to manage the investment of revenues from gifts, grants, and donations; and

Whereas SWIB has demonstrated a positive track record of prudent investment strategies to maximize investment returns; and

Whereas SWIB's nine-member Board of Trustees practices sound governance and oversight that can supplement the UW System Board of Regents' fiduciary duty with respect to UW System Trust Fund assets;

Therefore be it resolved that the UW Board of Regents directs the UW System President and Vice President for Finance to undertake to negotiate and enter into an appropriate contractual agreement under which the UW System Trust Fund assets will be moved to SWIB for the ongoing purpose of investment management.

Regent Whitburn informed his colleagues that, according to UW System General Counsel, formal approval of the final contract by the Board would not be required under state statutes or the Board's own governance rules. Given this, Regent Whitburn recommended that the Board delegate responsibility for completing the final contract to President Cross and Vice President Nelson, with some oversight from Regent Steil and himself. Board members concurred with Regent Whitburn's recommendation.

Regent Whitburn stated that the Business and Finance Committee also approved revisions to two Regent Policy Documents associated with segregated fees. The recently enacted State Budget directed the university to bring consistency to how the various campuses administer allocable and non-allocable segregated fees, which required updates and significant changes to Regent Policy Documents 30-3 and 30-5. Once approved, these changes would be submitted to the Joint Finance Committee for a 14-day passive review.

Regent Whitburn then moved adoption of Resolution 10955, with a second by Regent Ring.

Regent Higgins noted that one of the policies includes permission for students to spend money on film and videotape productions, and suggested that this reference may be out of date.

With no additional comments, Resolution 10955 was approved on a voice vote.

Approval of Revisions to Regent Policy Documents 30-3, “Guidelines for Student Governance” and 30-5, “Policy and Procedures for Segregated University Fees”

Resolution 10955 That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 30-3, “Guidelines for Student Governance” and 30-5, “Policy and Procedures for Segregated University Fees”.

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RECOGNITION OF 100 YEARS OF WISCONSIN PUBLIC BROADCASTING

President Behling said the Board of Regents was pleased to welcome its colleagues from Wisconsin Public Broadcasting to share in the celebration of their 100th year anniversary. He offered congratulations on behalf of the Board, then invited President Cross to say a few words of introduction.

Introduction

President Cross noted that this was truly a remarkable achievement for Wisconsin Public Radio (WPR), as no other public radio station is celebrating 100 years – “not even the BBC!” Public broadcasting started in Wisconsin, and WPR captures the essence of the Wisconsin Idea: the UW System’s commitment to bring what it has learned in the classroom to the people of Wisconsin, and to bring the lessons of the public arena back to the university. From the beginning, WPR has used the latest technology to reach out and connect people with news and ideas that inform and enlighten.

When it was first launched, WPR focused on crop prices and weather forecasts – “true news you can use.” President Cross said that years later, public radio “brought the opera into the barns for this farm boy in Michigan,” as well as lively discussions of politics and poetry, science and social issues, and much more into the living rooms and daily commutes of countless listeners. President Cross offered his gratitude and congratulations on WPR’s centennial anniversary.

President Behling then introduced Malcolm Brett, the Director of Broadcast and Media Innovations (BAMI) at UW-Extension.

“Where Public Broadcasting Began”

Director Brett thanked President Behling, the Regents, and President Cross for the opportunity to celebrate 100 years of outstanding public service through Wisconsin Public Radio, Wisconsin Public Television (WPT), and Instructional Communication Systems. He noted that public broadcasting traces its roots to the University of Wisconsin – to Science Hall, Professor Earle Terry, and the Wisconsin Idea.

Director Brett then introduced a video which offered “a glimpse of our first 100 years,” starting in 1917, when Professor Terry broadcast music from the university’s radio station for the first time. That first seed of progress grew into Wisconsin Public Radio, and later Wisconsin Public Television, setting the stage for national public broadcasting as we know it today.

Today, Wisconsin Public Broadcasting carries on the university’s mission of bringing easily accessible education and information to the people of our state. It connects Wisconsin communities, providing a platform and a voice in civic and cultural conversations. It provides students, parents, and educators with research-proven educational resources to encourage life-long learning. It also provides all this content on established and emerging platforms, to ensure universal access that offers a stronger and brighter future for all Wisconsinites.

The video concluded by noting that, from the birth of radio to the Corporation of Public Broadcasting and National Public Radio, public broadcasting began with the university’s investment in Wisconsin Public Radio and Wisconsin Public Television. During the next 100 years, Wisconsin Public Broadcasting will continue providing the best it has to offer, from the latest discoveries to the greatest stories, to every family in the state.

Mission, History, and Value of Wisconsin Public Broadcasting

Director Brett said it is not surprising that the University of Wisconsin gave rise to the first public broadcasting in the country, or that Wisconsin Public Broadcasting would flourish within the university, becoming one of the most listened to, most watched, and most respected public broadcasting services in the country.

Director Brett stated that the UW System’s mission perfectly reflects the possibilities of Wisconsin Public Broadcasting, citing phrases such as “develop human resources,” “discover and disseminate knowledge,” “extend knowledge and its application beyond the boundaries of the campus,” “serve and stimulate society,” “educate people and improve the human condition,” and “search for truth.” He indicated that this is what WPR, WPT, and Instructional Communication Systems do every day: “Educating, informing, entertaining, engaging and inspiring everyone in Wisconsin.”

Director Brett encouraged the Regents to imagine the revelatory experience of 1917, when listeners heard the very first broadcasts in this country, and how that changed their lives. Wisconsin Public Broadcasting connected people at a time without radio, without television, and when only one in eight, or about 12 percent, of the households in the country even had a telephone. It also connected the UW System and the world beyond to the front parlor and the milking parlor, and vice versa. Technology was the vehicle, he said, but the payload and real value has always been timely, relevant Wisconsin-focused programming.

Director Brett noted that “it took a certain amount of imagination to create early radio programming for the public,” pointing to an early entry from 1934, when “Let’s Draw” taught school children how to draw on the radio. Though that took a certain amount of audacity, it worked!

Over the years, more local Wisconsin icons have taught children and adults alike. Wisconsinites have fond memories of their radio and TV teachers, like “Ranger Mac,” and Bob Homme in “The Friendly Giant.” From there it was a small leap to the next giant innovations in educational communications: WHA Television in 1954, Instructional Communication Systems in 1965, and then the ideas that were Wisconsin’s daily news, civic and cultural discussion.

Most recently, WPT’s 24/7 children’s channel brings wonderful, authentic, educational and trustworthy children’s programming. Director Brett emphasized that there is in fact a need to have good, nourishing children’s programming 24 hours a day.

Wisconsin’s public broadcasting service is still informed today by the goals articulated by Dr. William Lighty in 1933, when he commanded the organization to serve households, public schools, public interests, public enterprise, and the interests of informed public opinion.

Director Brett stated that Wisconsin Public Broadcasting’s work is and always has been about those publics: the homemaker who learned about nutrition; the child who learned to sing and draw; the voter who learned about the issues; the Milwaukee student who learned about and saw a role model in Vel Phillips; the farmer who got his crops in before the storm; the retiree in Superior who saw an inspired lecture about the physics of dark matter; the parents who watched their child learn on Sesame Street; the teacher in the classroom; the veteran who found new access to resources and a new voice for her experiences; the hearing-impaired viewer who rejoices in closed captions for all locally produced programs; the listener who calls in to comment on the issues of the day; the Native American who saw his tribe’s history on the air and in the classroom; and the stakeholder, somewhere in Wisconsin, currently watching the live stream of the Board of Regents’ meeting.

Director Brett observed that in Wisconsin Public Broadcasting’s beginning in the early 20th Century, the information void was everywhere. The service was a beacon, linking people to ideas, information, and inspiration. Its essentialness derived not only from the vital information it brought, but because it was the only source of that information at the time.

He noted that for most people today, there is access beyond measure – but with hundreds of channels of cable TV, satellite radio, laptops, cell phones, Facebook, Twitter, and more, “more isn’t always better.” Those sources bring a tidal wave of filtered, often unattributed, and often inauthentic content, 24/7. In this world, the authentic, well-researched, in-depth and local information from Wisconsin Public Broadcasting is more important than ever before.

Saying that Wisconsin Public Broadcasting stands out as local, coherent, organized, authentic and reliable program, Director Brett said this helps explain why Wisconsin Public Television is among the most watched public television stations in the country, and why listenership to WHA and Wisconsin Public Radio is at record levels today.

November 7, 2017, marked the 50th anniversary of the passage of the Public Broadcasting Act of 1967, which created the Corporation for Public Broadcasting (CPB), National Public Radio, and the Public Broadcasting Service. In celebrating that anniversary, CPB’s board also recognized the University of Wisconsin for 100 years of service with a unanimous resolution of

appreciation. Director Brett read aloud a few highlights from the resolution of appreciation, which he presented to the Board of Regents:

“The Board of Directors of the Corporation for Public Broadcasting recognizes the extraordinary contributions of Wisconsin Public Radio and Wisconsin Public Television on the occasion of the 100th anniversary of voice broadcasts of 9XM, the experimental broadcast station licensed to the University of Wisconsin. The inauguration of these voiced broadcasts is recognized as the earliest public broadcasting service in the country....

...Wisconsin Public Radio and Television have extended the learning resources and expertise of the University of Wisconsin, so that all may take full and equal advantage of civic and economic opportunity, make broad and deep social connections and strengthen our democracy....

...We mark the 100th anniversary of 9XM’s first broadcasts and the service and excellence of Wisconsin Public Radio and Wisconsin Public Television with respect, admiration and gratitude.”

Director Brett said that for the last 100 years, and for the next century, Wisconsin Public Broadcasting’s passion for the Wisconsin Idea and its service to Wisconsin audiences has and will continue to be driven by its audience’s needs. He then presented a framed copy of a Radio Hall mural commemorating the launch of Wisconsin Public Broadcasting, which was completed by art student John Stella in 1943.

He explained that this mural not only captures the organization’s history, but also expresses the magical confluence of technology, information, and audience-centric programming which is Wisconsin Public Broadcasting’s hallmark. Looking at the mural, one sees students and researchers advancing science and technology on the left, administrators and professors shaping academic outreach in the center, and program creators engaging the public in the work of those researchers and professors to the right.

The transformational innovation of Wisconsin public media continues to evolve, reaching audiences in ways that were once unimaginable, from the milking parlor to the home, the office, the car, and any device anywhere in the world that can be connected to the Internet. Beginning with a seminal broadcast from a small lab to a single home in Madison, the experiment of Wisconsin Public Broadcasting blossomed over a century.

Today, the organization has partners at the Education Communications Board and at campuses around the state. It now serves 500,000 listeners and 500,000 Wisconsin Public Television viewers each and every week, through uncounted radios, televisions, smart phones, tablets, and receivers.

Director Brett concluded that Wisconsin Public Broadcasting is mindful of its legacy, but is focused on the future and how it will serve Wisconsin moving forward. He said the program

looked forward to reporting back to the Board of Regents on its second hundred years, and thanked the Regents for their support and appreciation of its work.

Discussion

President Behling opened the floor to questions or comments from the Regents.

Regent Millner recalled newly arriving in Wisconsin in 1976 as a young wife and stay-at-home mother with three children. As she scrubbed floors, “University of the Air” was her entertainment; but what she valued most of all was the news from around the state, which she had never experienced before in the other states she had lived in. Indicating that this feature really introduced her to the state of Wisconsin in a unique way, she invited Director Brett to speak about the kind of reporting WPR does throughout the state.

Director Brett answered that WPR’s statewide reach is the product of many people’s visions, with the Wisconsin Idea at the core. In the 1950s, a bipartisan committee of the legislature led by Senator Walter John Chilsen and Representative David Obey realized that the public broadcasting flourishing in Madison and Milwaukee was something that the rest of the state ought to experience.

As public radio licenses and television licenses were disbursed around the state, the university realized it had the opportunity to band together and create a statewide service to connect information, culture and entertainment, which could become an essential part of the quality of life for people in the state. Director Brett observed that though content is important, it was through the vision of the university to invest and apply for licenses early, the enthusiasm of people around the state to support the stations, and the state legislature’s investment in building out that infrastructure that Wisconsin Public Broadcasting was able to create that statewide identity.

More recently, the university and the Education Communications Board made common cause to consolidate resources to best reach and serve all audiences around the state; Director Brett pointed to this as a time when Wisconsin Public Broadcasting’s work really blossomed.

Regent Steil, who had the privilege of serving on the Educational Communications Board with Director Brett, asked him to comment on what he sees as the future of public broadcasting in the next hundred years.

Director Brett stated that the future is more confusing than ever. He indicated that the technology Wisconsin Public Broadcasting uses and the way it gets used are absolutely determined by how the public will receive the material. Over time, broadcasting has moved from AM radio to FM radio, from FM radio to television, and then to high definition radio, high definition television, and the Internet. WPR and WPT will be creating more and more content that can be found through different mediums.

More often the question is being asked, “Will our material be discoverable?” Director Brett pointed out that in the past programming was discoverable through TV Guide, but in the

future, people will find Wisconsin Public Broadcasting based on the very specific material that they want. The organization is constantly testing – “often succeeding and sometimes failing” – at developing new resources that will be embraced online. He added that, however they access it, if content is valuable people will find it.

Currently the organization is working hard to develop new packaging, which means shorter presentations, and has invested significantly in developing an online presence to make sure it can meet audiences wherever they are. Director Brett described one new project that UW-Extension invested in early, called WisContext, which is based on the recognition that people are interested in certain informational areas and in certain amounts of depth.

Using the knowledge that comes from colleagues at Cooperative Extension, public radio and public television, WisContext offers a broadcast and web service that presents a wide range of information about any given topic. For example, on the topic of a drought it will provide news about the issue, information about the economic impact, what it means to individual gardens, and maybe crop prices. WisContext brings all of this information together in a coherent way so it is discoverable.

Regent Evers commented that he had the pleasure as a first grader to participate in “Let’s Sing!” and also had the opportunity to take a class at Radio Hall as a student.

Noting that almost all media, including public media, has been attacked due to perceived bias, Regent Evers asked Director Brett how Wisconsin Public Broadcasting responded to those attacks.

Director Brett stated that Wisconsin Public Broadcasting’s first obligation is to serve everyone in the state, which means recognizing that many perspectives exist, and that the service has a responsibility to bring forward many of those perspectives. He said the organization works extremely hard at maintaining, developing, communicating, and testing itself on its thoroughness, accuracy, and fairness.

Director Brett noted that when WPR and WPT invite elected officials, prominent leaders, or university presidents to come on the air, most will typically answer, “Yes.” He suggested that this is because these people know when they come on the air they will get a fair shake – they may get asked difficult questions, but those questions will be fair, researched, and relevant.

Director Brett indicated that he regularly meets with senior staff and editorial staff to make sure Wisconsin Public Broadcasting is adhering to its obligations and policies regarding fairness and, to whatever degree possible, finding balance in presenting issues. He added that the program’s listenership, viewership, and donors come from all perspectives and find Wisconsin Public Broadcasting to be an authentic and credible source.

Regent Hall offered her congratulations on Wisconsin Public Broadcasting’s 100th anniversary. Noting that she once had the honor of representing the Board of Regents on the Educational Communications Board, Regent Hall indicated that she had learned how critical public television is because of the various stories and viewpoints being shared, in ways that

allow for a great deal of education on issues that are close to the heart and can be very sensitive. She saluted Director Brett for all that he has done through some challenging times, as Regent Evers had indicated, to provide the public with needed information.

Regent Higgins recalled that there have been challenges to WHA's claim of being "The Oldest Station in the Nation." Joking that he would "dare anyone to prove it's not true," Director Brett explained that KDKA in Pittsburg, part of the Westinghouse Network, also has a claim to being the oldest station in the nation. He clarified that WHA is the oldest public broadcaster in the nation, and is indisputably the longest consecutively broadcasting station in the nation. During World War I, when every other radio station in the country was required to turn off its transmitters for security purposes, WHA partnered with the Navy to do some testing over the Great Lakes.

President Cross asked Director Brett to discuss the sources of funding for Wisconsin Public Broadcasting.

Director Brett explained that when he first started, public broadcasting was about 80-percent government-funded. Currently, about 10 percent of the budget for Wisconsin Public Broadcasting is funded by the federal government; about one-third of the budget is funded through the university and the Educational Communications Board; and the remainder is funded through gifts. He suggested that the quality of Wisconsin Public Broadcasting's service is a reflection of some very assertive fundraising.

Fundraising continues to grow as both a percentage (due to the decline in federal government funding) and in real dollars. Director Brett credited the organization's hard work to develop its membership base, which is growing. WPR has well over 50,000 contributors each year, and WPT has grown over the last few years from mid-50,000 to over 60,000 families contributing annually. Indicating that the organization also courts funding from foundations and other large donors, Director Brett said that Wisconsin Public Broadcasting's aspirations for service always exceed its capacity.

Noting that Director Brett recently announced that he would be retiring in late spring 2018, President Cross took the opportunity to thank him for his outstanding service. Director Brett has been a national leader in public broadcasting throughout his 34-year career, serving as Director of Television at WPT prior to his tenure as BAM! Director. He is widely recognized for his support of the mission and power of public broadcasting, and the special role that the station plays in local communities.

President Cross said that Director Brett embodies the principles and values of those that founded WHA, and has worked to instill and promote those principles and values in the employees of WPT, WPR, and throughout broadcasting nationally. Offering his congratulations, President Cross wished Mr. Brett all the best and thanked him for all he has done for public broadcasting in Wisconsin and throughout the United States.

President Cross also recognized Gene Purcell, executive director of the Wisconsin Educational Communications Board, who was present in the gallery. He noted that the partnership between Director Brett and Mr. Purcell has been “a wonderful thing for Wisconsin.”

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UW VETS CERTIFICATION

President Behling reminded his colleagues that President Cross – who is a Vietnam veteran – launched a program during his first year in office to recognize and inspire the great work being done by UW System institutions to support veterans on campus.

Student veterans represent a relatively small portion of the total students on UW campuses – less than 3 percent – but they are also a growing segment of the campus population. Since the Wisconsin G.I. Bill was implemented in 2005, the number of student veterans and dependents served by UW institutions has more than doubled. President Behling said the Board of Regents would now recognize the significant work on behalf of veterans at seven UW campuses.

President Cross indicated that over the years, the UW System has made a strong commitment to the veterans who come to its campuses, and is regularly recognized as providing veteran benefits that are among the most comprehensive in the nation. The System is also well known for the supportive services provided by its campuses for veterans and family members.

Three years ago, the UW System created the UW System Veterans Education and Transition to Success (VETS) certification program, which is designed to recognize campuses that have met a rigorous series of criteria in helping student veterans succeed. To earn this certification, campuses must do the following:

- Train campus faculty and staff on issues that student veterans may face in transitioning to college, including scheduling, making connections, study habits, and health and welfare challenges;
- Conduct regular surveys of student veterans to identify needs and get input;
- Establish a campus steering committee composed of student veterans, faculty, and staff to share information and provide guidance to campus leadership;
- Provide student veteran-focused orientation programming;
- Identify internal and external counseling resources to assist student veterans with academic, financial, and social concerns; and
- Provide a dedicated space on campus where student veterans can meet peers and receive help with benefits, enrollment, and connecting to supportive resources.

President Cross stated that the VETS program helps to publicly salute an institution's commitment in the broad areas of facilities, training, data and research, affordability, leadership, services, and collaboration – all with the larger goal of making their education experience more accessible, affordable, and successful.

President Cross indicated that seven institutions had met the criteria in 2017 and would be presented with their VETS certifications: UW-Eau Claire, UW-La Crosse, UW-Oshkosh, UW-Parkside, UW-Platteville, UW-River Falls, and UW-Stout. He then invited the chancellors and other representatives from each of these institutions to come forward to receive an honorary plaque.

After the presentation of the plaques, President Cross congratulated the chancellors and their respective UW campus communities. He stated that all of the UW System's four-year institutions are now VETS-certified, "which is something we can be very proud of." He concluded that the high caliber of services and programs being provided is what all of the University of Wisconsin's students and veterans deserve.

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President Behling announced that the Board would recess for lunch and reconvene at 12:30 p.m.

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RESTRUCTURING OF UW COLLEGES AND UW-EXTENSION

Before opening discussion about the UW Colleges and UW-Extension restructuring proposal, President Behling said a few words about the work President Cross, his team, and the chancellors had done in bringing this proposal forward.

Stating that the Board of Regents must be focused on reforms, President Behling said that – whether tenure or executive hiring practices – it is the Board's job to help bring the UW System into the 21st century. President Cross's proposal would be the next step in that effort, and he and his leadership team have found a way to make the System more efficient and serve students and communities more effectively, without closing any doors.

President Behling indicated that the chancellors have also stepped up to the challenge, offering innovative and exciting new possibilities for the two-year campuses. That includes Chancellor Sandeen, who not only led a significant effort to improve efficiencies and enact reforms at both UW Colleges and UW-Extension, but also worked closely with President Cross and the other chancellors in the development of this proposal.

President Behling concluded that he looked forward to the Board's discussion, and applauded President Cross, his team, and the chancellors for thinking outside of the box and embracing reform.

Introduction

President Cross indicated that the proposal he would present to restructure a major part of the University of Wisconsin System could potentially be the most significant reorganization considered by the Board of Regents since 1971, the year of the merger that created this great System. Just as it was back then, he said the primary concern is ensuring that the university is prepared for what might lie ahead 10, 15, or 20 years down the road, and to ensure that the UW System is in a position to best serve its students, the state of Wisconsin and its people.

As the UW System considers the future, President Cross said the university must better understand its current environment, the challenges it faces, and the things that matter most to its primary stakeholders: the people, communities, and businesses of Wisconsin. He then reminded the Regents that a portion of his “dream” for the University of Wisconsin System and the State of Wisconsin, which he had shared during the introduction of the 2020FWD strategic framework, is a future where “the people of Wisconsin, regardless of their past experiences or financial circumstances, have an opportunity to earn a college degree.” President Cross said this would mean maintaining and even expanding access to the university, assuring affordability, continuing to simplify and streamline transferability, and providing enhanced advising in order to grow the number of college graduates that Wisconsin desperately needs.

His dream also includes a future where “the communities of Wisconsin are places where people enjoy vibrant and well-rounded lives, and where community members are informed, engaged, and fulfilled.” Indicating that the UW System has long played a key role in supporting and enriching local communities – helping their economies grow, enriching their culture, serving their citizens, and making the communities more vibrant – President Cross emphasized that this must continue. He added that vibrant communities attract millennials, families, people, and businesses with the big ideas and resources that Wisconsin needs to thrive in the future.

Finally, President Cross said that his dream also includes a future where “Wisconsin businesses and organizations are closely connected to the university through strong partnerships.” President Cross said that these mutually beneficial partnerships are critical. As the UW System continues its efforts to grow the number of college graduates in the state, it must also help to connect more students with Wisconsin employers to keep valuable talent, ideas, and resources in Wisconsin.

Wisconsin’s Demographics

To realize this dream or vision, President Cross stated that the UW System must better understand its changing environment. As the Board had discussed at its last meeting, Wisconsin faces some very pressing demographic challenges. Over the next 30 years, 95 percent of Wisconsin’s population growth will be people age 65 and older. Conversely, the state’s population between the ages of 18 and 64 – the traditional workforce years – is projected to remain essentially flat, with an anticipated growth rate hovering at about 1 percent.

At the same time, the demand for college-educated workers is stronger than it has ever been. President Cross added that this demand is expected to grow significantly. The

Georgetown University Center on Education and the Workforce projects that by 2020, 62 percent of jobs in Wisconsin will demand some post-secondary education. He observed that the dilemma is clear: While demographics indicate there will be fewer working-age adults in the state, Wisconsin will also need more of them to be college-educated.

Exacerbating these challenges is yet another demographic reality – the population is increasingly shifting from rural locations to urban centers. Rural and smaller communities are facing significant challenges in their efforts to retain and attract people. This is a national trend, and the upper Midwest states are experiencing this more severely than most.

Additionally, fewer and fewer students in rural areas are pursuing college degrees. According to the National Center for Education Statistics, while 42 percent of people ages 18 to 24 are enrolled in some form of higher education, only 29 percent come from rural areas, compared to nearly 48 percent from more urban areas.

Concluding that together these trends reflect the UW System's changing environment, President Cross noted that the University of Wisconsin has a long history of adapting to change. From helping the state become an agricultural and dairy powerhouse, or one of the country's leading manufacturing centers, or home to the latest high-tech enterprises for advanced imaging, the UW System has always been committed to working with and for the people of Wisconsin.

UW Colleges Enrollment

President Cross indicated that to help invigorate the state's economy and enhance the quality of life for all of Wisconsin's citizens, the UW System must find a way to maintain and expand access to the university and keep it affordable for Wisconsin students and families. The System must work to ensure that the University of Wisconsin is the place to go for the high school student in Racine; the single mother of two in Tomah who wants to return to school; the 45-year-old in Peshtigo who wants to change careers; the father in West Bend who wants to complete his degree, but cannot quit his job to do so; and the aspiring entrepreneur in Marshfield who may have the next big idea. All of these people have dreams – and it is the UW System's goal to help these dreams become reality.

Over the years, the UW Colleges have played a vital role in making these dreams come true by carrying out one of the UW System's core missions: bringing higher education to the people of Wisconsin, as well as providing a place for them to come for higher education. With their distinct transfer mission, lower cost, diverse regional presence, and the devotion of their faculty and staff to this noble mission, President Cross stated that the UW Colleges exemplify the UW System's commitment to providing wide access to affordable, quality higher education for all Wisconsin residents.

Observing that the enrollment challenges facing the UW Colleges are not new, President Cross noted that all enrollment numbers and trends are discussed annually at Board meetings. In October 2017, the Board of Regents turned its attention to the 32-percent decline overall in the number of full-time equivalent students at the UW Colleges since 2010. On some campuses, the

decline is over 50 percent. “Clearly, the status quo is not sustainable,” President Cross concluded.

The UW Colleges – under the leadership of Chancellor Sandeen – have enacted major reforms and restructuring efforts over the past three years to help manage their declining enrollments and budget reductions. President Cross said these efforts have been both courageous and extensive, and he commended the UW Colleges for their leadership in the face of these challenges. He additionally thanked the faculty, staff, and students of the UW Colleges and their local communities for all of their hard work.

Restructuring Options

President Cross pointed out that with lower enrollments and limited revenues, it will become increasingly more difficult for some campuses to offer the array of diverse courses needed to sustain a quality liberal arts associate degree if they stay on the same path. Therefore, the Board of Regents must consider whether the current structure of the UW Colleges within the UW System is appropriate. President Cross submitted that the UW Colleges and UW-Extension have four restructuring options:

Option 1: Do nothing and maintain the status quo. President Cross suggested that the UW Colleges could probably maintain the status quo for another couple of years – but that is it. The changes already implemented in the UW Colleges have allowed them to continue to operate, but they are rapidly approaching the limits of viable sustainability. Waiting another couple of years would further drain available resources, making any future transition even more difficult.

Option 2: Close a few of the UW Colleges campuses. President Cross argued that closing campuses would violate one of the UW System’s core principles: its commitment to provide quality higher education that is accessible and affordable, no matter where one lives in Wisconsin. The demographic challenges, coupled with the need for a more college-educated workforce, only reinforce the importance of continuing to prioritize access and affordability for current and future students. Furthermore, closing campuses would remove a vital economic and cultural anchor in these communities. The UW System’s presence in these communities has never been more important, he said.

Option 3: Merge the UW System’s two-year campuses with the state’s technical colleges to create a community and technical college system. While this idea has been around for some time, President Cross said it would be incredibly complex financially because of the different funding systems for the two entities, with unknown ramifications for taxpayers. A merger with the technical college system also would require legislative approval, “another potentially lengthy process.”

Additionally, some argue that a merger with the technical colleges would detract from the distinct missions of each system: a focus on the liberal arts might distract from a technical education focus, or vice versa. Finally, President Cross warned

that such a merger would compromise the UW System's commitment to maintain a meaningful presence in communities around the state.

Option 4: Integrate the UW Colleges with a number of the UW System's four-year comprehensive and research institutions. As part of a broader restructuring, the Cooperative Extension division would be moved within UW-Madison, and the three remaining divisions of UW-Extension would be moved directly under UW System Administration.

President Cross said that this final option was the proposal he would present to the Board of Regents. The primary objectives of integrating UW Colleges with other institutions include the following:

- Maintaining and expanding access to higher education at the two-year campuses;
- Continuing to identify and reduce barriers to transferring credits within the UW System;
- Maintaining affordability and continuing current tuition levels at the two-year campuses;
- Further standardizing, consolidating, and regionalizing administrative operations and services;
- Leveraging regional resources and shared talent at these institutions.

President Cross reminded the Regents that the UW System has been engaged in ongoing consolidation and streamlining efforts as part of its Commitment to Operational Reform and Excellence (CORE) agenda. He noted that the intersection of the CORE agenda and the restructuring of UW Colleges and Extension would allow for even greater standardization of processes across campuses and the consolidation and regionalization of services.

Though the primary purpose of this proposed restructuring is not to save money, President Cross suggested that over time, these efforts would generate savings due to greater operational efficiencies, while improving services provided to students, faculty, and staff. Noting that any restructuring, regardless of the type of organization, requires a settling-in period, he acknowledged that it would take some time before the UW System could identify actual savings.

Asking for the Board's support in moving forward with this proposal, President Cross said that the UW System could continue to study this issue for months, or even years, before coming to a decision. While recognizing that this is a significant and important change for the UW System, particularly for its students, faculty, and staff, as well as the communities it serves, President Cross stated that the challenges the System is facing will not change.

Would additional debate change the demographic trends? Would further study generate more options? Would the UW System's commitment to the foundational principles of access, affordability, and community engagement change with further study? President Cross said he believed the answer to these questions is "no." He added that nuanced variations of the available options could mostly be identified during the implementation phase, should the Board adopt this restructuring proposal.

Key Aspects of the Proposal

President Cross stated that the proposed restructuring is the one viable option that allows the UW System to uphold its core principles while also serving the most pressing needs of its students and the state, both now and in the future. It will provide new tools to move forward despite the challenges. It also will allow the System to maintain the university presence in these communities, and bring new programming to some of the communities in discipline-focused areas. Finally, it will allow UW institutions to share regional resources to improve efficiency and effectiveness over time.

President Cross emphasized this was a proposal to help move toward a vision for what the University of Wisconsin System should be in the future; it was not a fully-developed plan with all the details worked out. Should the Board of Regents approve this restructuring proposal, he said the UW System would move forward to engage shared governance leaders, including students, faculty, staff, and administrators, as well as business and community leaders and other stakeholders to develop a comprehensive plan and implementation process.

Within that context, President Cross said he would describe the basics of the proposal. As previously mentioned, the cornerstone of the proposal is the integration of each of the 13 campuses within UW Colleges into a four-year comprehensive or research UW institution, effective July 1, 2018. The proposed realignments include joining:

- UW-Barron County with UW-Eau Claire;
- UW-Manitowoc, UW-Marinette, and UW-Sheboygan with UW-Green Bay;
- UW-Washington County and UW-Waukesha with UW-Milwaukee;
- UW-Fond du Lac and UW-Fox Valley with UW-Oshkosh;
- UW-Baraboo/Sauk County and UW-Richland with UW-Platteville;
- UW-Marathon County and UW-Marshfield/Wood County with UW-Stevens Point; and
- UW-Rock County with UW-Whitewater.

President Cross indicated that a variety of factors were examined in coming up with these pairings, including geographic proximity, transfer rates, existing partnerships, programmatic compatibility, and the opportunity to grow local communities. The UW Colleges Online would remain a separate entity within its move to UW System Administration.

The proposal also calls for the Cooperative Extension division of UW-Extension and the UW-Extension Conference Centers to become units within UW-Madison, the state's land-grant institution. President Cross pointed out that this alignment would be consistent with the practice in other states, including Illinois, Iowa, Michigan, Minnesota, Ohio, and Pennsylvania, just to name a few. It would also provide greater opportunities to connect the important applied work of Extension agents with evidence-based research at UW-Madison.

Other divisions of UW-Extension would be moved as units under UW System Administration, including:

- The Division of Business and Entrepreneurship;
- The Division of Broadcasting and Media Innovation, which includes Wisconsin Public Television and Wisconsin Public Radio; and
- The Division of Continuing Education, Outreach and E-Learning (CEOEL), including the UW Flexible Option.

Reiterating some of the key aspects of the restructuring proposal, President Cross said that all UW Colleges campuses would continue providing associate degree programming. In fact, the UW System wants to bring more classes to the two-year campuses, including possibly offering upper-level courses on-site where demand exists. The goal is to expand the opportunities available to students and to attract more students into the educational pipeline. Keeping campuses open also means the UW System maintains its presence in communities across the state – where it can continue to focus on unique regional needs, while leveraging the strengths of the entire UW System.

President Cross indicated that credits would transfer to all UW institutions as they do now. The goal is to make the process even easier and smoother, which should help students advance through and complete their college experience at whichever UW institution they choose.

He added that tuition levels at the UW Colleges would stay affordable. Post-integration, the UW System would maintain the existing lower tuition levels for classes currently offered at the two-year institutions, as part of its ongoing commitment to access and affordability.

Finally, administrative operations and services could be further standardized, regionalized, and consolidated – reflecting the UW System’s CORE (Commitment to Operational Reform and Excellence) agenda – which would generate savings in the long term due to greater operational efficiencies.

Implementation Framework

President Cross recognized that the proposed restructuring of UW Colleges and UW-Extension was generating a lot of questions and anxiety. Though he indicated that the proposal is clearly in the early stages, he said that the UW System had developed a restructuring website where it would try to provide as many answers as it can, as quickly as it can. A link to this website had been added to the UW System’s homepage.

Saying that they would continue to update this webpage as new information becomes available, President Cross added that it would also provide a place for people to submit questions and comments that will help to further inform and refine the System’s planning efforts.

If the Board were to approve the proposal, President Cross reiterated that the UW System would proceed to fully engage with shared governance stakeholders – students, faculty, staff, and campus communities – as well as other stakeholders, to explore this opportunity in greater depth and develop the plan and implementation process. He indicated that the Steering Committee would meet very quickly after the Board’s approval to begin the implementation planning process.

President Cross concluded that this proposal would empower the UW System to meet the challenges it faces while upholding its longstanding commitment to provide wide access to affordable, quality higher education for all Wisconsin residents. The mission and the responsibility of the University of Wisconsin System has been to ensure that it is a university focused on meeting the needs of its students, the state of Wisconsin and its people – now and in the future. Stating his belief that this proposal would help the System do that, President Cross asked for the Board’s approval to “help keep moving Wisconsin forward.”

Panel: Shared Governance Representatives

After thanking President Cross for his presentation, President Behling announced that the Board would next hear testimony on this proposal from a number of key stakeholders, including representatives of shared governance, members of county government and local chambers of commerce, and the chancellors. After everyone’s testimony, the Regents would have the opportunity to follow up with questions or comments for President Cross or President Behling.

To get started, President Behling invited representatives of the UW System’s shared governance groups to join the Regents at the table, including Stephen Beers of UW-Extension, representing academic staff; Dr. Holly Hassel of UW Colleges, representing faculty; Jeremy Johanski of the UW System Service Center, representing university staff; and Nick Webber, a student at UW-Eau Claire.

Stephen Beers, Academic Staff Representative

Mr. Beers thanked the Board of Regents for the opportunity to share perspectives from the academic staff professionals who make up roughly 35 percent of all University of Wisconsin employees. While there is no simple way to represent the opinions of over 15,000 people, he said he would at least identify two groups and share the points most salient to the Regents’ deliberations.

First, there are the academic staff within the organizations being restructured – UW-Extension and UW Colleges. Mr. Beers asked the Regents to consider the entities within UW Extension “as trees, not seeds.” Trees are complex organic systems which are more than the sum of their individual parts, and the UW Colleges and UW-Extension trees are “flourishing.”

The Division of Continuing Education, Outreach and E-Learning is delivering higher education online to over 8,000 students, including 1,400 through the UW Flexible Option program, who would not normally find a place in higher education. Mr. Beers noted that programs like this require agile development and integrations with multiple institutions to succeed.

As the Regents had heard that morning, the Division Broadcasting and Media Innovations offers world-class content through 34 radio stations, and television programming that reaches 1.4 million viewers, because it has crafted a distinct entity apart from any single institution.

The Divisions of Cooperative Extension and Business and Entrepreneurship actively manifest the Wisconsin Idea by taking education out of the classroom and into the homes, farms and businesses of Wisconsin. Mr. Beers said that these UW-Extension divisions are actively grounded in local communities across the state; they have put down deep roots and matured over a long time.

Mr. Beers indicated that the academic staff inside UW Colleges and UW-Extension foresee opportunities ahead so long as each entity retains a meaningful identity true to its mission: “We cannot be reduced to seeds to be planted elsewhere.” He asked the Board to help these programs make this transition with their identities intact into new and more favorable soil, so that they can continue their mission-driven commitment to workforce and educational development.

Second, there are the academic staff outside of UW-Extension and UW Colleges who see both opportunities and challenges ahead. Mr. Beers said that this group is excited to make education more accessible and more affordable to rapidly changing audiences. Given the aggressive restructuring timeline, he asked on behalf of these academic staff that the UW System devote time and resources to the “difficult yet important conversations” that must accompany such large scale change.

This would include conversations about consistency in how the four-year campuses integrate, fund, and operate their new two-year partners; how services currently centralized in UW Colleges and UW-Extension, such as human resources, libraries, information technology, and more, will be integrated and budgeted in their new four-year homes; and how existing shared governance bodies can continue to have a meaningful voice. It would also include honest and transparent discussions about pay scale differences and positions that may be eliminated.

Mr. Beers indicated that one academic staff member told him, “We see opportunities, but only if handled in a thoughtful, deliberate, respectful, and transparent process.” He again asked the UW System to respect the institution’s identities, be willing to have difficult conversations, and let academic staff move ahead and continue to expand the University of Wisconsin’s reach throughout the state and beyond.

Dr. Holly Hassel, Faculty Representative

Dr. Holly Hassel informed the Regents that she had served as the UW Colleges faculty representative to the UW System for the past two years. In that time, she said she had attended most Board meetings and had regularly heard the goals and ambitions of the UW Colleges campuses described as “focused on attracting and recruiting talent,” and “attracting the best and brightest,” whether referring to students, faculty, administration, or staff.

She invited the Regents to consider another set of values for what the UW does as she offered her thoughts on the impact of the merger proposal of the UW System. She suggested that the UW Colleges campuses located throughout the state have never been about serving only top talent or only the best and brightest. Rather, these campuses cultivate and grow talent in the

places that they are: serving the needs of the communities and the surrounding areas where they are located, and bringing whatever a UW education has to offer to those places.

The UW Colleges campuses have recognized that place-bound adults cannot and should not have to uproot their lives to attend college. In 2016-17, 94 percent of UW Colleges students were Wisconsin residents, compared with just 55 percent at UW-Madison.

Dr. Hassel shared some of the answers written by students in her English 101 Critical Reading and College Reading section when asked, “Why is UW-Marathon County the right place for you right now?” She indicated that almost all of the students in the class identified affordable tuition as an important reason. Several students cited how important it was to have a local college because of the responsibilities they have to immediate family or dependents, while others cited small class sizes and professors who could “connect with me and help me out if I am struggling.”

One student from Lac du Flambeau cited the importance of the UW-Marathon County campus being affordable and close to home, as well as offering him the chance to play basketball. This student reported that the cost of going directly to UW-Stout, where he eventually hopes to transfer, would be \$33,000 for his general education courses. Dr. Hassel said the student indicated that this “was not affordable for me and my family.”

Expressing her appreciation that the proposed resolution asserted a commitment to college affordability and the tuition differential at the UW Colleges campuses, Dr. Hassel said she hoped future Boards and receiving chancellors will recognize and think carefully about how any future adjustments to branch-campus tuition would effectively price most of the students those campuses serve out of higher education altogether.

Dr. Hassel said the students at UW Colleges campuses work hard and do not take their education for granted or feel entitled. These students want to be teachers, nurses, engineers and small business owners. Students come to the UW Colleges campuses because they create opportunities for a life and a career that are rewarding, and which offer stability and a way to support their families. These students plan to live in the communities where they grew up or nearby, she continued, and UW College campuses build talent, capacity and stability in the state of Wisconsin.

Dr. Hassel asked the Regents to remember the stories and goals of UW Colleges students like hers as they consider the results of the proposed restructuring in the future, and to remember what these students say they need in a university: affordability, access, support, personal attention, and community roots.

Saying she has always been proud to work for the UW Colleges, Dr. Hassel explained that as a first-generation college student herself she shares the goals and dreams of the students who come to the UW Colleges campuses. She expressed hope that the UW System would continue to prioritize access to “all students who want to work hard and pursue self-improvement to support their families and build their communities.” She asked that the Board of Regents and

the chancellors of the four-year institutions “indefinitely honor the access and affordability for a UW education” that the UW Colleges have provided.

Jeremy Johanski, University Staff Representative

Mr. Johanski indicated that President Cross had provided shared governance representatives with a fair overview of the restructuring proposal at their recent meeting on October 27. What the representatives heard, he said, was a mix of budget concerns and restructuring news that led to the anxiety and fears prevalent at all of the institutions.

Mr. Johanski noted that with this proposal students are largely the winners – and they need to be. Access to education is one of the most vital aspects that the UW Colleges and UW-Extension have to offer. Communities win as well, he added, because keeping those access points in the communities engages the economy across the state.

He indicated that the concerns of the university staff representatives are partially due to the lack of details as to what the restructuring options are going to look like in each regional entity. Some of these points raised by university staff representatives had been provided to Regents for their review.

Pending the Board’s approval of the restructuring proposal, Mr. Johanski requested that shared governance groups have the access and participation guaranteed to them within the proposal. He noted that university staff are in a unique position in that they cannot supersede certain work rules and hours without giving notice to and receiving prior approval from their supervisors. Emphasizing that university staff want to be engaged, he indicated that they need flexibility to participate in these conversations and to attend these meetings.

Stating that he and many other university staff were willing to put in the long hours President Cross had indicated were needed to get some of this work done, Mr. Johanski said that to do so they cannot be handcuffed by the requirement to receive prior authorization in order to, for example, spend an extra hour at a meeting of great importance. Without the time and flexibility to stay in the conversation, the hands of the university staff representatives are effectively tied and their voices are limited.

Mr. Johanski said that if the Regents grant university staff representatives the ability to supersede work rules and hours when necessary, and only for this exceptional cause, this permission would need to be communicated to their individual work units, divisions and supervisors.

Mr. Johanski also pointed out that work units and departments should not necessarily have to compensate the time university staff representatives will spend on the restructuring implementation committees. With already-tight budgets around the UW System, he suggested that funding be dispersed to compensate departments for the time spent by university staff and other shared governance representatives on this project and proposal.

Mr. Johanski concluded that to make this proposal work all stakeholders need to be engaged and have the freedom, communication, and resources to do so without creating further anxiety and stresses.

Nick Webber, Student Representative

Mr. Webber thanked President Cross and the Board of Regents for providing him the opportunity to speak on behalf of the students regarding the proposed restructuring of the University of Wisconsin System.

Noting that the UW System is faced with its fair share of challenges, Mr. Webber said that the restructuring proposal addressed enrollment problems, funding issues, and cost savings all at the same time. He indicated that such bold actions on behalf of the UW System would typically prompt him to ask the Board to consider the welfare of the students, highlighting the strengths of the two-year institutions and reminding Regents of the importance of shared governance in higher education.

Speaking as a fellow Wisconsinite, Mr. Webber said that though the state's citizens come in many different shapes, sizes, lifestyles, morals and convictions, they pride themselves on Wisconsin's history. As the university and the state face the challenges of tomorrow, Mr. Webber suggested that the question is not, "What is the easiest way to address these obstacles?" but rather, "What is the best way?"

Mr. Webber said he would ask the Board for something small but meaningful to the next generation of students who would someday sit in the Regents' seats. He asked that the Regents remember that the UW System is different from the rest of the country; that years ago this state and this institution were founded on an unbelievable promise to the future; and that the students also have hopes and dreams for the future of Wisconsin.

Inviting the Board to take the next step with the students, Mr. Webber said it would be easy to deny students voting capacity on the UW System steering committee tasked with restructuring, and that it would be easy for the students to walk away and say, "We did all we could." He then added, "But everyone in this room knows that the easiest road is most likely not the road to success."

Mr. Webber again requested that President Cross and the Board of Regents of the University of Wisconsin System support true student representation by allowing a voting member of the student body to the steering committee. He also reminded the chancellors in the room of the importance of student participation at all regional levels, saying that this was a time to shake hands and move forward together. "We are made of our past, but we make our future," he concluded, "and we the students want to be a part of it."

President Behling thanked Mr. Beers, Dr. Hassel, Mr. Johanski, and Mr. Webber for their hard work and contributions to the UW System.

Panel: Local Government and Chamber of Commerce Representatives

President Behling said the Board would next hear from members of county government and chambers of commerce, including Dave Eckmann, president and CEO of the Wausau Region Chamber of Commerce; Paul Farrow, the county executive for Waukesha County; and Brad Karger, chief administrative officer for Marathon County. He thanked these individuals for taking the time to come speak on this issue.

Dave Eckmann, President and CEO of Wausau Region Chamber of Commerce

Mr. Eckmann introduced himself as the president and CEO of the Wausau Region Chamber of Commerce, a business organization in Wausau with 880 members, including both small and large businesses. The Chamber also represents local education community nonprofits.

Mr. Eckmann explained that his organization is in a unique position to tie together Wausau's business and industry, K-12 education, post-secondary education, municipal government, county government, and nonprofit communities. He also had a unique perspective, having worked at UW-Stevens Point in an economic development role for the past 12 years, and having worked in workforce development before that.

In his recent experience as a dissertator finishing his doctoral studies, Mr. Eckmann examined the role of the UW comprehensive university in economic development. Given his research in competitiveness, he indicated that a community the size of Wausau – which includes 40,000 people in the City of Wausau and another 90,000 in the metro area – cannot be without a UW institution.

Mr. Eckmann said that Wausau has a distinct opportunity to compete in the global knowledge economy with UW-Marathon County. He added that the comprehensive nature of UW-Stevens Point is also extremely important to the central Wisconsin region, especially with its ties to UW-Marathon County and UW-Marshfield/Wood County.

Mr. Eckmann briefly reviewed two events: In 1933, the UW-Marathon County teaching college was re-established as a UW Center. In 1971, the UW System merger took place. He suggested that this merger was the last transformational act of the University of Wisconsin, which is now facing a competitive global economy. Wisconsin communities like Marshfield must have a UW institution present, he said, or they will lose in this global economic game.

Indicating that Wausau business and community leaders support the restructuring proposal, Mr. Eckmann said that, of the options that President Cross laid out, closure cannot be an option. Speaking from his experience in economic development and higher education, he suggested that there are pathways to create new opportunities which will allow UW-Stevens Point, UW-Marshfield/Wood County, and UW-Marathon County to develop something very special – something that aligns the core mission of teaching, research, and service in academic programming to the needs of the regional economy and the driving sectors of manufacturing, business, finance, insurance, health care, and commercial services.

Mr. Eckmann concluded his remarks by asking for the Board's support in the restructuring of the UW System.

Paul Farrow, County Executive for Waukesha County

Mr. Farrow introduced himself as the county executive of Waukesha County, the third largest county in the state. It has the largest two-year college in the state, a population of about 400,000 people, and an operating budget of just over \$300 million.

Mr. Farrow said he would offer two different perspectives. Looking first at what the proposed restructuring would mean to his county, he reminded the Board that the maintenance of facilities at the two-year UW-Waukesha campus is on the rolls of the county, equating to roughly \$1 million per year. He indicated that potential opportunities must be weighed against how the restructuring would work for the constituency in Waukesha.

Stating that UW-Waukesha is a great opportunity for his county, Mr. Farrow said he has had many conversations with President Cross about whether it is being utilized effectively. That issue is part of what the Regents would be looking at when considering how to potentially realign the two-year UW Colleges. He added that the idea of joining the UW Colleges to the four-year comprehensive universities is not new.

Mr. Farrow also considered the restructuring proposal from another perspective, looking at the 21st-century global economy and the reduction of Wisconsin's population, especially in the 18- to 24-years-old range. He suggested that the UW System must challenge itself to further engage both the state's youth and its business startups.

Referring to a tech event he attended with Chancellor Mone, Mr. Farrow recalled that people were not looking at four-year programs – instead it was the six or eight-week programs that were engaging them. He indicated that there is an opportunity now to change the dynamics of education in Wisconsin.

Mr. Farrow indicated that he had attended UW-Waukesha, Waukesha County Technical College, and Carroll University, all within Waukesha County, which gave him some perspective into the different ways these institutions engaged. He noted that conversations between the private schools, the UW System and the technical college system had been moving quicker in the last eight months with the news of FoxConn coming to Wisconsin. He predicted that FoxConn's hiring needs will be a paradigm shift or catalyst for changing the economy in Waukesha County and the entire southeast Wisconsin region.

Recognizing that part of the Board's charge is to plan for the next 10, 15, and 20 years, Mr. Farrow suggested that the proposed restructuring would be a good first step. He said it would provide an opportunity to utilize the UW Colleges campuses as an extension of the four-year universities, which would in turn provide great opportunity for individuals in those regions. He also suggested sharing the campuses through the use of telecommunications technology and video campuses, allowing students at UW-Waukesha to receive degrees not just from UW-Milwaukee but also from UW-Whitewater.

Mr. Farrow observed that today's workers are finding that, after they get off the second or third shift at work, they need to continue learning in order to grow and advance in their careers. Waukesha County wants to make sure it can engage everyone and give them the tools they need, 24/7. He asked the Board to strongly consider President Cross's proposal, as it could be an opportunity to change the dynamics of the UW System and to capture the Wisconsin Idea of always taking the next progressive step forward in education.

Brad Karger, Chief Administrative Officer for Marathon County

Mr. Karger introduced himself as the Marathon County chief administrator; he has worked for Marathon County for 29 years. Besides Wausau, which is a relatively prosperous area, he noted that Marathon County also includes towns like Poniowski, Athens, and Bevent, where there are many low-income people. Without UW-Marathon County, he said that many of these people would no longer have access to a high-quality liberal arts education from the University of Wisconsin.

Mr. Karger added that there is also a large Hmong population in Wausau. He indicated that Marathon County's Hmong residents often do not have any college tradition, and share with their rural neighbors the characteristic of being averse to holding a lot of debt. Without UW-Marathon County, he suggested that their opportunities would likely be more self-limited and that many would not advance to a high-quality liberal arts education.

Noting that many people in his position spend most of their time talking to CEOs of major businesses, Mr. Karger said that the center of his world has been people who go through changes in life – those whose lives do not go the way they had intended after graduating from high school. He indicated that UW-Marathon County provides a vehicle for these people to reorganize their lives.

Mr. Karger explained that many people who attend UW-Marathon County are place-bound, such as single parents who work full-time. Some of these people could and would attend UW-Stevens Point if necessary, but many others could not. UW-Marathon County provides a local location where individuals can learn at the highest quality and offers hope that they can advance their careers and move forward with their lives in a much more prosperous, healthy, and happy way than they ever could before.

Indicating that the Marathon County board had discussed the restructuring proposal, Mr. Karger noted that UW-Marathon County has seen the second-largest reduction in enrollments, which were down 51 percent since 2010. He said that the county board members realize that this could mean the end of UW-Marathon County in three or four years if nothing is done.

Regarding the idea of merging UW-Marathon County with a technical college, Mr. Karger said that many county leaders are concerned that this would dilute the quality of the liberal arts education. While Marathon County is very proud of its magnificent technical college, he acknowledged that technical college is not for everybody; those who want to go into engineering, medicine, or law need a UW education.

Stating that the Marathon County board is proud to be the community partner and sponsor of UW-Marathon County, Mr. Karger said that the county has invested millions of dollars into supporting the university and is not interested in pulling that money out. The county wants to participate in the planning process, he added, and it would like that process to be as decentralized as possible.

In addition to involving academics, faculty, business leaders, and others in the restructuring implementation, Mr. Karger encouraged President Cross to put the people he had previously described – those who are place-bound, low income, and without a college tradition – at the center of the planning process. Noting that the UW Colleges are a different kind of organization with a different mission from the four-year universities, he suggested that though they may not understand the technical aspects of the restructuring process, these community members can help figure out what is most important.

While closing UW-Marathon County would be detrimental to Wausau's community business climate, Mr. Karger said it would be devastating to the rural and urban poor of Marathon County. He concluded that he would like the county to be a full partner in this process to ensure consideration of the needs of real people who need the UW Colleges – not just those who choose to attend one, but also those who have no other choice.

President Behling thanked Mr. Eckmann, Mr. Farrow, and Mr. Karger for their time and words.

Panel: Chancellors

Turning next to the chancellors, President Behling suggested that those interested in speaking do so in several groups, beginning with Chancellors Sandeen, Schmidt, Blank, Miller, and Shields.

Chancellor Cathy Sandeen, UW Colleges and UW-Extension

Chancellor Sandeen thanked President Behling, President Cross, and the Board of Regents for the opportunity to speak about the restructuring proposal. Referring to her various media comments over the past few weeks, she stated her ongoing concern about the sustainability and viability of the UW Colleges. After indicating that there are likely many ways the UW Colleges could be restructured for sustainability, Chancellor Sandeen expressed her support for the approach decided upon by President Cross.

Crediting her team for their diligence in working so hard to reduce costs, improve service, and maintain the sustainability of the UW Colleges, Chancellor Sandeen said that they could not do much more given the demographic factors Wisconsin is facing.

Looking at the profile of the current students enrolled at the UW Colleges, Chancellor Sandeen said that these students are distinctively different than those who attend other institutions within the UW System. Of the UW Colleges students, 58 percent are the first in their families to go to college and 35 percent are classified as low income by Pell eligibility standards,

though the chancellor indicated that the percentage of low income students at UW Colleges is actually higher: many students do not even apply for financial aid for fear of the process.

The UW Colleges have many non-traditional students, students of color, part-time students, and students with dependents (either children or older adults). Chancellor Sandeen called attention to the 81 percent of UW Colleges students who are working, including 16 percent who work full-time.

Noting that many UW Colleges students are “one problem away from dropping out or stopping out,” Chancellor Sandeen indicated that 40 percent of students require some level of developmental education in order to be successful at college-level work, and that 30 percent require developmental education in both mathematics and English. These students require a high level of learner support, which has eroded over the last year; the chancellor suggested that the new restructuring proposal would add more resources to support these students.

Stating that the faculty and staff at the UW Colleges care about their students, Chancellor Sandeen noted that many of them – including herself – were first-generation college graduates. She expressed hope that, regardless of the final structure of the organization, the UW Colleges’ mission and goal of serving students would remain important.

Chancellor Sandeen indicated that UW Colleges students who transfer are very successful. She added that those who transfer into the UW Colleges requiring developmental education have high eight-year B.A.-degree completion rates, which emphasized the importance of retaining the UW Colleges’ open transfer mission as they move forward in their new structure.

Chancellor Sandeen stated that the UW Colleges campuses were made possible through significant investments by local communities, counties and cities. For example, the new Roehl STEM Center at UW-Marshfield/Wood County, which cost \$6.7 million, was made possible by a combination of county, city, state and private donor money. In total, the UW Colleges campuses have an insured value of \$440 million in terms of land and facilities.

Chancellor Sandeen pointed out that this represents a significant investment from these communities, which have cared about access for years and would welcome keeping the doors of the UW Colleges open and even expanding what they do. Regardless of the organization’s structure going forward, she said that respecting these investments and these deep commitments and partnerships will be very important.

Indicating that the UW Colleges’ enrollment issues are projected to continue, Chancellor Sandeen noted that population demographics affect both enrollments and economics greatly. In today’s healthy economy, with an unemployment rate of three percent (the lowest in 17 years), students will work more hours, take fewer classes, and even stop out of school to work before returning – all of which affects enrollments. Regardless of the new structure, the chancellor said the UW System would need to address those basic macroeconomic population demographic trends.

Stating that UW-Extension is thriving in its current structure, Chancellor Sandeen said she looked forward to working with the UW System and UW-Madison leadership to make sure that this success continues. Adding that it makes sense for Cooperative Extension to return to its original home at UW-Madison, as the institutions already share over one hundred joint faculty, she indicated that both she and Chancellor Blank were convinced the division would continue to thrive.

The other divisions of UW-Extension – Broadcasting, Continuing Education, and Business and Entrepreneurship – are known for their creativity, innovation, relevance and flexibility in serving the ever-changing needs of the state. Regardless of where these divisions are housed, Chancellor Sandeen expressed hope that their missions of local programming, local relevance, creativity, and innovation are able to be retained.

Chancellor Sandeen again stated her support for the restructuring proposal to the extent that it would keep the doors open and maintain the important missions of these institutions. Recognizing from past restructurings in the UW Colleges that this would be a long process, she said President Cross and President Behling would continue to have her support as they move forward on this proposal.

Finally, with the current focus on the structures and inputs of the restructuring proposal, Chancellor Sandeen expressed concern that the important outcomes and goals for this process would be forgotten. Beyond preserving the mission of UW Colleges and UW-Extension to serve the citizens of Wisconsin, she asked the Regents to consider what the benchmarks should be for measuring and holding the university accountable for desired outcomes like expanding access; dealing with enrollment declines; providing a broader array of courses on the two-year campuses; achieving open-transfer success; and continuing a tradition of innovation and creativity.

Chancellor James Schmidt, UW-Eau Claire

Chancellor Schmidt thanked President Behling for the opportunity to offer a few comments about the proposed restructuring. He congratulated and thanked President Cross for his leadership in this area, noting that too often higher education is accused of not moving quickly enough to understand and respond to population changes. Suggesting that the demographics speak for themselves, Chancellor Schmidt said that the restructuring would be a very wise course of action in order to protect the mission of the two-year colleges.

Chancellor Schmidt stated that the university must focus on the students, the people of the state of Wisconsin, and the mission of these institutions. By focusing on its clients, the students, the university does better work than by focusing on its structures.

Addressing concerns that had been expressed about how quickly the restructuring proposal came to the Board of Regents, Chancellor Schmidt indicated that he had assured people both at UW-Barron County and on his own campus that though this was a very important policy decision, there were a thousand decisions yet to be made.

As the UW System considers bringing together UW-Eau Claire and UW-Barron County, Chancellor Schmidt said the institutions would be assembling faculty, staff, students, community stakeholders, county leaders, and business leaders to figure out how to address what that merger would look like. Suggesting that each partnership created by the restructuring would take on its own characteristics, the chancellor said he would not take a cookie cutter approach to solving the issues at UW-Barron County. Emphasizing that the university's job is to be responsive and to truly serve the unique needs of these regions, he said that the UW System has a great opportunity with this restructuring.

Chancellor Schmidt indicated that he has been less concerned about the restructuring process than many others, citing his own experience working at technical and community colleges earlier in his career, including multiple mergers during a four-year period of time. He also served as chair of the steering committee for one of those mergers. Chancellor Schmidt said his big takeaways from that experience were that most decisions can be made even in a short amount of time, and that things will work out fine as long as the focus remains on students and making sure they are not negatively impacted during the transition.

Chancellor Schmidt also suggested focusing on the missions of the institutions. Stating that it was not his intention to create a small UW-Eau Claire in Barron County, Chancellor Schmidt said it was very important to protect the unique mission of the two-year college by having accessible tuition, enrollment, and transfer. UW-Eau Claire is currently the largest recipient of transfer students from UW-Barron County, but many also choose to go to UW-Stout. The chancellor indicated that UW-Barron County students would continue to have that great option, as he would be welcoming admissions crew from all of the UW four-year institutions to come recruit students at UW-Barron County.

Focusing on the UW Colleges' mission, students, and communities will allow the UW System to continue to keep these institutions open. Chancellor Schmidt added that it would create an opportunity to bring additional coursework to UW-Barron County with some baccalaureate programming.

Stating that this would not be a one-way consolidation, Chancellor Schmidt indicated that he had told the UW-Eau Claire university senate's executive committee earlier that week that the institution can learn a lot from experiences at UW-Barron County, which has a wonderful relationship with the Somali population and agreements with Lac Courte Oreilles Tribal College and an international academy located in Ladysmith. UW-Barron County has also done a lot in area high schools.

Saying that the restructuring would bring many strengths of both institutions to the table, Chancellor Schmidt predicted that UW-Eau Claire and UW-Barron County would truly bring out the best in each other while preserving their missions. He said he would bring a group of shared governance leaders to UW-Barron County during the next week, and that Chancellor Sandeen would have the opportunity to address the UW-Barron County faculty, staff, and students as well.

Chancellor Rebecca Blank, UW-Madison

Chancellor Blank said she was delighted to have the opportunity to think about how to reintegrate Cooperative Extension and Conferences into UW-Madison. Cooperative Extension was created at the University of Wisconsin in Madison well over one hundred years ago, and lived at UW-Madison for almost 70 years until the UW System was formed. Chancellor Blank noted that UW-Madison is the original home of the Wisconsin Idea, and said that Cooperative Extension is one of the best examples of that concept in terms of integrating research and educational experiences within the state, in every county.

That said, Chancellor Blank indicated that she is acutely aware that Cooperative Extension serves and works with all of the different organizations within the UW System, on all of the different campuses, serving counties and groups of people that are sometimes far outside the UW-Madison mission. She said she is very committed to maintaining that type of service.

Chancellor Blank reiterated that the restructuring proposal was an announcement, not a plan. She added that getting from the announcement to the plan would require a lot of hard work, which UW-Madison has pledged to do in consultation with the faculty and staff of Cooperative Extension and Conference Centers, as well as with the external stakeholders who are very involved with UW-Extension, such as the county executives.

If done right, Chancellor Blank suggested that Cooperative Extension can become stronger by being on a campus and leveraging the resources at UW-Madison to better carry out its mission, and that UW-Madison can become stronger by working with Cooperative Extension and reintegrating its work into the university's fundamental commitment to the Wisconsin Idea.

Chancellor Dennis Shields, UW-Platteville

Chancellor Shields indicated that the two institutions UW-Platteville would be taking on under the restructuring proposal – UW-Baraboo/Sauk County and UW-Richland – are both in communities very similar to the ones that he grew up in.

Saying that higher education needs to be more dynamic moving forward, Chancellor Shields explained that universities are being pushed in many different directions, and leaders on campuses are trying to become much more responsive to many external stakeholders. He thanked President Cross for putting forward a proposal to get the UW System out ahead of the curve to deal with this issue, rather than waiting until it was forced on the UW institutions by external stakeholders.

Chancellor Shields also thanked Chancellor Sandeen for reminding everyone present about the profile of students at the UW Colleges. Noting that UW-Platteville is an access institution, he estimated that more than half of its students work and that 40 percent are Pell eligible, with the rest coming from fairly modest means. From that perspective, he indicated that UW-Baraboo/Sauk County and UW-Richland are not necessarily dealing with a substantially different clientele of student population than UW-Platteville.

In considering how to proceed, Chancellor Shields emphasized the need to build trust in those communities. If the Board of Regents approved the proposal, he planned to visit the UW-Baraboo/Sauk County and UW-Richland campuses and communities in the following week to listen to the students, staff, faculty, and external stakeholders about their interests and concerns before moving forward. While there was also a great deal to be done at the technical level with IT systems and student records, Chancellor Shields argued that at the fundamental level his role would be to get in-tune with the needs of those schools and their communities, understand their hopes and dreams, and figure out a way for UW-Platteville to align with and support them.

Explaining that he had visited many communities in southwest Wisconsin over the past two years, he told the Regents that the successful investments made in UW-Platteville were the direct result of getting in tune with those communities. He did not just ask them to advocate for the university, but asked what UW-Platteville could do to help them thrive and succeed. He concluded that this was a basis for UW-Platteville to build great relationships with the UW-Baraboo/Sauk County and UW-Richland communities and help all three institutions thrive.

Chancellor Gary Miller, UW-Green Bay

Chancellor Miller stated that, if the restructuring proposal were approved, UW-Green Bay would join three remarkable communities in northeast Wisconsin with three excellent colleges that his institution has often interacted with and long admired: UW-Manitowoc, UW-Marinette, and UW-Sheboygan. Noting that two of these colleges once belonged to the University of Wisconsin in Green Bay, he said that the region has an interesting cohesion in its economic development.

Indicating that the community of Green Bay and UW-Green Bay are very excited about this opportunity, Chancellor Miller stated his support for the restructuring proposal. While optimistic and confident, he acknowledged that it would be a difficult process and would take a lot of work to integrate and join these institutions efficiently. He said that UW-Green Bay was committed to doing that work in full collaboration with the UW System, Chancellor Sandeen, the UW Colleges, and the communities that would be joining the university in this great endeavor.

Chancellor Miller pointed out that this bold action would align with some major themes of the UW System's 2020 *FWD* strategic plan. He said it was very important to northeastern Wisconsin to be a locus of innovation and transformative change during this great period of dynamic change in higher education and the economy. This means a deep commitment to student access to higher education, as well as student success in higher education and beyond in their careers. The chancellor suggested that the new structure could provide some new opportunities for making higher education affordable and reducing costs which UW-Green Bay has not yet explored.

This would also mean supporting economic development, generating talent not only for now but also for the future, and working to enhance the condition of all people through partnerships in education, the arts, and all endeavors that support the common good. Chancellor Miller said that these are values UW-Manitowoc, UW-Marinette and UW-Sheboygan share as well.

Chancellor Miller indicated that this reorganization was not expected to result in a new collection of multi-campus universities. Instead, the synergies created with the four-year institutions and their new partners will vastly increase the capacity of the UW System to serve the region, particularly the students in every part of Wisconsin. He suggested that this new university would take a broader view, take on bigger challenges, advance more creative and far-reaching solutions, serve more people, and create new avenues to collaboration. The chancellor told the Regents that supporting the restructuring resolution would not just be reorganizing the UW System, but raising the state's expectations of it in a very bold way.

Finally, Chancellor Miller said that the real power of the reorganization would go well beyond finding efficiencies – it would reshape the capacity of the UW System to serve students and support communities by encouraging shared governance leaders, students, county and city governments, businesses, and other regional institutions to work together, giving them a platform to imagine the future. He cautioned that this could only happen if the UW System follows the process laid out by President Cross and is smart about allocating flexibilities and resources, and if the UW institutions work together with one another.

Chancellor Miller concluded that UW-Green Bay is very excited to begin imagining the future of these new partnerships, and said he would be visiting UW-Manitowoc, UW-Marinette and UW-Sheboygan in the next week with Chancellor Sandeen.

Thanking the first panel of chancellors for their remarks, President Behling next invited Chancellors Patterson, Mone, Kopper, and Leavitt to speak.

Chancellor Bernie Patterson, UW-Stevens Point

Chancellor Patterson said the historic proposal before the Board represents the largest restructuring of higher education in Wisconsin since the UW System was formed in 1971. He suggested that there were significant opportunities to increase access, expand academic offerings, and innovate.

Chancellor Patterson said that the extent to which the UW institutions will be able to achieve these goals will depend directly on the degree of flexibility that the Board of Regents grants to the receiving universities, and the extent to which state funds currently supporting the UW Colleges at the local, regional, and state or central level are reallocated to continue to support the students, faculty, staff and the two-year campuses.

The chancellor indicated that he did not believe restructuring would save money, nor that saving money should be the UW System's goal in this endeavor. The reallocation of funds that currently support the UW Colleges will be critical to the proposal's success. If given the latitude to innovate, Chancellor Patterson said he was certain that five years later the Board would be very proud of the results. While some will want to see as little change as possible, he argued that the restructuring will have failed if all that gets changed is the sign on the street.

Having completed 42 years in the academy at four universities across three states, Chancellor Patterson observed that an academic's strength is the ability to study, investigate,

research, and analyze issues, problems, and possible solutions. While in another time he might have been the one suggesting that the university push the pause button until there was time to study this proposal, he said he now sees a sense of urgency.

Chancellor Patterson said that UW-Stevens Point is facing significant challenges, as are the two-year campuses in Wausau and Marshfield – issues that seem to be concentrated in central Wisconsin. While this proposal will not immediately solve those problems, the university must be willing to take bold steps, take risks, and fail along the way – but with the support of the Board of Regents, he was certain they would succeed.

Expressing his strong support for the proposal under consideration, Chancellor Patterson said he was very proud to be part of the University of Wisconsin System, especially during these times.

Chancellor Mark Mone, UW-Milwaukee

Chancellor Mone said he was pleased to speak about why he supported this resolution and thought it was absolutely necessary for the UW System to proceed.

Chancellor Mone indicated that he had the pleasure of serving as commencement speaker at UW-Waukesha in May 2017 and at UW-Fox Valley in 2016, which afforded him the opportunity to get to know the students, climate and culture of these campuses reasonably well. He observed that the students at UW-Waukesha and UW-Fox Valley do not differ greatly from those at UW-Milwaukee in terms of their diverse backgrounds, income levels, racial makeup, military service, LGBT status, and more. All three institutions have students who want to succeed, and the chancellor said he supports the restructuring proposal because of what it means for student success.

Chancellor Mone credited the recent news about FoxConn with being a catalyst for UW-Milwaukee and UW-Parkside to fundamentally address workforce needs in southeastern Wisconsin. He and Chancellor Ford were currently chairing regional efforts that would lead to a greater alignment between the university, the region, and the state.

Chancellor Mone also spoke about the restructuring in terms of the regional academic footprint, noting that the proposal presents opportunities from both an efficiency and effectiveness perspective, but also provides opportunities to dramatically change higher education models in response to feedback from the university's emerging partnerships with employers, local government, and workforce development groups.

Reiterating that the transition would need to be staged carefully, requiring flexibility and a great deal of effort, Chancellor Mone concluded that UW-Milwaukee is committed to supporting the restructuring process.

Chancellor Kopper, UW-Whitewater

Chancellor Kopper said that UW-Whitewater was very positive about joining with UW-Rock County for many reasons, beginning with the exciting opportunity to further strengthen existing partnerships with businesses and community leaders in Rock County, the region, and around the state.

She indicated that joining together with UW-Rock County also dovetails nicely with UW-Whitewater's mission. With a similar student demographic profile to the UW Colleges, UW-Whitewater prides itself on being accessible and affordable, with a special mission to serve nontraditional students, including veterans, working students, first generation students, and under-represented minority students. UW-Whitewater is focused on student success and transforming lives, and the restructuring proposal would give the university an opportunity to further enhance that mission by joining together with UW-Rock County.

Acknowledging that there is anxiety on campus related to the restructuring, Chancellor Kopper reported that significant questions center around the budgetary issues, such as how the UW Colleges' structural deficit will be handled, and how regional and central resources will be allocated to the campuses. However, she indicated that everyone was focused on the university's shared core mission to help students succeed by providing them with a world-class education.

Chancellor Kopper said that these engaging conversations on campus would expand if the proposal were approved, with a conversation scheduled for the next day at UW-Rock County. She stated that UW-Whitewater would honor its shared governance tradition by including all constituents, both on the campuses as well as in the community.

Chancellor Andrew Leavitt, UW-Oshkosh

Chancellor Leavitt said he was excited about the restructuring proposal. Explaining that he was once part of the consolidation of a four-year institution and a two-year institution in the University System of Georgia, he noted that he had received one day's notice as a senior administrator prior to that consolidation being announced. He concluded that it is not uncommon for these announcements to be made quickly simply because of their rather sensitive and political nature.

From his experience with previous consolidations, Chancellor Leavitt said he had learned that the four-year institutions must be empathetic with colleagues on the two-year campuses in that the restructuring may be viewed initially as a loss of control and identity. He indicated that the UW System must listen and be sensitive to these concerns as it brings these universities together.

Echoing the comments of Chancellor Shields, Chancellor Leavitt said he would also be spending the weeks and months to come listening to all concerned parties and making sure that they have deep and meaningful involvement in the plans moving forward to create a new consolidated university.

Chancellor Leavitt pointed out that the consolidation he had mentioned earlier had completely transformed that region in Georgia in terms of the footprint or prowess of the institution, local economic development, and the multiple pathways it created for students. He suggested that the restructuring of the UW Colleges and UW-Extension would lead to all UW institutions offering everything from certificates to associate, bachelors, masters, and even doctorate degrees. He added that this full menu of post-secondary options would be very powerful to the communities that gain an association with a four-year UW institution.

Chancellor Leavitt said he was very much in support of the restructuring proposal and looked forward to working with regional dean Martin Rudd and his colleagues at UW-Fox Valley and UW-Fond du Lac. He concluded by requesting the flexibility needed to make sure these new partnerships are properly resourced in order for them to be successful.

President Behling thanked all of those who had spoken, expressing his appreciation for their open and thoughtful testimony as the Board of Regents prepared to discuss this proposal.

Discussion

President Behling called upon Regent Steil to move adoption of Resolution 10956, “Approval of Restructuring of UW Colleges and UW-Extension.”

Regent Steil explained that he came to this issue with a background in mergers and acquisitions working for one of the state’s largest manufacturing companies. Suggesting that some of the principles he had learned in the private sector merger process would apply here, Regent Steil noted that a vote to restructure the UW Colleges and UW-Extension would not be the end – rather, it would be the start of hard work with the university’s diverse stakeholders. Change is difficult, he said, and bold actions are required to implement change.

While some have said the UW System needs to slow down as they identify the risks in the restructuring proposal, Regent Steil said “full steam ahead” to its opportunities: maintaining all of the UW campuses in this changing environment; enhancing the two-year institutions; simplifying and streamlining transferability; and finding financially responsible cost savings.

Most importantly, Regent Steil stated that the restructuring was the right thing to do for UW students. With that, he moved adoption of Resolution 10956, approving the restructuring of UW Colleges and UW-Extension.

After a second by Regent Whitburn, President Behling opened the floor to questions and comments from the Regents.

Regent Millner thanked the panel members for informing and confirming many of her opinions on the proposal before the Board. Noting that the four alternatives outlined by President Cross have been in consideration for many years, she said she was strongly supportive of the restructuring proposal.

In response to a question from Regent Millner about different terms used in the resolution, President Cross explained that certain words have different meanings within the Higher Learning Commission's operations. "Joined" is one of the words that the HLC finds appropriate for some form of consolidation or restructuring, as would happen with the UW Colleges campuses with respect to UW-Milwaukee and some of the comprehensive universities.

"Joined" is also used in the resolution to refer to Cooperative Extension and Conference Centers with respect to UW-Madison. The other three UW-Extension divisions are being "moved" in total, as they are, under UW System Administration. President Cross added that this could be subsequently changed as the UW System moves through its planning efforts, should the proposal be approved by the Board.

In response to concerns that certain elements of the restructuring proposal may need further investigation, Regent Millner thanked President Cross for including regular updates to the Board of Regents as part of the resolution.

President Behling stated that if Resolution 10956 was approved, his next step would be to direct President Cross and his staff to make the restructuring process a standing item on the agendas of the Board's next six meetings, through August 2018.

Regent Hall complimented President Cross on the restructuring proposal. She indicated that the input received by the Board, especially from the universities as well as their business partners, relieved her concern about making sure the UW System has candor from local communities. She expressed her support for this huge but necessary move for the state.

Regent Hall also expressed appreciation to President Behling for promising to make the restructuring process a standing topic for the Board of Regents to continue to monitor. She emphasized the importance of organizing opportunities for the Regents and educational leaders to have continued conversations in local communities with the university's constituents.

Finally, Regent Hall underscored the importance of maintaining a focus on the students. Stating that everything the Board of Regents does must be focused on improving the quality of education, access and affordability for students, she indicated that this would be a part of the restructuring.

Regent Ring thanked President Cross for bringing this proposal to the Board of Regents. Having previously participated in the student government and shared governance processes, he asked President Cross to address how the students and other shared governance bodies would be able to voice their concerns to the restructuring steering committee and participate in the conversation.

President Cross explained that the steering committee itself would include representatives from each of the campuses, including those not receiving any UW Colleges institution; five representatives from the System; and four representatives from UW Colleges and UW-Extension.

To engage shared governance groups in the restructuring process, students, university staff, academic staff, and faculty will be encouraged to attend the steering committee meetings and bring forward their concerns. President Cross indicated that this is meant to be a very collaborative process, and can be changed if this approach does not work as intended.

Expressing his hope that the shared governance representatives would raise good questions, President Cross pointed out that faculty representative Dr. Hassel had recently written a “wonderful piece” about the issues that concern the UW Colleges faculty and which affect students the most. He added that those issues must be considered going forward because they are issues that affect students the most.

Regent Higgins said that many of the Regents had received letters and other contacts from many people who were concerned about the restructuring, including those who have had extensive experience with the UW System. Many of those contacts included requests to postpone the Board’s decision. Nevertheless, he stated his support for both the restructuring proposal and the resolution before the Board.

Regent Higgins observed that the factors driving the restructuring proposal – state demographics, workforce needs, and enrollment challenges – are not speculative, but factual. In light of these factors, President Cross had considered four options. Noting that President Cross is a former chancellor of UW Colleges and UW-Extension and is uniquely knowledgeable about the inner relationships and infrastructure of the subject institutions, Regent Higgins expressed confidence in his approach and ability to draw in the kind of input from his executive team that led to this decision.

As President Cross had pointed out, the resolution before the Board was a proposal and not a plan. In establishing a framework for meeting the challenges the UW System now faces, Regent Higgins suggested that the proposal would facilitate the continuing process by having people focus, as opposed to approaching decisions in a scattered way. Indicating that a proposal leaves ample opportunity for meaningful input from shared governance and community groups that will shape a successful implementation, he said he supported the resolution for that reason.

Raising a question posed to him by the Stout Student Association, Regent Higgins then asked President Cross to explain why UW-Barron County was being joined with UW-Eau Claire rather than UW-Stout.

President Cross explained that the UW System looked at four principal issues in determining which campuses would be aligned: proximity, transfer rates, existing partnerships, and programming compatibility.

Acknowledging that some of the decisions could have gone either way, President Cross explained that UW-Eau Claire seemed to be a better match for UW-Barron County in proximity, transfer rates, and programming compatibility. Though UW-Stout is five miles closer than UW-Eau Claire, the four-lane road to Eau Claire is likely faster. Over the last several years, roughly 43 percent of UW-Barron County transfers went to UW-Stout, and about 57 percent went to UW-Eau Claire. Finally, the liberal arts programming at UW-Barron County would appear to be

more compatible with the liberal arts mission of UW-Eau Claire than the polytechnic mission of UW-Stout.

President Cross emphasized that it was important to encourage other institutions not receiving a UW Colleges campus to recruit and receive transfers from any of the two-year campuses.

Regent Mueller stated that the status quo is not sustainable given declining enrollments, and that many of the components within the proposal have merit in her view. However, she said she could not support the current resolution.

Saying that the Board of Regents must be deliberative as well as bold, Regent Mueller questioned whether enough time had been provided to study this proposal. Noting that there was very little detail in the proposal in terms of revenues, expenses, or the UW Colleges' structural deficit, she indicated that the Regents cannot fulfill their fiduciary responsibility if they do not understand the base.

Regent Mueller added that she was particularly concerned about the material changes to UW System Administration, which had not received as much attention as some of the other components of the proposal. These changes include an increase in the number of direct reports to President Cross and in the flow of financial funds.

She observed that the current flow of System Administration and System-wide funds are not understood very well by the university's stakeholders, and that the proposed restructuring would potentially add many more funds into this flow with no explanation of how System Administration would keep them separate and distinct.

Regent Mueller briefly reviewed the three divisions of UW-Extension that would be moving under System Administration. First, she suggested that some of the funds for the Division of Business and Entrepreneurship should be reallocated back to the campuses rather staying with System Administration.

Second, Regent Mueller observed that System Administration is currently a coordinating body, while the Wisconsin Public Television and Wisconsin Public Radio functions housed in the Broadcasting and Media Innovations division operate 24/7.

Regent Mueller also questioned how exactly the division of Continuing Education, Outreach and E-Learning, which includes the UW Flexible Option and UW Colleges Online programs, would fit into System Administration as a coordinating body. She again suggested reallocating some of these funds and functions back to the campuses.

Observing that past Boards had gotten in trouble when they did not monitor the financial side of the university's operations, Regent Mueller asked President Cross and President Behling to delay the Board's final decision on the restructuring proposal for three weeks, until the Board's December meeting. She indicated that this would give the Regents more time to read all

of the documents related to the proposal and determine a financial baseline to help better judge the restructuring's future success.

Regent Farrow stated that when she had the chance to speak to high school students in the past, she admonished them to stay in Wisconsin for their education and lead the state into the future. She said she would now also encourage them to have families, as Wisconsin's demographic challenges have led the UW System to consider restructuring its great institutions and programs. She added that the UW System must deal with this problem and cannot put the decision off.

Looking back at her service on the Board, Regent Farrow said that this vote would be the most important besides her vote to hire President Cross to lead the UW System. Indicating that President Cross's hiring was "the best decision" she had made up to this point, Regent Farrow stated that she was a strong supporter of all he has done, especially this restructuring proposal.

Noting that Regent Mueller is a former state auditor, Regent Farrow said she "would never argue with her on anything financially," but added that the UW System cannot wait to restructure. Regent Farrow also expressed support for having a major national firm perform an external fiscal audit that could allow the Board to have a conversation about the UW System's finances.

Regent Farrow concluded that she was pleased to hear the comments made by the panelists, and thanked them for their great interest and enthusiasm. She also thanked President Cross for bringing the proposal forward to the Board of Regents.

Noting that one of the most common questions he gets about government and public entities is about the speed – or the lack of speed – in which they act, Regent Tyler said it was interesting that most of the letters and comments he received about the restructuring proposal were asking the Board to stop, slow down, or put off its decision. He then stated his agreement that the Board of Regents needed to move quickly on this issue.

Indicating that he liked the approach of regional decision-making by chancellors to address what is important in their regions, Regent Tyler suggested that regional decision-making will produce better outcomes for students than if those decisions were made elsewhere. He also asked for a bias toward flexibility in the restructuring process, so that chancellors can make different decisions as needed.

Finally, Regent Tyler echoed Regent Mueller's concerns about how Wisconsin Public Broadcasting would fit into System Administration. He noted that public television is very important in rural areas like his own, as oftentimes it is the only programming available for kids, and because it is accessible everywhere in the state at no-cost.

Regent Erickson thanked everyone for their hard work on the restructuring proposal, and especially President Cross for investigating the issue and coming up with a solution. Saying that she shared Regent Mueller's concerns about moving forward too quickly, she asked President Cross to explain the impact of delaying the Board's decision until the December meeting.

President Cross first addressed Regent Mueller and Regent Tyler's concerns about moving divisions of UW-Extension under System Administration. He indicated that if those units were moved to System Administration under one head, it would not increase the number of his direct reports.

Regarding concerns about fiscal issues, President Cross said that it is yet to be determined how the UW System would appropriately disaggregate the budget that currently goes to UW Colleges and UW-Extension, or achieve regional cost savings that would shift administrative efforts or resources to the academic side of the organizations. Noting that the UW Colleges are already dealing with cost and funding challenges due to enrollment decline and other factors, he indicated that they would need to spend less on administration and more on direct support.

Pointing out that the UW Colleges have funds that go directly to the campuses, the four regions, and the central fund balance, President Cross added that how those funds are distributed has yet to be worked out because they need to be disaggregated. He agreed with Regent Mueller about the tremendous importance of fiscal integrity and having a deliberative process related to finances, and stated that he fully intended to support that by reporting on the progress of the restructuring at the Board's future meetings.

With respect to delaying the Board's decision, President Cross reiterated that this was an announcement of a proposal that "puts a stake in the ground." Explaining that the goal was to change the reporting structure of UW Colleges and UW-Extension by July 1, 2018, he indicated that the administration of both organizations would continue. Though acknowledging that this target date could be moved, he argued that it was time for the UW System to make this decision now.

Having been part of three mergers – one corporate, one foundational, and one in higher education – President Cross warned against stretching out the anxiety created by an organizational restructuring. He predicted that there would be enrollment drops at the two-year colleges just due to the Board's current decision, and said that establishing a target and making it known that students and employees would be taken care of in the process would limit the effects of this anxiety.

President Cross concluded that the Board of Regents would be able to weigh in at any point during the process, and that approving the proposal would let the UW System start working on a plan.

Stating his support for the resolution, Regent Atwell said a mentor had often told him to "change before you have to." Indicating that the reason why this proposal felt so sudden is because the UW System has arrived at a point where something has to be done, he admonished the Board, System leadership, and the chancellors to do a better job of helping their communities understand the state's demographic outlook and take a more honest look at their futures.

While Dane County, Waukesha County, and the Milwaukee and Twin Cities metro areas appear healthy and strong, Regent Atwell said the rest of the state would need a lot of help

coming to terms with the situation. The UW System was created at a time when the state was projecting a demographic boom, and it has been slow to understand the reality in places like Medford, Rhinelander, or Sturgeon Bay. Encouraging his colleagues to look down the road for the UW System, Regent Atwell concluded that there are other alternatives for providing education.

President Cross reminded the Board that in the first phase of the UW System's 2020FWD strategic plan, university leaders spent a lot of time traveling around Wisconsin and out-of-state, visiting communities and listening to over 5,000 people's input. He indicated that demographics was a primary issue at every site, concerning businesses, community leaders, and others.

President Cross affirmed that the UW System will square away the UW College's structural deficit of about \$5 million. Though the UW Colleges' staff have made enormous strides to make cuts and bring their budget into balance, he said the campuses have perhaps only 24 to 30 months before they run out of cash. He concluded that it is important for the UW System to make this change now before the UW Colleges have nothing left and there is no choice but to close the campuses.

Regent Klein stated her support for the resolution and thanked President Cross for bringing the proposal forward, observing that transformation is very hard in higher education. She indicated that Chancellor Sandeen had done a marvelous job of reducing costs, and said that restructuring is an essential next step in the process.

Regent Klein reported that in her travels around the state, some communities with a very healthy four-year campus have said the UW System has too many ships in the fleet. Her response was, "Whose ship are you trying to take out of service?" Communities and students depend on the UW Colleges as access points, and so it is critical to come up with an idea for transformation that keeps these campuses open.

In support of fiscal responsibility, Regent Klein suggested that there is a promise of operational efficiency in the restructuring proposal. She said that keeping all of the ships in the UW System's fleet and offering additional programs would be a real service to students, and concluded that she was strongly in favor of this movement towards looking at different ways of doing business.

Regent Millner respectfully pushed back on the idea of delay, saying that it was critically important that the Board of Regents make the decision that day. She noted that the Regents had commitments from both President Cross and President Behling that President Cross would be reporting back to the Board on the restructuring's progress. Stating that the UW System needs to move forward with planning with this initiative, she concluded that delaying the Board's decision by three weeks would simply prolong the process.

Regent Evers said he is a huge supporter of the UW Colleges system, and that his wife is a proud graduate of UW-Fond du Lac as a nontraditional student. He stated that having the UW Colleges succeed across the state is critically important, but said he would oppose this resolution.

Regent Evers observed that there are people in the state of Wisconsin who feel left behind in this process, and said that it does not make much difference whether that is reality or perception. He indicated that his preference was for the UW System to continue moving forward in the planning process with the involvement of shared governance groups, including the students who are the Board's top priority, before coming back to the Regents with its big proposal.

Regent Jones said that in his experience with private sector mergers and acquisitions, there are always surprises along the way before closing. Some of those surprises are good, some are bad, and sometimes they cancel each other out – but there is no way of knowing ahead of time what surprises there will be. He argued that waiting a month would not buy the UW System anything, and noted that the Board was not committing to any particular action and could reverse course if something went wrong. He then stated his support for the current resolution.

Vice President Petersen remarked that this was one of the most engaged sessions the Board has ever had. He credited President Cross and President Behling for pivoting “away from the script” and for bringing forward all of the university's stakeholders, whether they be students, faculty, staff, community leaders, or the chancellors.

Saying he was a vigorous supporter of the restructuring proposal, Vice President Petersen expressed confidence that the Regents would be getting regular and important progress reports at each and every Board meeting from now until execution of the plan. Referring to Regent Mueller's comments, he said he also wants to know what the organization's financial foundation or baseline is and what the UW System can do to find operational efficiencies as part of the restructuring.

Vice President Petersen pointed to the chancellors' “zest and zeal” to meet with the two-year campuses as the biggest reason why the Board should not defer action. He noted that the chancellors' goals were not to prescribe how the restructuring would play out, but instead to listen to people's concerns.

Saying he was duly impressed with how inclusive the day's conversation had been, Vice President Petersen thanked all of his Regent colleagues for putting forward their views and their concerns, which would make the process better. He said he was very supportive of the restructuring process, and expressed hope that it would continue to be as productive as the Board's discussion had been.

Regent Whitburn stated that it is good for a board to support the leader whenever possible, and when the proposition is reasonable. As both Regent Higgins and Regent Farrow had explicitly pointed out, President Cross previously held Chancellor Sandeen's position and received excellent marks as to his stewardship of UW Colleges and UW-Extension. Regent Whitburn argued that but for President Cross's excellence in that position, he would not be in the System President's role now.

Regent Whitburn noted that the first two discussion panels included three individuals from his area near the UW-Marathon County campus, and that none of them issued an urgent

demand calling for delay. The Board also heard from Chancellor Patterson, who would be leading UW-Marathon County under the restructuring proposal.

Explaining that he had been taught to be data-driven in his decision-making, Regent Whitburn said he had concerns before the Board's meeting about the 49-percent drop in enrollments at UW-Marathon County – only to learn during President Cross's presentation that it is actually a 51-percent drop. He concluded that this is a serious issue, it is deteriorating, and it is time for the Board of Regents to step up and move forward.

With no further discussion, Resolution 10956 was adopted on a voice vote.

Approval of Restructuring of UW Colleges and UW-Extension

Resolution 10956 WHEREAS since 2005, UW Colleges and UW-Extension have functioned as separate UW System institutions led by a single chancellor with consolidated administrative services; and

WHEREAS demographic trends across Wisconsin indicate the decline in the number of high school graduates currently presents and will continue to pose considerable enrollment challenges for the UW Colleges; and

WHEREAS full-time student equivalent enrollment at UW Colleges campuses has declined 32% in the past seven years, and several UW Colleges campuses currently enroll only 200 FTE students; and

WHEREAS the UW Colleges' administrative and faculty leadership has worked diligently to address financial challenges, including establishing an effective regional and consolidated shared services model; and

WHEREAS the UW Colleges provide educational opportunities for an important and valued segment of the Wisconsin population through their distinct mission of open access and transfer; and

WHEREAS the UW System has long-standing partnerships with counties and municipalities that financially invest in and support the UW Colleges campuses in their communities; and

WHEREAS UW System institutions provide an important economic, civic, and cultural presence in the communities in which UW Colleges campuses are located; and

WHEREAS UW-Extension's Cooperative Extension Division has a visible presence in all seventy-two counties in Wisconsin and close ties to UW-Madison; and

WHEREAS the State benefits when faculty research expertise is tightly linked with county extension agents around the State; and

WHEREAS UW-Extension was previously part of the State's land-grant university at Madison, and integrating the extension service as a component of the state's land-grant university is consistent with other states; and

WHEREAS the other three divisions of UW-Extension – the Division of Business and Entrepreneurship, the Division of Broadcasting and Media Innovation, and the Division of Continuing Education, Outreach, and E-Learning – and UW Colleges Online can all serve statewide audiences without being connected to a single institution, and can continue providing existing programs and services under UW System Administration; and

WHEREAS the affiliated foundations of the UW Colleges and UW-Extension have contributed significantly to the students, faculty, communities and participants served by these institutions, and the restructuring process should strive to maintain and expand these important relationships; and

WHEREAS, restructuring the UW Colleges and UW-Extension would allow the UW System to maintain affordability for students and families by continuing to provide courses currently taught at UW Colleges institutions, while expanding access to upper-level college courses; and

WHEREAS, students will continue to be able to transfer credits to all institutions within the UW System, and the UW System will continue to identify and reduce barriers to credit transfer; and

WHEREAS, the UW System will further standardize and regionalize administrative operations and services to more efficiently use resources; and

WHEREAS, the UW System aims to leverage resources at UW institutions to move more students through the educational pipeline to better meet Wisconsin's current and projected workforce needs, which is in the economic interest of Wisconsin's citizens; and

WHEREAS, UW Colleges and UW-Extension exemplify the Wisconsin Idea and the UW System's commitment of providing affordable, quality higher education and programs for all Wisconsin residents who seek it, and it is crucial to take action to maintain and strengthen the UW System's connection to citizens, communities, and businesses across the state; and

WHEREAS based on the foregoing, President Cross recommends restructuring the UW Colleges and UW-Extension;

BE IT THEREFORE RESOLVED that, effective July 1, 2018, the UW Colleges campuses be joined with UW System universities and operate as units of those universities while maintaining the open access and transfer mission of the UW Colleges campuses and the strong partnerships with counties and municipalities in which the campuses are located; it is expected that these two-year programs will continue to allow open access recruiting and transfer to all UW four-year institutions;

BE IT FURTHER RESOLVED that, effective July 1, 2018, UW-Barron County will be joined with UW-Eau Claire; UW-Manitowoc, UW-Marinette and UW-Sheboygan will be joined with UW-Green Bay; UW-Washington County and UW-Waukesha will be joined with UW-Milwaukee; UW-Fond du Lac and UW-Fox Valley will be joined with UW-Oshkosh; UW-Baraboo/Sauk County and UW-Richland will be joined with UW-Platteville; UW-Marathon County and UW-Marshfield/Wood County will be joined with UW-Stevens Point; and UW-Rock County will be joined with UW-Whitewater; and

BE IT FURTHER RESOLVED that, effective July 1, 2018, UW-Eau Claire, UW-Green Bay, UW-Milwaukee UW-Oshkosh, UW-Platteville, UW-Stevens Point, and UW-Whitewater are authorized to grant those degrees granted by the UW Colleges and are directed to amend their mission statements accordingly if necessary; and

BE IT FURTHER RESOLVED that, effective July 1, 2018, the UW-Extension Cooperative Extension Division and the UW-Extension Conference Centers be joined with UW-Madison and operate as a component part of that institution, and that the Division of Business and Entrepreneurship, the Division of Broadcasting and Media Innovation, the Division of Continuing Education, Outreach, and E-Learning, and UW Colleges Online be moved within UW System Administration as an entity that can maintain separate accreditation; and

BE IT FURTHER RESOLVED the Board of Regents anticipates that UW Colleges and UW-Extension employees who become employees of a UW System campus or UW System Administration shall continue to enjoy job security rights and shared governance rights consistent with their current appointment at UW Colleges and UW-Extension, the particulars of which will be developed by campus administration and UW System Administration in consultation with relevant governance bodies, and

BE IT FURTHER RESOLVED that President Cross is authorized to conduct any necessary planning and implementation to effectuate this resolution; and

BE IT FURTHER RESOLVED that President Cross shall provide regular updates to the Board of Regents on the progress of the planning and implementation of this restructuring; and

BE IT FURTHER RESOLVED that, to the extent they are inconsistent with this resolution, Regent Policy Documents 18-1, 18-2, and 19-7 are superseded.

President Behling agreed with Vice President Petersen that this had been a thoughtful discussion and expressed appreciation for all of the Regents' comments.

Noting that the Board of Regents receives many e-mails, letters, and other correspondence from people throughout the UW System and the state, President Behling said that these were immensely important. He reiterated that a site had been created for submitting feedback on the restructuring proposal, which could be found on the UW System's homepage (wisconsin.edu).

Finally, President Behling thanked President Cross and his staff for their thoughtfulness in putting together the proposal, and for committing to providing updates on the restructuring process at the Board's next six meetings.

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REGENT COMMUNICATIONS, PETITIONS, AND MEMORIALS

There were no communications, petitions, or memorials.

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CLOSED SESSION – SONATA ROOM

President Behling called upon Vice President Petersen to read the motion to move into closed session. The motion was seconded by Regent Higgins and adopted on a roll-call vote, with Regents Atwell, Behling, Delgado, Erickson, Evers, Grebe, Hall, Higgins, Jones, Klein, Mueller, Petersen, Ring, Steil, Tyler, and Whitburn voting in the affirmative. There were no dissenting votes and no abstentions.

Closed Session Resolution

Resolution 10957 That the Board of Regents move into closed session to: (a) consider three UW-Madison honorary degree nominations, as permitted by s. 19.85(1)(f), Wis. Stats.; (b) consider a student request for review of a UW-Stevens Point

disciplinary decision, and a student request for review of a UW-Milwaukee disciplinary decision, as permitted by ss. 19.85(1)(a), (f), and (g), Wis. Stats.; (c) confer with legal counsel regarding pending litigation (Animal Legal Defense Fund v. Board of Regents; Thao v. Board of Regents; Hagen v. Board of Regents; John Doe v. Board of Regents; Bank First National v. UW-Oshkosh Foundation; Board of Regents v. Sonnleitner and Wells; University of Wisconsin-Oshkosh Foundation, Inc. v. Board of Regents; UW-Oshkosh Foundation, Inc. Chapter 11 Bankruptcy Filing) and potential litigation, as permitted by s. 19.85(1)(g), Wis. Stats.; (d) consider personal histories or disciplinary data of specific persons relating to the UW-Oshkosh Foundation matter which, if discussed in public, would be likely to have a substantial effect upon the reputation of such persons, as permitted by s. 19.85(1)(f), Wis. Stats.; and (e) consider annual personnel evaluations of chancellors, as permitted by s. 19.85(1)(c), Wis. Stats.

The following resolutions were adopted during the closed session:

Student Request for Review of a UW-Stevens Point Disciplinary Decision

Resolution 10958 That the Board of Regents adopts the attached Proposed Decision and Order as the Board's final Decision and Order in the matter of a student request for Regent review of a UW-Stevens Point disciplinary decision.

Student Request for Review of a UW-Milwaukee Disciplinary Decision

Resolution 10959 That the Board of Regents adopts the attached Proposed Decision and Order as the Board's final Decision and Order in the matter of a student request for Regent review of a UW-Milwaukee disciplinary decision.

- - -

The meeting was adjourned at 5:03 p.m.

- - -

Submitted by:

/s/ Jess Lathrop

Jess Lathrop, Interim Executive Director and Corporate Secretary
Office of the Board of Regents
University of Wisconsin System

Amendment of Resolution 10956, “Approval of Restructuring of UW Colleges and UW-Extension”

Resolution 10961 WHEREAS the Board of Regents approved Resolution 10956 in November 2017 regarding the restructuring of UW Colleges and UW-Extension, to include moving UW Colleges Online and the UW-Extension’s Division of Broadcasting and Media Innovation, Division of Business and Entrepreneurship, and Division of Continuing Education, Outreach, and E-Learning, to UW System Administration; and

WHEREAS the Higher Learning Commission has subsequently advised that the institution offering the UW Colleges Associate Degree Online and the UW Colleges Associate Degree in the Flex format must be an accredited degree-granting authority; and

WHEREAS the lengthy process for UW System Administration to ensure the existence of the needed infrastructure and secure such accreditation would not allow for the seamless continuation of these two important programs;

BE IT THEREFORE RESOLVED that effective July 1, 2018, UW Colleges Associate Degree Online and UW Colleges Associate Degree in the Flex format will be offered by one of the accredited four-year institutions of the UW System, amending the action taken with the approval of Resolution 10956 in November 2017;

BE IT FURTHER RESOLVED that the Board of Regents provides the UW System President with the authority to determine which four-year institution will offer the UW Colleges Associate Degree Online and the UW Colleges Associate Degree in the Flex format, subject to the approval of the Executive Committee of the Board of Regents.

Associate of Arts & Sciences Degree Online and Associate of Arts & Sciences Degree in the Flex Format

Resolution 10982 WHEREAS Resolution 10956 authorized UW-Eau Claire, UW-Green Bay, UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-Stevens Point, and UW-Whitewater to grant those degrees granted by the UW Colleges, which includes the Associate of Arts & Sciences degree in the traditional format; and

WHEREAS expanding the availability of the Associate of Arts & Sciences degree in the Online format by collaborating with all of the UW comprehensive institutions, UW-Madison, and UW-Milwaukee to offer this degree will provide opportunities for citizens across the state to access high-quality educational programming in a manner and format that meets their needs; and

WHEREAS UW-Milwaukee is a leader among UW institutions in offering degree programs in the Flex format, and has developed the necessary infrastructure to expand its Flex-degree offerings;

BE IT THEREFORE RESOLVED that upon the recommendation of the Chancellors and the President of the University of Wisconsin System, that UW-Eau Claire, UW-Green Bay, UW-La Crosse, UW-Madison, UW-Milwaukee, UW-Oshkosh, UW-Parkside, UW-Platteville, UW-River Falls, UW-Stevens Point, UW-Stout, UW-Superior, and UW-Whitewater are authorized to offer the Associate of Arts & Sciences degree in the Online format, as a Collaborative Online Degree Program, operated through the UW System Administration's Division of Continuing Education, Outreach & E-Learning, effective July 1, 2018;

BE IT FURTHER RESOLVED, that upon the recommendation of the Chancellor of UW-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to offer the Associate of Arts & Sciences degree in the Flex format.

RECORD OF THE MEETING

of the

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM EXECUTIVE COMMITTEE

Wednesday, January 3, 2018
8:00 a.m.

Held by telephone conference
1820 Van Hise Hall
1220 Linden Drive
Madison, Wisconsin

- - -

PRESENT: Regents John Behling (Chair), Michael Grebe, Tim Higgins, Drew Petersen, Bryan Steil, and Gerald Whitburn

UNABLE TO ATTEND: Regents Eve Hall, Tracey Klein, and Regina Millner

- - -

After the roll was called, Regent President Behling asked President Cross to provide an overview of the restructuring item under consideration by the Executive Committee.

President Cross started by explaining that at its November meeting, the Board approved moving the UW Colleges' Associate of Arts and Sciences (AAS) degree in both the Online and Flex formats to UW System Administration. After consulting with the Higher Learning Commission, Chancellors, and the Restructuring Steering Committee, President Cross said he is recommending a multi-campus approach for offering the AAS degree in the online format, for the following reasons:

- Federal financial aid is awarded through the accredited institution the student attends, and students currently taking AAS online courses receive their financial aid through UW Colleges. Allowing all of the institutions to offer the AAS degree as a collaborative online degree program means students will continue to be eligible for financial aid for these online courses.
- Limiting the AAS degree online to a single institution conflicts with one of the core principles of the restructuring: to expand access to higher education. By protecting financial aid for these online courses, the UW System will increase the likelihood of success for students at greater risk of not being able to afford college: first generation, low income, and rural students.

- A collaborative, multi-campus approach paves the way for significant changes and improvements related to the transfer of credits between institutions.

President Cross recommended an amendment to the proposed resolution to also authorize UW-Madison to offer the AAS degree in the online format.

With regard to the AAS degree in the Flex format, UW-Milwaukee is the campus leader in providing degrees in the Flex format, and it makes sense to move this program to that institution.

In response to questions from Regent Whitburn, President Cross and Chancellor Sandeen noted that seven institutions currently offer an Associate degree. The proposed resolution will allow all of the institutions to offer the AAS degree and participate in the collaborative degree format. Enrollment in the AAS online degree has increased over the past several years.

President Behling asked for a motion to adopt the amended resolution. Resolution 10982, as amended, was moved by Regent Whitburn, seconded by Regent Petersen, and adopted unanimously on a voice vote.

Associate of Arts & Sciences Degree Online and Associate of Arts & Sciences Degree in the Flex Format

Resolution 10982

WHEREAS Resolution 10956 authorized UW-Eau Claire, UW-Green Bay, UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-Stevens Point, and UW-Whitewater to grant those degrees granted by the UW Colleges, which includes the Associate of Arts & Sciences degree in the traditional format; and

WHEREAS expanding the availability of the Associate of Arts & Sciences degree in the Online format by collaborating with all of the UW comprehensive institutions, UW-Madison, and UW-Milwaukee to offer this degree will provide opportunities for citizens across the state to access high-quality educational programming in a manner and format that meets their needs; and

WHEREAS UW-Milwaukee is a leader among UW institutions in offering degree programs in the Flex format, and has developed the necessary infrastructure to expand its Flex-degree offerings;

BE IT THEREFORE RESOLVED that upon the recommendation of the Chancellors and the President of the University of Wisconsin System, that UW-Eau Claire, UW-Green Bay, UW-La Crosse, UW-Madison, UW-Milwaukee, UW-Oshkosh, UW-Parkside, UW-Platteville, UW-River Falls, UW-Stevens Point, UW-Stout, UW-Superior, and UW-Whitewater are authorized to offer the Associate of Arts & Sciences degree in the Online format, as a Collaborative Online Degree Program, operated

through the UW System Administration's Division of Continuing Education, Outreach & E-Learning, effective July 1, 2018;

BE IT FURTHER RESOLVED, that upon the recommendation of the Chancellor of UW-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to offer the Associate of Arts & Sciences degree in the Flex format.

- - -

The meeting was adjourned at 8:12 a.m.

- - -

Submitted by:

/s/ Jess Lathrop

Jess Lathrop, Interim Executive Director and Corporate Secretary
Office of the Board of Regents
University of Wisconsin System

APPENDIX E

U.S. Department of Education Letter,
December 27, 2017

FW: University of Wisconsin System Merger

✉ Reply all | ▾

🗑 Delete

Junk | ▾

...



HR

Harris, Roslyn <Roslyn.Harris@ed.gov>

Wed 12/27/2017, 1:47 PM

jrosen@hlcommission.org ▾

✉ Reply all | ▾

From: Harris, Roslyn**Sent:** Wednesday, December 27, 2017 1:43 PM**To:** Karen Solinski (ksolinski@hlcommission.org)**Cc:** 'jrosen@hlcommission.org'**Subject:** University of Wisconsin System Merger

Dear Karen Solinski;

The U.S. Department of Education (Department) has been notified that the University of Wisconsin System (UW System) will be undergoing a merger in June 2018. Per the UW System, the following mergers will take place:

UW-Milwaukee (OPEID - 00389600)

UW-Waukesha

UW-Washington County

UW-Oshkosh (OPEID - 00392000)

UW-Fox Valley

UW-Fond du Lac

UW-Whitewater (OPEID – 00392600)

UW-Rock County

UW-Platteville (OPEID – 00392100)

UW-Richland

UW-Baraboo/Sauk County

UW-Eau Claire (OPEID – 00391700)

UW-Barron County

UW-Stevens Point (OPEID – 00392400)

UW-Marathon County

UW-Marshfield/Wood County

UW-Green Bay (OPEID – 00389900)

UW-Manitowoc

There is a review and approval process associated with institutions that merge. The institutions absorbing the additional locations currently under the UW System OPEID will be required to notify the Department (via the Electronic Application) within 10 days of receiving both accreditor and state approval of the mergers. Until an Electronic Application is received from the institutions (along with the appropriate state and accreditor approval documentation), the Department is unable to comment regarding the institutions' continued eligibility post-merger.

Please let me know if there are any questions.

Best Regards,

Roslyn Harris

Institutional Review Specialist

Program Compliance

Chicago/Denver School Participation Division

Phone:(312) 730-1690

Fax: (312) 730-1520



APPENDIX F

Financial Information

2017-18 Annual Operating Budget

2016-17 Annual Operating Budget

UW Colleges Central Consolidated Services Budgets

Legislative Audit Bureau University of Wisconsin System Fiscal Year 2015-16

Legislative Audit Bureau University of Wisconsin System Fiscal Year 2014-15

University of Wisconsin System 2015 Annual Report

University of Wisconsin System 2016 Annual Report

UW Colleges Source Funding Organizational Charts



2017-18 Operating Budget and Fee Schedules

University of
Wisconsin System
July 2017

2017-18 OPERATING BUDGET AND FEE SCHEDULES

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2017-18 OPERATING BUDGET AND FEE SCHEDULES

EXECUTIVE SUMMARY

BACKGROUND

The Annual Operating Budget for the University of Wisconsin (UW) System is based upon the state's 2017-19 biennial budget, Wisconsin Assembly Bill (AB) 64. At the time of the July 2017 Board of Regents meeting, the biennial budget was still in progress. Therefore, the Annual Operating Budget is based upon changes the legislative Joint Committee on Finance made to the Governor's budget on May 25, 2017.

Any changes made by the state Senate, Assembly, or Governor will be incorporated into the UW System's budget and subsequently reported to the Board of Regents. In order to expedite the completion of a final 2017-18 Annual Operating Budget, the Board is asked to delegate approval of modifications required by the biennial budget to President Cross. Should a significant change be required, the Executive Committee of the Board of Regents will be consulted.

Highlights

Primary highlights of the UW System's 2017-18 Annual Budget include:

- Resident undergraduate tuition is frozen for the fifth consecutive year.
- State GPR funding increased \$37.8 million (3.7%) with the return of \$25 million lapsed back to the state in 2016-17.
- Segregated fee increases are limited in alignment with the Joint Committee on Finance omnibus motion.
- Program Revenue balances are projected to further decline. The budget estimates a decrease of \$113.2 million in unrestricted fund balances in 2017-18.
- The Joint Committee on Finance passed a motion approving a \$5.7 million increase in Wisconsin Grant funding. If enacted, this would be the first increase since 2010-2011. These funds are administered through the Wisconsin Higher Educational Aids Board (HEAB).

OVERVIEW

In October 2016, the Board approved a plan that froze tuition in the first year of the biennium and would have allowed for an increase of no more than the cost of living in year two. The state budget approved by the Joint Committee on Finance requires continuing the freeze of resident undergraduate tuition at the 2012-13 levels for the upcoming 2017-18 fiscal year, as well as fiscal year 2018-19.

Prior to 2015-16, the UW System's General Purpose Revenue (GPR)/Tuition budget had only reflected ongoing (base) resources. In 2015-16, the UW System began to budget one-time use of tuition revenue into their budget in order to more transparently reflect the operating resources institutions plan to utilize.

The fund groupings included in the annual budget are defined below:

- **GPR/Tuition Funds:** state resources and funding from tuition and extension credit fees.
- **Auxiliary Operations:** self-supporting programs whose primary purpose is to provide services to students, staff, and occasionally the public such as residence halls, food service, unions, parking etc.
- **General Program Operations:** other self-supporting operations such as print and copy shops, dairy sales, camps and clinics, etc.
- **Federal Indirect Cost Reimbursement:** reimbursements received from the federal government for various costs incurred in administering federal grant programs. (Funding examples include faculty and student research, facility and maintenance costs for research buildings, capital investments, etc.).
- **Gift/Grants and Contracts:** restricted funds from private or organizational gifts, federal and nonfederal grants, and contracts that are provided for specific purposes.
- **Other:** includes a variety of funds and sources (such as Federal student aid and debt service payments for non-academic buildings).

The tables below provide information on the total 2017-18 UW System budget, as well as information by source of funds, including the dollar and percent change.

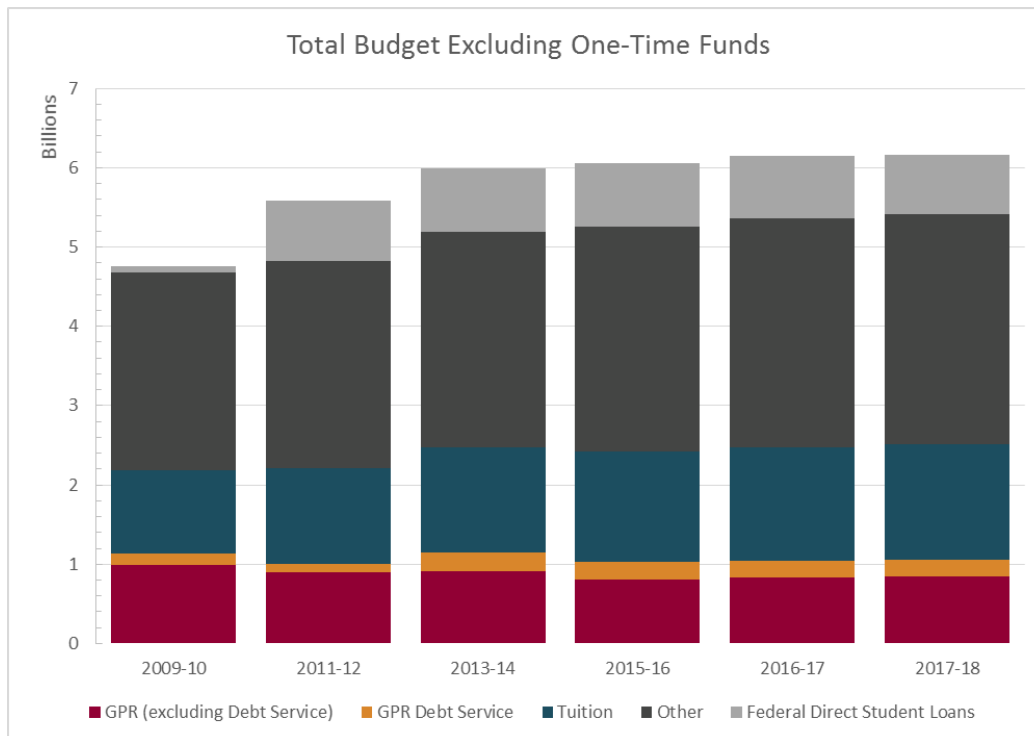
SUMMARY TOTAL - ALL FUNDS		
Revenues	\$ 6,108,042,174	
Planned Expenditures	(6,221,246,354)	
Planned Use of Balances		(113,204,180)

Fund Source Category	2016-17 Budget	2017-18 Budget	Percent of Ongoing Base	Dollar Change	Percent Change
Operational GPR (Ongoing)	832,930,600	840,608,200	13.64%	7,677,600	0.92%
GPR Debt Service	215,774,700	220,932,100	3.58%	5,157,400	2.39%
GPR Lapse	-25,000,000		0.00%	25,000,000	
GPR Total	1,023,705,300	1,061,540,300	17.22%	37,835,000	3.70%
Tuition	1,429,473,458	1,453,699,618	23.58%	24,226,160	1.69%
Auxiliary Operations	747,359,461	777,179,963	12.61%	29,820,502	3.99%
General Program Operations	288,270,314	293,369,814	4.76%	5,099,500	1.77%
Federal Indirect Cost Reimbursement	154,134,451	153,990,431	2.50%	-144,020	-0.09%
Gifts, Grants, and Contracts	1,218,790,433	1,212,675,026	19.67%	-6,115,407	-0.50%
Other	1,262,231,986	1,212,449,657	19.67%	-49,782,329	-3.94%
Total Ongoing Base Budget	6,123,965,403	6,164,904,809	100.00%	40,939,406	0.67%
One Time Use of Tuition Balances	107,585,782	56,341,545		-51,244,237	-47.63%
Total Operating Budget	6,231,551,185	6,221,246,354		-10,304,831	-0.17%

Funding for the UW System

The UW System's total budget increased from \$4.8 billion in 2009-10 to \$6.2 billion in 2017-18. Federal Direct Student Lending represents \$674 million of that increase. Direct student lending provides resources to students to cover educational expenditures and does not increase the UW System's funding for instruction of students. Instructional funding comes primarily from tuition paid by students and families, and state resources (GPR).

The graph below shows UW System funding over time for GPR excluding debt service, GPR Debt Service, Tuition, all other funds (excluding Direct Student Loans), and Direct Students Loans.



Note that funding for Direct Student Loans was added to many institutional budgets, as required, in 2010-11. As a result, 2010-11 total system funding increased by more than \$680 million.

Section A of this document provides summary budget and balance information by fund type, including GPR/Tuition, Auxiliary Operations, General Program Operations, and Federal Indirect Cost Reimbursement, Gifts, Grants, and Contracts, and Other funds.

2017-18 GPR/Tuition Changes

The UW System expects to incur expenditures of nearly \$2.6 billion in 2017-18. The sources of revenue to address these expenditures include:

- Operational GPR of \$840.6 million
- GPR funds for debt service of \$220.9 million
- Tuition revenue of \$1.5 billion
- \$56.3 million from tuition balances

GPR/TUITION FUNDS		
Estimated Beginning Balance (Tuition only)		\$ 274,150,667
Operational GPR	\$ 840,608,200	
GPR Debt Service	220,932,100	
Sub-Total GPR	1,061,540,300	
Tuition Revenue	1,453,699,618	
Total GPR/Tuition	2,515,239,918	
Planned Expenditures	(2,571,581,463)	
Planned Use of Balances		(56,341,545)
Estimated Ending Balance (Tuition only)		\$ 217,809,122

The 2017-18 budget reflects an increase of 3.7 percent in state support, including the return of \$25.0 million in GPR funding that was lapsed back in 2016-17, nearly \$7.7 million in additional funding to support new initiatives, and \$5.2 million in debt service. A summary of GPR funding from 2007-08 through 2017-18 is provided below.

GPR Funding in millions including and excluding Debt (2007-08 to Present)

	<u>2007-08</u>	<u>2009-10</u>	<u>2011-12</u>	<u>2013-14</u>	<u>2015-16</u>	<u>2016-17</u>	<u>2017-18</u>
Operating GPR	994.0	988.4	903.1	915.5	802.4	832.9	840.6
Debt Service	134.4	151.5	98.4	235.9	227.2	215.8	220.9
Total GPR	1,128.4	1,139.8	1,001.5	1,151.4	1,029.7	1,048.7	1,061.5

Section B of this document provides information on the changes in GPR and Tuition funding for the UW System from 2016-17 to 2017-18 by institution.

Changes in GPR/Tuition funding for 2017-18 include:

- The return of \$25.0 million GPR that was lapsed in 2016-17.
- \$24.2 million to increase academic fee (tuition) authority from increases in graduate and non-resident undergraduate tuition rates, enrollment growth, and self-supporting programs.
- An increase of \$5.2 million for GPR debt service.
- \$5.0 million for an Innovation fund to serve all institutions through a competitive process.
- \$1.5 million for the creation of the Thompson Center on Public Leadership at UW-Madison.
- An increase of \$490,000 for the Carbone Cancer Center at UW-Madison.
- An increase of \$271,100 for financial aid for the Flexible Degree Program at UW-Extension.
- An increase of \$130,000 for grants to meet emergency financial need at UW Colleges.
- An increase of \$126,500 for fringe benefits.
- An increase of \$100,000 for Rural Physician Residency Assistance at UW-Madison.
- An increase of \$50,000 for Alzheimer's disease research at UW-Madison.
- \$10,000 for Academic Freedom.

2017-18 Annual Tuition Rates

Tuition rates, for the fifth consecutive year, will remain frozen at 2012-13 levels for resident undergraduate students within the UW System. Last October, the Board approved a plan that freezes tuition in the first year of the biennium, and would have allowed for an increase of no more than the cost of living in year two. The State budget approved by the Joint Committee on Finance requires continuing the freeze of resident undergraduate tuition at the 2012-13 levels for the upcoming 2017-18 fiscal year as well as for the 2018-19 fiscal year.

The Board of Regents approved nonresident and graduate tuition proposals at the December 8, 2016 meeting for UW-Madison, UW-Eau Claire, UW-Green Bay, UW-La Crosse, UW-Milwaukee, UW-Stout, and UW Colleges. No additional tuition increases are included in this 2017-18 budget.

Section C includes information on tuition rates and changes for each UW institution.

Auxiliary Operations

The 2017-18 auxiliary operation budgets are anticipated to increase by 4.0%, or \$29.8 million. Revenues are estimated to be \$728.8 million and expenditures are estimated at \$777.2 million. As a result, balances will decrease \$48.4 million. Of the \$227.1 million estimated ending balance, about \$97 million (43%) is for future facilities and other capital projects.

AUXILIARY			
Estimated Beginning Balance		\$	275,458,181
Revenues	\$	728,798,100	
Planned Expenditures		<u>(777,179,963)</u>	
Planned Use of Balances			<u>(48,381,863)</u>
Estimated Ending Balance		\$	227,076,318

Auxiliary Operations: self-supporting programs whose primary purposes is to provide services to students, staff, and occasionally the public such as residence halls, food service, unions, parking etc.

The Joint Committee on Finance on May 25, 2017 passed an omnibus motion that included a provision requiring the “Board of Regents to revise its policies regarding student segregated fees to ensure that the classification of those fees as allocable or non-allocable is consistent across institutions.” This motion requires that the Board submit the policy to the Joint Committee on Finance for a 14-day passive review process. Consistent with the Joint Committee on Finance’s intent, the UW System has not recommended increases in allocable segregated fees, except for situations where the increases were due to the use of balances in 2016-17, and institutions returned to their 2015-16 rates.

Program Revenue Operations

The 2017-18 General Program Operations budgets are anticipated to increase by 1.8% (see **Table A-6**). General Program Operations revenues are estimated to be \$285.8 million. Expenditures are estimated at \$293.4 million. As a result, program revenue balances are projected to decrease \$7.6 million.

GENERAL PROGRAM OPERATIONS			
Estimated Beginning Balance		\$	84,188,242
Revenues	\$	285,753,288	
Planned Expenditures		<u>(293,369,814)</u>	
Planned Use of Balances			<u>(7,616,526)</u>
Estimated Ending Balance			76,571,716

General Program Operations: other self-supporting operations such as print and copy shops, dairy sales, camps and clinics, etc.

Federal Indirect Cost Reimbursement budgets are anticipated to decrease by 0.1% (see **Table A-7**). Revenues are estimated at \$153.1 million. Expenditures are estimated at \$154.0 million. As a result, program revenue balances are projected to decrease \$0.9 million.

FEDERAL INDIRECT COST REIMBURSEMENT			
Estimated Beginning Balance		\$	162,714,729
Revenues	\$	153,126,185	
Planned Expenditures	\$	(153,990,431)	
Planned Use of Balances		\$	(864,246)
Estimated Ending Balance		\$	161,850,483

Federal Indirect Cost Reimbursement: reimbursements received from the federal government for various costs incurred in administering federal grant programs. (Funding examples include faculty and student research, facility and maintenance costs for research buildings, capital investments, etc.)

Restricted Funds

Some program revenue sources are considered restricted, which means that the revenue can be used only for certain purposes. For example, Gifts, Grants and Contracts typically can be used only for the purposes specified by the donor or grantor, and Other funding is primarily financial aid, debt service for non-academic buildings, and non-credit Extension programs. The UW System's Program Revenue Balance reports, which were audited by the Legislative Audit Bureau in 2013, 2014, and 2015, designate these year-end amounts as restricted balances.

GIFTS, GRANTS AND CONTRACTS			
Revenues	\$	1,212,675,026	
Planned Expenditures		(1,212,675,026)	
OTHER			
Revenues	\$	1,212,449,657	
Planned Expenditures		(1,212,449,657)	

Restricted Funds: revenue that can be used only for certain purposes. For example, gifts typically can be used only for the purposes specified by the donor or grantor.

A. BUDGET AND BALANCE SUMMARIES

The budget and balance summary tables provide information on institutional budget plans for the 2017-18 fiscal year. The tables contain estimated beginning and ending balances by fund sources for unrestricted fund categories and generally compare funding from 2016-17 to 2017-18. Information regarding each table can be found below.

These tables show that UW System institutions anticipate decreasing unrestricted program revenue balances (excluding Gifts, Grants, and Contracts and Other funds) by \$113.2 million, with the most significant declines in GPR/Tuition.

Table A-1 provides a comparison of the budget from all funding sources for the Universities, Colleges and UW-Extension. The base (or ongoing) budget will increase \$40.9 million from 2016-17 to 2017-18. Institutions also plan to use \$56.3 million of tuition balances. The Total Budget for 2017-18, including use of tuition balances, is \$6,221,246,354.

Table A-2 provides information about the actual 2016-17 beginning balances, and estimated 2017-18 beginning balances, and ending balances. Balance estimates are provided for GPR/Tuition, Auxiliary Operations, General Program Operations and Federal Indirect Cost Reimbursement. The UW System plans to decrease these fund balances by \$113.2 million, from \$796.5 million in 2016-17 to \$683.3 million in 2017-18. The greatest change is expected in Tuition balances, which is estimated to decrease 20.6%. By Board policy, balance information is not provided for restricted funds (Gifts, Grants, and Contracts and Other).

Table A-3 breaks down **Table A-1** and provides information on the 2017-18 Total Funds budget by institution and fund type. This table shows the base budget (ongoing funding) of \$6,164,904,809 and the total budget of \$6,221,246,354 after the use of one time tuition balances (\$56.3 million).

Table A-4 GPR/Tuition Budget: GPR/Tuition funds include state resources and funding from tuition and extension credit fees. This budget category will increase 2.5% in the 2017-18 fiscal year. Balances are estimated to decrease from \$274.2 million to \$217.8 million (a decrease of \$56.3 million). Below the table is a graph showing historic tuition fund balances from 2013 until 2016 with estimates for 2017 and 2018.

Table A-5 Auxiliary Operations: Auxiliary Operations are self-supporting programs whose primary purposes is to provide services to students, staff, and occasionally the public. Residence halls, food service, unions, parking etc., are examples of auxiliary operations. This budget category will increase by \$29.8 million (4.0%) from 2016-17. With expenditures exceeding revenue by \$48.4 million, institutions plan to utilize that amount of balances during the year. The estimated ending balance is \$227.1 million. It should be noted that \$97 million of this amount is designated for future projects. Below the table is a graph showing Auxiliary Operations fund balances from 2013 until 2016 with estimates for 2017 and 2018.

Table A-6 General Program Operations: General Program Operations include other self-supporting operations like print and copy shops, dairy sales, camps and clinics, etc. This budget category will increase \$5.1 million (1.8%). Institutions plan to utilize \$7.6 million in balances during the year. Below the table is a graph showing General Program Operations fund balances from 2013 until 2016 with estimates for 2017 and 2018.

Table A-7 Federal Indirect Cost Reimbursement: will decrease \$144,020 (0.1%) with institutions planning to utilize \$0.9 million in balances. Below the table is a graph showing Federal Indirect Cost Reimbursement fund balances from 2013 until 2016 with estimates for 2017 and 2018.

Tables A-8 and A-9 show the change in institutional budgets for restricted funds (Gift/Grants and Contracts, and Other). Gifts, Grants and Contracts will decrease \$6.1 million (0.5%) and Other Funds will decrease \$49.8 million (3.9%). Decreases in the Other Funds budgets are largely due to Federal Aid–Pell Grants (\$15.3 million) and Federal Aid–Federal Direct Student Loans (\$36.0 million). Other funds also includes an increase of \$2.6 million in Program Revenue Debt Service. The decrease to Gifts, Grants, and Contracts is largely due to reductions in Federal Aid–Smith Lever-Extension (\$1.8 million), and Federal Aid–Special Projects (\$5.2 million). There were small increases (<\$1 million) in Gifts, and Endowment Trust Fund Income.

TABLE A-1
University of Wisconsin System
2017-18 Annual Operating Budget - All Funds

	2016-17 Operating Base Budget	2017-18 Operating Base Budget	\$ Change in Operating Base	% Change in Operating Base	2017-18 Use of Tuition Balances**	2017-18 Operating Budget
Madison	2,768,202,048	2,837,863,692	69,661,644	2.52%	9,393,600	2,847,257,292
Milwaukee	592,020,685	581,432,372	(10,588,313)	-1.79%	0	581,432,372
Eau Claire	197,693,235	203,884,307	6,191,072	3.13%	7,050,515	210,934,822
Green Bay	111,691,057	111,804,820	113,763	0.10%	3,107,220	114,912,040
La Crosse	196,909,275	196,798,540	(110,735)	-0.06%	1,374,090	198,172,630
Oshkosh	235,719,836	236,055,841	336,005	0.14%	2,664,920	238,720,761
Parkside	86,637,014	87,137,530	500,516	0.58%	2,124,867	89,262,397
Platteville	171,622,621	172,536,517	913,896	0.53%	1,537,575	174,074,092
River Falls	116,993,324	115,661,510	(1,331,814)	-1.14%	4,017,366	119,678,876
Stevens Point	196,242,420	184,203,452	(12,038,968)	-6.13%	3,046,297	187,249,749
Stout	186,037,660	184,007,883	(2,029,777)	-1.09%	0	184,007,883
Superior	61,627,466	59,318,093	(2,309,373)	-3.75%	1,439,260	60,757,353
Whitewater	232,039,791	236,485,558	4,445,767	1.92%	2,194,692	238,680,250
Colleges	118,989,630	100,263,915	(18,725,715)	-15.74%	1,235,148	101,499,063
Extension	199,371,940	194,860,671	(4,511,269)	-2.26%	1,405,810	196,266,481
System Admin	11,257,492	11,621,348	363,856	3.23%	0	11,621,348
Systemwide*	98,356,886	110,083,697	11,726,811	11.92%	15,750,185	125,833,882
GPR/Tuition Fringe Benefits	542,553,023	540,885,063	(1,667,960)	-0.31%		540,885,063
Total	6,123,965,403	6,164,904,809	40,939,406	0.67%	56,341,545	6,221,246,354

* \$25 million GPR lapsed in 2016-17 is not included in the 2016-17 Operating Base.

** Total planned use of balances for all fund reporting categories is \$113,204,180. This column only reflects the use of tuition balances. The remaining \$56.9 million is built into the operating base budget.

TABLE A-2
University of Wisconsin System
2017-18 Estimated Expenditure Plan

	2016-17		2017-18 ESTIMATIONS			
Fund Source Category	July 1, 2016 Actual Beginning Balance	2016-17 Estimated Change in Balances	July 1, 2017 Estimated Beginning Balance	2017-18 Estimated Change in Balances	June 30, 2018 Estimated Ending Balance	Change
GPR/Tuition	295,604,099	(21,453,432)	274,150,667	(56,341,545)	217,809,122	-20.6%
Auxiliary Operations	253,571,871	21,886,310	275,458,181	(48,381,863)	227,076,318	-17.6%
General Program Operations	108,548,644	(24,360,402)	84,188,242	(7,616,526)	76,571,716	-9.0%
Subtotal	657,724,614	(23,927,524)	633,797,090	(112,339,934)	521,457,156	-17.7%
Federal Indirect Cost Reimbursement	154,371,947	8,342,782	162,714,729	(864,246)	161,850,483	-0.5%
Gifts, Grants and Contracts	*		*		-	
Other **	71,172,874		***		-	
Total	883,269,435	(15,584,742)	796,511,819	(113,204,180)	683,307,639	-14.2%

* Gifts, Grants and Contracts Beginning Balances are not included as they are externally restricted, and must be used according to the intent of the source.

** July 1, 2016 Other Funds Beginning Balance does not include other restricted funds.

*** Institutions are not able to provide 2018 estimates for Other due to the unpredictable nature of the funding sources.

TABLE A-3
University of Wisconsin System
2017-18 Annual Operating Budget - All Funds

	GPR/Tuition Base	Auxiliary Operations	General Program Operations	Federal Indirect Cost Reimbursement	Gifts, Grants, and Contracts	Other Funds	Total Base	One-Time Use of Tuition Balances *	Total Including Use of Tuition Balances
Madison	842,619,691	319,570,008	148,085,817	135,000,000	1,038,235,900	354,352,276	2,837,863,692	9,393,600	2,847,257,292
Milwaukee	230,865,173	96,566,909	11,596,475	8,838,007	58,223,421	175,342,387	581,432,372	0	581,432,372
Eau Claire	79,616,385	49,688,761	7,607,879	289,885	5,455,163	61,226,234	203,884,307	7,050,515	210,934,822
Green Bay	43,667,723	21,564,614	4,305,824	541,413	4,873,974	36,851,272	111,804,820	3,107,220	114,912,040
La Crosse	83,244,134	36,625,141	3,370,616	447,524	9,432,681	63,678,444	196,798,540	1,374,090	198,172,630
Oshkosh	81,387,754	43,900,255	11,611,901	375,616	13,024,896	85,755,419	236,055,841	2,664,920	238,720,761
Parkside	38,691,086	9,316,020	1,282,605	98,600	1,833,002	35,916,217	87,137,530	2,124,867	89,262,397
Platteville	65,755,403	33,612,600	9,693,050	95,000	4,553,854	58,826,610	172,536,517	1,537,575	174,074,092
River Falls	43,805,512	29,110,330	3,427,072	240,631	1,899,698	37,178,267	115,661,510	4,017,366	119,678,876
Stevens Point	61,098,145	42,436,441	10,070,519	568,037	7,907,048	62,123,262	184,203,452	3,046,297	187,249,749
Stout	70,499,480	35,220,127	14,881,777	629,531	3,295,453	59,481,515	184,007,883	0	184,007,883
Superior	28,938,519	6,767,281	1,410,526	376,677	2,735,344	19,089,746	59,318,093	1,439,260	60,757,353
Whitewater	91,925,922	41,955,471	10,052,917	407,865	5,490,374	86,653,009	236,485,558	2,194,692	238,680,250
Colleges	53,250,974	5,740,304	4,455,622	72,819	2,829,188	33,915,008	100,263,915	1,235,148	101,499,063
Extension	89,466,498	3,785,615	8,260,175	2,716,024	49,627,168	41,005,191	194,860,671	1,405,810	196,266,481
System Admin.	5,586,109	317,426	225,592	3,200,000	2,292,221	0	11,621,348	0	11,621,348
Systemwide	63,936,347	1,002,660	43,031,447	92,802	965,641	1,054,800	110,083,697	15,750,185	125,833,882
GPR/Tuition Fringe Benefits	540,885,063						540,885,063		540,885,063
Total	2,515,239,918	777,179,963	293,369,814	153,990,431	1,212,675,026	1,212,449,657	6,164,904,809	56,341,545	6,221,246,354
Percent of Total	40.8%	12.6%	4.8%	2.5%	19.7%	19.7%	100.0%		

GPR/Tuition Operating Budget Summary		% of GPR/Tuition Total	% of Total UW System Budget
Operational GPR	840,608,200	32.7%	13.5%
GPR Debt Service	220,932,100	8.6%	3.6%
Tuition	1,453,699,618	56.5%	23.4%
Tuition Balances	56,341,545	2.2%	0.9%
Total	2,571,581,463	100.0%	41.3%

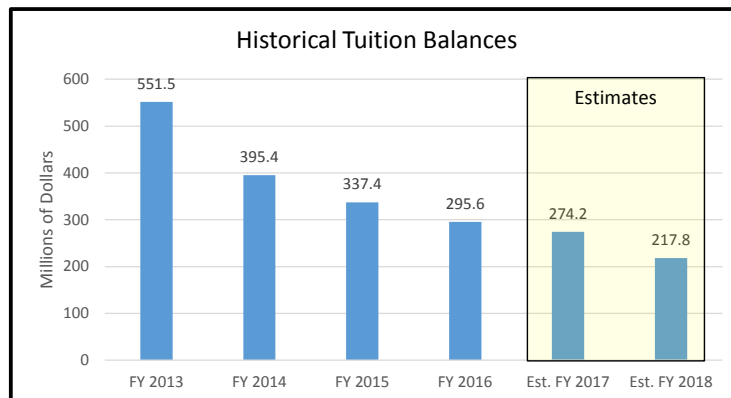
* Total planned use of balances for all fund reporting categories is \$113,204,180. This column only reflects the use of tuition balances. The remaining \$56.9 million is built into the operating base budget.

TABLE A-4
University of Wisconsin System
2017-18 Annual Operating Budget - GPR/Tuition

	GPR/Tuition Budget					2016-17		2017-18 ESTIMATIONS		
	2016-17 Operating Base	2017-18 Operating Base	Change	2017-18 Use of Balances	2017-18 Total Budget	July 1, 2016 Actual Beginning Fund Balance	Estimated Change in Balances	July 1, 2017 Estimated Beginning Fund Balance	Estimated Change in Balances	June 30, 2018 Estimated Ending Fund Balance
Madison	797,235,933	842,619,691	5.7%	9,393,600	852,013,291	65,355,371	4,644,629	70,000,000	(9,393,600)	60,606,400
Milwaukee	229,628,266	230,865,173	0.5%	0	230,865,173	39,919,323	3,657,877	43,577,200	0	43,577,200
Eau Claire	79,084,635	79,616,385	0.7%	7,050,515	86,666,900	10,742,222	1,123,231	11,865,453	(7,050,515)	4,814,938
Green Bay	43,218,771	43,667,723	1.0%	3,107,220	46,774,943	10,139,905	(3,325,052)	6,814,853	(3,107,220)	3,707,633
La Crosse	82,365,876	83,244,134	1.1%	1,374,090	84,618,224	11,982,572	(562,703)	11,419,869	(1,374,090)	10,045,779
Oshkosh	78,050,298	81,387,754	4.3%	2,664,920	84,052,674	8,648,196	(611,018)	8,037,178	(2,664,920)	5,372,258
Parkside	37,460,109	38,691,086	3.3%	2,124,867	40,815,953	12,871,536	(1,604,536)	11,267,000	(2,124,867)	9,142,133
Platteville	64,772,721	65,755,403	1.5%	1,537,575	67,292,978	14,783,940	(4,971,976)	9,811,964	(1,537,575)	8,274,389
River Falls	42,499,311	43,805,512	3.1%	4,017,366	47,822,878	10,656,001	(83,603)	10,572,398	(4,017,366)	6,555,032
Stevens Point	59,858,837	61,098,145	2.1%	3,046,297	64,144,442	11,253,237	(5,370,674)	5,882,563	(3,046,297)	2,836,266
Stout	68,350,088	70,499,480	3.1%	0	70,499,480	6,125,302	250,998	6,376,300	0	6,376,300
Superior	28,572,586	28,938,519	1.3%	1,439,260	30,377,779	5,849,562	(590,760)	5,258,802	(1,439,260)	3,819,542
Whitewater	88,167,834	91,925,922	4.3%	2,194,692	94,120,614	25,435,299	(2,240,607)	23,194,692	(2,194,692)	21,000,000
Colleges	51,709,434	53,250,974	3.0%	1,235,148	54,486,122	17,428,984	(6,062,962)	11,366,022	(1,235,148)	10,130,874
Extension*	95,578,580	89,466,498	-6.4%	1,405,810	90,872,308	6,396,304	(1,006,117)	5,390,187	(1,405,810)	3,984,377
System Admin.	5,473,609	5,586,109	2.1%	0	5,586,109	0	0	0	0	0
Systemwide**	58,598,847	63,936,347	9.1%	15,750,185	79,686,532	38,016,345	(4,700,159)	33,316,186	(15,750,185)	17,566,001
					0					
GPR/Tuition Fringe Benefits	542,553,023	540,885,063	-0.3%		540,885,063					
Total	2,453,178,758	2,515,239,918	2.5%	56,341,545	2,571,581,463	295,604,099	(21,453,432)	274,150,667	(56,341,545)	217,809,122

* Credit Extension is budgeted at UW-Extension, while the fund balances are held at the individual institutions.

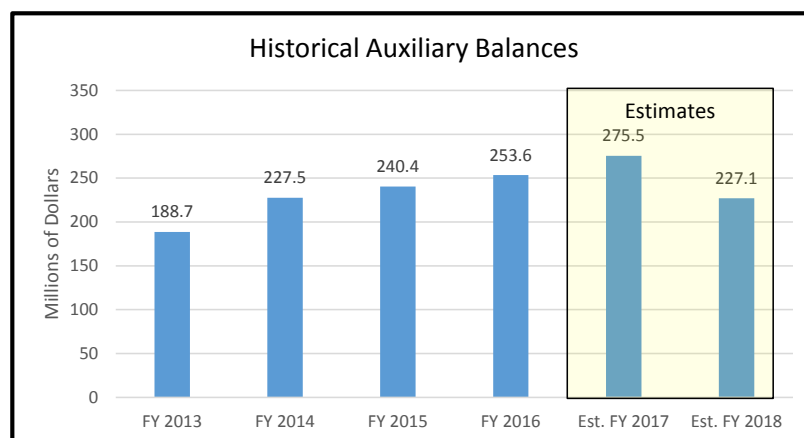
** \$25 million GPR lapsed in 2016-17, held at UW-Systemwide, is not included in the 2016-17 Operating Base.



- From July 1, 2013 to July 1, 2016 Tuition balances decreased by \$255.9 million
- Tuition balances are projected to have decreased \$21.5 million in 2016-17, and another \$56.3 million in 2017-18

TABLE A-5
University of Wisconsin System
2017-18 Annual Operating Budget - Auxiliary Operations

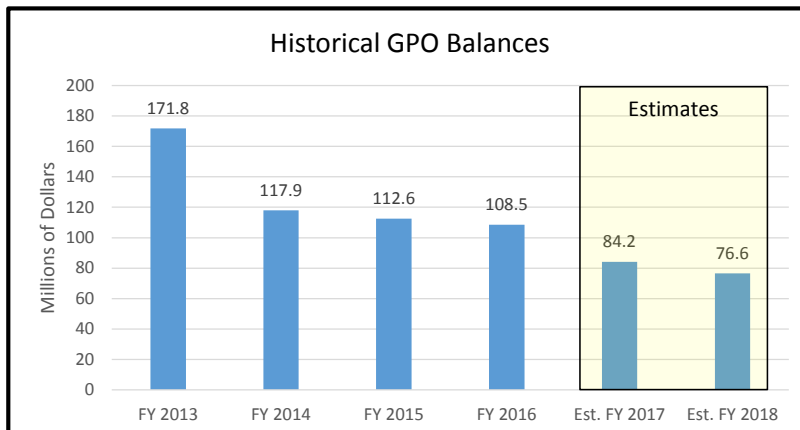
	BUDGET			2016-17		2017-18 ESTIMATIONS		
	2016-17 Auxiliary Operations	2017-18 Auxiliary Operations	Change	July 1, 2016 Actual Beginning Fund Balance	Estimated Change in Balances	July 1, 2017 Estimated Beginning Fund Balance	Estimated Change in Balances	June 30, 2018 Estimated Ending Fund Balance
Madison	297,925,720	319,570,008	7.3%	115,819,093	(5,719,311)	110,099,782	(26,893,236)	83,206,546
Milwaukee	91,963,378	96,566,909	5.0%	26,480,468	6,144,532	32,625,000	(7,017,539)	25,607,461
Eau Claire	45,346,255	49,688,761	9.6%	26,615,618	4,651,160	31,266,778	(3,141,897)	28,124,881
Green Bay	21,192,796	21,564,614	1.8%	6,208,356	1,229,866	7,438,222	(615,135)	6,823,087
La Crosse	37,422,243	36,625,141	-2.1%	8,409,522	5,370,108	13,779,630	(1,981,450)	11,798,180
Oshkosh	44,636,097	43,900,255	-1.6%	19,076,428	1,468,894	20,545,322	(3,846,714)	16,698,608
Parkside	9,209,410	9,316,020	1.2%	(305,455)	279,455	(26,000)	(118,000)	(144,000)
Platteville	33,351,815	33,612,600	0.8%	9,282,735	699,853	9,982,588	(941,452)	9,041,136
River Falls	28,511,119	29,110,330	2.1%	3,651,286	2,501,714	6,153,000	(1,574,731)	4,578,269
Stevens Point	44,236,158	42,436,441	-4.1%	14,022,136	(3,823,499)	10,198,637	(807,749)	9,390,888
Stout	33,696,319	35,220,127	4.5%	5,451,484	2,467,104	7,918,588	11,007	7,929,595
Superior	6,919,673	6,767,281	-2.2%	(297,635)	1,697,635	1,400,000	(150,000)	1,250,000
Whitewater	40,738,097	41,955,471	3.0%	11,777,247	5,000,000	16,777,247	0	16,777,247
Colleges	6,427,022	5,740,304	-10.7%	3,436,826	(47,661)	3,389,165	(815,783)	2,573,382
Extension	4,371,822	3,785,615	-13.4%	3,141,961	(72,379)	3,069,582	(355,818)	2,713,764
System Admin.	315,592	317,426	0.6%	167,680	112,182	279,862	7,574	287,436
Systemwide	1,095,945	1,002,660	-8.5%	634,121	(73,343)	560,778	(140,940)	419,838
Total	747,359,461	777,179,963	4.0%	253,571,871	21,886,310	275,458,181	(48,381,863)	227,076,318



- From July 1, 2013 to July 1, 2016 Auxiliary balances increased by \$64.9 million
- Auxiliary balances are projected to have increased \$21.9 million in 2016-17, and to decrease by \$48.4 million in 2017-18
- Of the \$227.1 million estimated 2017-18 balance, \$97 million is attributable to future facility and capital projects

TABLE A-6
University of Wisconsin System
2017-18 Annual Operating Budget - General Program Operations (GPO)

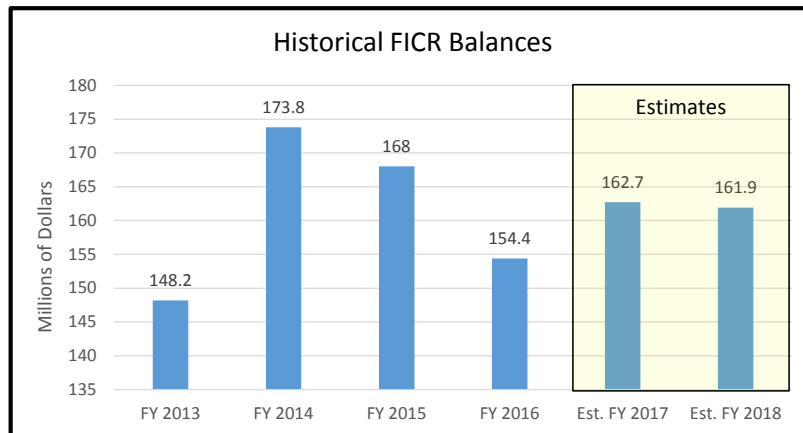
	BUDGET			2016-17		2017-18 ESTIMATIONS		
	2016-17 General Program Operations	2017-18 General Program Operations	Change	July 1, 2016 Actual Beginning Fund Balance	Estimated Change in Balances	July 1, 2017 Estimated Beginning Fund Balance	Estimated Change in Balances	June 30, 2018 Estimated Ending Fund Balance
Madison	146,083,740	148,085,817	1.4%	19,471,818	(3,616,837)	15,854,981	(354,981)	15,500,000
Milwaukee	12,954,505	11,596,475	-10.5%	12,204,074	(4,218,474)	7,985,600	0	7,985,600
Eau Claire	7,850,666	7,607,879	-3.1%	5,042,071	(3,994,905)	1,047,166	1,801,714	2,848,880
Green Bay	4,337,161	4,305,824	-0.7%	2,454,460	267,210	2,721,670	(804,558)	1,917,112
La Crosse	3,253,750	3,370,616	3.6%	9,439,592	(3,945,703)	5,493,889	(1,981,450)	3,512,439
Oshkosh	11,054,184	11,611,901	5.0%	9,956,494	(2,283,388)	7,673,106	2,048,615	9,721,721
Parkside	1,269,227	1,282,605	1.1%	1,735,889	324,111	2,060,000	26,000	2,086,000
Platteville	10,601,800	9,693,050	-8.6%	772,603	94,516	867,119	320,464	1,187,583
River Falls	3,311,243	3,427,072	3.5%	318,785	(146,785)	172,000	3,000	175,000
Stevens Point	12,577,485	10,070,519	-19.9%	6,587,807	(1,667,474)	4,920,333	351,779	5,272,112
Stout	14,996,811	14,881,777	-0.8%	8,035,644	(1,666,112)	6,369,532	(519,532)	5,850,000
Superior	1,361,708	1,410,526	3.6%	697,348	160,088	857,436	(157,436)	700,000
Whitewater	10,386,422	10,052,917	-3.2%	4,335,962	0	4,335,962	0	4,335,962
Colleges	5,239,625	4,455,622	-15.0%	4,400,851	307,658	4,708,509	(488,394)	4,220,115
Extension	7,020,023	8,260,175	17.7%	1,635,955	(616,713)	1,019,242	(248,811)	770,431
System Admin.	213,782	225,592	5.5%	570,197	71,111	641,308	24,408	665,716
Systemwide	35,758,182	43,031,447	20.3%	20,889,094	(3,428,705)	17,460,389	(7,637,344)	9,823,045
Total	288,270,314	293,369,814	1.8%	108,548,644	(24,360,402)	84,188,242	(7,616,526)	76,571,716



- From July 1, 2013 to July 1, 2016 GPO balances decreased by \$63.3 million
- GPO balances are projected to have decreased by \$24.4 million in 2016-17, and another \$7.6 million in 2017-18

TABLE A-7
University of Wisconsin System
2017-18 Annual Operating Budget - Federal Indirect Cost Reimbursement (FICR)

	BUDGET			2016-17		2017-18 ESTIMATIONS		
	2016-17 Federal Indirect Cost Reimbursement	2017-18 Federal Indirect Cost Reimbursement	Change	July 1, 2016 Actual Beginning Fund Balance	Estimated Change in Balances	July 1, 2017 Estimated Beginning Fund Balance	Estimated Change in Balances	June 30, 2018 Estimated Ending Fund Balance
Madison	135,000,000	135,000,000	0.0%	126,243,723	10,756,277	137,000,000	0	137,000,000
Milwaukee	8,378,719	8,838,007	5.5%	3,056,151	990,749	4,046,900	0	4,046,900
Eau Claire	633,342	289,885	-54.2%	680,141	(41,617)	638,524	(105,206)	533,318
Green Bay	559,408	541,413	-3.2%	1,327,723	(117,988)	1,209,735	(303,285)	906,450
La Crosse	365,565	447,524	22.4%	699,524	(147,087)	552,437	(40,000)	512,437
Oshkosh	550,928	375,616	-31.8%	876,100	(107,637)	768,463	896,858	1,665,321
Parkside	98,600	98,600	0.0%	150,542	29,458	180,000	0	180,000
Platteville	170,200	95,000	-44.2%	358,004	(68,004)	290,000	(59,000)	231,000
River Falls	257,179	240,631	-6.4%	231,274	(76,274)	155,000	(30,000)	125,000
Stevens Point	560,628	568,037	1.3%	1,268,225	(403,141)	865,084	(91,351)	773,733
Stout	851,735	629,531	-26.1%	525,841	(61,841)	464,000	(59,000)	405,000
Superior	341,134	376,677	10.4%	1,543,313	(321,240)	1,222,073	377,927	1,600,000
Whitewater	427,864	407,865	-4.7%	855,539	(25,000)	830,539	(25,000)	805,539
Colleges	70,152	72,819	3.8%	253,469	(10,547)	242,922	(75,518)	167,404
Extension	2,775,651	2,716,024	-2.1%	6,870,853	(2,112,670)	4,758,183	(1,150,671)	3,607,512
System Admin.	3,000,000	3,200,000	6.7%	9,365,013	125,856	9,490,869	(200,000)	9,290,869
Systemwide	93,346	92,802	-0.6%	66,512	(66,512)	0	0	0
Total	154,134,451	153,990,431	-0.1%	154,371,947	8,342,782	162,714,729	(864,246)	161,850,483



- From July 1, 2013 to July 1, 2016 FICR balances increased by \$6.2 million
- As there was a large increase in 2013-14, from July 1, 2014 to July 1, 2016 FICR balances decreased by \$19.4 million
- FICR balances are projected to have increased \$8.3 million in 2016-17, and to decrease \$0.9 million in 2017-18

TABLE A-8
University of Wisconsin System
2017-18 Annual Operating Budget - Gifts, Grants, and Contracts

	Gifts, Grants and Contracts		
	2016-17 Budget	2017-18 Budget	Change
Madison	1,038,235,900	1,038,235,900	0.0%
Milwaukee	58,189,531	58,223,421	0.1%
Eau Claire	7,027,852	5,455,163	-22.4%
Green Bay	5,249,227	4,873,974	-7.1%
La Crosse	9,481,302	9,432,681	-0.5%
Oshkosh	12,781,745	13,024,896	1.9%
Parkside	2,514,367	1,833,002	-27.1%
Platteville	4,236,775	4,553,854	7.5%
River Falls	1,993,433	1,899,698	-4.7%
Stevens Point	8,326,236	7,907,048	-5.0%
Stout	6,514,283	3,295,453	-49.4%
Superior	3,033,185	2,735,344	-9.8%
Whitewater	5,175,260	5,490,374	6.1%
Colleges	2,528,389	2,829,188	11.9%
Extension	49,492,673	49,627,168	0.3%
System Admin.	2,254,509	2,292,221	1.7%
Systemwide	1,755,766	965,641	-45.0%
Total	1,218,790,433	1,212,675,026	-0.5%

TABLE A-9
University of Wisconsin System
2017-18 Annual Operating Budget - Other Funds

	Other Funds*		
	2016-17 Budget	2017-18 Budget	Change
Madison	353,720,755	354,352,276	0.2%
Milwaukee	190,906,286	175,342,387	-8.2%
Eau Claire	57,750,485	61,226,234	6.0%
Green Bay	37,133,694	36,851,272	-0.8%
La Crosse	64,020,539	63,678,444	-0.5%
Oshkosh	88,646,584	85,755,419	-3.3%
Parkside	36,085,301	35,916,217	-0.5%
Platteville	58,489,310	58,826,610	0.6%
River Falls	40,421,039	37,178,267	-8.0%
Stevens Point	70,683,076	62,123,262	-12.1%
Stout	61,628,424	59,481,515	-3.5%
Superior	21,399,180	19,089,746	-10.8%
Whitewater	87,144,314	86,653,009	-0.6%
Colleges	53,015,008	33,915,008	-36.0%
Extension	40,133,191	41,005,191	2.2%
System Admin.	0	0	0.0%
Systemwide	1,054,800	1,054,800	0.0%
Total	1,262,231,986	1,212,449,657	-3.9%

* Includes Federal Direct Student Loans, Federal Financial Aid Grants,
Program Revenue Debt Service, and Segregated State funds.

B. CHANGES IN GPR/TUITION FUNDING AND STUDENT FEES

2017-18 GPR/Tuition Changes

Tuition rates will remain frozen for the fifth year at the 2012-13 level for most resident undergraduate students within the UW-System.

Changes in GPR/Tuition funding for 2017-18 include:

- The return of \$25 million GPR that was lapsed in 2016-17
- \$24,226,160 to increase academic fee (tuition) authority for existing differentials, self-supported programs and credit outreach
- An increase of \$5.2 million for GPR debt service
- \$5 million for an Innovation fund to serve all institutions through a competitive process
- \$1.5 million for the creation of the Thompson Center on Public Leadership
- An increase of \$490,000 for UW-Madison's Carbone Cancer Center
- An increase of \$271,100 for financial aid for the flex degree program
- An increase of \$130,000 for UW Colleges grants to meet emergency financial need
- An increase of \$126,500 for fringe benefits
- An increase of \$100,000 for Rural Physician Residency Assistance
- \$50,000 for Alzheimer's disease research
- \$10,000 for Academic Freedom

Table B-1
GPR/Tuition Budget Changes from 2016-17 to 2017-18

	Operational GPR	Tuition (Fees)	Operational Total	Debt Service	Grand Total
2016-17 Operating Budget	807,930,600	1,429,473,458	2,237,404,058	215,774,700	2,453,178,758
Return of \$25 million lapsed in 2016-17	25,000,000		25,000,000		25,000,000
Legislative Budget Changes	7,677,600		7,677,600	5,157,400	12,835,000
Academic Tuition Funding Changes, including Credit Outreach		24,226,160	24,226,160		24,226,160
Net 2017-18 Changes	32,677,600	24,226,160	56,903,760	5,157,400	62,061,160
2017-18 GPR/Tuition Base Budget	840,608,200	1,453,699,618	2,294,307,818	220,932,100	2,515,239,918
One-Time Use of Tuition Balances		56,341,545	56,341,545		56,341,545
2017-18 Total Budget	840,608,200	1,510,041,163	2,350,649,363	220,932,100	2,571,581,463

Estimated tuition revenue will increase by \$24.2 million (1.69%). The increase in tuition revenues is due to increases in graduate and non-resident undergraduate rates, enrollment growth, and self-supporting programs. UW institutions plan to use \$56.3 million in one-time tuition balances (funding carried over from the prior year) during the fiscal year.

Table B-2 provides the detailed allocation of changes in GPR/Tuition funding by institution from 2016-17 to 2017-18.

The Annual Distribution Adjustments document begins on **Page 22** and provides information regarding how changes in GPR/Tuition funds were allocated to the institutions.

TABLE B-2
University of Wisconsin System
GPR/Tuition Changes By Institution

	2016-17 GPR/Tuition Ongoing Budget	2016-17 Use of Tuition Balances	2016-17 GPR/Tuition Operating Base Plus Use of Tuition Balances	Tuition Targets and Differential Tuition	Return of \$25 Million Lapsed in 2016-17	Funding for New Initiatives (1)	Other (2)	2017-18 GPR/Tuition Ongoing Budget	Total Change of GPR/Tuition Ongoing Budget	2017-18 Use of Tuition Balances	2017-18 GPR/Tuition Ongoing Budget Plus Use of Tuition Balances	Total Change of Ongoing Budget Plus Use of Tuition Balances
Madison	797,235,933	15,511,050	812,746,983	37,587,321	2,915,000	2,140,000	2,741,437	842,619,691	45,383,758	9,393,600	852,013,291	39,266,308
Milwaukee	229,628,266	21,297,500	250,925,766	(5,877,954)	5,159,200		1,955,661	230,865,173	1,236,907	0	230,865,173	(20,060,593)
Eau Claire	79,084,635	6,018,799	85,103,434	(566,572)	1,606,500		(508,178)	79,616,385	531,750	7,050,515	86,666,900	1,563,466
Green Bay	43,218,771	4,437,766	47,656,537	(942,249)	1,047,000		344,201	43,667,723	448,952	3,107,220	46,774,943	(881,594)
La Crosse	82,365,876	3,733,186	86,099,062	(608,843)	1,297,800		189,301	83,244,134	878,258	1,374,090	84,618,224	(1,480,838)
Oshkosh	78,050,298	4,264,100	82,314,398	756,633	1,584,500		996,323	81,387,754	3,337,456	2,664,920	84,052,674	1,738,276
Parkside	37,460,109	2,953,150	40,413,259	255,204	824,500		151,273	38,691,086	1,230,977	2,124,867	40,815,953	402,694
Platteville	64,772,721	3,032,566	67,805,287	(229,738)	1,091,100		121,320	65,755,403	982,682	1,537,575	67,292,978	(512,309)
River Falls	42,499,311	2,941,000	45,440,311	0	1,082,000		224,201	43,805,512	1,306,201	4,017,366	47,822,878	2,382,567
Stevens Point	59,858,837	10,619,304	70,478,141	0	1,341,900		(102,592)	61,098,145	1,239,308	3,046,297	64,144,442	(6,333,699)
Stout	68,350,088	4,144,270	72,494,358	0	1,219,100		930,292	70,499,480	2,149,392	0	70,499,480	(1,994,878)
Superior	28,572,586	2,999,942	31,572,528	18,926	610,300		(263,293)	28,938,519	365,933	1,439,260	30,377,779	(1,194,749)
Whitewater	88,167,834	8,083,325	96,251,159	1,105,119	2,101,400		551,569	91,925,922	3,758,088	2,194,692	94,120,614	(2,130,545)
Colleges	51,709,434	7,601,662	59,311,096	0	1,265,300		276,240	53,250,974	1,541,540	1,235,148	54,486,122	(4,824,974)
Extension	95,578,580	1,193,262	96,771,842	(8,050,620)	1,414,400	271,100	253,038	89,466,498	(6,112,082)	1,405,810	90,872,308	(5,899,534)
System Admin./Systemwide	64,072,456	8,754,900	72,827,356	0	440,000	5,010,000	0	69,522,456	5,450,000	15,750,185	85,272,641	12,445,285
System Total Excl FB	1,910,625,735	107,585,782	2,018,211,517	23,447,227	25,000,000	7,421,100	7,860,793	1,974,354,855	63,729,120	56,341,545	2,030,696,400	12,484,883
Fringe Benefits	542,553,023		542,553,023	778,933			(2,446,893)	540,885,063	(1,667,960)		540,885,063	(1,667,960)
System Total	2,453,178,758	107,585,782	2,560,764,540	24,226,160	25,000,000	7,421,100	5,413,900	2,515,239,918	62,061,160	56,341,545	2,571,581,463	10,816,923

1 - "Funding for New Initiatives" includes Legislative Initiatives for UW-Madison (Thompson Center on Public Leadership, Carbone Cancer Center, WI Rural Physician Residency Assistance, and Alzheimers Disease Research), as well as Innovation Fund, Financial Aid for Flex Degree Option, and Funding for Academic Freedom.

2 - "Other" Includes: Financial Aid Reallocations, Debt Service, GPR salary line shifts, UW Colleges Grants to Meet Emergency Financial Need, and Fringe Benefit Increases.

ANNUAL DISTRIBUTION ADJUSTMENTS FOR CHANGES IN GPR/TUITION FUNDING

1. DISTRIBUTION OF \$25 MILLION LAPSED IN 2016-17

The 2015-17 Legislative Budget awarded the University of Wisconsin System \$25 million ongoing GPR funding in fiscal year 2016-17. This funding was lapsed back to the state in 2016-17.

The 2017-18 Annual Budget distributes that funding to the institutions recognizing the unique missions and alternative revenue generating capabilities of institutions. The distribution took into account the following:

- GPR only for instructional and support services, and all GPR/tuition funding
- Funding per FTE
- Cost per weighted student credit hour
- Funding based on headcount

The table below shows the distribution.

	GPR/Fee Traditional Distribution	Reallocation	Total Allocation
Madison	9,415,000	-6,500,000	2,915,000
Milwaukee	3,420,000	1,739,200	5,159,200
Eau Claire	1,275,000	331,500	1,606,500
Green Bay	632,500	414,500	1,047,000
La Crosse	1,030,000	267,800	1,297,800
Oshkosh	1,257,500	327,000	1,584,500
Parkside	575,000	249,500	824,500
Platteville	667,500	423,600	1,091,100
River Falls	700,000	382,000	1,082,000
Stevens Point	1,065,000	276,900	1,341,900
Stout	967,500	251,600	1,219,100
Superior	405,000	205,300	610,300
Whitewater	1,072,500	1,028,900	2,101,400
Colleges	955,000	310,300	1,265,300
Extension	1,122,500	291,900	1,414,400
System Admin.	112,500		112,500
Systemwide	327,500		327,500
System Total	25,000,000	0	25,000,000

2. INNOVATION FUND

The Innovation Fund provides \$5,000,000 GPR funding in 2017-18 to increase enrollments in high demand programs. The Board of Regents will distribute these funds through a competitive request for proposal process. Funds are currently being held in UW-Systemwide.

3. LAWTON UNDERGRADUATE MINORITY RETENTION GRANT/ADVANCED OPPORTUNITY PROGRAM (AOP)

The budget flat funds the Lawton Undergraduate Minority Retention Grant and the Advanced Opportunity Program in 2017-18. Funding for the AOP will be based on each institution's proportion of a three-year rolling average headcount of the statutorily-designated eligible population of minority/disadvantaged graduate students.

The Lawton Grant allocation will reflect the third year when the allocation methodology will mirror program eligibility (three-year rolling average of Wisconsin resident undergraduates from eligible populations who are registered full-time).

4. TUITION ASSISTANCE GRANT (TAG)

Tuition Assistance Grant funds are available to institutions to provide need-based aid to resident undergraduate students. These funds are allocated annually to institutions from the System-wide fund based on the most recent proportion of Pell Grants (dollars) for Wisconsin resident undergraduate students with EFCs below \$4,501 at each UW institution.

5. DEBT SERVICE

The budget is increased by \$5,157,400 to \$220,932,100 in 2017-18 for debt service. The allocation of debt service is prorated by institution based upon 2015-16 actual expenditures.

6. UTILITIES

The 2017-19 Legislative Budget calls for transferring \$4,367,000 from the UW System's primary GPR appropriation to a new GPR appropriation specifically for the additional costs associated with purchasing renewable energy in order to increase transparency for these expenditures. These funds will be distributed based upon each institution's projected 2017 Green Energy allocation, and will be transferred from the institution's primary GPR utilities appropriation. The net effect in the 2017-18 budget will be no change to combined utilities distributions to the institutions from 2016-17.

C. TUITION RATES

In October 2016, the Board passed a plan that freezes tuition in the first year of the biennium, and allows for an increase of no more than the cost of living in year two. The omnibus motion approved by the Joint Committee on Finance requires continuing the freeze of resident undergraduate tuition at the 2012-13 levels for the upcoming 2017-18 fiscal year. There is no additional funding provided to cover the freeze.

The Joint Committee on Finance also requires the “Board of Regents to revise its policies regarding student segregated fees to ensure that the classification of those fees as allocable or non-allocable is consistent across institutions.” Until the new policies are put in place, the UW System President has frozen allocable segregated fees, except for situations where the increases were due to the use of balances in 2016-17 and institutions returned to their 2015-16 rates.

The Board retains tuition authority for nonresident, graduate, and professional students. At its December meeting, the Board approved nonresident and graduate tuition proposals from UW-Madison, UW-Eau Claire, UW-Green Bay, UW-La Crosse, UW-Milwaukee, UW-Stout, and UW Colleges.

There is a slight correction for the rates at UW-La Crosse that were approved in December. The correction is due to an error in calculating UW-La Crosse’s 1% increase. The original calculation included differentials as well as base tuition in the 1% increase. Subsequently UW-La Crosse corrected the calculation by only including base tuition in the 1% increase. In each case the rate was lower than the rate approved by the Board of Regents in December. Nonresident rates will decrease by \$13, graduate rates will decrease by \$1 and graduate non-resident rates are decrease by \$2 from what was approved in December.

The rates approved by the Board of Regents in December are:

UW-Madison	2016-17	Increase	2017-18
Undergraduate			
Resident	\$9,273	\$0	\$9,273
Nonresident	\$31,523	\$2,000	\$33,523
International	\$32,523	\$2,000	\$34,523
Business Masters			
Resident	\$15,894	\$1,558	\$17,452
Nonresident	\$32,164	\$3,152	\$35,316
Doctor of Pharmacy			
Resident	\$18,008	\$1,765	\$19,773
Nonresident	\$32,809	\$3,215	\$36,024
Doctor of Medicine			
Resident	\$28,650	\$2,779	\$31,429
Nonresident	\$38,546	\$3,739	\$42,285
Doctor of Veterinary Medicine			
Resident	\$21,626	\$4,000	\$25,626
Nonresident	\$34,769	\$6,500	\$41,269

UW-Madison	2016-17	Increase	2017-18
Doctor of Nursing			
Resident	\$13,048	\$1,279	\$14,327
Nonresident	\$27,254	\$2,671	\$29,925
Law School			
Resident	\$20,235	\$1,000	\$21,235
Nonresident	\$38,932	\$1,000	\$39,932
UW-Milwaukee			
Undergraduate			
Resident	\$8,091	\$0	\$8,091
Nonresident	\$18,449	\$922	\$19,371
Business Masters			
Resident	\$12,740	\$318	\$13,058
Nonresident	\$26,294	\$657	\$26,951
UW-Eau Claire			
Undergraduate			
Resident	\$7,361	\$0	\$7,361
Nonresident	\$14,934	\$347	\$15,281
Undergraduate Material Science and Engineering			
Resident	\$8,761	\$0	\$8,761
Nonresident	\$16,334	\$382	\$16,716
Graduate			
Resident	\$7,640	\$191	\$7,831
Nonresident	\$16,771	\$419	\$17,191
UW-Green Bay			
Undergraduate			
Resident	\$6,298	\$0	\$6,298
Nonresident	\$13,871	\$277	\$14,148
Graduate			
Resident	\$7,640	\$153	\$7,793
Nonresident	\$16,771	\$335	\$17,106
UW-La Crosse*			
Undergraduate			
Resident	\$7,585	\$0	\$7,585
Nonresident	\$16,106	\$148	\$16,254
Graduate			
Resident	\$8,483	\$84	\$8,567
Nonresident	\$18,454	\$183	\$18,637
UW-Stout			
Undergraduate			
Resident	\$7,020	\$0	\$7,020
Nonresident	\$14,670	\$311	\$14,981
Undergraduate Mechanical Engineering			Under
Resident	\$8760	\$0	\$8760
Nonresident	16,510	\$248	\$16,758

UW-Stout	2016-17	Increase	2017-18
Graduate			
Resident	\$8,406	\$126	\$8,532
Nonresident	\$17,812	\$267	\$18,079
UW Colleges			
Undergraduate			
Resident	\$4,750	\$0	\$4,750
Nonresident	\$11,734	\$587	\$12,321

*The UW-La Crosse rates reflect the corrected rates.

These rates are included in the tuition schedules shown in Tables C-1 and C-2.

The Board has previously delegated tuition-setting authority to institutions for distance education and service-based pricing programs that primarily serve nontraditional student populations. UW institutions may increase nonresident and graduate tuition rates for these programs in 2017-18 as appropriate. Tuition rates for resident undergraduate students in these programs may not increase this year.

Table C-3 consolidates tuition, segregated fees, and room and board rates by institution for resident undergraduate students. This schedule is designed to show the mandatory cost of education for students along with the additional costs for a typical freshman who lives in a dormitory and participates in the meal plan. This table also includes the number of students at each institution that are expected to participate in the meal plan and contract for rooms. In most cases, these students represent about one-third of the total headcount population at an institution. For students at a four-year institution, the average increase for 2017-18 is 0.4% for tuition and segregated fees and 3.3% for room and board.

DIFFERENTIAL TUITION

Since 1997, the Board has had the ability to implement differential tuition programs. Differential tuition is an amount charged on top of base tuition, and separately approved by the Board, to support additional services and programming for students. Differential tuition can be charged to all students enrolled at an institution; to a particular category of students, such as all undergraduates; or to students enrolled in certain programs. The list of the current differential tuition programs is attached as **Appendix A**.

The 2015-17 biennial budget included a provision that allowed the Board of Regents to adopt a UW-Stevens Point differential if approved by the students (Wis. Act 55 Section 9148(4d)). The new differential, called the Pointer Partnership, was approved by the Board in December 2015. The Pointer Partnership has a three-year implementation process. Seniors pay less than their freshmen, sophomore, and junior peers. This has been reflected in UW-Stevens Point's section of the tuition schedule shown in **Table C-1** and under **Appendix A**.

In 2009, the Board delegated tuition authority to UW-Platteville for Tri-State Initiative differential pricing. Currently, UW-Platteville charges qualifying undergraduate students from Illinois and Iowa \$4,600 more than resident tuition. For the Board's information, UW-Platteville will charge Tri-State students \$4,700 more than resident tuition in 2017-18.

NEW PROGRAM TUITION

The tuition schedule does not include programs approved through the Education Committee. The programs that are not listed include, but are not limited to, distance education programs and collaborative programs. A full listing of program rates and fees will be available with the annual tuition and fee report in October, 2017.

PEER COMPARISONS

The following tables compare tuition and required fees at UW Institutions to their peers for 2015-16 and 2016-17. Generally, tuition and fees increased by more at peer institutions than they did at UW institutions. UW-Madison and the comprehensives saw the largest increase in the gap between the peer midpoint and their respective resident undergraduate tuition. The peer comparison illustrates that the University of Wisconsin as a system continues to offer tuition at a very reasonable rate compared to institutional peers.

University of Wisconsin-Madison 2016-17 Tuition and Fee Peers

	Resident Undergraduate		Nonresident Undergraduate		Resident Graduate		Nonresident Graduate	
	2015-16	2016-17	2015-16	2016-17	2015-16	2016-17	2015-16	2016-17
University of Wisconsin-Madison	\$10,415	\$10,488	\$29,665	\$32,738	\$11,870	\$11,943	\$25,196	\$25,269
Peer Average excluding UW-Madison	\$12,426	\$12,696	\$30,896	\$31,883	\$14,311	\$14,708	\$30,215	\$31,142
Peer Midpoint excluding UW-Madison	\$12,089	\$12,265	\$30,075	\$30,598	\$14,274	\$14,595	\$30,018	\$30,625
UW-Madison Distance from Midpoint	(\$1,674)	(\$1,777)	(\$410)	\$2,141	(\$2,404)	(\$2,652)	(\$4,822)	(\$5,356)
UW-Madison's Peer Rank	6/11	6/11	6/11	5/11	7/11	7/11	10/11	10/11

University of Wisconsin-Milwaukee 2016-17 Tuition and Fee Peers

	Resident Undergraduate		Nonresident Undergraduate		Resident Graduate		Nonresident Graduate	
	2015-16	2016-17	2015-16	2016-17	2015-16	2016-17	2015-16	2016-17
University of Wisconsin-Milwaukee	\$9,429	\$9,493	\$19,603	\$19,851	\$11,725	\$11,789	\$24,762	\$24,826
Peer Average excluding UW-Milwaukee	\$11,067	\$11,271	\$23,621	\$24,239	\$12,578	\$12,795	\$23,400	\$23,750
Peer Midpoint excluding UW-Milwaukee	\$10,627	\$10,635	\$24,756	\$25,674	\$12,553	\$12,895	\$24,489	\$24,595
UW-Milwaukee Distance from Midpoint	(\$1,198)	(\$1,142)	(\$5,153)	(\$5,823)	(\$828)	(\$1,106)	\$273	\$232
UW-Milwaukee's Peer Rank	12/15	13/15	12/15	12/15	10/15	10/15	6/15	7/15

University of Wisconsin Comprehensive Institutions 2016-17 Tuition and Fee Peers

	Resident Undergraduate		Nonresident Undergraduate		Resident Graduate		Nonresident Graduate	
	2015-16	2016-17	2015-16	2016-17	2015-16	2016-17	2015-16	2016-17
University of Wisconsin Comprehensive Average	\$8,029	\$8,155	\$15,915	\$16,264	\$8,697	\$8,923	\$17,734	\$18,159
Average excluding UW Comprehensive Average	\$9,432	\$9,662	\$17,948	\$18,329	\$9,606	\$9,949	\$16,456	\$16,756
Midpoint excluding UW Comprehensive Average	\$8,900	\$9,279	\$17,231	\$17,761	\$8,977	\$8,925	\$15,798	\$16,256
UW Comprehensive Distance from Midpoint	(\$745)	(\$1,123)	(\$967)	(\$1,497)	(\$280)	(\$2)	\$1,936	\$1,903
UW Comprehensive Average Peer Rank	23/35	25/35	22/35	24/35	20/35	18/35	15/35	13/35

NOTE: Data used is preliminary 2016-17 tuition and fees from IPEDS.

TABLE C-1
University of Wisconsin System
2017-18 Tuition Schedule

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Madison</u>			
Resident			
Undergraduate	\$9,273	\$4,637	\$2,318
Bachelor's of Business Administration	\$10,273	\$5,137	\$2,568
Certificate in Business	\$9,573	\$4,787	\$2,393
Engineering	\$10,673	\$5,337	\$2,668
Graduate	\$10,728	\$5,364	\$2,682
Business Masters ²	\$17,452	\$8,726	\$4,363
Law School	\$21,235	\$10,618	\$5,309
Medical School	\$31,429	\$15,714	N/A
Veterinary School	\$25,626	\$12,813	\$6,407
Pharmacy	\$19,773	\$9,886	\$4,943
Doctor of Nursing Practice	\$14,327	\$7,163	\$3,582
Nonresident			
Undergraduate	\$33,523	\$16,761	\$8,381
Undergraduate - International	\$34,523	\$17,262	\$8,631
Bachelor's of Business Administration	\$34,523	\$17,262	\$8,631
Bachelor's of Business Administration - International	\$35,523	\$17,762	\$8,881
Certificate in Business	\$33,823	\$16,911	\$8,456
Certificate in Business - International	\$34,823	\$17,412	\$8,706
Engineering	\$34,923	\$17,461	\$8,731
Engineering - International	\$35,923	\$17,961	\$8,981
Graduate	\$24,054	\$12,027	\$6,014
Business Masters ^{2,8}	\$35,316	\$17,658	\$8,829
Law School	\$39,932	\$19,966	\$9,983
Medical School	\$42,285	\$21,142	N/A
Veterinary School	\$41,269	\$20,635	\$10,317
Pharmacy	\$36,024	\$18,012	\$9,006
Doctor of Nursing Practice	\$29,925	\$14,963	\$7,481
<u>UW-Milwaukee</u>			
Resident			
Undergraduate	\$8,091	\$4,046	\$2,023
Graduate	\$10,387	\$5,193	\$2,597
Communication Science and Disorders	\$12,464	\$6,232	\$3,116
Occupational Therapy	\$12,464	\$6,232	\$3,116
Business Masters	\$13,058	\$6,529	\$3,264
Nonresident			
Undergraduate	\$19,371	\$9,685	\$4,843
MSEP - Undergraduate	\$12,137	\$6,068	\$3,034
Graduate	\$23,424	\$11,712	\$5,856
MSEP - Graduate ¹⁰	\$15,580	\$7,790	\$3,895
Communication Science and Disorders	\$28,245	\$14,123	\$7,061
Occupational Therapy	\$28,245	\$14,123	\$7,061
Business Masters	\$26,951	\$13,476	\$6,738

TABLE C-1 (Continued)
University of Wisconsin System
2017-18 Tuition Schedule

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Milwaukee (Continued)</u>			
Resident and Nonresident Students³			
Sheldon B. Lubar School of Business Administration		\$21	\$21
College of Engineering and Applied Science		\$22	\$22
College of Nursing		\$32	\$32
Peck School of the Arts		\$22	\$22
School of Architecture 100 Level Courses		\$12	\$12
School of Architecture 200-800 Level Courses		\$43	\$43
<u>UW-Eau Claire</u>			
Resident			
Undergraduate	\$7,361	\$3,681	\$1,840
Material Science and Engineering	\$8,761	\$4,381	\$2,190
Graduate ⁴	\$7,831	\$3,916	\$2,175
Business Masters	\$8,195	\$4,097	\$2,276
Nonresident			
Undergraduate	\$15,281	\$7,641	\$3,820
Return to Wisconsin - Undergraduate	\$11,727	\$5,863	\$2,932
MSEP - Undergraduate	\$10,511	\$5,255	\$2,628
Material Science and Engineering	\$16,716	\$8,358	\$4,179
Return to Wisconsin - Material Science and Engineering	\$12,803	\$6,401	\$3,201
MSEP - Material Science and Engineering	\$12,610	\$6,305	\$3,153
Graduate ⁴	\$17,191	\$8,595	\$4,775
MSEP - Graduate	\$11,747	\$5,874	\$3,263
Business Masters	\$17,351	\$8,676	\$4,820
MSEP - Business Masters	\$12,015	\$6,007	\$3,337
<u>UW-Green Bay</u>			
Resident			
Undergraduate	\$6,298	\$3,149	\$1,575
Engineering Technology	\$7,698	\$3,849	\$2,245
Graduate ⁴	\$7,793	\$3,897	\$2,165
Nonresident			
Undergraduate	\$14,148	\$7,074	\$3,537
Return to Wisconsin - Undergraduate	\$10,611	\$5,306	\$2,653
MSEP - Undergraduate	\$9,448	\$4,724	\$2,362
Engineering Technology	\$15,548	\$7,774	\$3,887
Return to Wisconsin - Engineering Technology	\$11,661	\$5,831	\$3,003
MSEP - Engineering Technology	\$11,547	\$5,774	\$2,712
Graduate ⁴	\$17,106	\$8,553	\$4,752
MSEP - Graduate	\$11,690	\$5,845	\$3,247

TABLE C-1 (Continued)
University of Wisconsin System
2017-18 Tuition Schedule

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-La Crosse</u>			
Resident			
Undergraduate	\$7,585	\$3,792	\$1,896
Graduate	\$8,567	\$4,283	\$2,380
Occupational Therapy	\$10,252	\$5,126	\$2,848
Business Masters	\$9,121	\$4,560	\$2,534
Physical Therapy/Physician Assistant	\$10,252	\$5,126	\$3,316
Physical Therapy - Doctoral Program	\$11,441	\$5,721	\$3,316
Nonresident			
Undergraduate	\$16,254	\$8,127	\$4,064
Return to Wisconsin	\$12,512	\$6,256	\$3,128
MSEP - Undergraduate	\$10,734	\$5,367	\$2,684
Graduate	\$18,637	\$9,319	\$5,177
Occupational Therapy	\$22,337	\$11,168	\$6,205
Business Masters	\$19,217	\$9,609	\$5,338
Physical Therapy/Physician Assistant	\$22,337	\$11,168	\$7,232
Physical Therapy - Doctoral Program	\$25,190	\$12,595	\$6,297
<u>UW-Oshkosh</u>			
Resident			
Undergraduate	\$6,422	\$3,211	\$1,606
Engineering Technology	\$7,822	\$3,911	\$1,956
Graduate ⁴	\$7,640	\$3,820	\$2,122
Business Masters	\$8,195	\$4,097	\$2,276
Nonresident			
Undergraduate	\$13,995	\$6,998	\$3,499
Return to Wisconsin Program	\$10,527	\$5,264	\$2,632
MSEP - Undergraduate	\$9,571	\$4,786	\$2,393
Engineering Technology	\$15,395	\$7,698	\$3,849
Return to Wisconsin - Engineering Technology	\$11,577	\$5,789	\$2,894
MSEP - Engineering Technology	\$11,671	\$5,836	\$2,918
Graduate ⁴	\$16,771	\$8,386	\$4,659
MSEP - Graduate	\$11,461	\$5,730	\$3,184
Business Masters	\$17,351	\$8,676	\$4,820
MSEP - Business Masters	\$12,015	\$6,007	\$3,337
<u>UW-Parkside</u>			
Resident			
Undergraduate	\$6,298	\$3,149	\$1,575
Graduate	\$7,870	\$3,935	\$2,186
Business Masters	\$8,195	\$4,097	\$2,276
Nonresident			
Undergraduate	\$14,287	\$7,144	\$3,572
Return to Wisconsin	\$10,716	\$5,358	\$2,679
MSEP - Undergraduate	\$9,448	\$4,724	\$2,362
Graduate	\$17,274	\$8,637	\$4,798
MSEP - Graduate	\$11,804	\$5,902	\$3,279
Business Masters	\$17,351	\$8,676	\$4,820
MSEP - Business Masters	\$12,129	\$6,065	\$3,369

TABLE C-1 (Continued)
University of Wisconsin System
2017-18 Tuition Schedule

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Platteville</u>			
Resident			
Undergraduate	\$6,418	\$3,209	\$1,605
Graduate ⁴	\$7,640	\$3,820	\$2,122
Master of Science in Computer Science	\$9,000	\$4,500	\$2,500
School of Education ⁵		\$510	\$510
Nonresident			
Undergraduate	\$14,268	\$7,134	\$3,567
Undergraduate Tri-State Initiative	\$11,118	\$5,559	\$2,780
Undergraduate-International	\$15,269	\$7,634	\$3,817
MSEP - Undergraduate ⁹	\$9,567	\$4,784	\$2,392
Graduate ⁴	\$16,771	\$8,386	\$4,659
Master of Science in Computer Science	\$18,000	\$9,000	\$5,000
School of Education ⁵		\$510	\$510
<u>UW-River Falls</u>			
Resident			
Undergraduate	\$6,428	\$3,214	\$1,607
Graduate ⁴	\$7,640	\$3,820	\$2,122
Master of Science in Communicative Disorders ⁵		\$424	\$424
Master of Science in Computer Science ⁵		\$692	\$692
Master of Clinical Exercise Physiology ⁵		\$500	\$500
Master of Business Administration ⁵		\$692	\$692
School of Psychology ⁵		\$450	\$450
Nonresident			
Undergraduate	\$14,001	\$7,001	\$3,500
Return to Wisconsin Program	\$10,534	\$5,267	\$2,633
MSEP - Undergraduate	\$9,578	\$4,789	\$2,394
Graduate ⁴	\$16,771	\$8,386	\$4,659
Master of Science in Communicative Disorders ⁵		\$932	\$932
Master of Science in Computer Science ⁵		\$692	\$692
Master of Clinical Exercise Physiology ⁵		\$500	\$500
Master of Business Administration ⁵		\$692	\$692
School of Psychology ⁵		\$450	\$450
<u>UW-Stevens Point</u>			
Resident			
Undergraduate (freshmen, sophomores, and juniors)	\$6,698	\$3,349	\$1,675
Undergraduate (seniors)	\$6,498	\$3,249	\$1,625
Graduate	\$7,870	\$3,935	\$2,186
Collaborative Audiology	\$10,728	\$5,364	\$2,682
Nonresident			
Undergraduate (freshmen, sophomores, and juniors)	\$15,165	\$7,482	\$3,741
Undergraduate (seniors)	\$14,765	\$7,382	\$3,691
Return to Wisconsin (freshmen, sophomores, and juniors)	\$11,324	\$5,662	\$2,831
Return to Wisconsin (seniors)	\$10,924	\$5,562	\$2,781

TABLE C-1 (Continued)
University of Wisconsin System
2017-18 Tuition Schedule

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Stevens Point (Continued)</u>			
Nonresident			
MSEP - Undergraduate (freshmen, sophomores, and juniors)	\$9,847	\$4,924	\$2,462
MSEP - Undergraduate (seniors)	\$9,648	\$4,824	\$2,412
Graduate ⁴	\$17,274	\$8,637	\$4,798
MSEP - Graduate	\$11,804	\$5,902	\$3,279
Collaborative Audiology	\$24,054	\$12,027	\$6,014
<u>UW-Stout⁶</u>			
Resident			
Undergraduate		\$234	\$234
Mechanical Engineering		\$292	\$292
Graduate		\$388	\$388
Nonresident			
Undergraduate		\$499	\$499
Return to Wisconsin		\$377	\$377
MSEP - Undergraduate		\$345	\$345
Mechanical Engineering		\$558	\$558
Return to Wisconsin - Mechanical Engineering		\$436	\$436
MSEP - Mechanical Engineering		\$403	\$403
Graduate		\$822	\$822
MSEP - Graduate		\$573	\$573
<u>UW-Superior</u>			
Resident			
Undergraduate	\$6,535	\$3,268	\$1,634
Graduate ⁴	\$7,640	\$3,820	\$2,122
Nonresident			
Undergraduate	\$14,108	\$7,054	\$3,527
MSEP - Undergraduate	\$9,685	\$4,842	\$2,421
Graduate ⁴	\$16,771	\$8,386	\$4,659
MSEP - Graduate	\$11,461	\$5,730	\$3,184
Resident and Nonresident Students³			
Natural Sciences Department		\$12	\$12

TABLE C-1 (Continued)
University of Wisconsin System
2017-18 Tuition Schedule

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Whitewater</u>			
Resident			
Undergraduate	\$6,519	\$3,259	\$1,630
Graduate	\$7,949	\$3,975	\$2,208
Business Masters	\$8,526	\$4,263	\$2,368
Master of Computer Science	\$9,314	\$4,657	
Doctorate of Business Administration ⁵		\$1,400	\$1,400
Nonresident			
Undergraduate	\$15,092	\$7,546	\$3,773
Return to Wisconsin Program	\$11,374	\$5,687	\$2,843
MSEP - Undergraduate	\$9,668	\$4,834	\$2,417
Graduate	\$17,448	\$8,724	\$4,847
MSEP - Graduate	\$11,924	\$5,962	\$3,312
Business Masters	\$18,052	\$9,026	\$5,014
MSEP - Business Masters	\$12,501	\$6,250	\$3,472
Master of Computer Science	\$18,654	\$9,327	
Doctorate of Business Administration ⁵		\$1,400	\$1,400
<u>UW Colleges</u>			
Resident			
Undergraduate	\$4,750	\$2,375	\$1,188
Bachelor of Applied Arts and Sciences (BAAS) ⁷		\$262	\$262
Nonresident			
Undergraduate	\$12,321	\$6,161	\$3,080
Bachelor of Applied Arts and Sciences (BAAS) ⁷		\$578	\$578
MSEP - Undergraduate	\$7,126	\$3,563	\$1,781

¹Represents tuition for a "full-time" summer session student, which is defined as half of the full-time academic year semester load.

²Includes the full-time MBA, Masters of Accountancy, Global Real Estate Master, and the MS in Applied Security Analysis.

³These per-credit amounts are in addition to the regular tuition for students taking courses in these disciplines.

⁴Graduate students at UW-Eau Claire, UW-Green Bay, UW-Oshkosh, UW-Platteville, UW-River Falls, and UW-Superior pay summer tuition on a per-credit basis.

⁵These programs charge per-credit tuition and are exempt from the board-approved tuition plateau.

⁶UW-Stout charges a per-credit tuition rate.

⁷The Bachelor of Applied Arts and Sciences (BAAS) is a degree completion program that charges a per-credit rate. The total tuition charge will not exceed the plateau rate at the partner institution. The BAAS program offered in partnership with UW-Stout will not exceed the tuition charged by UW-Stout.

⁸UW-Madison Master of Accountancy Minnesota reciprocity students are charged the lesser of the Minnesota MBA rate or Wisconsin resident business masters rate.

⁹UW-Platteville is no longer accepting MSEP students. The current rate will remain until existing students have completed their degree.

¹⁰ This is the rate for MSEP UWM students in select programs.

TABLE C-2
University of Wisconsin System
2017-18 Consolidated Schedule of Tuition and Segregated Fees

Doctoral Universities	Tuition		Segregated Fees ¹	Total Tuition and Fees	
	Resident	Nonresident		Resident	Nonresident
Undergraduate					
UW-Madison	\$9,273	\$33,523	\$1,260	\$10,533	\$34,783
UW-Milwaukee	\$8,091	\$19,371	\$1,474	\$9,565	\$20,845
Graduate					
UW-Madison	\$10,728	\$24,054	\$1,260	\$11,988	\$25,314
UW-Milwaukee	\$10,387	\$23,424	\$1,474	\$11,861	\$24,898
Law	\$21,235	\$39,932	\$1,260	\$22,495	\$41,192
Medicine	\$31,429	\$42,285	\$1,260	\$32,689	\$43,545
Veterinary Medicine	\$25,626	\$41,269	\$1,260	\$26,886	\$42,529
Comprehensive Universities					
Undergraduate					
UW-Eau Claire	\$7,361	\$15,281	\$1,290	\$8,651	\$16,571
UW-Green Bay	\$6,298	\$14,148	\$1,580	\$7,878	\$15,728
UW-La Crosse	\$7,585	\$16,254	\$1,337	\$8,922	\$17,591
UW-Oshkosh	\$6,422	\$13,995	\$1,165	\$7,588	\$15,161
UW-Parkside	\$6,298	\$14,287	\$1,091	\$7,389	\$15,378
UW-Platteville	\$6,418	\$14,268	\$963	\$7,381	\$15,231
UW-River Falls	\$6,428	\$14,001	\$1,424	\$7,852	\$15,425
UW-Stevens Point ²	\$6,698	\$15,165	\$1,341	\$8,039	\$16,506
UW-Superior	\$6,535	\$14,108	\$1,574	\$8,109	\$15,682
UW-Whitewater	\$6,519	\$15,092	\$978	\$7,497	\$16,070
UW-Stout ³	\$234	\$499	\$37	\$271	\$537
Graduate					
UW-Eau Claire	\$7,831	\$17,191	\$1,290	\$9,121	\$18,481
UW-Green Bay	\$7,793	\$17,106	\$1,580	\$9,373	\$18,686
UW-La Crosse	\$8,567	\$18,637	\$1,337	\$9,904	\$19,974
UW-Oshkosh	\$7,640	\$16,771	\$1,165	\$8,806	\$17,937
UW-Parkside	\$7,870	\$17,274	\$1,091	\$8,961	\$18,365
UW-Platteville	\$7,640	\$16,771	\$963	\$8,603	\$17,734
UW-River Falls	\$7,640	\$16,771	\$1,424	\$9,064	\$18,195
UW-Stevens Point	\$7,870	\$17,274	\$1,341	\$9,211	\$18,615
UW-Superior	\$7,640	\$16,771	\$1,574	\$9,214	\$18,345
UW-Whitewater	\$7,949	\$17,448	\$978	\$8,927	\$18,426
UW-Stout ³	\$388	\$822	\$51	\$439	\$873
UW Colleges					
UW-Baraboo/Sauk	\$4,750	\$12,321	\$487	\$5,237	\$12,808
UW-Barron	\$4,750	\$12,321	\$472	\$5,222	\$12,793
UW-Fond Du Lac	\$4,750	\$12,321	\$484	\$5,234	\$12,805
UW-Fox Valley	\$4,750	\$12,321	\$310	\$5,060	\$12,631
UW-Manitowoc	\$4,750	\$12,321	\$406	\$5,156	\$12,727
UW-Marathon	\$4,750	\$12,321	\$424	\$5,175	\$12,745
UW-Marinette	\$4,750	\$12,321	\$386	\$5,136	\$12,707
UW-Marshfield/Wood	\$4,750	\$12,321	\$386	\$5,137	\$12,707
UW-Richland	\$4,750	\$12,321	\$597	\$5,347	\$12,918
UW-Rock County	\$4,750	\$12,321	\$382	\$5,132	\$12,703
UW-Sheboygan	\$4,750	\$12,321	\$382	\$5,132	\$12,703
UW-Washington	\$4,750	\$12,321	\$368	\$5,118	\$12,689
UW-Waukesha	\$4,750	\$12,321	\$398	\$5,148	\$12,719

¹Excludes textbook rental fees.

²UW-Stevens Point is phasing in a differential over three years. The rate shown is with the full differential for Freshmen, Sophomores, and Juniors.

³ UW-Stout charges per-credit tuition and segregated fees. The E-Stout fee is not included.

Tuition and segregated fee rates shown in this table have been rounded to the dollar. Campus fee schedules and student billing statements will include actual rates that will be within a dollar of these rates.

TABLE C-3
University of Wisconsin System
2017-18 CONSOLIDATED SCHEDULE OF TUITION, SEGREGATED FEES, AND ROOM AND BOARD
Reflecting the Typical Costs of a Resident Freshman Living on Campus
Doctoral and Comprehensive Universities

Campus	FY17 Tuition	FY18 Tuition	Change	FY17 Seg Fee	FY18 Seg Fee	Change	FY17 Room Rate	FY18 Room Rate	Change	FY17 Meal Plan	FY18 Meal Plan	Change	FY17 Total	FY18 Total	Total Increase	Total % Increase	# of Room Contracts	# of Meal Plans	Fall Headcount
Madison	9,273	9,273	0	1,215	1,260	45	5,999	6,225	226	3,075	3,125	50	19,562	19,883	321	1.6%	7,532	7,532	43,389
Milwaukee	8,091	8,091	0	1,402	1,474	72	5,320	5,480	160	4,006	4,126	120	18,819	19,171	352	1.9%	3,131	3,207	25,375
Eau Claire	7,361	7,361	0	1,272	1,290	18	4,185	4,436	251	2,800	3,070	270	15,618	16,157	539	3.5%	4,044	2,986	9,894
Green Bay	6,298	6,298	0	1,580	1,580	0	4,120	4,240	120	2,790	2,790	0	14,788	14,908	120	0.8%	493	825	6,758
La Crosse	7,585	7,585	0	1,332	1,337	6	3,605	3,750	145	2,420	2,456	36	14,942	15,128	187	1.2%	3,379	3,295	10,408
Oshkosh	6,422	6,422	0	1,122	1,165	43	4,220	4,388	168	2,810	2,894	84	14,574	14,869	295	2.0%	2,785	3,418	14,000
Parkside	6,298	6,298	0	1,069	1,091	21	4,406	4,494	88	2,532	2,620	88	14,305	14,503	197	1.4%	741	1,411	4,399
Platteville	6,418	6,418	0	911	963	52	3,970	3,970	0	3,160	3,160	0	14,459	14,511	52	0.4%	3,516	3,620	6,839
River Falls	6,428	6,428	0	1,396	1,424	28	4,136	4,136	0	2,389	2,390	1	14,349	14,378	29	0.2%	2,220	2,603	5,958
Stevens Point(2)	6,698	6,698	0	1,282	1,341	58	4,260	4,422	162	2,829	2,871	42	15,069	15,332	262	1.7%	3,128	3,000	8,626
Stout (1)	7,020	7,020	0	1,077	1,117	40	4,040	4,140	100	2,584	2,604	20	14,721	14,881	160	1.1%	3,051	3,101	9,523
Superior	6,535	6,535	0	1,552	1,574	22	3,695	3,800	105	2,570	2,650	80	14,352	14,559	207	1.4%	815	715	2,300
Whitewater	6,519	6,519	0	966	978	12	3,876	3,992	116	2,450	2,450	0	13,811	13,939	128	0.9%	4,061	4,306	11,218
Average	6,996	6,996	0	1,244	1,276	32	4,295	4,421	126	2,801	2,862	61	15,336	15,555	219	1.4%	38,896	40,019	158,687

(1) UW-Stout is the only UW institution to charge a per-credit tuition rate. The full-time tuition rate shown is the per-credit rate multiplied by 15 credits per semester. The actual tuition increase paid by a student will vary based on the number of credits taken.

(2) The UW-Stevens Point rate reflects the tuition that will be paid by freshman and sophomore students beginning in 2017-18. Seniors will pay \$200 less and tuition for juniors, sophomores, and freshmen will remain at 2016-17 levels.

TABLE C-3
University of Wisconsin System
2017-18 CONSOLIDATED SCHEDULE OF TUITION, SEGREGATED FEES, AND ROOM AND BOARD
Reflecting the Typical Costs of a Resident Freshman Living on Campus
UW Colleges

Campus	FY17 Tuition	FY18 Tuition	Change	FY17 Seg Fee	FY18 Seg Fee	Change	FY17 Room Rate	FY18 Room Rate	Change	FY17 Meal Plan	FY17 Meal Plan	Change	FY17 Total	FY18 Total	Total Increase	Total % Increase	# of Room Contracts	# of Meal Plans	Fall Headcount
Baraboo	4,750	4,750	0	482	487	5							5,232	5,237	5	0.1%			
Barron	4,750	4,750	0	464	472	8							5,214	5,222	8	0.2%			
Fond du Lac	4,750	4,750	0	458	484	26							5,208	5,234	26	0.5%			
Fox Valley	4,750	4,750	0	284	310	26							5,034	5,060	26	0.5%			
Manitowoc	4,750	4,750	0	372	406	34							5,122	5,156	34	0.7%			
Marathon	4,750	4,750	0	412	424	12	3,008	3,068	60	2,006	2,095	89	10,176	10,337	161	1.6%	117	117	900
Marquette	4,750	4,750	0	355	386	31	3,900	4,016	116				9,005	9,152	147	1.6%	60		283
Marshfield	4,750	4,750	0	407	386	(21)							5,157	5,136	(21)	-0.4%			
Richland	4,750	4,750	0	569	597	28							5,319	5,347	28	0.5%			
Rock Cty	4,750	4,750	0	387	382	(5)							5,137	5,132	(5)	-0.1%			
Sheboygan	4,750	4,750	0	386	382	(4)							5,136	5,132	(4)	-0.1%			
Washington	4,750	4,750	0	350	368	18							5,100	5,118	18	0.3%			
Waukesha	4,750	4,750	0	395	398	3							5,145	5,148	3	0.1%			
Average	4,750	4,750	0	409	422	12	3,454	3,542	88	2,006	2,095	89	5,845	5,878	33	0.6%	177	117	1,183

D. AUXILIARY RATES

Auxiliary operations are self-supporting programs whose primary purpose is to provide services to students (e.g., residence halls, student centers/unions, student health clinics, bookstores) and whose secondary purpose is to provide services to staff (e.g., parking, clinics, conferences, printing and duplicating services), and occasionally the general public. User fees, segregated fees, merchandise sales, and interest earnings generate revenues for auxiliary operations, and the operations are allowed to maintain reserves with funds used for new facilities, remodeling/additions, deferred maintenance, high cost equipment, debt service obligations, and to ensure adequate funding for current operations. Students participate in the programming and budgeting process through institutional Segregated University Fee Allocations Committees (SUFACs).

Based on direction from the Business, Finance, and Audit Committee at the December 9, 2010 Board of Regents meeting, increases in major auxiliary rates are subject to a reporting threshold equal to the three-year rolling average change in Wisconsin Disposable Income Per Capita or 3.0%, whichever is greater (3.0% for 2017-18). However, in an effort to provide transparency, institutions with any rate increase have been asked to provide detailed reporting on their rate increases. The threshold applies separately to the following major auxiliary categories: Segregated Fees (in total), Room and Board rates, and Textbook Rental rates.

As with the previous two years, President Cross requested that all segregated fee increases include explanations in the budget document. The document reflects that change, along with a more stringent review of all other rates.

The Joint Committee on Finance on May 25, 2017 passed an omnibus motion that included a stipulation that required the “Board of Regents to revise its policies regarding student segregated fees to ensure that the classification of those fees as allocable or non-allocable is consistent across institutions.” This motion requires that the Board submit the policy to the Joint Committee on Finance for a 14-day passive review process. The UW System President has not recommended any increases in allocable segregated fees except for situations where the increases were due to the use of balances in 2016-17 and institutions returned to their 2015-16 rates.

The UW System will be convening a committee to review and revise the existing policy in order to address consistency of classifying both allocable and nonallocable segregated fees. It is anticipated that this process will be completed by fall of 2017 in order to present it to the Board of Regents.

SEGREGATED FEES

The average segregated fee increase (excluding UW Colleges) is \$32 (2.6%). Institutional rates range from \$963 to \$1,580 with changes ranging from \$0 to \$72 (0.0% to 5.2%). The majority of the increases are for debt service and student initiatives such as increasing mental health services.

Segregated fees will increase \$45 at UW-Madison. The second year of Student-initiated programming and staffing for University Health will increase segregated fees by \$31 and the first of three years of increases in recreational sport to purchase equipment, furniture and student staff in the new SERF results in a \$10 increase to segregated fees.

UW Colleges average segregated fee increase is \$12 (3.0%). Institutional rates range from \$310 to \$597 with changes ranging from decreases of \$21 to increases of \$34 (decrease of 5.1% to an increase of 9.0%). UW-Colleges increases are due to student initiated programming and maintaining programming due to enrollment declines.

Table D-1 shows the 2017-18 total segregated fee, percent increase, and dollar change for each of the four-year institutions.

Table D-2 provides an explanation of all segregated fee increases for four year and UW Colleges institutions. Table D-2 also identifies the portion of the rates that are associated with major projects.

Table D-3 shows three years of segregated fees broken into allocable and non-allocable fees. Due to Joint Committee on Finance actions regarding freezing allocable segregated fees, the proposed rates only include allocable increases when the institution had utilized reserve (one-time) funding in the 2016-17 budget to cover ongoing costs.

Factors influencing the segregated fee increases include funding major projects, the need to maintain services during changing enrollments, and student initiated programming.

ROOM AND BOARD

The average increase for most popular room and board rates (excluding UW Colleges) is \$187 (2.6%). Institutional rates range from \$6,206 to \$9,606 with changes ranging from \$0 to \$521 (0.0% to 7.4%).

Table D-4 lists the most popular room and board rates for all institutions, including the two UW Colleges that offer housing. UW-Eau Claire's room rate increased by 6.0% due to renovations and the addition of a new residence hall.

Table D-5 lists the meal plans for all institutions that offer room and board.

Table D-6 summarizes the 2017-18 textbook rental rates and provides an explanation for the rate that is increasing more than the 3.0% threshold. UW-Stout is continuing the implementation of an e-text book program which has increased costs. To offset the 2017-18 increase in textbook rental fees, UW-Stout has decreased their laptop fee by \$5 per credit.

Appendix B shows the 2017-18 most popular room and board rates, percent increase, and dollar change for each of the four-year institutions.

TABLE D-1
University of Wisconsin System
2017-18 Doctoral & Comprehensive Academic Year Segregated Fees

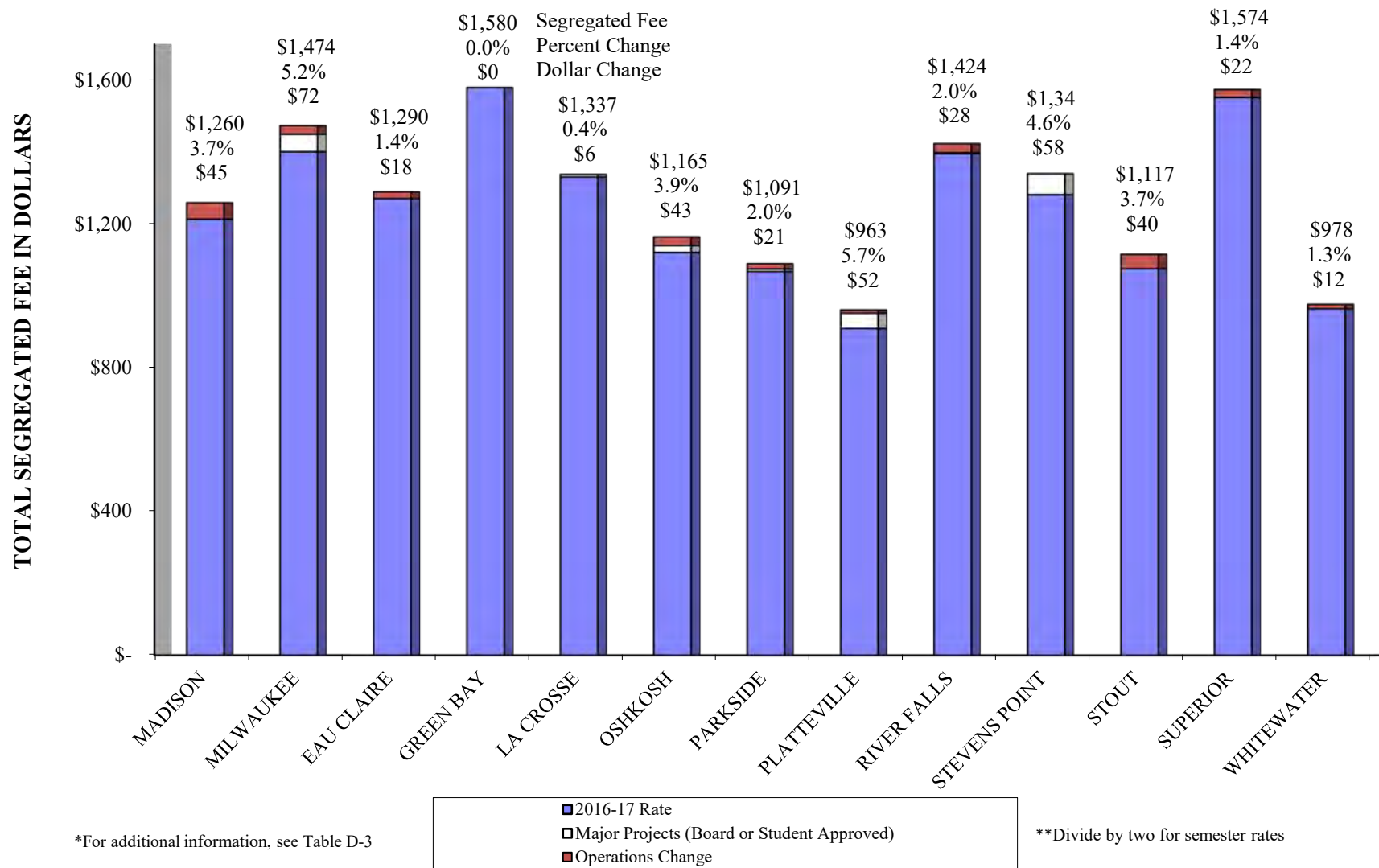


TABLE D-2
University of Wisconsin System
2017-18 Doctoral & Comprehensive Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Madison	\$1,214.86	\$1,260.21	\$45.35	3.7%	
- Operations	\$960.78	\$1,006.13	\$45.35	4.7%	
			\$31.49	University Health	Second year of student initiated mental health services expansion
			\$10.00	Rec Sports	Fitness equipment, furniture and staffing for new SERF; Year 1 of 3
			\$3.72	Union	Compensation increases
			\$0.14	Miscellaneous	
- Major Projects	\$254.08	\$254.08	\$0.00	0.0%	
Milwaukee	\$1,401.80	\$1,474.20	\$72.40	5.2%	
- Operations	\$1,241.40	\$1,265.12	\$23.72	1.9%	
			\$83.95	Enrollment Decrease	Projected enrollment decreases relative to prior year estimates
			\$41.36	Maintenance	Maintenance of the current Student Union
			\$10.95	Revenue Decrease	Lower other revenue generation in Athletics, Rec Center and University Health
			\$6.78	Child Care	Compensation increases and additional programing.
			\$5.32	University Health	Nursing/medical assistant staff retention; increased counselor/psychologist staffing
			\$2.04	Athletics	Increased student scholarships
			\$1.93	Organized Activities	Student green initiatives; increased cost for contracted University Legal Clinic
			\$1.20	Rec Center	Realignment of projected fringe expenses with actual experience
			-\$3.00	Parking	Ongoing shift to user fees
			-\$8.40	Student Union	Increased space rental fees and other revenues
			-\$48.64	Expense Reductions	In Athletics, Transit/Bus, Student Life, University Health, Rec Center and Rec Sports
			-\$69.77	Use of Balances	In Student Union, Child Care, Rec Center, Organized Activities, Student Life and University Health
- Major Projects	\$160.40	\$209.08	\$48.68	30.3%	
			\$50.00	Student Union	Student approved increase to be used for existing maintenance or a new Union if one is approved
			\$0.88	Rec Center	Increase in debt service payment
			-\$2.20	Parking	Ongoing conversion of NWQ and Pavilion parking to partially user fee funded
Eau Claire	\$1,271.70	\$1,289.69	\$17.99	1.4%	
- Operations	\$927.04	\$945.87	\$18.83	2.0%	
			\$10.00	Union/Center	End cross subsidies between operations over several years
			\$8.39	Athletics	Increased staff for Athletics programming
			\$4.82	Counseling	Increased staff for mental health services
			\$0.65	Child Care	Alignment of revenues with expenditures
			-\$2.00	Organized Activities	Reduced fee based on revenue estimates
			-\$3.03	Miscellaneous	
- Major Projects	\$344.66	\$343.82	-\$0.84	-0.2%	
			-\$0.84	Miscellaneous	

TABLE D-2
University of Wisconsin System
2017-18 Doctoral & Comprehensive Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Green Bay	\$1,580.00	\$1,580.00	\$0.00	0.0%	
- Operations	\$1,340.22	\$1,402.32	\$62.10	4.6%	
			\$93.28	Org. Activities	Increase fund balance to mitigate future rate increases
			\$12.16	Pep Band (Music Dept)	Band for men's and women's basketball home games and tournaments
			\$10.78	Athletics	Increases for athletic training, student-athlete insurance, and travel
			\$3.98	University Health	Health Educator position (50%) for sexual violence prevention
			-\$58.10	Enrollment Changes	Seg Fees charged to Distance Ed students starting in FY 17
- Major Projects	\$239.78	\$177.68	-\$62.10	-25.9%	
			-\$2.22	Soccer/Softball Complex	Seg Fees charged to Distance Ed students starting in FY 17
			-\$59.88	Kress Center	Fluctuation in debt service payments
La Crosse	\$1,331.79	\$1,337.37	\$5.58	0.4%	
- Operations	\$884.21	\$882.79	-\$1.42	-0.2%	
			\$24.85	Recreational Center	Operational budget for Addition
			\$5.36	Counseling Center	Enrollment changes, chargeback increases, compensation and fringe increases
			\$1.64	Recreational Sports	Enrollment changes, chargeback increases, compensation and fringe increases
			\$1.03	Intercollegiate Athletics	Enrollment changes, chargeback increases, compensation and fringe increases
			\$0.90	Organized Activities	Enrollment changes and student approved increases
			-\$1.42	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
			-\$1.42	Env. Sustainability	Student approved decreases in provided level of funding
			-\$1.66	Miscellaneous	
			-\$2.91	Health Center	Staff realignment that resulted in cost saving
			-\$27.79	University Centers	Base expense reductions, debt service savings
- Major Projects	\$447.58	\$454.58	\$7.00	1.6%	
			\$7.00	REC Center	Constructuion will start in FY18
Oshkosh	\$1,122.00	\$1,165.41	\$43.41	3.9%	
- Operations	\$853.80	\$877.88	\$24.08	2.8%	
			\$23.70	Organized Activity	Depleted reserves
			\$6.61	Enrollment Changes	
			\$5.50	Health Center	Mental Health Nurse Practitioner due to increased demand for Mental Health Services
			\$5.28	Childcare Center	Increase in Student Help and operational costs due to increased number of children
			\$5.06	Intercollegiate Athletics	Assistant Men's & Women's Indoor/Outdoor Track & Field Coach
			\$2.93	Organized Activities & Intramurals	Student programming related to student orgs, clubs and intramurals
			-\$0.81	Intercollegiate Athletics	Decrease in Supply and Expense costs
			-\$3.09	Childcare Center	Decrease due to increase in rates for non-students.
			-\$7.59	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
			-\$13.51	Recreational Center	Decrease due to increased revenue generation for rental of new Rec Plex facility
- Major Projects	\$268.20	\$287.53	\$19.33	7.2%	
			\$14.70	Recreational Center	Debt service for new Rec Plex facility
			\$4.63	Reeve Union	Debt service due to Reeve entrance renovation

TABLE D-2
University of Wisconsin System
2017-18 Doctoral & Comprehensive Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Parkside	\$1,069.20	\$1,090.56	\$21.36	2.0%	
- Operations	\$580.58	\$595.03	\$14.45	2.5%	
			\$10.84	Student Health	Spent down reserve balances in 2016-17
			\$6.85	Enrollment Changes	
			\$0.11	Change in Reserves	Spent down reserve balances in 2016-17
			-\$3.35	Organized Activities	Base expense reductions
- Major Projects	\$488.62	\$495.53	\$6.91	1.4%	
			\$6.91	Enrollment Changes	
Platteville	\$911.00	\$962.50	\$51.50	5.7%	
- Operations	\$725.00	\$734.00	\$9.00	1.2%	
			\$9.00	University Health	Student approved increase for additional staffing
- Major Projects	\$186.00	\$228.50	\$42.50	22.8%	
			\$42.50	Rec. Center	Enumerated Williams Fieldhouse Expansion. (FY19 increase will be \$128.50 for a total of \$171)
River Falls	\$1,396.07	\$1,424.08	\$28.01	2.0%	
- Operations	\$1,047.07	\$1,072.08	\$25.01	2.4%	
			\$19.76	Health Services	Mental health counselor; student-initiated 50% Violence Prevention Coordinator
			\$3.25	Athletics	Women's programs in response to internal Title IX review
			\$2.00	Child Care	Maintaining accreditation and a reduction in reserves
			\$1.14	Organized Activities	Two positions in Student Governance, and sexual assault prevention programming
			-\$1.14	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
- Major Projects	\$349.00	\$352.00	\$3.00	0.9%	
			\$3.00	Child Care	Increasing debt service payments
Stevens Point	\$1,282.42	\$1,340.86	\$58.44	4.6%	
- Operations	\$918.50	\$918.50	\$0.00	0.0%	
- Major Projects	\$363.92	\$422.36	\$58.44	16.1%	
			\$50.04	Rec. Center	Health and Wellness facility
			\$8.40	Union/Center	Enrollment declines

TABLE D-2
University of Wisconsin System
2017-18 Doctoral & Comprehensive Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Stout	\$1,077.00	\$1,116.90	\$39.90	3.7%	
- Operations	\$895.03	\$934.93	\$39.90	4.5%	
			\$20.10	Health Services	Student-approved addition of a Counselor; shifting a counseling position; increasing medical costs
			\$12.90	Athletics	Last of three year plan to address elimination of PE requirement
			\$3.30	Organized Activities	Increased usage of the Organized Activities areas by students including student internships
			\$1.80	Intramurals	Replacement/repair of capital equipment
			\$1.80	Recreation Complex	Stadium and field maintenance no longer able to be deferred
- Major Projects	\$181.97	\$181.97	\$0.00	0.0%	
Superior	\$1,552.49	\$1,574.06	\$21.57	1.4%	
- Operations	\$1,004.49	\$1,026.06	\$21.57	2.1%	
			\$13.45	Health & Counseling Service	Programming and student help needs
			\$4.13	Union	Equipment maintenance and possible replacement
			\$3.00	Miscellaneous	Operating costs and deficit reduction, enrollment changes
			\$1.96	Intercollegiate Ath.	Increasing costs for travel, officials, recruiting, and equipment
			\$1.15	Rec. Center/Arena	Maintenance and repair of the facility
			\$0.88	Arena	Maintenance and repair of the facility
			\$0.71	Intramurals	Programming costs and equipment
			\$0.22	Organized Activities	Student initiated programming and activities
			-\$3.93	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
- Major Projects	\$548.00	\$548.00	\$0.00	0.0%	
Whitewater	\$965.60	\$977.73	\$12.13	1.3%	
- Operations	\$757.14	\$769.27	\$12.13	1.6%	
			\$9.48	Health Center	Psychiatrist and an additional doctor.
			\$2.62	Organized Activities	Increased compensation, FB, supplies, and additional student organizations
			\$1.33	Union	Career and Leadership Development Unit compensation increases
			\$1.00	Intercollegiate Ath.	Supply needs and maintenance expense on equipment
			\$1.00	Stadium	Maintenance costs on outdoor fields and turf
			\$0.29	Rec Sports	Increased number of club sports and increased number of students participating
			-\$3.59	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
- Major Projects	\$208.46	\$208.46	\$0.00	0.0%	

TABLE D-2
University of Wisconsin System
2017-18 UW Colleges Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Baraboo/Sauk	\$482.26	\$487.02	\$4.76	1.0%	
			\$50.76	Athletics	Maintaining services previously supported through fund balances
			\$50.76	Academic Skills	Maintaining services previously supported through fund balances
			\$50.76	Organized Activities	Maintaining services previously supported through fund balances
			\$3.26	Athletics	Offset to adjust for actual enrollments
			\$2.32	Organized Activities	Offset to adjust for actual enrollments
			\$1.24	University Health	Offset to adjust for actual enrollments
			\$1.14	University Health	Maintaining services previously supported through fund balances
			-\$3.24	Municipal Services	Reduced base expenses
			-\$17.08	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
			-\$26.50	Academic Skills	Reduced base expenses
			-\$31.18	Athletics	Reduced base expenses
			-\$77.48	Organized Activities	Reduced base expenses
Barron	\$463.90	\$472.08	\$8.18	1.8%	
			\$32.60	Athletics	Offset to adjust for actual enrollments
			\$30.38	Organized Activities	Offset to adjust for actual enrollments
			\$16.66	University Health	Offset to adjust for actual enrollments
			\$4.62	Municipal Services	Offset to adjust for actual enrollments
			\$3.86	Academic Skills	Offset to adjust for actual enrollments
			-\$5.00	Child Care	Utilizing fund balances to offset program costs
			-\$7.16	University Health	Utilizing fund balances to offset program costs
			-\$7.72	Organized Activities	Reduced base expenses
			-\$9.68	Municipal Services	Reduced base expenses
			-\$22.50	Student Center	Reduced base expenses
			-\$27.88	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
Fond du Lac	\$458.06	\$483.88	\$25.82	5.6%	
			\$14.52	Organized Activities	Compensation increases for reclassified student life coordinator
			\$12.70	Athletics	Offset to adjust for actual enrollments
			\$12.34	Organized Activities	Offset to adjust for actual enrollments
			\$3.60	University Health	Offset to adjust for actual enrollments
			\$3.32	Organized Activities	Student-initiated increases for drama technicians
			\$1.12	Academic Skills	Offset to adjust for actual enrollments
			-\$0.06	Student Center	Reduced base expenses
			-\$4.12	Organized Activities	Utilizing fund balances to offset program costs
			-\$4.58	Municipal Services	Reduced base expenses
			-\$13.02	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved

TABLE D-2
University of Wisconsin System
2017-18 UW Colleges Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Fox Valley	\$284.00	\$309.56	\$25.56	9.0%	
			\$18.16	Organized Activities	Offset to adjust for actual enrollments
			\$10.08	Organized Activities	Increase in non-allocable assessments
			\$9.28	University Health	Offset to adjust for actual enrollments
			\$7.10	Athletics	Student-initiated programming
			\$6.36	Athletics	Offset to adjust for actual enrollments
			\$4.90	Organized Activities	Student-initiated programming
			\$4.38	Municipal Services	Increase in non-allocable assessment expense
			\$2.04	Athletics	Non-allocable athletic director salary
			\$1.34	Municipal Services	Offset to adjust for actual enrollments
			-\$0.56	Athletics	Utilizing fund balances to offset program costs
			-\$2.46	University Health	Reduced base expenses
			-\$35.06	Organized Activities	Utilizing fund balances to offset program costs
Manitowoc	\$372.08	\$405.56	\$33.48	9.0%	
			\$49.34	Organized Activities	Offset to adjust for actual enrollments
			\$14.18	University Health	Increase in non-allocable counseling services
			\$7.10	University Health	Maintaining services previously supported through fund balances
			\$5.98	Academic Skills	Offset to adjust for actual enrollments
			\$5.54	Municipal Services	Offset to adjust for actual enrollments
			\$1.64	University Health	Offset to adjust for actual enrollments
			\$1.46	Organized Activities	Student-initiated programming
			-\$7.28	Municipal Services	Reduced base expenses
			-\$44.48	Organized Activities	Utilizing fund balances to offset program costs
Marathon	\$411.74	\$424.36	\$12.62	3.1%	
			\$23.66	Athletics	Offset to adjust for actual enrollments
			\$12.04	University Health	Offset to adjust for actual enrollments
			\$6.14	Academic Skills	Offset to adjust for actual enrollments
			\$0.98	Municipal Services	Offset to adjust for actual enrollments
			-\$1.84	Organized Activities	Utilizing fund balances to offset program costs
			-\$4.70	University Health	Reduced base expenses
			-\$5.90	Academic Skills	Reduced base expenses
			-\$17.76	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved

TABLE D-2
University of Wisconsin System
2017-18 UW Colleges Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Marinette	\$355.06	\$385.90	\$30.84	8.7%	
			\$97.74	Athletics	Offset to adjust for actual enrollments
			\$58.88	Organized Activities	Offset to adjust for actual enrollments
			\$23.98	Academic Skills	Offset to adjust for actual enrollments
			\$13.26	Student Center	Offset to adjust for actual enrollments
			-\$0.22	University Health	Utilizing fund balances to offset program costs
			-\$2.62	Municipal Services	Reduced base expenses
			-\$12.12	Athletics	Reduced base expenses
			-\$25.06	Student Center	Reduced base expenses
			-\$123.00	Organized Activities	Utilizing fund balances to offset program costs
Marshfield	\$407.42	\$386.20	-\$21.22	-5.2%	
			\$73.08	Organized Activities	Maintaining services previously supported through fund balances
			\$45.56	Athletics	Offset to adjust for actual enrollments
			\$20.80	Organized Activities	Offset to adjust for actual enrollments
			\$18.14	University Health	Maintaining services previously supported through fund balances
			\$13.42	University Health	Offset to adjust for actual enrollments
			\$8.70	Academic Skills	Offset to adjust for actual enrollments
			\$2.60	Municipal Services	Offset to adjust for actual enrollments
			\$1.34	Child Care	Offset to adjust for actual enrollments
			-\$5.24	Municipal Services	Reduced base expenses
			-\$7.26	Child Care	Utilizing fund balances to offset program costs
			-\$10.86	Academic Skills	Reduced base expenses via fewer hours in tutoring center
			-\$14.16	University Health	Reduced base expenses
			-\$35.44	Athletics	Reduced base expenses
			-\$39.30	Athletics	Utilizing fund balances to offset program costs
			-\$43.26	Organized Activities	Reduced base expenses
			-\$49.34	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
Richland	\$568.74	\$597.16	\$28.42	5.0%	
			\$64.44	Organized Activities	Offset to adjust for actual enrollments
			\$23.50	Academic Skills	Offset to adjust for actual enrollments
			\$7.06	Student Center	Offset to adjust for actual enrollments
			\$4.22	Student Center	Maintaining services previously supported through fund balances
			-\$5.26	Municipal Services	Using existing fund balances to offset program costs
			-\$8.58	Municipal Services	Reduced base expenses
			-\$8.78	University Health	Utilizing fund balances to offset program costs
			-\$10.14	Athletics	Reduced base expenses
			-\$15.30	University Health	Reduced base expenses
			-\$22.74	Organized Activities	Utilizing fund balances to offset program costs

TABLE D-2
University of Wisconsin System
2017-18 UW Colleges Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Rock	\$386.84	\$381.65	-\$5.19	-1.3%	
			\$38.00	Athletics	Student-initiated increased expenses for athletics
			\$17.12	Organized Activities	Offset to adjust for actual enrollments
			\$8.00	Athletics	Offset to adjust for actual enrollments
			\$5.50	Academic Skills	Offset to adjust for actual enrollments
			\$2.64	University Health	Offset to adjust for actual enrollments
			\$1.46	University Health	Maintaining services despite anticipated reduction in summer revenue
			-\$4.06	Municipal Services	Reduced base expenses
			-\$9.94	Organized Activities	Utilizing fund balances to offset program costs
			-\$12.17	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
			-\$15.02	Academic Skills	Reduced base expenses
			-\$36.72	Organized Activities	Reduced base expenses
Sheboygan	\$386.28	\$382.04	-\$4.24	-1.1%	
			\$40.48	Organized Activities	Maintaining services previously supported through fund balances
			\$38.48	University Health	Maintaining services previously supported through fund balances
			\$31.14	Organized Activities	Offset to adjust for actual enrollments
			\$24.42	Athletics	Offset to adjust for actual enrollments
			\$20.22	University Health	Offset to adjust for actual enrollments
			\$3.20	Municipal Services	Offset to adjust for actual enrollments
			-\$3.56	Athletics	Increased additional sales revenue
			-\$3.96	Organized Activities	Increased additional sales revenue
			-\$7.20	Municipal Services	Reduced base expenses
			-\$10.06	Athletics	Reduced base expenses
			-\$17.22	University Health	Reduced base expenses
			-\$23.56	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
			-\$24.82	Organized Activities	Reduced base expenses
			-\$71.80	Athletics	Utilizing fund balances to offset program costs

TABLE D-2
University of Wisconsin System
2017-18 UW Colleges Academic Year Segregated Fees Detail

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Washington	\$350.04	\$367.54	\$17.50	5.0%	
			\$59.66	Organized Activities	Maintaining services previously supported by fund balances
			\$19.62	Athletics	Offset to adjust for actual enrollments
			\$18.44	Organized Activities	Offset to adjust for actual enrollments
			\$10.30	University Health	Offset to adjust for actual enrollments
			\$6.58	University Health	Maintaining services previously supported by fund balances
			\$1.38	Municipal Services	Offset to adjust for actual enrollments
			\$1.14	Academic Skills	Offset to adjust for actual enrollments
			\$0.74	Academic Skills	Maintaining services previously supported by fund balances
			-\$0.32	Athletics	Reduced base expenses
			-\$1.48	University Health	Reduced base expenses
			-\$3.18	Municipal Services	Reduced base expenses
			-\$7.76	Organized Activities	Increase in anticipated lecture/fine arts sales
			-\$9.72	Academic Skills	Reduced base expenses
			-\$36.28	Organized Activities	Reduced base expenses
			-\$41.62	Athletics	Utilizing fund balances to offset program costs
Waukesha	\$394.84	\$397.66	\$2.82	0.7%	
			\$28.22	Organized Activities	Offset to adjust for actual enrollments
			\$13.96	Athletics	Maintaining services despite anticipated loss in summer revenue
			\$9.10	Athletics	Offset to adjust for actual enrollments
			\$5.68	University Health	Offset to adjust for actual enrollments
			\$2.10	University Health	Loss of prior summer seg fee revenue
			\$1.96	University Health	Increase in compensation
			\$1.94	Academic Skills	Offset to adjust for actual enrollments
			\$1.36	Academic Skills	Increase in student-initiated programming
			\$1.30	Municipal Services	Offset to adjust for actual enrollments
			-\$0.54	Organized Activities	Utilizing fund balances to offset program costs
			-\$1.32	Organized Activities	Additional anticipated sales/charges in drama and music
			-\$4.14	Athletics	Reduced base expenses
			-\$4.28	University Health	Utilizing fund balances to offset program costs
			-\$5.10	Municipal Services	Reduced base expenses
			-\$16.92	Allocable Freeze	Joint Finance Omnibus freezes allocable segregated fees until a new policy is approved
			-\$30.50	Organized Activities	Reduced base expenses

TABLE D-3
University of Wisconsin System
Four Year Institutions Allocable vs. Non-Allocable Segregated Fees

	2015-16	2016-17	2017-18	1-Year Change	1-Year % Change
Madison	1,142	1,215	1,260	45	3.7%
Allocable	178	178	178	-	0.0%
Non-Allocable	964	1,037	1,082	45	4.4%
Milwaukee	1,338	1,402	1,474	72	5.2%
Allocable	483	459	75	(385)	-83.8%
Non-Allocable	855	943	1,400	457	48.5%
Eau Claire	1,261	1,272	1,290	18	1.4%
Allocable	256	198	184	(14)	-7.0%
Non-Allocable	1,005	1,074	1,106	32	3.0%
Green Bay*	1,526	1,580	1,580	-	0.0%
Allocable	118	15	103	87	564.7%
Non-Allocable	1,408	1,565	1,477	(87)	-5.6%
La Crosse	1,073	1,332	1,337	6	0.4%
Allocable	94	97	97	-	0.0%
Non-Allocable	979	1,235	1,241	6	0.5%
Oshkosh*	1,065	1,122	1,165	43	3.9%
Allocable	130	114	130	16	13.7%
Non-Allocable	935	1,008	1,035	28	2.8%
Parkside	1,043	1,069	1,091	21	2.0%
Allocable	109	96	87	(9)	-9.1%
Non-Allocable	934	973	1,003	30	3.1%
Platteville	915	911	963	52	5.7%
Allocable	100	100	100	-	0.0%
Non-Allocable	815	811	863	52	6.4%
River Falls	1,357	1,396	1,424	28	2.0%
Allocable	76	79	79	-	0.0%
Non-Allocable	1,281	1,318	1,346	28	2.1%
Stevens Point	1,193	1,282	1,341	58	4.6%
Allocable	378	381	243	(138)	-36.2%
Non-Allocable	815	901	1,098	197	21.8%
Stout	1,038	1,077	1,117	40	3.7%
Allocable	64	64	64	-	0.0%
Non-Allocable	974	1,013	1,053	40	3.9%
Superior	1,501	1,552	1,574	22	1.4%
Allocable	110	115	115	-	0.0%
Non-Allocable	1,392	1,437	1,459	22	1.5%
Whitewater	956	966	978	12	1.3%
Allocable	122	125	125	-	0.0%
Non-Allocable	834	841	853	12	1.4%

* Institutions that used reserves to reduce allocable fees in FY17 were permitted to increase their allocable fees up to FY16 levels.

TABLE D-3
University of Wisconsin System
Four Year Institutions Allocable vs. Non-Allocable Segregated Fees

	2015-16	2016-17	2017-18	1-Year Change	1-Year % Change
Baraboo/Sauk*	452	482	487	5	1.0%
Allocable	206	187	206	19	10.0%
Non-Allocable	246	295	281	(14)	-4.7%
Barron	434	464	472	8	1.8%
Allocable	274	242	242	-	0.0%
Non-Allocable	160	222	230	8	3.7%
Fond du Lac	459	458	484	26	5.6%
Allocable	268	241	241	-	0.0%
Non-Allocable	192	217	243	26	11.9%
Fox Valley	279	284	310	26	9.0%
Allocable	98	111	101	(10)	-8.8%
Non-Allocable	181	173	208	35	20.4%
Manitowoc	358	372	406	33	9.0%
Allocable	224	202	164	(38)	-18.8%
Non-Allocable	134	170	241	71	42.1%
Marathon	382	412	424	13	3.1%
Allocable	208	213	213	-	0.0%
Non-Allocable	173	198	211	13	6.4%
Marinette	355	355	386	31	8.7%
Allocable	221	128	92	(36)	-28.2%
Non-Allocable	135	227	294	67	29.4%
Marshfield/Wood*	392	407	386	(21)	-5.2%
Allocable	237	230	237	6	2.8%
Non-Allocable	156	177	149	(28)	-15.6%
Richland	580	569	597	28	5.0%
Allocable	278	275	227	(48)	-17.4%
Non-Allocable	301	294	370	76	26.0%
Rock	379	387	382	(5)	-1.3%
Allocable	199	233	233	-	0.0%
Non-Allocable	180	154	149	(5)	-3.4%
Sheboygan	386	386	382	(4)	-1.1%
Allocable	7	87	87	-	0.0%
Non-Allocable	380	299	295	(4)	-1.4%
Washington*	350	350	368	17	5.0%
Allocable	180	105	131	25	24.1%
Non-Allocable	170	245	237	(8)	-3.2%
Waukesha*	362	395	398	3	0.7%
Allocable	187	185	187	2	0.9%
Non-Allocable	176	210	211	1	0.6%

* Institutions that used reserves to reduce allocable fees in FY17 were permitted to increase their allocable fees up to FY16 levels.

TABLE D-4
University of Wisconsin System
2017-18 Academic Year Room and Board Rates - Most Popular

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Increase</u>	<u>% Change</u>
Madison	\$9,074	\$9,350	\$276	3.0%
- Residence Halls	\$5,999	\$6,225	\$226	3.8%
\$140 of the increase is due to enumerated debt for Witte Hall. \$82 for resident hall door and lock replacements.				
- Meal Plans	\$3,075	\$3,125	\$50	1.6%
Milwaukee	\$9,326	\$9,606	\$280	3.0%
- Residence Halls	\$5,320	\$5,480	\$160	3.0%
\$104 of the increase is due to enumerated projects for the Towers, and other items such as a fire alarm system. \$56 is due to the wireless contract cost increasing for the Halls.				
- Meal Plans	\$4,006	\$4,126	\$120	3.0%
\$85 is for changes due to the Affordable Care Act. Fewer student are choosing to work on campus which requires more permanent staff. \$35 is for kitchen equipment repair and maintenance.				
Eau Claire	\$6,985	\$7,506	\$521	7.5%
- Residence Halls	\$4,185	\$4,436	\$251	6.0%
\$142 is due to enumerated projects for a new dorm and Towers renovation. \$77 is the result of displaced students living off campus so revenue is reduced. \$32 is for the anticipated Governors renovation project.				
- Meal Plans	\$2,800	\$3,070	\$270	9.6%
\$186 is due to fewer students taking meal plans as a result of the Towers renovation and the contractual guarantee of revenue. \$84 is for a 3% increase in contract costs.				
Green Bay	\$6,910	\$7,030	\$120	1.7%
- Residence Halls	\$4,120	\$4,240	\$120	2.9%
\$65 is due to maintenance such as concrete repair, thermostatic controls, bathroom remodels. \$21 is for a new software package and interface to track student concerns and \$34 is for an additional maintenance position, overtime and funding a portion of the Vice Chancellor for Student Affairs.				
- Meal Plans	\$2,790	\$2,790	\$0	0.0%
UW-Green Bay had a new meal plan contract in 2016-17 which expanded options from a la carte only (\$2,200 in 2015-16) to multiple options in 2016-17. The most popular plan in 2016-17 under the new contract was \$2,790. There is no change in the most popular plan from 2016-17 to 2017-18.				
La Crosse	\$6,025	\$6,206	\$181	3.0%
- Residence Halls	\$3,605	\$3,750	\$145	4.0%
\$108 is due to anticipated future all-agency work for life/safety and mechanical/plumbing upgrades. \$37 is due to decreases in occupancy.				
- Meal Plans	\$2,420	\$2,456	\$36	1.5%
Oshkosh	\$7,030	\$7,282	\$252	3.6%
- Residence Halls	\$4,220	\$4,388	\$168	4.0%
\$75 is due to numerous enumerated projects, primarily Fletcher Hall. \$69 is due to Fletcher furniture replacement and \$24 is due to maintenance of roofs, elevators, water heaters etc.				
- Meal Plans	\$2,810	\$2,894	\$84	3.0%
\$45 is due to maintenance including dining hall renovations, elevator and facilities maintenance. \$39 is due to a contractual cost increase from dining contractor.				

TABLE D-4
University of Wisconsin System
2017-18 Academic Year Room and Board Rates - Most Popular

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Increase</u>	<u>% Change</u>
Parkside	\$6,938	\$7,114	\$176	2.5%
- Residence Halls	\$4,406	\$4,494	\$88	2.0%
- Meal Plans	\$2,532	\$2,620	\$88	3.5%
\$88 per inflationary increase due to food service contract.				

Platteville	\$7,130	\$7,130	\$0	0.0%
- Residence Halls	\$3,970	\$3,970	\$0	0.0%
- Meal Plans	\$3,160	\$3,160	\$0	0.0%

River Falls	\$6,525	\$6,526	\$1	0.0%
- Residence Halls	\$4,136	\$4,136	\$0	0.0%
- Meal Plans	\$2,389	\$2,390	\$1	0.0%

Stevens Point	\$7,089	\$7,293	\$204	2.9%
- Residence Halls	\$4,260	\$4,422	\$162	3.8%
\$162 increase is due to numerous enumerated projects.				
- Meal Plans	\$2,829	\$2,871	\$42	1.5%

Stout	\$6,624	\$6,744	\$120	1.9%
- Residence Halls	\$4,040	\$4,140	\$100	2.5%
\$100 increase for the anticipated North Hall renovation				
- Meal Plans	\$2,584	\$2,604	\$20	0.8%

Superior	\$6,265	\$6,450	\$185	3.0%
- Residence Halls	\$3,695	\$3,800	\$105	2.8%
\$71 due to already enumerated debt for Ross/Hawkes renovation. \$29 for carpet/fixtures at Curran and McNeill and \$5 for increased custodial services.				
- Meal Plans	\$2,570	\$2,650	\$80	3.1%
\$72 for contract agreement and \$8 for replacement of the dishwasher system.				

Whitewater	\$6,326	\$6,442	\$116	1.8%
- Residence Halls	\$3,876	\$3,992	\$116	3.0%
\$67 for Wells Hall window project, \$43 for Wells's Hall carpet replacement, and \$7 for general plumbing.				
- Meal Plans	\$2,450	\$2,450	\$0	0.0%

UW Colleges

Marathon	\$5,014	\$5,163	\$149	3.0%
- Residence Halls	\$3,008	\$3,068	\$60	2.0%
- Meal Plans	\$2,006	\$2,095	\$89	4.4%
\$89 increase is due to contractual inflationary rate increases.				

Marinette	\$3,900	\$4,016	\$116	3.0%
- Residence Halls	\$3,900	\$4,016	\$116	3.0%
\$116 increase contractually required by Landlord.				

TABLE D-5
University of Wisconsin System
2017-18 Academic Year Meal Plan Rates

<u>Institution</u>	<u>Meal Plans</u>	<u>2016-17</u>	<u>2017-18</u>	<u>\$ Change</u>	<u>% Change</u>
Madison	Membership Fee + Average A'la Carte Spending	\$3,075	\$3,125	\$50	1.6%
Milwaukee	Premium	\$4,706	\$4,848	\$142	3.0%
	Standard	\$4,006	\$4,126	\$120	3.0%
	Value	\$3,304	\$3,404	\$100	3.0%
	Commons Fee - East Tower	\$1,652	\$1,702	\$50	3.0%
Eau Claire	Platinum (formerly Bugold Ultimate)	\$2,800	\$3,070	\$270	9.6%
	Upper Campus (formerly All Access Plan)	\$2,490	\$2,770	\$280	11.2%
	Lower Campus (formerly Block Meal Plan)	\$2,750	\$2,840	\$90	3.3%
	Declining Balance	\$2,800	\$2,800	\$0	0.0%
Green Bay	Phoenix/All Access + \$150 Dining Points	\$2,790	\$2,790	\$0	0.0%
	Green 19 Meals/Week + \$150 Dining Points	\$2,690	\$2,690	\$0	0.0%
	UWGB 14 Meals/Week + \$125 Dining Points	\$2,590	\$2,590	\$0	0.0%
	Varsity 10 Meal Plan + \$125 Dining Points	\$2,490	\$2,490	\$0	0.0%
	Bay Block Combo Plan + \$300 Dining Points	\$2,450	\$2,450	\$0	0.0%
	Apartment Block Plan 1 + \$50 Dining Points	\$900	\$900	\$0	0.0%
	Apartment Block Plan 2 + \$50 Dining Points	\$680	\$680	\$0	0.0%
	Apartment Block Plan 3 + \$50 Dining Points	\$410	\$410	\$0	0.0%
La Crosse	14-Meal	\$2,390	\$2,426	\$36	1.5%
	All Access + \$50 Dining Dollars + 10 blocks	\$2,420	\$2,456	\$36	1.5%
	All Access + \$350 Dining Dollars	\$2,930	\$2,974	\$44	1.5%
	All Access + 50 Blocks	\$2,740	\$2,782	\$42	1.5%
	On-Campus Block Plan	\$816	\$828	\$12	1.5%
	Off-Campus Block Plan	\$816	\$828	\$12	1.5%
Oshkosh	Commuter Bronze (25 Block Meals + \$170 TitanDollars)	\$802	\$826	\$24	3.0%
	Basic A (15 meals + \$80 TitanDollars)	\$2,810	\$2,894	\$84	3.0%
	Deluxe A (21 meals + \$80 TitanDollars)	\$3,036	\$3,128	\$92	3.0%
	Exclusive (50 block meals + \$335 TitanDollars)	\$1,578	\$1,626	\$48	3.0%
	Silver (75 block meals + \$505 TitanDollars)	\$2,350	\$2,420	\$70	3.0%
	Gold (100 block meals + \$670 TitanDollars)	\$3,100	\$3,194	\$94	3.0%
	Platinum (150 block meals + \$400 TitanDollars)	\$3,200	\$3,296	\$96	3.0%
Parkside	Plan 4-Parkside Plus Plan	\$3,330	\$3,430	\$100	3.0%
	Plan 3-Green & Black Plan	\$3,044	\$3,134	\$90	3.0%
	Plan 2-Ranger Plan	\$2,806	\$2,890	\$84	3.0%
	Plan 1-Parkside Plan	\$2,532	\$2,620	\$88	3.5%
	Commuter/Staff Plan 3	\$768	\$790	\$22	2.9%
	Commuter/Staff Plan 2	\$554	\$570	\$16	2.9%
	Commuter/Staff Plan 1	\$342	\$352	\$10	2.9%

TABLE D-5
University of Wisconsin System
2017-18 Academic Year Meal Plan Rates

<u>Institution</u>	<u>Meal Plans</u>	<u>2016-17</u>	<u>2017-18</u>	<u>\$ Change</u>	<u>% Change</u>
Platteville	200 meals/sem + \$100/sem	\$3,380	\$3,380	\$0	0.0%
	19 meals/week	\$3,190	\$3,190	\$0	0.0%
	175 meals/sem + \$100/sem	\$3,160	\$3,160	\$0	0.0%
	14 meals/week + \$50/sem	\$3,100	\$3,100	\$0	0.0%
	150 meals/sem + \$ 100/sem	\$2,940	\$2,940	\$0	0.0%
	110 meals/sem + \$125/sem	\$2,070	\$2,070	\$0	0.0%
	90 meals/sem + \$100/sem	\$1,750	\$1,750	\$0	0.0%
	75 meals/sem + \$100/sem	\$1,390	\$1,390	\$0	0.0%
	50 meals/sem + \$75/sem	\$970	\$970	\$0	0.0%
River Falls	120 Block	\$2,476	\$2,476	\$0	0.0%
	19 Meal Plan	\$2,438	\$2,440	\$2	0.1%
	14 Meal Plan	\$2,389	\$2,390	\$1	0.0%
	60+ Block	\$855	\$855	\$0	0.0%
	All-Access Plan	\$2,750	\$2,750	\$0	0.0%
Stevens Point	250 Block Plan	\$3,252	\$3,288	\$36	1.1%
	200 Block Plan	\$2,829	\$2,871	\$42	1.5%
	150 Block Plan	\$2,466	\$2,490	\$24	1.0%
Stout	Plan 4	\$2,724	\$2,744	\$20	0.7%
	Plan 3	\$2,584	\$2,604	\$20	0.8%
	Plan 2	\$2,444	\$2,464	\$20	0.8%
	Plan 1	\$2,304	\$2,324	\$20	0.9%
Superior	Superior Plan	\$3,030	\$3,130	\$100	3.3%
	Black & Gold Plan	\$2,570	\$2,650	\$80	3.1%
Whitewater	Mega Point	\$3,910	\$3,910	\$0	0.0%
	Redemption Value 1	\$2,950	\$2,950	\$0	0.0%
	Full Point	\$2,680	\$2,680	\$0	0.0%
	24 Meal	\$2,560	\$2,560	\$0	0.0%
	19 Meal	\$2,500	\$2,500	\$0	0.0%
	14 Meal	\$2,450	\$2,450	\$0	0.0%
	10 Meal	\$2,410	\$2,410	\$0	0.0%
	Redemption Value 2	\$1,870	\$1,870	\$0	0.0%
	Off Campus Block	\$940	\$940	\$0	0.0%
Colleges	NTC-19	\$2,050	\$2,141	\$91	4.4%
	UW-19	\$2,006	\$2,095	\$89	4.4%
	NTC-14	\$1,980	\$2,068	\$88	4.4%
	UW-14	\$1,938	\$2,024	\$86	4.4%
	NTC-10	\$1,887	\$1,956	\$69	3.7%
	UW-10	\$1,847	\$1,914	\$67	3.6%

TABLE D-6
University of Wisconsin System
2017-18 Academic Year Textbook Rental Rates

<u>Institution</u>	<u>2016-17</u>	<u>2017-18</u>	<u>Change</u>	<u>% Change</u>
Eau Claire	\$180.00	\$165.00	-\$15.00	-8.3%
La Crosse	\$173.92	\$173.92	\$0.00	0.0%
Platteville	\$155.00	\$155.00	\$0.00	0.0%
River Falls	\$156.58	\$161.28	\$4.70	3.0%
Stevens Point	\$178.80	\$170.40	-\$8.40	-4.7%
Stout (based on 30 credits)	\$343.50	\$515.40	\$171.90	50.0%
Whitewater	\$165.12	\$165.12	\$0.00	0.0%

Increases above the 3.0% Threshold

UW-Stout is moving from a textbook rental program to an e-Text program which increases the price to students. The cost of e-text is still approximately one-third the cost of purchasing books. To offset this increase UW-Stout is decreasing their Estout (laptop) fee by \$5 per credit (\$150). With this offset the increase is \$22 or 6.4%. This change was approved by students and this is the last significant increase anticipated due to conversion to the e-Text program.

<p align="center">APPENDIX A</p> <p align="center">University of Wisconsin System</p> <p align="center">June 2017 UW System Differential Tuition</p>

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-Madison	School of Business - Undergraduate	Implemented Fall 2007. The differential rate applies to all undergraduate students enrolled in the Bachelor of Business Administration (BBA) major and Certificate in Business (CIB) program. The differential will be reviewed by the campus and students after the 2011-12 academic year.	BBA tuition increased by \$500 per semester (\$1,000 per year). CIB tuition increased by \$150 per semester (\$300 per year).	None
	School of Engineering – Undergraduate Differential Tuition	The differential applies to all undergraduate students enrolled in the Engineering major beginning in Fall 2008. The differential increases the number of faculty, expands student services, and funds new programs. The College of Engineering committed to raising funds for need-based financial aid.	The differential is \$700 per semester (\$1,400 per year).	None
	The Madison Initiative for Undergraduates	Approved in May 2009. The differential applies to all undergraduate students. The differential will improve quality by increasing student access to key courses and majors; introducing curricular and pedagogical change; improving vital student services; and enhancing access and affordability. The Initiative will add faculty and instructional support while increasing need-based financial aid. Students from families with an adjusted gross income of \$80,000 or less and with unmet financial need will be held harmless from the differential increase.	The differential is \$1,000 for residents and \$3,000 for nonresidents.	None

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-Milwaukee	Peck School of the Arts - Undergraduate	Implemented Fall 2004. Differential rate applies to all undergraduate courses provided by the Peck School of the Arts, with the exception of eight 100-level General Education Requirement courses.	The differential is \$21.80 per credit in 2017-18.	None
	College of Engineering and Applied Science – Undergraduate and Graduate	Implemented Fall 2004. Applies to all undergraduate and graduate courses provided by the college.	The differential is \$21.63 per credit in 2017-18.	None
	Sheldon B. Lubar School of Business Administration – Undergraduate	Implemented Fall 2004. Differential rate applies to all 200- to 600-level courses provided by the School.	The differential is \$21.22 per credit in 2017-18.	None
	College of Nursing – Undergraduate	Implemented Fall 2004. Applies to all undergraduates enrolled in clinical major courses within the College.	The differential is \$31.52 per credit in 2017-18.	None
	School of Architecture and Urban Planning (SARUP) – Undergraduate and Graduate	Implemented Fall 2006. Supports a desktop computer workstation program with enhanced support services for architecture students.	\$11.55 per credit for all Department of Architecture courses and an additional \$31.45 per credit (\$43 per credit total) for all courses at the 200 through 800 levels.	May increase by 5% annually
UW-Eau Claire	The Blugold Commitment - Undergraduate	In 2010, UW-Eau Claire expanded their existing differential in support of the Blugold Commitment – a commitment to extraordinary learning, affordable education, and globally prepared graduates from Wisconsin. The differential supports high-impact practices, additional faculty, and financial aid.	For full-time resident and nonresident undergraduate students, the differential is \$1,063 per year in 2017-18. The Board-approved increase to \$1,363 per year in Fall 2013 was prevented by the tuition freeze.	None

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-La Crosse	Academic Excellence Initiatives – Undergraduate and Graduate	Implemented Fall 2003 and reviewed in 2010. The differential provides financial support for academic advising, diversity initiatives, undergraduate research, and international education. The differential must be merged with the Growth, Quality, and Access differential in 2013.	The rate is \$69.96 per semester in Fall 2016. The Board-approved increase to \$74.16 per semester in Fall 2013 was prevented by the tuition freeze.	None
	Growth, Quality, and Access - Undergraduate	Approved by the Board of Regents in 2007. The differential does not apply to students enrolled before Fall 2008. The differential is used to hire additional faculty and staff and to purchase instructional supplies and equipment.	The differential is \$573.24 per semester (\$1,146.48 per year) in 2017-18.	Increase will be sufficient to cover salary and fringe increases and is not expected to be larger than the percent increase in resident undergraduate tuition.
UW-Oshkosh	Oshkosh Personal Development Compact – Undergraduate	Implemented Fall 2003 to enhance assessment, advising, co-curricular involvement, and emotional wellness. Emphasis is placed on student retention, reduced time to graduation, and increased graduation rates.	The undergraduate tuition differential is \$61.92 per semester (\$123.84 per year) in 2017-18.	None
UW-Platteville	Regional Enrollment Plan – Undergraduate	Implemented Fall 2005. Offers a differential tuition rate to nonresident, undergraduate students from Illinois and Iowa who enroll in fields that address the workforce needs of both new and established Wisconsin businesses.	Eligible students will be charged the resident tuition rate plus a premium of \$4,700 per year.	After Fall 2010, the premium may increase up to the resident undergraduate tuition rate.
	Academic and Support Services – Undergraduate	Approved in April 2008. The differential expands student services (e.g., Writing Center and Tutoring Center), supports additional mental health staff, funds career services staff, and provides financial support to students completing their senior capstone project.	Differential tuition will be 1.9% of the resident undergraduate tuition rate for all undergraduates. In 2017-18, this is \$59.88 per semester (\$119.76 per year).	As a percent of tuition, the differential increases with tuition

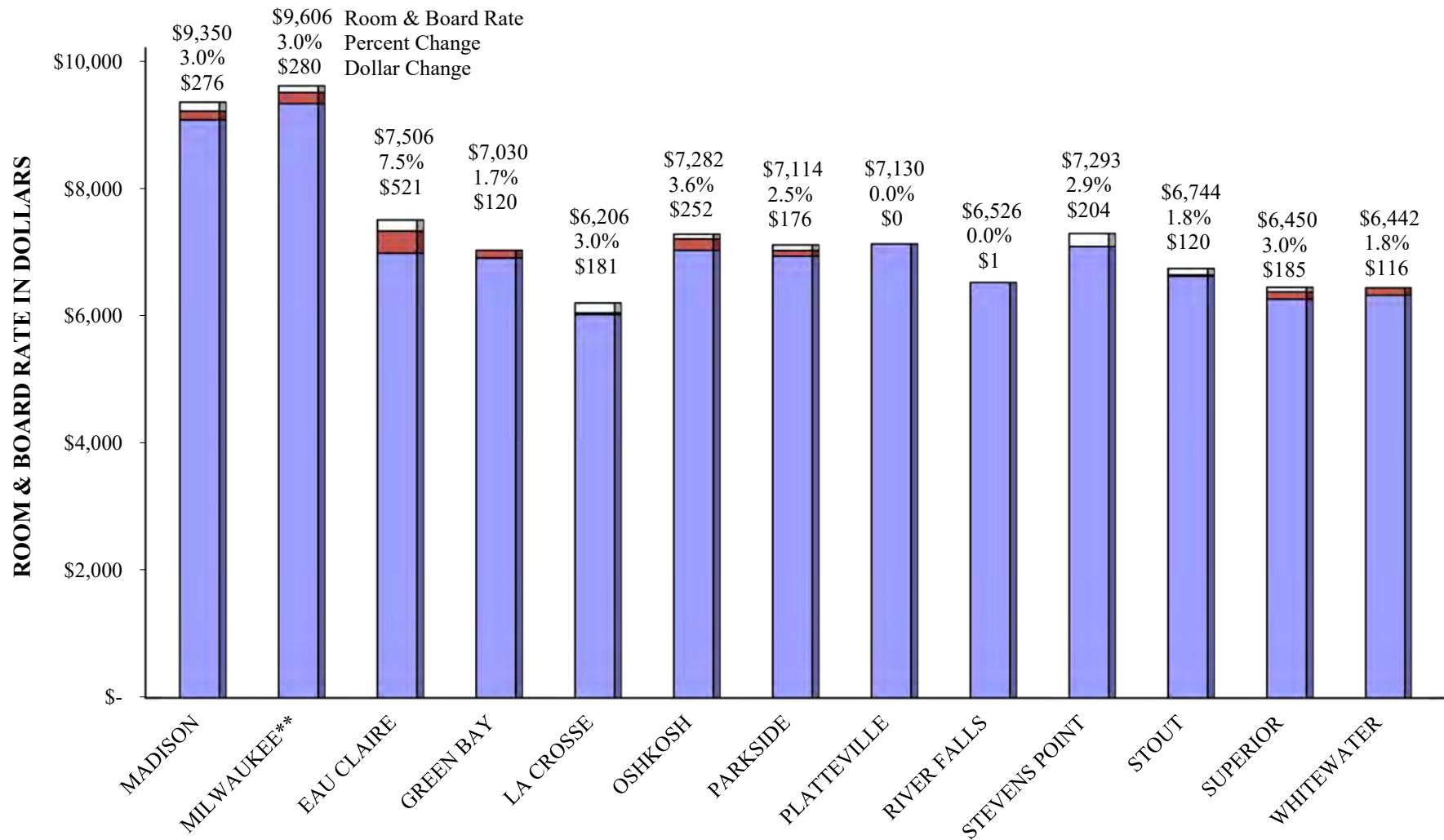
Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase																									
UW-River Falls	The Falcon Promise - Undergraduate	This institution-wide differential was initially implemented in Fall 2007 and was reviewed in 2011. The Falcon Promise supports enhanced library services, a testing center, tutoring services, undergraduate research and engagement opportunities, learning space upgrades, and the Falcon Scholars financial aid program.	The differential is \$65 per semester (\$130 per year). The Board-approved increase to \$160 per year in Fall 2013 was prevented by the tuition freeze.	None																									
UW-Stevens Point	Pointer Partnership - Undergraduate	This institution-wide differential targets reducing bottleneck courses, providing consistent advising, and limiting the impact on needy students through financial aid. The differential will be phased in over three years beginning in Fall 2016. The 2015-16 biennial budget included a provision that allowed the Board to adopt this differential.	<table border="1"> <thead> <tr> <th colspan="5">Table 3 -Implementation of the Pointer Partnership</th></tr> <tr> <th></th><th>Freshman</th><th>Sophomores</th><th>Juniors</th><th>Seniors</th></tr> </thead> <tbody> <tr> <td>2016-17</td><td>\$200</td><td>\$200</td><td>\$100</td><td>\$0</td></tr> <tr> <td>2017-18</td><td>\$200</td><td>\$200</td><td>\$200</td><td>\$100</td></tr> <tr> <td>2018-19</td><td>\$200</td><td>\$200</td><td>\$200</td><td>\$200</td></tr> </tbody> </table> <p>Note: amounts are charged per semester.</p>	Table 3 -Implementation of the Pointer Partnership						Freshman	Sophomores	Juniors	Seniors	2016-17	\$200	\$200	\$100	\$0	2017-18	\$200	\$200	\$200	\$100	2018-19	\$200	\$200	\$200	\$200	Three year implementation. After phase-in, no annual increases.
Table 3 -Implementation of the Pointer Partnership																													
	Freshman	Sophomores	Juniors	Seniors																									
2016-17	\$200	\$200	\$100	\$0																									
2017-18	\$200	\$200	\$200	\$100																									
2018-19	\$200	\$200	\$200	\$200																									

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-Stout	Customized Instruction	Implemented Fall 1999. Provides tuition flexibility to determine and charge market rates for customized programs, certificates, and courses to meet the needs of business and industry. Courses will be typically provided in alternative time frames (i.e., summer, evenings, and/or weekends.)	Market tuition rates will vary by program.	Variable based on market rates
	Access to Learning – Undergraduate and Graduate	Implemented Fall 1999. The differential tuition provides access to active learning programs that promote critical and creative thinking abilities in students. The differential provides expanded access to campus laboratories, cooperative education programs, field trips, and instructional materials.	Both residents and nonresidents pay the same differential tuition amount, which equals 5% of undergraduate and graduate tuition. In 2017-18, this is \$11.13 per credit for undergraduates and \$17.50 per credit for graduates.	As a percent of tuition, the differential increases with tuition
UW-Superior	The Superior Experience - Undergraduate	First approved in 2003. The Superior Experience supports technology for Swenson Hall, Jim Dan Hill Library acquisitions, and Career Services.	All undergraduate students are assessed an additional \$119 per semester (\$237 per year). The differential fee is prorated for part-time students.	None
	Natural Science Per-Credit Differential – Undergraduate	Implemented in Fall 2011. The per-credit differential on Department of Natural Sciences courses will support laboratory equipment, field trips, student assistants, and capstone research projects. The differential will replace all special course fees in the Department of Natural Sciences.	Undergraduate tuition increased by \$12.00 per credit on courses offered in the Department of Natural Sciences.	None
UW-Whitewater	Advising and Integrated Freshman Experience Program – Undergraduate	Implemented Fall 2002 to promote continual student success through a multilevel advising model and an integrated freshman experience program.	Undergraduate tuition increases by an amount equal to 3.5% of the resident undergraduate tuition rate. In 2017-18, this is \$110.28 per semester (\$220.56 per year).	As a percent of tuition, the differential increases with tuition

APPENDIX B
UW SYSTEM AUXILIARY OPERATIONS
DOCTORAL & COMPREHENSIVE MOST POPULAR ROOM AND BOARD RATES
2017-18 ACADEMIC YEAR



*For additional information, see Table D-2

■ 2016-17 Rate ■ Operations ■ Major Projects

**Includes \$40/year Sandburg Hall Admin. Council Fee



2016-17 Operating Budget and Fee Schedules

The University of
Wisconsin System
June, 2016

QUICK INDEX

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2016-17 OPERATING BUDGET AND FEE SCHEDULES

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2016-17 OPERATING BUDGET AND FEE SCHEDULES

EXECUTIVE SUMMARY

BACKGROUND

Wisconsin Act 55, the state's 2015-17 biennial budget, is the base upon which the University of Wisconsin System builds its 2016-17 Annual Operating Budget. The biennial budget was passed by the Legislature and signed into law by the Governor in 2015.

The budget requires a continuing freeze of resident undergraduate tuition at the 2012-13 levels for the upcoming 2016-17 fiscal year, including most differential tuition. Fiscal Year 2016-17 will be the fourth year of a required resident undergraduate tuition freeze.

This document reflects GPR/Tuition funding for the UW System in two ways: in ongoing base dollars (which is comparable to budgets provided prior to 2015-16) and with one-time spending plans included.

This Executive Summary is divided into the following sections:

- Funding for the UW System
- 2016-17 GPR/Tuition Changes
- 2016-17 Annual Tuition Rates
- Auxiliary Operations
- Program Revenue Operations and Balances

Funding for the UW System

SUMMARY TOTAL - ALL FUNDS		
Revenues	\$ 6,071,308,321	
Planned Expenditures	<u>(6,231,551,185)</u>	
Planned Use of Balances		(160,242,864)

Section A provides summary budget and balance information by fund type, including GPR/Tuition; Auxiliary Operations; General Program Operations, Federal Indirect Cost Reimbursement; Gifts, Grants, and Contracts; and Other funding.

In 2016-17, UW System institutions anticipate revenue of \$6,071,308,321. Expenditures will increase from \$6,194,179,374 in 2015-16 to \$6,231,551,185 in 2016-17, as reflected in **Table A-1**. As a result, balances will decrease \$160,242,864. The following table provides information on the total UW System budget by source of funds, including the dollar and percent change.

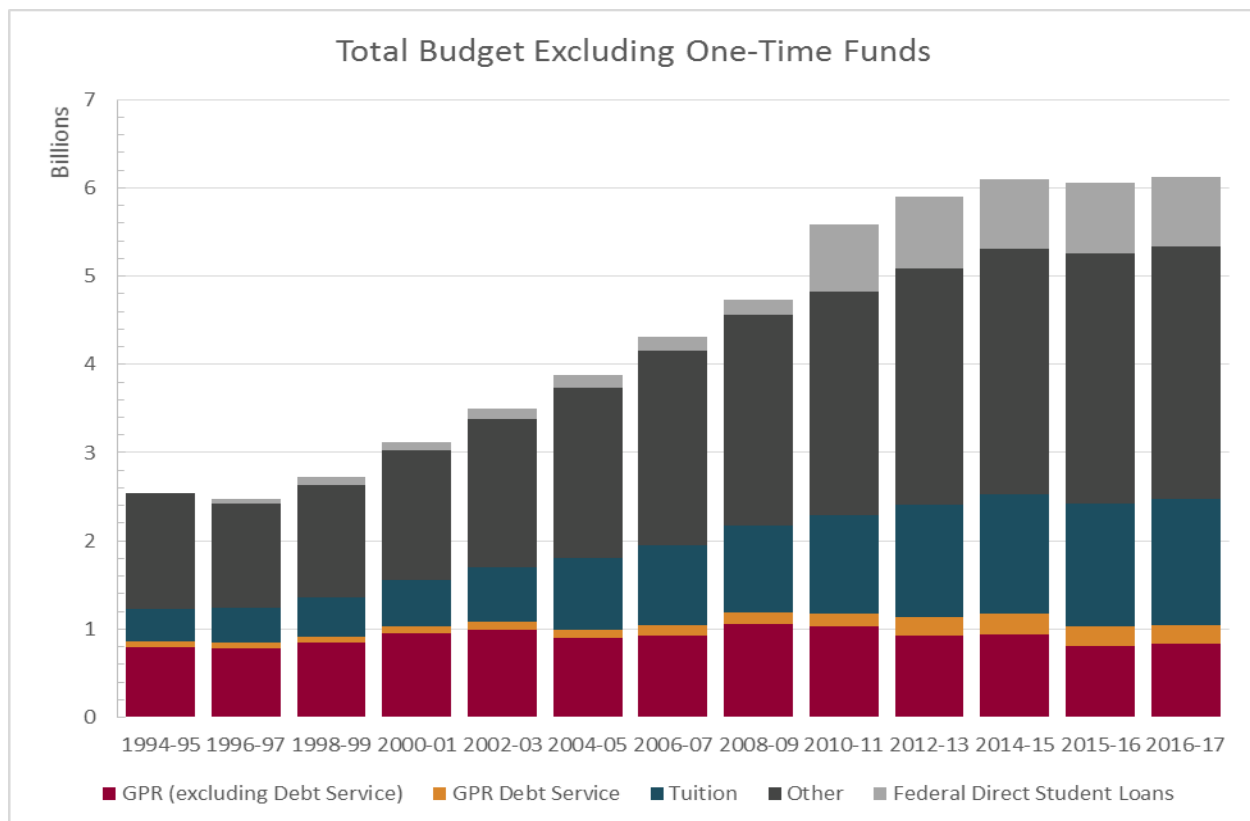
Changes in Total Funding from 2015-16 to 2016-17

Fund Source Category	2015-16 Budget	2016-17 Budget	Dollar Change	Percent Change
GPR (Ongoing)	1,029,650,900	1,048,705,300	19,054,400	1.85%
Tuition	1,392,193,580	1,429,473,458	37,279,878	2.68%
Auxiliary Operations	744,108,269	747,359,461	3,251,192	0.44%
General Program Operations	258,246,875	288,270,314	30,023,439	11.63%
Federal Indirect Cost Reimbursement	149,717,255	154,134,451	4,417,196	2.95%
Gifts, Grants, and Contracts	1,213,164,006	1,218,790,433	5,626,427	0.46%
Other	1,272,346,595	1,262,231,986	-10,114,609	-0.79%
Total Ongoing Base Budget	6,059,427,480	6,148,965,403	89,537,923	1.48%
One Time Use of Tuition Balances	134,751,894	107,585,782	-27,166,112	-20.16%
GPR Lapse		-25,000,000	-25,000,000	
Total Operating Budget	6,194,179,374	6,231,551,185	37,371,811	0.60%

Total funding will increase \$89.5 million (1.48%) in ongoing (base) resources. When one-time funds and GPR lapses are included, the operating budget will increase \$37.4 million (.6%) from the prior year. Tuition revenue has the largest dollar increase (\$37.3 million). This increase is largely due to self-supporting programs, and nonresident and graduate rate increases at UW-Madison (see **Table B-2** for more details). General Program Operations has the largest percentage increase (11.6%). Institutions will utilize \$12.5 million of General Program Operations balances in the 2016-17 fiscal year. Information on institutional changes in General Program Operations can be found in **Table A-6**.

Historically, the UW System's GPR/Tuition budget has only reflected ongoing (base) resources. Lapses and planned use of carryover (one-time savings) were not included in the annual budget. The UW System began to budget one-time use of funds in 2015-16 in order to more transparently reflect the operating resources that institutions plan to utilize in a year. In addition, the UW System budgets financial aid through grants and loans that represent funding to students to cover the costs of tuition, room and board, and other expenses. This is done to reflect funding provided by the federal government and the state but leads to some duplication of revenue in the budget. This became more apparent when institutions were required to assume direct lending responsibilities in 2010-11.

The UW System's total budget will have increased from \$2.5 billion in 1994-95 to \$6.2 billion in 2016-17. Federal Direct Student Lending represents \$800 million of that increase. The graph that follows shows UW System funding over time for GPR excluding debt service, GPR Debt Service, Tuition Revenue, Other Funds excluding Direct Student Loans, and Direct Students Loans.



Note that funding for Direct Student Loans was added to many institutional budgets, as required, in 2010-11. As a result, 2010-11 total system funding increased by more than \$680 million.

Direct student lending provides resources to students to cover educational expenditures and does not increase the UW System's funding for instruction of students. Instructional funding comes primarily from tuition paid by students and families and state resources (GPR).

2016-17 GPR funding for the UW System, \$1,048,705,300, is lower than it was in 2007-08 when the UW budgeted \$1,128,380,267. When 2016-17 GPR debt service is removed, state funding of \$832.9 million is lower than it was in 1998-99 (\$842.1 million). Debt Service increased significantly since 2005-06, decreased in 2011-12 and then grew even more steeply afterwards, largely due to refinancing to support other state costs. The table below provides GPR funding including and excluding debt.

GPR Funding in millions (1997-98 to Present)

	<u>9798</u>	<u>9899</u>	<u>9900</u>	<u>0102</u>	<u>0304</u>	<u>0506</u>	<u>0708</u>	<u>0910</u>	<u>1112</u>	<u>1314</u>	<u>1516</u>	<u>1617</u>
GPR	879.8	910.6	961.1	1,067.4	1,002.8	991.4	1,128.4	1,139.8	1,001.5	1,151.4	1,029.7	1,048.7
Debt Service	72.5	68.5	88.5	94.6	99.3	120.3	134.4	151.5	98.4	235.9	227.2	215.8
GPR Excl Debt	807.3	842.1	872.6	972.8	903.5	871.1	994.0	988.4	903.1	915.5	802.4	832.9

Note: 2016-17 GPR includes \$25 million that must be lapsed back to the state.

2016-17 GPR/Tuition Changes

GPR/TUITION FUNDS			
Estimated Beginning Balance		\$	287,823,670
GPR	\$	1,048,705,300	
Tuition Revenue		1,429,473,458	
GPR Lapse		(25,000,000)	
Planned Expenditures		(2,560,764,540)	
Planned Use of Balances			(107,585,782)
Estimated Ending Balance		\$	180,237,888

GPR/Tuition revenues are estimated to be \$2,453,178,758, after a required lapse of \$25 million. Expenditures are estimated at \$2,560,764,540. As a result balances will decrease \$107,585,782.

Section B of the Operating Budget provides information on the changes in GPR and Tuition funding for the UW System. Information on the GPR/Tuition changes by institution can be found in **Table B-2**. The Annual Distribution Adjustments document, found on **Page 23**, describes the allocation of new or changed GPR/Tuition resources to UW institutions for the 2016-17 fiscal year.

Changes in GPR/Tuition funding for 2016-17 include:

- A decrease of \$11,403,100 in the Legislative budget primarily due to a reduction in GPR debt service.
- A \$25 million reduction to the base cut, from \$125 million in base funds to \$100 million in base. The \$25 million must be lapsed (returned to the state) in the 2016-17 fiscal year.
- An increase of \$5,457,500 for compensation and fringe benefits
- \$37,279,878 to increase academic fee (tuition) authority for existing differentials, self-supported programs and credit outreach.

The UW System's ongoing (base) GPR will increase by \$19.1 million (1.85%), with increases from the \$25 million reduction in the base cut, the increase from compensation and fringe benefits, and the reduction in GPR debt service. However, when adjusted for the requirement to lapse \$25 million back to the state, the actual GPR received in the 2016-17 fiscal year will decrease \$5.9 million (0.58%).

Estimated tuition revenue will increase by \$37.3 million (2.68%). The tuition revenue changes will vary by institution and are not the result of resident undergraduate rate increases. UW institutions plan to use \$107.6 million in one-time tuition balances (funding carried over from the prior year) during the fiscal year.

Table B-3 consolidates tuition, segregated fees, and room and board rates by institution for resident undergraduate students. This schedule is designed to show the mandatory cost of education for students along with the additional costs for a typical freshman who lives in a dormitory and participates in the meal plan. This table also includes the number of students at each institution that are expected to participate in the meal plan and contract for rooms. In most cases, these students represent less than one-third of the total headcount population at an

institution. For students at a four-year institution, the average increase for 2016-17 is 1.1% for tuition and segregated fees and 1.7% for room and board.

2016-17 Annual Tuition Rates

Tuition rates will, for the fourth year, remain frozen at the 2012-13 level for most resident undergraduate students within the UW-System. The 2015-17 biennial budget, Wisconsin Act 55, required a freeze on resident undergraduate tuition and differentials with the exception of UW-Stevens Point. UW-Stevens Point was allowed to implement a differential tuition increase if approved by its students through a referendum. UW-Stevens Point students approved a new differential in Fall 2015 and the Board of Regents approved the new tuition rate on December 11, 2015.

The Board of Regents approved nonresident and graduate tuition increases at the April 8, 2016 meeting for five UW System institutions. Nonresident and graduate increases for UW-Madison students were approved in April 2015.

As a result, no additional tuition rate changes are requested in this budget. Information on tuition changes and tuition rates for each UW institution for the 2016-17 fiscal year can be found in **Section C**.

Auxiliary Operations

AUXILIARY			
Estimated Beginning Balance		\$	247,252,476
Revenues	\$	719,563,956	
Planned Expenditures		(747,359,461)	
Planned Use of Balances			(27,795,505)
Estimated Ending Balance		\$	219,456,971

Auxiliary Operations revenues are estimated to be \$719,563,956. Expenditures are estimated at \$747,359,461. As a result balances will decrease \$27,795,505.

Recommended segregated fee rate increases for four-year institutions average \$59 for 2016-17, due to major projects previously approved by the Board, the need to maintain services with declining enrollments, and student initiated programming. For example, segregated fees will increase \$259 at UW-La Crosse. Funding for major projects that are implemented over several years will increase the fee by \$250. The last phase of implementation of a fee for a new student center is \$230 and an additional \$20 will fund the second of four increases for a fieldhouse.

Segregated fees at UW-Madison will increase \$72, including a student-initiated fee of \$59 to provide increased staffing, services and programming for University Health. See **Table D-3** for more information related to all changes in segregated fees.

Recommended segregated fee increases at the UW Colleges average \$12, largely due to the need to maintain programming during projected decreases in enrollment. Other cost drivers include student initiated programs and compensation costs.

Recommended room and board rates at the four-year institutions would increase an average 1.7%. Increases are primarily attributed to new and renovated residence halls, facility maintenance projects, and rising food costs.

The 2016-17 auxiliary operation budgets are anticipated to increase by 0.44%, which is less than the 1.8% change in 2015-16 (see **Table A-5**). Auxiliary Operations will increase \$3,251,192, from \$744,108,269 in 2015-16 to \$747,359,461. The changes for the current year are due primarily to major projects and student initiated or student supported programs.

Program Revenue Operations and Balances

GENERAL PROGRAM OPERATIONS			
Estimated Beginning Balance		\$	90,889,452
Revenues	\$	275,813,560	
Planned Expenditures		(288,270,314)	
Planned Use of Balances			(12,456,754)
Estimated Ending Balance			78,432,698

General Program Operations revenues are estimated to be \$275,813,560. Expenditures are estimated at \$288,270,314. As a result balances will decrease \$12,456,754.

FEDERAL INDIRECT REIMBURSEMENT			
Estimated Beginning Balance		\$	156,647,185.00
Revenues	\$	141,729,628	
Planned Expenditures		(154,134,451)	
Planned Use of Balances			(12,404,823)
Estimated Ending Balance			\$ 144,242,362.00

Federal Indirect Cost Reimbursement revenues are estimated at \$141,729,628. Expenditures are estimated at \$154,134,451. As a result balances will decrease \$12,404,823.

All Non-GPR/Tuition Funds, which include auxiliaries; federal and private gifts, grants, and contracts; other operating receipts; noncredit instruction; and trust funds will increase \$33.2 million. This is a .9% change from 2015-16, and will support 58.9% of the total budget. GPR (16.4%) and Tuition (24.6%) make up the remainder. The UW System plans to decrease unrestricted funds balances by \$160.2 million (20.5%), from \$782.6 million in 2015-16 to \$622.4 million in 2016-17. The greatest change is expected in the GPR/Tuition balance, which is estimated to decrease 30.8% from \$287.8 million to \$180.2 million. This is down \$371.3 million from the high level of \$551.5 million in 2012-13 (a 67% decrease).

A. BUDGET AND BALANCE SUMMARIES

BUDGET AND BALANCE SUMMARIES

The tables in this section provide information on institutional plans for the 2016-17 fiscal year, including estimated beginning and ending balances by fund source for unrestricted fund categories. Most of the tables compare 2015-16 funding to 2016-17. These tables show that UW institutions anticipate decreasing unrestricted program revenue balances by \$141 million, with the most significant declines in GPR/Tuition.

Table A-1 provides a comparison of the All Funds budget for the Colleges, Universities and UW Extension. The base (or ongoing) budget will increase \$89.5 million from 2015-16 to 2016-17. Institutions also plan to use \$107.6 million of tuition balances. The All Funds budget includes \$25 million of GPR that must be lapsed back to the state. The Total Operating Budget for 2016-17, including use of balances and excluding the lapse, is \$6,231,551,185.

Table A-2 provides system total information about the actual 2015-16 beginning balances, and estimated 2016-17 beginning balances, planned revenues, expenditures and ending balances. Balance estimates are provided for GPR/Tuition, Auxiliary Operations, General Program Operations and Federal Indirect Cost Reimbursement. The UW System plans to decrease unrestricted funds balances by \$160 million (20.5%), from \$782.6 million in 2015-16 to \$622.4 million in 2016-17. The greatest change is expected in Tuition balances, which is estimated to decrease 37.4%. By Board policy, balance information is not required for restricted funds.

Table A-3 breaks down **Table A-1** and provides information on the 2016-17 Total Funds budget by institution and fund type. This table shows the base budget (ongoing funding) of \$6,148,965,403 and the operating budget of \$6,231,551,185 after the \$25 million lapse and use of one time balances (\$107.5 m.).

Tables A-4 to A-7 provide information on institutional budgets, balances, and estimated revenues and expenditures for unrestricted funds (GPR/Tuition, Auxiliary Operations, General Program Operations and Federal Indirect Cost Reimbursement).

The GPR/Tuition budget (**Table A-4**) will increase 2.3% in the 2016-17 fiscal year. Balances are estimated to decrease from \$287.8 million to \$180.2 million. This is down \$371.3 million from the high level of \$551.5 million in 2012-13 (a 67% decrease). GPR/Tuition funds include state resources and funding from tuition and extension credit fees.

Auxiliary Operations (**Table A-5**) will increase by \$3.3 million (0.4%) from 2015-16. With expenditures exceeding revenue by \$27.8 million, institutions plan to utilize that amount of balances during the year. The estimated ending balance is \$219.5 million. Auxiliary Operations are self-supporting programs whose primary purposes is to provide services to students, staff, and occasionally the public. Residence halls, food service, unions, parking etc., are examples of auxiliary operations.

General Program Operations (**Table A-6**) will increase \$30.0 million (11.6%). Institutions plan to utilize \$12.5 million in balances during the year. General Program Operations include other self-supporting operations like print and copy shops, dairy sales, etc.

Federal Indirect Cost Reimbursement (**Table A-7**) will increase \$4.4 million (3.0%) with institutions planning to utilize \$12.4 million in balances.

Tables A-8 and A-9 show the change in institutional budgets for restricted funds (Gift/Grants and Contracts, and Other). Gifts, Grants and Contracts will increase \$5.6 million (0.5%) and Other Funds will decrease \$10.1 million (-0.8%).

TABLE A-1
University of Wisconsin System
2016-17 All Funds Annual Budget Change from 2015-16

	2015-16 Operating Base Budget	2016-17 Operating Base Budget	\$ Change in Operating Base	% Change in Operating Base	2016-17 Use of Balances	\$25 Million GPR Lapse	2016-17 Operating Budget
Madison	2,700,038,526	2,768,202,048	68,163,522	2.52%	15,511,050		2,783,713,098
Milwaukee	592,927,832	592,020,685	(907,147)	-0.15%	21,297,500		613,318,185
Eau Claire	193,796,078	197,693,235	3,897,157	2.01%	6,018,799		203,712,034
Green Bay	111,599,656	111,691,057	91,401	0.08%	4,437,766		116,128,823
La Crosse	199,052,501	196,909,275	(2,143,226)	-1.08%	3,733,186		200,642,461
Oshkosh	240,063,487	235,719,836	(4,343,651)	-1.81%	4,264,100		239,983,936
Parkside	85,512,276	86,637,014	1,124,738	1.32%	2,953,150		89,590,164
Platteville	164,358,653	171,622,621	7,263,968	4.42%	3,032,566		174,655,187
River Falls	119,450,600	116,993,324	(2,457,276)	-2.06%	2,941,000		119,934,324
Stevens Point	198,074,129	196,242,420	(1,831,709)	-0.92%	10,619,304		206,861,724
Stout	181,141,259	186,037,660	4,896,401	2.70%	4,144,270		190,181,930
Superior	61,916,316	61,627,466	(288,850)	-0.47%	2,999,942		64,627,408
Whitewater	229,945,297	232,039,791	2,094,494	0.91%	8,083,325		240,123,116
Colleges	117,128,788	118,989,630	1,860,842	1.59%	7,601,662		126,591,292
Extension	200,777,547	199,371,940	(1,405,607)	-0.70%	1,193,262		200,565,202
System Admin	11,254,046	11,257,492	3,446	0.03%	0		11,257,492
Systemwide (base) *	96,208,885	123,356,886	27,148,001	28.22%	8,754,900		132,111,786
Systemwide Lapse			0			(25,000,000)	(25,000,000)
Systemwide Net	96,208,885	123,356,886	27,148,001	28.22%	8,754,900	(25,000,000)	107,111,786
GPR/Tuition Fringe Benefits	556,181,604	542,553,023	(13,628,581)	-2.45%			542,553,023
Total	6,059,427,480	6,148,965,403	89,537,923	1.48%	107,585,782	(25,000,000)	6,231,551,185

* Includes the \$25 million GPR that is required to be lapsed in 2016-17

TABLE A-2
University of Wisconsin System
Budget and Balance Summary
(Estimated Expenditure Plan)

Fund Source Category	July 1, 2015 Actual Beginning Balance	July 1, 2016 Estimated Beginning Balance	2016-17 Estimated Revenues	2016-17 Estimated Expenditures	June 30, 2017 Ending Balance	Change
GPR/Tuition	337,355,516	287,823,670	2,453,178,758	(2,560,764,540)	180,237,888	-37.4%
Auxiliary Operations	240,387,829	247,252,476	719,563,956	(747,359,461)	219,456,971	-11.2%
General Program Operations	112,623,588	90,889,452	275,813,560	(288,270,314)	78,432,698	-13.7%
Subtotal	690,366,933	625,965,598	3,448,556,274	(3,596,394,315)	478,127,557	-23.6%
Federal Indirect Cost Reimbursement	167,972,823	156,647,185	141,729,628	(154,134,451)	144,242,362	-7.9%
Gifts, Grants and Contracts	*	*			-	
Other**	65,580,358	***			-	
Total	923,920,114	782,612,783	3,590,285,902	(3,750,528,766)	622,369,919	-20.5%

* Gifts, Grants and Contracts Beginning Balances are not included as they are externally restricted.

** July 1, 2015 Other Funds Beginning Balance does not include other restricted funds

*** For the purposes of the annual budget document, institutions were not asked to provide 2017 estimates for other funds, which are a combination of restricted and unrestricted resources.

TABLE A-3
University of Wisconsin System
2016-17 Annual Budget By Management Report Category and Institution

	GPR/Tuition Base	Auxiliary Operations	General Program Operations	Federal Indirect Cost Reimbursement	Gifts, Grants, and Contracts	Other Funds	Total Base	One-Time Use of Tuition Balances	\$25 Million GPR Lapse	Total Including Use of Balances
Madison	797,235,933	297,925,720	146,083,740	135,000,000	1,038,235,900	353,720,755	2,768,202,048	15,511,050		2,783,713,098
Milwaukee	229,628,266	91,963,378	12,954,505	8,378,719	58,189,531	190,906,286	592,020,685	21,297,500		613,318,185
Eau Claire	79,084,635	45,346,255	7,850,666	633,342	7,027,852	57,750,485	197,693,235	6,018,799		203,712,034
Green Bay	43,218,771	21,192,796	4,337,161	559,408	5,249,227	37,133,694	111,691,057	4,437,766		116,128,823
La Crosse	82,365,876	37,422,243	3,253,750	365,565	9,481,302	64,020,539	196,909,275	3,733,186		200,642,461
Oshkosh	78,050,298	44,636,097	11,054,184	550,928	12,781,745	88,646,584	235,719,836	4,264,100		239,983,936
Parkside	37,460,109	9,209,410	1,269,227	98,600	2,514,367	36,085,301	86,637,014	2,953,150		89,590,164
Platteville	64,772,721	33,351,815	10,601,800	170,200	4,236,775	58,489,310	171,622,621	3,032,566		174,655,187
River Falls	42,499,311	28,511,119	3,311,243	257,179	1,993,433	40,421,039	116,993,324	2,941,000		119,934,324
Stevens Point	59,858,837	44,236,158	12,577,485	560,628	8,326,236	70,683,076	196,242,420	10,619,304		206,861,724
Stout	68,350,088	33,696,319	14,996,811	851,735	6,514,283	61,628,424	186,037,660	4,144,270		190,181,930
Superior	28,572,586	6,919,673	1,361,708	341,134	3,033,185	21,399,180	61,627,466	2,999,942		64,627,408
Whitewater	88,167,834	40,738,097	10,386,422	427,864	5,175,260	87,144,314	232,039,791	8,083,325		240,123,116
Colleges	51,709,434	6,427,022	5,239,625	70,152	2,528,389	53,015,008	118,989,630	7,601,662		126,591,292
Extension	95,578,580	4,371,822	7,020,023	2,775,651	49,492,673	40,133,191	199,371,940	1,193,262		200,565,202
System Admin.	5,473,609	315,592	213,782	3,000,000	2,254,509	0	11,257,492	0		11,257,492
Systemwide Base	83,598,847	1,095,945	35,758,182	93,346	1,755,766	1,054,800	123,356,886	8,754,900		132,111,786
Systemwide Lapse							0		(25,000,000)	(25,000,000)
Systemwide Net	83,598,847	1,095,945	35,758,182	93,346	1,755,766	1,054,800	123,356,886	8,754,900	(25,000,000)	107,111,786
GPR/Tuition Fringe Benefits	542,553,023						542,553,023			542,553,023
Total	2,478,178,758	747,359,461	288,270,314	154,134,451	1,218,790,433	1,262,231,986	6,148,965,403	107,585,782	(25,000,000)	6,231,551,185
Percent of Total	40.3%	12.2%	4.7%	2.5%	19.8%	20.5%	100.0%			

GPR/Tuition Operating Budget Summary		% of GPR/Tuition Total	% of Total UW System Budget
GPR Base	1,048,705,300	41.0%	16.8%
GPR Lapse	(25,000,000)	-1.0%	
GPR Net	1,023,705,300	40.0%	16.4%
Tuition	1,429,473,458	55.8%	22.9%
Use of Balances	107,585,782	4.2%	1.7%
Total	2,560,764,540	100.0%	41.1%

TABLE A-4
University of Wisconsin System
2016-17 GPR/Tuition Budget and Balance Summary by Institution

	GPR/Tuition Budget						July 1, 2015 Actual Beginning Fund Balance	2016-17 ESTIMATIONS				Balance ** Commitments Beyond 2016-17
	2015-16 Operating Base	2016-17 Operating Base	Change	2016-17 Use of Balances	\$25 Million GPR Lapse	2016-17 Total Budget		July 1, 2016 Estimated Beginning Fund Balance	Estimated Revenues	Estimated Expenditures	June 30, 2017 Estimated Ending Fund Balance	
Madison	759,690,649	797,235,933	4.9%	15,511,050		812,746,983	71,104,967	65,259,328	797,235,933	(812,746,983)	49,748,278	50,104,967
Milwaukee	223,649,520	229,628,266	2.7%	21,297,500		250,925,766	34,635,899	27,097,500	229,628,266	(250,925,766)	5,800,000	7,700,000
Eau Claire	78,462,735	79,084,635	0.8%	6,018,799		85,103,434	10,321,824	9,399,709	79,084,635	(85,103,434)	3,380,910	1,532,436
Green Bay	43,086,730	43,218,771	0.3%	4,437,766		47,656,537	8,608,742	10,269,011	43,218,771	(47,656,537)	5,831,245	2,344,110
La Crosse	82,798,827	82,365,876	-0.5%	3,733,186		86,099,062	21,837,143	19,177,654	82,365,876	(86,099,062)	15,444,468	1,370,775
Oshkosh	77,460,127	78,050,298	0.8%	4,264,100		82,314,398	8,855,840	9,775,320	78,050,298	(82,314,398)	5,511,220	0
Parkside	37,158,865	37,460,109	0.8%	2,953,150		40,413,259	9,782,514	13,071,300	37,460,109	(40,413,259)	10,118,150	11,952,000
Platteville	63,434,184	64,772,721	2.1%	3,032,566		67,805,287	11,466,823	8,670,400	64,772,721	(67,805,287)	5,637,834	5,244,526
River Falls	42,004,411	42,499,311	1.2%	2,941,000		45,440,311	7,414,142	10,215,098	42,499,311	(45,440,311)	7,274,098	6,000,000
Stevens Point	60,412,880	59,858,837	-0.9%	10,619,304		70,478,141	11,436,598	12,627,034	59,858,837	(70,478,141)	2,007,730	6,713,300
Stout	65,001,036	68,350,088	5.2%	4,144,270		72,494,358	6,052,115	2,065,872	68,350,088	(72,494,358)	(2,078,398)	0
Superior	27,645,502	28,572,586	3.4%	2,999,942		31,572,528	1,765,727	4,730,985	28,572,586	(31,572,528)	1,731,043	0
Whitewater	87,396,165	88,167,834	0.9%	8,083,325		96,251,159	24,286,370	26,000,000	88,167,834	(96,251,159)	17,916,675	18,000,000
Colleges	49,955,565	51,709,434	3.5%	7,601,662		59,311,096	18,442,820	13,406,864	51,709,434	(59,311,096)	5,805,202	6,089,254
Extension*	98,712,525	95,578,580	-3.2%	1,193,262		96,771,842	7,049,035	6,408,063	95,578,580	(96,771,842)	5,214,801	1,102,720
System Admin.	5,473,609	5,473,609	0.0%	0		5,473,609	0	0	5,473,609	(5,473,609)	0	0
Systemwide Base	63,319,546	83,598,847	32.0%	8,754,900		92,353,747						
Systemwide Lapse					-25,000,000	-25,000,000						
Systemwide Net	63,319,546	83,598,847		8,754,900	-25,000,000	67,353,747	84,294,957	49,649,532	58,598,847	(67,353,747)	40,894,632	15,393,282
GPR/Tuition Fringe Benefits	556,181,604	542,553,023	-2.5%			542,553,023			542,553,023	(542,553,023)		
Total	2,421,844,480	2,478,178,758	2.3%	107,585,782	-25,000,000	2,560,764,540	337,355,516	287,823,670	2,453,178,758	(2,560,764,540)	180,237,888	133,547,370

* Credit Extension is budgeted at UW-Extension, while the fund balances are held at the individual institutions

**Balance Commitments Beyond 2016-17 include balances estimated to be categorized as Obligated, Planned, or Designated. Does not include balances estimated to be categorized as reserves

TABLE A-5
University of Wisconsin System
2016-17 Auxiliary Operations Budget and Balance Summary by Institution

	BUDGET			July 1, 2015 Actual Beginning Fund Balance	2016-17 ESTIMATIONS				Balance ** Commitments Beyond 2016-17
	2015-16 Auxiliary Operations	2016-17 Auxiliary Operations	Change		July 1, 2016 Beginning Fund Balance	Revenues	Expenditures	June 30, 2017 Ending Fund Balance	
Madison	288,343,474	297,925,720	3.3%	116,984,330	120,088,591	282,199,042	(297,925,720)	104,361,913	104,361,913
Milwaukee	98,672,029	91,963,378	-6.8%	16,855,091	16,600,000	91,963,378	(91,963,378)	16,600,000	16,600,000
Eau Claire	42,385,621	45,346,255	7.0%	16,902,566	24,658,251	39,018,220	(45,346,255)	18,330,216	12,839,562
Green Bay	22,821,217	21,192,796	-7.1%	7,318,451	6,201,352	19,612,671	(21,192,796)	4,621,227	3,074,447
La Crosse	41,732,442	37,422,243	-10.3%	18,446,576	11,852,401	39,940,243	(37,422,243)	14,370,401	7,230,492
Oshkosh	43,430,035	44,636,097	2.8%	19,299,107	18,697,847	33,665,015	(44,636,097)	7,726,765	20,876,570
Parkside	9,024,166	9,209,410	2.1%	(760,907)	(826,000)	8,687,410	(9,209,410)	(1,348,000)	0
Platteville	32,573,186	33,351,815	2.4%	6,193,679	8,217,376	32,881,115	(33,351,815)	7,746,676	7,746,676
River Falls	27,026,297	28,511,119	5.5%	9,434,332	5,040,000	28,371,119	(28,511,119)	4,900,000	4,704,000
Stevens Point	47,588,133	44,236,158	-7.0%	15,570,494	16,219,786	45,665,122	(44,236,158)	17,648,750	13,942,513
Stout	32,496,590	33,696,319	3.7%	(400,212)	4,218,146	33,263,383	(33,696,319)	3,785,210	2,235,210
Superior	6,589,763	6,919,673	5.0%	(1,376,458)	500,000	6,969,673	(6,919,673)	550,000	0
Whitewater	40,090,488	40,738,097	1.6%	9,250,269	10,000,000	45,738,097	(40,738,097)	15,000,000	7,000,000
Colleges	6,713,971	6,427,022	-4.3%	3,186,951	2,785,667	6,500,439	(6,427,022)	2,859,084	717,543
Extension	3,197,692	4,371,822	36.7%	2,902,893	2,656,916	3,910,253	(4,371,822)	2,195,347	2,859,723
System Admin.	316,501	315,592	-0.3%	194,339	30,038	335,554	(315,592)	50,000	50,000
Systemwide	1,106,664	1,095,945	-1.0%	386,328	312,105	843,222	(1,095,945)	59,382	59,382
Total	744,108,269	747,359,461	0.4%	240,387,829	247,252,476	719,563,956	(747,359,461)	219,456,971	204,298,031

**Balance Commitments Beyond 2016-17 include balances estimated to be categorized as Obligated, Planned, or Designated. Does not include balances estimated to be categorized as reserves.

TABLE A-6
University of Wisconsin System
2016-17 General Program Operations Budget and Balance Summary by Institution

	BUDGET			July 1, 2015 Actual Beginning Fund Balance	2016-17 ESTIMATIONS				Balance ** Commitments Beyond 2016-17
	2015-16 General Program Operations	2016-17 General Program Operations	Change		July 1, 2016 Beginning Fund Balance	Revenues	Expenditures	June 30, 2017 Ending Fund Balance	
Madison	131,709,105	146,083,740	10.9%	17,874,441	20,500,441	141,559,560	(146,083,740)	15,976,261	15,976,261
Milwaukee	12,221,231	12,954,505	6.0%	7,343,707	8,748,124	11,392,847	(12,954,505)	7,186,466	7,186,466
Eau Claire	6,082,946	7,850,666	29.1%	6,147,443	6,431,848	7,591,702	(7,850,666)	6,172,884	6,172,884
Green Bay	4,117,054	4,337,161	5.3%	2,808,206	2,498,092	3,446,730	(4,337,161)	1,607,661	1,723,945
La Crosse	3,063,780	3,253,750	6.2%	21,197,135	3,260,422	2,665,750	(3,253,750)	2,672,422	1,276,998
Oshkosh	18,510,955	11,054,184	-40.3%	13,804,016	10,667,289	10,770,848	(11,054,184)	10,383,953	548,940
Parkside	1,233,765	1,269,227	2.9%	1,269,715	1,378,000	1,257,227	(1,269,227)	1,366,000	200,000
Platteville	5,653,073	10,601,800	87.5%	1,101,004	748,525	10,561,500	(10,601,800)	708,225	708,225
River Falls	3,537,736	3,311,243	-6.4%	626,454	436,000	3,275,243	(3,311,243)	400,000	120,000
Stevens Point	6,579,047	12,577,485	91.2%	2,577,940	5,929,561	9,187,124	(12,577,485)	2,539,200	2,412,240
Stout	13,315,820	14,996,811	12.6%	7,609,047	6,270,326	14,726,485	(14,996,811)	6,000,000	5,250,000
Superior	1,565,724	1,361,708	-13.0%	341,095	800,000	1,411,708	(1,361,708)	850,000	0
Whitewater	9,845,929	10,386,422	5.5%	3,994,223	4,225,000	9,661,422	(10,386,422)	3,500,000	2,000,000
Colleges	4,968,564	5,239,625	5.5%	3,446,326	2,389,945	5,689,737	(5,239,625)	2,840,057	936,183
Extension	5,816,123	7,020,023	20.7%	1,448,832	1,208,498	6,699,047	(7,020,023)	887,522	592,811
System Admin.	212,885	213,782	0.4%	555,090	577,988	200,000	(213,782)	564,206	366,706
Systemwide	29,813,138	35,758,182	19.9%	20,478,914	14,819,393	35,716,630	(35,758,182)	14,777,841	14,777,841
Total	258,246,875	288,270,314	11.6%	112,623,588	90,889,452	275,813,560	(288,270,314)	78,432,698	60,249,500

**Balance Commitments Beyond 2016-17 include balances estimated to be categorized as Obligated, Planned, or Designated. Does not include balances estimated to be categorized as reserves.

TABLE A-7
University of Wisconsin System
2016-17 Federal Indirect Cost Reimbursement Budget and Balance Summary by Institution

	BUDGET			July 1, 2015 Actual Beginning Fund Balance	2016-17 ESTIMATIONS				Balance ** Commitments Beyond 2016-17
	2015-16 Federal Indirect Cost Reimbursement	2016-17 Federal Indirect Cost Reimbursement	Change		July 1, 2016 Beginning Fund Balance	Revenues	Expenditures	June 30, 2017 Ending Fund Balance	
Madison	130,690,583	135,000,000	3.3%	139,693,817	130,693,817	125,000,000	(135,000,000)	120,693,817	80,693,817
Milwaukee	8,375,161	8,378,719	0.0%	3,578,166	3,497,124	7,654,733	(8,378,719)	2,773,138	2,773,138
Eau Claire	462,887	633,342	36.8%	1,219,583	871,101	262,241	(633,342)	500,000	391,077
Green Bay	644,517	559,408	-13.2%	1,290,446	1,076,879	229,554	(559,408)	747,025	221,367
La Crosse	364,371	365,565	0.3%	721,218	595,954	285,565	(365,565)	515,954	0
Oshkosh	541,168	550,928	1.8%	1,533,118	1,223,553	1,174,007	(550,928)	1,846,632	0
Parkside	98,600	98,600	0.0%	138,922	143,000	98,600	(98,600)	143,000	0
Platteville	119,700	170,200	42.2%	287,826	363,600	156,600	(170,200)	350,000	14,300
River Falls	134,645	257,179	91.0%	319,054	245,000	257,179	(257,179)	245,000	245,000
Stevens Point	755,180	560,628	-25.8%	1,065,848	999,333	435,095	(560,628)	873,800	553,115
Stout	720,203	851,735	18.3%	576,230	424,155	827,580	(851,735)	400,000	357,500
Superior	191,702	341,134	78.0%	1,236,587	1,383,183	457,951	(341,134)	1,500,000	0
Whitewater	426,300	427,864	0.4%	812,054	835,000	192,864	(427,864)	600,000	0
Colleges	81,966	70,152	-14.4%	229,477	171,700	42,998	(70,152)	144,546	25,250
Extension	3,016,693	2,775,651	-8.0%	7,194,277	6,025,156	1,534,661	(2,775,651)	4,784,166	1,228,547
System Admin.	3,000,000	3,000,000	0.0%	7,926,538	8,015,323	3,100,000	(3,000,000)	8,115,323	0
Systemwide	93,579	93,346	-0.2%	149,662	83,307	20,000	(93,346)	9,961	9,961
Total	149,717,255	154,134,451	3.0%	167,972,823	156,647,185	141,729,628	(154,134,451)	144,242,362	86,513,072

**Balance Commitments Beyond 2016-17 include balances estimated to be categorized as Obligated, Planned, or Designated. Does not include balances estimated to be categorized as reserves.

TABLE A-8
University of Wisconsin System
2016-17 Gifts, Grants and Contracts
Budget Summary by Institution

	Gifts, Grants and Contracts		
	2015-16 Budget	2016-17 Budget	Change
Madison	1,036,668,215	1,038,235,900	0.2%
Milwaukee	58,215,331	58,189,531	0.0%
Eau Claire	6,920,919	7,027,852	1.5%
Green Bay	4,464,154	5,249,227	17.6%
La Crosse	9,261,782	9,481,302	2.4%
Oshkosh	13,820,949	12,781,745	-7.5%
Parkside	2,120,003	2,514,367	18.6%
Platteville	3,910,100	4,236,775	8.4%
River Falls	2,578,511	1,993,433	-22.7%
Stevens Point	8,638,820	8,326,236	-3.6%
Stout	5,437,107	6,514,283	19.8%
Superior	3,674,549	3,033,185	-17.5%
Whitewater	5,245,952	5,175,260	-1.3%
Colleges	2,393,714	2,528,389	5.6%
Extension	46,741,691	49,492,673	5.9%
System Admin.	2,251,051	2,254,509	0.2%
Systemwide	821,158	1,755,766	113.8%
Total	1,213,164,006	1,218,790,433	0.5%

TABLE A-9
University of Wisconsin System
2016-17 Other Funds Budget Summary by Institution

	Other Funds*		
	2015-16 Budget	2016-17 Budget	Change
Madison	352,936,500	353,720,755	0.2%
Milwaukee	191,794,560	190,906,286	-0.5%
Eau Claire	59,480,970	57,750,485	-2.9%
Green Bay	36,465,984	37,133,694	1.8%
La Crosse	61,831,299	64,020,539	3.5%
Oshkosh	86,300,253	88,646,584	2.7%
Parkside	35,876,877	36,085,301	0.6%
Platteville	58,668,410	58,489,310	-0.3%
River Falls	44,169,000	40,421,039	-8.5%
Stevens Point	74,100,069	70,683,076	-4.6%
Stout	64,170,503	61,628,424	-4.0%
Superior	22,249,076	21,399,180	-3.8%
Whitewater	86,940,463	87,144,314	0.2%
Colleges	53,015,008	53,015,008	0.0%
Extension	43,292,823	40,133,191	-7.3%
System Admin.	0	0	0.0%
Systemwide	1,054,800	1,054,800	0.0%
Total	1,272,346,595	1,262,231,986	-0.8%

* Includes Federal Direct Student Loans, Federal Financial Aid Grants, Program Revenue Debt Service, and Segregated State funds.

B. CHANGES IN GPR/TUITION FUNDING

CHANGES IN GPR/TUITION FUNDING AND STUDENT FEES

2016-17 GPR/Tuition Changes

The biennial budget includes the return of \$25 million of the \$125 million budget cut that was in place in 2015-16. However, the state budget requires the UW System to lapse the same amount back to the state, which will effectively have no impact on the institutional budgets of the Colleges, universities, and UW-Extension during this year. The budget reflects the higher GPR amount as a change to ongoing funding, but operating budgets have been decreased to reflect the fact that there are no expected expenditures on these funds.

Changes in GPR/Tuition funding for 2016-17 include:

- A decrease of \$11,403,100 in the legislative budget primarily due to a reduction in GPR debt service.
- A \$25 million reduction to the base cut, from \$125 million in base funds to \$100 million in base. The \$25 million must be lapsed (returned to the state) in the 2016-17 fiscal year.
- An increase of \$5,457,500 for compensation and fringe benefits.
- \$37,279,878 to adjust the budget for increases in academic fee (tuition) authority for existing differentials, self-supported programs and credit outreach.

Table B-1
GPR/Tuition Budget Changes from 2015-16 to 2016-17

	GPR	Tuition (Fees)	Total
2015-16 Operating Budget Document	\$1,029,650,900	\$1,392,193,580	\$2,421,844,480
Legislative Budget Changes	\$19,054,400	0	\$19,054,400
Academic Fee Funding Changes, including Credit Outreach		\$37,279,878	\$37,279,878
Net 2015-16 Changes	\$19,054,400	\$37,279,878	\$56,334,278
2016-17 GPR/Fee Base Budget	\$1,048,705,300	\$1,429,473,458	\$2,478,178,758
One-Time Balances and Lapses	(25,000,000)	107,585,782	\$82,585,782
2016-17 Budget	\$1,023,705,300	\$1,537,059,240	\$2,560,764,540

GPR will increase by \$19.1 million (1.85%), with increases from the \$25 million reduction in the base cut, the increase from compensation and fringe benefits, and the reduction in debt service. Estimated tuition revenue will increase by \$37.3 million (2.68%). The increases in academic fees include revenue from nonresident and graduate tuition increases and growth in revenue from self-supporting programs. UW institutions also plan to use \$107.6 million in one-time tuition balances during the fiscal year.

Table B-1 provides the detailed allocation of changes in GPR/Tuition funding by institution from 2015-16 to 2016-17. The \$25 million of restored budget cuts is placed in UW-Systemwide for the 2016-17 fiscal year and removed from planned expenditures in the one-time funding column. These resources will be added to institutional budgets in the 2017-18 budget once the lapse requirement is removed.

The Annual Distribution Adjustments document begins on **Page B-4** and provides information regarding how changes in GPR/Fee funds were allocated to institutions.

Tuition and Fee Charges for Resident Undergraduates Living on Campus

Table B-2 consolidates tuition, segregated fees, and most popular room and board rates by institution for resident undergraduate students. This schedule is designed to show the mandatory cost of education for students along with the additional costs for a typical freshman who lives in a dormitory and participates in the meal plan. This table also includes the number of students at each institution that are expected to participate in the meal plan and contract for rooms. In most cases, these students represent less than one-third of the total headcount population at an institution. For students at a four-year institution, the average increase for 2016-17 is 1.1% for tuition and segregated fees and 1.7% for room and board.

TABLE B-2
University of Wisconsin System
FY 2016-17 Annual Budget
Changes By Institution
GPR/Tuition

	2015-16 GPR/Tuition Ongoing Budget	Planned Tuition Revenue Increases	Re-Distribute 2015-16 \$125 Million Budget Reduction	Fringe Benefits Reallocations	Transfer from UW-Systemwide for Faculty Compensation	\$25 Million GPR Increase (to be Lapsed in 2016-17)	Other (1)	2016-17 GPR/Tuition Operating Base	Total Change	2016-17 Use of Balances	\$25 Million GPR Lapse	2016-17 GPR/Tuition Operating Base Plus Use of Balances
Madison	759,690,649	37,435,193	0	5,115,780	1,932,173	0	(6,937,862)	797,235,933	37,545,284	15,511,050		812,746,983
Milwaukee	223,649,520	(3,000,000)	3,081,863	2,121,000	692,834	0	3,083,049	229,628,266	5,978,746	21,297,500		250,925,766
Eau Claire	78,462,735	92,521	(13,928)	797,793	265,724	0	(520,210)	79,084,635	621,900	6,018,799		85,103,434
Green Bay	43,086,730	421,059	0	339,300	127,960	0	(756,278)	43,218,771	132,041	4,437,766		47,656,537
La Crosse	82,798,827	(509,302)	0	569,563	215,123	0	(708,335)	82,365,876	(432,951)	3,733,186		86,099,062
Oshkosh	77,460,127	0	505,345	680,070	257,004	0	(852,248)	78,050,298	590,171	4,264,100		82,314,398
Parkside	37,158,865	0	0	315,175	119,038	0	(132,969)	37,460,109	301,244	2,953,150		40,413,259
Platteville	63,434,184	1,681,854	557,107	505,540	145,380	0	(1,551,344)	64,772,721	1,338,537	3,032,566		67,805,287
River Falls	42,004,411	3,794	0	315,790	144,450	0	30,866	42,499,311	494,900	2,941,000		45,440,311
Stevens Point	60,412,880	(760,260)	204,306	733,496	217,636	0	(949,221)	59,858,837	(554,043)	10,619,304		70,478,141
Stout	65,001,036	3,600,000	0	531,863	200,830	0	(983,641)	68,350,088	3,349,052	4,144,270		72,494,358
Superior	27,645,502	0	0	212,710	80,383	0	633,991	28,572,586	927,084	2,999,942		31,572,528
Whitewater	87,396,165	817,508	0	619,673	217,588	0	(883,100)	88,167,834	771,669	8,083,325		96,251,159
Colleges	49,955,565	0	1,392,879	727,735	197,882	0	(564,627)	51,709,434	1,753,869	7,601,662		59,311,096
Extension	98,712,525	(3,773,739)	211,171	569,900	185,994	0	(327,271)	95,578,580	(3,133,945)	1,193,262		96,771,842
System Admin./Systemwide Base	68,793,155	0	0	263,200	(4,999,999)	25,000,000	16,100	89,072,456	20,279,301	8,754,900		97,827,356
System Admin./Systemwide Lapse								0	0		(25,000,000)	(25,000,000)
System Admin./Systemwide Net	68,793,155	0	0	263,200	(4,999,999)	25,000,000	16,100	89,072,456	20,279,301	8,754,900	(25,000,000)	72,827,356
System Total Excl FB	1,865,662,876	36,008,628	5,938,743	14,418,588	0	25,000,000	(11,403,100)	1,935,625,735	69,962,859	107,585,782	(25,000,000)	2,018,211,517
Fringe Benefits	556,181,604	1,271,250	(5,938,743)	(8,961,088)	0	0	0	542,553,023	(13,628,581)		0	542,553,023
System Total	2,421,844,480	37,279,878	0	5,457,500	0	25,000,000	(11,403,100)	2,478,178,758	56,334,278	107,585,782	(25,000,000)	2,560,764,540

1 - "Other" Includes: Financial Aid, Debt Service, Lease & Directed Moves; Distinguished Professor Non-Renewals

2016-17 UW SYSTEM ANNUAL DISTRIBUTION ADJUSTMENTS FOR CHANGES IN GPR/TUITION FUNDING

The State of Wisconsin budgets on a two-year budget cycle. Accordingly, the 2015-17 biennial budget will include funding for both the 2015-16 and 2016-17 fiscal years.

For fiscal year 2016-17, GPR/Tuition funding was increased or decreased in the following areas:

1. BASE BUDGET REALLOCATIONS OF UNFUNDED COSTS

The 2016-17 Annual Budget provides for the return to the institutions of \$15,573,100, which was reallocated in 2015-16 to cover unfunded fringe benefits costs from 2014-15 and 2015-16. Costs were actually lower in 2015-16, so the funds are being restored to the institutions. The return of funding was distributed to the institution in the same manner as the reallocation was distributed in 2015-16 (based on each institution's share of the UW System's 2014-15 GPR/Tuition budget excluding debt service, utilities, financial aid, separately budgeted academic tuition, and Credit Extension programs).

The distribution by institution is shown in the table below:

Institution	2016-17 Return of 2014-15 and 2015-16 Unfunded Fringe Benefits
Madison	5,916,400
Milwaukee	2,121,000
Eau Claire	813,000
Green Bay	392,400
La Crosse	658,700
Oshkosh	786,500
Parkside	364,500
Platteville	445,500
River Falls	442,200
Stevens Point	666,500
Stout	615,100
Superior	246,000
Whitewater	666,500
Colleges	605,700
Extension	569,900
Systemwide	263,200
Total	15,573,100

2. LAWTON UNDERGRADUATE MINORITY RETENTION GRANT/ADVANCED OPPORTUNITY PROGRAM (AOP)

The budget flat funds the Lawton Undergraduate Minority Retention Grant and the Advanced Opportunity Program in 2016-17. Funding for the AOP will be based on each institution's proportion of a three-year rolling average headcount of the statutorily-designated eligible population of minority/disadvantaged graduate students.

The Lawton Grant allocation will reflect the second year when the allocation methodology will mirror program eligibility (three-year rolling average of Wisconsin resident undergraduates from eligible populations who are registered full-time).

3. TUITION ASSISTANCE GRANT (TAG)

The Tuition Assistance Grant program was designed to provide grants to students from families with income of less than \$60,000, who did not receive a Wisconsin Grant award from the Higher Educational Aids Board (HEAB), had unmet financial need and had been continuously enrolled since 2012-13. All students enrolled in the program have completed eligibility. Funding in 2016-17 will be allocated based on the 2014-15 proportion of Pell Grants (dollars) for Wisconsin undergraduate students with expected family contributions below \$4,001 at each institution.

5. DEBT SERVICE

The budget is decreased by \$11,433,500 to \$215,774,700 in 2016-17 for debt service. The allocation of debt service is prorated by institution based upon 2014-15 actual expenditures.

TABLE B-3
UNIVERSITY OF WISCONSIN SYSTEM
2016-17 CONSOLIDATED SCHEDULE OF TUITION, SEGREGATED FEES, AND ROOM AND BOARD
Reflecting the Typical Costs of a Resident Freshman Living on Campus
Doctoral and Comprehensive Universities

Campus	FY16 Tuition	FY17 Tuition	Change	FY16 Seg Fee	FY17 Seg Fee	Change	FY16 Room Rate	FY17 Room Rate	Change	FY16 Meal Plan	FY17 Meal Plan	Change	FY16 Total	FY17 Total	Total Increase	Total % Increase	# of Room Contracts	# of Meal Plans	Fall Headcount
Madison	9,273	9,273	0	1,142	1,215	73	5,796	5,999	203	3,032	3,075	43	19,243	19,562	319	1.7%	7,532	7,532	43,381
Milwaukee	8,091	8,091	0	1,338	1,402	64	5,270	5,320	50	3,908	4,006	98	18,607	18,819	212	1.1%	2,524	3,586	27,156
Eau Claire	7,361	7,361	0	1,261	1,272	11	3,911	4,185	274	3,256	2,800	(456)	15,789	15,618	(171)	-1.1%	3,887	3,316	9,894
Green Bay	6,298	6,298	0	1,526	1,580	54	4,000	4,120	120	2,200	2,200	0	14,024	14,198	174	1.2%	493	688	6,528
La Crosse	7,585	7,585	0	1,073	1,332	259	3,500	3,605	105	2,350	2,420	70	14,508	14,942	434	3.0%	3,453	3,255	10,408
Oshkosh	6,422	6,422	0	1,065	1,122	57	4,096	4,220	124	2,730	2,810	80	14,313	14,574	261	1.8%	2,971	3,500	14,059
Parkside	6,298	6,298	0	1,043	1,069	26	4,406	4,406	0	2,446	2,532	86	14,193	14,305	112	0.8%	778	1,387	4,442
Platteville	6,418	6,418	0	915	911	(4)	3,970	3,970	0	3,160	3,160	0	14,463	14,459	(4)	0.0%	3,636	3,718	7,185
River Falls	6,428	6,428	0	1,357	1,396	39	4,035	4,136	101	2,389	2,389	0	14,209	14,349	140	1.0%	2,220	2,603	5,958
Stevens Point(2)	6,298	6,698	400	1,193	1,282	89	4,098	4,260	162	2,785	2,829	44	14,374	15,069	695	4.8%	3,368	3,170	9,231
Stout (1)	7,020	7,020	0	1,038	1,077	39	3,960	4,040	80	2,544	2,584	40	14,562	14,721	159	1.1%	3,013	3,031	9,371
Superior	6,535	6,535	0	1,501	1,552	51	3,595	3,695	100	2,490	2,570	80	14,121	14,352	231	1.6%	767	716	2,200
Whitewater	6,519	6,519	0	956	966	10	3,784	3,876	92	2,430	2,450	20	13,689	13,811	122	0.9%	4,044	4,223	12,351
Average	6,965	6,996	31	1,185	1,244	59	4,186	4,295	109	2,748	2,756	8	15,084	15,291	206	1.4%	38,686	40,725	162,164

(1) UW-Stout is the only UW institution to charge a per-credit tuition rate. The full-time tuition rate shown is the per-credit rate multiplied by 15 credits per semester. The actual tuition increase paid by a student will vary based on the number of credits taken.

(2) The UW-Stevens Point rate reflects the tuition that will be paid by freshman and sophomore students beginning in 2016-17. Juniors will pay \$200 less and tuition for seniors will remain at 2015-16 levels.

UNIVERSITY OF WISCONSIN SYSTEM
2016-17 CONSOLIDATED SCHEDULE OF TUITION, SEGREGATED FEES, AND ROOM AND BOARD
Reflecting the Typical Costs of a Resident Freshman Living on Campus
UW Colleges

Campus	FY16 Tuition	FY17 Tuition	Change	FY16 Seg Fee	FY17 Seg Fee	Change	FY16 Room Rate	FY17 Room Rate	Change	FY16 Meal Plan	FY17 Meal Plan	Change	FY16 Total	FY17 Total	Total Increase	Total % Increase	# of Room Contracts	# of Meal Plans	Fall Headcount
Baraboo	4,750	4,750	0	452	482	30							5,202	5,232	30	0.6%			
Barron	4,750	4,750	0	434	464	30							5,184	5,214	30	0.6%			
Fond du Lac	4,750	4,750	0	459	458	(1)							5,209	5,208	(1)	0.0%			
Fox Valley	4,750	4,750	0	279	284	5							5,029	5,034	5	0.1%			
Manitowoc	4,750	4,750	0	358	372	14							5,108	5,122	14	0.3%			
Marathon	4,750	4,750	0	382	412	30	2,978	3,008	30	1,946	2,006	60	10,056	10,176	120	1.2%	139	139	1,000
Marquette	4,750	4,750	0	355	355	(0)	3,900	3,900	-	-	-	-	9,005	9,005	(0)	0.0%	64		500
Marshfield	4,750	4,750	0	392	407	15							5,142	5,157	15	0.3%			
Richland	4,750	4,750	0	580	569	(11)							5,330	5,319	(11)	-0.2%			
Rock Cty	4,750	4,750	0	379	387	8							5,129	5,137	8	0.2%			
Sheboygan	4,750	4,750	0	386	386	(0)							5,136	5,136	(0)	0.0%			
Washington	4,750	4,750	0	350	350	(0)							5,100	5,100	(0)	0.0%			
Waukesha	4,750	4,750	0	362	395	33							5,112	5,145	33	0.6%			
Average	4,750	4,750	0	398	409	12	3,439	3,454	15	973	1,003	30	5,826	5,845	19	0.3%	203	139	1,500

C. ACADEMIC TUITION

2016-17 TUITION

The 2015-17 biennial budget (Act 55) restricted the Board of Regents' authority to increase the tuition on resident undergraduate students during the biennium as follows:

“Notwithstanding section 36.27 (1) (a) of the statutes, and except as provided in subsection (4d), the Board of Regents of the University of Wisconsin System may not charge resident undergraduates enrolled in an institution or college campus in the 2015-16 or 2016-17 academic year more in academic fees than it charged resident undergraduates enrolled in that institution or college campus in the 2014-15 academic year.”

However, the Board retains tuition authority for nonresident, graduate, and professional students. At its April meeting, the Board approved nonresident and graduate tuition proposals from UW-La Crosse, UW-Milwaukee, UW-Platteville, UW-Stout, and UW-Whitewater. These rates are included in the tuition schedules shown in Tables C-1 and C-2.

The Board has previously delegated tuition-setting authority to institutions for distance education and service-based pricing programs that primarily serve nontraditional student populations. UW institutions may increase nonresident and graduate tuition rates for these programs in 2016-17 as appropriate. Tuition rates for resident undergraduate students in these programs may not increase this year.

DIFFERENTIAL TUITION

Since 1997, the Board has had the ability to implement differential tuition programs. Differential tuition is an amount charged on top of base tuition, and separately approved by the Board, to support additional services and programming for students. Differential tuition can be charged to all students enrolled at an institution; to a particular category of students, such as all undergraduates; or to students enrolled in certain programs. The list of the current differential tuition programs is attached as **Appendix A**.

The 2015-17 biennial budget included a provision that allowed the Board of Regents to adopt a UW-Stevens Point differential if approved by the students (Wis. Act 55 Section 9148(4d)). The new differential, called the Pointer Partnership, was approved by the Board in December 2015. The Pointer Partnership has a three-year implementation process. Upper class students pay less than their freshman and sophomore peers. This has been reflected in UW-Stevens Point's section of the tuition schedule shown in **Table C-1** and under **Appendix A**.

In 2009, the Board delegated tuition authority to UW-Platteville for Tri-State Initiative differential pricing. Currently, UW-Platteville charges qualifying undergraduate students from Illinois and Iowa \$4,600 more than resident tuition. For the Board's information, UW-Platteville will charge Tri-State students \$4,700 more than resident tuition in 2016-17.

NEW PROGRAM TUITION

The tuition schedule does not include programs approved through the Education Committee. The programs that are not listed include, but are not limited to, distance education programs and

collaborative programs. A full listing of program rates and fees will be available with the annual tuition and fee report in October.

PEER COMPARISONS

The following tables compare tuition and required fees at UW Institutions to their peers in 2015-16. Generally, tuition and fees increased by more at peer institutions than they did at UW institutions. UW-Madison, UW-Milwaukee and the comprehensives saw the largest increase in the gap between the peer midpoint and their respective resident undergraduate tuition. The peer comparison illustrates that the University of Wisconsin as a system continues to offer tuition at a very reasonable rate compared to institutional peers.

University of Wisconsin-Madison 2015-16 Peers

	Resident Undergraduate		Nonresident Undergraduate		Resident Graduate		Nonresident Graduate	
	2014-15	2015-16	2014-15	2015-16	2014-15	2015-16	2014-15	2015-16
University of Wisconsin-Madison	\$10,410	\$10,415	\$26,660	\$29,665	\$11,865	\$11,870	\$25,191	\$25,196
Peer Average excluding UW-Madison	\$12,269	\$12,426	\$30,076	\$30,896	\$14,022	\$14,311	\$29,397	\$30,215
Peer Midpoint excluding UW-Madison	\$11,974	\$12,089	\$29,628	\$30,075	\$13,965	\$14,274	\$29,612	\$30,018
UW-Madison Distance from Midpoint	(\$1,564)	(\$1,674)	(\$2,968)	(\$410)	(\$2,100)	(\$2,404)	(\$4,421)	(\$4,822)
UW-Madison's Peer Rank	6/11	6/11	8/11	6/11	7/11	7/11	9/11	10/11

University of Wisconsin-Milwaukee 2015-16 Peers

	Resident Undergraduate		Nonresident Undergraduate		Resident Graduate		Nonresident Graduate	
	2014-15	2015-16	2014-15	2015-16	2014-15	2015-16	2014-15	2015-16
University of Wisconsin-Milwaukee	\$9,391	\$9,429	\$19,120	\$19,603	\$11,687	\$11,725	\$24,152	\$24,762
Peer Average excluding UW-Milwaukee	\$10,816	\$11,067	\$23,124	\$23,621	\$12,249	\$12,578	\$22,943	\$23,400
Peer Midpoint excluding UW-Milwaukee	\$10,346	\$10,627	\$23,753	\$24,756	\$12,166	\$12,553	\$23,023	\$24,489
UW-Milwaukee Distance from Midpoint	(\$955)	(\$1,198)	(\$4,633)	(\$5,153)	(\$479)	(\$828)	\$1,129	\$273
UW-Milwaukee's Peer Rank	12/15	12/15	12/15	12/15	9/15	10/15	6/15	6/15

University of Wisconsin Comprehensive Institutions 2015-16 Peers

	Resident Undergraduate		Nonresident Undergraduate		Resident Graduate		Nonresident Graduate	
	2014-15	2015-16	2014-15	2015-16	2014-15	2015-16	2014-15	2015-16
University of Wisconsin Comprehensive Average	\$7,976	\$8,029	\$15,552	\$15,915	\$8,537	\$8,697	\$17,403	\$17,734
Average excluding UW Comprehensive Average	\$9,150	\$9,432	\$17,891	\$18,125	\$9,195	\$9,606	\$15,858	\$16,456
Midpoint excluding UW Comprehensive Average	\$8,769	\$8,900	\$16,921	\$17,718	\$8,736	\$8,977	\$15,353	\$15,798
UW Comprehensive Distance from Midpoint	(\$793)	(\$871)	(\$1,369)	(\$1,802)	(\$199)	(\$280)	\$2,050	\$1,936
UW Comprehensive Average Peer Rank	23/35	25/35	24/35	24/35	19/35	20/35	15/35	15/35

Table C-1

**University of Wisconsin System
2016-17
Tuition Schedule**

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Madison</u>			
Resident			
Undergraduate	\$9,273	\$4,637	\$2,318
Bachelor's of Business Administration	\$10,273	\$5,137	\$2,568
Certificate in Business	\$9,573	\$4,787	\$2,393
Engineering	\$10,673	\$5,337	\$2,668
Graduate	\$10,728	\$5,364	\$2,682
Business Masters ²	\$14,476	\$7,238	\$3,619
Law School	\$20,235	\$10,118	\$5,059
Medical School	\$26,117	\$13,058	N/A
Veterinary School	\$19,676	\$9,838	\$4,919
Pharmacy	\$16,521	\$8,260	\$4,130
Doctor of Nursing Practice ³	\$14,809	N/A	N/A
Nonresident			
Undergraduate	\$31,523	\$15,762	\$7,881
Undergraduate - International	\$32,523	\$16,262	\$8,131
Bachelor's of Business Administration	\$32,523	\$16,262	\$8,131
Bachelor's of Business Administration - International	\$33,523	\$16,762	\$8,381
Certificate in Business	\$31,823	\$15,912	\$7,956
Certificate in Business - International	\$32,823	\$16,412	\$8,206
Engineering	\$32,923	\$16,461	\$8,231
Engineering - International	\$33,923	\$16,962	\$8,481
Graduate	\$24,054	\$12,027	\$6,014
Business Masters ²	\$29,293	\$14,646	\$7,323
Law School	\$38,932	\$19,466	\$9,733
Medical School	\$36,013	\$18,006	N/A
Veterinary School	\$29,769	\$14,885	\$7,442
Pharmacy	\$30,100	\$15,050	\$7,525
Doctor of Nursing Practice ³	\$32,068	N/A	N/A
<u>UW-Milwaukee</u>			
Resident			
Undergraduate	\$8,091	\$4,046	\$2,023
Graduate	\$10,387	\$5,193	\$2,597
Communication Science and Disorders	\$12,464	\$6,232	\$3,116
Occupational Therapy	\$12,464	\$6,232	\$3,116
Business Masters	\$12,740	\$6,370	\$3,185
Nonresident			
Undergraduate	\$18,449	\$9,224	\$4,612
MSEP - Undergraduate	\$12,137	\$6,068	\$3,034
Graduate	\$23,424	\$11,712	\$5,856
Communication Science and Disorders	\$28,245	\$14,123	\$7,061
Occupational Therapy	\$28,245	\$14,123	\$7,061
Business Masters	\$26,294	\$13,147	\$6,574

Table C-1 (Continued)

**University of Wisconsin System
2016-17
Tuition Schedule**

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Milwaukee (Continued)</u>			
Resident and Nonresident Students⁴			
Sheldon B. Lubar School of Business Administration		\$21	\$21
College of Engineering and Applied Science		\$22	\$22
College of Nursing		\$32	\$32
Peck School of the Arts		\$22	\$22
School of Architecture 100 Level Courses		\$12	\$12
School of Architecture 200-800 Level Courses		\$43	\$43
<u>UW-Eau Claire</u>			
Resident			
Undergraduate	\$7,361	\$3,681	\$1,840
Material Science and Engineering	\$8,761	\$4,381	\$2,190
Graduate ⁵	\$7,640	\$3,820	\$2,122
Business Masters	\$8,195	\$4,097	\$2,276
Nonresident			
Undergraduate	\$14,934	\$7,467	\$3,734
Return to Wisconsin Program	\$11,466	\$5,733	\$2,867
MSEP - Undergraduate	\$10,511	\$5,255	\$2,628
Material Science and Engineering	\$16,334	\$8,167	\$4,084
Return to Wisconsin - Material Science and Engineering	\$12,516	\$6,258	\$3,129
MSEP - Material Science and Engineering	\$12,610	\$6,305	\$3,153
Graduate ⁵	\$16,771	\$8,386	\$4,659
MSEP - Graduate	\$11,461	\$5,730	\$3,184
Business Masters	\$17,351	\$8,676	\$4,820
MSEP - Business Masters	\$12,015	\$6,007	\$3,337
<u>UW-Green Bay</u>			
Resident			
Undergraduate	\$6,298	\$3,149	\$1,575
Engineering Technology	\$7,698	\$3,849	\$1,925
Graduate ⁵	\$7,640	\$3,820	\$2,122
Nonresident			
Undergraduate	\$13,871	\$6,936	\$3,468
Return to Wisconsin	\$10,404	\$5,202	\$2,601
MSEP - Undergraduate	\$9,448	\$4,724	\$2,362
Engineering Technology	\$15,271	\$7,636	\$3,818
Return to Wisconsin - Engineering Technology	\$11,454	\$5,727	\$2,863
MSEP - Engineering Technology	\$11,547	\$5,774	\$2,887
Graduate ⁵	\$16,771	\$8,386	\$4,659
MSEP - Graduate	\$11,461	\$5,730	\$3,184

Table C-1 (Continued)

**University of Wisconsin System
2016-17
Tuition Schedule**

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-La Crosse</u>			
Resident			
Undergraduate	\$7,585	\$3,792	\$1,896
Graduate	\$8,483	\$4,242	\$2,356
Occupational Therapy	\$10,152	\$5,076	\$2,820
Business Masters	\$9,037	\$4,519	\$2,510
Physical Therapy/Physician Assistant	\$10,152	\$5,076	\$2,820
Physical Therapy - Doctoral Program	\$11,329	\$5,665	\$2,832
Nonresident			
Undergraduate	\$16,106	\$8,053	\$4,027
Return to Wisconsin	\$12,402	\$6,201	\$3,100
MSEP - Undergraduate	\$10,734	\$5,367	\$2,684
Graduate	\$18,454	\$9,227	\$5,126
MSEP - Graduate	\$12,655	\$6,327	\$3,515
Occupational Therapy	\$22,117	\$11,058	\$6,144
Business Masters	\$19,034	\$9,517	\$5,287
MSEP - Bus Masters	\$13,209	\$6,604	\$3,669
Physical Therapy/Physician Assistant	\$22,117	\$11,058	\$6,144
Physical Therapy - Doctoral Program	\$24,942	\$12,471	\$6,235
<u>UW-Oshkosh</u>			
Resident			
Undergraduate	\$6,422	\$3,211	\$1,606
Engineering Technology	\$7,822	\$3,911	\$1,956
Graduate ⁵	\$7,640	\$3,820	\$2,122
Business Masters	\$8,195	\$4,097	\$2,276
Nonresident			
Undergraduate	\$13,995	\$6,998	\$3,499
Return to Wisconsin Program	\$10,527	\$5,264	\$2,632
MSEP - Undergraduate	\$9,571	\$4,786	\$2,393
Engineering Technology	\$15,395	\$7,698	\$3,849
Return to Wisconsin - Engineering Technology	\$11,577	\$5,789	\$2,894
MSEP - Engineering Technology	\$11,671	\$5,836	\$2,918
Graduate ⁵	\$16,771	\$8,386	\$4,659
MSEP - Graduate	\$11,461	\$5,730	\$3,184
Business Masters	\$17,351	\$8,676	\$4,820
MSEP - Business Masters	\$12,015	\$6,007	\$3,337
<u>UW-Parkside</u>			
Resident			
Undergraduate	\$6,298	\$3,149	\$1,575
Graduate	\$7,870	\$3,935	\$2,186
Business Masters	\$8,195	\$4,097	\$2,276
Nonresident			
Undergraduate	\$14,287	\$7,144	\$3,572
Return to Wisconsin	\$10,716	\$5,358	\$2,679
MSEP - Undergraduate	\$9,448	\$4,724	\$2,362
Graduate	\$17,274	\$8,637	\$4,798
MSEP - Graduate	\$11,804	\$5,902	\$3,279
Business Masters	\$17,351	\$8,676	\$4,820
MSEP - Business Masters	\$12,129	\$6,065	\$3,369

Table C-1 (Continued)

**University of Wisconsin System
2016-17
Tuition Schedule**

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Platteville</u>			
Resident			
Undergraduate	\$6,418	\$3,209	\$1,605
Graduate ⁵	\$7,640	\$3,820	\$2,122
Master of Science in Computer Science	\$9,000	\$4,500	\$2,500
School of Education ⁶		\$510	\$510
Nonresident			
Undergraduate	\$14,268	\$7,134	\$3,567
Undergraduate Tri-State Initiative	\$11,118	\$5,559	\$2,780
Undergraduate-International	\$15,269	\$7,634	\$3,817
MSEP - Undergraduate ⁷	\$9,567	\$4,784	\$2,392
Graduate ⁵	\$16,771	\$8,386	\$4,659
Master of Science in Computer Science	\$18,000	\$9,000	\$5,000
School of Education ⁶		\$510	\$510
<u>UW-River Falls</u>			
Resident			
Undergraduate	\$6,428	\$3,214	\$1,607
Graduate ⁵	\$7,640	\$3,820	\$2,122
Master of Science in Communicative Disorders ⁶		\$424	\$424
Master of Science in Computer Science ⁶		\$692	\$692
Master of Clinical Exercise Physiology ⁶		\$500	\$500
Nonresident			
Undergraduate	\$14,001	\$7,001	\$3,500
Return to Wisconsin Program	\$10,534	\$5,267	\$2,633
MSEP - Undergraduate	\$9,578	\$4,789	\$2,394
Graduate ⁵	\$16,771	\$8,386	\$4,659
Master of Science in Communicative Disorders ⁶		\$932	\$932
Master of Science in Computer Science ⁶		\$692	\$692
Master of Clinical Exercise Physiology ⁶		\$500	\$500
<u>UW-Stevens Point</u>			
Resident			
Undergraduate (Freshmen and Sophomores)	\$6,698	\$3,349	\$1,675
Undergraduate (Juniors)	\$6,498	\$3,249	\$1,625
Undergraduate (Seniors)	\$6,298	\$3,149	\$1,575
Graduate	\$7,870	\$3,935	\$2,186
Collaborative Audiology	\$10,728	\$5,364	\$2,682
Nonresident			
Undergraduate (Freshmen and Sophomores)	\$14,965	\$7,482	\$3,741
Undergraduate (Juniors)	\$14,765	\$7,382	\$3,691
Undergraduate (Seniors)	\$14,565	\$7,282	\$3,641
Return to Wisconsin (Freshmen and Sophomores)	\$11,324	\$5,662	\$2,831
Return to Wisconsin (Juniors)	\$11,124	\$5,562	\$2,781
Return to Wisconsin (Seniors)	\$10,924	\$5,462	\$2,731
MSEP - Undergraduate (Freshmen and Sophomores)	\$9,848	\$4,924	\$2,462
MSEP - Undergraduate (Juniors)	\$9,648	\$4,824	\$2,412
MSEP - Undergraduate (Seniors)	\$9,448	\$4,724	\$2,362

Table C-1 (Continued)

**University of Wisconsin System
2016-17
Tuition Schedule**

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Stevens Point (Continued)</u>			
Nonresident			
Graduate ⁵	\$17,274	\$8,637	\$4,798
MSEP - Graduate	\$11,804	\$5,902	\$3,279
Collaborative Audiology	\$24,054	\$12,027	\$6,014
<u>UW-Stout⁸</u>			
Resident			
Undergraduate		\$234	\$234
Mechanical Engineering		\$292	\$292
Graduate		\$382	\$382
M.S. Applied Psychology		\$382	\$382
M.S. Clinical Mental Health Counseling		\$382	\$382
M.S. Food and Nutrition Sciences		\$382	\$382
M.S. Marriage and Family Therapy		\$382	\$382
M.S. School Counseling		\$382	\$382
M.S. School Psychology		\$382	\$382
Ed.S. School Psychology		\$382	\$382
M.S. Vocational Rehabilitation, Rehabilitation Counseling		\$382	\$382
Nonresident			
Undergraduate		\$492	\$492
Return to Wisconsin		\$372	\$372
MSEP - Undergraduate		\$345	\$345
Mechanical Engineering		\$550	\$550
Return to Wisconsin - Mechanical Engineering		\$416	\$416
MSEP - Mechanical Engineering		\$433	\$433
Graduate		\$810	\$810
MSEP - Graduate		\$565	\$564
M.S. Applied Psychology		\$810	\$810
MSEP - M.S. Applied Psychology		\$565	\$565
M.S. Clinical Mental Health Counseling		\$810	\$810
MSEP - M.S. Clinical Mental Health Counseling		\$565	\$565
M.S. Food and Nutrition Sciences		\$810	\$810
MSEP - M.S. Food and Nutrition Sciences		\$565	\$565
M.S. Marriage and Family Therapy		\$810	\$810
MSEP - M.S. Marriage and Family Therapy		\$565	\$565
M.S. School Counseling		\$810	\$810
MSEP - M.S. School Counseling		\$565	\$565
M.S. School Psychology		\$810	\$810
MSEP - M.S. School Psychology		\$565	\$565
Ed.S. School Psychology		\$810	\$810
MSEP - Ed.S. School Psychology		\$565	\$565
M.S. Vocational Rehabilitation, Rehab. Counseling		\$810	\$810
MSEP - M.S. Vocational Rehabilitation, Rehab. Counseling		\$565	\$565

Table C-1 (Continued)

**University of Wisconsin System
2016-17
Tuition Schedule**

	Annual Tuition	Semester Tuition	Summer Tuition¹
<u>UW-Superior</u>			
Resident			
Undergraduate	\$6,535	\$3,268	\$1,634
Graduate ⁵	\$7,640	\$3,820	\$2,122
Nonresident			
Undergraduate	\$14,108	\$7,054	\$3,527
MSEP - Undergraduate	\$9,685	\$4,842	\$2,421
Graduate ⁵	\$16,771	\$8,386	\$4,659
MSEP - Graduate	\$11,461	\$5,730	\$3,184
Resident and Nonresident Students⁴			
Natural Sciences Department		\$12	\$12
<u>UW-Whitewater</u>			
Resident			
Undergraduate	\$6,519	\$3,259	\$1,630
Graduate	\$7,949	\$3,975	\$2,208
Business Masters	\$8,526	\$4,263	\$2,368
Online MBA	\$11,474	\$5,737	\$3,187
Doctorate of Business Administration ⁶		\$1,300	\$1,300
Nonresident			
Undergraduate	\$15,092	\$7,546	\$3,773
Return to Wisconsin Program	\$11,374	\$5,687	\$2,843
MSEP - Undergraduate	\$9,668	\$4,834	\$2,417
Graduate	\$17,448	\$8,724	\$4,847
MSEP - Graduate	\$11,924	\$5,962	\$3,312
Business Masters	\$18,052	\$9,026	\$5,014
MSEP - Business Masters	\$12,501	\$6,250	\$3,472
Online MBA	\$11,474	\$5,737	\$3,187
Doctorate of Business Administration ⁶		\$1,300	\$1,300
<u>UW Colleges</u>			
Resident			
Undergraduate	\$4,750	\$2,375	\$1,188
Bachelor of Applied Arts and Sciences (BAAS) ⁹		\$262	\$262
Nonresident			
Undergraduate	\$11,734	\$5,867	\$2,934
Bachelor of Applied Arts and Sciences (BAAS) ⁹		\$578	\$578
MSEP - Undergraduate	\$7,126	\$3,563	\$1,781

¹Represents tuition for a "full-time" summer session student, which is defined as half of the full-time academic year semester load.

²Includes the full-time MBA, Masters of Accountancy, Global Real Estate Master, and the MS in Applied Security Analysis.

³The Doctor of Nursing Practice is a full-year program, including summer term. The rate shown is the full-year rate.

⁴These per-credit amounts are in addition to the regular tuition for students taking courses in these disciplines.

⁵Graduate students at UW-Eau Claire, UW-Green Bay, UW-Oshkosh, UW-Platteville, UW-River Falls, and UW-Superior pay summer tuition on a per-credit basis.

⁶These programs charge per-credit tuition and are exempt from the board-approved tuition plateau.

⁷UW-Platteville is no longer accepting MSEP students. The rate will remain until existing students have completed their degree under the current rate.

⁸UW-Stout charges a pr-credit tuition and are exempt from the board-approved tuition plateau.

⁹The Bachelor of Applied Arts and Sciences (BAAS) is a degree completion program that charges a per-credit rate. The total tuition charge will not to exceed the plateau rate at the partner institution. The BAAS program offered in partnership with UW-Stout will not exceed the tuition charged by UW-Stout.

Table C-2

**University of Wisconsin System
2016-17
Consolidated Schedule of Tuition and Segregated Fees**

Doctoral Universities	Tuition		Segregated Fees ¹	Total Tuition and Fees	
	Resident	Nonresident		Resident	Nonresident
Undergraduate					
UW-Madison	\$9,273	\$31,523	\$1,215	\$10,488	\$32,738
UW-Milwaukee	\$8,091	\$18,449	\$1,402	\$9,493	\$19,851
Graduate					
UW-Madison	\$10,728	\$24,054	\$1,215	\$11,943	\$25,269
UW-Milwaukee	\$10,387	\$23,424	\$1,402	\$11,789	\$24,826
Law	\$20,235	\$38,932	\$1,215	\$21,450	\$40,147
Medicine	\$26,117	\$36,013	\$1,215	\$27,332	\$37,228
Veterinary Medicine	\$19,676	\$29,769	\$1,215	\$20,891	\$30,984
Comprehensive Universities					
Undergraduate					
UW-Eau Claire	\$7,361	\$14,934	\$1,272	\$8,633	\$16,206
UW-Green Bay	\$6,298	\$13,871	\$1,580	\$7,878	\$15,451
UW-La Crosse	\$7,585	\$16,106	\$1,332	\$8,917	\$17,438
UW-Oshkosh	\$6,422	\$13,995	\$1,122	\$7,544	\$15,117
UW-Parkside	\$6,298	\$14,287	\$1,069	\$7,367	\$15,356
UW-Platteville	\$6,418	\$14,268	\$911	\$7,329	\$15,179
UW-River Falls	\$6,428	\$14,001	\$1,396	\$7,824	\$15,397
UW-Stevens Point ²	\$6,698	\$14,965	\$1,282	\$7,980	\$16,247
UW-Superior	\$6,535	\$14,108	\$1,552	\$8,087	\$15,660
UW-Whitewater	\$6,519	\$15,092	\$966	\$7,485	\$16,058
UW-Stout ³	\$234	\$492	\$36	\$270	\$528
Graduate					
UW-Eau Claire	\$7,640	\$16,771	\$1,272	\$8,912	\$18,043
UW-Green Bay	\$7,640	\$16,771	\$1,580	\$9,220	\$18,351
UW-La Crosse	\$8,483	\$18,454	\$1,332	\$9,815	\$19,786
UW-Oshkosh	\$7,640	\$16,771	\$1,122	\$8,762	\$17,893
UW-Parkside	\$7,870	\$17,274	\$1,069	\$8,939	\$18,343
UW-Platteville	\$7,640	\$16,771	\$911	\$8,551	\$17,682
UW-River Falls	\$7,640	\$16,771	\$1,396	\$9,036	\$18,167
UW-Stevens Point	\$7,870	\$17,274	\$1,282	\$9,152	\$18,556
UW-Superior	\$7,640	\$16,771	\$1,552	\$9,192	\$18,323
UW-Whitewater	\$7,949	\$17,448	\$966	\$8,915	\$18,414
UW-Stout ³	\$382	\$810	\$49	\$431	\$859
UW Colleges					
UW-Baraboo/Sauk	\$4,750	\$11,734	\$482	\$5,232	\$12,216
UW-Barron	\$4,750	\$11,734	\$464	\$5,214	\$12,198
UW-Fond Du Lac	\$4,750	\$11,734	\$458	\$5,208	\$12,192
UW-Fox Valley	\$4,750	\$11,734	\$284	\$5,034	\$12,018
UW-Manitowoc	\$4,750	\$11,734	\$372	\$5,122	\$12,106
UW-Marathon	\$4,750	\$11,734	\$412	\$5,162	\$12,146
UW-Marinette	\$4,750	\$11,734	\$355	\$5,105	\$12,089
UW-Marshfield/Wood	\$4,750	\$11,734	\$407	\$5,157	\$12,141
UW-Richland	\$4,750	\$11,734	\$569	\$5,319	\$12,303
UW-Rock County	\$4,750	\$11,734	\$387	\$5,137	\$12,121
UW-Sheboygan	\$4,750	\$11,734	\$386	\$5,136	\$12,120
UW-Washington	\$4,750	\$11,734	\$350	\$5,100	\$12,084
UW-Waukesha	\$4,750	\$11,734	\$395	\$5,145	\$12,129

¹ Excludes textbook rental fees.

² UW-Stevens Point is phasing in a differential over three years. The rate shown is with the full differential for Freshmen and Sophomores.

³ UW-Stout charges per-credit tuition and segregated fees. The E-Stout fee is not included.

Tuition and segregated fee rates shown in this table have been rounded to the dollar. Campus fee schedules and student billing statements will include actual rates that will be within a dollar of these rates.

D. AUXILIARY OPERATIONS

2016-17 AUXILIARY RATES

Auxiliary operations are self-supporting programs whose primary purpose is to provide services to students (e.g., residence halls, student centers/unions, student health clinics, bookstores) and whose secondary purpose is to provide services to staff (e.g., parking, clinics, conferences, printing and duplicating services), and occasionally the general public. User fees, segregated fees, merchandise sales, and interest earnings generate revenues for auxiliary operations, and the operations are allowed to maintain reserves with funds used for new facilities, remodeling/additions, deferred maintenance, high cost equipment, debt service obligations, and to ensure adequate funding for current operations. Students participate in the programming and budgeting process through institutional Segregated University Fee Allocations Committees (SUFACs).

Based on direction from the Business, Finance, and Audit Committee at the December 9, 2010 Board of Regents meeting, increases in major auxiliary rates are subject to a reporting threshold equal to the three-year rolling average change in Wisconsin Disposable Income Per Capita or 3.0 percent, whichever is greater (3.0 percent for 2016-17). Institutions with rate increases below that threshold have reduced annual budget paperwork and those above must provide detailed reporting on their rate increases. The threshold applies separately to the following major auxiliary categories: Segregated Fees (in total), Room and Board rates, and Textbook Rental rates.

Last year, President Cross requested that all segregated fee increases include explanations in the budget document as he awaits a report from the Segregated Fee Working Group with recommended changes to the segregated fee process. The document reflects that change, along with a more stringent review of all other rates. Most institutions have been held to a 3-4% increase in operations while moving forward with major project increases that were previously approved by students (student government or referendum).

SEGREGATED FEES

The average segregated fee increase (excluding UW Colleges) is \$59 (5.0 percent); institutional rates range from \$911 to \$1,580 with changes ranging from -\$4 to \$259 (-0.4 percent to 24.1 percent). The \$259 increase is at UW-La Crosse and includes \$250 in funding for major projects that have been implemented over several years. The last phase of the implementation of a student center project is \$230 and the other \$20 is for the second of four increases for a fieldhouse.

Segregated fees will increase \$72 at UW-Madison. Student-initiated programming and staffing for University Health will increase segregated fees by \$59.

UW Colleges average segregated fee increase is \$12 (3.0 percent); institutional rates range from \$284 to \$569 with changes ranging from -\$11 to \$33 (-1.9 percent to 9.1 percent). UW-Colleges

increases are due to maintaining programming while enrollment declines and student initiated programming.

Table D-1 shows the 2016-17 total segregated fee, percent increase, and dollar change for each of the four year institutions. Table D-3 provides an explanation of all segregated fee increases for four year and UW Colleges institutions. Table D-3 also identifies the portion of the rates that are associated with major projects.

Factors influencing the segregated fee increases include funding major projects, the need to maintain services during changing enrollments, and student initiated programming.

ROOM AND BOARD

The average increase for most popular room and board rates (excluding UW Colleges) is \$117 (1.7 percent); institutional rates range from \$6,025 to \$9,326 with changes ranging from -\$181 to \$246 (-2.5 percent to 3.0 percent).

Table D-2 shows the 2016-17 most popular room and board rates, percent increase, and dollar change for each of the four-year institutions. **Table D-4** lists the rates for all institutions. None of the rates exceed the 3% threshold.

Factors influencing the room and board increases include debt service, and renovation and maintenance projects.

Table D-5 summarizes the 2016-17 textbook rental rates and provides an explanation for the rate that is increasing more than the 3% threshold. UW-Stout is instituting an e-text book program which will increase costs.

TABLE D-1
UW SYSTEM AUXILIARY OPERATIONS
DOCTORAL & COMPREHENSIVE SEGREGATED FEES
2016-17 ACADEMIC YEAR

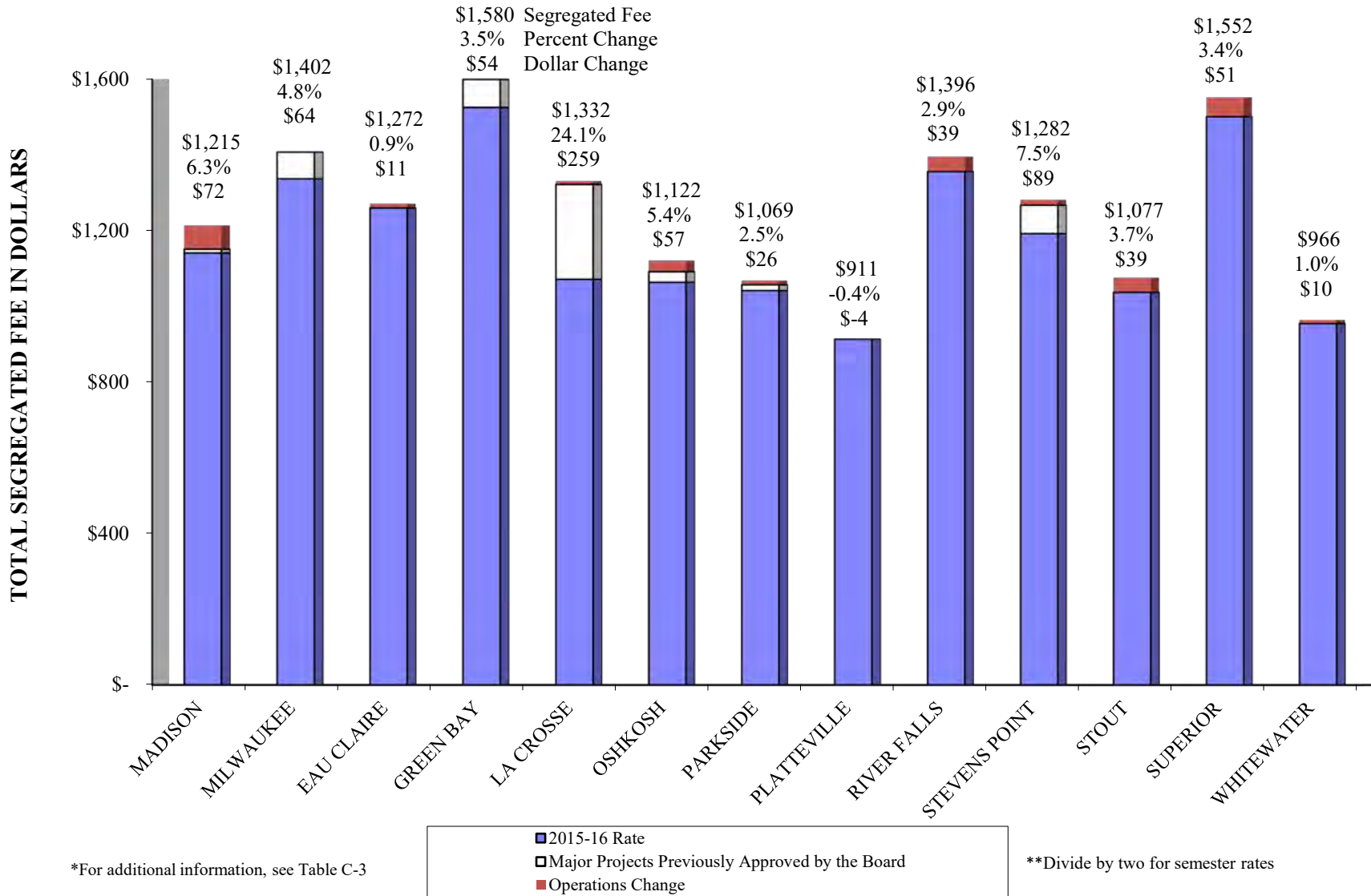
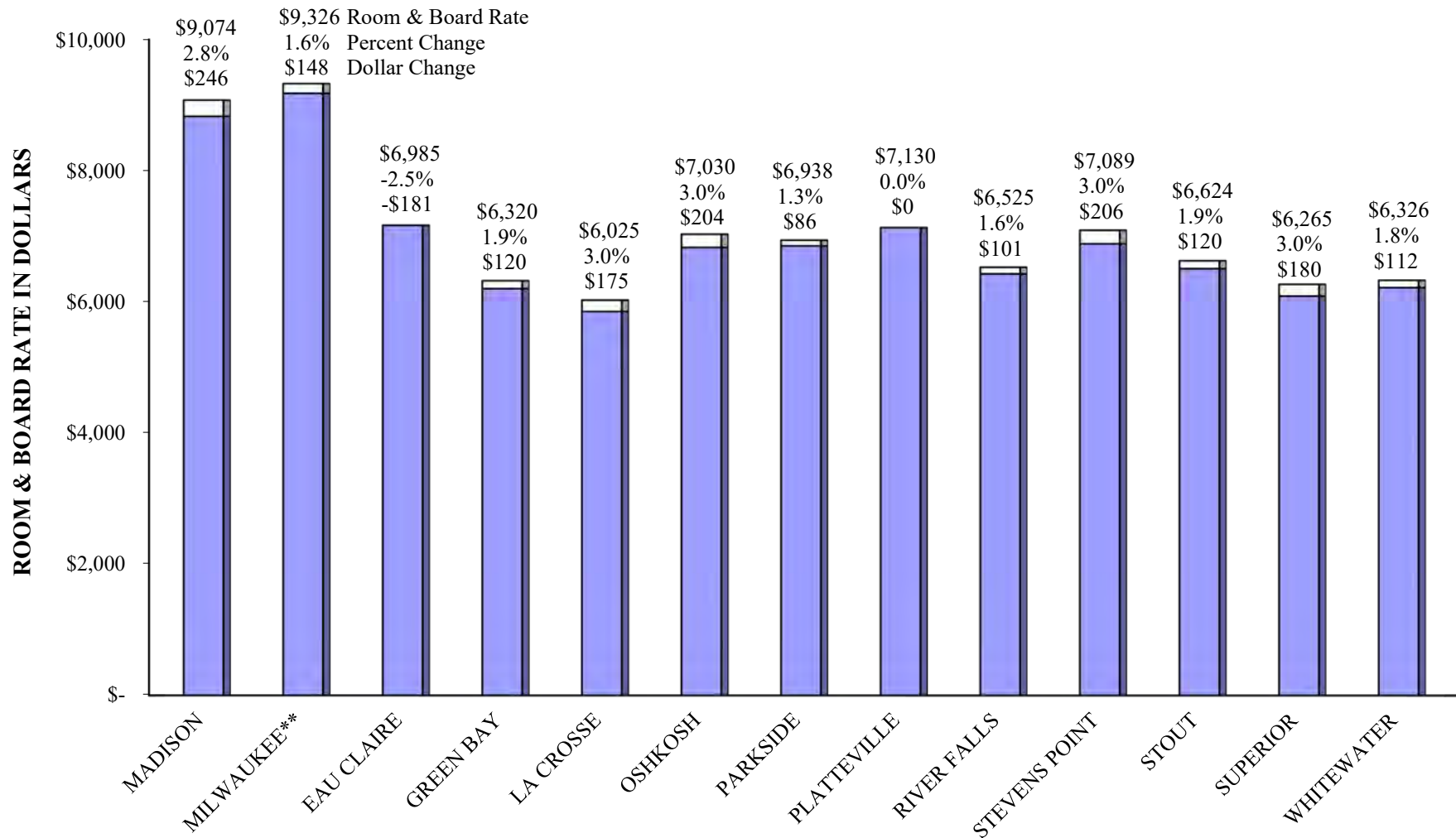


TABLE D-2
UW SYSTEM AUXILIARY OPERATIONS
DOCTORAL & COMPREHENSIVE ROOM AND BOARD RATES
2016-17 ACADEMIC YEAR



*For additional information, see Table D-5

■ 2015-16 Rate □ 2016-17 Increase

**Includes \$40/year Sandburg Hall Admin. Council Fee

TABLE D-3
DOCTORAL & COMPREHENSIVE SEGREGATED FEES
2016-17 ACADEMIC YEAR

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Madison	\$1,142.40	\$1,214.86	\$72.46	6.3%	
- Operations	\$898.32	\$960.78	\$62.46	7.0%	
			\$58.52	University Health	Reverse one year cut, fix the structural deficit and student requests for sexual assault prevention & mental health
			\$3.70	Rec. Sports	Increase for student wages up to \$9 per hour campus minimum wage
			\$0.24	Miscellaneous	
- Major Projects	\$244.08	\$254.08	\$10.00	4.1%	
			\$16.00	Rec. Sports	SERF replacement project approved in 2014 by students and the Board
			-\$6.00	Health/Activity Center	Savings due to refinancing of bonds
Milwaukee	\$1,338.00	\$1,401.80	\$63.80	4.8%	
- Operations	\$1,247.90	\$1,241.40	-\$6.50	-0.5%	
			\$45.10	Enrollment Decrease	Maintaining segregated fee programming with an estimated decrease of more than 1,100 students (4%)
			\$12.38	Student Union	Maintenance of the current Student Union
			\$7.25	Student Life	New positions in the Center for Student Involvement and Military and Veterans Resource Ctr.
			\$6.60	Transit/Bus	Maintenance, repairs and new lighting system for UPARK/Prowl Line parking lot
			\$5.77	Athletics	Increased student scholarships
			\$4.79	University Recreation	Administrative and maintenance positions no longer supported with general purpose revenue
			\$4.35	Organized Activities	Realign Senate Appropriation Committee balances with operational needs
			\$3.56	University Health	Student Health and Wellness programs, space rental fees and lower other revenue generation
			\$1.92	Child Care	Increased student staff supporting the programming and classroom enhancements
			\$0.50	Municipal Services	
			-\$35.65	Use of Balances	In Student Life, Transit, Union, Rec Center and University Health
			-\$54.59	Expense Reductions	In the Union, Student Life, Athletics, University Health, Organized Activities and Child Care
			-\$8.48	Parking/Transit/Bus	Shift to user fees
- Major Projects	\$90.10	\$160.40	\$70.30	78.0%	
			\$74.00	Student Union	Student approved increase to be used for existing maintenance or a new Union if one is approved
			-\$3.70	Parking	Northwest Quadrant parking converting to partially user fee funded

TABLE D-3
DOCTORAL & COMPREHENSIVE SEGREGATED FEES
2016-17 ACADEMIC YEAR

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Eau Claire	\$1,260.95	\$1,271.70	\$10.75	0.9%	
- Operations	\$915.92	\$927.04	\$11.12	1.2%	
			\$13.04	Union/Rec Center	A break even analysis was undertaken to end cross subsidies between operations over several years
			\$3.30	Other	Fee restructuring-previously organized activities for the athletics/recreation facility maintenance
			\$2.00	Transit/Bus	Align revenues with expenditures
			\$1.86	University Health	Fee restructuring-absorbed an organized activity related to student health
			\$1.06	Counseling	Increase for mental health services
			\$0.69	Child Care	Align revenues with expenditures
			-\$7.26	Organized Activities	Fee restructuring resulted in a reduction
			-\$3.57	Miscellaneous	
- Major Projects	\$345.03	\$344.66	-\$0.37	-0.1%	
			-\$0.37	Miscellaneous	
Green Bay	\$1,526.00	\$1,580.00	\$54.00	3.5%	
- Operations	\$1,375.16	\$1,340.22	-\$34.94	-2.5%	
			\$72.37	Enrollment Decrease	Maintaining segregated fee programming with an estimated decrease of more than 160 students (4%)
			-\$107.31	Org. Activities	Utilization of fund balances
- Major Projects	\$150.84	\$239.78	\$88.94	59.0%	
			\$87.42	Kress Center	Due to fluctuations in upcoming debt payments this increase will prevent major future swings
			\$1.52	Miscellaneous	
La Crosse	\$1,072.90	\$1,331.79	\$258.89	24.1%	
- Operations	\$875.32	\$884.21	\$8.89	1.0%	
			\$2.97	Intercollegiate Athletics	Student approved initiatives for increasing travel and officiating costs
			\$1.63	Other	Compensation increases
			\$1.29	Organized Activities	Student approved increases in expenditures
			\$1.14	Recreational Sports	Compensation increases
			\$1.09	Municipal Services	Align revenues with expenditures after depleting balances
			\$2.06	Miscellaneous	Compensation increases and deferred maintenance for the Sports Complex
			-\$1.29	Recreational Center	Base expense reductions
- Major Projects	\$197.58	\$447.58	\$250.00	25.4%	
			\$230.00	Student Center	Final increase for the Center which is to go on-line in 2016-17
			\$20.00	Field House	Second of four increases which will total \$132 in 2018-19. The project is awaiting enumeration

TABLE D-3
DOCTORAL & COMPREHENSIVE SEGREGATED FEES
2016-17 ACADEMIC YEAR

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Oshkosh	\$1,065.00	\$1,122.00	\$57.00	5.4%	
- Operations	\$824.80	\$853.80	\$29.00	3.5%	
			\$14.87	Recreation Center	Additional staff to open RecPlex and utilities, maintenance and equipment replacement
			\$13.46	Student Union	Furniture, fixtures and equipment due to the renovation project; carpet and mini-blind replacement
			\$8.70	University Health	Additional staffing and salary equity increases
			\$2.12	Child Care	Additional teacher due to expansion and playground equipment
			-\$8.34	Change in Balances	Utilizing balances for organized activities and replenishing depleted balances for Athletics
			-\$1.81	Miscellaneous	
- Major Projects	\$240.20	\$268.20	\$28.00	11.7%	
			\$28.00	Student Union	Renovation project approved in 2012
Parkside	\$1,043.04	\$1,069.20	\$26.16	2.5%	
- Operations	\$569.82	\$580.58	\$10.76	1.9%	
			\$18.53	Enrollment Changes	Maintaining segregated fee programming with an estimated decrease of more than 140 students (4%)
			-\$7.77	Organized Activities	Base expense reductions
- Major Projects	\$473.22	\$488.62	\$15.40	3.3%	
			\$15.40	Enrollment Changes	
Platteville	\$915.00	\$911.00	-\$4.00	-0.4%	
- Operations	\$729.00	\$725.00	-\$4.00	-0.5%	
			\$19.00	University Health	Increasing staff for University Health
			-\$23.00		Base expense reductions
- Major Projects	\$186.00	\$186.00	\$0.00	0.0%	
River Falls	\$1,356.79	\$1,396.07	\$39.28	2.9%	
- Operations	\$1,007.79	\$1,047.07	\$39.28	3.9%	
			\$25.00	Rec. Center	Operations of the new Falcon Center
			\$6.20	Health Services	Contracted medical services and maintenance of the facility
			\$3.15	Athletics	Increasing officiating fees, conference dues and travel costs
			\$2.63	Student Life	Maintaining segregated fee programming with an estimated decrease of more than 225 students (4%)
			\$2.30	Organized Activities	Student-initiated safe-ride home and sexual assault prevention programming
- Major Projects	\$349.00	\$349.00	\$0.00	0.0%	

TABLE D-3
DOCTORAL & COMPREHENSIVE SEGREGATED FEES
2016-17 ACADEMIC YEAR

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Stevens Point	\$1,193.22	\$1,282.42	\$89.20	7.5%	
- Operations	\$904.30	\$918.50	\$14.20	1.6%	
			\$7.20	Union/Center	Integration of new programs and services due to the Health Enhancement Center acquired in 2016
			\$4.00	University Health	Increasing mental health services costs
			\$3.00	Organized Activities	Student initiated programming for increased number of student organizations
- Major Projects	\$288.92	\$363.92	\$75.00	26.0%	
			\$75.00	Rec. Center	Health and Wellness Facility which will increase by another \$150 next year for a total of \$275
Stout	\$1,038.30	\$1,077.00	\$38.70	3.7%	
- Operations	\$856.33	\$895.03	\$38.70	4.5%	
			\$15.00	Enrollment Changes	Elimination of Physical Education general education requirement on coaching/teaching FTE
			\$12.30	University Health	Increased mental health services including a psychiatrist and physician
			\$4.50	Union/Center	Increase for custodial supplies and services
			\$4.20	Organized Activities	Funding for the OrgSync program which links students to service opportunities
			\$2.70	Miscellaneous	Municipal services and stadium repairs
- Major Projects	\$181.97	\$181.97	\$0.00	0.0%	
Superior	\$1,501.42	\$1,552.49	\$51.07	3.4%	
- Operations	\$953.42	\$1,004.49	\$51.07	5.4%	
			\$18.21	Intercollegiate Ath.	Equipment costs, increasing officiating fees and travel costs
			\$7.89	Union	Sustain current operations due to enrollment declines and remodeling
			\$7.32	Enrollment Changes	Maintaining segregated fee programming with an estimated decrease of 40 students (2%)
			\$7.11	Organized Activities	Student-initiated programming
			\$7.28	Rec. Center	Staffing, programming needs, maintenance, and equipment replacement
			\$3.26	Miscellaneous	
- Major Projects	\$548.00	\$548.00	\$0.00	0.0%	
Whitewater	\$955.97	\$965.60	\$9.63	1.0%	
- Operations	\$747.51	\$757.14	\$9.63	1.3%	
			\$5.59	University Center	Maintenance and compensation increases
			\$2.62	Intercollegiate Ath.	Student-initiated programming and increased travel, food and uniform costs
			\$1.42	Miscellaneous	
- Major Projects	\$208.46	\$208.46	\$0.00	0.0%	

TABLE D-3
UW COLLEGES SEGREGATED FEES
2016-17 ACADEMIC YEAR

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Baraboo/Sauk	\$452.26	\$482.26	\$30.00	6.6%	
	\$52.78	Athletics	Creation of woman's basketball and maintaining programs previously supported with balances		
	\$33.40	Organized Activities	Increased Student Activities Coordinator Position		
	\$36.94	Organized Activities	Maintaining segregated fee programs previously supported with fund balances		
	\$1.40	University Health	Align revenues with expenditures		
	-\$43.54	Academic Skills	Utilizing fund balances to offset programming costs		
	-\$2.16	Municipal Services	Expenditure reductions with enrollment/revenue adjustments		
	-\$48.82	Rate Reduction	Required rate reduction (areas of reduction to be determined in consultation with students).		
Barron	\$433.90	\$463.90	\$30.00	6.9%	
	\$42.64	Enrollment Decrease	Maintaining segregated fee programming due to an estimated decrease of 81 students (-11%)		
	\$9.00	Organized Activities	Increased Student Activities Coordinator Position		
	\$8.60	University Health	Maintaining programs previously supported with fund balances		
	\$4.92	Athletics	Maintaining programs previously supported with fund balances		
	\$4.24	Municipal Services	Aligning revenues with expenses		
	-\$13.90	Student Center	Reduction in base expenditures		
	-\$1.50	Miscellaneous	Utilizing fund balances to offset programming costs		
	-\$24.00	Rate Reduction	Required rate reduction (areas of reduction to be determined in consultation with students).		
Fond du Lac	\$459.46	\$458.06	-\$1.40	-0.3%	
	\$15.24	Enrollment Decrease	Maintaining segregated fee programming due to an estimated decrease of 63 students (-7%)		
	\$0.38	Miscellaneous	Drama programming supplies and expenses, and funding for a lighting/sound director		
	-\$17.02	Organized Activities	Utilizing fund balances to offset programming costs		
Fox Valley	\$278.96	\$284.00	\$5.04	1.8%	
	\$61.04	Organized Activities	Maintaining programs previously supported with fund balances		
	\$9.64	Enrollment Decrease	Maintaining segregated fee programming due to an estimated decrease of 82 students (-3%)		
	\$4.22	Athletics	Offset for decrease in other program revenue that would support the operations		
	\$0.54	Miscellaneous			
	-\$49.80	Organized Activities	Reduction in base expenditures		
	-\$12.04	Intercollegiate Ath.	Utilizing fund balances to offset programming costs		
	-\$8.56	Athletics	Reduction in base expenditures		
Manitowoc	\$357.82	\$372.08	\$14.26	4.0%	
	\$38.18	Organized Activities	Increased Student Activities Coordinator Position and offset for decreases in other revenue		
	\$3.78	Municipal Services	Aligning revenues with expenditures		
	-\$14.60	Enrollment Increase	Maintaining current programming levels with an enrollment increase		
	-\$10.26	University Health	Utilizing fund balances to offset programming costs		
	-\$2.84	Academic Skills	Reduction in base expenditures		

**TABLE D-3
UW COLLEGES SEGREGATED FEES
2016-17 ACADEMIC YEAR**

Institution	2015-16	2016-17	Change	% Change	Narrative
Marathon	\$381.74	\$411.74	\$30.00	7.9%	
		\$50.30	Enrollment Decrease		Maintaining segregated fee programming due to an estimated decrease of 197 students (-12%)
		\$13.94	Organized Activities		Increases for student compensation, student initiated programming, and depletion of fund balances
		\$2.52	Academic Skills		Increases for student compensation
		-\$7.20	Athletics		Utilizing fund balances to offset programming costs
		-\$1.44	Organized Activities		Utilizing reserves
		-\$28.12	Rate Reduction		Required rate reduction (areas of reduction to be determined in consultation with students).
Marinette	\$355.36	\$355.06	-\$0.30	-0.1%	
		\$49.30	Organized Activities		Student Events Coordinator Position
		-\$31.56	University Health		Utilization of fund balances to offset programming costs
		-\$12.28	Enrollment Increases		
		-\$5.16	Student Center		Utilization of fund balances to offset programming costs
		-\$0.60	Miscellaneous		
Marshfield	\$392.40	\$407.42	\$15.02	3.8%	
		\$34.42	Enrollment Decreases		Maintaining segregated fee programming due to an estimated decrease of 99 students (-13%)
		\$2.96	Academic Skills		Student initiated increase for tutoring
		\$0.46	Miscellaneous		
		-\$22.82	Organized Activities		Utilization of fund balances to offset programming costs
Richland	\$579.58	\$568.74	-\$10.84	-1.9%	
		\$20.40	Student Center		Student Events Coordinator Position
		\$5.56	University Health		Maintaining services which had previously been supported utilizing fund balances
		\$2.14	Municipal Services		Maintaining services which had previously been supported utilizing fund balances
		-\$27.20	Enrollment Increases		
		-\$7.58	Organized Activities		Utilization of fund balances to offset programming costs
		-\$4.16	Miscellaneous		Reduction in base expenditures
Rock	\$379.24	\$386.84	\$7.60	2.0%	
		\$47.04	Organized Activities		Maintaining services which had previously been supported utilizing fund balances
		\$23.56	Organized Activities		Student initiated new clubs and expanding theatre and arts programming
		\$1.80	Academic Skills		Student initiated for academic skills and tutoring center
		\$1.64	Municipal Services		Align revenues with expenditures
		-\$39.66	Enrollment Increases		
		-\$21.90	Athletics		Base expense reductions
		-\$4.88	Child Care		Base expense reductions

TABLE D-3
UW COLLEGES SEGREGATED FEES
2016-17 ACADEMIC YEAR

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>	<u>Narrative</u>
Sheboygan	\$386.28	\$386.28	\$0.00	0.0%	
			\$47.76	University Health	Student initiated increase for a mental health counselor and creation of an intern position
			\$17.42	Organized Activities	Student initiated increase for the purchase of a piano and compensation for student government
			\$15.68	Municipal Services	Maintaining services which had previously been supported utilizing fund balances
			-\$47.48	Athletics	Offset for enrollment increases and utilization of fund balances
			-\$33.38	University Health	Offset for enrollment increases and utilization of fund balances
Washington	\$350.04	\$350.04	\$0.00	0.0%	
			\$16.00	Athletics	Student initiated new programs, a Recreation Specialist and administrative support
			\$10.06	Enrollment Decreases	Student initiated increase for the purchase of a piano and compensation for student government
			\$7.28	University Health	Maintaining services which had previously been supported utilizing fund balances
			-\$21.64	Organized Activities	Utilization of fund balances to offset programming costs
			-\$5.74	University Health	Utilization of fund balances to offset programming costs
			-\$5.12	Municipal Services	Align revenues with expenditures
			-\$0.84	Academic Skills	Base expenditure reductions
Waukesha	\$362.38	\$394.84	\$32.46	9.0%	
			\$31.64	Enrollment Decreases	Maintaining segregated fee programming due to an estimated decrease of 387 students (-11%)
			\$0.82	Miscellaneous	

TABLE D-4
University of Wisconsin System
2016-17 Academic Year Room and Board Rates

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Increase</u>	<u>% Change</u>
Madison	\$8,828	\$9,074	\$246	2.8%
- Residence Halls	\$5,796	\$5,999	\$203	3.5%
- Meal Plans	\$3,032	\$3,075	\$43	1.4%
Milwaukee	\$9,178	\$9,326	\$148	1.6%
- Residence Halls	\$5,270	\$5,320	\$50	0.9%
- Meal Plans	\$3,908	\$4,006	\$98	2.5%
Eau Claire	\$7,167	\$6,985	(\$181)	-2.5%
- Residence Halls	\$3,911	\$4,185	\$274	7.0%
- Meal Plans	\$3,256	\$2,800	-\$456	-14.0%
Green Bay	\$6,200	\$6,320	\$120	1.9%
- Residence Halls	\$4,000	\$4,120	\$120	3.0%
- Meal Plans	\$2,200	\$2,200	\$0	0.0%
La Crosse	\$5,850	\$6,025	\$175	3.0%
- Residence Halls	\$3,500	\$3,605	\$105	3.0%
- Meal Plans	\$2,350	\$2,420	\$70	3.0%
Oshkosh	\$6,826	\$7,030	\$204	3.0%
- Residence Halls	\$4,096	\$4,220	\$124	3.0%
- Meal Plans	\$2,730	\$2,810	\$80	2.9%
Parkside	\$6,852	\$6,938	\$86	1.3%
- Residence Halls	\$4,406	\$4,406	\$0	0.0%
- Meal Plans	\$2,446	\$2,532	\$86	3.5%
Platteville	\$7,130	\$7,130	\$0	0.0%
- Residence Halls	\$3,970	\$3,970	\$0	0.0%
- Meal Plans	\$3,160	\$3,160	\$0	0.0%
River Falls	\$6,424	\$6,525	\$101	1.6%
- Residence Halls	\$4,035	\$4,136	\$101	2.5%
- Meal Plans	\$2,389	\$2,389	\$0	0.0%
Stevens Point	\$6,883	\$7,089	\$206	3.0%
- Residence Halls	\$4,098	\$4,260	\$162	4.0%
- Meal Plans	\$2,785	\$2,829	\$44	1.6%
Stout	\$6,504	\$6,624	\$120	1.9%
- Residence Halls	\$3,960	\$4,040	\$80	2.0%
- Meal Plans	\$2,544	\$2,584	\$40	1.6%
Superior	\$6,085	\$6,265	\$180	3.0%
- Residence Halls	\$3,595	\$3,695	\$100	2.8%
- Meal Plans	\$2,490	\$2,570	\$80	3.2%
Whitewater	\$6,214	\$6,326	\$112	1.8%
- Residence Halls	\$3,784	\$3,876	\$92	2.4%
- Meal Plans	\$2,430	\$2,450	\$20	0.8%

<p align="center">TABLE D-5 University of Wisconsin System 2016-17 Academic Year Textbook Rental Rates</p>

<u>Institution</u>	<u>2015-16</u>	<u>2016-17</u>	<u>Change</u>	<u>% Change</u>
Eau Claire	\$200.00	\$180.00	-\$20.00	-10.0%
La Crosse	\$173.92	\$173.92	\$0.00	0.0%
Platteville	\$155.00	\$155.00	\$0.00	0.0%
River Falls	\$152.02	\$156.58	\$4.56	3.0%
Stevens Point	\$181.20	\$178.80	-\$2.40	-1.3%
Stout (based on 30 credits)	\$190.80	\$343.50	\$152.70	80.0%
Whitewater	\$162.48	\$165.12	\$2.64	1.6%

Increases above the 3% Threshold

UW-Stout is moving from a textbook rental program to an e-Text program which will increase the price to students. The cost of e-text is still approximately one-third the cost of purchasing books. The text rental price is also expected to increase next year as more courses convert to e-text.

APPENDIX A. SUMMARY OF DIFFERENTIAL TUITION PROGRAMS

UW System Differential Tuition by Institution – June 2016

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-Madison	School of Business - Undergraduate	Implemented Fall 2007. The differential rate applies to all undergraduate students enrolled in the Bachelor of Business Administration (BBA) major and Certificate in Business (CIB) program. The differential will be reviewed by the campus and students after the 2011-12 academic year.	BBA tuition increased by \$500 per semester (\$1,000 per year). CIB tuition increased by \$150 per semester (\$300 per year).	None
	School of Engineering – Undergraduate Differential Tuition	The differential applies to all undergraduate students enrolled in the Engineering major beginning in Fall 2008. The differential increases the number of faculty, expands student services, and funds new programs. The College of Engineering committed to raising funds for need-based financial aid.	The differential is \$700 per semester (\$1,400 per year).	None
	The Madison Initiative for Undergraduates	Approved in May 2009. The differential applies to all undergraduate students. The differential will improve quality by increasing student access to key courses and majors; introducing curricular and pedagogical change; improving vital student services; and enhancing access and affordability. The Initiative will add faculty and instructional support while increasing need-based financial aid. Students from families with an adjusted gross income of \$80,000 or less and with unmet financial need will be held harmless from the differential increase.	The differential is \$1,000 for residents and \$3,000 for nonresidents.	None

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-Milwaukee	Peck School of the Arts - Undergraduate	Implemented Fall 2004. Differential rate applies to all undergraduate courses provided by the Peck School of the Arts, with the exception of eight 100-level General Education Requirement courses.	The differential is \$21.80 per credit in 2016-17.	None
	College of Engineering and Applied Science – Undergraduate and Graduate	Implemented Fall 2004. Applies to all undergraduate and graduate courses provided by the college.	The differential is \$21.63 per credit in 2016-17.	None
	Sheldon B. Lubar School of Business Administration – Undergraduate	Implemented Fall 2004. Differential rate applies to all 200- to 600-level courses provided by the School.	The differential is \$21.22 per credit in 2016-17.	None
	College of Nursing – Undergraduate	Implemented Fall 2004. Applies to all undergraduates enrolled in clinical major courses within the College.	The differential is \$31.52 per credit in 2016-17.	None
	School of Architecture and Urban Planning (SARUP) – Undergraduate and Graduate	Implemented Fall 2006. Supports a desktop computer workstation program with enhanced support services for architecture students.	\$11.55 per credit for all Department of Architecture courses and an additional \$31.45 per credit (\$43 per credit total) for all courses at the 200 through 800 levels.	May increase by 5% annually
UW-Eau Claire	The Blugold Commitment - Undergraduate	In 2010, UW-Eau Claire expanded their existing differential in support of the Blugold Commitment – a commitment to extraordinary learning, affordable education, and globally prepared graduates from Wisconsin. The differential supports high-impact practices, additional faculty, and financial aid.	For full-time resident and nonresident undergraduate students, the differential is \$1,063 per year in 2016-17. The Board-approved increase to \$1,363 per year in Fall 2013 was prevented by the tuition freeze.	None

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-La Crosse	Academic Excellence Initiatives – Undergraduate and Graduate	Implemented Fall 2003 and reviewed in 2010. The differential provides financial support for academic advising, diversity initiatives, undergraduate research, and international education. The differential must be merged with the Growth, Quality, and Access differential in 2013.	The rate is \$69.96 per semester in Fall 2016. The Board-approved increase to \$74.16 per semester in Fall 2013 was prevented by the tuition freeze.	None
	Growth, Quality, and Access - Undergraduate	Approved by the Board of Regents in 2007. The differential does not apply to students enrolled before Fall 2008. The differential is used to hire additional faculty and staff and to purchase instructional supplies and equipment.	The differential is \$573.24 per semester (\$1,146.48 per year) in 2016-17.	Increase will be sufficient to cover salary and fringe increases and is not expected to be larger than the percent increase in resident undergraduate tuition.
UW-Oshkosh	Oshkosh Personal Development Compact – Undergraduate	Implemented Fall 2003 to enhance assessment, advising, co-curricular involvement, and emotional wellness. Emphasis is placed on student retention, reduced time to graduation, and increased graduation rates.	The undergraduate tuition differential is \$61.92 per semester (\$123.84 per year) in 2016-17.	None
UW-Platteville	Regional Enrollment Plan – Undergraduate	Implemented Fall 2005. Offers a differential tuition rate to nonresident, undergraduate students from Illinois and Iowa who enroll in fields that address the workforce needs of both new and established Wisconsin businesses.	Eligible students will be charged the resident tuition rate plus a premium of \$4,700 per year.	After Fall 2010, the premium may increase up to the resident undergraduate tuition rate.
	Academic and Support Services – Undergraduate	Approved in April 2008. The differential expands student services (e.g., Writing Center and Tutoring Center), supports additional mental health staff, funds career services staff, and provides financial support to students completing their senior capstone project.	Differential tuition will be 1.9% of the resident undergraduate tuition rate for all undergraduates. In 2016-17, this is \$59.88 per semester (\$119.76 per year).	As a percent of tuition, the differential increases with tuition

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase																									
UW-River Falls	The Falcon Promise - Undergraduate	This institution-wide differential was initially implemented in Fall 2007 and was reviewed in 2011. The Falcon Promise supports enhanced library services, a testing center, tutoring services, undergraduate research and engagement opportunities, learning space upgrades, and the Falcon Scholars financial aid program.	The differential is \$65 per semester (\$130 per year). The Board-approved increase to \$160 per year in Fall 2013 was prevented by the tuition freeze.	None																									
UW-Stevens Point	Pointer Partnership - Undergraduate	This institution-wide differential targets reducing bottleneck courses, providing consistent advising, and limiting the impact on needy students through financial aid. The differential will be phased in over three years beginning in Fall 2016. The 2015-17 biennial budget included a provision that allowed the Board to adopt this differential.	<table border="1"> <thead> <tr> <th colspan="5">Table 3 -Implementation of the Pointer Partnership</th></tr> <tr> <th></th><th>Freshman</th><th>Sophomores</th><th>Juniors</th><th>Seniors</th></tr> </thead> <tbody> <tr> <td>2016-17</td><td>\$200</td><td>\$200</td><td>\$100</td><td>\$0</td></tr> <tr> <td>2017-18</td><td>\$200</td><td>\$200</td><td>\$200</td><td>\$100</td></tr> <tr> <td>2018-19</td><td>\$200</td><td>\$200</td><td>\$200</td><td>\$200</td></tr> </tbody> </table> <p>Note: amounts are charged per semester.</p>	Table 3 -Implementation of the Pointer Partnership						Freshman	Sophomores	Juniors	Seniors	2016-17	\$200	\$200	\$100	\$0	2017-18	\$200	\$200	\$200	\$100	2018-19	\$200	\$200	\$200	\$200	Three year implementation. After phase-in, no annual increases.
Table 3 -Implementation of the Pointer Partnership																													
	Freshman	Sophomores	Juniors	Seniors																									
2016-17	\$200	\$200	\$100	\$0																									
2017-18	\$200	\$200	\$200	\$100																									
2018-19	\$200	\$200	\$200	\$200																									

Differential Tuition (continued)

Institution	Tuition Program	Description	Pricing	Annual Increase
UW-Stout	Customized Instruction	Implemented Fall 1999. Provides tuition flexibility to determine and charge market rates for customized programs, certificates, and courses to meet the needs of business and industry. Courses will be typically provided in alternative time frames (i.e., summer, evenings, and/or weekends.)	Market tuition rates will vary by program.	Variable based on market rates
	Access to Learning – Undergraduate and Graduate	Implemented Fall 1999. The differential tuition provides access to active learning programs that promote critical and creative thinking abilities in students. The differential provides expanded access to campus laboratories, cooperative education programs, field trips, and instructional materials.	Both residents and nonresidents pay the same differential tuition amount, which equals 5% of undergraduate and graduate tuition. In 2016-17, this is \$11.13 per credit for undergraduates and \$17.50 per credit for graduates.	As a percent of tuition, the differential increases with tuition
UW-Superior	The Superior Experience - Undergraduate	First approved in 2003. The Superior Experience supports technology for Swenson Hall, Jim Dan Hill Library acquisitions, and Career Services.	All undergraduate students are assessed an additional \$119 per semester (\$237 per year). The differential fee is prorated for part-time students.	None
	Natural Science Per-Credit Differential – Undergraduate	Implemented in Fall 2011. The per-credit differential on Department of Natural Sciences courses will support laboratory equipment, field trips, student assistants, and capstone research projects. The differential will replace all special course fees in the Department of Natural Sciences.	Undergraduate tuition increased by \$12.00 per credit on courses offered in the Department of Natural Sciences.	None
UW-Whitewater	Advising and Integrated Freshman Experience Program – Undergraduate	Implemented Fall 2002 to promote continual student success through a multilevel advising model and an integrated freshman experience program.	Undergraduate tuition increases by an amount equal to 3.5% of the resident undergraduate tuition rate. In 2016-17, this is \$110.28 per semester (\$220.56 per year).	As a percent of tuition, the differential increases with tuition

FY18 Redbook Budget

UW Colleges Central Non-Campus Budgets

					SALARY BUDGETS		NON-SALARY BUDGETS					FTE
Unit	UDDS	Fund	Dept Description	Total Budget	Salaries	Fringe	S&E	Sales Credit	Capital	Aids to Individuals	Special Purpose	FTE
Academic Affairs	10200	103	Academic Affairs	\$ 507,573	\$332,500	\$ 159,346	\$ 15,727	\$ -	\$ -	\$ -	\$ -	3.00
Academic Affairs	10295	103	Academic Affairs	\$ 10,000	\$0	\$ -	\$ 10,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	31700	103	Faculty Senate	\$ 77,748	\$43,762	\$ 20,972	\$ 13,014	\$ -	\$ -	\$ -	\$ -	0.50
Academic Affairs	31800	103	Academic Departments	\$ 424,111	\$248,666	\$ 119,170	\$ 56,275	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	31813	103	Academic Departments	\$ 16,000	\$0	\$ -	\$ 16,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	31873	103	Academic Departments	\$ 4,000	\$0	\$ -	\$ 4,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	500203	150	Institutional Research	\$ -	\$0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	500290	103	Institutional Research	\$ 142,512	\$94,729	\$ 45,398	\$ 2,385	\$ -	\$ -	\$ -	\$ -	1.20
Academic Affairs	501100	103	Library	\$ 2,092,125	\$1,387,686	\$ 665,030	\$ 39,409	\$ -	\$ -	\$ -	\$ -	29.52
Academic Affairs	501132	103	Library	\$ 135,495	\$0	\$ -	\$ -	\$ -	\$ 135,495	\$ -	\$ -	-
Academic Affairs	501157	103	Library	\$ 293,316	\$0	\$ -	\$ 94,350	\$ -	\$ 198,966	\$ -	\$ -	-
Academic Affairs	508800	103	Curricular Redesign/Development	\$ 71,886	\$19,428	\$ 9,311	\$ 43,147	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	510214	131	BAAS	\$ 29,986	\$3,986	\$ -	\$ 26,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	510266	103	Office of Distance Learning	\$ 855,833	\$576,840	\$ 276,443	\$ 2,550	\$ -	\$ -	\$ -	\$ -	11.10
Academic Affairs	510314	131	BAAS	\$ 28,500	\$28,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.50
Academic Affairs	510331	104	Flex	\$ -	\$0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	510614	131	BAAS	\$ 18,501	\$17,210	\$ 1,291	\$ -	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	510727	136	Developmental	\$ 100,762	\$46,197	\$ -	\$ 54,565	\$ -	\$ -	\$ -	\$ -	1.20
Academic Affairs	510766	103	Office of Distance Learning	\$ 327,007	\$217,076	\$ 104,031	\$ 5,900	\$ -	\$ -	\$ -	\$ -	1.25
Academic Affairs	510966	103	Office of Distance Learning	\$ 145,771	\$0	\$ -	\$ 189,771	\$ (44,000)	\$ -	\$ -	\$ -	-
Academic Affairs	511092	131	International Students	\$ 177,405	\$132,994	\$ 20,636	\$ 23,775	\$ -	\$ -	\$ -	\$ -	2.00
Academic Affairs	511095	136	Online Writing Lab	\$ 69,061	\$39,441	\$ 29,220	\$ 400	\$ -	\$ -	\$ -	\$ -	0.80
Academic Affairs	511114	131	BAAS	\$ 60,374	\$32,410	\$ 12,964	\$ 15,000	\$ -	\$ -	\$ -	\$ -	0.60
Academic Affairs	513790	103	Applied Music	\$ 60,470	\$40,879	\$ 19,591	\$ -	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	514590	136	WIPPS	\$ 85,180	\$85,180	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	1.38
Academic Affairs	514590	233	WIPPS	\$ 60,000	\$60,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	1.00
Academic Affairs	514614	131	BAAS	\$ 119,000	\$85,000	\$ 34,000	\$ -	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	518600	103	Professional Development	\$ 128,000	\$0	\$ -	\$ 128,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	518697	136	Virtual Teaching & Learning	\$ 32,464	\$17,944	\$ -	\$ 14,520	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	518700	103	Professional Development	\$ 24,634	\$8,000	\$ 3,834	\$ 12,800	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	518794	103	Institutional Review Board	\$ 16,375	\$10,394	\$ 4,981	\$ 1,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	518866	103	Office of Distance Learning	\$ 6,238	\$3,000	\$ 1,438	\$ 1,800	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	950614	131	BAAS	\$ 35,000	\$0	\$ -	\$ 35,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	959562	103	Assessment	\$ 120,136	\$43,560	\$ 20,876	\$ 55,700	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	959565	103	Split Faculty Travel	\$ 5,000	\$0	\$ -	\$ 5,000	\$ -	\$ -	\$ -	\$ -	-
Academic Affairs	984684	103	Instructional Salary Savings	\$ (215,599)	-\$145,750	\$ (69,849)	\$ -	\$ -	\$ -	\$ -	\$ -	-

					SALARY BUDGETS		NON-SALARY BUDGETS					FTE
Unit	UDDS	Fund	Dept Description	Total Budget	Salaries	Fringe	S&E	Sales Credit	Capital	Aids to Individuals	Special Purpose	FTE
Admin & Finance	10300	103	Admin & Finance	\$ 331,831	\$211,368	\$ 101,295	\$ 19,168	\$ -	\$ -	\$ -	\$ -	1.50
Admin & Finance	10300	128	Admin & Finance	\$ 65,112	\$40,951	\$ 24,161	\$ -	\$ -	\$ -	\$ -	\$ -	0.80
Admin & Finance	10395	103	Admin & Finance	\$ 10,000	\$0	\$ -	\$ 10,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	11321	103	Campus Services	\$ (31,172)	-\$21,073	\$ (10,099)	\$ -	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	500300	128	Admin & Finance	\$ -	\$26,100	\$ 10,440	\$ 21,798	\$ (58,338)	\$ -	\$ -	\$ -	-
Admin & Finance	500309	103	Office Services	\$ 122,834	\$8,000	\$ 3,834	\$ 111,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	500310	103	Financial Services	\$ (118,282)	\$0	\$ -	\$ -	\$ (118,282)	\$ -	\$ -	\$ -	-
Admin & Finance	500316	103	Financial Services	\$ 832,132	\$557,905	\$ 267,369	\$ 6,858	\$ -	\$ -	\$ -	\$ -	10.15
Admin & Finance	500316	128	Financial Services	\$ 69,232	\$42,599	\$ 25,133	\$ 1,500	\$ -	\$ -	\$ -	\$ -	1.15
Admin & Finance	500316	131	Financial Services	\$ 37,502	\$37,502	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	1.00
Admin & Finance	500316	136	Financial Services	\$ 3,500	\$0	\$ -	\$ 3,500	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	500316	150	Financial Services	\$ 26,628	\$21,600	\$ 5,028	\$ -	\$ -	\$ -	\$ -	\$ -	0.30
Admin & Finance	500344	103	Financial Services	\$ 313,600	\$0	\$ -	\$ 338,600	\$ (25,000)	\$ -	\$ -	\$ -	-
Admin & Finance	500347	109	Central Utilities	\$ 30,000	\$0	\$ -	\$ 30,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	500349	103	Risk Management	\$ 59,869	\$40,000	\$ 19,169	\$ 700	\$ -	\$ -	\$ -	\$ -	1.00
Admin & Finance	500349	131	Risk Management	\$ 3,732	\$3,732	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.08
Admin & Finance	500390	131	Budget and Planning	\$ 114,111	\$80,095	\$ 32,766	\$ 1,250	\$ -	\$ -	\$ -	\$ -	1.00
Admin & Finance	501249	103	Environmental Health & Safety	\$ 109,076	\$62,091	\$ 29,756	\$ 17,229	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	501249	131	Environmental Health & Safety	\$ 24,167	\$24,167	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.50
Admin & Finance	501321	103	Institutional Planning	\$ (257,492)	-\$174,071	\$ (83,421)	\$ -	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	519503	103	Professional Development	\$ 21,138	\$0	\$ -	\$ 21,138	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	950206	104	Continuing Education	\$ (254)	-\$254	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	2.50
Admin & Finance	951390	103	State Chargebacks	\$ 55,700	\$0	\$ -	\$ 55,700	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	951393	103	UWSA Chargebacks	\$ 81,050	\$0	\$ -	\$ 81,050	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959500	103	Memberships	\$ 73,687	\$0	\$ -	\$ 73,687	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959500	128	Institutional Services	\$ 23,485	\$0	\$ -	\$ 23,485	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959500	136	Institutional Services	\$ 56,075	\$0	\$ -	\$ 56,075	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959500	150	Institutional Services	\$ 27,502	\$0	\$ -	\$ 27,502	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959516	103	Web/ACH Transactions	\$ 11,000	\$0	\$ -	\$ 11,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959521	103	Institutional Services	\$ 1,447,444	\$877,104	\$ 420,340	\$ 150,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959560	103	UW System Committees	\$ 3,000	\$0	\$ -	\$ 3,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959561	103	Institutional Planning	\$ 17,810	\$0	\$ -	\$ 17,810	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959573	103	Non-depart wislines	\$ 8,900	\$0	\$ -	\$ 8,900	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959575	103	Collection Expenses	\$ 4,000	\$0	\$ -	\$ 4,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959576	103	Insurance	\$ 253,464	\$0	\$ -	\$ 253,464	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959580	103	Fringe Penalty	\$ 50,000	\$0	\$ -	\$ 50,000	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	959583	103	Accrued Leave	\$ 73,962	\$50,000	\$ 23,962	\$ -	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	980090	103	Base Funding	\$ 1,265,300	\$0	\$ -	\$ 1,265,300	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	986000	110	Debt Service	\$ 2,273,063	\$0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,273,063	-

					SALARY BUDGETS		NON-SALARY BUDGETS					FTE
Unit	UDDS	Fund	Dept Description	Total Budget	Salaries	Fringe	S&E	Sales Credit	Capital	Aids to Individuals	Special Purpose	FTE
Admin & Finance	989590	112	Emergency Grants	\$ 130,000	\$0	\$ -	\$ -	\$ -	\$ -	\$ 130,000	\$ -	-
Admin & Finance	989800	128	Interest Income	\$ (20,003)	\$0	\$ (2)	\$ (1)	\$ (20,000)	\$ -	\$ -	\$ -	-
Admin & Finance	989847	109	Utilities	\$ 649,641	\$0	\$ -	\$ 649,641	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	989847	118	Utilities	\$ 139,400	\$0	\$ -	\$ 139,400	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	989880	103	Fringe	\$ -	\$0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	989880	402	Fringe	\$ (100,586)	-\$37,527	\$ (18,929)	\$ (44,130)	\$ -	\$ -	\$ -	\$ -	1.35
Admin & Finance	989884	131	Tie Out	\$ (6,433,569)	-\$3,959,997	\$ (1,541,261)	\$ (932,311)	\$ -	\$ -	\$ -	\$ -	(18.93)
Admin & Finance	989885	103	Misc. Administrative Departments	\$ (1,112,900)	\$0	\$ -	\$ (300,000)	\$ -	\$ -	\$ (812,900)	\$ -	-
Admin & Finance	989885	104	EXT reimbursement	\$ (299,746)	-\$299,746	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	989885	132	EXT reimbursement	\$ (1,874,971)	-\$596,891	\$ (166,222)	\$ (1,096,632)	\$ -	\$ (15,226)	\$ -	\$ -	-
Admin & Finance	989885	189	EXT reimbursement	\$ (244,638)	-\$172,990	\$ (51,898)	\$ (19,750)	\$ -	\$ -	\$ -	\$ -	-
Admin & Finance	989893	103	Tie Out	\$ 2,954	\$0	\$ -	\$ (149,378)	\$ 143,228	\$ 9,104	\$ -	\$ -	-
Admin & Finance	989894	103	Tie Out	\$ (4,370)	-\$2,954	\$ (1,416)	\$ -	\$ -	\$ -	\$ -	\$ -	45.14
HR	500304	103	Human Resources	\$ 1,030,901	\$661,017	\$ 316,784	\$ 53,100	\$ -	\$ -	\$ -	\$ -	11.00
HR	500304	131	Human Resources	\$ 113,848	\$77,965	\$ 35,883	\$ -	\$ -	\$ -	\$ -	\$ -	1.50
HR	510393	103	EAP	\$ 42,000	\$0	\$ -	\$ 42,000	\$ -	\$ -	\$ -	\$ -	-
HR	951363	103	Medical Leave Support	\$ 59,169	\$40,000	\$ 19,169	\$ -	\$ -	\$ -	\$ -	\$ -	-
HR	959564	103	Search & Screen	\$ 112,795	\$0	\$ -	\$ 112,795	\$ -	\$ -	\$ -	\$ -	-
IT	500307	103	CITS	\$ 2,131,348	\$1,083,378	\$ 519,194	\$ 528,776	\$ -	\$ -	\$ -	\$ -	15.00
IT	500907	103	Computer Rotation	\$ 16,500	\$0	\$ -	\$ 16,500	\$ -	\$ -	\$ -	\$ -	-
IT	959507	103	Common Systems	\$ 1,292,572	\$0	\$ -	\$ 1,292,572	\$ -	\$ -	\$ -	\$ -	-
IT	959539	103	Computer Access	\$ 158,239	\$0	\$ -	\$ 158,239	\$ -	\$ -	\$ -	\$ -	-
IT	959542	103	Student Technology	\$ 300,000	\$0	\$ -	\$ 300,000	\$ -	\$ -	\$ -	\$ -	-
Leadership	10100	103	Chancellor's Office	\$ 199,179	\$134,650	\$ 64,529	\$ -	\$ -	\$ -	\$ -	\$ -	0.50
Leadership	10100	131	Chancellor's Office	\$ -	\$0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Leadership	10101	103	University Relations	\$ 356,054	\$230,696	\$ 110,558	\$ 14,800	\$ -	\$ -	\$ -	\$ -	3.00
Leadership	10195	103	Chancellor's Office	\$ 10,000	\$0	\$ -	\$ 10,000	\$ -	\$ -	\$ -	\$ -	-
Student Affairs	10600	103	Student Affairs	\$ 221,188	\$143,782	\$ 68,906	\$ 8,500	\$ -	\$ -	\$ -	\$ -	1.50
Student Affairs	500602	103	Marketing	\$ 1,245,075	\$552,994	\$ 265,015	\$ 427,066	\$ -	\$ -	\$ -	\$ -	11.00
Student Affairs	500602	131	Marketing	\$ 22,177	\$0	\$ 22,177	\$ -	\$ -	\$ -	\$ -	\$ -	-
Student Affairs	500608	103	Admissions & Registration	\$ 629,221	\$350,734	\$ 168,085	\$ 110,402	\$ -	\$ -	\$ -	\$ -	6.75
Student Affairs	500608	136	Admissions & Registration	\$ 120,064	\$112,289	\$ -	\$ 7,775	\$ -	\$ -	\$ -	\$ -	2.00
Student Affairs	500611	103	Financial Aid Office	\$ 698,071	\$465,863	\$ 223,259	\$ 8,949	\$ -	\$ -	\$ -	\$ -	8.00
Student Affairs	500611	144	Financial Aid Office	\$ 71,841	\$42,994	\$ 19,347	\$ 9,500	\$ -	\$ -	\$ -	\$ -	1.00
Student Affairs	500615	103	Conduct & Compliance	\$ 333,020	\$215,202	\$ 103,133	\$ 14,685	\$ -	\$ -	\$ -	\$ -	3.70
Student Affairs	500626	103	Recruitment	\$ 829,949	\$460,615	\$ 220,744	\$ 148,590	\$ -	\$ -	\$ -	\$ -	10.00
Student Affairs	500651	103	Student Accomodations	\$ -	\$0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Student Affairs	500651	402	Student Accomodations	\$ 365,849	\$158,766	\$ 80,083	\$ 127,000	\$ -	\$ -	\$ -	\$ -	1.50
Student Affairs	500678	103	Veteran Services	\$ 95,440	\$63,871	\$ 30,609	\$ 960	\$ -	\$ -	\$ -	\$ -	1.50

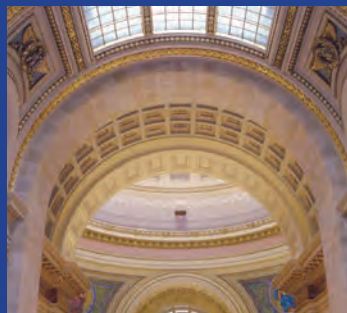
					SALARY BUDGETS		NON-SALARY BUDGETS					FTE
Unit	UDDS	Fund	Dept Description	Total Budget	Salaries	Fringe	S&E	Sales Credit	Capital	Aids to Individuals	Special Purpose	FTE
Student Affairs	500690	131	Central Solution Center	\$ 134,602	\$134,602	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	2.00
Student Affairs	510619	136	U Card ID	\$ 47,125	\$12,125	\$ -	\$ 35,000	\$ -	\$ -	\$ -	\$ -	0.25
Student Affairs	510652	103	AODE	\$ 70,795	\$39,544	\$ 18,951	\$ 12,300	\$ -	\$ -	\$ -	\$ -	0.70
Student Affairs	510654	402	TRIO	\$ 5,800	\$0	\$ -	\$ 5,800	\$ -	\$ -	\$ -	\$ -	-
Student Affairs	519571	128	Student Leadership	\$ 5,290	\$3,000	\$ 1,200	\$ 3,690	\$ (2,600)	\$ -	\$ -	\$ -	-
Student Affairs	519572	128	WI Collegiate Conference	\$ 20,124	\$8,999	\$ 3,592	\$ 7,533	\$ -	\$ -	\$ -	\$ -	0.20
Student Affairs	519597	103	Student Leadership	\$ 7,937	\$1,600	\$ 767	\$ 5,570	\$ -	\$ -	\$ -	\$ -	-
Student Affairs	959200	103	Financial Aid Awards	\$ 211,108	\$0	\$ -	\$ 9,362	\$ -	\$ -	\$ 201,746	\$ -	-
Student Affairs	959200	406	Lawton	\$ 222,073	\$0	\$ -	\$ -	\$ -	\$ -	\$ 222,073	\$ -	-
Student Affairs	959211	103	Financial Aid Awards	\$ 632,900	\$0	\$ -	\$ -	\$ -	\$ -	\$ 632,900	\$ -	-
Student Affairs	989879	145	Federal Work Study	\$ 385,172	\$385,172	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Student Affairs	989879	146	SEOG	\$ 529,836	\$0	\$ -	\$ -	\$ -	\$ -	\$ 529,836	\$ -	-
Student Affairs	989879	148	Pell Grants	\$ 13,000,000	\$0	\$ -	\$ -	\$ -	\$ -	\$ 13,000,000	\$ -	-
Student Affairs	989879	149	Direct Student Loans	\$ 20,000,000	\$0	\$ -	\$ -	\$ -	\$ -	\$ 20,000,000	\$ -	-
				\$ 50,116,042	\$5,627,201	\$ 2,860,671	\$5,248,105	-\$124,992	\$328,339	\$33,903,655	\$2,273,063	182.69

Report 17-6
April 2017

University of Wisconsin System

Fiscal Year 2015-16

STATE OF WISCONSIN



Legislative Audit Bureau ■

University of Wisconsin System

Fiscal Year 2015-16

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The Bureau is a nonpartisan legislative service agency responsible for conducting financial audits and performance evaluations of state agencies. The Bureau's purpose is to provide assurance to the Legislature that financial transactions and management decisions are made effectively, efficiently, and in compliance with state law and that state agencies carry out the policies of the Legislature and the Governor. Bureau reports typically contain reviews of financial transactions, analyses of agency performance or public policy issues, conclusions regarding the causes of problems found, and recommendations for improvement.

Reports are submitted to the Joint Legislative Audit Committee and made available to other committees of the Legislature and to the public. The Audit Committee may arrange public hearings on the issues identified in a report and may introduce legislation in response to the audit recommendations. However, the findings, conclusions, and recommendations in the report are those of the Legislative Audit Bureau.

The Bureau accepts confidential tips about fraud, waste, and mismanagement in any Wisconsin state agency or program through its hotline at 1-877-FRAUD-17.

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Contact the Bureau at 22 East Mifflin Street, Suite 500, Madison, Wisconsin 53703; AskLAB@legis.wisconsin.gov; or (608) 266-2818.

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OPINION PUBLISHED SEPARATELY

The financial statements and our unmodified opinion on them are included in the University of Wisconsin System's *2016 Annual Financial Report*



STATE OF WISCONSIN | Legislative Audit Bureau

22 East Mifflin St., Suite 500 ■ Madison, WI 53703 ■ (608) 266-2818 ■ Hotline: 1-877-FRAUD-17 ■ www.legis.wisconsin.gov/lab

Joe Chrisman
State Auditor

April 4, 2017

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee
State Capitol
Madison, Wisconsin 53702

Dear Senator Cowles and Representative Kerkman:

As required by s. 13.94 (1) (t), Wis. Stats., we have completed a financial audit of the University of Wisconsin (UW) System. We have provided an unmodified opinion on UW System's fiscal year (FY) 2015-16 and FY 2014-15 financial statements. These financial statements and our audit opinion on them are included in UW System's *2016 Annual Financial Report*, which is available on its website.

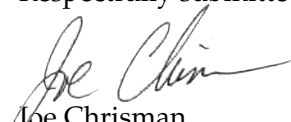
On the basis of generally accepted accounting principles (GAAP), UW System's net position decreased from \$6.7 billion as of June 30, 2015, to \$6.6 billion as of June 30, 2016. The decrease in net position is primarily the result of pension accounting standards that required UW System to report a net pension liability as of June 30, 2016. On a budgetary basis, the unrestricted program revenue balance for all UW institutions was \$883.3 million as of June 30, 2016, or \$40.6 million less than the balance as of June 30, 2015.

We reviewed compliance by UW institutions with policies related to nontraditional student fees, which UW institutions reported totaled \$98.7 million in FY 2015-16, and special course fees, which UW institutions reported totaled \$7.0 million in FY 2015-16. We found UW institutions did not have a process in place for conducting regular audits of special course fees as required by UW System Administration policy. We also found instances in which fees were inaccurately categorized in the statutorily required tuition and fee reports UW System provided to the Legislature. We recommend UW System Administration ensure the required audits are conducted and ensure the accuracy of the tuition and fee report.

We found that UW System Administration implemented our recommendations from report 16-3 related to UW institution reserve policies and administration of investments by the Office of Trust Funds. However, we again identified weaknesses in information technology security policies, procedures, and controls for several UW institutions. Because such weaknesses increase the risk that unauthorized or erroneous transactions could be processed; accounting, payroll, and student data could be changed; or personally identifiable information could be accidentally or maliciously exposed, we considered these weaknesses to be a significant deficiency in internal control in our Independent Auditor's Report on Internal Control and on Compliance and Other Matters, which begins on page 23.

We appreciate the courtesy and cooperation extended to us by staff of UW System during the audit. A response from the UW System President follows the report.

Respectfully submitted,


Joe Chrisman
State Auditor

JC/CS/ss

Introduction ■

UW System provides postsecondary academic education for approximately 179,000 students. The System includes 13 four-year universities, 13 two-year colleges, UW-Extension, and UW System Administration. Each of the 13 universities awards bachelor's and master's degrees, and several also confer doctoral degrees. UW Colleges are the 13 two-year colleges, which offer general education associate degrees and course credits that transfer to other degree-granting universities. UW-Extension, in cooperation with other UW institutions, provides continuing education courses in classrooms and via distance education, as well as public service programs to Wisconsin residents. UW System Administration consists of the UW System President's staff who assist the Board of Regents in establishing and monitoring systemwide policies, financial planning for the system, and maintaining fiscal control.

UW System Board and Staff

Under s. 15.91, Wis. Stats., the Board of Regents members include:

- 14 citizen members;
- 2 student members, one of whom is a nontraditional student;
- the State Superintendent of Public Instruction; and
- the President of the Wisconsin Technical College System Board, or his or her designee.

Citizen and student members are appointed by the Governor and confirmed by the Senate. Citizen members are appointed for staggered seven-year terms, and student members are appointed for two-year terms. At least one citizen member must reside in each of the State's congressional districts.

The Board of Regents establishes policies to govern UW institutions.

The 18-member Board of Regents establishes policies to govern UW institutions. The Board is responsible for appointing the President of UW System, the chancellors of each of the 13 four-year universities, the chancellor of UW-Extension and Colleges, and the deans of the two-year colleges. The UW System President and the chancellors of each UW institution are responsible for implementing policies established by the Board of Regents. Each chancellor is responsible for the institution's operations, including financial administration.

Financial Condition

We provided an unmodified audit opinion on UW System's financial statements for FY 2015-16 and FY 2014-15.

As required by s. 13.94 (1) (t), Wis. Stats., we completed a financial audit of UW System. We audited UW System's financial statements for the years ended June 30, 2016, and June 30, 2015, and provided our unmodified audit opinion to UW System for inclusion in its 2016 *Annual Financial Report*, which is available on its website. As a state agency, UW System's financial information is also included in the State's Comprehensive Annual Financial Report (CAFR), which is available on the Department of Administration's website. UW System's financial statements were prepared using generally accepted accounting principles (GAAP) prescribed by the Governmental Accounting Standards Board (GASB) and include the financial activity of all UW institutions.

Under provisions of GASB Statements 14, 39, and 61, UW System Administration is required to assess affiliated organizations on the basis of several factors, such as the legal status of the organization and the financial significance of the organization to UW System. For FY 2015-16 financial reporting purposes, UW System identified 74 such affiliated organizations, which include booster clubs, alumni organizations, and foundations. For fiscal year (FY) 2014-15, 74 such affiliated organizations were also identified.

The UW Foundation's financial statements were presented in UW System's 2016 Annual Financial Report.

As a result of its assessment, UW System Administration determined that one affiliated organization, the UW Foundation, was a component unit of UW System and has presented the UW Foundation's financial statements in UW System's 2016 *Annual Financial Report*. In prior reports, the University of Wisconsin Foundation's condensed financial statements were presented in the notes to the financial statements.

During our FY 2014-15 audit, we identified weaknesses in information technology (IT) security policies, procedures, and controls for several computer applications at several UW institutions. Weaknesses in IT security policies, procedures, and controls increase the risk that unauthorized or erroneous transactions could be processed; accounting, payroll, and student data could be changed; or personally identifiable information could be accidentally or maliciously exposed. In December 2015, the UW System Board of Regents approved a high-level policy on information security that required UW System to develop and maintain a comprehensive information security program. Subsequent to the end of our audit period, systemwide IT policies were established in September 2016 through the UW Information Assurance Council, which was created to identify and analyze risks related to IT security, develop policies to address these risks, and review the performance of the UW System IT security program. The Council is made up of IT, legal, and audit staff representing different institutions, including UW System Administration. Chancellors and chief information officers at each institution are responsible for ensuring compliance with the new policies established by the Council.

We again report a significant deficiency in internal control related to weaknesses in IT security policies, procedures, and controls at several UW institutions.

During the FY 2015-16 audit, we continued to identify weaknesses in IT security policies, procedures, and controls at several institutions. We determined that the detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated the concerns to the institutions involved through confidential interim memoranda. We considered these weaknesses to be a significant deficiency in internal control in our Independent Auditor's Report on Internal Control and on Compliance and Other Matters, which begins on page 23.

Revenue and Expenses

Student Tuition and Fees accounted for 25.2 percent of UW System's total revenue in FY 2015-16.

As shown in Table 1, UW System revenue increased by less than 1.0 percent from FY 2014-15 and was \$4.9 billion again in FY 2015-16. During FY 2015-16, UW System's largest revenue was Student Tuition and Fees, which includes tuition and other academic student fees. The \$1.2 billion in Student Tuition and Fees UW System collected in FY 2015-16 was 25.2 percent of its total revenue. From FY 2014-15 through FY 2015-16, revenue from Student Tuition and Fees reported in UW System's financial statements increased by 5.4 percent. This increase was largely the result of increases in tuition for nonresident and graduate students.

Table 1

UW System Revenue¹
(in millions)

Financial Statement Account	FY 2015-16	FY 2014-15	Percentage Change
Student Tuition and Fees ²	\$1,231.8	\$1,169.2	5.4%
State Appropriations ³	802.7	896.6	(10.5)
Federal Grants and Contracts	779.9	759.2	2.7
Sales and Services of Auxiliary Enterprises ²	418.1	401.8	4.1
State, Local, and Private Grants and Contracts	414.6	389.5	6.4
Other Operating Revenue	394.7	327.3	20.6
Sales and Services of Educational Activities	317.1	327.8	(3.3)
Gifts	303.1	304.9	(0.6)
Capital Appropriations	89.1	157.5	(43.4)
Sales and Services to UW Hospital Authority	66.9	64.4	3.9
Capital Contributions	43.8	31.0	41.3
Other Nonoperating Revenue	16.1	47.2	(65.9)
Student Loan Interest Income and Fees	6.1	5.0	22.0
Total	\$4,884.0	\$4,881.4	0.1

¹ On the basis of generally accepted accounting principles (GAAP).

² Excludes scholarships and fellowships applied to student accounts.

³ Excludes GPR appropriated to UW System for debt service payments.

State Appropriations was UW System's second-largest revenue during FY 2015-16. Except for general purpose revenue (GPR) appropriated to UW System for its debt service payments, GPR that UW System received was reported on UW System's financial statements as State Appropriations. In FY 2015-16, State Appropriations totaled \$802.7 million and accounted for 16.4 percent of total revenue. From FY 2014-15 through FY 2015-16, State Appropriations decreased by \$93.9 million, or by 10.5 percent.

Federal Grants and Contracts totaled \$779.9 million in FY 2015-16 and accounted for 16.0 percent of UW System's total revenue. Other significant revenue for UW System in FY 2015-16 included:

- Sales and Services of Auxiliary Enterprises, which totaled \$418.1 million and included revenue received for services such as student housing and food service;

- State, Local, and Private Grants and Contracts, which totaled \$414.6 million and included grants and contracts received from other state agencies, Wisconsin municipalities, and other non-federal entities;
- Other Operating Revenue, which totaled \$394.7 million and included revenue from intercollegiate athletics, student health services, child care centers, and certain administrative services;
- Sales and Services of Educational Activities, which totaled \$317.1 million and included revenue received from the sales of goods or services that were incidental to the primary function of UW System, such as textbook rentals, laboratory fees, scientific and literary publications, and public service programs; and
- Gifts, which totaled \$303.1 million and included amounts received from donors.

As shown in Table 2, UW System expenses increased from \$4.8 billion in FY 2014-15 to \$5.0 billion in FY 2015-16, or by 4.5 percent.

Table 2

UW System Expenses¹
(in millions)

Financial Statement Account	FY 2015-16	FY 2014-15	Percentage Change
Salary and Fringe Benefits	\$3,194.1	\$3,034.3	5.3%
Supplies and Services	1,194.9	1,178.0	1.4
Depreciation	303.9	290.4	4.6
Scholarships and Fellowships	149.7	135.8	10.2
Transfer to State Agencies	78.6	73.5	6.9
Interest on Indebtedness	61.0	55.9	9.1
Other Operating Expenses	6.0	31.4	(80.9)
Loss on Disposal of Capital Assets	46.7	17.4	168.4
Total	\$5,034.9	\$4,816.7	4.5

¹ On the basis of generally accepted accounting principles (GAAP).

Salary and Fringe Benefits was UW System's largest expense and totaled \$3.2 billion in FY 2015-16.

Salary and Fringe Benefits was UW System's largest expense and totaled \$3.2 billion, or 63.4 percent of its total expenses in FY 2015-16. From FY 2014-15 to FY 2015-16, Salary and Fringe Benefits expense increased by 5.3 percent because, as of June 30, 2016, a net pension liability was reported, which increased UW System's pension expense and is reflected as part of Salary and Fringe Benefits. As a participating employer in the Wisconsin Retirement System (WRS), UW System is required to report its proportionate share of the net pension liability (or asset) for all employees participating in the WRS. The net pension liability of the WRS was discussed in report 16-10. Other significant expenses included those related to the purchase of supplies and services, depreciation on capital assets, and scholarships and fellowships.

Debt Service Costs

The State of Wisconsin issues debt on behalf of UW System, as it does for other state agencies. The proceeds of this debt are used to acquire or build facilities and other capital assets. Debt on academic facilities is repaid using GPR appropriated to UW System for that purpose. Debt on other facilities, such as residence halls, is repaid using program revenue that is generated by payments from users of these facilities.

Outstanding GPR-funded debt, which is paid by the State for academic facilities, was \$1.7 billion as of June 30, 2016.

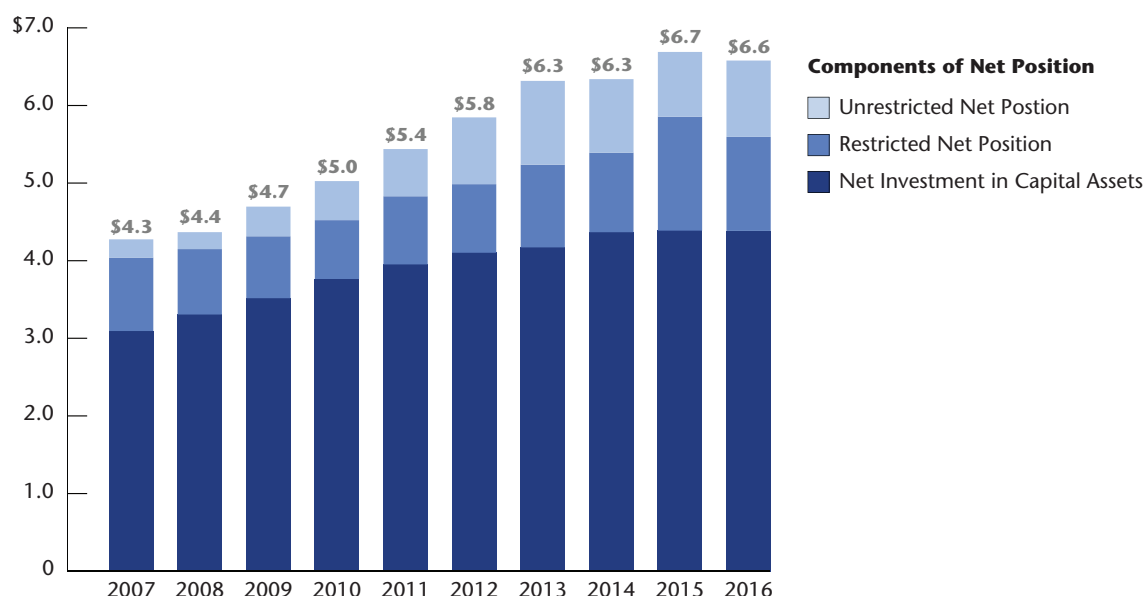
In FY 2015-16, GPR-funded debt service payments totaled \$190.8 million and program revenue-funded debt service payments totaled \$145.1 million. As of both June 30, 2016, and June 30, 2015, outstanding GPR-funded debt totaled \$1.7 billion, and outstanding program revenue-funded debt totaled \$1.6 billion.

Net Position

UW System's net position was \$6.6 billion as of June 30, 2016.

Net position provides a measure of overall financial condition. On a GAAP basis, UW System's net position decreased from \$6.7 billion as of June 30, 2015, to \$6.6 billion as of June 30, 2016, as shown in Figure 1. On UW System's financial statements, net position was presented in three components: Net Investment in Capital Assets, Restricted Net Position, and Unrestricted Net Position.

Figure 1

Net Position of UW System¹As of June 30
(in billions)¹ On the basis of generally accepted accounting principles (GAAP).

Net Investment in Capital Assets represents capital assets, such as buildings and equipment, less accumulated depreciation, and less any related outstanding debt needed to purchase or construct these capital assets. Net Investment in Capital Assets was the largest component of UW System's net position and totaled \$4.4 billion as of both June 30, 2016, and June 30, 2015.

Restricted Net Position represents amounts that have an external restriction on their use. The majority of UW System's Restricted Net Position relates to amounts that were restricted for endowment funds, gifts, non-federal grants and contracts, and federal student loans. Restricted Net Position decreased from \$1.5 billion as of June 30, 2015, to \$1.2 billion as of June 30, 2016, or by 17.5 percent. This decrease is largely the result of reporting a net pension liability in Unrestricted Net Position as of June 30, 2016, compared to reporting a net pension asset in Restricted Net Position as of June 30, 2015.

**On a GAAP basis,
UW System's Unrestricted
Net Position was
\$984.1 million as of
June 30, 2016.**

Unrestricted Net Position represents any remaining amounts not otherwise included in Net Investment in Capital Assets or Restricted Net Position. UW System indicated that most of its Unrestricted Net Position will be used for academic and research programs and initiatives, and capital programs. Unrestricted Net Position increased from \$833.8 million as of June 30, 2015, to \$984.1 million as of June 30, 2016, or by \$150.3 million. The increase is a result of reporting a net pension liability and related deferred amounts as of June 30, 2016. Additional information is included in Management's Discussion and Analysis on page 13 of UW System's 2016 *Annual Financial Report*.

Program Revenue Balances Reporting and Investment Oversight

**On a budgetary basis,
UW System's total
program revenue
balance was \$1.2 billion,
as of June 30, 2016.**

UW System receives program revenue from sources such as tuition; auxiliary operations, which include fees charged for student housing and food service; federal revenue; and gifts. On a budgetary basis, and as shown in Table 3, UW System's total program revenue balance as of June 30, 2016, was \$1.2 billion.

Table 3

UW System Total Program Revenue Balance¹ As of June 30 (in millions)

Year	Total	Percentage Change
2006	\$ 315.2	–
2007	406.0	28.8%
2008	443.6	9.3
2009	563.7	27.1
2010	649.6	15.2
2011	836.8	28.8
2012	1,045.0	24.9
2013	1,273.5	21.9
2014	1,185.6	(6.9)
2015	1,182.4	(0.3)
2016	1,188.5	0.5

¹ On a budgetary basis.

On a budgetary basis, unrestricted program revenue balances decreased from \$923.9 million as of June 30, 2015, to \$883.3 million as of June 30, 2016, or by \$40.6 million.

UW System reports program revenue balances to the Board of Regents in its *Report on Program Revenue Balances by Institution and Level of Commitment* (program revenue balances report). According to the program revenue balances report for FY 2015-16, the increase in total program revenue balances is largely attributable to increases in restricted program revenues, such as gifts and non-federal grants. On a budgetary basis, unrestricted program revenue balances decreased from \$923.9 million as of June 30, 2015, to \$883.3 million as of June 30, 2016, or by \$40.6 million.

In report 16-3, we performed a limited review of the program revenue balances report for FY 2014-15 and made recommendations to UW System Administration related to UW institution reserve policies. As part of our FY 2015-16 audit, we followed up on UW System Administration's progress in implementing our recommendations from report 16-3 and found that UW System Administration took steps to address our concerns. For example, in response to our recommendation related to reserve policies, UW System Administration provided training and guidance to UW institutions on appropriate reserve policies. In addition, we found that institution reserve policies that were not in compliance with Board of Regent policies or guidance provided by UW System Administration were revised to include appropriate information.

In report 16-3, we also evaluated the role of UW System Administration's Office of Trust Funds in overseeing investments of gifts, grants, and bequests made to the Board of Regents or individual UW institutions, and we made recommendations to improve oversight and administration of investments. As part of our FY 2015-16 audit, we followed up on UW System Administration's progress in implementing our recommendations from report 16-3 and found UW System Administration took steps to address our concerns. For example, UW System Administration completed all due diligence reviews and has worked with the Board of Regents to determine the appropriate level of information to provide to the Board of Regents. In addition, in November 2016, the Board of Regents created a subcommittee on investments within its Business and Finance Committee. The purpose of the subcommittee is to provide oversight for investment-related activities, such as recommending investment policies and practices to the Business and Finance Committee. The subcommittee, which held its first meeting on March 9, 2017, is anticipated to meet at least quarterly.

■ ■ ■ ■

Nontraditional Student Fees and Special Course Fees ■

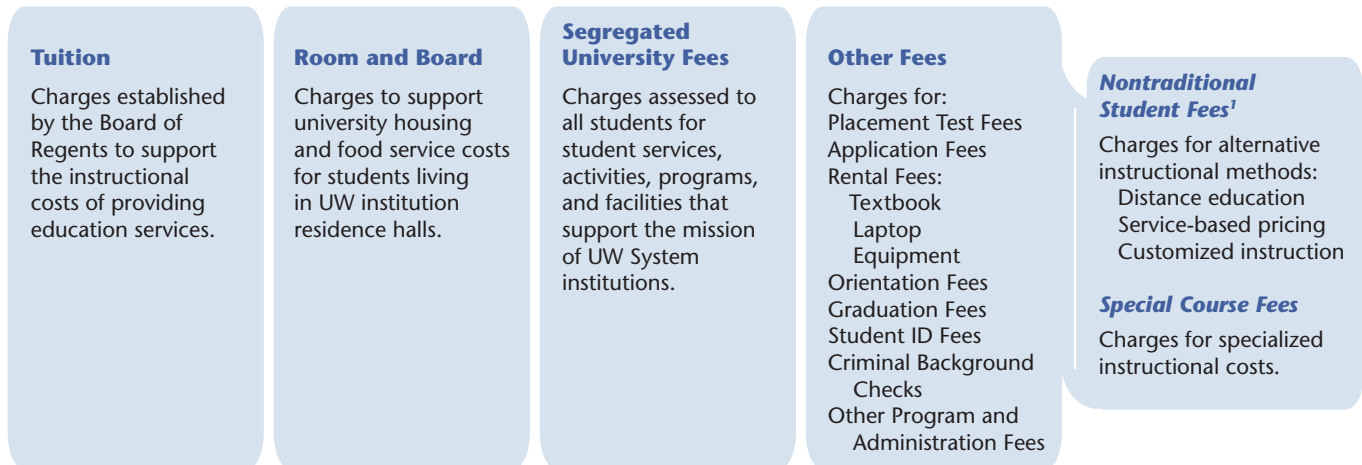
Students who attend UW institutions are charged tuition and fees. We reviewed compliance by UW institutions with policies related to nontraditional student fees, which UW institutions reported totaled \$98.7 million in FY 2015-16, and special course fees, which UW institutions reported totaled \$7.0 million in FY 2015-16. We found UW institutions did not have a process in place for conducting regular audits of special course fees as required by UW System Administration policy. We also identified errors in the statutorily required tuition and fee reports UW System provided to the Legislature. We recommend UW System Administration ensure the required audits are conducted and ensure the accuracy of the tuition and fee report.

UW institutions charge students for tuition, room and board, segregated fees, and a variety of other fees.

As shown in Figure 2, UW institutions charge students for tuition, room and board, segregated fees, and a variety of other fees. Tuition rates for the UW System are established by the Board of Regents as authorized under s. 36.27, Wis. Stats., to support the instructional costs of providing education services. For most students, tuition represents the most significant cost of attending a UW institution. Room and board charges support university housing and food service costs for students living in UW institution residence halls.

Figure 2

Tuition and Student Fee Types



¹ Applicable to students enrolled in nontraditional student programs and courses.

Segregated university fees are assessed to all students at each institution for specific student services and, under state law, must fund only the purposes for which they are collected. Segregated fees support certain student activities, such as student organizations, and also support long-term, fixed financial obligations, and ongoing operating costs for university buildings, such as student unions, health care centers, and recreational sports centers.

Other fees are charged to fund specific needs, course-related services, and additional program administrative costs. Institutions use other fees to fund special course instructional costs, alternative course delivery options for nontraditional students, testing for academic placement, special equipment rental programs, and enrollment-based needs, such as application processing and student orientation. The cost of fees to students varies depending on the institution, enrollment status of the student, and academic program.

Tuition and fees charged by UW System institutions, including UW Colleges, are reported in the “tuition and fee report” submitted by UW System Administration to the Joint Committee on Finance and the Joint Legislative Audit Committee annually by October 15, as provided under s. 36.65 (4), Wis. Stats.

We focused our analysis on nontraditional student fees and special course fees.

Based on the institutional variation in the amount charged and the number of fees charged, we focused our analysis on two types of fees:

- nontraditional student fees, which include fees for distance education, service-based pricing, and customized instruction; and
- special course fees, which are charged for specialized instructional costs.

We reviewed UW System policies, collected fee revenue data from the last five fiscal years from each institution, and performed a limited review to determine how institutions expended the fees. We also surveyed all 15 UW institutions, including UW Colleges and UW-Extension, about the administration of nontraditional student fees and special course fees. For each institution, except UW-Extension, we selected five special course fees and at least one nontraditional student fee for review. We selected these fees based on the FY 2015-16 fee amount, changes in the fee amount over time, and the academic department.

Nontraditional Student Fees

Nontraditional student fees include distance education fees, service-based pricing fees, and customized instruction fees.

Nontraditional student fees are charged for programs that support nontraditional students who are age 25 or older, part or full time, at the undergraduate, graduate, or professional levels or students who are enrolled in programs delivered using alternative instructional methods such as flexible meeting times or online delivery. Examples of these fees include:

- distance education fees that support the delivery of courses for which instructors and students are separated for a majority of the course and technologies are used to enable learning;
- service-based pricing fees that support certificate and customized degree programs designed for adults, such as an evening Master of Business Administration (MBA) program at UW-Madison and an online Doctor of Business Administration program at UW-Whitewater; and
- customized instruction fees that support programming designed to meet the specific needs of businesses and their employees and are charged at a rate to cover all program instructional costs.

Fees for these programs may be assessed in several ways, including through a per credit fee that is charged in addition to tuition, or

through a program fee that includes tuition and all instructional costs for an entire academic program.

Revenue from Nontraditional Student Fees

***In response to our survey,
UW institutions reported
\$98.7 million in
nontraditional student
fees in FY 2015-16.***

In response to our survey, UW institutions reported the revenue they collected from distance education and service-based pricing fees for the past five fiscal years. According to the information reported to us, and as shown in Table 4, revenue from these fees increased from \$77.9 million in FY 2011-12 to \$98.7 million in FY 2015-16, or by \$20.8 million. As noted in the *2015-16 Tuition and Fee Report* prepared by UW System Administration, the highest fee in this category was a \$62,000 fee at UW-Milwaukee for its 17-month Executive MBA program. The lowest fee in this category was a \$12.50 business certificate fee at UW-Madison.

Table 4

Nontraditional Student Fee Revenues, by UW Institution^{1, 2}

Institution	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Milwaukee	\$40,603,000	\$39,644,000	\$37,314,000	\$38,849,000	\$41,045,000
Madison	7,006,000	8,115,000	8,237,000	10,712,000	12,029,000
Oshkosh	7,477,000	7,719,000	8,991,000	9,760,000	9,792,000
Whitewater	6,039,000	6,228,000	6,366,000	7,928,000	9,223,000
Platteville	4,197,000	5,606,000	6,571,000	6,743,000	7,611,000
Eau Claire	2,411,000	2,549,000	3,098,000	3,418,000	4,554,000
Superior	3,139,000	3,244,000	3,610,000	3,786,000	3,799,000
River Falls	2,666,000	2,717,000	3,353,000	3,661,000	3,313,000
La Crosse	1,902,000	1,567,000	1,974,000	2,195,000	2,237,000
Extension	0	0	225,000	1,097,000	1,810,000
Colleges	1,870,000	2,094,000	1,910,000	1,933,000	1,714,000
Green Bay	588,000	640,000	841,000	789,000	837,000
Parkside	0	0	0	448,000	474,000
Stevens Point	0	20,000	31,000	68,000	217,000
Stout ³	0	0	0	0	0
Total	\$77,898,000	\$80,143,000	\$82,521,000	\$91,387,000	\$98,655,000

¹ As reported by UW System institutions in response to our survey.

² Includes only distance education and service-based pricing fees.

³ UW-Stout collects nontraditional student fee revenues under differential tuition, which is a type of tuition not shown in this table.

During this five-year period, certain institutions, including UW-Madison and UW-Platteville, generated increased revenue from distance education programs while UW-Eau Claire, UW-Oshkosh, and UW-Whitewater increased revenue by adding service-based pricing programs. In addition, in FY 2013-14, UW-Extension began collecting revenues from the UW Flexible Option program.

Administration of Nontraditional Student Fees

Of UW System Administration policies regarding nontraditional student fees, the most complete policy is for programs using service-based pricing. The policy requires approval by the UW System President of service-based pricing fees. Proposals for such fees must provide relevant information about the adult education market, describe the use of competitive pricing, and provide other required information. Institutions must deliver materials to the UW System President for approval no less than two months before the anticipated effective date of the proposed service-based pricing fee.

We reviewed approval documentation for a selection of nontraditional student fees from 14 UW institutions based on the specific programs offered. For 2 of 22 programs we selected, we could not review documentation because these programs had been in place for more than ten years, and original documentation was not available. However, programs approved recently had documentation supporting authorizations at the appropriate level.

Special Course Fees

Special course fees fund instructional costs for individual courses that are not covered by tuition funds.

Special course fees fund instructional costs for individual courses that are not covered by tuition funds. The instructional costs funded through special course fees include expenses such as transportation and admission for field trips, project materials that result in a product that may be retained by students, and private lessons for non-music majors.

UW System Administration has a special course fee policy that allows institutions to assess special course fees to pay for certain instructional costs that are not funded by the institution's regular instructional budget. According to the policy, special course fees may be used for a variety of purposes related to a course.

Revenue from Special Course Fees

In response to our survey, UW institutions reported \$7.0 million in special course fees in FY 2015-16.

In response to our survey, UW institutions reported the revenue they collected from special course fees for the past five fiscal years. According to the information reported to us, and as shown in Table 5, revenue from these fees increased from \$5.5 million in FY 2011-12 to \$7.0 million in FY 2015-16, or by \$1.5 million. The largest increase occurred between FY 2014-15 and FY 2015-16 when revenues from special course fees increased by \$1.1 million, which is largely attributable to a \$507,000 increase in revenue from a new math literacy special course fee reported by UW-Milwaukee.

Table 5

Special Course Fee Revenues, by UW Institution¹

Institution	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Oshkosh	\$1,059,000	\$1,443,000	\$1,422,000	\$1,394,000	\$1,354,000
Milwaukee	540,000	488,000	471,000	509,000	1,061,000 ²
La Crosse	935,000	791,000	771,000	674,000	849,000
Stevens Point	909,000	940,000	871,000	905,000	754,000
Platteville	393,000	487,000	495,000	450,000	722,000
River Falls	471,000	567,000	571,000	564,000	615,000
Eau Claire	408,000	460,000	521,000	459,000	522,000
Whitewater	318,000	417,000	447,000	439,000	501,000
Madison	106,000	120,000	204,000	143,000	230,000
Colleges	159,000	132,000	135,000	135,000	147,000
Superior	81,000	119,000	107,000	119,000	136,000
Stout	98,000	116,000	85,000	60,000	57,000
Parkside	0	50,000	33,000	37,000	45,000
Green Bay	47,000	38,000	46,000	47,000	44,000
Extension ³	0	0	0	0	0
Total	\$5,524,000	\$6,168,000	\$6,179,000	\$5,935,000	\$7,037,000

¹ As reported by UW System institutions in response to our survey.

² A new math literacy special course fee in FY 2015-16 accounted for an increase of nearly \$507,000 in course fee revenues.

³ UW-Extension does not charge special course fees.

In our review of the *2015-16 Tuition and Fee Report* prepared by UW System Administration, we found that the highest special course fees generally funded clinical training in undergraduate nursing programs, such as a clinical practicum fee of \$2,500 at UW-La Crosse.

The lowest special course fee was a \$1.00 fee for several courses at UW-La Crosse, including a geography imagery analysis course. This fee was set at \$1.00 in recognition of a surplus special course fee balance in the academic department's account.

Administration of Special Course Fees

UW System Administration policy for special course fees allows institutions to assess special course fees for a variety of purposes for the delivery of a course. Under UW System Administration policy, special course fees must be approved by the institution chancellor or designee and must only be used for the purposes for which they were intended. These fees may not be used for costs that should be covered by the regular instructional budget, such as instructor salaries. In addition, the policy requires that institutions establish procedures to account for special course fee revenues and expenditures and that they audit special course fees on a regular basis.

To determine if institutions were in compliance with UW System Administration policy, we reviewed approval documentation for a selection of special course fees from 14 institutions and found that the institutions had followed UW System Administration policies and institution procedures to obtain approval to add or change special course fees. In addition, we examined expenditures recorded in the accounting system for selected special course fees at several institutions for FY 2015-16. Although we were able to identify special course fee expenditures in the accounting system, the level of detail available made it difficult to determine which expenditures were related to a particular special course fee. Therefore, we could not readily determine if fees were used for the intended purpose.

Institution staff reported that they maintain oversight of special course fee revenues and expenditures by monitoring department balances, which would include any balances from special course fees, as part of their annual program revenue balance monitoring. One institution, UW-Stout, reported it has a process to review all special course fees for annual approval. However, most institutions indicated that their central business office does not regularly review individual special course fee expenditures to ensure that they were used for approved purposes. Instead, institutions reported that individual academic departments monitor their respective special course fee revenues and expenditures.

UW institutions do not have processes in place to conduct regular audits of special course fees, as required by UW System Administration policy.

In addition, none of the UW institution staff indicated they had a process in place to conduct regular audits of special course fees, as required by UW System Administration policy. Such audits would help to ensure that these fees are being appropriately assessed to students and are being used for the purposes for which they are intended.

We found instances in which fees reported in the 2015-16 Tuition and Fee Report were inaccurately categorized.

During our audit, we found instances in which fees reported in the 2015-16 *Tuition and Fee Report* were inaccurately categorized. For example, we identified certain fees reported as special course fees that were instead distance education fees. UW System Administration should take steps to ensure the accuracy of information included in the tuition and fee report.

☑ Recommendation

We recommend the University of Wisconsin System Administration:

- *ensure that UW institutions are following UW System Administration policy to regularly audit special course fee revenues and expenditures; and*
- *work with UW System institutions to ensure the accuracy of information reported in the tuition and fee report submitted annually to the Legislature under s. 36.65 (4), Wis. Stats.*

■ ■ ■ ■

Auditor's Report ■



Report 17-6

Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee

Members of the University of Wisconsin Board of Regents, and
Dr. Raymond Cross, President
University of Wisconsin System

We have audited the financial statements and the related notes of the University of Wisconsin (UW) System as of and for the years ended June 30, 2016, and June 30, 2015, and have issued our report thereon dated March 30, 2017. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, which is issued by the Comptroller General of the United States. The financial statements and related auditor's opinion have been included in UW System's *2016 Annual Financial Report*. Our report includes a reference to other auditors who audited the financial statements of the UW Foundation, as described in our report on UW System's financial statements. While the financial statements of the UW Foundation were audited in accordance with auditing standards generally accepted in the United States of America, they were not audited in accordance with *Government Auditing Standards* and accordingly this report does not include reporting on internal control over financial reporting or instances of reportable noncompliance associated with the UW Foundation.

Internal Control over Financial Reporting

Management of UW System is responsible for establishing and maintaining effective internal control over financial reporting (internal control). In planning and performing our audits of the financial statements, we considered UW System's internal control to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of UW System's internal control. Accordingly, we do not express an opinion on the effectiveness of UW 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 misstatements, or to detect and correct misstatements on a timely basis.

A *material weakness* is a deficiency or a combination of deficiencies in internal control such that there is a reasonable possibility that a material misstatement of UW System's financial statements will not be prevented, or that a material misstatement will not be 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 and, therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, we did not identify any deficiencies in internal control that we consider to be material weaknesses. We did identify certain deficiencies in internal control, described in the accompanying Finding and Response Schedule, that we consider to be a significant deficiency. These deficiencies were also considered to be a significant deficiency in FY 2014-15 Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters, dated December 17, 2015.

Because UW System's financial activity is also included in the State of Wisconsin's Comprehensive Annual Financial Report, this significant deficiency is also included in the Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters related to our audit of the State of Wisconsin's financial statements.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether UW System's financial statements are free from material misstatement, we performed tests of 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*.

Response to Finding

UW System's written response to the finding identified in our audit is described in the accompanying Finding and Response Schedule. UW System's response and its corrective action plan were not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on them.

Purpose of This Report

This report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be used when considering UW System's internal control and compliance. The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the result of that testing, and not to provide an opinion on the effectiveness of

UW System's internal control or on compliance. Accordingly, this report is not suitable for any other purpose.

LEGISLATIVE AUDIT BUREAU

A handwritten signature in black ink, appearing to read "Joe Chrisman". The signature is fluid and cursive, with the first name "Joe" and last name "Chrisman" clearly distinguishable.

Joe Chrisman
State Auditor

March 30, 2017

FINDING AND RESPONSE SCHEDULE

Finding 2016-001: Information Technology Controls at the University of Wisconsin System

Criteria:

The University of Wisconsin (UW) System consists of 13 four-year universities, 13 two-year colleges, UW-Extension, and UW System Administration. UW System Administration maintains the Shared Financial System (SFS), which is UW System's accounting system, and the Human Resource System (HRS), which is UW System's payroll and personnel system. These systems are used by all UW institutions. In addition, each institution maintains its own student information system (SIS) to administer federal student financial aid programs, as well as other computer applications. To provide proper internal control, IT security policies and procedures are necessary to ensure software and data stored and processed by the institutions are protected from accidental or intentional misuse or destruction. In addition, IT controls should be established to prevent inappropriate or inadvertent access to systems and data.

Condition:

During the FY 2014-15 audit (report 16-3), we identified weaknesses in IT security policies, procedures, and controls for several computer applications at several UW institutions. We recommended UW System Administration work with the chief information officers, chief business officers, and others as appropriate to assist UW institutions in implementing timely corrective actions related to our institution-specific concerns (Finding 2015-001). In addition, we recommended UW System Administration develop systemwide IT security policies and procedures and provide guidance and training on them to all UW institutions.

In December 2015, the UW System Board of Regents approved a high-level policy on information security that required UW System to develop and maintain a comprehensive information security program. Further, subsequent to the end of our audit period, systemwide IT policies were established in September 2016 through the UW Information Assurance Council. The Council, which is made up of IT, legal, and audit staff representing different institutions, including UW System Administration, was created to identify and analyze risks related to IT security, develop policies to address these risks, and review the performance of the UW System IT security program. Chancellors and chief information officers at each institution are responsible for ensuring compliance with the new policies.

During the FY 2015-16 audit, we continued to identify weaknesses in IT security policies, procedures, and controls at several institutions. We determined the detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated these results in confidential interim memoranda to the institutions involved. Further, we did not audit the IT security policies and procedures at all UW institutions or the IT controls over all computer applications used by the institutions. However, we believe there is a potential that similar weaknesses may exist at those institutions we did not review.

Questioned Costs:

None.

Context:

UW institutions operate in a highly computerized environment and are responsible for maintaining confidential and sensitive information, such as student data.

Effect:

Although it can be difficult to determine how IT concerns such as those we identified affect the financial statements and material federal compliance areas, ineffective general IT controls in areas such as these may permit controls over individual systems to operate improperly and may allow financial statement misstatements and noncompliance to occur and not be detected.

Weaknesses in IT security policies, procedures, and controls increase the risk that unauthorized or erroneous transactions could be processed or changes could be made to accounting, payroll, and student data. In addition, failure to provide an appropriate level of protection for UW systems and data increases the risk that personally identifiable information could be accidentally or maliciously exposed.

Cause:

IT staff at each UW institution are responsible for ensuring that IT security policies, procedures, and controls are properly developed and maintained. Those institutions that have smaller IT staff may find challenges in meeting these responsibilities, maintaining proper separation of duties, and monitoring sufficiently all security policies and procedures. In addition, with changing technologies, monitoring and assessment of current processes are necessary to evaluate changing data security risks. Some of the institutions indicated that corrective action on prior-year findings was delayed in some areas as the institutions awaited the development of systemwide IT policies by the UW Information Assurance Council.

☑ Recommendation

In addition to recommendations we made to individual UW institutions, we recommend UW System Administration continue to work with the UW Information Assurance Council and individual institutions to:

- *plan for and implement the new information technology policies and procedures, including providing guidance and training regarding information technology security policies and settings, as needed;*
- *assist the institutions in implementing timely corrective actions related to our institution-specific recommendations; and*
- *develop procedures for assessing the level of protection provided for UW systems and data.*

Response from the University of Wisconsin System: UW System agrees with this finding.

Corrective Action Plan from the University of Wisconsin System:

- UW System institutions are actively implementing information security policies and procedures. The majority of these policies will be implemented by January 2018.
- Systemwide policies and procedures for Data Handling and Asset Inventory are under development and should be approved by June 2017.
- UW System Administration is providing and funding security awareness training modules to be used by all institutions. This will comply with the systemwide training compliance requirements by June 30, 2017. Some institutions may have previously acquired their own training programs.
- UW System Administration will work with institutions to safeguard information technology settings in student information systems. This may include sharing of practices across institutions, procedural changes, and instituting compensating controls.
- UW System Administration will assist the institutions in addressing institution-specific corrective actions. These efforts will be led by the Chief Information Security Officer (CISO) of UW System.
- UW System Administration will develop procedures for assessing the level of protection provided for UW system and data by December 2017.

UW System will continue to enhance its information security policies, procedures and practices. The specific actions below form the basis of the corrective action plan that will be advanced by UW System Administration.

Anticipated Completion Date:

Action	Anticipated Completion Date
Review of first five foundational Information Security Policies and Procedures related to authentication, security awareness, data classification, incident response, and acceptable use	April 30, 2017
Complete Procurement of Multi-factor Authentication Tool	May 30, 2017
Complete UWIAC Comprehensive Information Security Plan	May 30, 2017
Approve Data Handling Policy	June 30, 2017
Approve Asset Inventory Policy	June 30, 2017

Response ■



Office of the President

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March 30, 2017

Mr. Joe Chrisman
State Auditor
Legislative Audit Bureau
22 E. Mifflin Street, Suite 500
Madison, WI 53703

Dear Mr. Chrisman,

Thank you for the opportunity to respond to the Legislative Audit Bureau's (LAB) audit of the University of Wisconsin System's 2016 Annual Financial Report. We appreciate the time and effort expended in completing the audit of our 2016 financial report, as well as the additional areas selected for review.

2016 Audited Financial Statements

As noted within our audited financial statements, the UW System's total net position declined by \$110 million between fiscal year (FY) 2015 and FY 2016. This decrease is the first reduction in net position since at least 2002, when the Governmental Accounting Standards Board revamped its financial reporting requirements.

One reason for this decline is a pension liability reported in FY 2016. While a \$330 million pension asset was reported in FY 2015, this asset became a \$220 million pension liability this year. The Department of Employee Trust Funds, which manages the Wisconsin Retirement System, attributes this swing to lower-than-expected investment returns and changes in actuarial assumptions.

Another reason for the reduction in total net position was a decline in state resources dedicated to the UW System in FY 2016. The State's 2015-17 biennial budget included a \$250 million budget reduction for the UW System. As LAB notes in its report, state appropriations declined by nearly \$94 million, or 10.5%, in FY 2016. The remaining portion of the 2015-17 reduction will need to be absorbed in the second year of the biennium. State appropriations for capital projects also declined \$68 million between FY 2015 and FY 2016 as capital projects were put on hold.

Special Course Fees

As defined in UW System policy, special course fees pay instructional costs not covered by tuition. Examples provided in the policy include the cost of transportation and admission on

field trips; materials for projects that result in tangible products retained by students; and private lessons to non-music majors.

The UW System policy currently states “institutions must audit special course fees on a regular basis.” At the time the UW System policy was developed, each UW institution employed its own internal auditor. Since that time, the internal audit function has been strengthened and now reports directly to the Board of Regents. Institutions no longer have the ability or resources to truly audit special course fees. Instead, institutional staff regularly ensure the documented purposes for these fees are consistent with UW System policy and review fee rates to determine if balances carried over from the prior year can be used to reduce current-year rates.

UW System agrees that the policy needs to be revised to reflect this change. UW System also agrees to enhance reporting instructions and further ensure the accuracy of information reported in the tuition and fee report submitted to the Legislature under s. 36.65(4), Wis. Stats.

Information Technology Security

Information technology security is of paramount importance for the UW System. We continue to strengthen our internal controls across all UW System institutions to protect against accidental or intentional malice or misuse of our data software and systems, as well as information storage.

These process improvements are being driven by the UW Information Assurance Council, which consists of chief information officers and other IT staff from each institution. The Council manages information security improvements across all UW System institutions to create consistent and appropriate information security policies. The Council is also charged with developing standards-based information security controls and improving the ability to audit our information systems.

The UW System agrees with LAB’s recommendations related to information technology security. Currently, the UW Information Assurance Council is focusing on continued implementation of the five recently-approved foundational information security policies and procedures. These policies and procedures address authentication, security awareness, data classification, incident response, and acceptable use.

Thank you again for the opportunity to comment on this report.

Sincerely,

A handwritten signature in black ink, appearing to read "Ray Cross". The signature is fluid and cursive, with the first name "Ray" being more prominent than the last name "Cross".

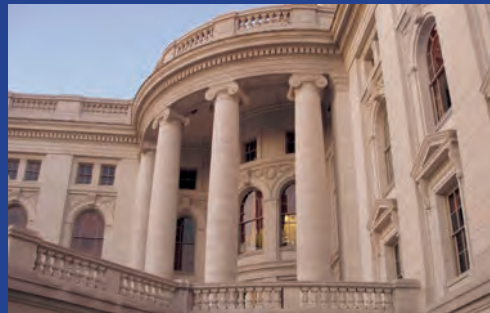
Ray Cross

**Report 16-3
February 2016**

University of Wisconsin System

Fiscal Year 2014-15

STATE OF WISCONSIN



Legislative Audit Bureau ■

University of Wisconsin System

Fiscal Year 2014-15

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OPINION PUBLISHED SEPARATELY

The financial statements and our unmodified opinion on them are included in the University of Wisconsin System's 2015 Annual Financial Report

Appendices

Appendix 1—UW System Affiliated Organizations

Appendix 2—Apportionment of GPR Offset, by Institution

Appendix 3—Level-of-Commitment Categories

Appendix 4—Selected Reporting Requirements for Unrestricted
Program Revenue Balances

Appendix 5—Summary of UW System Unrestricted Program Revenue Balances
by Level of Commitment

Appendix 6—Summary of External Investment Manager Performance

Response

From the University of Wisconsin System President



STATE OF WISCONSIN

Legislative Audit Bureau

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Joe Chrisman
State Auditor

February 15, 2016

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee
State Capitol
Madison, Wisconsin 53702

Dear Senator Cowles and Representative Kerkman:

As required by s. 13.94 (1) (t), Wis. Stats., we have completed a financial audit of the University of Wisconsin (UW) System. We have provided an unmodified opinion on UW System's fiscal year (FY) 2014-15 and FY 2013-14 financial statements. These financial statements and our audit opinion are included in UW System's *2015 Annual Financial Report*, which is available on its website.

On the basis of generally accepted accounting principles (GAAP), UW System's net position increased from \$6.3 billion as of June 30, 2014, to \$6.7 billion as of June 30, 2015, or by \$350.0 million. The increase in net position is primarily the result of UW System's implementation of new pension accounting standards that required UW System to report a net pension asset. The net pension asset is not available to meet UW System's other obligations.

As of June 30, 2015, the unrestricted program revenue balance for all UW institutions was \$923.9 million on a budgetary basis, or \$49.4 million less than the balance as of June 30, 2014. Although UW System Administration implemented our recommendations from report 15-1 to improve its program revenue balances reporting, we again identified concerns with UW institution reserves policies, and we include additional recommendations for improvement.

Donors may make gifts, grants, or bequests to the Board of Regents or to an individual UW institution. As of June 30, 2015, UW System held \$523.4 million in such investments, most of which was invested by external investment managers. We reviewed the policies used to manage these investments, and we include several recommendations to improve oversight and administration.

We identified weaknesses in information technology security policies, procedures, and controls for several UW institutions. Because such weaknesses increase the risk that unauthorized or erroneous transactions could be processed; accounting, payroll, and student data could be changed; or personally identifiable information could be accidentally or maliciously exposed, we considered these weaknesses to be a significant deficiency in internal control in our Independent Auditor's Report on Internal Control and on Compliance and Other Matters, which begins on page 51.

We appreciate the courtesy and cooperation extended to us by staff of UW System during the audit. A response from the UW System President follows the appendices.

Respectfully submitted,

Joe Chrisman
State Auditor

JC/CS/ss

Report Highlights ■

On the basis of generally accepted accounting principles (GAAP), UW System's net position was \$6.7 billion as of June 30, 2015.

We identified weaknesses in information technology security policies, procedures, and controls at several UW institutions.

2015 Wisconsin Act 55 included a base budget reduction in GPR appropriated to UW System.

Additional review and guidance is needed related to reserves policies developed by UW institutions.

UW System Administration did not complete ongoing due diligence of its external investment managers in accordance with its policies.

The University of Wisconsin (UW) System provides postsecondary academic education for approximately 181,000 students. UW System consists of 13 four-year universities, 13 two-year colleges, UW-Extension, and UW System Administration. Under ch. 36, Wis. Stats., UW System is governed by the 18-member Board of Regents, which is responsible for appointing the UW System President, the chancellors of each of the 13 four-year universities, the chancellor of UW-Extension and Colleges, and the deans who head the two-year colleges.

We are required by statute to perform an annual financial audit of UW System. Our unmodified opinion on UW System's financial statements for fiscal year (FY) 2014-15 and FY 2013-14 is included in its *2015 Annual Financial Report*. In completing our audit, we:

- reviewed UW System's overall financial condition;
- analyzed how UW System Administration apportioned a base budget reduction in general purpose revenue (GPR) appropriated by 2015 Wisconsin Act 55, the 2015-17 Biennial Budget Act, to UW institutions for FY 2015-16;
- performed a limited review of the FY 2014-15 program revenue balances report, which was submitted to the Board of Regents and the Legislature in October 2015; and

- evaluated the role of UW System Administration's Office of Trust Funds in overseeing investment of gifts, grants, and bequests made to the Board of Regents or individual UW institutions.

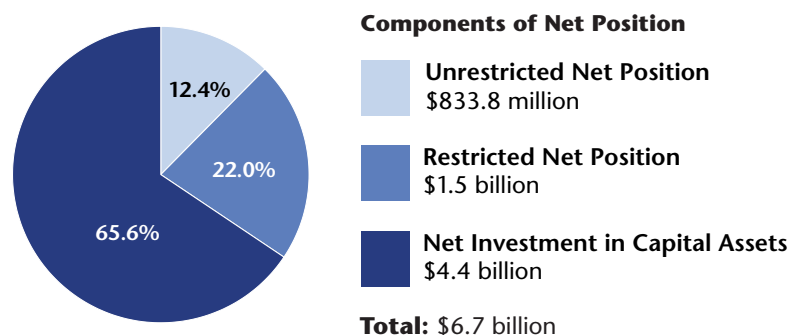
Financial Condition

In FY 2014-15, and on the basis of generally accepted accounting principles (GAAP), UW System revenue totaled \$4.9 billion and the largest revenue was Student Tuition and Fees, which totaled \$1.2 billion and was 24.0 percent of total revenue. UW System expenses totaled \$4.8 billion and the largest expense was Salary and Fringe Benefits, which totaled \$3.0 billion and was 63.0 percent of total expenses.

As of June 30, 2015, UW System's net position, which provides a measure of its overall financial condition, was \$6.7 billion on a GAAP basis. As shown in Figure 1, Unrestricted Net Position, which are resources available for future spending, was \$833.8 million as of June 30, 2015.

Figure 1

Net Position¹ As of June 30, 2015



¹ On the basis of generally accepted accounting principles (GAAP).

We identified weaknesses in information technology (IT) security policies, procedures, and controls for several applications at several UW institutions. These weaknesses increase the risk that unauthorized or erroneous transactions could be processed;

accounting, payroll, and student data could be changed; or personally identifiable information could be accidentally or maliciously exposed. We considered these weaknesses to be a significant deficiency in internal control for FY 2014-15.

For each year in the 2015-17 biennium, 2015 Wisconsin Act 55, the Biennial Budget Act, included a \$150.0 million reduction in GPR appropriated to UW System for general program operations, which include the salaries, fringe benefits, utilities, and supplies and services used to provide an education to students enrolled at UW institutions. In addition, Act 55 provided \$25.0 million in GPR in each year of the biennium to offset the reduction. UW System reported taking a number of actions in FY 2015-16 in response to the reduction in GPR, including distributing \$20.0 million in UW Systemwide program revenue balances to UW institutions.

Program Revenue Balances

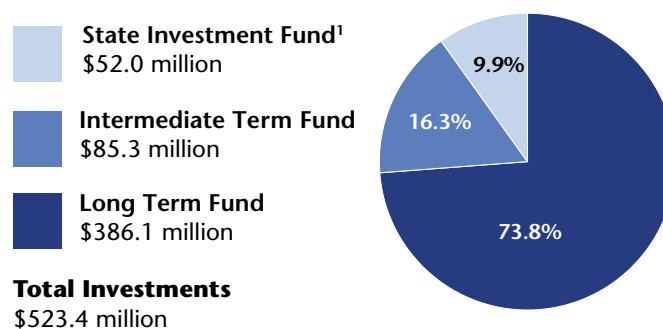
As of June 30, 2015, UW System's total program revenue balance was \$1.2 billion. During the Board of Regents October 2015 meeting, UW System Administration reported to the Board the fiscal year-end balances for each institution for program revenue funding sources that did not have a restriction on their use, such as tuition and federal indirect cost reimbursement. On a budgetary basis, these balances decreased from \$973.3 million as of June 30, 2014, to \$923.9 million as of June 30, 2015, or by \$49.4 million.

UW System took steps to address recommendations we included in report 15-1 to improve its program revenue balances report. However, additional review and guidance is needed related to the reserves policies developed by UW institutions.

Investments

The Board of Regents is responsible for investing all gifts, grants, and bequests made to the Board of Regents or to individual UW institutions. UW System Administration's Office of Trust Funds is responsible for the daily management and administration of the trust funds. As of June 30, 2015, UW System held \$523.4 million in such investments. As shown in Figure 2, most of these investments are in the Long Term Fund, which is used to invest endowed assets, and the Intermediate Term Fund, which is used to invest fully expendable assets. We reviewed the role of the Board of Regents and UW System Administration's Office of Trust Funds in overseeing the investment of these funds, and the policies used to manage the investments.

Figure 2

Total Investments
As of June 30, 2015

¹ Short-term pool of state and local government funds managed by the State of Wisconsin Investment Board.

Approximately 82.0 percent of the assets in the Long Term and Intermediate Term funds are managed by external investment managers. We found the Office of Trust Funds did not conduct required due diligence meetings for two of six external investment managers in 2015 and that documentation to support ongoing due diligence was not always available. In addition, we found the Office of Trust Funds did not prepare required reports to the Board of Regents related to due diligence activity that it performed.

External investment managers charge a fee to UW System Administration for investment management services. In FY 2014-15, external investment management fees totaled \$3.1 million, of which \$1.4 million was directly billed to UW System and \$1.7 million was charged against investment earnings. We found the Office of Trust Funds did not monitor the fees charged against investment earnings to ensure they complied with the terms of the contracts with the external investment managers.

Recommendations

We recommend UW System Administration review current UW institution reserves policies to ensure the policies are complete and consistently in compliance with Board of Regents policies and UW System Administration guidance ([p. 29](#)).

We also recommend UW System Administration:

- ☑ review the asset allocation plans for investments to determine if changes should be made, report the results of its review to the Board of Regents, and seek approval of any revisions ([p. 37](#));
- ☑ improve its current processes to ensure that ongoing due diligence of external investment managers is being completed and documented in accordance with the UW System Trust Funds Investment Policy Statement ([p. 39](#));
- ☑ complete and provide an annual due diligence report for each external investment manager to the Board of Regents Business and Finance Committee, as required by the UW System Trust Funds Investment Policy Statement ([p. 39](#));
- ☑ request from each external investment manager, on at least an annual basis, information on the actual investment management fees charged against investment earnings and compare fees to the terms of the contracts to ensure UW System is paying the correct amount of fees ([p. 42](#));
- ☑ report the results of its review of investment management fees to the Board of Regents on an annual basis ([p. 42](#));
- ☑ review the benchmarks used to assess and report on investment performance of the Intermediate Term Fund, determine if an alternative benchmark should be used, and report to the Board of Regents the results of the review and propose any changes to be made ([p. 46](#)); and
- ☑ improve the content and the availability of its investment reports to the Board of Regents ([p. 47](#)).

We recommend UW System Administration report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement these recommendations ([pp. 29, 37, 39, 42, 46, and 47](#)).

Further, we recommend UW System Administration assist UW institutions in implementing changes to IT controls and develop a UW System-wide IT security program ([p. 54](#)).

Introduction ■

UW System provides postsecondary academic education for approximately 181,000 students. The System includes 13 four-year universities, 13 two-year colleges, UW-Extension, and UW System Administration. Each of the 13 universities awards bachelor's and master's degrees, and several also confer doctoral degrees. UW Colleges are the 13 two-year campuses, which offer general education associate degrees and course credits that transfer to other degree-granting universities. UW-Extension, in cooperation with other UW institutions, provides continuing education courses in classrooms and via distance education, as well as public service programs to Wisconsin residents. UW System Administration consists of the UW System President's staff who assist the Board of Regents in establishing and monitoring systemwide policies, financial planning for the system, and maintaining fiscal control.

UW System Board and Staff

Under s. 15.91, Wis. Stats., the Board of Regents members include:

- 14 citizen members;
- 2 student members, one of whom is a nontraditional student;
- the State Superintendent of Public Instruction; and
- the President of the Wisconsin Technical College System Board, or his or her designee.

Citizen and student members are appointed by the Governor and confirmed by the Senate. Citizen members are appointed for staggered seven-year terms, and student members are appointed for two-year terms. At least one citizen member must reside in each of the State's congressional districts.

The Board of Regents establishes policies to govern UW institutions.

The 18-member Board of Regents establishes policies to govern UW institutions. The Board is responsible for appointing the President of UW System, the chancellors of each of the 13 four-year universities, the chancellor of UW-Extension and Colleges, and the deans of the two-year colleges. The UW System President and the chancellors of each UW institution are responsible for implementing policies established by the Board of Regents. Each chancellor is responsible for the institution's operations, including financial administration.

Financial Condition

We provided an unmodified audit opinion on UW System's financial statements for FY 2014-15 and FY 2013-14.

As required by s. 13.94 (1) (t), Wis. Stats., we completed a financial audit of UW System. We audited UW System's financial statements for the years ended June 30, 2015, and June 30, 2014, and provided our unmodified audit opinion to UW System for inclusion in its 2015 *Annual Financial Report*, which is available on its website. UW System's financial statements were prepared using generally accepted accounting principles (GAAP) prescribed by the Governmental Accounting Standards Board (GASB) and include the financial activity of all UW institutions. As a state agency, UW System's financial information is also included in the State's Comprehensive Annual Financial Report (CAFR).

We report a significant deficiency in internal control related to weaknesses in IT security policies, procedures, and controls at several UW institutions.

Our audit identified weaknesses in IT security policies, procedures, and controls for several computer applications at several UW institutions. Weaknesses in IT security policies, procedures, and controls increase the risk that unauthorized or erroneous transactions could be processed; accounting, payroll, and student data could be changed; or personally identifiable information could be accidentally or maliciously exposed. We determined that the detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated the concerns to the institutions involved through confidential interim memoranda. We considered these weaknesses to be a significant deficiency in internal control in our Independent Auditor's Report on Internal Control and on Compliance and Other Matters, which begins on page 51.

Revenue and Expenses

Student Tuition and Fees accounted for 24.0 percent of UW System's total revenue in FY 2014-15.

As shown in Table 1, UW System revenue increased by less than 1.0 percent from FY 2013-14 and was \$4.9 billion again in FY 2014-15. During FY 2014-15, UW System's largest revenue was Student Tuition and Fees, which includes tuition and other academic student fees. The \$1.2 billion in Student Tuition and Fees UW System collected in FY 2014-15 was 24.0 percent of its total revenue. From FY 2013-14 through FY 2014-15, revenue from Student Tuition and Fees reported in UW System's financial statements increased by 2.7 percent. This increase was largely the result of a FY 2013-14 financial reporting error that UW System chose not to correct because it was immaterial to the financial statements overall.

Table 1

UW System Revenue¹ (in millions)

Financial Statement Account	FY 2014-15	FY 2013-14	Percentage Change
Student Tuition and Fees ²	\$1,169.2	\$1,138.3	2.7% ³
State Appropriations ⁴	896.6	918.7	(2.4)
Federal Grants and Contracts	759.2	804.2	(5.6)
Sales and Services of Auxiliary Enterprises ²	401.8	405.7	(1.0)
State, Local, and Private Grants and Contracts	389.5	358.3	8.7
Sales and Services of Educational Activities	327.8	312.0	5.1
Other Operating Revenue	327.3	318.8	2.7
Gifts	304.9	292.3	4.3
Capital Appropriations	157.5	94.5	66.7
Sales and Services to UW Hospital Authority	64.4	65.2	(1.2)
Other Nonoperating Revenue	47.2	96.9	(51.3)
Capital Contributions	31.0	46.5	(33.3)
Student Loan Interest Income and Fees	5.0	5.1	(2.0)
Total	\$4,881.4	\$4,856.5	0.5

¹ On the basis of generally accepted accounting principles (GAAP).

² Excludes scholarships and fellowships applied to student accounts.

³ This increase was largely the result of a FY 2013-14 financial reporting error that UW System chose not to correct because it was immaterial to the financial statements overall.

⁴ Excludes GPR appropriated to UW System for debt service payments.

State Appropriations was UW System's second-largest revenue during FY 2014-15. Except for GPR appropriated to UW System for its debt service payments, GPR that UW System received was reported on UW System's financial statements as State Appropriations. In FY 2014-15, State Appropriations totaled \$896.6 million and accounted for 18.4 percent of total revenue. From FY 2013-14 through FY 2014-15, State Appropriations decreased by \$22.1 million, or by 2.4 percent.

Federal Grants and Contracts totaled \$759.2 million in FY 2014-15 and accounted for 15.6 percent of UW System's total revenue. Other significant revenue for UW System in FY 2014-15 included:

- Sales and Services of Auxiliary Enterprises, which totaled \$401.8 million and included revenue received for services such as student housing and food service;
- State, Local, and Private Grants and Contracts, which totaled \$389.5 million and included grants and contracts received from other state agencies, Wisconsin municipalities, and other nonfederal entities;
- Sales and Services of Educational Activities, which totaled \$327.8 million and included revenue received from the sales of goods or services that were incidental to the primary function of UW System, such as textbook rentals, laboratory fees, scientific and literary publications, and public service programs;
- Other Operating Revenue, which totaled \$327.3 million and included revenue from intercollegiate athletics, student health services, child care centers, and certain administrative services; and
- Gifts, which totaled \$304.9 million and included amounts received from donors.

As shown in Table 2, UW System expenses decreased by less than 1.0 percent from FY 2013-14 and again totaled \$4.8 billion in FY 2014-15.

Table 2
UW System Expenses¹
 (in millions)

Financial Statement Account	FY 2014-15	FY 2013-14	Percentage Change
Salary and Fringe Benefits	\$3,034.3	\$2,969.4	2.2%
Supplies and Services	1,178.0	1,227.6	(4.0)
Depreciation	290.4	273.5	6.2
Scholarships and Fellowships	135.8	149.6	(9.2)
Transfer to State Agencies	73.5	94.9	(22.6)
Interest on Indebtedness	55.9	62.6	(10.7)
Other Operating Expenses	31.4	30.2	4.0
Loss on Disposal of Capital Assets	17.4	25.6	(32.0)
Total	\$4,816.7	\$4,833.4	(0.3)

¹ On the basis of generally accepted accounting principles (GAAP).

Salary and Fringe Benefits was UW System's largest expense and totaled \$3.0 billion in FY 2014-15.

Salary and Fringe Benefits was UW System's largest expense and totaled \$3.0 billion, or 63.0 percent of its total expenses in FY 2014-15. Other significant expenses included those related to the purchase of supplies and services, depreciation on capital assets, and scholarships and fellowships.

Debt Service Costs

The State of Wisconsin issues debt on behalf of UW System, as it does for other state agencies. The proceeds of this debt are used to acquire or build facilities and other capital assets. Debt on academic facilities is repaid using GPR appropriated to UW System for that purpose. Debt on other facilities, such as residence halls, is repaid using program revenue that is generated by payments from users of these facilities.

Outstanding GPR-funded debt, which is paid by the State for academic facilities, was \$1.7 billion as of June 30, 2015.

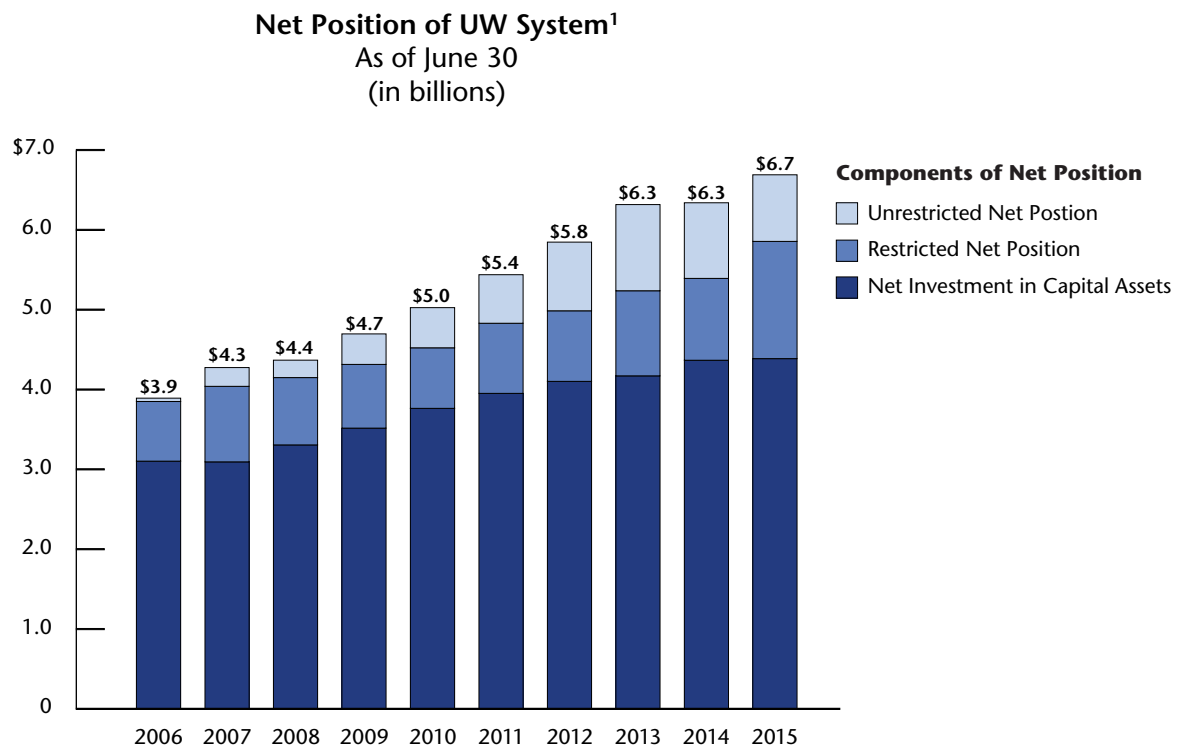
In FY 2014-15, GPR-funded debt service payments totaled \$189.3 million and program revenue-funded debt service payments totaled \$127.0 million. As of both June 30, 2015, and June 30, 2014, outstanding GPR-funded debt totaled \$1.7 billion, and outstanding program revenue-funded debt totaled \$1.6 billion.

Net Position

UW System's net position was \$6.7 billion as of June 30, 2015.

Net position provides a measure of overall financial condition. On a GAAP basis, UW System's net position increased from \$6.3 billion as of June 30, 2014, to \$6.7 billion as of June 30, 2015, as shown in Figure 3. On UW System's financial statements, net position was presented in three components: Net Investment in Capital Assets, Restricted Net Position, and Unrestricted Net Position.

Figure 3



¹ On the basis of generally accepted accounting principles (GAAP).

Net Investment in Capital Assets represents capital assets, such as buildings and equipment, less accumulated depreciation, and less any related outstanding debt needed to purchase or construct these capital assets. Net Investment in Capital Assets was the largest component of UW System's net position and totaled \$4.4 billion as of both June 30, 2015, and June 30, 2014.

Restricted Net Position represents amounts that have an external restriction on their use. The majority of UW System's Restricted Net Position relates to amounts that were restricted for pensions,

endowment funds, gifts, nonfederal grants and contracts, and federal student loans. Restricted Net Position increased from \$1.0 billion as of June 30, 2014, to \$1.5 billion as of June 30, 2015, or by 43.2 percent. This increase resulted largely from the implementation of new pension accounting standards, which we discussed in report 15-11, that required UW System to report a net pension asset of \$330.2 million. The net pension asset is not available to meet UW System's other obligations because the Wisconsin Retirement System is an irrevocable trust and these funds can only be used to fund pension benefits.

On a GAAP basis, UW System's Unrestricted Net Position was \$833.8 million as of June 30, 2015.

Unrestricted Net Position represents any remaining amounts not otherwise included in Net Investment in Capital Assets or Restricted Net Position. These amounts are available to UW System for future spending. UW System indicated that most of its Unrestricted Net Position will be used for academic and research programs and initiatives, and capital programs. Unrestricted Net Position decreased from \$947.5 million as of June 30, 2014, to \$833.8 million as of June 30, 2015, or by \$113.7 million.

Student Tuition and Fees represented 43.6 percent of Unrestricted Net Position as of June 30, 2015.

Prior to FY 2013-14, UW System's Unrestricted Net Position increased steadily because UW System collected more revenue than it used in its operations. This increase in Unrestricted Net Position was largely attributable to unspent balances from Student Tuition and Fees. Unrestricted Net Position related to Student Tuition and Fees decreased from \$439.0 million as of June 30, 2014, to \$363.5 million as of June 30, 2015, or by \$75.5 million. Student tuition and fees represented 46.3 percent of Unrestricted Net Position as of June 30, 2014, and 43.6 percent of Unrestricted Net Position as of June 30, 2015. Other components of Unrestricted Net Position included general operations receipts, auxiliary operations not funded with student fees, and federal indirect cost reimbursement.

Affiliated Organizations

UW System Administration identified 74 affiliated organizations, such as booster clubs, alumni organizations, and foundations.

Under the provisions of GASB Statements 14, 39, and 61, UW System Administration is required to assess affiliated organizations on the basis of several factors, such as the legal status of the organization and the financial significance of the organization to UW System. For FY 2014-15 financial reporting purposes, UW System identified 74 such affiliated organizations, which include booster clubs, alumni organizations, and foundations. Since FY 2013-14, UW System identified three new affiliated organizations, and considered two organizations to no longer be affiliated organizations. Generally, because these organizations are separate legal entities, UW System does not control or have direct access to the funds held by these

organizations. Appendix 1 lists all UW System affiliated organizations identified by UW System Administration.

UW System Administration has determined that an affiliated organization is financially significant for financial reporting purposes if its total net assets, or net position, is greater than or equal to 5.0 percent of UW System's net position in the previous fiscal year. For FY 2014-15, UW System Administration considered an affiliated organization with net assets or net position of \$317.0 million or greater to be financially significant to UW System for financial reporting purposes. The affiliated organizations with the largest net assets or net position are UW Foundation, Wisconsin Alumni Research Foundation (WARF), and UW Medical Foundation.

UW Foundation's condensed financial statements are included in UW System's 2015 Annual Financial Report.

UW System Administration has determined that UW Foundation is financially significant. UW Foundation raises funds, receives gifts, and manages its investments primarily for the benefit of UW-Madison. Disbursements to and on behalf of UW-Madison are for scientific, literary, educational, and athletic purposes. UW System Administration included UW Foundation's Condensed Statement of Net Position and Condensed Statement of Activities in Note 11 of its *2015 Annual Financial Report*. UW Foundation's net position was \$2.9 billion as of December 31, 2014, and it contributed \$246.7 million primarily to UW-Madison during the fiscal year ended December 31, 2014.

WARF patents and licenses discoveries by UW-Madison researchers and uses income generated from the invested licensing revenues to fund additional UW-Madison research. In addition, WARF and UW-Madison jointly own the Wisconsin Institutes for Discovery. According to WARF's most recent publicly available Internal Revenue Service (IRS) Form 990, WARF had net assets of \$2.5 billion as of June 30, 2015, and contributed \$60.0 million to UW-Madison during the fiscal year ended June 30, 2015. Because WARF's benefit is broader than to just UW-Madison, UW System Administration has determined that, under GASB standards, WARF's financial statements need not be presented as part of UW System's financial statements. However, Note 11 of UW System's *2015 Annual Financial Report* provides further information on the Wisconsin Institutes for Discovery.

The UW Medical Foundation is the clinical practice organization for the faculty physicians of the UW-Madison School of Medicine and Public Health. The UW Medical Foundation provides clinical sites, technical and professional staff, and administrative services. According to its most recent publicly available IRS Form 990, the UW Medical Foundation had net assets of \$314.4 million as of June 30, 2014, and contributed \$32.2 million to UW-Madison

during the fiscal year ended June 30, 2014. Because UW System Administration has decided that the UW Medical Foundation is not financially significant to UW System, the UW Medical Foundation's financial statements are not presented as part of UW System's financial statements. However, Note 11 of UW System's *2015 Annual Financial Report* discloses certain payments UW Medical Foundation made to UW-Madison. In June 2015, the Board of Regents approved an agreement between the UW Medical Foundation and the UW Hospital and Clinics Authority, which would merge them into one organization.

FY 2015-16 Budget Considerations

Act 55 included a \$150.0 million base budget reduction in each year of the biennium in GPR and provided \$25.0 million in GPR each year to offset the reduction.

As noted, UW System's second-largest revenue in FY 2014-15 was State Appropriations, which includes all GPR received by UW System, except for GPR appropriated for debt service payments. In 2015 Wisconsin Act 55, the 2015-17 Biennial Budget Act, GPR appropriated to UW System for general program operations, which include the salaries, fringe benefits, utilities, and supplies and services used to provide an education to students enrolled at UW institutions, was reduced from FY 2014-15 base year levels. Most significantly, Act 55 included a \$150.0 million base budget reduction in each year of the biennium in GPR for general program operations and provided \$25.0 million in GPR in each year of the biennium to offset the reduction. Nonstatutory language in Act 55 specified that the GPR offset be provided to institutions most affected by the base budget reduction in GPR.

Through UW System's annual operating budget, each institution is allocated a portion of the GPR appropriated to UW System. In preparing its FY 2015-16 annual operating budget, UW System Administration apportioned the \$150.0 million base budget reduction in GPR to each institution based on the institution's proportionate share of UW System's general program operations budget. In addition, UW System Administration apportioned \$12.5 million of the \$25.0 million GPR offset to each institution using the same methodology. The remaining \$12.5 million was apportioned to the institutions based on various factors, such as the number of enrolled Pell grant recipients, faculty compensation levels, enrollment, and the discretion of the UW System President. Appendix 2 is a summary of how these factors were considered for each UW institution. As shown in Table 3, the net reduction resulting from these provisions of Act 55 ranged from \$53.0 million at UW-Madison to \$605,100 at UW-Superior.

Table 3

GPR Base Budget Reduction, by Institution¹
FY 2015-16

Institution	2014-15 Adjusted Base	Percentage of Total	GPR Reduction	GPR Offset	Net Reduction
Madison	\$ 673,525,300	38.0%	\$ (56,985,000)	\$ 4,000,000	\$ (52,985,000)
Milwaukee	241,511,200	13.6	(20,430,000)	4,508,800	(15,921,200)
Eau Claire	92,627,100	5.2	(7,830,000)	939,600	(6,890,400)
Oshkosh	89,587,700	5.0	(7,575,000)	945,700	(6,629,300)
La Crosse	74,988,600	4.2	(6,345,000)	768,800	(5,576,200)
Whitewater	75,847,900	4.3	(6,420,000)	1,277,300	(5,142,700)
Stevens Point	75,864,600	4.3	(6,420,000)	1,327,900	(5,092,100)
Stout	70,006,100	4.0	(5,925,000)	1,216,800	(4,708,200)
Extension	64,834,800	3.7	(5,490,000)	872,000	(4,618,000)
Colleges	68,978,400	3.9	(5,835,000)	1,481,800	(4,353,200)
Platteville	50,677,100	2.9	(4,290,000)	1,207,300	(3,082,700)
River Falls	50,353,200	2.8	(4,260,000)	1,390,700	(2,869,300)
Green Bay	44,604,700	2.5	(3,780,000)	1,354,000	(2,426,000)
Systemwide ²	22,356,000	1.3	(1,890,000)	–	(1,890,000)
Parkside	41,494,900	2.3	(3,510,000)	1,944,400	(1,565,600)
System Administration	7,584,700	0.4	(645,000)	–	(645,000)
Superior	28,020,200	1.6	(2,370,000)	1,764,900	(605,100)
Total	\$1,772,862,500	100.0%	\$(150,000,000)	\$25,000,000	\$(125,000,000)

¹ As affected by UW System Administration's implementation of certain provisions of 2015 Wisconsin Act 55 and excludes GPR appropriated to UW System for debt service payments.

² Accounts maintained by UW System Administration for the benefit of all institutions.

In FY 2015-16, UW System Administration distributed \$20.0 million to UW institutions to slow the effects of the base budget reduction.

Because this was an audit of FY 2014-15, and because our fieldwork concluded in the first half of FY 2015-16, we could not assess UW System's response to the base budget reduction for FY 2015-16. UW System reported taking a number of actions in FY 2015-16 in response to the base budget reduction in GPR. For example, UW System Administration distributed \$20.0 million from its UW Systemwide program revenue balance to UW institutions to slow the effects of the base budget reduction. As shown in Table 4, UW-Milwaukee received \$5.8 million of this distribution, which was the largest amount received by an institution. UW-Superior received \$2.5 million, which was the second-largest amount of the distribution.

Table 4

Program Revenue Balance Distribution by UW System Administration to Institutions¹

Institution	Distribution	Percentage of Total
Milwaukee	\$ 5,825,100	29.1%
Superior	2,501,000	12.5
Madison	1,701,500	8.5
Parkside	1,701,400	8.5
Platteville	1,584,000	7.9
Stout	1,550,000	7.8
River Falls	1,481,500	7.4
Green Bay	1,045,400	5.2
Colleges	839,300	4.2
Eau Claire	439,300	2.2
Stevens Point	331,500	1.7
La Crosse	250,000	1.3
Oshkosh	250,000	1.3
Whitewater	250,000	1.3
Extension	250,000	1.3
System Administration	–	–
Systemwide ²	–	–
Total	\$20,000,000	100.0%

¹ Amounts distributed from UW System Administration's Systemwide program revenue balance.

² Accounts maintained by UW System Administration for the benefit of all institutions.

In addition, UW-Madison implemented a four-year tuition plan, which increased tuition for nonresident undergraduate and certain graduate students. Some institutions have also made changes, such as eliminating vacant positions or laying off employees. For example, UW Colleges consolidated leadership and administrative management functions of its 13 two-year campuses into four regions. At the time of the September 2015 Board of Regents meeting, UW Colleges estimated that this consolidation would result in the elimination of 83 full-time positions.

■ ■ ■ ■

Program Revenue Balances Reporting ■

In October 2014, the Board of Regents approved its first program revenue balances report, as required by Board of Regents policy. This report, which was for FY 2013-14, was intended to increase transparency and improve the monitoring and oversight of program revenue balances by the Board of Regents, UW System Administration, and UW institutions. In report 15-1, we reviewed the FY 2013-14 program revenue balances report and made recommendations to improve the accuracy and usefulness of the report. To assess whether the recommendations we made in report 15-1 were implemented, we performed a limited review of the FY 2014-15 program revenue balances report, which was published in October 2015, and institution reserves policies. Although UW System Administration implemented our recommendations to improve its report, we again identified concerns with institution reserves policies.

Program Revenue Balances Policy

***UW System's total
program revenue balance
was \$1.2 billion as of
June 30, 2015.***

UW System receives program revenue from sources such as tuition; auxiliary operations, which include fees charged for student housing and food service; federal revenue; and gifts. On a budgetary basis, and as shown in Table 5, UW System's total program revenue balance increased from June 30, 2005, through June 30, 2013, when it reached nearly \$1.3 billion. The total program revenue balance then decreased by 7.2 percent and was approximately \$1.2 billion as of June 30, 2015.

Table 5

UW System Total Program Revenue Balance¹
 As of June 30
 (in millions)

Year	Total	Percentage Change
2005	\$ 268.2	–
2006	315.2	17.5%
2007	406.0	28.8
2008	443.6	9.3
2009	563.7	27.1
2010	649.6	15.2
2011	836.8	28.8
2012	1,045.0	24.9
2013	1,273.5	21.9
2014	1,185.6	(6.9)
2015	1,182.4	(0.3)

¹ On a budgetary basis.

There is no ongoing statutory requirement for UW System to report to the Legislature on program revenue balances.

In response to concerns regarding program revenue balances held by UW System, 2013 Wisconsin Act 20 required the Board of Regents to propose a methodology for the calculation of program revenue balances and reserves to be approved by the Joint Legislative Audit Committee. In addition, the Board of Regents was required to propose limits on the program revenue balances and reporting on the limits to be approved by the Joint Committee on Finance. A final combined policy was approved in spring 2014. Although 2013 Wisconsin Act 20 required the Board of Regents to develop this policy, there is no ongoing statutory requirement for UW System to report to the Legislature on program revenue balances.

During the Board's October meeting, UW System Administration now reports to the Board of Regents the fiscal year-end balances for each UW institution for five program revenue sources that do not have a restriction on their use (unrestricted), including tuition, auxiliary operations, general operations, federal indirect cost reimbursement, and other unrestricted program revenue sources, and for four restricted program revenue sources, including gifts, nonfederal grants and contracts, and federal grants and contracts.

UW institutions are required to prepare a detailed spending plan for certain unrestricted program revenue balances that exceed 12.0 percent of expenditures.

For the five unrestricted program revenue sources, the policy also requires each UW institution to categorize its balances using the level-of-commitment categories we defined in report 13-17, and which are included as Appendix 3. In addition, the policy requires the institutions to complete additional reporting, such as detailed spending plans when the ratio of the balance to total expenditures exceeds 12.0 percent. Further, for the tuition and auxiliary operations funds, if the balance is negative, the policy requires the institution to create a savings plan detailing the steps the institution plans to take to eliminate the negative balances. The additional reporting requirements are described in more detail in Appendix 4.

Staff at each UW institution are responsible for preparing the sections of the report that relate to that institution using guidance provided by UW System Administration staff, who facilitate overall preparation of the report. UW System Administration staff indicated that the program revenue balances report is now used for various purposes. For example, UW institutions now use the report to monitor program revenue balances and to understand which schools or subunits within the institution are holding balances and for what purposes. The report is also used by the Board of Regents and UW System Administration to monitor institution balances and when developing annual budgets.

FY 2014-15 Program Revenue Balances Report

As of June 30, 2015, unrestricted program revenue balances for all UW institutions were \$923.9 million, or \$49.4 million less than the balances as of June 30, 2014.

UW System's *Report on Program Revenue Balances by Institution and Level of Commitment* (program revenue balances report) for FY 2014-15 was approved by the Board of Regents during the Board's October 2015 meeting. As shown in Table 6, unrestricted program revenue balances decreased from \$973.3 million as of June 30, 2014, to \$923.9 million as of June 30, 2015, or by \$49.4 million. Unrestricted program revenue balances decreased at 10 of the 17 institutions, with the largest decrease occurring at UW-Milwaukee. UW Systemwide accounts, which are accounts maintained by UW System Administration for the benefit of all UW institutions, increased by \$12.4 million from June 30, 2014, to June 30, 2015, and had the second-largest unrestricted program revenue balance at \$105.3 million. According to UW System Administration, this increase is primarily due to an unanticipated decrease in expenditures paid through UW Systemwide accounts.

Table 6

Unrestricted Program Revenue Balances, by Institution^{1, 2}
 As of June 30³
 (in millions)

Institution	2015	2014	Difference
Systemwide ⁴	\$105.3	\$ 92.9	\$12.4
Superior	2.0	(1.9)	3.9
Platteville	25.6	22.7	2.9
River Falls	22.2	19.7	2.5
Stout	14.1	11.9	2.2
Parkside	10.8	9.1	1.7
Colleges	25.7	25.5	0.2
Extension	26.0	27.1	(1.1)
Green Bay	20.6	22.2	(1.6)
System Administration	8.7	11.7	(3.0)
Whitewater	41.7	45.6	(3.9)
Oshkosh	43.6	49.7	(6.1)
Stevens Point	33.5	39.9	(6.4)
Madison	377.3	386.5	(9.2)
Eau Claire	39.2	50.3	(11.1)
La Crosse	62.5	76.2	(13.7)
Milwaukee	65.1	84.2	(19.1)
Total	\$923.9	\$973.3	\$(49.4)

¹ On a budgetary basis.

² Includes balances from tuition, including academic student fees and UW-Extension student fees; auxiliary operations; general operations; federal indirect cost reimbursement; and other unrestricted program revenue.

³ As adjusted by allocations to UW institutions from UW Systemwide accounts.

⁴ Accounts maintained by UW System Administration for the benefit of all UW institutions.

UW-Superior's program revenue balance increased by \$3.9 million from negative \$1.9 million as of June 30, 2014, to \$2.0 million as of June 30, 2015. According to the program revenue balances report, UW-Superior's savings plan, this increase is primarily due to a reduction in the deficit in its auxiliary operations fund, which resulted from higher room occupancies in student housing and the implementation of personnel cost saving measures in FY 2014-15. Appendix 5 is a summary of unrestricted program revenue balances by institution and by level of commitment as reported by UW System Administration in the FY 2014-15 and the FY 2013-14 program revenue balances reports.

All UW institutions were required to submit a detailed spending plan for at least one unrestricted program revenue source.

As shown in Table 7, for both the FY 2013-14 and FY 2014-15 program revenue balances reports, each UW institution was required to submit a detailed plan on how funds will be spent for at least one of its four unrestricted program revenue sources. However, only 8 institutions were required to submit detailed spending plans for tuition balances in FY 2014-15, compared to 13 institutions as reported in the FY 2013-14 program revenue balance report.

Table 7

Ratio of Unrestricted Program Revenue Balances to Expenditures
As of June 30, 2015

Institution	Savings Plan Required ¹		Spending Plan Required ²					
	Tuition ³		Auxiliary Operations		General Operations		Other Unrestricted Program Revenue	
	2014	2015 ⁴	2014	2015 ⁴	2014	2015 ⁴	2014	2015 ⁴
Colleges	23.3%	22.7%	36.2%	49.7%	78.6%	72.2%	10.7%	22.4%
Eau Claire	15.2	8.6	52.3	45.8	92.4	76.9	87.1	88.5
Extension	14.9	12.9	41.4	40.7	28.4	22.5	709.8	98.9
Green Bay	16.2	15.3	32.8	39.5	136.5	69.4	32.6	38.1
La Crosse	20.9	19.5	80.7	40.6	269.8	127.8	4.0	3.8
Madison	8.1	7.3	30.2	29.0	9.2	9.1	14.3	18.6
Milwaukee	15.1	9.1	13.1	19.0	37.1	32.6	14.3	24.0
Oshkosh	15.3	8.3	47.2	46.9	103.9	107.1	3.0	2.0
Parkside	18.2	21.1	(9.3)	(8.5)	62.2	84.0	5.8	8.0
Platteville	15.5	13.9	7.4	19.9	11.4	9.0	99.3	126.2
River Falls	14.5	11.8	17.8	37.7	23.2	12.6	104.5	104.5
Stevens Point	19.4	11.2	32.4	35.4	38.9	29.6	34.8	30.1
Stout	2.1	6.5	4.5	(1.2)	30.0	37.8	6.7	4.9
Superior	5.8	4.8	(62.7)	(17.2)	24.9	18.4	0.5	(0.3)
System Administration	–	–	140.2	107.8	382.5	308.2	–	–
Systemwide ⁵	298.9	403.0	65.5	78.5	48.3	70.3	–	–
Whitewater	26.6	20.1	15.4	21.6	42.2	36.6	43.8	51.2

¹ Required when the balance in the tuition and auxiliary operations funds is negative.

² Required when the ratio of the balance to total expenditures exceeds 12.0 percent

³ Includes tuition and GPR expenditures, Excludes GPR-funded debt service.

⁴ As reported in UW System's FY 2014-15 Report on Program Revenue Balances by Institution and Level of Commitment.

⁵ Accounts maintained by UW System Administration for the benefit of all UW Institutions.

Three UW institutions had deficits in their auxiliary operations accounts as of June 30, 2015, and were required to submit a savings plan.

Two institutions—UW-Parkside and UW-Superior—were required to submit a savings plan for deficit balances as of June 30, 2014. These institutions continued to have deficits in auxiliary operations accounts as of June 30, 2015, and indicated that their deficit was primarily the result of student housing construction and would take several years to resolve. In addition, UW-Stout was required to submit a savings plan for a deficit in its auxiliary operations accounts as of June 30, 2015. In its savings plan, UW-Stout indicated that several one-time purchases, such as purchase of additional parking and upgrades to student health software, were primarily responsible for the deficit.

During the FY 2013-14 audit, we reviewed the detailed spending plans and tested whether the report met the requirements of the policy. At that time, we identified concerns with the documentation provided to support the categorization of a balance as obligated or planned, the categorization of federal indirect cost reimbursement balances as designated, and the categorization of balances as reserves by some UW institutions. In report 15-1, we recommended that UW System Administration:

- provide guidance to the institutions related to the categorization of federal indirect cost reimbursement balances;
- provide guidance to institutions related to documentation required to support balances categorized as reserves, the definition of reserves, and the relationship between reserves maintained by UW System Administration and those maintained by the institutions;
- include information regarding when an institution's reserves and undocumented balances exceed 12.0 percent of the expenditures from the program revenue source during the fiscal year; and
- consider additional review of the categorization of program revenue balances, including review by UW System's Office of Internal Audit.

We followed up on the steps taken by UW System Administration to address our recommendations from report 15-1, and we performed a limited review of the FY 2014-15 program revenue balances report. We found UW System Administration provided additional guidance to the institutions through the coordination of several teleconference calls with them. In addition, UW System Administration updated

and clarified a frequently asked questions document to assist the institutions in categorizing their balances. This document included guidance on the appropriate categorization of federal indirect cost reimbursement balances and the appropriate level of documentation to support the use of the reserves category.

Although UW System Administration staff provided additional guidance to the institutions, they did not request or review documentation provided by the institutions to support the institutions' categorization of commitments. Staff indicated limited time was available to complete such a review and meet the October reporting deadline. UW System Administration staff indicated that they did question some of the categorizations and sought clarification from the institutions to ensure appropriate categorization.

UW System's Office of Internal Audit is performing a review of the FY 2013-14 and FY 2014-15 program revenue balances reports.

In response to our recommendations, UW System Administration also included additional information in the program revenue balances report when an institution's reserves and undocumented balance exceeded 12.0 percent of the expenditures from the program revenue source. We also note that UW System's Office of Internal Audit is performing a review of the FY 2013-14 and the FY 2014-15 program revenue balances reports. The Office of Internal Audit anticipates fieldwork will end in February 2016 and a report will be published in spring 2016.

Although UW System Administration has taken steps to improve the accuracy and completeness of the program revenue balances report, additional review and guidance is needed related to the reserves policies developed by the institutions to support categorizing balances as reserves.

Reserves Policies

Reserves are defined as balances for which documentation indicates amounts are purposefully held for contingencies. Examples of contingencies include unexpected declines or fluctuations in enrollment, abrupt termination of federal funding, emergencies, or other unforeseen circumstances. Guidance provided by UW System Administration indicates that balances categorized as reserves should be supported by a memo or policy authorized by the chancellor or other authorized individual that indicates the amount of the reserves or the reserves target and who is authorized to approve the use of the reserves balance.

Of the 15 institutions reporting a balance as reserves, 14 had a reserves policy.

We requested documentation from the UW institutions to determine if the documentation met requirements for categorizing balances as reserves. In the FY 2014-15 program revenue balances report, 14 of the 15 UW institutions reporting a balance as reserves had a reserves policy, but 2 were only in draft form, as shown in Table 8. In comparison, in the FY 2013-14 program revenue balances report, only 7 of the 14 institutions reporting balances as reserves had documentation such as a memo or reserves policy in place.

Table 8

Reserves Policies of UW Institutions
As of December 31, 2015

Institution	Balance Categorized as Reserves	Reserves Policy Available ¹	Policy Includes Only Allowable Uses for Reserves Funds
Colleges	Yes	✓	✓
Eau Claire	Yes	✓	✓
Extension	Yes	✓	✓
Green Bay	Yes	✓ ²	✓
La Crosse	Yes	✓	
Madison	Yes	✓	
Milwaukee	No		n.a. ³
Oshkosh	Yes	✓	✓
Parkside	Yes		n.a. ³
Platteville	Yes	✓	
River Falls	Yes	✓	✓
Stevens Point	Yes	✓	
Stout	Yes	✓ ²	✓
Superior	Yes	✓	✓
System Administration ⁴	Yes	✓	✓
Whitewater	Yes	✓	✓

¹ Reserves policy or memo available to support categorization of balances as reserves.

² Reserves policy was in draft status at the time of our fieldwork in December 2015.

³ Not applicable because the institution did not prepare a reserves policy.

⁴ UW System Administration and Systemwide were considered one unit when assessing the reserves policies.

For those institutions that had reserves policies, we found the definition of reserves included in the policies for four institutions—UW-La Crosse, UW-Madison, UW-Platteville, and UW-Stevens Point—conflicted with the definition in the Board of Regents policy or guidance provided by UW System Administration. For example, some policies allowed funds to be set aside for strategic opportunities or the policies stated reserves goals but did not define allowable uses of reserve funds. In addition, we found the reserves policies for seven institutions did not indicate who may authorize the use of reserves.

UW System Administration staff did not review the reserves policies from the institutions during the compilation of the program revenue balances report.

Without complete documentation, the Board of Regents and UW System Administration cannot be assured that balances are being categorized as reserves in a consistent manner by all UW institutions. UW System Administration staff did not review the reserves policies from the institutions during the compilation of the program revenue balances report. Therefore, UW System Administration was unable to assess the appropriateness of categorizing balances as reserves, to ensure compliance with UW System Administration guidance or Board of Regents policies, or to address any potential concerns of institution reserves purposes overlapping with UW System Administration reserves purposes. Such a review of institutional reserves policies may enable the institutions to update and improve their reserves policies as needed prior to preparation of the FY 2015-16 program revenue balances report.

☑ Recommendation

We recommend the University of Wisconsin System Administration:

- *review the current University of Wisconsin institution reserves policies to ensure the policies are complete and consistently in compliance with Board of Regents policies and University of Wisconsin System Administration guidance; and*
- *report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement this recommendation.*

■ ■ ■ ■

Investments ■

***As of June 30, 2015,
UW System held
\$523.4 million in
investments related
to gifts, grants,
and bequests.***

Donors may make gifts, grants, or bequests to the Board of Regents or to an individual UW institution. Under s. 36.29 (1), Wis. Stats., the Board of Regents is responsible for investing all such funds. As of June 30, 2015, UW System held \$523.4 million in such investments, the majority of which was invested by external managers hired by UW System Administration. Most of the funds received were donated to support scholarship programs or specific academic programs or research. UW System Administration indicates that it distributed \$189.9 million in investment earnings for the ten-year period ended June 30, 2014. We reviewed the role of the Board of Regents and the Office of Trust Funds in overseeing the investment of these funds, and we reviewed the investment policies that the Office of Trust Funds uses to manage investments. We make several recommendations to improve oversight and administration of investments.

Funds under Management

***The Office of Trust
Funds manages
investments through the
Long Term Fund and the
Intermediate Term Fund.***

The Office of Trust Funds manages investments through two different funds. The Long Term Fund is used to invest endowed assets for which the principal is to be retained and the earnings on the principal may be expended. The Long Term Fund's objective is to achieve significant real returns, net of administrative and investment expenses. The investments in the Long Term Fund totaled \$386.1 million as of June 30, 2015.

The Intermediate Term Fund is used to invest fully expendable assets, typically for an investment period of three to five years. The

Intermediate Term Fund's objective is to provide competitive returns consistent with moderate levels of volatility and safety of principal. The investments in the Intermediate Term Fund totaled \$85.3 million as of June 30, 2015.

UW System invests idle cash, such as new gifts awaiting long-term investment and spending distributions from the Long Term Fund, in the State Investment Fund (SIF), which is a short-term pool of state and local government funds managed by the State of Wisconsin Investment Board (SWIB). As of June 30, 2015, UW System held \$52.0 million in investments in the SIF. As we discussed in report 15-19, the primary objective of the SIF is to provide liquidity, safety of principal, and competitive rates of return, similar to a money market fund.

Organizational Structure

***The Board of Regents
has oversight
responsibilities for trust
fund investments.***

The Board of Regents is the principal fiduciary with oversight responsibilities for investments of the Office of Trust Funds. The Board of Regents has delegated responsibility for oversight of the Office of Trust Funds to its Business and Finance Committee. The Business and Finance Committee recommends to the Board of Regents, for its approval, the annual UW System Trust Funds Investment Policy Statement, which includes the asset allocations and benchmarks for each fund, the spending policy for the Long Term Fund, and proxy voting and social responsibility policies. The Business and Finance Committee also makes recommendations to the Board of Regents for the election of all officers with responsibility for the investments including the Trust Officer and any Assistant Trust Officers. Neither statute nor Board of Regents policy requires any member of the Board of Regents to have investment experience or expertise.

***The Office of Trust Funds
is responsible for daily
management and
administration of the
trust funds.***

The Office of Trust Funds is organized within UW System Administration's Office of Finance. According to the UW System Trust Funds Investment Policy Statement, the Vice President for Finance, who also holds the position of Trust Officer, "in general oversees the management and administration of the Office of Trust Funds." The Office of Trust Funds has four positions: the Director of Trust Funds, an investment analyst, an accountant, and a financial specialist. The Director of the Office of Trust Funds, who is also an Assistant Trust Officer, is responsible for daily management and administration of the trust funds. These duties include:

- managing and maintaining records of all trust funds of UW System;

- hiring and terminating external investment managers;
- reporting to the Business and Finance Committee;
- managing and monitoring all external and internal expenses and fees; and
- working with donors, estates, and trusts to properly establish new trust fund accounts.

The Office of Trust Funds is funded by investment earnings and does not receive any GPR. Salaries and fringe benefits for staffing the Office of Trust Funds totaled \$390,350 for FY 2014-15.

Composition of the Long Term and Intermediate Term Funds

The Office of Trust Funds establishes asset allocation plans that apportion investment assets to balance risk and potential returns.

Within the investment goals and objectives for the Long Term Fund and Intermediate Term Fund, the Office of Trust Funds establishes an asset allocation plan, which is an overall strategy to apportion investment assets to balance risk and potential returns for each fund. Through this process, an amount of assets is determined as a target for each asset class. Further, the Office of Trust Funds establishes a range for each asset allocation target to provide flexibility in managing the funds. For example, in the Long Term Fund, the target allocation for Real Assets, which includes investments in commercial real estate, is 15.0 percent, the minimum allocation is 5.0 percent, and the maximum allocation is 25.0 percent. According to the UW System Trust Funds Investment Policy Statement, asset allocation plans for each fund are reviewed and approved annually by the Board of Regents.

Long Term Fund

The overall asset allocation plan for the Long Term Fund, which was approved by the Board of Regents at its December 2015 meeting, allocated investments across five broad categories:

- Global Tactical Asset Allocation, which is an investment strategy that seeks to actively shift allocations among a global set of asset classes based on perceived relative valuations and expected returns of the various asset classes at different points in time;

- Growth and High-Yielding Assets, which are higher risk but higher potential return investments and include investments in emerging market and private market equities, high-yielding corporate debt and emerging market debt, and investment in certain hedge fund strategies;
- Event Risk and Deflation Hedge Assets, which are lower-risk investments and include U.S. Treasury bonds and cash;
- Real and Inflation Hedge Assets, which are assets that help to protect the fund against the effects of inflation and include U.S. Treasury Inflation Protected Securities and investments in real assets, such as commercial real estate; and
- Opportunistic Investments, which is a potential allocation that provides flexibility for the Office of Trust Funds to invest in unique opportunities that may arise, but that do not fit within an existing asset class or within the ranges of an asset class.

***The asset allocation plan
for the Long Term Fund
was last changed in
December 2011.***

Although the asset allocation plan is reviewed and approved annually by the Board of Regents, the Board of Regents has not changed the Long Term Fund asset allocation plan since December 2011 when the target allocation for High Quality Debt/Credit and High-Yield Debt/Credit was increased and the target allocation for Emerging Market Equities and Real Assets was decreased. As shown in Table 9, the actual investments for the Long Term Fund were within the established asset allocation ranges for all but two asset classes as of June 30, 2015.

Table 9

Asset Allocation for Long Term Fund
As of June 30, 2015

	Minimum Allocation	Target Allocation	Maximum Allocation	Actual Allocation ¹
Global Tactical Asset Allocation	20.0%	25.0%	30.0%	29.3%
Growth and High-Yielding Assets:				
Global Developed Market Equities	15.0	18.0	35.0	30.5
Emerging Market Equities	0.0	5.0	10.0	8.1
Private Equity	5.0	10.0	15.0	12.8
High-Yield Debt/Credit ²	0.0	7.0	15.0	6.5
Directional Hedge Fund Strategies ³	0.0	0.0	15.0	0.0
Event Risk and Deflation Hedge Assets:				
High Quality Debt/Credit ⁴	5.0	10.0	35.0	4.1
U.S. Cash	0.0	0.0	10.0	2.1
Absolute Return Strategies ⁵	0.0	7.0	15.0	0.0
Real and Inflation Hedge Assets:				
U.S. Treasury Inflation Protected Securities	0.0	3.0	10.0	5.0
Real Assets ⁶	5.0	15.0	25.0	1.6
Opportunistic Investments ⁷	0.0	0.0	20.0	0.0
Total		100.0%		100.0%

¹ Actual allocations that are outside the target allocation ranges are in **bold**.

² Includes investments in high-yielding corporate debt or bank loans and emerging market debt.

³ Includes investments in long-biased equity or high-yield/distressed debt strategies.

⁴ The investments in this asset class have been in U.S. Cash since a former portfolio was liquidated in 2006.

⁵ An investment strategy in which the investor seeks to make positive returns despite current market trends by employing investment management techniques that differ from a traditional mutual fund.

⁶ Includes investments in real assets such as private/public commercial real estate, timber and farmland, commodities, and infrastructure.

⁷ This allocation provides the Office of Trust Funds the flexibility to invest in unique opportunities as they arise.

We note that actual allocations for High Quality Debt/Credit and Real Assets have been outside of the target allocation ranges since at least 2011. Although the Office of Trust Funds reports an actual allocation of 4.1 percent to High Quality Debt/Credit, we note that these funds have been invested in U.S. Cash since a former portfolio was liquidated in 2006. This asset class totaled \$15.8 million as of June 30, 2015.

Staff also indicated that they are working to achieve the target allocation percentage for Real Assets. However, staff noted that the process to invest in this asset class is lengthy, and they have yet to

reach the target. Real Assets were added to the asset allocation plan in 2005.

Intermediate Term Fund

The asset allocation plan for the Intermediate Term Fund was last changed in December 2011.

The overall asset allocation plan for the Intermediate Term Fund allocates investments across three broad categories: Growth and High-Yielding Assets, Event Risk and Deflation Hedge Assets, and Real and Inflation Hedge Assets. Although the asset allocation plan is approved annually by the Board of Regents, it has not been changed since December 2011 when the target allocation for High Quality Debt/Credit was increased and the target allocation for U.S. Cash and U.S. Treasury Inflation Protected Securities was decreased. Prior to September 2007, the asset allocation plan for the Intermediate Term Fund required 100.0 percent of the assets to be invested in fixed income securities. As shown in Table 10, the actual investments for the Intermediate Term Fund were within the established asset allocation ranges for all but one asset class as of June 30, 2015.

Table 10
Asset Allocation for the Intermediate Term Fund
June 30, 2015

	Minimum Allocation	Target Allocation	Maximum Allocation	Actual Allocation ¹
Growth and High-Yielding Assets:				
Global Developed Market Equities	5.0%	15.0%	20.0%	14.4%
Emerging Market Equities	0.0	0.0	5.0	0.0
High-Yield Debt/Credit ²	0.0	5.0	10.0	5.7
Event Risk and Deflation Hedge Assets:				
High Quality Debt/Credit ³	40.0	50.0	75.0	67.1
U.S. Cash	0.0	5.0	15.0	2.1
Absolute Return Strategies ⁴	5.0	10.0	15.0	0.0
Real and Inflation Hedge Assets:				
U.S. Treasury Inflation Protected Securities	5.0	15.0	30.0	10.7
Total		100.0%		100.0%

¹ Actual allocations that are outside the target allocation ranges are in **bold**.

² Includes investments in high-yielding corporate debt or bank loans and emerging market debt.

³ Includes investments in U.S. Treasuries.

⁴ An investment strategy in which the investor seeks to make positive returns despite current market trends by employing investment management techniques that differ from a traditional mutual fund.

The Office of Trust Funds did not identify opportunities to invest in Absolute Return Strategies.

The actual allocation for the Absolute Return Strategies, which is an investment strategy in which the investor seeks to make positive returns despite current market trends by employing investment management techniques that differ from a traditional mutual fund, has been at zero since it was first established in 2007. The Office of Trust Funds indicated that it did not identify opportunities to invest in this asset class.

Although there may be challenges to investing in certain asset classes, the Office of Trust Funds is not in compliance with the approved asset allocation plans for the trust funds.

☑ Recommendation

We recommend the University of Wisconsin System Administration:

- *review the asset allocation plans, particularly for the asset classes that are outside the approved ranges, to determine if changes should be made to the asset allocation plans;*
- *report to the Board of Regents on the results of the review, and seek approval of any revisions to the asset allocation plans; and*
- *report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement these recommendations.*

Administration of the Trust Funds

Approximately 82.0 percent of the trust fund assets in the Long Term and Intermediate Term funds are managed by external investment managers.

The Office of Trust Funds contracts with external investment managers to invest the majority of the trust fund assets. Approximately 82.0 percent of the assets in the Long Term and Intermediate Term funds are managed by external managers, and 8.0 percent of the assets are invested in indexes or exchange-traded funds by Office of Trust Funds staff. The remaining 10.0 percent of assets are managed by students in the Applied Securities course at UW-Madison.

The Director of the Office of Trust Funds has responsibility for hiring and terminating external investment managers, with a 15-day notice provided to the Business and Finance Committee. Based on the UW System Trust Funds Investment Policy Statement, the Director of the Office of Trust Funds is to provide a due diligence memo regarding each prospective hire or termination. If any Committee member has a concern, the decision will be delayed

pending further due diligence. The hiring of external investment managers is required to follow an appropriate procurement and selection process that complies with UW System and state procurement policies and practices. No new external investment managers have been hired since 2006. The last time an external investment manager was terminated was 2012.

Monitoring of External Investment Managers

Ongoing due diligence monitoring of external investment managers is the responsibility of the Office of Trust Funds.

The Director of the Office of Trust Funds is responsible for the oversight of all external investment managers. According to the UW System Trust Funds Investment Policy Statement, ongoing due diligence monitoring includes, at a minimum:

- annual in-depth meetings with key investment and/or firm representatives;
- in-depth meetings at the offices of the investment managers every two to three years;
- attendance at client conferences and educational forums when available; and
- open telephone or electronic communication with key personnel as needed.

The Office of Trust Funds did not complete an annual due diligence meeting for two of the six external investment managers in 2015.

Based on the documentation we reviewed, we found that due diligence meetings were held for all external investment managers in 2013 and 2014. However, we also found the Office of Trust Funds did not complete an annual due diligence meeting for two of the six external investment managers in 2015, and a due diligence meeting was not held in 2012 for another external investment manager. Further, we note that documentation was not always available to support the ongoing due diligence that the Office of Trust Funds indicates was performed. For example, staff were unable to provide written reports or notes for 7 of the 10 meetings staff indicated were held in 2011 and 2012.

Under the Investment Policy Statement, the Business and Finance Committee of the Board of Regents requires the Office of Trust Funds to prepare, for each external investment manager, an “annual investment manager due diligence report” (annual due diligence report), which summarizes the most recent annual due diligence meetings held with that external investment manager and to highlight any areas of concern. We found that the Office of Trust Funds completed an annual due diligence report for only one of the six external investment managers in 2015. The report was filed with

the Business and Finance Committee in January 2015. We also note that an annual due diligence report was completed for only four of the six external investment managers in 2014, and for five of the six external investment managers in 2013.

Appendix 6 lists the six external investment managers, including the portfolios managed by each and the market value of the assets managed in each portfolio.

Turnover in the Office of Trust Funds may have contributed to a decrease in the number of regular meetings with the external investment managers during 2015 and to delays in reporting to the Board of Regents. However, ongoing due diligence by the Office of Trust Funds is important to ensure the external investment managers are managing the investments appropriately to meet investment goals and objectives. Further, the Board of Regents cannot meet its fiduciary responsibilities related to the investments if an annual due diligence report is not completed for each external investment manager and provided to the Business and Finance Committee.

☑ Recommendation

We recommend the University of Wisconsin System Administration:

- *make improvements to its current processes to ensure that ongoing due diligence is being completed and documented in accordance with the University of Wisconsin System Trust Funds Investment Policy Statement;*
- *complete and provide an annual due diligence report for each external investment manager to the Board of Regents Business and Finance Committee, as required by the University of Wisconsin System Trust Funds Investment Policy Statement; and*
- *report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement these recommendations.*

External Investment Management Fees

The Office of Trust Funds pays investment management fees to external investment managers to manage the assets.

The Office of Trust Funds is responsible for monitoring and managing expenses related to the administration and management of the trust funds. These expenses include the salaries and fringe benefits of Office of Trust Funds staff, as well as investment management fees paid to external investment managers. We evaluated the expenses of the Office of Trust Funds and identified concerns with monitoring of external investment management fees.

The fees that external investment managers charge for managing the investments are outlined in the terms of UW System Administration's contract with each external investment manager. External investment managers can either bill the Office of Trust Funds for external investment management fees or charge the fees against the investment earnings of the portfolio. Of the nine portfolios managed by an external investment manager, external investment management fees are charged against the investment earnings for five portfolios and directly billed to the Office of Trust Funds on a quarterly basis for four portfolios. Fees are not charged for the investments managed by the students in the Applied Securities course at UW-Madison.

It is common practice in the investment industry for external investment managers to charge the investment management fees against the investment earnings of the portfolio, and to report net investment earnings for the portfolio. However, it would be anticipated that the Office of Trust Funds would request information on actual investment management fees charged against investment earnings to ensure such fees comply with the terms of the contracts with the external investment managers. We note that SWIB requests and receives information on a monthly basis from its external investment managers regarding the actual investment management fees paid and performs an evaluation to ensure compliance with the terms of the external investment manager contracts.

The Office of Trust Funds does not ensure external investment management fees are charged against earnings in accordance with the terms of the contracts.

We found the Office of Trust Funds does not request information from the external investment managers regarding the actual fees charged against earnings. Instead, staff annually estimate the amount of investment management fees paid to those external investment managers. The Director of the Office of Trust Funds noted that external investment management fees that are billed to the Office of Trust Funds are compared to the external investment manager contracts.

As shown in Table 11, external investment management fees increased from \$2.7 million in FY 2010-11 to \$3.1 million in FY 2014-15, or by 15.4 percent. Internal operating expenses of the Office of Trust Funds have been consistent over the past five years, with a small decline overall. The increase in internal operating expenses in FY 2013-14 was the result of the implementation of a new investment accounting system. UW System contracted with Huron Consulting to implement this new system.

Table 11

Office of Trust Funds Expenses¹
FY 2010-11 through FY 2014-15

	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
External Investment Management Fees:					
Directly Billed	\$1,159,600	\$1,188,898	\$1,235,614	\$1,271,155	\$1,362,390
Charged Against Earnings ²	1,509,644	1,514,676	1,548,251	1,600,605	1,717,282
Subtotal	2,669,244	2,703,574	2,783,865	2,871,760	3,079,672
Internal Operating Expenses:					
Salaries and Fringe Benefits	391,680	386,715	389,900	402,150	390,350
Accounting and Custodian Fees	42,254	42,879	46,891	49,343	16,800
Professional Services	–	–	–	196,652	–
Administrative Costs	16,975	14,818	24,256	2,650	9,670
Management Consulting	1,120	2,124	1,559	1,702	2,200
Subtotal	452,029	446,536	462,606	652,497	419,020
Total	\$3,121,273	\$3,150,110	\$3,246,471	\$3,524,257	\$3,498,692

¹ As presented in the annual trust funds report to the Board of Regents, except for FY 2014-15.

² Estimated by the Office of Trust Funds.

Without adequate oversight of the external investment management fees paid, UW System may be paying more than required, which would decrease the amount of investment earnings that could be used for the purposes originally intended by the donors.

☑ Recommendation

We recommend the University of Wisconsin System Administration improve its monitoring of external investment management fees by:

- *requesting from each external investment manager, on at least an annual basis, information on the actual investment management fees charged against investment earnings;*
- *comparing the amount of investment management fees charged against investment earnings to the terms of the contracts with the external investment managers to ensure the University of Wisconsin System is paying the correct amount of fees; and*
- *reporting the results of this review to the Board of Regents on an annual basis.*

In addition, we recommend the University of Wisconsin System Administration report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement these recommendations.

Investment Performance

Performance returns for four of the nine portfolios managed by external investment managers lagged benchmarks.

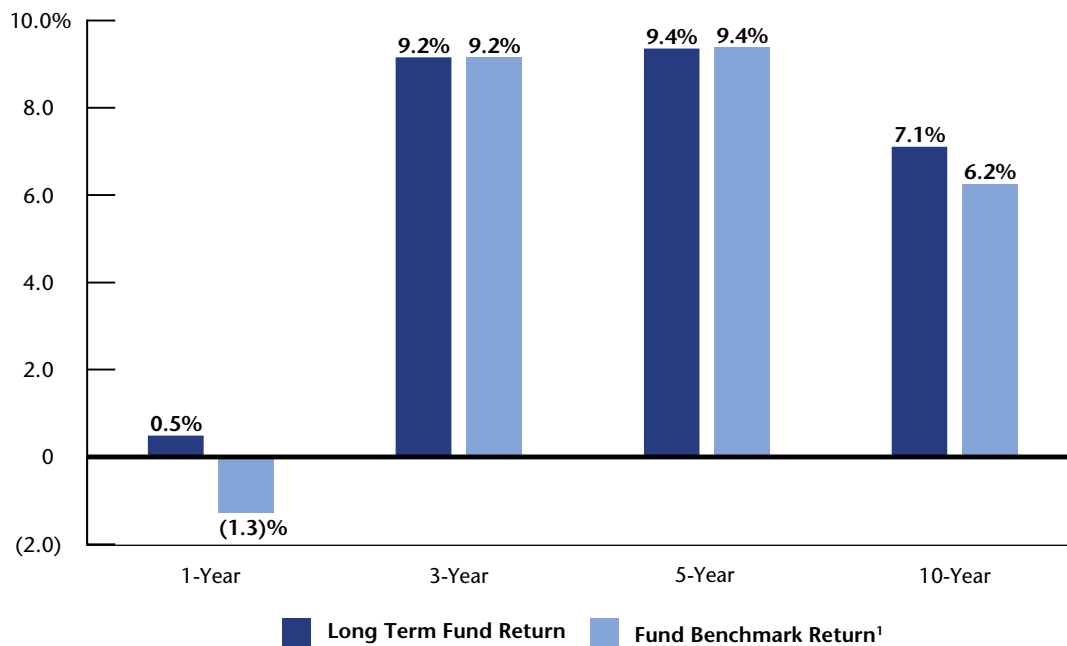
External investment managers are expected to manage each portfolio in accordance with the portfolio's individualized investment guidelines and, according to the UW System Trust Funds Investment Policy Statement, seek to outperform the assigned benchmarks. External investment managers are required to provide portfolio holdings and valuations, a transactions summary, and investment returns for the most recent period and since inception of the portfolio to the Office of Trust Funds on at least a quarterly basis. The Office of Trust Funds establishes a benchmark to assess the overall strategies for the Long Term Fund and Intermediate Term Fund investments. In addition, the Office of Trust Funds uses different benchmarks to measure and evaluate the performance of each of the external investment managers. Appendix 6 includes a summary of investment performance by each external investment manager for the period ended June 30, 2015. We note that performance returns for four of the nine portfolios managed by external investment managers lagged benchmark returns for most periods reported.

***The Long Term Fund returns
met the benchmark returns
as of June 30, 2015.***

We reviewed investment performance for the Long Term Fund and the Intermediate Term Fund for the period ended June 30, 2015. As shown in Figure 4, the investment performance of the Long Term Fund met the established benchmarks for each period.

Figure 4

**Investment Performance of the Long Term Fund
As of June 30, 2015**

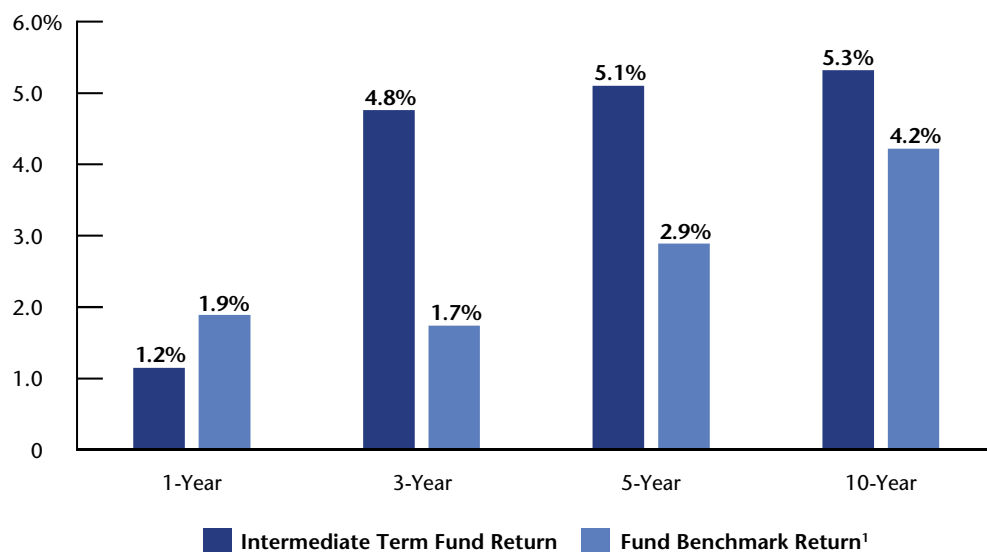


¹ The benchmark is representative of a typical globally diversified portfolio, which would include both developed and emerging markets.

Performance of the Intermediate Term Fund lagged the established one-year benchmark returns, but met the established benchmark returns for the remaining periods presented, as shown in Figure 5.

Figure 5

Investment Performance of the Intermediate Term Fund
As of June 30, 2015



¹ The benchmark is the Barclay's Intermediate Aggregate Index Fund, which represents a more traditional intermediate expendables fund.

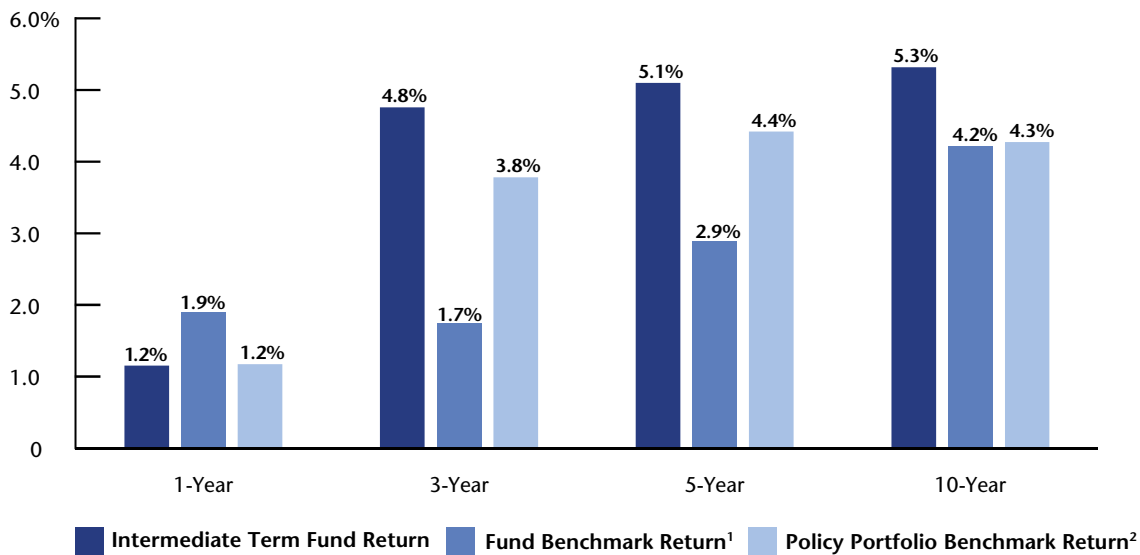
The Office of Trust Funds uses Barclay's Intermediate Aggregate Fund as the benchmark for the Intermediate Term Fund. According to Office of Trust Funds staff, this benchmark is representative of a more traditional, intermediate expendables fund, which consists primarily of investments in fixed income securities that are not actively managed by an investment manager, but rather are passively managed with the goal of mirroring a market index.

According to the UW System Trust Funds Investment Policy Statement, once the Intermediate Term Fund achieves asset allocations close to the target asset allocations, the policy portfolio benchmark is to be used. This benchmark is described in the policy as a benchmark comprised of several different benchmarks that relate to each asset class in the Intermediate Term Fund, each weighted to match the asset allocation plan. The Intermediate Term Fund is close to its target asset allocations. Therefore, we compared the performance of the Intermediate Term Fund to the policy portfolio benchmark. As shown in Figure 6, performance of the Intermediate Term Fund exceeded the three-year, five-year, and ten-year returns of this benchmark. However, the policy portfolio benchmark outperformed the Barclay's Intermediate Aggregate Fund Benchmark in the three-year, five-year, and ten-year periods,

an indication that it may be a better benchmark to assess overall performance of the Intermediate Term Fund.

Figure 6

Intermediate Term Fund Investment Performance Compared to Benchmarks
As of June 30, 2015



¹ This benchmark is the Barclay's Intermediate Aggregate Index Fund, which represents a more traditional intermediate expendables fund.

² This benchmark is comprised of several different benchmarks that relate to each asset class in the Intermediate Term Fund, each weighted to match the asset allocation plan.

It is an appropriate time for the Board of Regents to reassess the benchmark used for the Intermediate Term Fund.

In order to accurately assess how well the Fund is performing, it is important to compare investment performance against benchmarks that match the risks and returns of the investments in the Intermediate Term Fund. Given the Intermediate Term Fund is close to its asset allocation targets, it is an appropriate time to reassess whether the policy portfolio benchmark should be used to assess the performance of the Intermediate Term Fund as well as used in future reporting to the Board of Regents. Alternatively, the Board of Regents could consider whether a different benchmark is more appropriate for the Intermediate Term Fund.

☑ Recommendation

We recommend the University of Wisconsin System Administration:

- *review the benchmarks used to assess and report on investment performance of the Intermediate Term Fund and determine if an alternative benchmark should be used;*
- *report to the Board of Regents on the results of the benchmark review and propose any changes to be made regarding assessing investment performance of the Intermediate Term Fund; and*
- *report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement these recommendations.*

Reports to the Board of Regents

Several reporting mechanisms have been put in place to assist the Board of Regents in meeting its fiduciary responsibilities.

In its role as the principal fiduciary of the gifts, grants, and bequests managed by the Office of Trust Funds, the Board of Regents is responsible for overseeing the Office of Trust Funds and ensuring the assets are invested prudently to maximize investment returns. There are several mechanisms in place to provide information to the Board of Regents to assist it in meeting its fiduciary responsibilities. For example, the Director of the Office of Trust Funds, or other designees from the Office typically present to the Business and Finance Committee three times each year:

- In February, the Director of the Office of Trust Funds presents the annual trust funds report, which provides an overview of the market value of the investments for the fund and for each external investment manager, a summary of performance in comparison to the benchmarks for the Long Term Fund and Intermediate Term Fund, and a summary of the current asset allocation.
- Typically in March or April, the Director of the Office of Trust Funds provides a summary of a National Association of College and University Business Officers (NACUBO) benchmarking report, which provides comparisons against other endowments on spending policies and practices, investment performance and fees, staffing, and other measures based on peer surveys. This report enables the Board of Regents to compare the Office of Trust Funds policies and fund performance to similar entities in order to identify options for improvement.

- In December, the Director of the Office of Trust Funds presents the UW System Trust Funds Investment Policy Statement, which provides the Committee an opportunity to discuss the policies and procedures within which the assets are to be invested, including an opportunity to reassess the overall asset allocation plans for the Long Term and Intermediate Term funds, as well as the benchmarks that are used to assess performance.

The Office of Trust Funds also emails the Business and Finance Committee members a link to its website where the members can obtain quarterly and monthly performance reports. However, we note that as of February 1, 2016, the most recent information available on its website was as of June 30, 2015.

***Additional reporting
could assist the Business
and Finance Committee
in its fiduciary role.***

To assist the Business and Finance Committee in its oversight role, the Office of Trust Funds should ensure up-to-date information is available on its website. In addition, it may be helpful for the Director of the Office of Trust Funds to include additional information in the board meeting materials. For example, providing a comparison between the actual asset allocations of the Long Term and Intermediate Term funds to the approved target allocations and ranges would make it easier to identify instances in which the target allocations are not being met. In addition, information on the investment performance of the external investment managers in comparison to benchmarks would allow the Business and Finance Committee to more readily ask questions and discuss performance at the external manager level.

☑ Recommendation

We recommend the University of Wisconsin System Administration improve its reports to the Board of Regents, including by:

- *ensuring information is available on the Office of Trust Funds website in a timely manner;*
- *providing external investment manager performance information in the Board of Regents meeting materials; and*
- *providing a comparison between actual asset allocations of each fund to the approved target allocations and ranges in the Board of Regents meeting materials.*

We further recommend the University of Wisconsin System Administration report to the Joint Legislative Audit Committee by July 29, 2016, on the status of its efforts to implement these recommendations.

Auditor's Report ■



STATE OF WISCONSIN
Legislative Audit Bureau

22 East Mifflin Street, Suite 500 ■ Madison, WI 53703 ■ (608) 266-2818 ■ Hotline: 1-877-FRAUD-17 ■ www.legis.wisconsin.gov/lab

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Report 16-3

Joe Chrisman
State Auditor

Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee

Members of the University of Wisconsin Board of Regents, and
Dr. Raymond Cross, President
University of Wisconsin System

We have audited the financial statements and the related notes of the University of Wisconsin (UW) System as of and for the years ended June 30, 2015, and June 30, 2014, and have issued our report thereon dated December 17, 2015. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, which is issued by the Comptroller General of the United States. The financial statements and related auditor's opinion have been included in UW System's 2015 *Annual Financial Report*.

Internal Control over Financial Reporting

Management of UW System is responsible for establishing and maintaining effective internal control over financial reporting (internal control). In planning and performing our audits of the financial statements, we considered UW System's internal control to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of UW System's internal control. Accordingly, we do not express an opinion on the effectiveness of UW 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 misstatements, or to detect and correct misstatements on a timely basis. A *material weakness* is a deficiency or a combination of deficiencies in internal control such that there is a reasonable possibility that a material misstatement of UW System's financial statements will not be prevented, or that a material misstatement will not be 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, and therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, we did not identify

any deficiencies in internal control that we consider to be material weaknesses. We did identify certain deficiencies in internal control, described in the accompanying finding and response schedule, that we consider to be a significant deficiency.

Because UW System's financial activity is also included in the State of Wisconsin's Comprehensive Annual Financial Report, this significant deficiency is also included in the Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters related to our audit of the State of Wisconsin's financial statements.

In our fiscal year (FY) 2013-14 Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters, dated December 12, 2014, we described two internal control deficiencies related to Human Resource System (HRS) security. When combined, these deficiencies were considered to be a material weakness. UW System has taken corrective action to address these internal control deficiencies, such as reviewing and adjusting access and implementing compensating controls.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether UW System's financial statements are free from material misstatement, we performed tests of 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*.

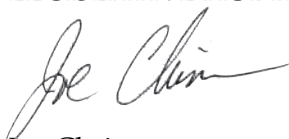
Response to Finding

UW System's written response to the finding identified in our audit is described in the accompanying finding and response schedule. UW System's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

Purpose of This Report

This report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be used when considering UW System's internal control and compliance. The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the result of that testing, and not to provide an opinion on the effectiveness of UW System's internal control or on compliance. Accordingly, this report is not suitable for any other purpose.

LEGISLATIVE AUDIT BUREAU



Joe Chrisman
State Auditor

December 17, 2015

FINDING AND RESPONSE SCHEDULE

Finding 2015-001: Information Technology Controls at the University of Wisconsin System

Criteria:

The University of Wisconsin (UW) System consists of 13 four-year universities, 13 two-year colleges, UW-Extension, and UW System Administration. UW System Administration maintains the Shared Financial System (SFS), which is UW System's accounting system, and the Human Resource System (HRS), which is UW System's payroll and personnel system. These systems are used by all UW institutions. In addition, each institution maintains its own student information system (SIS) to administer federal student financial aid programs, as well as other computer applications. To provide proper internal control, information technology (IT) security policies and procedures are necessary to ensure software and data stored and processed by the institutions are protected from accidental or intentional misuse or destruction. In addition, IT controls should be established to prevent inappropriate or inadvertent access to systems and data.

Condition:

We identified weaknesses in IT security policies, procedures, and controls for several computer applications at several UW institutions. We determined that the detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated these results in confidential interim memoranda to the institutions involved.

We did not audit the IT security policies and procedures at all UW institutions or the IT controls over all computer applications used by the institutions. However, we believe there is a potential that similar weaknesses may exist at those institutions we did not review.

Questioned Costs:

None.

Context:

UW institutions operate in a highly computerized environment and are responsible for maintaining confidential and sensitive information, such as student data.

Effect:

Although it can be difficult to determine how IT concerns such as those we identified affect the financial statements and material federal compliance areas, ineffective general IT controls in areas such as these may permit controls over individual systems to operate improperly and may allow financial statement misstatements and noncompliance to occur and not be detected.

Weaknesses in IT security policies, procedures, and controls increase the risk that unauthorized or erroneous transactions could be processed or changes could be made to accounting, payroll, and student data. In addition, failure to provide an appropriate level of protection for UW systems and data increases the risk that personally identifiable information could be accidentally or maliciously exposed.

Cause:

IT staff at each UW institution are responsible for ensuring IT security policies, procedures, and controls are properly developed and maintained. Those institutions that have smaller IT staff

may find challenges in meeting these responsibilities, maintaining proper separation of duties, and monitoring sufficiently all security policies and procedures. In addition, with changing technologies, monitoring and assessment of current processes are necessary to evaluate changing data security risks.

Recommendation:

In addition to recommendations we made to individual UW institutions, we recommend UW System Administration work with the Council of Chief Information Officers, the Chief Business Officers at each institution, and others as appropriate, to assist UW institutions in implementing timely corrective actions related to our institution-specific recommendations, and to develop a UW System-wide information technology security program, including:

- UW System-wide information technology security policies and settings, as appropriate;
- guidance and training to all UW institutions regarding information technology security policies and settings; and
- procedures for assessing the level of protection provided for UW systems and data.

Response from University of Wisconsin System:

In responding to the confidential interim memoranda, the UW institutions involved indicated agreement with the recommendations and provided timelines for implementing corrective actions.

UW System Administration agrees with the recommendation that UW System Administration work with the Chief Information Officers and Chief Business Officers at the institutions to improve IT controls and develop a UW System-wide security program. The recommendation supports the direction in which UW System Administration and the Chief Information Council are working to improve IT security. For example, UW System hired a Chief Security Information Officer in March 2015 to focus on and lead UW System-wide efforts related to IT security.

In addition, the following are some actions UW System Administration is planning to take regarding IT security:

- The UW System Administration Chief Information Officer and Chief Information Security Officer have been developing a UW System-wide or Board of Regents level policy to provide institutions with guidance, standards, and parameters for future decision-making about IT security. The policy will be presented at the February 2016 Board meeting.
- The Chief Information Officers will be holding a visioning session in the near future to consider an overarching IT security strategy.

- The newly instituted Data and Privacy Security Council will also be meeting in the near future. The cross-unit group includes Chief Information Officers and staff from the legal and audit offices at UW System Administration. Further representation is being sought from a wide range of other groups (e.g. student affairs, human resources, etc.). The Council will identify and analyze risks related to IT security and propose and implement solutions that appropriately address these concerns.

Appendices ■

Appendix 1

UW System Affiliated Organizations¹

FY 2014-15²

Alumni Associations

Alumni Association of the University of Wisconsin-Green Bay

UW-Milwaukee Alumni Association, Inc.

UW-Medical Alumni Association, Inc.

UW-La Crosse Alumni Association

UW-Oshkosh Alumni Association, Inc.

UW-Platteville Alumni Association (new)

UW-Superior Alumni Association

The University of Wisconsin-Parkside Alumni Association

Booster Clubs/Friends Organizations

Badger Basketball Boosters, Inc.

Friends of the Geology Museum UW-Madison, Inc.

Friends of the UW-Parkside Library

Mendota Gridiron Club, Inc.

National W Club, Inc.

Friends of the Campus, Inc. (Baraboo)

Friends of WHA-TV, Inc.

Friends of Madison Student Radio, Inc.

Friends of University of Wisconsin Veterinary Medicine Teaching Program, Inc.

Friends of the Golda Meir Library

Foundations

UW-Fond du Lac Foundation, Inc.

UW-Waukesha Foundation, Inc.

Hillel Foundation University of Wisconsin, Inc.

Jennie Bowman FBO UW Memorial Fund

UW-Platteville Foundation, Inc.

Terry Family Foundation, Inc.

UW-La Crosse Foundation, Inc.

UW-Marathon County Foundation, Inc.

UW-Eau Claire Foundation, Inc.

University of Wisconsin Foundation, Inc.

UW-Marinette Foundation, Inc.

UW-Medical Foundation, Inc.

Foundations *(continued)*

UW-Oshkosh Foundation, Inc.
UW-Parkside Foundation, Inc.
UW-River Falls Foundation, Inc.
UW-Stevens Point Foundation, Inc.
UW-Stevens Point Paper Science Foundation
UW-Superior Foundation, Inc.
UW-Whitewater Foundation, Inc.
Wisconsin 4-H Foundation, Inc.
UWM Foundation, Inc.
Stout University Foundation, Inc.
Richland County Campus Foundations, Ltd.
Barron County Campus Foundation, Inc.
UW-Rock County Foundation, Inc.
University Foundation—UW-Marshfield/Wood County
UW-Fox Valley Foundation, Inc.
Washington County Campus Foundation
UW-Sheboygan County Foundation, Inc.
UW-Manitowoc Foundation, Inc.
UW-Green Bay Foundation, Inc.
UW-Platteville Pioneer Education and Development Foundation, Inc. (new)

Real Estate Foundations

UWM Real Estate Foundation, Inc.
UW-Platteville Real Estate Foundation, Inc.
Blugold Real Estate, LLC

Research Organizations

Wisconsin Alumni Research Foundation (WARF)
Center for Advanced Studies in Business, Inc.
Center for Applied Research and Services, Inc.
University Research Park, Inc.
University Research Park Facilities Corp.
WISYS Technology Foundation, Inc.
Morgridge Institute for Research
UWM Research Foundation, Inc.
WiCell Research Institute (new)

Other Organizations

Babcock House

Kelab, Inc.

Madison Family Residency Corp., Inc.

Memorial Union Association, Inc.

University Health Care, Inc.

UW-Madison Supporting Organization, Inc.

William F. Vilas Trust Estate

University Village Housing, Inc. c/o U.W.G.B., Business & Finance

UW-Marathon County Food Service Cooperative

UW-Washington Food Service Cooperative

UW-Marathon County Bookstore Cooperative

Wisconsin Center for Education Products & Services (WCEPS)

¹ As identified by UW System.

² Since FY 2013-14, two organizations—Parkside 200, Ltd., and the Wisconsin Alumni Association, Inc.—are no longer considered affiliated organizations of UW System.

Appendix 2

Apportionment of GPR Offset, by Institution¹

Institution	Based on GPR Reduction ²	Based on Other Factors				Total GPR Offset
		Pell Enrollment	Institution Enrollment	Faculty Compensation	Presidential Discretion	
Milwaukee	\$1,702,500	\$1,652,100	\$ –	\$209,200	\$ 945,000	\$ 4,508,800
Madison	4,748,500	–	–	280,600	(1,029,100)	4,000,000
Parkside	292,500	393,300	347,000	296,600	615,000	1,944,400
Superior	197,500	218,100	490,900	454,200	404,200	1,764,900
Colleges	486,300	1,036,200	–	280,900	(321,600)	1,481,800
River Falls	355,000	368,600	183,300	390,700	93,100	1,390,700
Green Bay	315,000	430,100	228,800	380,100	–	1,354,000
Stevens Point	535,000	609,100	–	477,400	(293,600)	1,327,900
Whitewater	535,000	611,100	–	167,100	(35,900)	1,277,300
Stout	493,800	476,500	–	331,200	(84,700)	1,216,800
Platteville	357,500	454,900	–	476,000	(81,100)	1,207,300
Oshkosh	631,300	–	–	314,400	–	945,700
Eau Claire	652,500	–	–	287,100	–	939,600
Extension	457,500	–	–	414,500	–	872,000
La Crosse	528,800	–	–	240,000	–	768,800
System Administration	53,800	–	–	–	(53,800)	–
Systemwide ³	157,500	–	–	–	(157,500)	–
Total	\$12,500,000	\$6,250,000	\$1,250,000	\$5,000,000	\$ –	\$25,000,000

¹ In each year of the biennium, 2015 Wisconsin Act 55 provided \$25.0 million in GPR to offset a \$150.0 million base budget reduction.

² Based on each institution's proportionate share of UW System's general program operations budget.

³ Accounts maintained by UW System Administration for the benefit of all institutions.

Appendix 3

Level-of-Commitment Categories

“Obligated” balances are held for a purpose as indicated by documentation such as a contract or encumbrance that would make it difficult for the institutions to easily use the balance for other purposes.

“Planned” balances are held for a purpose as indicated by documentation such as a budget document or a memorandum signed by a chancellor. The institutions may use planned balances for other purposes if the use complies with any funding source requirements.

“Designated” balances are held for purposes related to the original funding source, but for which documentation of an obligation or specific plan was not provided. Institutions may use balances for other purposes only if the use complies with funding source requirements.

“Reserves” are balances for which documentation indicates amounts are being held for contingencies, such as an unexpected decline in enrollment.

“Undocumented” balances have no funding source requirements and no documentation of an obligation or plan.

Appendix 4

Selected Reporting Requirements for Unrestricted Program Revenue Balances¹

Program Revenue Source	Calculation	Additional Reporting ²
Tuition (academic student fees and UW-Extension student fees)	Calculate the ratio of the balance to the combined expenditures for GPR (less GPR-funded debt services) and tuition.	When the ratio exceeds 12.0 percent, provide a detailed plan on how funds will be expended. If the balance is negative, provide a savings plan.
Auxiliary Operations	Calculate the ratio of the balance to total auxiliary operations expenditures.	When the ratio exceeds 12.0 percent, provide a detailed plan on how funds will be expended. If the balance is negative, provide a savings plan.
General Operations	Calculate the ratio of the balance to total general operations expenditures.	When the ratio exceeds 12.0 percent, provide a detailed plan on how funds will be expended.
Other Unrestricted Program Revenue	Calculate the ratio of the balance to total other unrestricted program revenue expenditures.	When the ratio exceeds 12.0 percent, provide a detailed plan on how funds will be expended.
Federal Indirect Cost Reimbursement	Calculate the percentage change from the prior year balance.	None.

¹ As approved by the Joint Legislative Audit Committee and Joint Committee on Finance in accordance with provisions in 2013 Wisconsin Act 20.

² When detailed plans are required, the policy specifies the plans should include details on how the funds will be spent, the specific projects for which the funds are held, the amount of funds currently held for each project, and the period in which the funds will be spent.

Appendix 5

Summary of UW System Unrestricted Program Revenue Balances by Level of Commitment

FY 2014-15

Institution	Obligated	Planned	Designated	Reserves	Undocumented	Total
Madison	\$142,582,921	\$164,417,138	\$18,001,401	\$52,249,705	\$ –	\$377,251,165
Milwaukee	16,435,676	29,958,469	18,721,079	–	–	65,115,224
Eau Claire	8,142,060	21,077,210	7,016,279	2,450,865	558,891	39,245,305
Green Bay	2,827,661	10,998,031	2,988,395	3,315,560	467,292	20,596,939
La Crosse	33,398,244	19,535,136	8,892,768	652,533	–	62,478,681
Oshkosh	14,930,328	24,323,938	568,995	3,809,709	15,996	43,648,966
Parkside	1,070,161	7,828,389	1,157,746	349,515	372,164	10,777,975
Platteville	7,136,397	9,876,135	4,921,321	2,114,561	1,589,220	25,637,634
River Falls	6,846,730	13,444,284	636,591	1,267,509	14,126	22,209,240
Stevens Point	11,195,190	13,718,072	1,625,460	5,601,178	1,343,209	33,483,109
Stout	2,970,976	4,881,370	449,270	5,667,479	168,082	14,137,177
Superior	335,989	1,438,389	21,236	(1,376,458)	1,539,379	1,958,535
Whitewater	4,172,746	24,408,336	4,628,830	4,625,000	3,843,470	41,678,382
Colleges	1,163,616	12,381,743	1,472,110	10,705,420	–	25,722,889
Extension	1,010,557	18,012,992	2,423,590	3,725,984	819,942	25,993,065
System Administration	414,871	–	345,246	–	7,915,850	8,675,967
Systemwide	14,605,776	59,146,900	113,413	20,080,528	11,363,244	105,309,861
Total	\$269,239,899	\$435,446,532	\$73,983,730	115,239,088	\$30,010,865	\$923,920,114
	29%	47%	8%	12%	3%	100%

Source: Appendix 3 of UW System's FY 2014-15 Report on Program Revenue Balances by Institution and Level of Commitment.

FY 2013-14

Institution	Obligated	Planned	Designated	Reserves	Undocumented	Total
Madison	\$142,290,995	\$171,996,948	\$17,563,613	\$54,705,680	\$ –	\$386,557,236
Milwaukee	27,500,695	44,404,532	11,229,904	836,000	228,322	84,199,453
Eau Claire	15,663,241	8,722,655	16,954,867	8,262,143	679,689	50,282,595
Green Bay	133,384	6,371,109	8,630,191	6,549,071	516,854	22,200,609
La Crosse	22,091,980	40,004,351	9,359,854	2,408,246	2,341,834	76,206,265
Oshkosh	17,003,847	23,144,512	3,809,867	4,264,543	1,509,113	49,731,882
Parkside	741,664	8,115,977	910,598	(726,546)	55,290	9,096,983
Platteville	7,395,457	11,229,715	2,090,610	256,878	1,732,761	22,705,421
River Falls	5,575,408	10,729,368	1,716,582	1,337,595	303,652	19,662,605
Stevens Point	10,525,311	23,116,723	2,201,808	3,025,957	1,057,895	39,927,694
Stout	5,975,779	5,141,295	448,992	–	356,361	11,922,427
Superior	561,914	1,714,319	547,410	(5,385,787)	621,538	(1,940,606)
Whitewater	5,905,806	26,872,031	6,191,507	3,000,000	3,628,542	45,597,886
Colleges	1,585,146	11,754,873	3,431,711	8,456,296	257,930	25,485,956
Extension	1,786,002	18,712,735	1,867,370	3,720,401	986,591	27,073,099
System Administration	2,455,332	296,206	367,226	–	8,591,977	11,710,741
Systemwide	6,834,088	24,699,990	146,358	20,080,457	41,159,753	92,920,646
Total	\$274,026,049	\$437,027,339	\$87,468,468	\$110,790,934	\$64,028,102	\$973,340,892
	28%	45%	9%	11%	7%	100%

Source: Appendix 2 of UW System's FY 2013-14 Report on Program Revenue Balances by Institution and Level of Commitment.

Appendix 6

Summary of External Investment Managers

As of June 30, 2015

External Manager/Portfolio	Assets under Management ¹	1-Year		3-Year		5-Year		10-Year	
		Performance ²	Benchmark	Performance ²	Benchmark	Performance ²	Benchmark	Performance ²	Benchmark
GMO:									
Real Return Global Balanced	\$113.0 million	(2.0)%	1.3%	8.2%	8.9%	9.3%	8.6%	n.a.	n.a.
Emerging Markets	31.1 million	(9.3)	(5.1)	0.6	3.7	2.3	3.7	6.1%	8.5%
Forestry Fund ³	6.2 million	(7.8)	n.a.	0.9	n.a.	n.a.	n.a.	n.a.	n.a.
UBS:									
Global Asset Management	59.6 million	11.4	7.4	21.8	17.3	18.6	17.3	9.2	7.9
International Asset Management	48.3 million	(5.8)	(3.8)	11.2	12.5	9.1	10.0	4.9	5.6
Adams Street Partners: ⁴									
Private Equity	24.2 million	n.a.	n.a.	11.8	9.7	13.2	11.2	n.a.	n.a.
JP Morgan: ⁴									
Private Equity	25.3 million	n.a.	n.a.	13.0	9.7	12.9	11.2	n.a.	n.a.
Seix:									
High-Yield Debt/Credit	29.7 million	(1.0)	(0.4)	6.7	6.8	8.1	8.6	n.a.	n.a.
Reams:									
High Quality Debt/Credit	46.8 million	2.0	1.9	2.8	1.7	3.7	2.9	5.3	4.2

Total **\$384.2 million**

¹ Based on data from the custodial bank.

² As reported to the Board of Regents in the Quarterly Investment Review as of June 30, 2015. Performance returns that did not meet benchmarks are in **bold**.

³ According to the Office of Trust Funds, it does not establish a yearly benchmark for this fund. The Office of Trust Funds indicates the target rate of return over the life of the investment is from 10.0 to 14.0 percent.

⁴ As of March 31, 2015, due to a lag in reporting related to private equities.

Response ■



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February 12, 2016

Mr. Joe Chrisman
State Auditor
Legislative Audit Bureau
22 E. Mifflin Street, Suite 500
Madison, WI 53703

Dear Mr. Chrisman,

Thank you for the opportunity to respond to the Legislative Audit Bureau's (LAB) audit of the University of Wisconsin System's 2015 Annual Financial Report, which received an unmodified or "clean" audit opinion. We appreciate the time and effort expended in completing the audit of the financial report, as well as the additional areas selected for review and noted within the audit report, including the program revenue balance report, investments, and information technology security.

2015 Audited Financial Statements

As noted within our audited financial report, the UW System's unrestricted net position—those funds without external restrictions as to their use—decreased by \$113.7 million between fiscal year (FY) 2014 and FY 2015. Since 2013, the unrestricted net position decreased approximately \$245.9 million, or 22.8%. Total net position increased due to increases in restricted resources that cannot be used for UW System operations, primarily funds held by the Department of Administration for approved capital projects and a \$330.2 million pension asset that must remain within the state's irrevocable trust fund. A new accounting standard requires a similar asset be reported on the financial statements for all governmental entities within the Wisconsin Retirement System.

Another key financial item highlighted at the February 2016 Board of Regents' meeting was the losses before capital and endowments additions. After considering all operating and non-operating revenues and expenses, the UW System reported a gain of \$202.1 million in FY 2013. With declining enrollments, state appropriations, and federal grants and contracts, the UW System reported losses of \$121.0 million and \$127.8 million in FY 2014 and FY 2015, respectively.

These reductions in unrestricted net position and losses before capital and endowment additions are being reported prior to the more significant \$250 million reduction of state appropriations in the 2015-17 biennium. However, even for FY 2015, it is clear the UW System's financial

condition has deteriorated, and the current path cannot be sustained long-term. All UW institutions are making administrative changes and implementing budget reduction strategies to adjust to their new fiscal realities.

Program Revenue Balance Report

The UW System's program revenue balance report, which is prepared on a budgetary basis, is another management tool that provides valuable financial information. Similar to the accrual-based financial statements, this report reflects reductions in balances. The tuition balances have declined from \$551.5 million in FY 2013 to \$337.4 million in FY 2015, a 38.8% reduction.

We agree with LAB's recommendation related to program revenue reserve policies. UW System Administration will work with the noted institutions to refine their reserves policies and address what the reserves can be used for and who may authorize the usage of those balances.

UW System Investments

The UW System's Office of Trust Funds invests donated funds that total \$523.4 million as of June 30, 2015. Turnover and limited staffing resources during significant portions of the review period contributed to some deficiencies noted in regards to monitoring external investment managers and the completion of various reports, as prescribed in the Investment Policy Statement. As recommended in the report, the Office of Trust Funds will work toward again meeting, and in one case augmenting, the monitoring and reporting standards set forth in the Investment Policy Statement as follows:

- regularly complete, document and report to the Board of Regents regarding annual due diligence meetings with each investment manager;
- for investment vehicles where fees are charged against assets (e.g., mutual funds and other commingled vehicles), annually verify and document that the management fees are consistent with fund terms;
- for the Intermediate Term Fund, report performance against a second benchmark known as the "policy portfolio benchmark"; and
- work with the Board of Regents' Business and Finance Committee members to determine how best to provide detailed investment performance and asset allocation information in the future.

The audit report indicates that investment performance for "four of the nine portfolios [actively] managed by external investment managers lagged benchmark returns for most periods reported." It should be noted that, since inception of our investments, performance for two of these portfolios has met or exceeded their benchmarks. For the other two portfolios, since inception of the investment product or strategy employed, performance has again exceeded benchmarks.

Information Technology Security

Lastly, LAB identified weaknesses related to information technology security policies and procedures. Since the time LAB's audit work was conducted, the UW System is glad to add that the Board of Regents unanimously adopted a new Systemwide policy on Information

Technology Security (Regent Policy Document 25-5,
<https://www.wisconsin.edu/regents/policies/>).

The UW Data Privacy and Security Council has surveyed its members regarding the priority order for the development of new information security policies. The Council will meet in person on February 17th and regularly thereafter to continue this effort.

In response to the LAB findings, the audited UW institutions are ensuring that the fewest possible individuals have access to the internal workings of the systems that store confidential and sensitive information. At the smaller institutions, where small information technology staffs make it difficult to maintain proper separation of duties, mitigating controls are being implemented. The work that is underway at the audited institutions will also inform the policy work of the Data Privacy and Security Council.

While security policies and internal controls need to be strengthened, there is no evidence that the audited systems have been compromised.

Thank you again for the opportunity to comment on this report.

Sincerely,

A handwritten signature in black ink, appearing to read "Ray Cross". The signature is fluid and cursive, with the first name "Ray" being more prominent than the last name "Cross".

Ray Cross

ANNUAL FINANCIAL REPORT 2015



**Published by the Office of Finance
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Editor: Connie Christianson

Cover Photo: University of Wisconsin–Milwaukee students walk in front of Johnston Hall, which was acquired in the Milwaukee-Downer College campus purchase. It was called “College Hall” until 1904 when it was renamed for John T. Johnston, a member of the Milwaukee College and the Milwaukee-Downer College Board of Trustees. Johnston also served as the Board of Trustees’ president.

Johnston Hall, which is located on the east side of the North Quad, was designated a landmark building in 1973.

UW-Milwaukee (UWM) is an urban research institution that grants undergraduate through doctoral degrees. Its 28,000 students choose from more than 180 programs taught by 1,700 experts in diverse, in-demand fields. Small classes and major research opportunities distinguish UWM’s popular Honors College. The institution’s Student Startup Challenge nurtures student business plans through coursework grounded in entrepreneurship and product design. UWM students jump-start their careers by interning with major players in finance, engineering, the arts, healthcare, and more. Milwaukee is a learning laboratory for future leaders, where students volunteer 40,000 hours each year. The Princeton Review calls UWM a “Best in the Midwest” university.

Photo: UW-Milwaukee

**University of Wisconsin System
2015 Annual Financial Report**

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Officers

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President

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Interim Vice President for Finance

David L. Miller,
Vice President for Administration

James Villa,
Vice President for University Relations

David J. Ward,
*Interim Vice President for Academic and
Student Affairs*

Tomas L. Stafford,
General Counsel/Assistant Trust Officer

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UW-Extension*

James Schmidt, *UW-Eau Claire*

Gary L. Miller, *UW-Green Bay*

Joe Gow, *UW-La Crosse*

Rebecca Blank, *UW-Madison*

Mark Mone, *UW-Milwaukee*

Andrew J. Leavitt, *UW-Oshkosh*

Deborah Ford, *UW-Parkside*

Dennis Shields, *UW-Platteville*

Dean Van Galen, *UW-River Falls*

Bernie Patterson, *UW-Stevens Point*

Bob Meyer, *UW-Stout*

Renée Wachter, *UW-Superior*

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UNIVERSITY OF WISCONSIN SYSTEM

Finance Staff

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Freda J. Harris,
*Associate Vice President for Budget
and Planning*

Alexandria Roe,
*Associate Vice President for Capital
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Connie Christianson,
Interim Director of Financial Reporting

Ginger Hintz,
*Controller and Director of Financial
Services*

Douglas J. Hoerr,
*Director for Trust Funds/Assistant Trust
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Diann Sypula,
Director for UW Service Center

Michael M. Kraus,
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Regents

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José Delgado, *Waukesha*

Tony Evers, *Madison*

Margaret Farrow, *Pewaukee*

Michael Grebe, *Waukesha*

Eve Hall, *Milwaukee*

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Tim Higgins, *Appleton*

James Langnes III, *UW-Whitewater*

Edmund Manydeeds, *Eau Claire*

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Janice Mueller, *Madison*

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José F. Vásquez, *Wauwatosa*

Gerald Whitburn, *Wausau*

Introduction from the President
and
Vice President's Report



INTRODUCTION FROM THE PRESIDENT FINANCIAL REPORT 2015

The University of Wisconsin (UW) System is the best vehicle to help Wisconsin shape, and prepare for, its future. That is our firm belief, and it was one of the themes to emerge from the ideas shared by hundreds of civic, business, economic development, and other leaders who joined us in a series of 13 listening sessions we hosted around Wisconsin in late 2015. The sessions were part of our new strategic planning process – an ongoing process that has made loud and clear the public's reliance on the UW System as we venture into an uncertain future.

The journey ahead is predicated on the UW System – from its administrative offices to every campus community in the state – being able to maintain an efficient, accountable, and affordable organization and operation.

In the 2014-15 academic year, we continued our trend of near-record high enrollment of approximately 180,000 students. We also conferred

another near-record high number of degrees—36,000 degrees ranging from associate through doctorate.

In the 2014-15 academic year, our ongoing financial reform efforts helped us deepen our commitment to transparent budgeting practices.

Our second comprehensive fund balances annual report remains one of the most detailed financial reports you will find in higher education. It is unprecedented.

We continue to project that program revenue fund balances—now reported in total and by institution throughout the UW System—will have decreased, by the end of the 2015-16 academic year, by more than 37 percent since 2013-14. Thanks to reforms we implemented, we will continue to better forecast balances.

By the end of fiscal year (FY) 2016, it is anticipated fund balances will be down by nearly 63 percent from FY 2013 levels. This is a significant reduction, and we expect that as institutions carefully manage budget reductions in this biennium, the balance will again decrease in the second year of the budget.

We still have work left to do. I am committed to working with chancellors, legislators and other stakeholders to ensure that we have the most transparent financial systems in the State of Wisconsin, if not the nation, and that we serve as a model nationwide.

The 2015-17 biennial budget process was marked by our opening and deepening a new dialogue and partnership between the Legislature and the UW System. I am committed to building on this foundation to ensure a strong UW System for the future that continues our long tradition of serving students, communities and the state.

As noted earlier, in late 2015, the UW System Administration launched a strategic planning initiative, beginning with a series of listening sessions throughout the state that coincided with similar forums and surveys used to gather input from each of our campus communities.

Phase Two of the process is also driven by public input. In December, the UW System shared an open, online survey gauging public opinion on the common ideas identified through the listening sessions held around the state.

The feedback throughout the process makes clear that the UW System's role in statewide economic development, its collaborative relationship with K-12 schools, and its commitment to business and community partnerships are important to the people of Wisconsin. We continue to distill and prioritize those themes into goals and strategies, and we expect to introduce the resulting new strategic plan by fall of 2016.

The strategic plan will further refine existing efforts, such as our Talent Development Initiative, a vision unveiled in 2014, outlining how the UW System can align its resources in three critical areas – the talent path, the talent infrastructure, and the talent-based economy – to better meet the most pressing needs of the state and its employers.

In 2015, we reaffirmed our commitment to this initiative, and we began a conversation that is helping us explore what we might do to more deliberately connect our students with Wisconsin businesses and career opportunities within. In particular, we are examining the potential for every junior and senior in the UW System to have one such “Wisconsin Business Experience” by the time they graduate. It may be a one-day, structured job-shadowing experience. It may involve a longer-term internship. Whatever the experience, it will give our students a revealing introduction to opportunities they may not otherwise have considered – opportunities that would apply their talent in ways beneficial to not only our graduates, but also state businesses and Wisconsin's economy.

I look forward to working with chancellors and business partners as we continue to explore this concept and demonstrate the ways that the talent we prepare and unleash into the state's workforce can be better retained in this state. It will be one more powerful example of the tremendous return on investment the UW System provides.

This would only build on the startling impact we know the UW System has: approximately \$15 billion in Wisconsin each year. Additionally, more than 80 percent of students who start out as Wisconsin residents stay in the state after graduation.

As we report each year, UW System spends a significantly smaller share of our educational and general expenses on overhead compared to peer university systems, saving Wisconsin taxpayers millions of dollars each year. Recent analyses found state funding per student in the UW System \$960 below the average among public universities, ranking

Wisconsin 32nd among the 50 states. Comparing state support for higher education to personal income, Wisconsin ranked 36th in the nation in funding per \$1,000 in personal income. And relative to our total state population, Wisconsin ranked 37th among the 50 states in per capita spending on higher education.

The UW System remains committed to quality, performance, accountability, and transparency in our financial affairs. This financial report demonstrates the UW System's vital role in shaping and contributing to Wisconsin's future economic success. At each of our 26 institutions, and in countless ways, the University of Wisconsin also serves as the *University for Wisconsin*.

Ray Cross
President



INTERIM VICE PRESIDENT'S REPORT FINANCIAL REPORT 2015

As demonstrated by the fiscal year (FY) 2015 financial statements and notes within this annual report, the University of Wisconsin (UW) System as a whole continues to be financially sound. The degree of financial health varies by UW institution, depending on their mission, student demographics, enrollment levels, enrollment sensitivity to outside factors, and other program initiatives.

Each UW System institution has had to balance its need to remain competitive with the challenging budgetary environment we have faced for a number of years. Faculty and staff have focused on their core missions and are committed to finding innovative ways to control costs and manage resources more productively. Because of this commitment, the UW System continues to make strategic investments in its facilities, programs, and people.

The FY 2015 financial statements reflect this commitment as well. In FY 2015, the UW System's total net position increased by nearly \$350.0 million, to \$6.7 billion. The largest factor contributing to this increase is the implementation of Governmental Accounting Standards Board (GASB) Statement No. 68, *Accounting and Financial Reporting for Pensions*. The GASB 68 implementation required the addition of a \$330.2 million net pension asset. Unlike

many other higher education and government institutions that will report pension liabilities, the UW System has recognized its future costs throughout the years and has continuously funded its pension obligations at a high level.

Revenue diversification has long been an important strategy for the UW System to achieve and strive to maintain financial stability. Over the past several years, there has been a shift in the largest funding source for instruction—from state support to tuition and fees. Other sources of program revenue, such as gift funds, have grown as well. As the need for and use of program revenue has grown, the UW System's oversight of and transparency with these balances had to also grow.

In October 2015, the UW System presented its second annual Report on the Level of Commitment of Program Revenue Balances, which is based on a budgetary fund balance basis of accounting, or the accumulated difference between revenue and expenses at the end of the fiscal year. This differs from full accrual accounting, which is the basis of accounting used for this Annual Financial Report. Both methodologies serve valuable management purposes, allow UW leadership and Regents to focus on different aspects of financial health, and promote good stewardship of the UW System's resources.

The FY 2015 Program Revenue Balances report noted that, in total, the UW System's unrestricted balance related to tuition decreased by \$58.0 million, to approximately \$337.4 million. This balance, which is spread across multiple UW institutions, will be invaluable as we move into the 2015-17 biennium, during which the UW System will address a \$250.0 million reduction in state funding and a tuition freeze in place for a third and fourth years.

By using both the Annual Financial Report and the Program Revenue Balances report, the UW institutions and UW System Administration will continue to monitor financial health and stability, looking for trends and new opportunities. We also continue to critically review both reports and identify where additional details or clarifications can be provided.

I invite you to review the UW System's financial statements and notes. The unmodified audit opinion on pages 7-9 signifies that this information presents fairly the financial position of the UW System. Your comments, questions, and suggestions are always welcome.

Julie K. Gordon
Interim Vice President for Finance



STATE OF WISCONSIN

Legislative Audit Bureau

22 East Mifflin Street, Suite 500 ■ Madison, WI 53703 ■ (608) 266-2818 ■ Hotline: 1-877-FRAUD-17 ■ www.legis.wisconsin.gov/lab

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Joe Chrisman
State Auditor

Independent Auditor's Report on the Financial Statements and Other Reporting Required by *Government Auditing Standards*

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee

Members of the University of Wisconsin Board of Regents, and
Dr. Raymond Cross, President
University of Wisconsin System

Report on the Financial Statements

We have audited the accompanying financial statements and the related notes of the University of Wisconsin (UW) System as of and for the year ended June 30, 2015, and June 30, 2014, as listed in the table of contents.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, which is 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 from 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 the accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on these financial statements.

Opinion

In our opinion, the financial statements referred to in the first paragraph present fairly, in all material respects, the financial position of UW System as of June 30, 2015, and June 30, 2014, and the respective changes in its financial position and its cash flows thereof for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Emphases of Matter

As discussed in Note 1 to the financial statements, the financial statements referred to in the first paragraph present only UW System and do not purport to, and do not, present fairly the financial position of the State of Wisconsin as of June 30, 2015, and June 30, 2014, the changes in its financial position, or where applicable, its cash flows for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

As discussed in Note 1 to the financial statements, in FY 2013-14, UW System implemented Governmental Accounting Standards Board (GASB) Statement Number 65, *Items Previously Reported as Assets and Liabilities*, which reclassifies certain items that were previously reported as assets and liabilities as deferred outflows of resources or deferred inflows of resources.

As discussed in Note 1 to the financial statements, in FY 2014-15, UW System implemented GASB Statement Number 68, *Accounting and Financial Reporting for Pensions—an amendment of GASB Statement No. 27*, and GASB Statement Number 71, *Pension Transition for Contributions Made Subsequent to the Measurement Date—an amendment of GASB Statement No. 68*. These statements revise accounting and financial reporting for pensions by state and local government employers.

As discussed in Note 13, in FY 2014-15, UW System elected to change its method of reporting the liability related to postemployment benefits other than pensions.

Our opinion is not modified with respect to these matters.

Other Matters

Required Supplementary Information—Accounting principles generally accepted in the United States of America require that the Management Discussion and Analysis, the schedule of UW System's proportionate share of the net pension liability (asset), the schedule of UW System contributions, and the related notes, as listed in the table of contents, be presented to supplement the financial statements. Such information, although not a part of the financial statements, is required by GASB, which considers it to be essential for placing the financial statements in an appropriate operational, economic, or historical context. In accordance with

auditing standards generally accepted in the United States of America, we have applied certain limited procedures to the required supplementary information that included inquiries of management about the methods of preparing the information. We further compared the information for consistency with management's responses to our inquiries, the financial statements, and other knowledge we obtained during our audit of the 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 do so.

Accompanying Information—Our audits were conducted for the purpose of forming an opinion on the financial statements of UW System. The supplementary information on pages 4 through 6 and on pages 48 and 49 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information has not been subjected to the auditing procedures applied in the audits of the financial statements and, accordingly, we do not express an opinion or provide any assurance on it.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we will also issue a report dated December 17, 2015, on our consideration of UW System's internal control over financial reporting; 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 the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be used when considering UW System's internal control over financial reporting and compliance.

LEGISLATIVE AUDIT BUREAU



Joe Chrisman
State Auditor

December 17, 2015

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UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2015 and 2014

Management's Discussion and Analysis

The following discussion and analysis provides an overview of the financial position and activities of the University of Wisconsin (UW) System for the years ended June 30, 2015 and 2014, with comparative information for the year ended June 30, 2013, where appropriate. This discussion has been prepared by management and should be read in conjunction with the financial statements and footnotes.

The UW System consists of 13 universities, 13 two-year colleges, UW-Extension, and System Administration. In academic year 2014-2015, the UW System enrolled 180,979 students, employed approximately 32,000 faculty and staff, and granted 34,612 bachelor's, master's, and other advanced degrees. UW System institutions were awarded over \$878.1 million in federal grants and contracts in fiscal year (FY) 2015 and an additional \$572.7 million from non-federal sponsors. The UW System has a long tradition of public service, embodied by an ongoing commitment to the Wisconsin Idea, that the boundaries of the University are the boundaries of the State.

<i>Degrees Granted</i>	
<i>UW-Madison</i>	<i>10,505</i>
<i>UW-Milwaukee</i>	<i>5,158</i>
<i>UW-Eau Claire</i>	<i>2,265</i>
<i>UW-Green Bay</i>	<i>1,335</i>
<i>UW-La Crosse</i>	<i>2,290</i>
<i>UW-Oshkosh</i>	<i>2,328</i>
<i>UW-Parkside</i>	<i>749</i>
<i>UW-Platteville</i>	<i>1,612</i>
<i>UW-River Falls</i>	<i>1,391</i>
<i>UW-Stevens Point</i>	<i>1,976</i>
<i>UW-Stout</i>	<i>1,925</i>
<i>UW-Superior</i>	<i>508</i>
<i>UW-Whitewater</i>	<i>2,568</i>
<i>UW Colleges</i>	<i><u>2</u></i>
<i>Total</i>	<i><u>34,612</u></i>

<i>2014-15 Headcount Enrollments</i>	
<i>UW-Madison</i>	<i>42,865</i>
<i>UW-Milwaukee</i>	<i>28,013</i>
<i>UW-Eau Claire</i>	<i>10,692</i>
<i>UW-Green Bay</i>	<i>6,921</i>
<i>UW-La Crosse</i>	<i>10,664</i>
<i>UW-Oshkosh</i>	<i>14,542</i>
<i>UW-Parkside</i>	<i>4,584</i>
<i>UW-Platteville</i>	<i>8,901</i>
<i>UW-River Falls</i>	<i>6,184</i>
<i>UW-Stevens Point</i>	<i>9,322</i>
<i>UW-Stout</i>	<i>9,371</i>
<i>UW-Superior</i>	<i>2,589</i>
<i>UW-Whitewater</i>	<i>12,159</i>
<i>UW Colleges</i>	<i><u>14,172</u></i>
<i>Total</i>	<i><u>180,979</u></i>

Using the Financial Statements

The UW System's annual financial report includes the Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; the Statement of Cash Flows; and the Notes to the Financial Statements. These items are prepared in accordance with standards established by the Governmental Accounting Standards Board (GASB).

The Statement of Net Position is a financial condition snapshot as of June 30, 2015 and 2014, and includes all assets and deferred outflows of resources, and liabilities and deferred inflows of resources, with the difference between the two reported as net position. Current assets are those that are available to satisfy current liabilities inclusive of assets that will be converted to cash within one year. Current liabilities are those that will be paid within one year. Increases or decreases in net position provide an indicator of the improvement or erosion of the UW System's financial health when considered in conjunction with non-financial information, such as conditions of facilities and enrollment levels. Net Position is divided into three major categories: Net Investment in Capital Assets, Restricted, and Unrestricted. Net Investment in Capital Assets consists of capital assets reduced by the outstanding balances of borrowings for the construction, acquisition, or improvement of those assets. Restricted Net Position has constraints put on by external parties, such as sponsors for research and donors, or by State Statute and Board of Regent policy as in the case of student segregated fees. Unrestricted Net Position consists of funds that do not meet either of those definitions.

The Statement of Revenues, Expenses, and Changes in Net Position presents the UW System's operating results as well as non-operating revenues and expenses. Operating revenues are comprised primarily of student tuition and fees, grants and contracts, and auxiliary service activities. GASB Statement No. 35 requires that state appropriations, gifts, and investments be reported as non-operating revenue. Public universities, including the UW System, are typically reliant on these revenue sources to fulfill their missions and, therefore, report operating expenses in excess of

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2015 and 2014

operating revenues. As a result, non-operating revenues are a significant component in determining the increase or decrease in total net position.

The Statement of Cash Flows summarizes cash inflows and outflows by category as either relating to operating, capital, financing, or investing activities. Cash flow information can be used to evaluate the financial viability of the UW System and its ability to meet financial obligations as they mature. Cash flows from operating activities result from exchange transactions in which one party gives another something in return. Cash flows from investing activities are a result of the purchase or sale of investments, withdrawals from the long-term investment pool, and collecting interest and dividends earned. Cash flows from capital activities include receipts from capital grants, donor receipts specifying use for capital assets, and activity related to debt issued for the explicit purpose of acquisition, construction, or improvement of capital assets. Cash flows from noncapital financing activities include state appropriations and private gifts restricted for noncapital purposes.

The Notes to the Financial Statements are an integral part of the basic financial statements and communicate information essential for fair presentation. For example, the notes convey information concerning significant accounting policies used to prepare the financial statements, detailed information on cash and investments, capital assets, notes and bonds payable, relationships with affiliated organizations, and classification of net position.

In addition to this Management's Discussion and Analysis, which is required supplementary information, the basic financial statements are followed by required supplementary information regarding UW System's pension obligations.

Analysis of Financial Position and Results of Operations

The UW System's financial standing remained relatively strong at the conclusion of FY 2015. As of June 30, 2015, the UW System had total assets of over \$8.9 billion and total liabilities of \$2.4 billion.

<u>Statement of Net Position (in millions)</u>	<u>2015</u>	<u>2014</u>	<u>2013</u>
Current Assets	\$ 1,905.0	\$ 1,846.8	\$ 2,106.7
Capital Assets, Net	6,006.0	5,991.3	5,834.9
Other Noncurrent Assets	<u>941.0</u>	<u>628.9</u>	<u>581.4</u>
Total Assets	8,852.0	8,467.0	8,523.0
Deferred Outflows of Resources	284.4	19.1	13.9
Current Liabilities	590.0	536.6	569.4
Noncurrent Liabilities	<u>1,848.2</u>	<u>1,609.9</u>	<u>1,651.5</u>
Total Liabilities	2,438.2	2,146.5	2,220.9
Deferred Inflows of Resources	9.1	0.5	-
Net Investment in Capital Assets	4,386.4	4,366.0	4,170.9
Restricted Net Position	1,468.9	1,025.7	1,065.2
Unrestricted Net Position	<u>833.8</u>	<u>947.4</u>	<u>1,079.7</u>
Total Net Position	<u>\$ 6,689.1</u>	<u>\$ 6,339.1</u>	<u>\$ 6,315.8</u>

Current assets minus current liabilities represents the net working capital of the UW System. Net working capital increased from \$1,310.2 million at June 30, 2014 to \$1,315.0 million at June 30, 2015. The net working capital at year end represented approximately 103 days of 2015 operating expenses. This indicates that the UW System could support normal operations for 103 days without additional revenues or liquidating noncurrent assets.

As shown in the following table, the change in Current Assets was comprised of an increase in Cash of \$138.1 million and a decrease in Accounts Receivable of \$78.0 million. The Cash increase is primarily related to an increase in amounts set aside for construction projects that are in progress. This amount is a combination of unspent bond proceeds and cash provided by institutions for capital projects.

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2015 and 2014

<i>Current Assets (in millions)</i>	<u>2015</u>	<u>2014</u>	<u>Change</u>
Cash & Cash Equivalents	\$ 1,536.8	\$ 1,398.7	\$ 138.1
Accounts Receivable, Net	220.7	298.7	(78.0)
Other Current Assets	<u>147.5</u>	<u>149.4</u>	<u>(1.9)</u>
<i>Total Current Assets</i>	<u>\$ 1,905.0</u>	<u>\$ 1,846.8</u>	<u>\$ 58.2</u>

The Board of Regents has authority to invest gifts and bequests received by the UW System. Investments are valued at market and held primarily in two investment pools: the Long Term Fund and the Intermediate Term Fund. The Board of Regents establishes investment policies and guidelines, including target investment allocations. Benefiting UW entities receive quarterly distributions from the Long Term Fund, principally endowed assets, based on an annual spending rate applied to a 12-quarter moving average market value of the Fund. Distributions from the Intermediate Term Fund, principally quasi-endowments and unspent income distributions, consist of interest earnings distributed quarterly. A comparison of university-controlled endowments over the past several years can be found in Chart 3 on page 49 of this report. Additional information on cash and investments is provided in Note 2 to the Financial Statements.

Non-current assets and liabilities both increased in FY 2015. However, non-current assets and deferred outflows increased more than non-current liabilities and deferred inflows, resulting in an increase in net position. The most significant reasons for this are the implementation of Governmental Accounting Standards Board Statement (GASB) No. 68, *Accounting and Financial Reporting for Pensions*, and a change in accounting principle related to other post-employment benefits. The following accounts were impacted or created as a result of these changes:

<u>Account</u>	<u>Value (in millions)</u>
Restricted Net Pension Asset (new account)	\$ 330.2
Deferred Outflows of Resources	252.6
Less:	
Other Post-Employment Benefits Liability (new account)	(248.4)
Deferred Inflows of Resources	<u>(7.8)</u>
Net Effect on Net Position	<u>\$ 326.6</u>

Further, these reporting changes resulted in a \$285.2 million prior period adjustment on the Statement of Revenues, Expenses, and Changes in Net Position. These changes are more fully described in Notes 1 and 13 to the Financial Statements.

Most of the unrestricted net position has been identified for purposes to fulfill the UW System's fiduciary responsibilities, including academic and research programs and capital projects. Additional information related to net position can be found in Note 12 to the Financial Statements.

Capital and Debt Activities

Of the \$6.7 billion in net position, \$4.4 billion is net investment in capital assets. In an effort to maintain quality in the UW System's academic and research programs and residence halls, the UW System has implemented a long-range plan to fund new construction and modernize existing facilities. Capital additions consist of new construction, replacement and renovation of academic and research facilities, as well as significant investment in technology and equipment. Note 4 to the Financial Statements describes the UW System's capitalization and depreciation policies, and includes summarized changes in the book value of these assets. Note 6 to the Financial Statements describes the UW System's long term debt and includes summarized information on those balances, as well as future debt service requirements.

The UW System has approximately 1,800 buildings totaling 60 million gross square feet of space with replacement costs of nearly \$10.0 billion. This accounts for a majority of the total state-owned facilities in Wisconsin. The Board of Regents holds title to approximately 18,000 acres of land throughout Wisconsin, most of which was donated to the UW System and is deed restricted for research and nature preserves. About 4,600 acres comprise the main campuses of the 13 universities.

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2015 and 2014

There are three primary sources of funding for UW System capital projects: General Fund Supported Borrowing (GFSB) 20-year state-issued bonds repaid with General Program Revenue (GPR); Program Revenue Supported Borrowing (PRSB) 20- or 30-year state-issued bonds repaid with the UW System program revenue; and cash from gift and grant funds.

Major Construction Projects

During FY 2015, several major construction projects were completed. Projects with \$50.0 million or more in actual expenditures are listed below:

UW Institution	Project	Primary Purpose	Actual Expenditures (in millions)	Primary Funding Sources
Milwaukee	Kenwood Interdisciplinary Research Complex	Academic	\$77.3	GFSB/Gifts
Milwaukee	Freshwater Science Institute Research Building	Academic	50.9	GFSB/Gifts

Several construction projects were in progress during FY 2015. Projects with a budget of \$50.0 million or more are listed below:

UW Institution	Project	Primary Purpose	Approx Budget (in millions)	Primary Funding Sources
La Crosse	Science Lab Building	Academic	\$ 82.0	GFSB
La Crosse	Student Union	Student Life	53.0	PRSB
Madison	Memorial Union Renovations	Student Life	116.5	PRSB/Gifts
Madison	Chemistry Building	Academic	107.8	GFSB/Gifts
Madison	New South East Recreational Facility	Student Life	87.5	PRSB/Gifts
Madison	Utilities (Chillers)	Utilities	67.5	GFSB/PRSB
Madison	Music Performance Building	Academic	55.8	Gifts
River Falls	Health and Human Performance/Recreation Building (Falcon Center)	Academic & Athletics	63.5	GFSB/PRSB/Gifts
Stevens Point	Chemistry-Biology Building	Academic	75.0	GFSB

Statement of Revenues, Expenses, and Changes in Net Position

Total revenues decreased more than total expenses, resulting in a slightly larger Loss Before Capital and Endowment Additions for FY 2015. However, the net position increased primarily due to a \$63.0 million increase in capital appropriations during the period. A summary of the Statement of Revenues, Expenses, and Changes in Net Position is as follows (in millions):

	<u>2015</u>	<u>2014</u>	<u>2013</u>
Total Revenues	\$ 4,688.8	\$ 4,712.4	\$ 4,806.9
Total Expenses	<u>4,816.6</u>	<u>4,833.4</u>	<u>4,604.8</u>
Income (Loss) Before Capital and Endowment Additions	(127.8)	(121.0)	202.1
Capital Appropriations, Contributions & Endowment Additions	<u>192.5</u>	<u>144.1</u>	<u>268.2</u>
Increase in Net Position	<u>\$ 64.7</u>	<u>\$ 23.1</u>	<u>\$ 470.3</u>

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2015 and 2014

The UW System's revenues by operating and non-operating category are provided in the table below. FY 2015 operating revenues have decreased by \$94.4 million since FY 2013. Non-operating revenues have fluctuated, primarily due to changes in state appropriations and investment income, but decreased \$23.7 million between FY 2013 and FY 2015.

Operating Revenues (in millions):	<u>2015</u>	<u>2014</u>	<u>2013</u>
Student Tuition and Fees, Net	\$ 1,169.2	\$ 1,138.3	\$ 1,174.7
Federal Grants and Contracts	759.2	804.2	871.8
State, Local, & Private Grants and Contracts	389.5	358.3	410.9
Sales and Services of Educational Activities	327.8	312.0	294.0
Sales and Services of Auxiliaries, Net	401.8	405.7	389.0
All Other Operating Revenues	<u>396.7</u>	<u>389.1</u>	<u>398.2</u>
Total Operating Revenues	3,444.2	3,407.6	3,538.6
Non-Operating Revenues:			
State Appropriations	896.6	918.7	893.6
Gifts	304.9	292.3	295.8
Net Investment Income	4.7	63.0	41.6
Other Non-Operating Revenues	<u>38.4</u>	<u>30.8</u>	<u>37.3</u>
Total Non-Operating Revenues	<u>1,244.6</u>	<u>1,304.8</u>	<u>1,268.3</u>
Total Revenues	<u>\$ 4,688.8</u>	<u>\$ 4,712.4</u>	<u>\$ 4,806.9</u>

One of the UW System's strengths has been its ability to supplement student tuition, fee revenue, and state appropriations with support from other sources, including individuals, foundations, investment income, and government-sponsored programs (see Charts 1 and 2 in the Supplemental Information on page 48 of this report). The UW System will continue to aggressively seek funding sources consistent with its mission to meet operating activities in a financially prudent manner. In addition, the UW System will continue to make cost containment and revenue diversification a priority.

Operating expenses, classified by function, and non-operating expenses, are as follows (in millions):

	<u>2015</u>	<u>2014</u>	<u>2013</u>
Operating Expenses:			
Instruction	\$ 1,199.1	\$ 1,171.8	\$ 1,150.5
Research	729.0	759.4	877.7
Public Service	302.3	307.3	316.9
Academic Support	403.2	398.7	355.5
Student Services	442.1	420.7	404.5
Institutional Support	282.8	266.7	219.8
Operation/Maintenance	308.3	312.1	304.7
Financial Aid	298.2	323.1	138.9
Auxiliary Enterprises	337.8	340.6	329.5
Other Functions	76.7	76.4	75.9
Depreciation	<u>290.4</u>	<u>273.5</u>	<u>290.5</u>
Total Operating Expenses	4,669.9	4,650.3	4,464.4
Non-Operating Expenses	<u>146.7</u>	<u>183.1</u>	<u>140.4</u>
Total Expenses	<u>\$ 4,816.6</u>	<u>\$ 4,833.4</u>	<u>\$ 4,604.8</u>

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2015 and 2014

Factors Affecting Future Periods

2015 Wisconsin Act 55, the 2015-17 biennial budget, mandated a number of items that impact the UW System's funding. The 2015-17 biennial budget required a freeze of resident undergraduate tuition at the 2014-15 levels, which had already been frozen at the 2012-13 level. The result is a four-year tuition freeze. These freezes included differential tuition, with one exception. The Board of Regents was allowed to implement a differential tuition at UW-Stevens Point if approved by a student referendum after the effective date of the biennial budget act.

The 2015-17 biennial budget includes a reduction in base funding of \$125.0 million in 2015-16. In the following year, 2016-17, the base budget reduction will be \$100.0 million with an additional \$25.0 million lapse. The net impact is a reduction of \$250.0 million over the biennium.

The budget reduction was originally proposed at \$150.0 million annually. In restoring \$25.0 million of base funding to the UW System, the budget act specifies that the Board of Regents must allocate that \$25.0 million to those institutions most impacted by reductions in GPR spending.

In addition, the 2015-17 biennial budget eliminated funding and related positions for the Wisconsin Bioenergy Initiative, solid waste research, and UW-Extension recycling education beginning in 2015-16. These programs represented program revenue and segregated funding of \$4.6 million annually in the 2013-15 biennium. The budget also eliminated GPR all-agency funding for building maintenance costs at the various campuses; by comparison, \$102.0 million was made available for this purpose in the 2013-15 biennium.

Statement of Net Position

University of Wisconsin System

June 30, 2015

June 30, 2014

ASSETS

Current Assets:

Cash and Cash Equivalents	\$ 1,536,783,613	\$ 1,398,745,004
Accounts Receivable, Net	220,730,330	298,727,468
Student Loans Receivable, Net	29,717,900	30,604,221
Capital Lease Receivable	1,119,049	829,685
Inventories	41,103,276	42,595,089
Prepaid Expenses	75,496,001	75,329,275
Total Current Assets	1,904,950,169	1,846,830,742

Noncurrent Assets

Endowment Investments	442,477,891	457,517,111
Student Loans Receivable, Net	166,665,720	168,490,674
Capital Lease Receivable	1,693,255	2,880,436
Land	156,065,166	155,754,862
Improvements Other Than Buildings, Net	201,248,836	197,165,829
Construction in Progress	295,693,992	329,025,710
Buildings, Net	3,893,760,969	3,852,525,581
Equipment, Net	313,889,892	317,657,573
Library Holdings	1,145,325,745	1,139,186,343
Restricted Net Pension Asset	330,166,674	-
Total Noncurrent Assets	6,946,988,140	6,620,204,119
TOTAL ASSETS	\$ 8,851,938,309	\$ 8,467,034,861

DEFERRED OUTFLOWS OF RESOURCES

	\$ 284,450,532	\$ 19,144,676
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LIABILITIES

Current Liabilities

Accounts Payable and Accrued Liabilities	\$ 267,062,248	\$ 223,805,533
Notes and Bonds Payable	84,578,011	78,661,795
Capital Lease Obligations	4,565,334	6,425,495
Unearned Revenue	171,605,987	164,461,002
Compensated Absences	60,378,633	61,531,909
Deposits of Student Organizations	1,791,077	1,727,867
Total Current Liabilities	589,981,290	536,613,601

Noncurrent Liabilities

Notes and Bonds Payable	1,498,218,824	1,504,324,135
Capital Lease Obligations	32,201,469	35,935,451
Compensated Absences	69,348,780	69,653,075
Other Post-Employment Benefits	248,443,125	-
Total Noncurrent Liabilities	1,848,212,198	1,609,912,661
TOTAL LIABILITIES	\$ 2,438,193,488	\$ 2,146,526,262

DEFERRED INFLOWS OF RESOURCES

	\$ 9,130,093	\$ 550,781
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NET POSITION

Net Investment in Capital Assets	\$ 4,386,420,962	\$ 4,365,969,021
Restricted for		
Pensions	330,166,674	-
Nonexpendable	194,516,535	187,767,529
Expendable	322,963,429	321,956,571
Student Loans	236,630,413	231,902,848
Other	384,562,564	283,960,044
Unrestricted	833,804,683	947,546,479
TOTAL NET POSITION	\$ 6,689,065,260	\$ 6,339,102,492

The accompanying notes to the financial statements are an integral part of these statements.

Statement of Revenues, Expenses and Changes in Net Position

University of Wisconsin System

Year ended June 30, 2015

Year ended June 30, 2014

OPERATING REVENUES

Student Tuition and Fees (net of Scholarship Allowances of \$217,118,571 and \$204,522,151, respectively)	\$ 1,169,243,775	\$ 1,138,306,317
Federal Grants and Contracts	759,191,723	804,152,200
State, Local, and Private Grants and Contracts	389,486,587	358,282,829
Sales and Services of Educational Activities	327,804,385	312,039,818
Sales and Services of Auxiliary Enterprises (net of Scholarship Allowances of \$38,009,118 and \$35,297,417, respectively)	401,820,535	405,683,546
Sales and Services to UW Hospital Authority	64,378,938	65,236,117
Student Loan Interest Income and Fees	5,048,251	5,095,033
Other Operating Revenue	327,276,623	318,761,856
Total Operating Revenues	3,444,250,817	3,407,557,716

OPERATING EXPENSES

Salary and Fringe Benefits	3,034,292,313	2,969,431,519
Scholarship and Fellowships	135,765,108	149,646,842
Supplies and Services	1,178,010,643	1,227,504,543
Other Operating Expenses	31,448,855	30,193,993
Depreciation	290,407,130	273,473,935
Total Operating Expenses	4,669,924,049	4,650,250,832

OPERATING LOSS

(1,225,673,232) (1,242,693,116)

NON-OPERATING REVENUES AND EXPENSES

State Appropriations	896,594,132	918,679,701
Gifts	304,934,087	292,335,469
Investment Income (net of Investment Expense of \$1,190,609 and \$1,281,511, respectively)	4,740,164	63,038,297
Loss on Disposal of Capital Assets	(17,380,655)	(25,555,046)
Interest on Indebtedness	(55,885,617)	(62,591,133)
Transfer to State Agencies	(73,493,087)	(94,912,421)
Other	38,417,698	30,820,996
Loss Before Capital and Endowment Additions/Deductions	(127,746,510)	(120,877,253)
Capital Appropriations	157,514,928	94,545,947
Capital Contributions	30,966,668	46,528,549
Additions to Permanent Endowment	3,994,276	3,061,474

INCREASE IN NET POSITION

64,729,362 23,258,717

NET POSITION

Net Position - beginning of period	6,339,102,492	6,315,843,775
Prior Period Adjustment	285,233,406	-
NET POSITION - end of period	\$ 6,689,065,260	\$ 6,339,102,492

Statement of Cash Flows

University of Wisconsin System

Year ended June 30, 2015

Year ended June 30, 2014

Cash Flows from Operating Activities

Student Tuition and Fees	\$ 1,189,658,119	\$ 1,130,910,256
Federal, State, Local, and Private Grants & Contracts	1,155,906,892	1,194,424,320
Sales and Services of Educational Activities	327,235,652	322,060,336
Sales and Services of Auxiliary Enterprises	412,803,261	406,761,098
Sales and Services to UW Hospital Authority	65,105,094	64,398,365
Payments for Salaries and Fringe Benefits	(3,044,970,948)	(2,979,636,208)
Payments to Vendors and Suppliers	(1,172,482,960)	(1,242,817,006)
Payments for Scholarships and Fellowships	(135,765,108)	(149,646,842)
Student Loans Collected	36,849,871	32,562,502
Student Loan Interest and Fees Collected	5,048,251	5,095,033
Student Loans Issued	(36,165,915)	(39,191,250)
Other Revenue	345,415,742	249,892,790
Net Cash Used in Operating Activities	(851,362,049)	(1,005,186,606)

Cash Flows from Investing Activities

Interest and Dividends on Investments, Net	11,344,557	7,669,067
Proceeds from Sales and Maturities of Investments	114,805,498	100,796,192
Purchase of Investments	(106,433,202)	(89,474,496)
Net Cash Provided by Investing Activities	19,716,853	18,990,763

Cash Flows from Capital and Related Financing Activities

Proceeds from Issuance of Capital Debt	257,313,601	24,283,239
Payments for Debt Retirements (Refundings)	(193,954,399)	-
Capital Appropriations	157,514,928	94,545,947
Gifts and Other Receipts	37,929,040	37,806,812
Purchase of Capital Assets	(310,179,803)	(435,738,674)
Capital Lease Obligations	(349,562)	-
Principal Payments on Capital Debt and Leases	(189,679,173)	(252,654,411)
Interest Payments on Capital Debt and Leases	(139,536,164)	(141,474,841)
Net Cash Used in Capital and Related Financing Activities	(380,941,532)	(673,231,928)

Cash Flows from Noncapital Financing Activities

State Appropriations	1,085,923,022	1,150,921,552
Gifts and Other Receipts	334,804,606	316,230,220
Transfer to State Agencies	(73,493,087)	(94,912,421)
Additions to Permanent Endowments	3,994,276	3,061,474
Student Direct Lending Receipts	735,807,220	750,292,991
Student Direct Lending Disbursements	(736,410,700)	(752,748,457)
Net Cash Provided by Noncapital Financing Activities	1,350,625,337	1,372,845,359

Net Increase (Decrease) in Cash and Cash Equivalents

Cash and Cash Equivalents - beginning of year	1,398,745,004	1,685,327,416
Cash and Cash Equivalents - end of year	\$ 1,536,783,613	\$ 1,398,745,004

Statement of Cash Flows (continued)

University of Wisconsin System

Year ended June 30, 2015

Year ended June 30, 2014

Reconciliation of Operating Loss to Net Cash Used in Operating Activities

Operating Loss	\$	(1,225,673,232)	\$	(1,242,693,116)
<i>Adjustments to Reconcile Operating Loss to</i>				
<i>Net Cash Used in Operating Activities:</i>				
Depreciation Expense		290,407,130		273,473,935
Changes in Assets and Liabilities and Deferreds:				
Receivables, net		81,306,541		(20,173,992)
Inventories		1,491,813		(1,485,752)
Prepaid Expense (including Deferred Charges)		(3,190,270)		(11,551,568)
Accounts Payable and Accrued Liabilities		39,939,473		(5,222,790)
Unearned Revenue		7,144,985		7,268,253
Compensated Absences		(1,457,571)		(4,801,576)
Net Pension Asset & Related Deferred Outflows		(64,561,189)		-
Net Pension Liability & Related Deferred Inflows		7,793,196		-
Other Post-Employment Benefits		15,437,075		-
Net Cash Used in Operating Activities	\$	(851,362,049)	\$	(1,005,186,606)

Noncash Investing, Capital and Financing Activities

Capital Leases (Initial Year):				
Fair Market Value	\$	1,069,364	\$	30,265,108
Current Year Cash Payments		153,114		-
Gifts-In-Kind		1,690,616		16,190,709
Net Change in Unrealized Gains (Losses)		(33,375,342)		38,123,189

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 1 – Organization and Summary of Significant Accounting Policies

Organization and Basis of Presentation: The University of Wisconsin System consists of 13 universities, 13 two-year colleges, University of Wisconsin-Extension, and System Administration. The financial statements do not include the accounts of the University of Wisconsin Hospital and Clinics Authority (UWHCA), which became a legally separate public authority on June 29, 1996; the La Crosse Medical Health Science Consortium, Inc., which is a Wisconsin non-stock corporation tax exempt under Internal Revenue Code (IRC) 501(c)(3); or the University of Wisconsin Foundation. In addition, the financial statements do not include the accounts of various legally independent and fully self-governing support organizations, such as booster clubs and alumni groups; funds contributed to the University of Wisconsin System by these organizations are reported at the time they are received. Note 11 includes condensed financial information from the University of Wisconsin Foundation. That note also describes the effect of various affiliation and operating agreements with the University of Wisconsin Medical Foundation; UWHCA; Wisconsin Alumni Research Foundation (WARF), relating to the Wisconsin Institutes for Discovery; La Crosse Medical Health Science Consortium, Inc.; and University of Wisconsin-Platteville Real Estate Foundation. Post-retirement benefit plans for the University of Wisconsin System employees are administered by the State of Wisconsin's Department of Employee Trust Funds.

The University of Wisconsin System is a major enterprise fund of the State of Wisconsin. The financial statements are discretely presented in the proprietary fund financial statements of the State of Wisconsin's Comprehensive Annual Financial Report (CAFR). The University of Wisconsin System's financial information presented in the CAFR has been adjusted to reflect reclassifications and adjustments which are done to conform to reporting requirements relative to the CAFR.

The financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America as prescribed by the Governmental Accounting Standards Board (GASB).

In fiscal year 2014, the University of Wisconsin System implemented GASB Statement No. 65, *Items Previously Reported as Assets and Liabilities*, which reclassifies items previously classified as other noncurrent assets and amortized as a component of interest expense, as deferred inflows and deferred outflows of resources.

In fiscal year 2015, the University of Wisconsin System implemented GASB Statement No. 68, *Accounting and Financial Reporting for Pensions-an amendment of GASB Statement No. 27*, and GASB Statement No. 71, *Pension Transition for Contributions Made Subsequent to the Measurement Date-an amendment of GASB Statement No. 68*, which reports an actuarially-determined net pension liability (asset), deferred inflows of resources, and deferred outflows of resources for pension-related payments. The effect of this change is detailed in Notes 10 and 13.

The University of Wisconsin System's annual report consists of three basic financial statements prepared in accordance with GASB principles: the Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; and the Statement of Cash Flows.

The Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; and the Statement of Cash Flows have been prepared using the economic resources measurement focus and the accrual basis of accounting. The University of Wisconsin System reports as a Business Type Activity, as defined by GASB Statement No. 35, *Basic Financial Statements – and Management's Discussion and Analysis – for Public Colleges and Universities*. Business Type Activities are those that are financed in whole or in part by fees charged to external parties for goods or services.

The Statement of Revenues, Expenses, and Changes in Net Position classifies the University of Wisconsin System's fiscal year activity as operating and non-operating. Operating revenue results from exchange transactions, such as payment received for providing goods and services, including tuition and fees, certain grants and contracts, sales and services of educational activities, and auxiliary enterprise revenue. Certain

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 1 – Organization and Summary of Significant Accounting Policies (continued)

significant revenue streams relied upon for operations are reported as non-operating revenues, as defined by GASB Statement No. 35, including state appropriations, gifts, and investment income. The majority of the University of Wisconsin System's expenses are exchange transactions, which GASB defines as operating expenses for financial statement presentation. Non-operating expenses include capital financing costs and costs related to investment activity.

The Statement of Cash Flows presents the change in the cash and cash equivalents balance for the fiscal year. Cash and cash equivalents include bank accounts and investments with original maturity dates of 90 days or less at the time of purchase. These investments consist primarily of commercial paper, money market funds, and U.S. Treasury bills. Investments in marketable securities are carried at fair value as established by the major securities markets. Investments in limited partnerships are carried at fair value based on quarterly reports from the limited partnerships' management. Annually, the reports are audited by independent auditors.

Summary of Significant Accounting Policies:

Restricted funds received as gifts, grants, and contracts are used according to donor restrictions or the specific purpose of the grantor. In addition, restrictions are statutorily established that limit the use of certain resources for specific purposes. These restrictions apply not only to state support but also to many of the University of Wisconsin System's program revenue sources, including segregated fee auxiliary operations. The funds reported as restricted will be used in accordance with the purposes for which they are restricted and are the first resources used for these purposes. Unrestricted funds would be used only secondarily to support these restricted purposes.

The University of Wisconsin System eliminates intra-fund assets and liabilities to prevent double counting in the Statement of Net Position. Likewise, revenues and expenses related to internal service activities are also eliminated in the Statement of Revenues, Expenses, and Changes in Net Position.

Prepaid expenses represent payments made prior to June 30th for goods and services received after the close of the fiscal year, primarily health and life insurance coverage, and costs associated with revenues that have not yet been earned as of June 30th, primarily summer session costs incurred prior to the close of the fiscal year. The revenues and expenses of the 2015 summer session are reportable within the fiscal year beginning July 1, 2014 and ending June 30, 2015, based on the prorated portion of the number of summer session days that occurred in fiscal year 2015. The revenues and expenses of the 2014 summer session are reportable within the fiscal year beginning July 1, 2013 and ending June 30, 2014, based on the prorated portion of the number of summer session days that occurred in fiscal year 2014.

Inventories consist of consumable supplies used in operations or items held for resale. Fuels are reported at market value, while other inventories held by individual institutional cost centers are valued using a variety of cost flow assumptions that, for each type of inventory, are consistently applied from year to year. In addition to central stores and fuels, the major types of inventories include laboratory supplies, physical plant supplies, food service and student housing supplies, and items held for resale by campus computer outlets. Accounting policies related to capital assets are described in Note 4.

For purposes of measuring the net pension liability (asset), deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Wisconsin Retirement System (WRS) and additions to/deductions from the WRS' fiduciary net position have been determined on the same basis as they are reported by the WRS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 1 – Organization and Summary of Significant Accounting Policies (continued)

Unearned revenues consist of payments received but not yet earned as of June 30th, primarily summer session tuition payments, tuition and room deposits for the next fall term, advance ticket sales for athletic events, and amounts received from grant and contract sponsors which have not yet been earned under the terms of the agreement.

The compensated absences liability consists of accumulated unpaid annual leave, compensatory time, personal holiday hours, and Saturday/legal holiday hours earned and vested. The University of Wisconsin System leave policies restrict the accumulation of unused vacation and thus limit the actual payments made to employees upon termination or retirement.

Accrual of interest on bonds payable, vendor payments not made as of June 30th, and salaries and fringe benefits paid after the close of the fiscal year, for hours worked by the University of Wisconsin System employees prior to June 30th, account for the major portion of accounts payable and accrued liabilities.

Student tuition and fees are presented net of scholarships and fellowships applied to student accounts. Stipends and other payments made directly to students are presented as scholarship and fellowship expenses.

The preparation of financial statements in conformity with accounting principles generally accepted in the United States requires management to make estimates and assumptions that affect amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

NOTE 2 – Cash and Investments

Cash and Cash Equivalents

Cash and cash equivalents consist primarily of shares in the State Investment Fund (SIF), a short-term pool of state and local funds managed by the State of Wisconsin Investment Board (SWIB) with oversight by a Board of Trustees as authorized in Wisconsin Statutes Sections 25.14 and 25.17. SWIB is not registered with the SEC as an investment company. The objectives of this fund are to provide liquidity, safety of principal, and a reasonable rate of return. Investments consist primarily of obligations of the U.S. Government and its agencies and high quality commercial bank and corporate debt obligations.

Of the \$1,536.8 million and \$1,398.7 million in cash and cash equivalents as of June 30, 2015 and 2014, respectively, \$1,310.4 million and \$1,175.5 million, respectively, represent amounts held within the SIF; \$197.5 million and \$194.4 million, respectively, was maintained by individual University of Wisconsin System institutions in local bank accounts to meet operating needs; and \$28.9 million and \$28.8 million, respectively, was held at BNY Mellon to meet the cash needs associated with the investing activities of the Long Term and Intermediate Term Funds. The cash held at BNY Mellon is also categorized as investments, in accordance with governmental standards. Interest distributions are received on a monthly basis for balances associated with trust funds, federally-funded financial aid programs, and funds attributable to the appropriations listed in Wisconsin Statutes Section 20.285(1)(Li). Investment earnings for all other funds do not accrue to the University of Wisconsin System.

Custodial Credit Risk: Custodial credit risk for deposits is the risk that, in the event of the failure of a depository financial institution, the Fund will not be able to recover deposits that are in possession of an outside party. The University of Wisconsin System does not have a deposit policy specifically for custodial risk. Shares in the State Investment Fund are not required to be categorized under GASB Statement No. 40, *Deposit and Investment Risk Disclosures*.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 2 – Cash and Investments (continued)

For the remaining deposits, the University of Wisconsin System had balances in excess of Federal Deposit Insurance Corporation limits in the amount of \$190.5 million and \$187.2 million at June 30, 2015 and 2014, respectively. These amounts, deposited in approved financial institutions, are uninsured and uncollateralized.

A state appropriation for losses on public deposits (Wisconsin Statutes Section 34.08) insures up to \$400,000 over the amount of federal insurance.

Foreign Currency Risk: Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of a deposit. Deposits in foreign currency at June 30, 2015 and 2014 are immaterial. The University of Wisconsin System does not have a formal deposit policy for foreign currency risk.

Investments

The University of Wisconsin System invests its Trust Funds, principally gifts and bequests, in two of its own investment pools: the Long Term and the Intermediate Term Funds. Investment policies and guidelines for these funds are governed and authorized by the Board of Regents. The current approved asset allocation policy for the Long Term Fund sets a general target of 35% marketable equities, 30% fixed income, and 35% alternatives. The approved asset allocation for the Intermediate Term Fund is 15% marketable equities, 70% fixed income, 10% alternatives, and 5% cash. These target allocations were last affirmed/approved by the Board of Regents in December 2014.

The Long Term Fund consisted of the following investment categories on June 30, 2015 and 2014:

Investment Category	<u>2015</u>	<u>2014</u>
Common Stock and Convertible Securities	38.5%	39.7%
Bonds and Preferred Stock	11.4%	10.9%
Alternative Assets	21.0%	20.3%
Tactical Allocation Strategies	21.0%	20.9%
Real Assets	1.6%	1.7%
Custodial Pooled Cash and Cash Equivalents	<u>6.5%</u>	<u>6.5%</u>
Total	<u>100.0%</u>	<u>100.0%</u>

The Intermediate Term Fund consisted of the following investment categories on June 30, 2015 and 2014:

Investment Category	<u>2015</u>	<u>2014</u>
Common Stock and Convertible Securities	14.4%	21.9%
Bonds and Preferred Stock	81.2%	74.9%
Custodial Pooled Cash and Cash Equivalents	<u>4.4%</u>	<u>3.2%</u>
Total	<u>100.0%</u>	<u>100.0%</u>

Benefiting University of Wisconsin System entities receive quarterly distributions from the Long Term Fund, principally endowed assets, based on an annual spending rate applied to a twelve-quarter moving average market value of the Fund. The annual spending rate is currently 4.0%. Distributions from the Intermediate Term Fund, principally quasi-endowments and unspent income distributions, consist of interest earnings distributed quarterly. Spending rate and interest distributions from both of these Funds are transferred to the SIF, pending near-term expenditures. During the fiscal year ended June 30, 2015, the amount of net appreciation available to spend from the Long Term Fund was \$16.0 million, relative to \$15.5 million available during the fiscal year ended June 30, 2014.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 2 – Cash and Investments (continued)

At June 30, 2015 and 2014, the University of Wisconsin System's investments are as follows:

Investments:	<u>2015</u>	<u>2014</u>
U.S. Government Securities	\$ 37,284,343	\$ 27,469,847
U.S Agency Securities	11,477,073	13,120,143
Bonds and Preferred Stock	25,611,025	24,594,615
Common Stock and Convertible Securities	58,432,589	57,002,261
Pooled Equity Funds	102,189,076	120,116,140
Pooled Allocation Fund	81,218,886	83,025,380
Pooled Fixed Income Fund	38,852,862	43,378,785
Custodial Pooled Cash and Cash Equivalents	28,902,659	28,787,079
Limited Partnerships	<u>87,412,036</u>	<u>87,559,940</u>
Total Investments	<u>\$ 471,380,549</u>	<u>\$ 485,054,190</u>

The total return on the Long Term Fund, including capital appreciation, was 1.5% compared to 16.7% in fiscal year 2014. The total return on the Intermediate Fund, including capital appreciation, was 1.2% compared to 7.8% in fiscal year 2014. External investment counsel was utilized for funds representing 90.4% of the market value of the Long Term and Intermediate Term Funds, compared to 91.1% in fiscal year 2014. In addition to the limited partnerships market value listed above, the University of Wisconsin System had \$25.0 million in unfunded limited partnership commitments for the fiscal year ended June 30, 2015, compared to \$31.5 million for the fiscal year ended June 30, 2014.

Credit Risk: Credit Risk is the risk that an issuer or other counterparty to an investment will not fulfill its obligations. The University of Wisconsin System currently holds below investment grade securities within commingled vehicles representing 6.5% of total assets of the Long Term Fund and 5.7% of total assets of the Intermediate Term Fund. In addition, actively-managed, investment grade fixed income separate accounts must maintain an average portfolio quality of AA by Standard & Poor's and/or Aa by Moody's, and hold only securities rated BBB- or higher by Standard & Poor's and/or Baa3 or higher by Moody's.

The following schedule displays the credit ratings as provided by Moody's Investor Service for debt securities held as of June 30, 2015 and 2014. Obligations of the United States and obligations explicitly guaranteed by the U.S. government have been included in the Aaa rating below.

<u>Ratings</u>	<u>2015</u>	<u>2014</u>
Aaa	\$ 60,597,464	\$ 55,362,225
Aa1	694,972	-
Aa2	893,636	813,889
Aa3	1,018,150	1,023,098
A1	3,495,695	1,692,567
A2	3,304,373	3,833,813
A3	2,966,110	1,905,086
Baa1	4,671,349	3,524,455
Baa2	2,289,152	3,441,930
Baa3	2,366,755	3,067,242
Ba2	7,508,507	9,947,516
B1	380,513	395,569
B2	16,679,293	17,405,734
B3	162,672	207,826
Caa2	692,864	789,997
Caa3	5,947	-
No Rating	4,321,171	5,152,441
Unrated Pooled Cash	<u>28,902,659</u>	<u>28,787,079</u>
Totals	<u>\$ 140,951,282</u>	<u>\$ 137,350,467</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 2 – Cash and Investments (continued)

Custodial Credit Risk: Custodial credit risk related to investments is the risk that, in the event of a failure of a counterparty to a transaction, the University of Wisconsin System will not be able to recover the value of investment or collateral securities that are in possession of an outside party. The University of Wisconsin System's investments are registered in the name of the University of Wisconsin System, and the University of Wisconsin System does not participate in any securities lending programs through its custodian bank. Investment securities underlying the University of Wisconsin System's investment in shares of external investment pools or funds are in custody at those funds. The shares owned in these external investment pools are registered in the name of the University of Wisconsin System. The University of Wisconsin System does not have a formal policy for custodial credit risk.

Concentration of Credit Risk: Concentration of credit risk is the risk of loss attributed to the magnitude of an organization's investment in a single issuer. Actively-managed, fixed income separate accounts are limited to holding no more than 7.0% in any one issuer (U.S. Government/Agencies are exempted). During fiscal year 2015, the largest concentration in a non-U.S. Government/Agency was Citigroup, Inc., which represented 0.4% of total Trust Funds assets, compared to a 0.5% exposure to Apple, Inc. in fiscal year 2014.

Interest Rate Risk: Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. Actively-managed, fixed income separate accounts are expected to maintain their overall duration to within plus or minus one year of the established benchmark's duration. The University of Wisconsin System uses the option adjusted modified duration method to analyze interest rate risk. The University of Wisconsin System had interest rate risk statistics for fixed income separate accounts as detailed below:

Fixed Income Sector:

	2015		2014	
	<u>Market Value</u>	<u>Modified Duration</u>	<u>Market Value</u>	<u>Modified Duration</u>
Treasury Inflation Protected Securities	\$ 19,150,191	7.09	\$ 16,729,283	7.25
Government	16,920,899	4.74	9,349,692	4.21
U.S. Government Mortgages	1,309,806	5.82	1,390,871	6.14
Corporates and Other Credit	17,794,053	3.12	16,486,424	3.41
Collateralized Mortgage Obligations:	11,271,422	2.12	12,709,075	2.02
U.S. Agencies				
Collateralized Mortgage Obligations:	14,270	1.18	24,414	0.06
Corporate				
Commercial Mortgage Backed Securities	2,206,575	6.97	3,078,440	7.22
U.S. Private Placements	5,147,885	2.75	4,472,427	2.69
U.S. Agencies	-	0.00	411,068	0.56
Asset Backed Securities	436,167	0.08	457,940	0.22
Totals	<u>\$ 74,251,268</u>		<u>\$ 65,109,634</u>	

In addition, the University of Wisconsin System had interest rate risk statistics for actively-managed commingled accounts as detailed below:

Fixed Income Commingled Fund:

	2015		2014	
	<u>Market Value</u>	<u>Modified Duration</u>	<u>Market Value</u>	<u>Modified Duration</u>
Seix Advisors High Yield Fund	\$ 29,736,660	3.56	\$ 32,244,784	4.20

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 2 – Cash and Investments (continued)

Foreign Currency Risk: Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of an investment. As of June 30, 2015, the Long Term and Intermediate Term Funds held equity securities denominated in foreign currencies within pooled investment vehicles only, with market values totaling \$107.6 million and \$6.1 million, respectively, compared to prior fiscal year amounts of \$131.0 million and \$9.4 million, respectively. Some of the trades for such foreign positions will not settle in foreign currencies until after the fiscal year end. For the Long Term and Intermediate Term Funds, it is generally expected and desired that foreign currency exposure is not hedged, as this enhances the diversification benefits from non-U.S. investments.

Donor-restricted endowments: For University-controlled, donor-restricted endowments, the Uniform Prudent Management of Institutional Funds Act, as adopted in Wisconsin, permits the Board of Regents of the University of Wisconsin System to appropriate, for current spending, an amount of realized and unrealized endowment appreciation as they determine to be prudent. Realized and unrealized appreciation in excess of that amount appropriated for current spending is retained by the endowments. Net appreciation since the inception of the endowment accounts of \$123.2 million and \$152.4 million at June 30, 2015 and June 30, 2014, respectively, is available to meet spending rate distributions and is recorded in restricted net assets.

NOTE 3 – Receivables

Accounts receivable, consisting of amounts due from state agencies and other governments, amounts due from capital lease receivables, and student loans receivable as of June 30, 2015 and 2014, are summarized as follows:

Receivables (Net):	<u>2015</u>	<u>2014</u>
Student Academic Fees	\$ 12,806,677	\$ 33,361,445
Grants and Contracts	36,232,221	46,336,094
Educational Activities and Other	33,678,660	83,518,791
Auxiliary Enterprises	11,942,993	15,172,323
UW Hospital Authority and La Crosse Medical Health Science Consortium Inc.	7,813,806	9,437,780
Investment	1,469,277	823,312
Student Loans Receivable	196,383,620	199,094,895
State Agencies	29,812,320	30,469,441
Other Governments	89,786,680	83,318,403
Total Receivables (Net)	<u>\$ 419,926,254</u>	<u>\$ 501,532,484</u>

Student loans receivable at June 30, 2015 included allowances for uncollectible loans of \$9.4 million relative to \$9.3 million in the prior year. Principal repayment and interest rates of university and federal loans vary. Federal loan programs are funded primarily with federal contributions to the University of Wisconsin System under the Perkins loan program and a variety of health professions loan programs.

The University of Wisconsin System distributed student loans through the United States Department of Education federal direct lending program totaling \$736.4 million during fiscal year 2015 and \$752.7 million in fiscal year 2014. These distributions and the related funding sources are not reflected as expenses and revenues in the financial statements. However, cash inflows and outflows are shown in the Statement of Cash Flows.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 4 – Capital Assets

Land, buildings, improvements (e.g., parking lots, fences, street lighting, etc.), equipment, and library holdings are capitalized at cost at date of acquisition or fair market value at date of donation in the case of gifts-in-kind. Generally, capital equipment is defined as any single asset with a minimum value of \$5,000 and having a useful life of more than one year. Depreciation is calculated on a straight-line basis over the estimated useful lives of the respective assets: buildings over 40 years, improvements over 20 years, and capital equipment over periods ranging from 3 to 15 years for specified asset classes. The componentized methodology of depreciation is used for major research facilities generally using estimated useful lives ranging from 10 to 50 years. The buildings and land related to the 13 two-year colleges are not owned by the UW System and thus are not reported in these financial statements. Library holdings are not depreciated because these resources are viewed as inexhaustible assets. Disposals of library holdings are removed at either a historically calculated average cost or at an amount that approximates original cost as nearly as is practical to determine. The University of Wisconsin System does not capitalize the \$1,804.8 million in works of art or historical treasures that are held for exhibition, education, research, and public service. These collections are neither disposed of for financial gain nor encumbered in any way. Proceeds from the sale, exchange, or other disposal of any item belonging to a collection of works of art or historical treasures must be applied to the acquisition of additional items for the same collection.

GASB Statement No. 42, *Accounting and Financial Reporting for Impairment of Capital Assets and for Insurance Recoveries*, establishes accounting and financial reporting standards for a capital asset that has experienced a significant, unexpected decline in its service utility. No individual asset met these criteria in fiscal year 2015 or 2014. Insurance recoveries received in fiscal year 2015 include \$8.2 million for flood damage at the University of Wisconsin-Superior and \$3.0 million for storm damage at the University of Wisconsin-Platteville. Insurance recoveries received in fiscal year 2014 include \$1.2 million for water damage at the University of Wisconsin-Stout and \$1.4 million for flood damage at the University of Wisconsin-Oshkosh. Insurance recoveries are reported as other non-operating revenues in the financial statements.

GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, establishes accounting and financial reporting standards for an intangible asset that lacks physical substance, is nonfinancial in nature, has a useful life extending beyond one year, and is not acquired or created primarily for the purpose of directly obtaining income or profit. Intangible assets are capitalized with a minimum value of \$1.0 million and are included in the equipment balance. Depreciation for intangible assets is calculated on a straight-line basis over ten years. At June 30, 2015, the equipment balance includes \$42.2 million for intangible assets net of depreciation, compared to \$48.5 million at June 30, 2014.

Depreciation expense for fiscal years ended June 30, 2015 and 2014 was \$290.4 million and \$273.5 million, respectively.

The change in book value from July 1, 2014 to June 30, 2015 is summarized as follows:

	Book Value July 1, 2014	Additions	Transfers	Deductions	Book Value June 30, 2015
Buildings	\$ 6,250,645,202	\$ 83,972,554	\$ 147,223,066	\$ (3,227,885)	\$ 6,478,612,937
Improvements	439,129,729	5,796,654	14,179,805	-	459,106,188
Land	155,754,862	310,304	-	-	156,065,166
Construction in Progress	329,025,710	128,071,653	(161,403,371)	-	295,693,992
Equipment	1,051,578,796	81,931,091	(4,441,152)	(11,650,482)	1,117,418,253
Library Holdings	<u>1,139,186,343</u>	<u>22,814,357</u>	<u>-</u>	<u>(16,674,955)</u>	<u>1,145,325,745</u>
Subtotal	\$ 9,365,320,642	\$322,896,613	\$ (4,441,652)	\$ (31,553,322)	\$ 9,652,222,281

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 4 – Capital Assets (continued)

Less Accumulated Depreciation:

	Book Value July 1, 2014	Additions	Transfers	Deductions	Book Value June 30, 2015
Buildings	\$ 2,398,119,622	\$ 189,455,035	\$ -	\$ (2,722,689)	\$ 2,584,851,968
Improvements	241,963,900	15,893,452	-	-	257,857,352
Equipment	<u>733,921,223</u>	<u>85,058,643</u>	<u>(4,001,526)</u>	<u>(11,449,979)</u>	<u>803,528,361</u>
Total Accumulated Depreciation	3,374,004,745	290,407,130	(4,001,526)	(14,172,668)	3,646,237,681
Capital Assets, Net	<u>\$ 5,991,315,897</u>	<u>\$ 32,489,483</u>	<u>\$ (440,126)</u>	<u>\$ (17,380,654)</u>	<u>\$ 6,005,984,600</u>

The change in book value from July 1, 2013 to June 30, 2014 is summarized as follows:

	Book Value July 1, 2013	Additions	Transfers	Deductions	Book Value June 30, 2014
Buildings	\$ 5,634,388,246	\$ 186,651,808	\$ 431,986,127	\$ (2,380,979)	\$ 6,250,645,202
Improvements	403,986,207	14,597,659	20,547,996	(2,133)	439,129,729
Land	153,167,817	2,587,045	-	-	155,754,862
Construction in Progress	650,602,836	134,956,430	(456,533,556)	-	329,025,710
Equipment	1,205,094,773	95,327,899	4,085,169	(252,929,045)	1,051,578,796
Library Holdings	<u>1,123,627,429</u>	<u>25,381,642</u>	<u>-</u>	<u>(9,822,728)</u>	<u>1,139,186,343</u>
Subtotal	\$ 9,170,867,308	\$ 459,502,483	\$ 85,736	\$ (265,134,885)	\$ 9,365,320,642

Less Accumulated Depreciation:

Buildings	\$ 2,223,940,525	\$ 174,594,373	\$ (757)	\$ (414,519)	\$ 2,398,119,622
Improvements	226,748,782	15,217,201	-	(2,083)	241,963,900
Equipment	<u>885,229,709</u>	<u>83,662,361</u>	<u>4,192,389</u>	<u>(239,163,236)</u>	<u>733,921,223</u>
Total Accumulated Depreciation	3,335,919,016	273,473,935	4,191,632	(239,579,838)	3,374,004,745
Capital Assets, Net	<u>\$ 5,834,948,292</u>	<u>\$ 186,028,548</u>	<u>\$ (4,105,896)</u>	<u>\$ (25,555,047)</u>	<u>\$ 5,991,315,897</u>

NOTE 5 – Liabilities

Accounts payable and accrued liabilities, consisting of salary and fringe benefits, due to state agencies and other governments, and vendor payables, resulting from University of Wisconsin System activities as of June 30, 2015 and 2014, are summarized as follows:

Fiscal Year 2015	Salary and Fringe Benefits	Due to State Agencies and Other Governments	Vendors	Total Payables
UW System Activities:				
Operating	\$ 22,608,604	\$ 74,392,524	\$ 62,843,472	\$ 159,844,600
Gifts, Grants, and Contracts	3,551,707	16,696,697	6,543,161	26,791,565
Capital Projects	-	5,400,578	55,993,842	61,394,420
Auxiliary Enterprises	3,874,589	665,099	4,395,912	8,935,600
Investment and Other	<u>56,241</u>	<u>388,593</u>	<u>9,651,229</u>	<u>10,096,063</u>
Total Activities	<u>\$ 30,091,141</u>	<u>\$ 97,543,491</u>	<u>\$ 139,427,616</u>	<u>\$ 267,062,248</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 5 – Liabilities (continued)

Fiscal Year 2014	Salary and Fringe Benefits	Due to State Agencies and Other Governments	Vendors	Total Payables
UW System Activities:				
Operating	\$ 20,216,708	\$ 54,956,671	\$ 35,669,862	\$ 110,843,241
Gifts, Grants, and Contracts	2,939,374	6,256,902	35,359,849	44,556,125
Capital Projects	-	1,147,172	47,833,853	48,981,025
Auxiliary Enterprises	3,502,529	934,553	8,275,300	12,712,382
Investment and Other	27,157	383,167	6,302,436	6,712,760
Total Activities	\$ 26,685,768	\$ 63,678,465	\$ 133,441,300	\$ 223,805,533

Long-term liability activity for the fiscal years ended June 30, 2015 and 2014 is as follows:

Long-term Liabilities 2015	Balance July 1, 2014	Increases (Decreases)	Balance June 30, 2015	Current Portion
Bonds Payable	\$ 1,485,806,595	\$ (22,567,192)	\$ 1,463,239,403	\$ 70,857,560
Notes Payable	97,179,335	22,378,097	119,557,432	13,720,451
Capital Lease Obligations	42,360,946	(5,594,143)	36,766,803	4,565,334
Compensated Absences	131,184,984	(1,457,571)	129,727,413	60,378,633
Other Post-Employment Benefits*	233,006,049	15,437,076	248,443,125	-
Total	\$ 1,989,537,909	\$ 8,196,267	\$ 1,997,734,176	\$ 149,521,978

*This liability was not included on the face of the financial statements for fiscal year 2014.

Long-term Liabilities 2014	Balance July 1, 2013	Increases (Decreases)	Balance June 30, 2014	Current Portion
Bonds Payable	\$ 1,519,796,628	\$ (33,990,033)	\$ 1,485,806,595	\$ 62,930,942
Notes Payable	125,034,611	(27,855,276)	97,179,335	15,730,853
Capital Lease Obligations	19,198,759	23,162,187	42,360,946	6,425,495
Compensated Absences	135,986,560	(4,801,576)	131,184,984	61,531,909
Total	\$ 1,800,016,558	\$ (43,484,698)	\$ 1,756,531,860	\$ 146,619,199

NOTE 6 – Long Term Debt

The State of Wisconsin issues general obligation bonds and notes on behalf of its constituent agencies, including the University of Wisconsin System, the proceeds of which are used to construct or acquire facilities and other capital assets. The University of Wisconsin System holds title to the assets thus acquired. As an enterprise fund of the State of Wisconsin, the University of Wisconsin System reports on its Statement of Net Position that portion of the debt that will be repaid with program revenues generated by the University of Wisconsin System's self-supporting operations. Debt on academic facilities that is repaid by an appropriation from the State of Wisconsin to the University of Wisconsin System for that purpose is reported by the State of Wisconsin and not as an obligation of the University of Wisconsin System. However, cash inflows and outflows are shown in the Statement of Cash Flows.

The following information relates to the status of bonds and notes payable outstanding at June 30, 2015:

	Balance July 1, 2014	New Debt/ Accretion	Principal Paid/ Adjustments	Balance June 30, 2015
Bonds (Gross)	\$ 1,412,487,159	\$ 203,139,479	\$ (244,171,248)	\$ 1,371,455,390
Notes	97,179,335	38,453,213	(16,075,116)	119,557,432
Total	\$ 1,509,666,494	\$ 241,592,692	\$ (260,246,364)	\$ 1,491,012,822

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 6 – Long Term Debt (continued)

The bonds have maturity dates ranging from November 1, 2015 to May 1, 2042. The notes have maturity dates ranging from May 1, 2016 to May 1, 2035.

As of June 30, 2015, the current and noncurrent bonds payable net of discounts and premiums totaled \$70.9 million and \$1,392.4 million, respectively.

	Balance <u>June 30, 2015</u>	<u>Current</u>	<u>Noncurrent</u>
Bonds (Gross)	\$ 1,371,455,390	\$ 54,895,506	\$ 1,316,559,884
Discount	(234,017)	(15,808)	(218,209)
Premium	<u>92,018,030</u>	<u>15,977,862</u>	<u>76,040,168</u>
Bonds (Net)	1,463,239,403	70,857,560	1,392,381,843
Notes	<u>119,557,432</u>	<u>13,720,451</u>	<u>105,836,981</u>
Total	<u>\$ 1,582,796,835</u>	<u>\$ 84,578,011</u>	<u>\$ 1,498,218,824</u>

The following information relates to the status of bonds and notes payable outstanding at June 30, 2014:

	Balance <u>July 1, 2013</u>	New Debt/ <u>Accretion</u>	Principal Paid/ <u>Adjustments</u>	Balance <u>June 30, 2014</u>
Bonds (Gross)	\$ 1,457,612,612	\$ 197,707,544	\$ (242,832,997)	\$ 1,412,487,159
Notes	<u>125,034,612</u>	<u>6,548,157</u>	<u>(34,403,434)</u>	<u>97,179,335</u>
Total	<u>\$ 1,582,647,224</u>	<u>\$ 204,255,701</u>	<u>\$ (277,236,431)</u>	<u>\$ 1,509,666,494</u>

The bonds have maturity dates ranging from November 1, 2014 to May 1, 2042. The notes have maturity dates ranging from May 1, 2015 to May 1, 2022.

	Balance <u>June 30, 2014</u>	<u>Current</u>	<u>Noncurrent</u>
Bonds (Gross)	\$ 1,412,487,159	\$ 49,896,538	\$ 1,362,590,621
Discount	(260,159)	(26,141)	(234,018)
Premium	<u>73,579,595</u>	<u>13,060,545</u>	<u>60,519,050</u>
Bonds (Net)	1,485,806,595	62,930,942	1,422,875,653
Notes	<u>97,179,335</u>	<u>15,730,853</u>	<u>81,448,482</u>
Total	<u>\$ 1,582,985,930</u>	<u>\$ 78,661,795</u>	<u>\$ 1,504,324,135</u>

Future debt service requirements for bonds and notes outstanding at June 30, 2015 are as follows:

Fiscal Year	Bonds		Notes	
	<u>Principal</u>	<u>Interest</u>	<u>Principal</u>	<u>Interest</u>
2016	\$ 54,895,506	\$ 64,297,873	\$ 13,720,451	\$ 5,328,478
2017	50,507,661	61,594,601	20,261,084	4,605,280
2018	51,985,512	59,245,597	19,422,966	3,769,739
2019	59,755,875	56,653,639	14,987,735	3,042,411
2020	61,458,845	53,846,549	16,665,323	2,391,044
2021-2025	365,746,353	221,010,025	25,741,580	3,736,076
2026-2030	371,097,810	129,395,790	-	2,189,573
2031-2035	273,987,828	46,856,118	8,758,293	1,559,071
2036-2040	67,080,000	13,747,717	-	-
2041-2042	<u>14,940,000</u>	<u>858,110</u>	<u>-</u>	<u>-</u>
Total	<u>\$ 1,371,455,390</u>	<u>\$ 707,506,019</u>	<u>\$ 119,557,432</u>	<u>\$ 26,621,672</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 6 – Long Term Debt (continued)

As noted above, debt on academic facilities that is repaid by an appropriation from the State of Wisconsin to the University of Wisconsin System for that purpose is reported by the State of Wisconsin and not as an obligation of the University of Wisconsin System. As of June 30, 2015, the principal balance of such bonds and notes was \$1,514.6 million and \$193.3 million, respectively. As of June 30, 2014, the principal balance of such bonds and notes was \$1,484.5 million and \$172.5 million, respectively.

Debt service payments made by the State of Wisconsin for the years ended June 30, 2015 and 2014 were allocated as follows:

2015	<u>Bonds</u>	<u>Notes</u>
Principal	\$ 117,355,400	\$ -
Interest	<u>71,973,491</u>	<u>-</u>
Total Paid	<u>\$ 189,328,891</u>	<u>\$ -</u>
2014	<u>Bonds</u>	<u>Notes</u>
Principal	\$ 117,997,911	\$ 44,076,387
Interest	<u>69,302,524</u>	<u>865,028</u>
Total Paid	<u>\$ 187,300,435</u>	<u>\$ 44,941,415</u>

NOTE 7 – Lease Commitments and Installment Purchases

The University of Wisconsin System had capital lease obligations with a net present value of \$36.8 million as of June 30, 2015 compared to \$42.4 million at June 30, 2014. The payment schedule for capital lease obligations is as follows:

2016	\$ 6,997,921
2017	5,513,599
2018	3,197,684
2019	2,619,698
2020	2,543,061
2021-2025	12,383,526
2026-2030	12,363,920
2031-2035	12,363,920
2036-2040	12,363,920
2041-2045	<u>7,418,352</u>
Total Scheduled Lease Payments	77,765,601
Amount Representing Interest	<u>(40,998,799)</u>
Net Present Value	<u>\$ 36,766,802</u>

Assets Held Under Capital Lease:

2015	<u>Original Cost</u>	<u>Accumulated</u>	<u>Book Value</u>
	<u>June 30, 2015</u>	<u>Depreciation</u>	<u>June 30, 2015</u>
Buildings and Improvements	\$ 98,199,857	\$ 43,492,157	\$ 54,707,700
Equipment	<u>13,484,281</u>	<u>9,644,740</u>	<u>3,839,541</u>
Total Assets	<u>\$ 111,684,138</u>	<u>\$ 53,136,897</u>	<u>\$ 58,547,241</u>
2014	<u>Original Cost</u>	<u>Accumulated</u>	<u>Book Value</u>
	<u>June 30, 2014</u>	<u>Depreciation</u>	<u>June 30, 2014</u>
Buildings and Improvements	\$ 98,199,857	\$ 39,663,622	\$ 58,536,235
Equipment	<u>12,414,095</u>	<u>8,233,928</u>	<u>4,180,167</u>
Total Assets	<u>\$ 110,613,952</u>	<u>\$ 47,897,550</u>	<u>\$ 62,716,402</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 7 – Lease Commitments and Installment Purchases (continued)

Facilities and equipment rented through operating leases are not recorded as assets on the balance sheet. Operating lease expenditures, which also represent the minimum rental payments, amounted to \$33.7 million for the fiscal year ended June 30, 2015. Minimum commitments for future operating lease payments are as follows:

2016	\$ 17,376,340
2017	13,857,853
2018	12,572,081
2019	10,745,611
2020	9,617,437
2021-2025	32,023,330
2026-2030	28,493,151
2031-2035	14,647,198
2036-2040	152,167
2041-2045	<u>20,500</u>
Total	<u>\$ 139,505,668</u>

The University of Wisconsin System entered into installment purchase agreements during fiscal year 2015. The following is an analysis of the gross minimum future installment payments, along with the present value of the minimum installment payments, as of June 30, 2015 for installment purchases:

2016	\$ 17,569
2017	17,569
2018	12,590
2019	4,728
2020	<u>4,728</u>
Total Minimum Future Payments	57,184
Amounts Representing Interest	<u>(4,125)</u>
Present Value of Net Minimum Payments	<u>\$ 53,059</u>

NOTE 8 – Retirement Benefits

Wisconsin Retirement System

Plan Description. The Wisconsin Retirement System (WRS) is a cost-sharing multiple-employer defined benefit pension plan. Benefits of the WRS and other plan provisions are established by Chapter 40 of the Wisconsin Statutes. Benefit terms may only be modified by the Legislature. The retirement system is administered by the Wisconsin Department of Employee Trust Funds (ETF). The system provides coverage to all eligible State of Wisconsin, local government, and other public employees. All employees, initially employed by a participating WRS employer on or after July 1, 2011, and expected to work at least 1,200 hours a year (880 hours for teachers and school district educational support employees) and expected to be employed for at least one year from employee's date of hire are eligible to participate in the WRS.

All assets of the WRS are invested by the State of Wisconsin Investment Board. The retirement fund assets consist of shares in the Variable Retirement Investment Trust and the Core Retirement Investment Trust. The Variable Retirement Investment Trust consists primarily of equity securities. The Core Retirement Investment Trust is a balanced investment fund made up of fixed income securities and equity securities. Shares in the Core Retirement Investment Trust are purchased as funds are made available from retirement contributions and investment income, and sold when funds for benefit payments and other expenses are needed.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 8 – Retirement Benefits (continued)

Vesting. For employees beginning participation on or after January 1, 1990, and no longer actively employed on or after April 24, 1998, creditable service in each of five years is required for eligibility for a retirement annuity. Participants employed prior to 1990 and on or after April 24, 1998, and prior to July 1, 2011, are immediately vested. Participants who initially became WRS eligible on or after July 1, 2011 must have five years of creditable service to be vested.

Benefits provided. Employees who retire at or after age 65 (54 for protective occupation employees, 62 for elected officials and State executive participants) are entitled to receive an unreduced retirement benefit. The factors influencing the benefit are: (1) final average earnings, (2) years of creditable service, and (3) a formula factor.

Final average earnings is the average of the participant's three highest years' earnings. Creditable service is the creditable current and prior service expressed in years or decimal equivalents of partial years for which a participant receives earnings and makes contributions as required. The formula factor is a standard percentage based on employment category.

Employees may retire at age 55 (50 for protective occupation employees) and receive reduced benefits. Employees terminating covered employment before becoming eligible for a retirement benefit may withdraw their contributions, plus interest, and forfeit all rights to any subsequent benefits.

The WRS also provides death and disability benefits for employees.

Post-Retirement Adjustments. The Employee Trust Funds Board may periodically adjust annuity payments from the retirement system based on annual investment performance in accordance with Wisconsin Statutes Section 40.27. An increase (or decrease) in annuity payments may result when investment gains (losses), together with other actuarial experience factors, create a surplus (shortfall) in the reserves, as determined by the system's consulting actuary. Annuity increases are not based on cost of living or other similar factors. For Core annuities, decreases may be applied only to previously granted increases. By law, Core annuities cannot be reduced to an amount below the original, guaranteed amount (the "floor") set at retirement. The Core and Variable annuity adjustments granted during recent years are as follows:

<u>Year</u>	<u>Core Fund Adjustment</u>	<u>Variable Fund Adjustment</u>
2005	2.6%	7.0%
2006	0.8%	3.0%
2007	3.0%	10.0%
2008	6.6%	0.0%
2009	(2.1)%	(42.0)%
2010	(1.3)%	22.0%
2011	(1.2)%	11.0%
2012	(7.0)%	(7.0)%
2013	(9.6)%	9.0%
2014	4.7%	25.0%

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 8 – Retirement Benefits (continued)

Contributions. Required contributions are determined by an annual actuarial valuation in accordance with Chapter 40 of the Wisconsin Statutes. The employee required contribution is one-half of the actuarially determined contribution rate for general category employees, including teachers, and Executives and Elected Officials. Required contributions for protective employees are the same rate as general employees. Employers are required to contribute the remainder of the actuarially determined contribution rate. The employer may not pay the employee required contribution unless provided for by an existing collective bargaining agreement.

For calendar year 2014, the UW System made \$133.5 million in contributions recognized by the WRS.

Contribution rates as of June 30, 2015 were:

<u>Employee Category</u>	<u>Employee</u>	<u>Employer</u>
General (including teachers)	6.8%	6.8%
Executives & Elected Officials	7.7%	7.7%
Protective with Social Security	6.8%	9.5%
Protective without Social Security	6.8%	13.1%

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At June 30, 2015, the University of Wisconsin System reported a net pension asset of \$330.2 million for its proportionate share of the net pension asset. The net pension asset was measured as of December 31, 2014, and the total pension liability used to calculate the net pension asset was determined by an actuarial valuation as of December 31, 2013 rolled forward to December 31, 2014. No material changes in assumptions or benefit terms occurred between the actuarial valuation date and the measurement date. The University of Wisconsin System's proportion of the total net pension asset was based on the University of Wisconsin System's share of contributions to the pension plan relative to the contributions of all participating employers. At December 31, 2014, the University of Wisconsin System's proportion was 13.4%, which was an increase of 0.3% from its proportion measured as of December 31, 2013.

For the fiscal year ended June 30, 2015, the University of Wisconsin System recognized pension expense of \$127.8 million.

The amount reported as pension-related deferred outflows resulting from the University of Wisconsin System's contributions subsequent to the measurement date will be recognized as part of the net pension liability (asset) calculation in the year ended June 30, 2016. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pension benefits will be recognized in pension expense as follows:

<u>Fiscal Year ended June 30:</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
2016	\$ 40,862,923	\$ 1,446,882
2017	40,862,923	1,446,882
2018	40,862,923	1,446,882
2019	40,862,923	1,446,882
2020	40,862,923	1,446,882
Thereafter	\$ 3,431,925	\$ 558,786

Additional detail related to deferred outflows of resources and deferred inflows of resources is presented in Note 10.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 8 – Retirement Benefits (continued)

Actuarial assumptions. The total pension liability (asset) in the December 31, 2014 actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Actuarial Valuation Date:	December 31, 2013
Measurement Date of Net Pension Liability (Asset)	December 31, 2014
Actuarial Cost Method:	Entry Age
Asset Valuation Method:	Fair Market Value
Long-Term Expected Rate of Return:	7.2%
Discount Rate:	7.2%
Salary Increases:	
Inflation	3.2%
Seniority/Merit	0.2% - 5.8%
Mortality:	Wisconsin 2012 Mortality Table
Post-Retirement Adjustments*	2.1%

** No post-retirement adjustment is guaranteed. Actual adjustments are based on recognized investment return, actuarial experience and other factors. 2.1% is the assumed annual adjustment based on the investment return assumption and the post-retirement discount rate.*

Actuarial assumptions are based upon an experience study conducted in 2012 using experience from 2009-2011. The total pension liability for December 31, 2014 is based upon a roll-forward of the liability calculated from the December 31, 2013 actuarial valuation.

Long-term Expected Return on Plan Assets. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	Core Fund		Variable Fund	
	Long-Term Real Rate of Return	Target Allocation	Long-Term Real Rate of Return	Target Allocation
US Equities	5.3%	21.0%	5.3%	70%
International Equities	5.7%	23.0%	5.7%	30%
Fixed Income	1.7%	36.0%	n/a	--
Inflation Sensitive Assets	2.3%	20.0%	n/a	--
Real Estate	4.2%	7.0%	n/a	--
Private Equity/Debt	6.9%	7.0%	n/a	--
Multi-Asset	3.9%	6.0%	n/a	--
Cash	0.9%	(20.0%)	n/a	--

Single Discount Rate. A single discount rate of 7.20% was used to measure the total pension liability. This single discount rate was based on the expected rate of return on pension plan investments of 7.20% and a long term bond rate of 3.56%. Because of the unique structure of the WRS, the 7.20% expected rate of return implies that a dividend of approximately 2.1% will always be paid. For purposes of the single discount rate, it was assumed that the dividend would always be paid. The projection of cash flows used to determine this single discount rate assumed that plan member contributions will be made at the current contribution rate and that employer contributions will be made at rates equal to the difference between

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 8 – Retirement Benefits (continued)

actuarially determined contribution rates and the member rate. Based on these assumptions, the pension plan's fiduciary net position was projected to be available to make all projected future benefit payments (including expected dividends) of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

Sensitivity of the University of Wisconsin System's proportionate share of the net pension liability (asset) to changes in the discount rate. The following presents the University of Wisconsin System's proportionate share of the net pension liability (asset) calculated using the discount rate of 7.20 percent, as well as what the University of Wisconsin System's proportionate share of the net pension liability (asset) would be if it were calculated using a discount rate that is 1-percentage-point lower (6.2%) or 1-percentage-point higher (8.2%) than the current rate:

1% Decrease to Discount Rate	\$ 931,457,039
Current Discount Rate	\$ (330,166,674)
1% Increase To Discount Rate	\$ (1,326,546,070)

Pension plan fiduciary net position. Detailed information about the pension plan's fiduciary net position is available in separately issued financial statements available at <http://legis.wisconsin.gov/lab/> and reference report number 15-11.

Other Retirement Benefits

In addition to the WRS, certain employees associated with federally funded activities are partially covered by the Federal Retirement Program. The University of Wisconsin System's contributions to this program amounted to \$92,384 during the current year, compared with \$108,177 for the previous year.

NOTE 9 – Postemployment Benefits Other Than Pensions

In accordance with the provisions of GASB Statement No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, state and local governmental employers are required to display in financial reports other postemployment benefit expense/expenditures and related liabilities (assets), note disclosures, and if applicable, required supplementary information. The employees of the University of Wisconsin System are employees of the State.

Health Insurance

The State's Health Insurance Program, a cost-sharing multiple-employer defined benefit plan not held in trust, is an employer-sponsored program offering group medical coverage to eligible employees and retirees of the State. The State Department of Employee Trust Funds and the Group Insurance Board have program administration and oversight responsibilities under Wisconsin Statutes Sections 15.165(2) and 40.03(6).

Under this plan, retired employees of the State contribute the same healthcare premium as active employees, creating an implicit rate subsidy for retirees. This implicit rate subsidy, which is calculated to cover pre-age 65 retirees (since at age 65 retirees are required to enroll in Medicare when eligible), is treated as an other postemployment benefit (OPEB).

As of the January 2013 actuarial valuation, the State's annual required contributions were \$86.2 million and \$84.5 million for fiscal years ended June 30, 2015 and June 30, 2014, respectively. The State's annual OPEB costs were \$70.5 million and \$69.7 million for fiscal years ended June 30, 2015 and June 30, 2014, respectively, and the State's actual contributions were \$41.8 million in fiscal year 2015 and \$41.6 million

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 9 – Postemployment Benefits Other Than Pensions (continued)

in fiscal year 2014, which results in a net OPEB obligation for the State of \$502.6 million as of June 30, 2015, and \$473.9 million as of June 30, 2014. The portion of this obligation allocated to the University of Wisconsin System increased from \$233.0 million in fiscal year 2014 to \$248.4 million in fiscal year 2015.

The State of Wisconsin Comprehensive Annual Financial Report includes financial statements, additional note disclosures, and required supplementary information for this plan. That report is publicly available at www.doa.state.wi.us or may be obtained by writing to: Department of Administration, 101 East Wilson Street, Madison, Wisconsin 53703.

Life Insurance and Duty Disability

The Life Insurance program, a cost-sharing multiple-employer defined benefit plan held in trust, provides post-employment coverage to all eligible employees. The plan is administered under Wisconsin Statutes Section 40.70. Beginning at age 65, retirees and terminating members continue to receive basic coverage for life at the level of insurance in force before retirement. Retirees and terminating members under age 65 must continue to pay the employee premium to maintain coverage.

The Duty Disability program, a cost-sharing multiple-employer defined benefit plan held in trust, offers special disability insurance for employees in protective occupations. This plan is administered under Wisconsin Statutes Section 40.65. Qualified employees receive benefits under this program approximating 80% of salary, less certain offsets, based upon the type and level of disability suffered and the implications of the disability on their ability to work. There are no employee contributions associated with this plan. The University of Wisconsin System contributed \$56,473 to this program during fiscal year 2015 compared to \$62,779 during fiscal year 2014.

The Department of Employee Trust Funds issues publicly available financial reports that include financial statements, additional note disclosures, and required supplementary information for these plans. The reports are available at www.etf.wi.gov or may be obtained upon request from: Department of Employee Trust Funds, 801 West Badger Road, PO Box 7931, Madison, Wisconsin 53707-7931.

NOTE 10 – Deferred Outflows and Deferred Inflows of Resources

At June 30, 2015 and June 30, 2014, the University of Wisconsin System reported deferred outflows of resources and deferred inflows of resources from the following sources:

Deferred Outflows (Inflows) of Resources related to Pensions

	<u>2015</u>
Differences between expected and actual experience	\$ 47,863,893
Net differences between projected and actual earnings on pension plan investments	159,882,647
Employer contributions subsequent to the measurement date	44,887,431
Changes in proportion and differences between employer contributions and proportionate share of contributions	<u>(7,793,196)</u>
Total	<u>\$ 244,840,775</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 10 – Deferred Outflows and Deferred Inflows of Resources (continued)

Deferred Outflows (Inflows) of Resources related to Debt Refundings

	<u>2015</u>	<u>2014</u>
Unamortized Losses	\$ 31,816,561	\$ 19,144,676
Unamortized Gains	<u>(1,336,897)</u>	<u>(550,781)</u>
Total	<u>\$ 30,479,664</u>	<u>\$ 18,593,895</u>

NOTE 11 – Other Organizations

GASB Statement No. 14, *The Financial Reporting Entity*, GASB Statement No. 39, *Determining Whether Certain Organizations Are Component Units*, an amendment of GASB Statement No. 14, and GASB Statement No. 61, *The Financial Reporting Entity: Omnibus*, an amendment of GASB Statements No. 14 and No. 34, provide guidance in determining whether organizations are to be included as part of a reporting entity. The University of Wisconsin System has determined that, in accordance with the provisions of GASB Statements No. 14, 39, and 61, the accounts of the following organizations are not included in the financial statements; however, the following financial information is provided.

A – University of Wisconsin Foundation

The University of Wisconsin (UW) Foundation is the official not-for-profit fund raising corporation for the University of Wisconsin-Madison and several other units of the University of Wisconsin System. It receives gifts and bequests, administers and invests securities and property, and disburses payments to and on behalf of the University of Wisconsin for advancement of scientific, literary, athletic, and educational purposes. The UW Foundation reports on a fiscal year ended December 31. Copies of the separately issued financial statements may be obtained by writing to: University of Wisconsin Foundation, Attn: Finance, PO Box 8860, Madison, WI 53708-8860.

Significant financial data for the UW Foundation for the years ending December 31, 2014 and 2013 are presented below (in thousands):

Condensed Statement of Net Position	<u>2014</u>	<u>2013</u>
Assets:		
Cash, Investments and Other Assets	\$ 3,266,712	\$ 3,088,780
Capital Assets, Net	<u>17,437</u>	<u>12,643</u>
Total Assets	<u>3,284,149</u>	<u>3,101,423</u>
Liabilities:		
Accounts Payable and Other Current Liabilities	45,256	66,780
Amounts Held for Other Component Units	282,500	276,700
Long-term Liabilities (Current and Noncurrent Portions)	<u>47,335</u>	<u>45,383</u>
Total Liabilities	<u>375,091</u>	<u>388,863</u>
Net Position:		
Net Investment in Capital Assets	17,437	12,643
Restricted	2,674,273	2,521,286
Unrestricted	<u>217,348</u>	<u>178,630</u>
Total Net Position	<u>2,909,058</u>	<u>2,712,559</u>
Total Liabilities and Net Position	<u>\$ 3,284,149</u>	<u>\$ 3,101,422</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 11 – Other Organizations

A – University of Wisconsin Foundation (continued)

Condensed Statement of Activities	<u>2014</u>	<u>2013</u>
Program Expenses:		
Depreciation	\$ 1,140	\$ 573
Payments to Primary Government	246,728	236,943
Other	<u>43,697</u>	<u>34,459</u>
Total Program Expenses	<u>291,565</u>	<u>271,975</u>
Program Revenues:		
Investment and Interest Income	96,519	328,078
Operating Grants and Contributions	380,493	266,855
Other	<u>3,472</u>	<u>638</u>
Total Program Revenues	<u>480,484</u>	<u>595,571</u>
Net Program Revenues	188,919	323,596
Change in Net Position	188,919	323,596
Net Position, Beginning of Year	2,712,559	2,388,963
Contribution of Wisconsin Alumni Association Net Assets	<u>7,580</u>	<u>-</u>
Net Position, End of Year	<u>\$ 2,909,058</u>	<u>\$ 2,712,559</u>

B – University of Wisconsin Medical Foundation

The University of Wisconsin (UW) Medical Foundation is the not-for-profit clinical practice organization for the faculty physicians of the UW School of Medicine and Public Health within UW-Madison. The UW Medical Foundation provides clinical sites, technical and professional staff, and administrative services for the UW faculty physicians group.

During fiscal year 2007-08, the Wisconsin Department of Health Services (DHS) implemented a Certified Public Expenditure (CPE) program for the services the UW faculty physicians group provides to Medical Assistance (MA) recipients. Because the UW faculty physicians group qualifies as a public provider, it is eligible to receive cost-based reimbursement under federal MA rules.

Under the CPE program, DHS is able to claim additional federal MA funds based upon the difference between the established MA reimbursement rate for the services provided by the UW faculty physicians group and the actual cost of providing those services. To enable the draw of these federal funds by DHS, UW-Madison remitted a total of \$7.3 million to DHS during fiscal year 2015 and \$11.9 million in fiscal year 2014, representing the state's share of this difference. DHS then claimed the federal share of the difference from the federal government and subsequently provided \$17.2 million during fiscal year 2015 and \$27.9 million during fiscal year 2014, representing both the state and federal share of the difference, to the UW Medical Foundation. In addition, transfers by UW-Madison to the MA Trust Fund of \$9.9 million during fiscal year 2015 and \$16.0 million in fiscal year 2014 were also made under this program and are reported as a transfer to state agencies on the financial statements.

During fiscal year 2015, the UW Medical Foundation remitted \$27.9 million to UW-Madison as reimbursement for payments to DHS during fiscal year 2014. The \$27.9 million that UW-Madison received from the UW Medical Foundation is included in the other non-operating revenues account on the financial statements.

In addition, UW-Madison incurred expenditures for which reimbursement was received from the UW Medical Foundation. Of the \$91.5 million expended in fiscal year 2015, \$81.8 million was for salaries and fringe benefits of staff in the UW-Madison School of Medicine.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 11 – Other Organizations (continued)

C – University of Wisconsin Hospital and Clinics Authority

The University of Wisconsin Hospital and Clinics Authority (UWHCA), pursuant to an act of the Wisconsin State Legislature, began operating on June 29, 1996 as a separate public authority. As required by this legislation, the University of Wisconsin System has entered into various affiliation and operating agreements with UWHCA, including a lease agreement. Under the terms of the lease, UWHCA makes payments equal to the debt service on all outstanding bonds issued by the State of Wisconsin to acquire, construct, or improve the leased facilities. At June 30, 2015, the present value of these future lease payments totaled \$0.2 million, compared to \$0.5 million at June 30, 2014, an amount equal to the principal on the related bonds outstanding; the asset is included on the balance sheet as part of the capital lease receivable, and the related debt is included as part of the total UW System bonds outstanding of \$1,371.5 million and \$1,412.5 million at June 30, 2015 and June 30, 2014, respectively. The leased facilities are not included as part of the University of Wisconsin System's investment in buildings since they have been reported by UWHCA in their audited financial statements in accordance with the generally accepted accounting principles that pertain to the reporting of leased assets.

During the fiscal year ended June 30, 2015, the University of Wisconsin System received services from UWHCA totaling \$4.9 million and provided services to UWHCA totaling \$64.4 million, compared to amounts for fiscal year ended June 30, 2014 of \$4.8 million and \$65.2 million. The cost of the services provided and the associated revenue are separately identified in the Statement of Revenues, Expenses, and Changes in Net Position. The amounts spent for services received are included as salaries and fringe benefits and supplies and services expenses on this statement. The services received were funded by an equivalent amount of state appropriations revenue.

D – The Wisconsin Institutes for Discovery

The Wisconsin Institutes for Discovery, which opened in December 2010, is a visionary public-private facility that has taken shape as an innovative building housing two world-class biomedical research institutes and a public space known as the Town Center for campus and community members to gather and collaborate. The public institute, the Wisconsin Institutes for Discovery, is part of the University of Wisconsin-Madison organized under its Graduate School. The private portion of the facility is owned by the Wisconsin Alumni Research Foundation (WARF), which is an independent, nonprofit foundation chartered to support research at the University of Wisconsin-Madison and the designated technology transfer organization for the university. The facility was originally undertaken with \$50 million in State of Wisconsin and University funding, \$110 million contributed by WARF, and a \$50 million donation from a private donor. The Morgridge Institute for Research, an independent 501(c)(3) medical research organization, occupies the majority of the WARF-owned portion of the building.

The Wisconsin Institutes for Discovery facility is a 300,000 square foot building located at 330 North Orchard Street in Madison, Wisconsin. Since the University of Wisconsin System initially owned all of this land, the University of Wisconsin System and WARF became parties to a Real Property Exchange Agreement dated January 19, 2007. Under the terms of the Exchange Agreement, the University of Wisconsin System agreed to convey to WARF a portion of this land, and WARF agreed to convey to the University of Wisconsin System properties of equal value as defined in the agreement. In fiscal years 2008-09 and 2010-11, the University of Wisconsin System recorded \$4.3 million and \$7.7 million, respectively, as Land and Capital Contributions for the fair market value of the properties WARF has conveyed to the University of Wisconsin System under this agreement.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 11 – Other Organizations

D – The Wisconsin Institutes for Discovery (continued)

The Wisconsin Institutes for Discovery is operated as a condominium. University of Wisconsin System and WARF are the members of The Wisconsin Institutes for Discovery Condominium Association, Inc. (Association), as set forth in the Condominium Declaration dated September 25, 2009. Ownership of the facility has been determined to be 30% University of Wisconsin System and 70% WARF. Of the total capitalized cost, the University of Wisconsin System capitalized \$60.1 million as Buildings, and the remaining amount was capitalized by WARF. Under the terms of the Condominium Declaration, the Association contracts with WARF for purposes of the management and operation of the property. The parties also entered into an Operating and Services Agreement that sets forth the mutually agreed upon specifics of such management and operation.

E – La Crosse Medical Health Science Education Research Center

On June 6, 1997, the Board of Regents of the University of Wisconsin System entered into a Use Agreement with The La Crosse Medical Health Science Consortium, Inc. (The Consortium), a Wisconsin non-stock corporation tax exempt under Internal Revenue Code (IRC) 501(c)(3) with offices at 1725 State Street, La Crosse, Wisconsin 54601. The Use Agreement makes available the exclusive use of the La Crosse Medical Health Science Education Research Center to The Consortium. As required by this Use Agreement, the University of Wisconsin System has entered into various operating agreements with The Consortium, including a lease agreement. Under the terms of the lease, The Consortium makes payments equal to the debt service on all outstanding bonds issued by the State of Wisconsin to acquire, construct, or improve the leased facilities. At June 30, 2015, the present value of these future lease payments totaled \$2.6 million, compared to \$3.2 million at June 30, 2014, an amount equal to the principal on the related bonds outstanding; the asset is included on the balance sheet as part of the capital lease receivable, and the related debt is included as part of the total UW System bonds outstanding of \$1,371.5 million and \$1,412.5 million at June 30, 2015 and June 30, 2014, respectively. The leased facilities are not included as part of the University of Wisconsin System's investment in buildings since they have been reported by The Consortium in their audited financial statements in accordance with the generally accepted accounting principles that pertain to the reporting of leased assets.

During the fiscal year ended June 30, 2015, the University of Wisconsin System provided services and rent to The Consortium totaling \$0.8 million. The cost of the services provided and the associated revenue are included in the Statement of Revenues, Expenses, and Changes in Net Position. The amounts spent for services received are included as salaries and fringe benefits and supplies and services expenses on this statement. The services received were funded by an equivalent amount of state appropriations revenue.

F – University of Wisconsin-Platteville Real Estate Foundation

In July 2012, the Board of Regents of the University of Wisconsin System entered into a Lease Agreement with the University of Wisconsin-Platteville Real Estate Foundation, Inc. (The Foundation), a Wisconsin non-profit corporation. The Lease Agreement made available to The Foundation a land parcel owned by the University of Wisconsin System for purposes of constructing a residence hall and dining premises.

The Wisconsin Department of Administration and The Foundation entered into a lease agreement in June 2013 for use of the residence hall and dining premises by the University of Wisconsin-Platteville. The lease commenced August 1, 2013 and includes annual rental payments of \$2.5 million to The Foundation for thirty years. The lease also includes an option to purchase the facility.

G – Funds Held In Trust by Others

Funds held in trust by others are endowment funds held by trustees outside of the University of Wisconsin System Trust Funds for the benefit of the University of Wisconsin System. The market value of these funds amounted to \$187.9 million at June 30, 2015, compared with \$189.9 million at June 30, 2014. During fiscal year 2015, \$1.4 million of these funds was made available by the trustees for spending.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 12 – Classification of Net Position

Net Position is reported in the following categories: Net Investment in Capital Assets, Restricted-Pensions, Restricted-Nonexpendable, Restricted-Expendable, Restricted-Student Loans, Restricted-Other, and Unrestricted.

Net Investment in Capital Assets includes assets, such as buildings, construction in progress, and equipment, that are reported net of related debt. Restricted funds are those that have externally-imposed stipulations. Restricted-Pensions funds are those that must be used to fund future pension obligations. Restricted-Nonexpendable funds are those that must be permanently maintained, such as permanent endowments. The remaining three restricted categories include balances such as those for quasi-endowments; segregated fees; student loans; federal aid; and gifts, grants, and contracts. These funds are expendable subject to actions of the University of Wisconsin System that are pursuant to stipulations or may become expendable by the passage of time. Unrestricted funds are those that are not subject to external stipulations. However, most of the unrestricted funds have been identified for academic and research programs and initiatives, and capital programs.

The amounts within each category at June 30, 2015 and June 30, 2014 are as follows:

	<u>2015</u>	<u>2014</u>
Net Investment in Capital Assets	\$ 4,386,420,962	\$ 4,365,969,021
Restricted – Pensions	330,166,674	-
Restricted – Nonexpendable		
Permanent Endowment	194,516,535	187,767,529
Restricted – Expendable		
Quasi-Endowment	235,454,703	232,985,246
Auxiliary Operations – Segregated Fees	<u>87,508,726</u>	<u>88,971,325</u>
Subtotal	322,963,429	321,956,571
Restricted – Student Loans		
Federal Aid – Student Loans	191,887,916	189,823,688
Gifts – Student Loans	30,229,582	28,284,898
Endowment Funds	<u>14,512,915</u>	<u>13,794,262</u>
Subtotal	236,630,413	231,902,848
Restricted – Other		
Federal Aid	22,807,886	19,751,499
Gifts and Nonfederal Grants & Contracts	226,598,149	191,978,442
Endowment Funds	15,313,214	13,262,596
Construction Fund	117,429,175	57,440,254
Segregated Revenue	410,541	353,743
All Other Restricted Program Revenue	<u>2,003,599</u>	<u>1,173,510</u>
Subtotal	384,562,564	283,960,044

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 12 – Classification of Net Position (continued)

	<u>2015</u>	<u>2014</u>
Unrestricted		
Tuition (Academic & Extension Student Fees)	363,504,921	438,985,737
General Operations	136,168,650	140,087,754
Auxiliary Operations (Non-Segregated Fee)	224,417,917	199,500,495
Indirect Cost Reimbursement	166,571,897	171,390,344
Endowment Funds	66,191,813	88,266,059
All Other Unrestricted Program Revenue	31,474,619	35,424,621
Gifts and Nonfederal Grants & Contracts (Note 1)	(35,945,278)	(28,417,398)
Federal Aid (Note 1)	(14,154,229)	(5,041,852)
All Other Non-Program Revenue (Note 2)	<u>(104,425,627)</u>	<u>(92,649,281)</u>
Subtotal	833,804,683	947,546,479
Total Net Position	<u>\$ 6,689,065,260</u>	<u>\$ 6,339,102,492</u>

Note 1: Funds are typically collected on a reimbursement basis resulting in a negative balance at year end.

Note 2: The negative balance results primarily from an accumulating effect of accrual entries on General Purpose Revenue and Segregated Revenue funds.

The following table shows reclassifications which are done to conform to reporting requirements related to the State of Wisconsin's CAFR. As a reporting entity, the Board of Regents of the University of Wisconsin System cannot exercise total discretion over the use of net position of segregated fee auxiliary operations because of statutory mandates; however, they do have discretion in the use of the net position of quasi-endowments reported as unrestricted.

CAFR reclassifications as of June 30, 2015 (in millions):

	<u>University of Wisconsin System</u>	<u>Auxiliary Operations</u>	<u>Quasi- Endowments</u>	<u>Student Loans</u>	<u>State of Wisconsin CAFR</u>
Net Investment in					
Capital Assets	\$ 4,386.4	\$ 0.0	\$ 0.0	\$ 0.0	\$ 4,386.4
Restricted for					
Pensions	330.2	0.0	0.0	0.0	330.2
Nonexpendable	194.5	0.0	0.0	0.0	194.5
Expendable	323.0	(87.5)	51.9	0.0	287.4
Student Loans	236.6	0.0	0.0	(11.0)	225.6
Other	384.6	0.0	0.0	11.0	395.6
Unrestricted	<u>833.8</u>	<u>87.5</u>	<u>(51.9)</u>	<u>0.0</u>	<u>869.4</u>
Total Net Position	<u>\$ 6,689.1</u>	<u>\$ 0.0</u>	<u>\$ 0.0</u>	<u>\$ 0.0</u>	<u>\$ 6,689.1</u>

Note: Other Post-Employment Benefits were included in the basic financial statements of the University of Wisconsin System for the period ending June 30, 2015, so no reclassification was needed.

CAFR reclassifications as of June 30, 2014 (in millions):

	<u>University of Wisconsin System</u>	<u>Auxiliary Operations</u>	<u>Quasi- Endowments</u>	<u>Student Loans</u>	<u>Other Postemployment Benefits (Note 9)</u>	<u>State of Wisconsin CAFR</u>
Net Investment in						
Capital Assets	\$4,366.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0	\$4,366.0
Restricted for						
Nonexpendable	187.8	0.0	0.0	0.0	0.0	187.8
Expendable	321.9	(89.0)	79.2	0.0	0.0	312.1
Student Loans	231.9	0.0	0.0	(10.2)	(0.1)	221.6
Other	284.0	0.0	0.0	10.2	(45.4)	248.8
Unrestricted	<u>947.5</u>	<u>89.0</u>	<u>(79.2)</u>	<u>0.0</u>	<u>(187.5)</u>	<u>769.8</u>
Total Net Position	<u>\$6,339.1</u>	<u>\$ 0.0</u>	<u>\$ 0.0</u>	<u>\$ 0.0</u>	<u>\$(233.0)</u>	<u>\$6,106.1</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2015 and 2014

NOTE 13 – Prior Period Adjustments and Other Restatements

The June 30, 2015 Statement of Revenues, Expenses, and Changes in Net Position includes the following two prior period adjustments:

<u>Account Affected</u>	<u>Amount</u>	<u>Explanation</u>
Restricted Net Pension Asset	\$518,239,456	Implementation of GASB Statement No. 68
Net Position	(518,239,456)	
Other Post-Employment Benefits	(233,006,049)	Change in accounting principle for reporting the liability related to post-employment benefits other than pensions. This liability was disclosed in prior years. However, including it in the statements provides a more complete picture of the UW System's future liabilities.
Liability		
Net Position	233,006,049	

The June 30, 2014 Statement of Net Position does not include a prior period adjustment or any other restatements.

NOTE 14 – Contingent Liabilities

The University of Wisconsin System is covered by the State of Wisconsin's self-funded program with settlements or judgments paid from the State Risk Management Fund. Loss experience is charged back to the individual University of Wisconsin institutions in subsequent years based on exposure and experience with caps in place for large losses.

The University of Wisconsin System is party in a number of legal actions. While final resolutions have not yet been determined, management is of the opinion that any liabilities resulting from these actions will not have a material adverse effect on the University of Wisconsin System's financial position.

NOTE 15 – Subsequent Events

Long-Term Debt

In September 2015, the State issued \$387.0 million of 2015 Series C general obligation bonds to be used for the acquisition, construction, development, extension, enlargement or improvement of land, water, property, highways, buildings, equipment, or facilities for public purposes. The bonds have an interest rate of 4.0% to 5.0% payable semiannually, beginning May 1, 2016 and mature annually beginning May 1, 2017 through May 1, 2036.

UNIVERSITY OF WISCONSIN SYSTEM
Required Supplementary Information and
Notes to Required Supplementary Information
Years Ended June 30, 2015 and 2014

Required Supplementary Information

University of Wisconsin System's Proportionate Share of the Net Pension Liability (Asset)
Wisconsin Retirement System

	<u>2015</u>
Proportion of the net pension liability (asset)	13.44%
Proportionate share of the net pension liability (asset)	\$ (330,166,674)
Covered-employee payroll	\$1,896,092,723
Proportionate share as a percentage of covered payroll	17.41%
Plan's fiduciary net position as a percentage of the total pension liability	102.74%

*The amounts presented for each fiscal year were determined as of the calendar year-end that occurred within the fiscal year

GASB standards require the presentation of 10 years of information. Because fiscal year 2015 is the first year for reporting this information, a full 10-year schedule will not be available until fiscal year 2024.

University of Wisconsin System's Pension Contributions
Wisconsin Retirement System

	<u>2015</u>
Contractually required contributions	\$ 133,468,069
Contributions recognized in relation to the contractually required contributions	<u>133,468,069</u>
Contribution deficiency (excess)	\$ -
Covered-employee payroll	\$ 1,896,092,723
Contributions recognized as a percentage of covered-employee payroll	7.04%

*The amounts presented for each fiscal year were determined as of the calendar year-end that occurred within the fiscal year

GASB standards require the presentation of 10 years of information. Because fiscal year 2015 is the first year for reporting this information, a full 10-year schedule will not be available until fiscal year 2024.

Notes to Required Supplementary Information
for the Year Ended June 30, 2015

Changes of benefit terms. There were no changes of benefit terms for any participating employer in WRS.

Changes in assumptions. There were no changes in the assumptions.

Supplemental Information

CHART 1
COMPARISON OF CURRENT FUNDS REVENUES
2005-2015

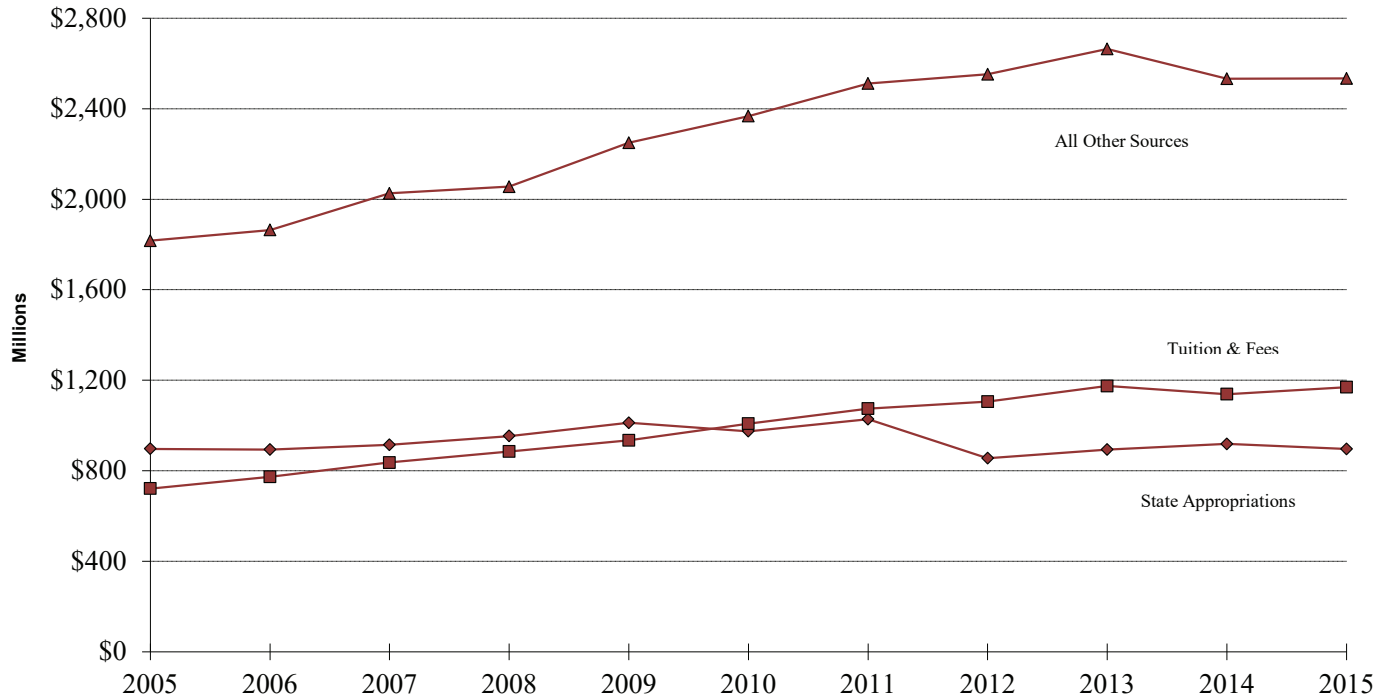


CHART 2
COMPARISON OF CURRENT FUNDS REVENUES
ADJUSTED FOR INFLATION
2005- 2015

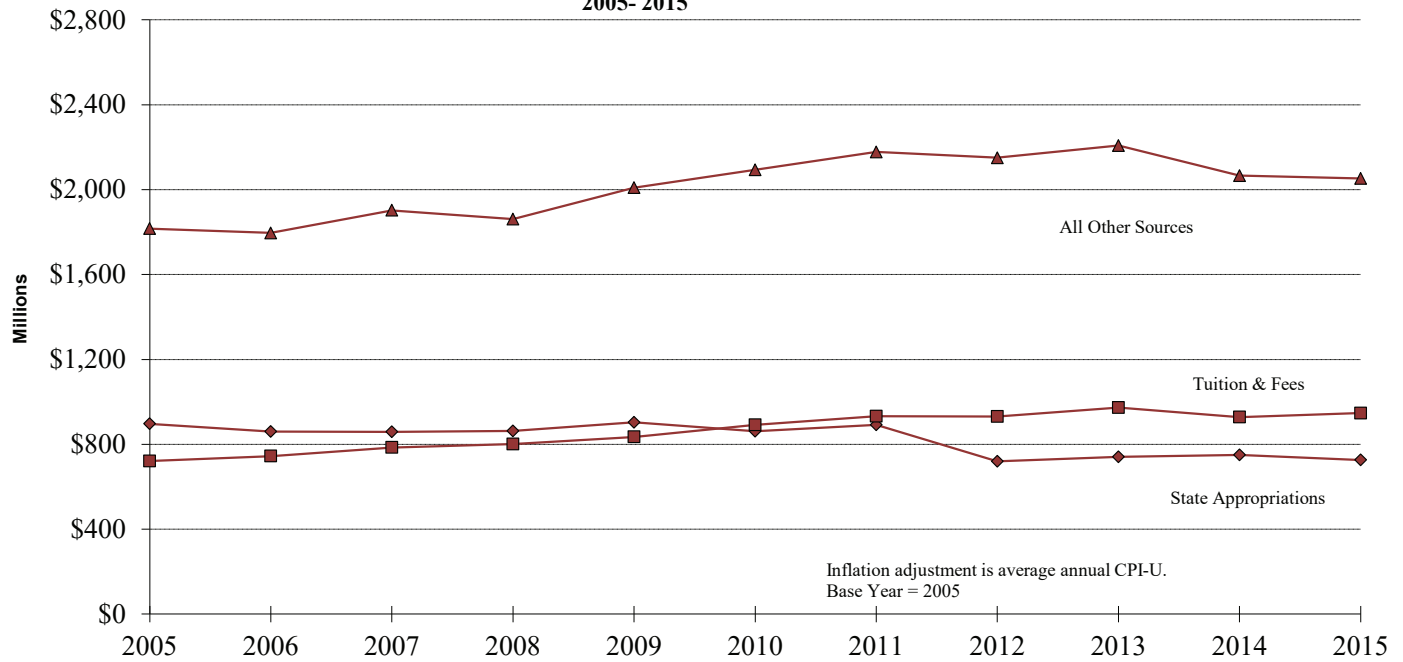
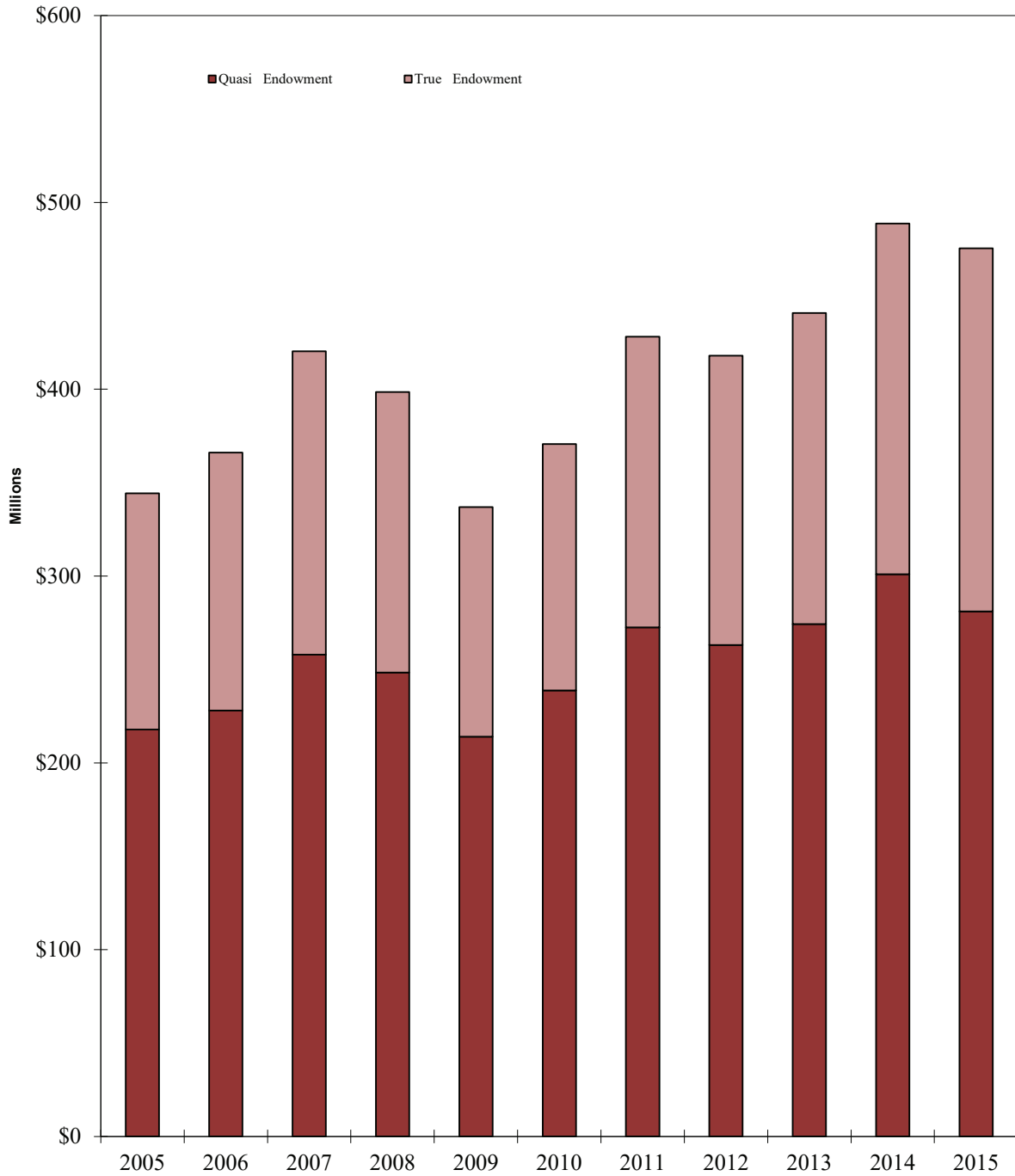


CHART 3
UNIVERSITY-CONTROLLED ENDOWMENTS
2005-2015



Charts have been prepared based on generally accepted accounting principles in effect prior to the adoption of GASB Statement No. 35

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ANNUAL FINANCIAL REPORT

2016



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Madison, WI 53706**

Editor: Lana Becker

Cover Photo: University of Wisconsin–Whitewater students gather in front of Upham Hall, home to the Departments of Biological Sciences, Chemistry, Geography, and Physics. Completed in 1962, Upham Hall was the first building used exclusively for classrooms at UW-Whitewater. The building underwent extensive renovations and additions to transform it into a first-class science facility.

Originally founded in 1868, UW-Whitewater now enrolls approximately 12,000 students who have access to innovative programs designed to meet the world's changing needs. The growing field of water management, for example, requires expertise in environmental law, natural resources, aquatic biology, chemistry, and ecology. The unique media arts and game development program gives students experience in art, computer science, and communication. UW-Whitewater's entrepreneurship program allows students to test their skills and business ideas, participate in early-stage business plan contests, and pitch their ideas to a panel of judges, potentially earning money to carry out their winning ideas. UW-Whitewater is proud of its nationally recognized undergraduate research program, a springboard for graduate school or starting a career. At UW-Whitewater, students find small classes, caring faculty members, and a campus community excited about learning.

Photo: UW-Whitewater

University of Wisconsin System 2016 Annual Financial Report

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2016 Annual Financial Report

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Interim Vice President for Finance

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Interim Vice President for University Relations

James P. Henderson,
Vice President for Academic and Student Affairs

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Michael M. Kraus,
Special Assistant

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Dean Van Galen, UW-River Falls

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Bob Meyer, UW-Stout

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Beverly Kopper, UW-Whitewater

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Tony Evers, Madison

Margaret Farrow, Pewaukee

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Janice Mueller, Madison

Drew Petersen, Madison

Bryan Steil, Beloit

S. Mark Tyler, Woodville

Gerald Whitburn, Wausau



Years Ended June 30, 2016 and 2015

INTRODUCTION FROM THE PRESIDENT



INTRODUCTION FROM THE PRESIDENT

FINANCIAL REPORT 2016

Thank you for taking an interest in the UW System's Annual Financial Report for fiscal year (FY) 2016, which received an unmodified (clean) audit opinion. The UW System is one of the most respected systems of public higher education in America, serving nearly 180,000 students each year. We stand ready to leverage our people, ideas, and resources to help address the state's economic and demographic challenges to build a stronger foundation for Wisconsin's future.

To do so, the UW System consulted with approximately 5,000 citizens as well as civic, business, economic development and other leaders from across the state to develop 2020FWD—a comprehensive strategic framework that reflects the needs of Wisconsin and its citizens. New State funding in the biennial budget and the financial resources of

the UW System, which are summarized in this 2016 Annual Financial Report, will be critical in helping to achieve the goals defined in 2020FWD.

Annual Financial Report Highlights

In 2002, the Governmental Accounting Standards Board (GASB) established new financial reporting requirements called GASB No. 34 for state and local governments throughout the United States. GASB 34 made annual reports more comprehensive and easier to understand. **FY2016 is the first time since 2002 that the UW System's total net position declined.**

There are two main reasons the UW System's FY2016 total net position is \$110 million lower than in FY2015:

1. **Wisconsin Retirement System (WRS) Adjustment.** As a State agency, we were required to accrue a significant pension liability this year. The Wisconsin Department of Employee Trust Funds (ETF) manages WRS.
 - In FY2015, ETF reported a \$330 million pension **asset** for the UW System.
 - In FY2016, this became a \$220 million pension **liability** – a swing of \$550 million.
 - According to ETF, the liability is due to lower-than-expected investment returns and changes in actuarial assumptions.

Note: the salary and fringe benefits expense is reported at a higher amount in FY2016, this increase is entirely due to the accrual of the pension liability as noted above.

2. **State resources dedicated to UW System declined in FY2016.** The State's 2015-17 biennial budget included a \$250 million budget reduction for the UW System.

- To absorb this reduction, state appropriations for the UW System declined by nearly \$94 million in the first year of this biennium.
- The remaining reduction will need to be absorbed in the second year of the biennium, or FY2017.

To manage these changes, the UW System has achieved success in our attempts to diversify our revenues and reduce expenses. For example, we have increased our grant and contract activity from the federal government and private entities by a total of \$46 million between FY2015 and FY2016. In addition, UW System has effectively managed its staffing levels and reduced our payroll costs by \$19 million over this two-year period.

Other *FY2016 Annual Financial Report* highlights include:

- **Cash balance is essentially flat.** The UW System's cash balance did not change significantly after taking into account the timing of health insurance payments and additional revenues received from federal grants and contracts.
- **Operating expenses declined.** Due to a reduction in staffing, the UW System's salary and fringe expenses declined by \$19 million. However, this decline was offset by a \$179 million accounting adjustment due to the WRS changes as noted above.

- **Capital appropriations declined.** The State appropriation for capital projects in FY2016 declined \$68 million as capital renovation and repair projects were put on hold. As a result, our capital assets depreciated by more than what we could put back into them in FY2016.

As we rely more on grants, gifts, and other non-state funds, we will continue to demonstrate how these resources are fueling the world-class work of our faculty and staff, and delivering a solid return on investment to every student, parent, donor, and taxpayer.

The UW System remains a leading contributor to the future of Wisconsin and our economy with a \$15+ billion impact each year. We remain committed to quality, performance, accountability and transparency in all of our financial matters.

Ray Cross
President



STATE OF WISCONSIN | Legislative Audit Bureau

22 East Mifflin St., Suite 500 ■ Madison, WI 53703 ■ (608) 266-2818 ■ Hotline: 1-877-FRAUD-17 ■ www.legis.wisconsin.gov/lab

Joe Chrisman
State Auditor

Independent Auditor's Report on the Financial Statements and Other Reporting Required by *Government Auditing Standards*

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee

Members of the University of Wisconsin Board of Regents, and
Dr. Raymond Cross, President
University of Wisconsin System

Report on the Financial Statements

We have audited the accompanying financial statements of the University of Wisconsin (UW) System and its discretely presented component unit as of and for the years ended June 30, 2016, and June 30, 2015, and the related notes to financial statements, which collectively comprise UW System's financial statements listed in the table of contents.

Management's Responsibility for the Financial Statements

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

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We did not audit the financial statements of the UW Foundation. Those statements were audited by other auditors whose report has been furnished to us, and our opinion, insofar as it relates to the amounts included for the UW Foundation, is based solely on the report of the other auditors.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, which is 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 from material misstatement. The financial statements of the UW Foundation were audited in accordance with auditing standards generally accepted in the United States of America, but not in accordance with *Government Auditing Standards*.

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 the accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on these financial statements.

Opinion

In our opinion, based on our audits and the reports of other auditors, the financial statements referred to in the first paragraph present fairly, in all material respects, the financial position of UW System and the discretely presented component unit as of June 30, 2016, and June 30, 2015, and the respective changes in financial position and cash flows thereof for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Emphases of Matter

As discussed in Note 1 to the financial statements, the financial statements referred to in the first paragraph present only UW System's financial statements and do not purport to, and do not, present fairly the financial position of the State of Wisconsin as of June 30, 2016, and June 30, 2015, the changes in financial position, or where applicable, cash flows for the year then ended, in accordance with accounting principles generally accepted in the United States of America.

As discussed in Note 1 to the financial statements, the financial reporting entity includes the UW Foundation, which is presented as a discrete component unit. In prior annual financial reports, the UW Foundation's condensed financial statements were presented in the notes to the financial statements.

As discussed in Note 1 to the financial statements, in FY 2015-16, UW System implemented GASB Statement Number 72, *Fair Value Measurement and Application*. This statement revises accounting and financial reporting related to fair value measurements.

As discussed in Note 1 to the financial statements, in fiscal year (FY) 2014-15, UW System implemented Governmental Accounting Standards Board (GASB) Statement Number 68, *Accounting and Financial Reporting for Pensions—an amendment of GASB Statement No. 27*, and GASB Statement Number 71, *Pension Transition for Contributions Made Subsequent to the Measurement Date—an amendment of GASB Statement No. 68*. These statements revise accounting and financial reporting for pensions by state and local government employers.

As discussed in Note 13, in FY 2014-15, UW System elected to change its method of reporting the liability related to postemployment benefits other than pensions.

Our opinion is not modified with respect to these matters.

Other Matters

Required Supplementary Information—Accounting principles generally accepted in the United States of America require that the Management Discussion and Analysis, the schedule of UW System’s Proportionate Share of the Net Pension Liability (Asset), the schedule of UW System’s Pension Contributions, and the related notes, as listed in the table of contents, be presented to supplement the financial statements. Such information, although not a part of the financial statements, is required by the GASB, which considers it to be essential for placing the financial statements in an appropriate operational, economic, or historical context. In accordance with auditing standards generally accepted in the United States of America, we have applied certain limited procedures to the required supplementary information that included inquiries of management about the methods of preparing the information. We further compared the information for consistency with management’s responses to our inquiries, the financial statements, and other knowledge we obtained during our audit of the 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 do so.

Accompanying Information—Our audits were conducted for the purpose of forming an opinion on the financial statements of UW System. The supplementary information on pages 4 and 5 and on pages 66 and 67 is presented for purposes of additional analysis and is not a required part of the financial statements. Such information has not been subjected to the auditing procedures applied in the audits of the financial statements and, accordingly, we do not express an opinion or provide any assurance on it.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued a report dated March 30, 2017, on our consideration of UW System’s internal control over financial reporting; 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 the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be used when considering UW System’s internal control over financial reporting and compliance.

LEGISLATIVE AUDIT BUREAU



Joe Chrisman
State Auditor

March 30, 2017



Years Ended June 30, 2016 and 2015

MANAGEMENT'S DISCUSSION AND ANALYSIS

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

Management's Discussion and Analysis

The following discussion and analysis provides an overview of the financial position and activities of the University of Wisconsin System (University) for the years ended June 30, 2016 and 2015, with comparative information for the year ended June 30, 2014, where appropriate. This discussion has been prepared by management and should be read in conjunction with the financial statements and footnotes.

The University consists of 13 universities, 13 two-year colleges, University of Wisconsin (UW)-Extension, and System Administration. In academic year 2015-2016, the University enrolled 178,571 students, employed approximately 31,500 faculty and staff, and granted 34,784 bachelors, masters, and other advanced degrees. University institutions were awarded over \$931.6 million in federal grants and contracts in fiscal year 2016 and an additional \$586.2 million from non-federal sponsors. The University has a long tradition of public service, embodied by an ongoing commitment to the Wisconsin Idea, that the boundaries of the University are the boundaries of the State.

Degrees Granted		2015-16 Headcount Enrollments	
<i>UW-Madison</i>	<i>10,560</i>	<i>UW-Madison</i>	<i>43,064</i>
<i>UW-Milwaukee</i>	<i>5,392</i>	<i>UW-Milwaukee</i>	<i>27,119</i>
<i>UW-Eau Claire</i>	<i>2,269</i>	<i>UW-Eau Claire</i>	<i>10,531</i>
<i>UW-Green Bay</i>	<i>1,398</i>	<i>UW-Green Bay</i>	<i>6,779</i>
<i>UW-La Crosse</i>	<i>2,190</i>	<i>UW-La Crosse</i>	<i>10,486</i>
<i>UW-Oshkosh</i>	<i>2,240</i>	<i>UW-Oshkosh</i>	<i>14,059</i>
<i>UW-Parkside</i>	<i>731</i>	<i>UW-Parkside</i>	<i>4,443</i>
<i>UW-Platteville</i>	<i>1,623</i>	<i>UW-Platteville</i>	<i>8,950</i>
<i>UW-River Falls</i>	<i>1,364</i>	<i>UW-River Falls</i>	<i>5,958</i>
<i>UW-Stevens Point</i>	<i>2,000</i>	<i>UW-Stevens Point</i>	<i>9,255</i>
<i>UW-Stout</i>	<i>1,917</i>	<i>UW-Stout</i>	<i>9,535</i>
<i>UW-Superior</i>	<i>474</i>	<i>UW-Superior</i>	<i>2,489</i>
<i>UW-Whitewater</i>	<i>2,608</i>	<i>UW-Whitewater</i>	<i>12,351</i>
<i>UW Colleges</i>	<i><u>18</u></i>	<i>UW Colleges</i>	<i><u>13,552</u></i>
<i>Total</i>	<i><u>34,784</u></i>	<i>Total</i>	<i><u>178,571</u></i>

Using the Financial Statements

The University's annual financial report includes the Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; the Statement of Cash Flows; and the Notes to the Financial Statements. These items are prepared in accordance with standards established by the Governmental Accounting Standards Board (GASB).

The Statement of Net Position is a financial condition snapshot as of June 30, 2016 and 2015, and includes all assets and deferred outflows of resources, and liabilities and deferred inflows of resources, with the difference between the two reported as net position. Current assets are those that are available to satisfy current liabilities inclusive of assets that will be converted to cash within one year. Current liabilities are those that will be paid within one year. Increases or decreases in net position provide an indicator of the improvement or erosion of the University's financial health when considered in conjunction with non-financial information, such as conditions of facilities and enrollment levels. Net

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

Position is divided into three major categories: Net Investment in Capital Assets, Restricted, and Unrestricted. Net Investment in Capital Assets consists of capital assets reduced by the outstanding balances of borrowings for the construction, acquisition, or improvement of those assets. Restricted Net Position has constraints put on by external parties, such as sponsors for research and donors, or by State Statute and Board of Regent policy as in the case of student segregated fees. Unrestricted Net Position consists of funds that do not meet either of those definitions.

The Statement of Revenues, Expenses, and Changes in Net Position presents the University's operating results as well as non-operating revenues and expenses. Operating revenues are comprised primarily of student tuition and fees, grants and contracts, and auxiliary service activities. GASB Statement No. 35 requires that state appropriations, gifts, and investments be reported as non-operating revenue. Public universities, including the University, are typically reliant on these revenue sources to fulfill their missions and, therefore, report operating expenses in excess of operating revenues. As a result, non-operating revenues are a significant component in determining the increase or decrease in total net position.

The Statement of Cash Flows summarizes cash inflows and outflows by category as relating to operating, capital, financing, or investing activities. Cash flow information can be used to evaluate the financial viability of the University and its ability to meet financial obligations as they mature. Cash flows from operating activities result from exchange transactions in which one party gives another something in return. Cash flows from investing activities are a result of the purchase or sale of investments, withdrawals from the long-term investment pool, and collecting interest and dividends earned. Cash flows from capital activities include receipts from capital grants, donor receipts specifying use for capital assets, and activity related to debt issued for the explicit purpose of acquisition, construction, or improvement of capital assets. Cash flows from noncapital financing activities include state appropriations and private gifts restricted for noncapital purposes.

The Notes to the Financial Statements are an integral part of the basic financial statements and communicate information essential for fair presentation. For example, the notes convey information concerning significant accounting policies used to prepare the financial statements, detailed information on cash and investments, capital assets, notes and bonds payable, relationships with affiliated organizations, and classification of net position.

In addition to this Management's Discussion and Analysis, which is required supplementary information, the basic financial statements are followed by required supplementary information regarding University's pension obligations.

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

Analysis of Financial Position and Results of Operations

The University's financial standing remained relatively strong at the conclusion of fiscal year 2016. As of June 30, 2016, the University had total assets of \$ 8.6 billion and total liabilities of \$ 2.7 billion.

<u>Statement of Net Position (in millions)</u>	<u>2016</u>	<u>2015</u>	<u>2014</u>
Current Assets	\$ 1,988.3	\$ 1,905.0	\$ 1,846.8
Capital Assets, Net	5,998.2	6,006.0	5,991.3
Other Noncurrent Assets	<u>583.5</u>	<u>941.0</u>	<u>628.9</u>
Total Assets	8,570.0	8,852.0	8,467.0
Deferred Outflow of Resources	1,181.5	284.4	19.1
Current Liabilities	623.8	590.0	536.6
Noncurrent Liabilities	<u>2,076.2</u>	<u>1,848.2</u>	<u>1,609.9</u>
Total Liabilities	2,700.0	2,438.2	2,146.5
Deferred Inflows of Resources	472.6	9.1	0.5
Net Investment in Capital Assets	4,383.3	4,386.4	4,366.0
Restricted Net Position	1,211.5	1,468.9	1,025.7
Unrestricted Net Position	<u>984.1</u>	<u>833.8</u>	<u>947.4</u>
Total Net Position	<u>\$ 6,578.9</u>	<u>\$ 6,689.1</u>	<u>\$ 6,339.1</u>

Current assets minus current liabilities represents the net working capital of the University. Net working capital increased from \$1,315.0 million at June 30, 2015 to \$1,364.5 million at June 30, 2016. The net working capital at year end represented approximately 103 days of 2016 operating expenses. This indicates that the University could support normal operations for 103 days without additional revenues or liquidating noncurrent assets.

As shown in the following table, the change in Current Assets was comprised of increases in cash of \$105.8 million and accounts receivable of \$23.3 million. The cash increase is primarily related to an increase in accounts payable and accrued liabilities and the timing of payments.

<u>Current Assets (in millions)</u>	<u>2016</u>	<u>2015</u>	<u>Change</u>
Cash & Cash Equivalents	\$ 1,642.6	\$ 1,536.8	\$ 105.8
Accounts Receivable, Net	244.0	220.7	23.3
Other Current Assets	<u>101.7</u>	<u>147.5</u>	<u>(45.8)</u>
Total Current Assets	<u>\$ 1,988.3</u>	<u>\$ 1,905.0</u>	<u>\$ 83.3</u>

The Board of Regents has authority to invest gifts and bequests received by the University. Investments are valued at market and held primarily in two investment pools: the Long Term Fund and the Intermediate Term Fund. The Board of Regents establishes investment policies and guidelines, including target investment allocations. Benefiting UW entities receive quarterly distributions from the Long Term Fund, principally endowed assets, based on an annual spending rate applied to a 12-quarter moving average market value of the Fund. Distributions from the Intermediate Term Fund, principally quasi-endowments and unspent income distributions, consist of interest earnings distributed quarterly.

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

A comparison of university-controlled endowments over the past several years can be found in Chart 3 on page 67 of this report. Additional information on cash and investments is provided in Note 2 to the Financial Statements.

Non-current assets decreased and non-current liabilities increased in fiscal year 2016. The most significant reasons for this are the adjustments to the net pension asset and endowment investments. In 2015, the Wisconsin Retirement System completed an experience study from 2012-2014, which resulted in a change in the mortality assumptions used when calculating the actuarial valuation required by Governmental Accounting Standards Board Statement (GASB) No. 68. This change reduced plan net position and that resulted in recording a net pension liability at June 30, 2016 totaling \$220.5 million, compared to the net pension asset reported at June 30, 2015 totaling \$330.2 million.

As shown in the following table, the change in unrestricted net position is primarily related to GASB Statement No. 68.

Total Net Position (in millions)	2016			2015			Change Adjusted Net Position
	Net Position	GASB 68 Adjustment	Adjusted Net Position	Net Position	GASB 68 Adjustment	Adjusted Net Position	
Net Investment in Capital Assets	\$ 4,383.2	\$ -	\$ 4,383.2	\$ 4,386.4	\$ -	\$ 4,386.4	\$ (3.2)
Restricted for:							
Pensions	-	-	-	330.2	(330.2)	-	-
Nonexpendable	181.7	-	181.7	194.5	-	194.5	(12.8)
Expendable	340.7	-	340.7	322.9	-	322.9	17.8
Student Loans	235.8	-	235.8	236.6	-	236.6	(0.8)
Other	453.4	-	453.4	384.6	-	384.6	68.8
Unrestricted	<u>984.1</u>	<u>(452.4)</u>	<u>531.7</u>	<u>833.8</u>	<u>(244.8)</u>	<u>589.0</u>	<u>(57.3)</u>
Total Net Position	<u>\$ 6,578.9</u>	<u>\$ (452.4)</u>	<u>\$ 6,126.5</u>	<u>\$ 6,689.0</u>	<u>\$ (575.0)</u>	<u>\$ 6,114.0</u>	<u>\$ 12.5</u>

Further, these reporting changes resulted in \$122.6 million of additional pension expense being included on the Statement of Revenues, Expenses, and Changes in Net Position. These changes are more fully described in Notes 1 and 8 to the Financial Statements.

Most of the unrestricted net position has been identified for purposes to fulfill the University's fiduciary responsibilities, including academic and research programs and capital projects. Additional information related to net position can be found in Note 12 to the Financial Statements.

Capital and Debt Activities

Of the \$6.6 billion in net position, \$4.4 billion is net investment in capital assets. In an effort to maintain quality in the University's academic and research programs and residence halls, the University has implemented a long-range plan to fund new construction and modernize existing facilities. Capital additions consist of new construction, replacement and renovation of academic and research facilities, as well as significant investment in technology and equipment. Note 4 to the Financial Statements describes the University's capitalization and depreciation policies, and includes summarized changes in the book value of these assets. Note 6 to the Financial Statements describes the University's long term debt and includes summarized information on those balances, as well as future debt service requirements.

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

There are three primary sources of funding for University capital projects: General Fund Supported Borrowing (GFSB) 20-year state-issued bonds repaid with General Program Revenue (GPR); Program Revenue Supported Borrowing (PRSB) 20- or 30-year state-issued bonds repaid with the University program revenue; and cash from gift and grant funds.

Major Construction Projects

During fiscal year 2016, several major construction projects were in progress including these projects with a budget of \$50.0 million or more:

<u>UW Institution</u>	<u>Project</u>	<u>Primary Purpose</u>	<u>Approx Budget (in millions)</u>	<u>Primary Funding Sources</u>
La Crosse	Science Lab Building	Academic	\$ 82.0	GFSB
La Crosse	Student Union	Student Life	53.0	PRSB
Madison	Music Performance Building	Academic	55.8	Gifts
Madison	New South East Recreational Facility	Student Life	87.5	PRSB/Gifts
Madison	Chemistry Building	Academic	112.5	GFSB/Gifts
River Falls	Health & Human Performance/Recreation Building (Falcon Center)	Academic & Athletics	69.3	GFSB/PRSB/Gifts
Stevens Point	Chemistry-Biology Building	Academic	75.0	GFSB

Several construction projects were completed in FY 2016 including this project with \$50.0 million or more in actual expenditures:

<u>UW Institution</u>	<u>Project</u>	<u>Primary Purpose</u>	<u>Approx Budget (in millions)</u>	<u>Primary Funding Sources</u>
Madison	Memorial Union Renovations	Student Life	\$ 116.5	PRSB/Gifts

Statement of Revenues, Expenses, and Changes in Net Position

Total expenses increased more than total revenues, resulting in an increase of \$160.4 million in Loss before Capital and Endowment Additions for fiscal year 2016. The decrease in Capital Appropriations, Contributions & Endowment Activities is primarily due to a \$68.4 million decrease in capital appropriations during the period. A summary of the Statement of Revenues, Expenses, and Changes in Net Position is as follows (in millions):

	<u>2016</u>	<u>2015</u>	<u>2014</u>
Total Revenues	\$ 4,746.7	\$ 4,688.8	\$ 4,712.4
Total Expenses	<u>5,034.9</u>	<u>4,816.6</u>	<u>4,833.4</u>
Loss Before Capital and Endowment Additions	(288.2)	(127.8)	(121.0)
Capital Appropriations, Contributions & Endowment Additions	<u>137.4</u>	<u>192.5</u>	<u>144.1</u>
Increase (Decrease) in Net Position	<u>\$ (150.8)</u>	<u>\$ 64.7</u>	<u>\$ 23.1</u>

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

The University's operating and non-operating revenues are provided in the table below. Operating revenues increased \$221.6 million since fiscal year 2014. Non-operating revenues decreased \$187.3 million between fiscal year 2014 and fiscal year 2016 primarily due to changes in state appropriations and investment income (loss).

Operating Revenues (in millions):	<u>2016</u>	<u>2015</u>	<u>2014</u>
Student Tuition and Fees, Net	\$ 1,231.8	\$ 1,169.2	\$ 1,138.3
Federal Grants and Contracts	779.9	759.2	804.2
State, Local, & Private Grants and Contracts	414.6	389.5	358.3
Sales and Services of Educational Activities	317.1	327.8	312.0
Sales and Services of Auxiliaries, Net	418.1	401.8	405.7
All Other Operating Revenues	<u>467.7</u>	<u>396.7</u>	<u>389.1</u>
Total Operating Revenues	3,629.2	3,444.2	3,407.6
Non-Operating Revenues:			
State Appropriations	802.7	896.6	918.7
Gifts	303.1	304.9	292.3
Net Investment Income (Loss)	(3.4)	4.7	63.0
Other Non-Operating Revenues	<u>15.1</u>	<u>38.4</u>	<u>30.8</u>
Total Non-Operating Revenues	<u>1,117.5</u>	<u>1,244.6</u>	<u>1,304.8</u>
Total Revenues	<u>\$ 4,746.7</u>	<u>\$ 4,688.8</u>	<u>\$ 4,712.4</u>

One of the University's strengths has been its ability to supplement student tuition and fee revenue and state appropriations with support from other sources, including individuals, foundations, investment income, and government-sponsored programs (see Charts 1 and 2 in the Supplemental Information on page 66 of this report). The University continues to aggressively seek funding sources consistent with its mission to meet operating activities in a financially prudent manner. In addition, the University will continue to make cost containment and revenue diversification a priority.

Operating expenses, classified by function, and non-operating expenses, are as follows (in millions):

Operating Expenses:	<u>2016</u>	<u>2015</u>	<u>2014</u>
Instruction	\$ 1,321.4	\$ 1,199.1	\$ 1,171.8
Research	932.4	729.0	759.4
Public Service	309.2	302.3	307.3
Academic Support	393.1	403.2	398.7
Student Services	449.1	442.1	420.7
Institutional Support	278.8	282.8	266.7
Operation/Maintenance	293.8	308.3	312.1
Financial Aid	153.7	298.2	323.1
Auxiliary Enterprises	335.9	337.8	340.6
Other Functions	77.4	76.7	76.4
Depreciation	<u>303.9</u>	<u>290.4</u>	<u>273.5</u>
Total Operating Expenses	4,848.7	4,669.9	4,650.3
Non-Operating Expenses	<u>186.2</u>	<u>146.7</u>	<u>183.1</u>
Total Expenses	<u>\$ 5,304.9</u>	<u>\$ 4,816.6</u>	<u>\$ 4,833.4</u>

UNIVERSITY OF WISCONSIN SYSTEM
Management's Discussion and Analysis
Years Ended June 30, 2016 and 2015

Salary and fringe benefits expenses adjusted for GASB Statement No. 68 are as follows (in millions):

Salary & Fringe Benefits Expenses	2016			2015			Change Adjusted Expense
	<u>Expense</u>	<u>GASB 68 Adjustment</u>	<u>Adjusted Expense</u>	<u>Expense</u>	<u>GASB 68 Adjustment</u>	<u>Adjusted Expense</u>	
Salaries	\$ 2,297.4	\$ 0.0	\$ 2,297.4	\$ 2,311.8	\$ 0.0	\$ 2,311.8	\$ (14.4)
Fringe Benefits	<u>896.7</u>	<u>122.6</u>	<u>774.1</u>	<u>722.5</u>	<u>(56.8)</u>	<u>779.2</u>	<u>(5.1)</u>
Total	<u>\$ 3,194.1</u>	<u>\$ 122.6</u>	<u>\$ 3,071.5</u>	<u>\$ 3,034.3</u>	<u>\$ (56.8)</u>	<u>\$ 3,091.1</u>	<u>\$ (19.6)</u>

Factors Affecting Future Periods

2015 Wisconsin Act 55, the 2015-17 biennial budget, mandated a number of items that impact the University's funding. The 2015-17 biennial budget required a freeze of resident undergraduate tuition at the 2014-15 levels, which had already been frozen at the 2012-13 level. The result is a four-year tuition freeze. These freezes included differential tuition, with one exception. The Board of Regents was allowed to implement differential tuition at UW-Stevens Point by a student referendum after the effective date of the biennial budget act. The differential tuition was approved in fiscal year 2017.

The 2015-17 biennial budget includes a reduction in base funding of \$100.0 million in 2016-17, with an additional \$25.0 million lapse.

The Fall 2016 preliminary enrollment headcount results have decreased 3,277.



Years Ended June 30, 2016 and 2015

FINANCIAL STATEMENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

University of Wisconsin System

Statement of Net Position

	June 30, 2016	June 30, 2015
ASSETS		
Current Assets:		
Cash and Cash Equivalents	\$ 1,642,563,338	\$ 1,536,783,613
Accounts Receivable, Net	243,985,000	220,730,330
Student Loans Receivable, Net	29,478,288	29,717,900
Capital Lease Receivable	598,576	1,119,049
Inventories	41,880,370	41,103,276
Prepaid Expenses	29,789,708	75,496,001
Total Current Assets	1,988,295,280	1,904,950,169
Noncurrent Assets		
Endowment Investments	415,469,781	442,477,891
Student Loans Receivable, Net	166,958,146	166,665,720
Capital Lease Receivable	1,094,679	1,693,255
Land	156,327,199	156,065,166
Improvements Other Than Buildings, Net	193,700,015	201,248,836
Construction in Progress	221,893,302	295,693,992
Buildings, Net	4,006,069,175	3,893,760,969
Equipment, Net	296,071,798	313,889,892
Library Holdings	1,124,133,587	1,145,325,745
Restricted Net Pension Asset	-	330,166,674
Total Noncurrent Assets	6,581,717,682	6,946,988,140
TOTAL ASSETS	\$ 8,570,012,962	\$ 8,851,938,309
DEFERRED OUTFLOWS OF RESOURCES	\$ 1,181,485,510	\$ 284,450,532
LIABILITIES		
Current Liabilities		
Accounts Payable and Accrued Liabilities	\$ 284,771,463	\$ 267,062,248
Notes and Bonds Payable	89,332,234	84,578,011
Capital Lease Obligations	4,029,556	4,565,334
Unearned Revenue	178,391,222	171,605,987
Compensated Absences	65,213,517	60,378,633
Deposits of Student Organizations	2,100,749	1,791,077
Total Current Liabilities	623,838,741	589,981,290
Noncurrent Liabilities		
Notes and Bonds Payable	1,491,476,355	1,498,218,824
Capital Lease Obligations	30,109,183	32,201,469
Compensated Absences	66,307,440	69,348,780
Other Post-Employment Benefits	267,866,527	248,443,125
Net Pension Liability	220,459,696	-
Total Noncurrent Liabilities	2,076,219,201	1,848,212,198
TOTAL LIABILITIES	\$ 2,700,057,942	\$ 2,438,193,488
DEFERRED INFLOWS OF RESOURCES	\$ 472,581,880	\$ 9,130,093
NET POSITION		
Net Investment in Capital Assets	\$ 4,383,247,748	\$ 4,386,420,962
Restricted for		
Pensions	-	330,166,674
Nonexpendable	181,685,224	194,516,535
Expendable	340,691,976	322,963,429
Student Loans	235,752,483	236,630,413
Other	453,399,934	384,562,564
Unrestricted	984,081,285	833,804,683
TOTAL NET POSITION	\$ 6,578,858,650	\$ 6,689,065,260

The accompanying notes to the financial statements are an integral part of these statements.

University of Wisconsin System

Statement of Revenues, Expenses and Changes in Net Position

Year ended June 30, 2016

Year ended June 30, 2015

OPERATING REVENUES

Student Tuition and Fees (net of Scholarship Allowances of \$209,182,883 and \$217,118,571, respectively)	\$ 1,231,769,606	\$ 1,169,243,775
Federal Grants and Contracts	779,878,762	759,191,723
State, Local, and Private Grants and Contracts	414,611,523	389,486,587
Sales and Services of Educational Activities	317,062,423	327,804,385
Sales and Services of Auxiliary Enterprises (net of Scholarship Allowances of \$36,664,303 and \$38,009,118, respectively)	418,106,282	401,820,535
Sales and Services to UW Hospital Authority	66,904,179	64,378,938
Student Loan Interest Income and Fees	6,117,607	5,048,251
Other Operating Revenue	394,715,321	327,276,623
Total Operating Revenues	3,629,165,703	3,444,250,817

OPERATING EXPENSES

Salary and Fringe Benefits	3,194,138,043	3,034,292,313
Scholarship and Fellowships	149,708,841	135,765,108
Supplies and Services	1,194,940,208	1,178,010,643
Other Operating Expenses	5,980,105	31,448,855
Depreciation	303,909,224	290,407,130
Total Operating Expenses	4,848,676,421	4,669,924,049

OPERATING LOSS

(1,219,510,718) (1,225,673,232)

NON-OPERATING REVENUES AND EXPENSES

State Appropriations	802,720,319	896,594,132
Gifts	303,128,514	304,934,087
Investment Income (net of Investment Expense of \$1,855,890 and \$1,190,609, respectively)	(3,379,926)	4,740,164
Loss on Disposal of Capital Assets	(46,667,732)	(17,380,655)
Interest on Indebtedness	(60,945,948)	(55,885,617)
Transfer to State Agencies	(78,616,495)	(73,493,087)
Other	15,070,271	38,417,698

Loss Before Capital and Endowment Additions (288,201,715) (127,746,510)

Capital Appropriations	89,089,071	157,514,928
Capital Contributions	43,888,230	30,966,668
Additions to Permanent Endowment	4,437,142	3,994,276

INCREASE (DECREASE) IN NET POSITION (150,787,272) 64,729,362

NET POSITION

Net Position - beginning of period	6,689,065,260	6,339,102,492
Prior Period Adjustment	40,580,662	285,233,406
NET POSITION - end of period	\$ 6,578,858,650	\$ 6,689,065,260

University of Wisconsin System

Statement of Cash Flows

Year ended June 30, 2016

Year ended June 30, 2015

Cash Flows from Operating Activities

Student Tuition and Fees	\$ 1,212,440,434	\$ 1,189,658,119
Federal, State, Local, and Private Grants & Contracts	1,199,638,158	1,155,906,892
Sales and Services of Educational Activities	312,457,963	327,235,652
Sales and Services of Auxiliary Enterprises	421,219,101	412,803,261
Sales and Services to UW Hospital Authority	67,166,806	65,105,094
Payments for Salaries and Fringe Benefits	(3,007,519,376)	(3,044,970,948)
Payments to Vendors and Suppliers	(1,158,497,227)	(1,172,482,960)
Payments for Scholarships and Fellowships	(149,708,841)	(135,765,108)
Student Loans Collected	35,662,700	36,849,871
Student Loan Interest and Fees Collected	6,117,605	5,048,251
Student Loans Issued	(37,187,680)	(36,165,915)
Other Revenue	383,601,599	345,415,742
Net Cash Used in Operating Activities	(714,608,758)	(851,362,049)

Cash Flows from Investing Activities

Interest and Dividends on Investments, Net	13,611,081	11,344,557
Proceeds from Sales and Maturities of Investments	90,863,273	114,805,498
Purchase of Investments	(82,336,993)	(106,433,202)
Net Cash Provided by Investing Activities	22,137,361	19,716,853

Cash Flows from Capital and Related Financing Activities

Proceeds from Issuance of Capital Debt	140,868,892	257,313,601
Payments for Debt Retirements (Refundings)	(67,869,138)	(193,954,399)
Capital Appropriations	89,053,439	157,514,928
Gifts and Other Receipts	43,521,287	37,929,040
Purchase of Capital Assets	(350,079,759)	(310,179,803)
Capital Lease Obligations	-	(349,562)
Principal Payments on Capital Debt and Leases	(194,752,243)	(189,679,173)
Interest Payments on Capital Debt and Leases	(144,387,371)	(139,536,164)
Net Cash Used in Capital and Related Financing Activities	(483,644,893)	(380,941,532)

Cash Flows from Noncapital Financing Activities

State Appropriations	993,552,714	1,085,923,022
Gifts and Other Receipts	316,512,455	334,804,606
Transfer to State Agencies	(78,616,495)	(73,493,087)
Additions to Permanent Endowments	4,437,142	3,994,276
Student Direct Lending Receipts	711,023,609	735,807,220
Student Direct Lending Disbursements	(705,594,072)	(736,410,700)
Net Cash Provided by Noncapital Financing Activities	1,241,315,353	1,350,625,337

Net Increase (Decrease) in Cash and Cash Equivalents

Cash and Cash Equivalents - beginning of year

Prior Period Adjustment

Cash and Cash Equivalents - end of year

65,199,063	138,038,609
1,536,783,613	1,398,745,004
40,580,662	
\$ 1,642,563,338	\$ 1,536,783,613

University of Wisconsin System

Statement of Cash Flows (continued)

Year ended June 30, 2016

Year ended June 30, 2015

Reconciliation of Operating Loss to Net Cash Used in Operating Activities

Operating Loss	\$ (1,219,510,718)	\$ (1,225,673,232)
<i>Adjustments to Reconcile Operating Loss to</i>		
<i>Net Cash Used in Operating Activities:</i>		
Depreciation Expense	303,909,224	290,407,130
Changes in Assets and Liabilities and Deferreds:		
Receivables, net	(23,421,445)	81,306,541
Inventories	(777,094)	1,491,813
Prepaid Expense (including Deferred Charges)	45,089,241	(3,190,270)
Accounts Payable and Accrued Liabilities	29,473,341	39,939,473
Unearned Revenue	6,785,234	7,144,985
Compensated Absences	1,793,544	(1,457,571)
Net Pension Asset & Related Deferred Outflows	(891,715,209)	(64,561,189)
Net Pension Liability & Related Deferred Inflows	1,014,341,720	7,793,196
Other Post-Employment Benefits	19,423,402	15,437,075
Net Cash Used in Operating Activities	\$ (714,608,758)	\$ (851,362,049)

Noncash Investing, Capital and Financing Activities

Capital Leases (Initial Year):		
Fair Market Value	\$ 1,742,499	\$ 1,069,364
Current Year Cash Payments	19,694	153,114
Gifts-In-Kind	3,437,933	1,690,616
Net Change in Unrealized Gains (Losses)	(27,057,955)	(33,375,342)

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Years Ended June 30, 2016 and 2015

FINANCIAL STATEMENTS OF THE UNIVERSITY OF WISCONSIN FOUNDATION

The University of Wisconsin Foundation is a private, independent not-for-profit organization formed to generate private support for the University of Wisconsin-Madison.

University of Wisconsin Foundation (UW-Madison)

Consolidated Statements of Financial Position

December 31, 2015

December 31, 2014

ASSETS

Cash and Cash Equivalents	\$ 258,854,516	\$ 188,835,022
Income and Redemption Receivable	41,977,689	12,096,229
Prepaid Expenses	1,674,044	1,554,015
Pledges Receivable, Net	191,901,461	66,646,407
Investments	2,969,597,110	2,987,366,133
Property and Equipment, Net	20,723,829	17,437,128
Real Estate	3,295,943	4,150,549
Notes Receivable	1,331,487	1,169,804
Other Assets	3,578,998	4,894,108
TOTAL ASSETS	\$ 3,492,935,077	\$ 3,284,149,395

LIABILITIES AND NET ASSETS

Accounts Payable	14,299,640	3,120,861
Pending Investment Purchases Payable	15,675,403	1,202,177
Accrued Expenses and Other Payables	4,935,754	4,487,927
Deferred Revenue	136,533	978,035
Deferred Compensation	2,260,880	2,261,553
Note Payable	2,878,218	-
Liability under Split-Interest Agreements	43,884,223	47,334,577
Funds Due to Other Organizations	232,142,012	315,706,715
Total Liabilities	316,212,663	375,091,845

NET ASSETS

Unrestricted	197,756,088	228,726,061
Temporarily Restricted	1,464,488,384	1,398,302,164
Permanently Restricted	1,514,477,942	1,282,029,325
Total Net Assets	3,176,722,414	2,909,057,550
TOTAL LIABILITIES AND NET ASSETS	\$ 3,492,935,077	\$ 3,284,149,395

University of Wisconsin Foundation (UW-Madison)

	Year Ended December 31, 2015	Year Ended December 31, 2014
Consolidated Statements of Activities		
REVENUES, GAINS AND OTHER SUPPORT		
Contributions	\$ 543,596,612	\$ 380,492,270
Interest and Dividend Income	23,480,260	34,240,797
Net Investment Gains (Losses)	(28,580,959)	62,277,780
Other Income	7,500,104	3,472,023
Total Revenues, Gains and Other Support	\$ 545,996,017	\$ 480,482,870
EXPENSES		
Payments to or for University of Wisconsin	220,615,230	246,727,971
Management and General Expenses	31,328,870	25,965,684
Fundraising Expenses	26,387,053	18,871,007
Total Expenses	278,331,153	291,564,662
INCREASE IN NET ASSETS	267,664,864	188,918,208
Net assets - beginning of year	2,909,057,550	2,712,559,170
Contribution of WAA net assets	-	7,580,172
Net assets at end of year	\$ 3,176,722,414	\$ 2,909,057,550

University of Wisconsin Foundation (UW-Madison)

Consolidated Statements of Cash Flows

	Year Ended December 31, 2015	Year Ended December 31, 2014
Cash Flows from Operating Activities		
Change in Net Assets	\$ 267,664,864	\$ 188,918,208
Adjustments to Reconcile Change in Net Assets to Net Cash Provided by Operating Activities, Net of Effects of Merger:		
Depreciation of Property and Equipment	1,728,265	1,140,134
Net Investment Loss (Gain)	30,897,454	(62,310,337)
Realized Gains on Sales of Real Estate	(2,316,495)	(17,443)
Realized Losses on Sale of Property and Equipment	30,351	-
Realized Losses on Notes Receivable	-	50,000
Contributions to Endowment Funds	(85,228,092)	(68,190,571)
Contributions of Real Estate	(802,177)	(1,139,023)
Changes in Operating Assets and Liabilities:		
Income Receivable	(715,828)	2,351,036
Prepaid Expenses	(120,029)	(492,887)
Pledges Receivable	(125,255,054)	(2,978,996)
Other Assets	1,315,110	(45,399)
Accounts Payable	11,178,779	417,915
Accrued Expenses and Other Payables	447,827	827,783
Deferred Revenue	(841,502)	(1,394,665)
Deferred Compensation	(673)	23,893
Liability Under Split-Interest Agreements	(3,450,354)	2,484,541
Funds Due to Other Organizations	(79,407,195)	3,552,399
Net Cash Provided by Operating Activities	15,125,251	63,196,588
Cash Flows from Investing Activities		
Proceeds from Sales and Maturities of Investments	2,069,563,605	1,024,761,548
Purchases of Investments	(2,101,541,950)	(1,137,536,911)
Proceeds from Sales of Real Estate	3,973,278	121,943
Additions to Notes Receivable	(304,866)	-
Payments Received on Notes Receivable	143,183	107,809
Additions to Property and Equipment	(5,045,317)	(4,952,665)
Cash Received in Merger	-	1,509,979
Net Cash Used in Investing Activities	(33,212,067)	(115,988,297)
Cash flows from Financing Activities		
Proceeds from Notes Payable	3,100,000	-
Payments on Notes Payable	(221,782)	(532,731)
Proceeds from Contributions to Endowment Funds	85,228,092	68,190,571
Net Cash Provided by Financing Activities	88,106,310	67,657,840
Net Increase in Cash and Cash Equivalents	70,019,494	14,866,131
Cash and Cash Equivalents - beginning of year	188,835,022	173,968,891
Cash and Cash Equivalents - end of year	\$ 258,854,516	\$ 188,835,022
Non-cash Operating and Investing Activities		
Gifts of investments	\$ 124,406,066	\$ 115,106,824
Net assets acquired through merger	\$ -	\$ 7,580,172



Years Ended June 30, 2016 and 2015

NOTES TO THE FINANCIAL STATEMENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 1 – Organization and Summary of Significant Accounting Policies

Basis of Accounting and Financial Statement Presentation

The University of Wisconsin System (University) is a major enterprise fund of the State of Wisconsin. The financial statements are discretely presented in the proprietary fund financial statements of the State of Wisconsin's Comprehensive Annual Financial Report (CAFR). The University's financial information presented in the CAFR has been adjusted to reflect reclassifications and adjustments which are done to conform to reporting requirements relative to the CAFR.

The accompanying financial statements have been prepared in conformity with generally accepted accounting principles (GAAP) for governments as prescribed by the Governmental Accounting Standards Board (GASB). In fiscal year 2016, the University implemented GASB Statement No. 72, *Fair Value Measurement and Application*. This Statement was issued to address accounting and financial reporting issues related to fair value measurements. The effect of this change is detailed in Note 2.

In fiscal year 2015, the University implemented GASB Statement No. 68, *Accounting and Financial Reporting for Pensions - an amendment of GASB Statement No. 27*, and GASB Statement No. 71, *Pension Transition for Contributions Made Subsequent to the Measurement Date - an amendment of GASB Statement No. 68*, which reports an actuarially-determined net pension liability (asset), deferred inflows of resources, and deferred outflows of resources for pension-related payments. The effect of this change is detailed in Notes 10 and 13.

The University's annual report consists of three basic financial statements prepared in accordance with GASB principles: the Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; and the Statement of Cash Flows.

The Statement of Net Position; the Statement of Revenues, Expenses, and Changes in Net Position; and the Statement of Cash Flows have been prepared using the economic resources measurement focus and the accrual basis of accounting. The University of Wisconsin System reports as a Business Type Activity, as defined by GASB Statement No. 35, *Basic Financial Statements – and Management's Discussion and Analysis – for Public Colleges and Universities*. Business Type Activities are those that are financed in whole or in part by fees charged to external parties for goods or services.

The Statement of Revenues, Expenses, and Changes in Net Position classifies the University's fiscal year activity as operating and non-operating. Operating revenue results from exchange transactions, such as payment received for providing goods and services, including tuition and fees, certain grants and contracts, sales and services of educational activities, and auxiliary enterprise revenue. Certain significant revenue streams relied upon for operations are reported as non-operating revenues, as defined by GASB Statement No. 35, including state appropriations, gifts, and investment income. The majority of the University's expenses are exchange transactions, which GASB defines as operating expenses for financial statement presentation. Non-operating expenses include capital financing costs and costs related to investment activity.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 1 – Organization and Summary of Significant Accounting Policies (continued)

The Statement of Cash Flows presents the change in the cash and cash equivalents balance for the fiscal year. Cash and cash equivalents include bank accounts and investments with original maturity dates of 90 days or less at the time of purchase. These investments consist primarily of commercial paper, money market funds, and U.S. Treasury bills. Investments in marketable securities are carried at fair value as established by the major securities markets. Investments in limited partnerships are carried at fair value based on quarterly reports from the limited partnerships' management. Annually, these reports are audited by independent auditors.

Financial Reporting Entity

The University consists of 13 universities, 13 two-year colleges, University of Wisconsin-Extension, and System Administration. The University has also considered all potential component units for which it is financially accountable and other affiliated organizations where the nature and significance of their relationships, including their ongoing financial support, with the University are such that exclusion would cause the University's financial statements to be misleading or incomplete.

The decision to include a potential component unit in the University's reporting entity is based on the criteria set forth in GASB Statement No. 14, *The Financial Reporting Entity*, GASB Statement No. 39, *Determining whether Certain Organizations are Component Units*, an amendment of GASB Statement No. 14, and GASB Statement No. 61, *The Financial Reporting Entity; Omnibus*, an amendment of GASB Statements No. 14 and No. 34. Based upon the application of these criteria, the University of Wisconsin Foundation (Foundation) is presented as a discrete component unit.

The Foundation is a private, independent tax-exempt organization that is a component unit of the University. The Foundation acts primarily as a fund-raising organization to supplement the resources that are available to the University of Wisconsin-Madison (UW-Madison) in support of its various scientific, literary, athletic and educational program purposes. While the University does not control the timing or amount of receipts from the Foundation, the majority of resources, or income thereon, that the Foundation holds and invests, is restricted by donors to specified activities of UW-Madison. A majority of foundation funds are also endowed such that funding may be limited to a modest annual spendable allocation, per Foundation policy. A modest number of accounts are held and managed on behalf of donors to other University institutions. Because these restricted resources held by the Foundation can only be used by, or for the benefit of, University institutions, the Foundation is considered a component unit of the University. The Foundation reports on a fiscal year ended December 31, and the financial statements are prepared using accounting standards promulgated by the Financial Accounting Standards Board as they apply to not-for-profit corporations. Complete financial statements for the Foundation can be obtained from their administrative office: University of Wisconsin Foundation, 1848 University Avenue, Madison, Wisconsin 53726-4090.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 1 – Organization and Summary of Significant Accounting Policies (continued)

Other Organizations

The financial statements do not include the accounts of the University of Wisconsin Hospital and Clinics Authority (UWHCA), which became a legally separate public authority on June 29, 1996; the University of Wisconsin Medical Foundation (UWMF), which is a blended component unit of UWHCA as of June 25, 2015, or the La Crosse Medical Health Science Consortium, Inc., which is a Wisconsin non-stock corporation tax exempt under Internal Revenue Code (IRC) 501(c)(3). In addition, the financial statements do not include the accounts of various legally independent and fully self-governing support organizations, such as booster clubs and alumni groups; funds contributed to the University by these organizations are reported at the time they are received. Note 11 describes the effect affiliation and operating agreements with the UWMF; UWHCA; Wisconsin Alumni Research Foundation (WARF), relating to the Wisconsin Institutes for Discovery; La Crosse Medical Health Science Consortium, Inc.; and University of Wisconsin-Platteville Real Estate Foundation had on the University's financial statements.

Summary of Significant Accounting Policies

The preparation of financial statements in conformity with accounting principles generally accepted in the United States requires management to make estimates and assumptions that affect amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

The University eliminates intra-fund assets and liabilities to prevent double counting in the Statement of Net Position. Likewise, revenues and expenses related to internal service activities are also eliminated in the Statement of Revenues, Expenses, and Changes in Net Position.

Inventories consist of consumable supplies used in operations or items held for resale. Fuels are reported at market value, while other inventories held by individual institutional cost centers are valued using a variety of cost flow assumptions that, for each type of inventory, are consistently applied from year to year. In addition to central stores and fuels, the major types of inventories include laboratory supplies, physical plant supplies, food service and student housing supplies, and items held for resale by campus computer outlets.

Prepaid expenses represent payments made prior to June 30th for goods and services received after the close of the fiscal year, primarily health and life insurance coverage, and costs associated with revenues that have not yet been earned as of June 30th, primarily summer session costs incurred prior to the close of the fiscal year. The revenues and expenses of the 2016 summer session are reportable within the fiscal year beginning July 1, 2015 and ending June 30, 2016, based on the prorated portion of the number of summer session days that occurred in fiscal year 2016. The revenues and expenses of the 2015 summer session are reportable within the fiscal year beginning July 1, 2014 and ending June 30, 2015, based on the prorated portion of the number of summer session days that occurred in fiscal year 2015.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 1 – Organization and Summary of Significant Accounting Policies (continued)

Accounting policies related to capital assets are described in Note 4.

For purposes of measuring the net pension liability (asset), deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Wisconsin Retirement System (WRS) and additions to/deductions from the WRS' fiduciary net position have been determined on the same basis as they are reported by the WRS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

Unearned revenues consist of payments received but not yet earned as of June 30th, primarily summer session tuition payments, tuition and room deposits for the next fall term, advance ticket sales for athletic events, and amounts received from grant and contract sponsors which have not yet been earned under the terms of the agreement.

The compensated absences liability consists of accumulated unpaid annual leave, compensatory time, personal holiday hours, and Saturday/legal holiday hours earned and vested. The University leave policies restrict the accumulation of unused vacation and thus limit the actual payments made to employees upon termination or retirement.

Restricted funds received as gifts, grants, and contracts are used according to donor restrictions or the specific purpose of the grantor. In addition, restrictions are statutorily established that limit the use of certain resources for specific purposes. These restrictions apply not only to state support but also to many of the University's program revenue sources, including segregated fee auxiliary operations. The funds reported as restricted will be used in accordance with the purposes for which they are restricted and are the first resources used for these purposes. Unrestricted funds would be used only secondarily to support these restricted purposes.

Student tuition and fees are presented net of scholarships and fellowships applied to student accounts. Stipends and other payments made directly to students are presented as scholarship and fellowship expenses.

NOTE 2 – Cash and Investments

Cash and Cash Equivalents

Cash and cash equivalents consist primarily of shares in the State Investment Fund (SIF), a short-term pool of state and local funds managed by the State of Wisconsin Investment Board (SWIB) with oversight by a Board of Trustees as authorized in Wisconsin Statutes Sections 25.14 and 25.17. SWIB is not registered with the SEC as an investment company. The objectives of this fund are to provide liquidity, safety of principal, and a reasonable rate of return. Investments consist primarily of obligations of the U.S. Government and its agencies and high quality commercial bank and corporate debt obligations.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

Of the \$1,642.6 million and \$1,536.8 million in cash and cash equivalents as of June 30, 2016 and 2015, respectively, \$1,468.7 million and \$1,310.4 million, respectively, represent amounts held within the SIF; \$145.0 million and \$197.5 million, respectively, was maintained by individual University institutions in local bank accounts to meet operating needs; and \$28.9 million and \$28.9 million, respectively, was held at BNY Mellon to meet the cash needs associated with the investing activities of the Long Term and Intermediate Term Funds. The cash held at BNY Mellon is also categorized as investments, in accordance with governmental accounting standards. Interest distributions are received on a monthly basis for balances associated with trust funds, federal aid programs, and funds attributable to the appropriations listed in Wisconsin Statutes Section 20.285(1) (Li). Investment earnings for all other funds do not accrue to the University.

Custodial Credit Risk: Custodial credit risk for deposits is the risk that, in the event of the failure of a depository financial institution, the University will not be able to recover deposits that are in possession of an outside party. The University does not have a deposit policy specifically for custodial risk. Shares in the SIF are not required to be categorized under GASB Statement No. 40, *Deposit and Investment Risk Disclosures*.

For the remaining deposits, the University had balances in excess of Federal Deposit Insurance Corporation limits totaling \$137.5 million and \$190.5 million at June 30, 2016 and 2015, respectively. These amounts, deposited in approved financial institutions, are uninsured and uncollateralized. A state appropriation for losses on public deposits (Wisconsin Statutes Section 34.08) insures up to \$400,000 over the amount of federal insurance.

Foreign Currency Risk: Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of a deposit. Deposits in foreign currency at June 30, 2016 and 2015 are immaterial. The University does not have a formal policy for foreign currency risk.

Investments

The University invests its Trust Funds, primarily gifts and bequests, in two of its own investment pools: the Long Term and the Intermediate Term Funds. Investment policies and guidelines for these funds are governed and authorized by the Board of Regents. The current approved asset allocation policy for the Long Term Fund sets a general target of 35% marketable equities, 30% fixed income, and 35% alternatives. The approved asset allocation for the Intermediate Term Fund is 15% marketable equities, 70% fixed income, 10% alternatives, and 5% cash. These target allocations were last affirmed/approved by the Board of Regents in December 2015.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

The Long Term Fund consisted of the following investment categories on June 30, 2016 and 2015:

Investment Category	<u>2016</u>	<u>2015</u>
Common Stock and Convertible Securities	35.5%	38.5%
Bonds and Preferred Stock	12.1%	11.4%
Alternative Assets	22.4%	21.0%
Tactical Allocation Strategies	21.8%	21.0%
Real Assets	1.8%	1.6%
Custodial Pooled Cash and Cash Equivalents	<u>6.4%</u>	<u>6.5%</u>
Total	<u>100.0%</u>	<u>100.0%</u>

The Intermediate Term Fund consisted of the following investment categories on June 30, 2016 and 2015:

Investment Category	<u>2016</u>	<u>2015</u>
Common Stock and Convertible Securities	14.1%	14.4%
Bonds and Preferred Stock	79.2%	81.2%
Custodial Pooled Cash and Cash Equivalents	<u>6.7%</u>	<u>4.4%</u>
Total	<u>100.0%</u>	<u>100.0%</u>

Benefiting University entities receive quarterly distributions from the Long Term Fund, which is primarily comprised of endowed assets, based on an annual spending rate applied to a twelve-quarter moving average market value of the Fund. The annual spending rate is currently 4.0%. Distributions from the Intermediate Term Fund, which is primarily comprised of expendable gifts, consist of quarterly interest earnings distributions. Spending rate and interest distributions from both of these Funds are transferred to the SIF, pending near-term expenditures. During the fiscal year ended June 30, 2016, the amount of net appreciation available to spend from the Long Term Fund was \$16.5 million, relative to \$16.0 million available during the fiscal year ended June 30, 2015.

At June 30, 2016 and 2015, the University's investments were as follows:

Investments:	<u>2016</u>	<u>2015</u>
U.S. Government Securities	\$ 33,279,438	\$ 37,284,343
U.S Agency Securities	15,826,848	11,477,073
Bonds and Preferred Stock	22,209,877	25,611,025
Common Stock and Convertible Securities	47,524,597	58,432,589
Pooled Equity Funds	92,825,134	102,189,076
Pooled Allocation Fund	78,965,111	81,218,886
Pooled Fixed Income Fund	37,750,769	38,852,862
Custodial Pooled Cash and Cash Equivalents	28,887,081	28,902,659
Limited Partnerships	<u>87,568,699</u>	<u>87,412,036</u>
Total Investments	<u>\$ 444,837,554</u>	<u>\$ 471,380,549</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

The total return on the Long Term Fund, including capital appreciation, was -2.6% compared to 1.5% in fiscal year 2015. The total return on the Intermediate Fund, including capital appreciation, was 2.7% compared to 1.2% in fiscal year 2015. External investment counsel was utilized for funds representing 89.6% of the market value of the Funds, compared to 90.4% in fiscal year 2015. In addition to the limited partnerships market value listed above, the University had \$24.3 million in unfunded limited partnership commitments for the fiscal year ended June 30, 2016, compared to \$25.0 million for the fiscal year ended June 30, 2015.

Credit Risk: Credit Risk is the risk that an issuer or other counterparty to an investment will not fulfill its obligations. Credit ratings issued by the major rating agencies are one indication of the perceived credit quality of the issuer. In addition, Reams actively-managed, high quality fixed income account must maintain an average portfolio quality of A or higher, and a minimum of 85% investment grade (BBB or higher), and Applied Securities must maintain an average portfolio quality of AA, and hold only securities rated BBB- or higher.

The following schedule displays the credit ratings as provided by Moody's Investor Service for debt securities held as of June 30, 2016 and 2015. Obligations of the United States and obligations explicitly guaranteed by the U.S. government are included in the Aaa rating below.

<u>Ratings</u>	<u>2016</u>	<u>2015</u>
Aaa	\$ 61,182,230	\$ 60,597,464
Aa1	-	694,972
Aa2	1,841,117	893,636
Aa3	834,258	1,018,150
A1	1,980,324	3,495,695
A2	2,343,265	3,304,373
A3	1,893,742	2,966,110
Baa1	4,370,290	4,671,349
Baa2	4,030,109	2,289,152
Baa3	836,398	2,366,755
Ba1	606,396	-
Ba2	11,033,419	7,508,507
Ba3	370,475	-
B1	280,906	380,513
B2	13,210,156	16,679,293
B3	109,631	162,672
Caa2	2,230,656	692,864
Caa3	76,919	5,947
No Rating	395,315	4,321,171
Unrated Pooled Cash	<u>30,328,407</u>	<u>28,902,659</u>
Totals	<u>\$ 137,954,013</u>	<u>\$ 140,951,282</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

Custodial Credit Risk: Custodial credit risk related to investments is the risk that, in the event of a failure of a counterparty to a transaction, the University will not be able to recover the value of investment or collateral securities that are in possession of an outside party. The University's investments are registered in the name of the University, and the University does not participate in any securities lending programs through its custodial bank. Investment securities underlying the University's investment in shares of external investment pools or funds are in custody at those entities. The shares owned in these external investment pools are registered in the name of the University. The University does not have a formal policy for custodial credit risk.

Concentration of Credit Risk: Concentration of credit risk is the risk of loss attributed to the magnitude of an organization's investment in a single issuer. Actively-managed, fixed income separate accounts that the University holds are limited to holding no more than 7.0% in any one issuer (U.S. Government/Agencies are exempted).

Interest Rate Risk: Interest rate risk is the risk that changes in interest rates will adversely affect the fair value of an investment. Separate actively-managed, fixed income accounts are expected to maintain their overall duration to plus or minus two years versus the benchmark's duration or to within plus or minus one year of the established benchmark's duration. The University uses the option adjusted modified duration method to analyze interest rate risk. The University had interest rate risk statistics for separate fixed income accounts as detailed below:

Fixed Income Sector:

	2016		2015	
	<u>Market Value</u>	<u>Effective Duration</u>	<u>Market Value</u>	<u>Effective Duration</u>
Treasury Inflation Protected Securities	\$ 18,589,117	5.09	\$ 19,150,191	7.09
U.S. Government	18,346,600	4.11	16,920,899	4.74
U.S. Government Mortgages	6,309,840	4.35	1,309,806	5.82
Corporates and Other Credit	15,713,538	2.97	17,794,053	3.12
Collateralized Mortgage Obligations:				
U.S. Agencies	4,213,815	1.00	11,271,422	2.12
Corporate	7,514	0.42	14,270	1.18
Commercial Mortgage Backed Securities	3,282,340	0.92	2,206,575	6.97
U.S. Private Placements	4,695,541	2.67	5,147,885	2.75
U.S. Agencies	-	0.00	-	0.00
Asset Backed Securities	<u>157,858</u>	0.03	<u>436,167</u>	0.08
Totals	<u>\$ 71,316,163</u>		<u>\$ 74,251,268</u>	

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

In addition, the University had interest rate risk statistics for actively-managed commingled accounts as detailed below:

<u>Fixed Income Commingled Fund:</u>	2016		2015	
	<u>Market Value</u>	<u>Modified Duration</u>	<u>Market Value</u>	<u>Modified Duration</u>
Seix Advisors High Yield Fund	\$ 28,488,582	3.23	\$ 29,736,660	3.56
IT Fund Multi Asset	<u>9,262,186</u>	2.51	<u>9,116,201</u>	3.60
Totals	<u>\$ 37,750,768</u>		<u>\$ 38,852,961</u>	

Foreign Currency Risk: Foreign currency risk is the risk that changes in exchange rates will adversely affect the fair value of an investment. As of June 30, 2016, the Long Term and Intermediate Term Funds held equity securities denominated in foreign currencies within pooled investment vehicles only, with market values totaling \$98.0 million and \$5.4 million, respectively, compared to prior fiscal year amounts of \$107.6 million and \$6.1 million, respectively. Some of the trades for such foreign positions will not settle in foreign currencies until after the fiscal year end. For the Funds, it is generally expected and desired that foreign currency exposure is not hedged, as this enhances the diversification benefits from non-U.S. investments.

Donor-restricted endowments: For University-controlled, donor-restricted endowments, the Uniform Prudent Management of Institutional Funds Act, as adopted in Wisconsin, permits the Board of Regents of the University to appropriate, for current spending, an amount of realized and unrealized endowment appreciation as it determines to be prudent. Realized and unrealized appreciation in excess of that amount appropriated for current spending is retained by the endowments. Net appreciation since the inception of the endowment accounts of \$106.2 million and \$123.2 million at June 30, 2016 and June 30, 2015, respectively, is available to meet spending rate distributions and is recorded as restricted net assets.

Fair Value Measurements: The University categorizes its fair value measurements within the fair value hierarchy established by generally accepted accounting principles. The three levels of the fair value hierarchy are described as follows:

- Level 1 - Quoted market prices in active markets for identical assets or liabilities
- Level 2 – Inputs other than quoted market prices included that are observable for the asset or liability. Matrix pricing, which is a mathematical technique used principally to value debt securities, is consistent with the market approach. The market approach uses prices and other relevant information generated by market transactions involving identical or comparable assets or liabilities.
- Level 3 – Unobservable inputs for the asset and liability used to measure fair value that rely on the reporting entity's own assumptions.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

The hierarchy is based on the valuation inputs used to measure the fair value of the asset and gives the highest priority to level 1 measurements and the lowest priority to level 3 measurements. Investments that are measured at fair value using the net asset value per share (or its equivalent) as a practical expedient are not classified in the fair value hierarchy.

The following table sets forth by level, within the fair value hierarchy, the University's investments at fair value as of June 30, 2016:

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total June 30, 2016</u>
Investments:				
Custodial Pooled Cash and Cash Equivalents	\$ 28,887,081	\$ -	\$ -	\$ 28,887,081
U.S. Government Securities	31,851,446	1,427,992	-	33,279,438
U.S. Agency Securities	-	15,826,848	-	15,826,848
Bonds and Preferred Stock	-	22,209,877	-	22,209,877
Pooled Fixed Income Fund	33,252,140	4,498,629	-	37,750,769
Common Stock and Convertible Securities	47,524,597	-	-	47,524,597
Pooled Equity Funds	50,745,922	42,079,212	-	92,825,134
Pooled Allocation Fund	78,965,111	-	-	78,965,111
Limited Partnerships (measured at net asset value)	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>87,568,699</u>
Total investments at fair value	<u>\$ 271,226,297</u>	<u>\$ 86,042,558</u>	<u>\$ -</u>	<u>\$ 444,837,554</u>

The following table sets forth by level, within the fair value hierarchy, the University's investments at fair value as of June 30, 2015:

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total June 30, 2015</u>
Investments:				
Custodial Pooled Cash and Cash Equivalents	\$ 28,902,659	\$ -	\$ -	\$ 28,902,659
U.S. Government Securities	35,974,537	1,309,806	-	37,284,343
U.S. Agency Securities	-	11,477,073	-	11,477,073
Bonds and Preferred Stock	-	25,611,025	-	25,611,025
Pooled Fixed Income Fund	34,030,510	4,822,352	-	38,852,862
Common Stock and Convertible Securities	58,432,589	-	-	58,432,589
Pooled Equity Funds	53,916,119	48,272,957	-	102,189,076
Pooled Allocation Fund	81,218,886	-	-	81,218,886
Limited Partnerships (measured at net asset value)	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>87,412,036</u>
Total investments at fair value	<u>\$ 292,475,300</u>	<u>\$ 91,493,213</u>	<u>\$ -</u>	<u>\$ 471,380,549</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 2 – Cash and Investments (continued)

The University measures the fair value of investments in certain entities that do not have a quoted market price at the calculated net asset value (NAV) per share or its equivalent. As these investments are not readily marketable the estimated value is subject to uncertainty, and therefore, may differ from the value that would have been used had a ready market for the investments existed.

The University's investments in private equity and real asset Limited Partnership Funds cannot be redeemed. The investment strategies are expected to focus globally on both corporate finance, venture capital, and forestry/agricultural investments. None of these limited partnership funds are expected to be sold and would require prior written consent of the Fund. The University's investments in a hedge fund-of-funds Limited Partnership are redeemable quarterly, with some limitations. The investment strategy is expected to focus on market-neutral strategies, including long and short positions on various marketable securities.

The following table presents the fair value of the University's investments that were determined based on the NAV as of June 30:

Investment Type	<u>Fair Value</u>	2016	<u>Fair Value</u>	2015
		Unfunded Commitments		Unfunded Commitments
Limited partnership funds	\$ 87,568,699	\$ 24,349,875	\$ 87,412,036	\$ 24,965,707

NOTE 3 – Receivables

Accounts receivable and student loans receivable as of June 30, 2016 and June 30, 2015, are summarized as follows:

Receivables (Net):	2016	2015
Student Academic Fees	\$ 30,560,332	\$ 12,806,677
Grants and Contracts	43,647,286	36,232,221
Educational Activities and Other	40,075,308	33,678,660
Auxiliary Enterprises	11,993,875	11,942,993
UW Hospital Authority and La Crosse Medical Health Science Consortium Inc.	6,432,130	7,813,806
Investment	481,759	1,469,277
Student Loans Receivable	196,436,434	196,383,620
State Agencies	36,280,762	29,812,320
Other Governments	<u>76,206,803</u>	<u>89,786,680</u>
Total Receivables (Net)	<u>\$ 442,114,689</u>	<u>\$ 419,926,254</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 3 – Receivables (continued)

Student loans receivable at June 30, 2016 included allowances for uncollectible loans of \$9.2 million relative to \$9.4 million in the prior year. Principal repayment and interest rates of university and federal loans vary. Federal loan programs are funded primarily with federal contributions to the University under the Perkins loan program and a variety of health professions loan programs.

The University distributed student loans through the United States Department of Education federal direct lending program totaling \$705.6 million during fiscal year 2016 and \$736.4 million in fiscal year 2015. These distributions and the related funding sources are not reflected as expenses and revenues in the financial statements. However, cash inflows and outflows are shown in the Statement of Cash Flows.

NOTE 4 – Capital Assets

Land, buildings, improvements (e.g., parking lots, fences, street lighting, etc.), equipment, and library holdings are capitalized at cost at date of acquisition or fair market value at date of donation in the case of gifts-in-kind. Generally, capital equipment is defined as any single asset with a minimum value of \$5,000 and having a useful life of more than one year. Depreciation is calculated on a straight-line basis over the estimated useful lives of the respective assets: buildings over 40 years, improvements over 20 years, and capital equipment over periods ranging from 3 to 15 years for specified asset classes. The componentized methodology of depreciation is used for major research facilities generally using estimated useful lives ranging from 10 to 50 years. The buildings and land related to the 13 two-year colleges are not owned by the University and thus are not reported in these financial statements. Library holdings are not depreciated because these resources are viewed as inexhaustible assets. Disposals of library holdings are removed at either a historically calculated average cost or at an amount that approximates original cost as nearly as is practical to determine. The University does not capitalize works of art or historical treasures that are held for exhibition, education, research, and public service. These collections are neither disposed of for financial gain nor encumbered in any way. Proceeds from the sale, exchange, or other disposal of any item belonging to a collection of works of art or historical treasures must be applied to the acquisition of additional items for the same collection.

GASB Statement No. 42, *Accounting and Financial Reporting for Impairment of Capital Assets and for Insurance Recoveries*, establishes accounting and financial reporting standards for a capital asset that has experienced a significant, unexpected decline in its service utility. No individual asset met these criteria in fiscal year 2016 or 2015. Insurance recoveries received in fiscal year 2016 include \$2.4 million for storm damage at the University of Wisconsin-Platteville. Insurance recoveries received in fiscal year 2015 include \$8.2 million for flood damage at the University of Wisconsin-Superior and \$2.7 million for storm damage at the University of Wisconsin-Platteville. Insurance recoveries are reported as other non-operating revenues in the financial statements.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 4 – Capital Assets (continued)

GASB Statement No. 51, *Accounting and Financial Reporting for Intangible Assets*, establishes accounting and financial reporting standards for an intangible asset that lacks physical substance, is nonfinancial in nature, has a useful life extending beyond one year, and is not acquired or created primarily for the purpose of directly obtaining income or profit. Intangible assets are capitalized with a minimum value of \$1.0 million and are included in the equipment balance. Depreciation for intangible assets is calculated on a straight-line basis over ten years. At June 30, 2016, the equipment balance includes \$37.5 million for intangible assets net of depreciation, compared to \$42.2 million at June 30, 2015.

Depreciation expense for fiscal years ended June 30, 2016 and 2015 was \$303.9 million and \$290.4 million, respectively.

The change in book value from July 1, 2015 to June 30, 2016 is summarized as follows:

	Book Value July 1, 2015	Additions	Transfers	Deductions	Book Value June 30, 2016
Buildings	\$ 6,478,612,937	\$ 122,153,480	\$ 196,361,120	\$ (6,628,114)	\$ 6,790,499,423
Improvements	459,106,188	5,864,421	2,938,082	(91,191)	467,817,500
Land	156,065,166	262,033	-	-	156,327,199
Construction in Progress	295,693,992	125,015,958	(198,816,648)	-	221,893,302
Equipment	1,117,418,253	74,984,049	(78,609)	(40,118,433)	1,152,205,260
Library Holdings	<u>1,145,325,745</u>	<u>20,431,864</u>	<u>-</u>	<u>(41,624,022)</u>	<u>1,124,133,587</u>
Subtotal	\$ 9,652,222,281	\$ 348,711,805	\$ 403,945	\$ (88,461,760)	\$ 9,912,876,271

Less Accumulated Depreciation:

	Book Value July 1, 2015	Additions	Transfers	Deductions	Book Value June 30, 2016
Buildings	\$ 2,584,851,968	\$ 201,270,269	\$ -	\$ (1,691,989)	\$ 2,784,430,248
Improvements	257,857,352	16,351,324	-	(91,191)	274,117,485
Equipment	<u>803,528,361</u>	<u>86,287,631</u>	<u>1,018,576</u>	<u>(34,701,106)</u>	<u>856,133,462</u>
Total Accumulated Depreciation	3,646,237,681	303,909,224	1,018,576	(36,484,286)	3,914,681,195
Capital Assets, Net	<u>\$ 6,005,984,600</u>	<u>\$ 44,802,581</u>	<u>\$ (614,631)</u>	<u>\$ (51,977,747)</u>	<u>\$ 5,998,195,076</u>

The change in book value from July 1, 2014 to June 30, 2015 is summarized as follows:

	Book Value July 1, 2014	Additions	Transfers	Deductions	Book Value June 30, 2015
Buildings	\$ 6,250,645,202	\$ 83,972,554	\$ 147,223,066	\$ (3,227,885)	\$ 6,478,612,937
Improvements	439,129,729	5,796,654	14,179,805	-	459,106,188
Land	155,754,862	310,304	-	-	156,065,166
Construction in Progress	329,025,710	128,071,653	(161,403,371)	-	295,693,992
Equipment	1,051,578,796	81,931,091	(4,441,152)	(11,650,482)	1,117,418,253
Library Holdings	<u>1,139,186,343</u>	<u>22,814,357</u>	<u>-</u>	<u>(16,674,955)</u>	<u>1,145,325,745</u>
Subtotal	\$ 9,365,320,642	\$ 322,896,613	\$ (4,441,652)	\$ (31,553,322)	\$ 9,652,222,281

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 4 – Capital Assets (continued)

Less Accumulated Depreciation:

	Book Value July 1, 2014	Additions	Transfers	Deductions	Book Value June 30, 2015
Buildings	\$ 2,398,119,622	\$ 189,455,035	\$ -	\$ (2,722,689)	\$ 2,584,851,968
Improvements	241,963,900	15,893,452	-	-	257,857,352
Equipment	<u>733,921,223</u>	<u>85,058,643</u>	<u>(4,001,526)</u>	<u>(11,449,979)</u>	<u>803,528,361</u>
Total Accumulated Depreciation	3,374,004,745	290,407,130	(4,001,526)	(14,172,668)	3,646,237,681
Capital Assets, Net	<u>\$ 5,991,315,897</u>	<u>\$ 32,489,483</u>	<u>\$ (440,126)</u>	<u>\$ (17,380,654)</u>	<u>\$ 6,005,984,600</u>

NOTE 5 – Liabilities

Accounts payable and accrued liabilities, consisting of salary and fringe benefits, due to state agencies and other governments, and vendor payables, resulting from University's activities as of June 30, 2016 and 2015, are summarized as follows:

Fiscal Year 2016	Salary and Fringe Benefits	Due to State Agencies and Other Governments	Vendors	Total Payables
UW System Activities:				
Operating	\$ 26,751,611	\$ 73,433,069	\$ 77,024,564	\$ 177,209,244
Gifts, Grants, and Contracts	4,133,363	11,566,092	8,638,104	24,337,559
Capital Projects	-	28,480	60,650,119	60,678,599
Auxiliary Enterprises	4,588,671	1,049,358	7,265,899	12,903,928
Investment and Other	<u>82,380</u>	<u>339,527</u>	<u>9,220,226</u>	<u>9,642,133</u>
Total Activities	<u>\$ 35,556,025</u>	<u>\$ 86,416,526</u>	<u>\$ 162,798,912</u>	<u>\$ 284,771,463</u>

Fiscal Year 2015	Salary and Fringe Benefits	Due to State Agencies and Other Governments	Vendors	Total Payables
UW System Activities:				
Operating	\$ 22,608,604	\$ 74,392,524	\$ 62,843,472	\$ 159,844,600
Gifts, Grants, and Contracts	3,551,707	16,696,697	6,543,161	26,791,565
Capital Projects	-	5,400,578	55,993,842	61,394,420
Auxiliary Enterprises	3,874,589	665,099	4,395,912	8,935,600
Investment and Other	<u>56,241</u>	<u>388,593</u>	<u>9,651,229</u>	<u>10,096,063</u>
Total Activities	<u>\$ 30,091,141</u>	<u>\$ 97,543,491</u>	<u>\$ 139,427,616</u>	<u>\$ 267,062,248</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 5 – Liabilities (continued)

Long-term liability activity for the fiscal years ended June 30, 2016 and 2015 is as follows:

Long-term Liabilities 2016	Balance <u>July 1, 2015</u>	Increases (Decreases)	Balance <u>June 30, 2016</u>	Current Portion
Bonds Payable	\$ 1,463,239,403	\$ 19,967,738	\$ 1,483,207,141	\$ 69,080,059
Notes Payable	119,557,432	(21,955,984)	97,601,448	20,252,175
Capital Lease Obligations	36,766,803	(2,628,064)	34,138,739	4,029,556
Compensated Absences	129,727,413	1,793,544	131,520,957	65,213,517
Net Pension Liability	-	220,459,696	220,459,696	-
Other Post-Employment Benefits	<u>248,443,125</u>	<u>19,423,402</u>	<u>267,866,527</u>	<u>-</u>
Total	<u>\$ 1,997,734,176</u>	<u>\$ 237,060,332</u>	<u>\$ 2,234,794,508</u>	<u>\$ 158,575,307</u>

Long-term Liabilities 2015	Balance <u>July 1, 2014</u>	Increases (Decreases)	Balance <u>June 30, 2015</u>	Current Portion
Bonds Payable	\$ 1,485,806,595	\$ (22,567,192)	\$ 1,463,239,403	\$ 70,857,560
Notes Payable	97,179,335	22,378,097	119,557,432	13,720,451
Capital Lease Obligations	42,360,946	(5,594,143)	36,766,803	4,565,334
Compensated Absences	131,184,984	(1,457,571)	129,727,413	60,378,633
Other Post-Employment Benefits	<u>233,006,049</u>	<u>15,437,076</u>	<u>248,443,125</u>	<u>-</u>
Total	<u>\$ 1,989,537,909</u>	<u>\$ 8,196,267</u>	<u>\$ 1,997,734,176</u>	<u>\$ 149,521,978</u>

NOTE 6 – Long Term Debt

The State of Wisconsin issues general obligation bonds and notes on behalf of its constituent agencies, including the University, the proceeds of which are used to construct or acquire facilities and other capital assets. The University holds title to the assets thus acquired. As an enterprise fund of the State of Wisconsin, the University reports on its Statement of Net Position the portion of the debt that will be repaid with program revenues generated by the University's self-supporting operations. Debt on academic facilities that is repaid by an appropriation from the State of Wisconsin to the University for that purpose is reported by the State of Wisconsin and not as an obligation of the University. However, cash inflows and outflows are shown in the Statement of Cash Flows.

The following information relates to the status of bonds and notes payable outstanding at June 30, 2016:

	Balance <u>July 1, 2015</u>	New Debt/ <u>Accretion</u>	Principal Paid/ <u>Adjustments</u>	Balance <u>June 30, 2016</u>
Bonds (Gross)	\$ 1,371,455,390	\$ 135,397,612	\$ (122,764,644)	\$ 1,384,088,358
Notes	<u>119,557,432</u>	<u>344,263</u>	<u>(22,300,247)</u>	<u>97,601,448</u>
Total	<u>\$ 1,491,012,822</u>	<u>\$ 135,741,875</u>	<u>\$ (145,064,891)</u>	<u>\$ 1,481,689,806</u>

The bonds have maturity dates ranging from November 1, 2016 to May 1, 2042. The notes have maturity dates ranging from May 1, 2017 to May 1, 2035.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 6 – Long Term Debt (continued)

As of June 30, 2016, the current and noncurrent bonds payable net of discounts and premiums totaled \$51.7 million and \$1,332.4 million, respectively.

	Balance		
	<u>June 30, 2016</u>	<u>Current</u>	<u>Noncurrent</u>
Bonds (Gross)	\$ 1,384,088,358	\$ 51,733,242	\$ 1,332,355,116
Discount	(218,209)	(15,809)	(202,400)
Premium	<u>99,336,992</u>	<u>17,362,626</u>	<u>81,974,366</u>
Bonds (Net)	1,483,207,141	69,080,059	1,414,127,082
Notes	<u>97,601,448</u>	<u>20,252,175</u>	<u>77,349,273</u>
Total	<u>\$ 1,580,808,589</u>	<u>\$ 89,332,234</u>	<u>\$ 1,491,476,355</u>

The following information relates to the status of bonds and notes payable outstanding at June 30, 2015:

	Balance	New Debt/	Principal Paid/	Balance
	<u>July 1, 2014</u>	<u>Accretion</u>	<u>Adjustments</u>	<u>June 30, 2015</u>
Bonds (Gross)	\$ 1,412,487,159	\$ 203,139,479	\$ (244,171,248)	\$ 1,371,455,390
Notes	<u>97,179,335</u>	<u>38,453,213</u>	<u>(16,075,116)</u>	<u>119,557,432</u>
Total	<u>\$ 1,509,666,494</u>	<u>\$ 241,592,692</u>	<u>\$ (260,246,364)</u>	<u>\$ 1,491,012,822</u>

The bonds have maturity dates ranging from November 1, 2016 to May 1, 2042. The notes have maturity dates ranging from May 1, 2017 to May 1, 2035.

	Balance		
	<u>June 30, 2015</u>	<u>Current</u>	<u>Noncurrent</u>
Bonds (Gross)	\$ 1,371,455,390	\$ 54,895,506	\$ 1,316,559,884
Discount	(234,017)	(15,808)	(218,209)
Premium	<u>92,018,030</u>	<u>15,977,862</u>	<u>76,040,168</u>
Bonds (Net)	1,463,239,403	70,857,560	1,392,381,843
Notes	<u>119,557,432</u>	<u>13,720,451</u>	<u>105,836,981</u>
Total	<u>\$ 1,582,796,835</u>	<u>\$ 84,578,011</u>	<u>\$ 1,498,218,824</u>

Future debt service requirements for bonds and notes outstanding at June 30, 2016 are as follows:

Fiscal Year(s)	Bonds		Notes	
	<u>Principal</u>	<u>Interest</u>	<u>Principal</u>	<u>Interest</u>
2017	\$ 51,733,242	\$ 65,059,369	\$ 20,252,175	\$ 4,193,484
2018	54,861,096	62,452,034	19,414,003	3,358,388
2019	60,979,649	59,861,262	14,977,934	2,631,528
2020	62,863,861	56,928,893	16,666,685	1,980,650
2021	60,799,994	53,314,880	19,300,847	1,244,347
2022-2026	387,717,736	216,189,374	6,989,804	349,490
2027-2031	399,528,630	123,209,586	-	-
2032-2036	235,594,150	40,866,168	-	-
2037-2041	64,820,000	10,383,208	-	-
2042	<u>5,190,000</u>	<u>207,600</u>	<u>-</u>	<u>-</u>
Total	<u>\$ 1,384,088,358</u>	<u>\$ 688,472,374</u>	<u>\$ 97,601,448</u>	<u>\$ 13,757,887</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 6 – Long Term Debt (continued)

As noted above, debt on academic facilities that is repaid by an appropriation from the State of Wisconsin to the University for that purpose is reported by the State of Wisconsin and not as an obligation of the University. As of June 30, 2016, the principal balances of such bonds and notes were \$1,475.4 million and \$177.6 million, respectively. As of June 30, 2015, the principal balances of such bonds and notes were \$1514.6 million and \$193.3 million, respectively. Debt service payments made by the State of Wisconsin for the years ended June 30, 2016 and 2015 were allocated as follows:

2016	<u>Bonds</u>	<u>Notes</u>
Principal	\$ 122,176,211	\$ -
Interest	<u>68,148,936</u>	<u>507,248</u>
Total Paid	<u>\$ 190,325,147</u>	<u>\$ 507,248</u>
 2015	 <u>Bonds</u>	 <u>Notes</u>
Principal	\$ 117,355,400	\$ -
Interest	<u>71,973,491</u>	<u>-</u>
Total Paid	<u>\$ 189,328,891</u>	<u>\$ -</u>

NOTE 7 – Lease Commitments and Installment Purchases

The University had capital lease obligations with a net present value of \$34.1 million as of June 30, 2016 compared to \$36.8 million at June 30, 2015. The payment schedule for capital lease obligations is as follows:

2017	\$ 6,316,179
2018	3,987,979
2019	2,871,831
2020	2,695,829
2021	2,558,598
2022-2026	12,363,920
2027-2031	12,363,920
2032-2036	12,363,920
2037-2041	12,363,920
2042-2046	<u>4,945,568</u>
Total Scheduled Lease Payments	72,831,664
Amount Representing Interest	<u>(38,692,925)</u>
Net Present Value	<u>\$ 34,138,739</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 7 – Lease Commitments and Installment Purchases (continued)

Assets Held Under Capital Lease:

2016		Accumulated	
	<u>Original Cost</u>	<u>Depreciation</u>	<u>Book Value</u>
Buildings and Improvements	\$ 98,199,857	\$ 47,279,973	\$ 50,919,884
Equipment	<u>13,428,899</u>	<u>9,322,669</u>	<u>4,106,230</u>
Total Assets	<u>\$ 111,628,756</u>	<u>\$ 56,602,642</u>	<u>\$ 55,026,114</u>

2015		Accumulated	
	<u>Original Cost</u>	<u>Depreciation</u>	<u>Book Value</u>
Buildings and Improvements	\$ 98,199,857	\$ 43,492,157	\$ 54,707,700
Equipment	<u>13,484,281</u>	<u>9,644,740</u>	<u>3,839,541</u>
Total Assets	<u>\$ 111,684,138</u>	<u>\$ 53,136,897</u>	<u>\$ 58,547,241</u>

Facilities and equipment rented through operating leases are not recorded as assets on the balance sheet. Operating lease expenditures, which also represent the minimum rental payments, amounted to \$33.0 million for the fiscal year ended June 30, 2016. Minimum commitments for future operating lease payments are as follows:

2017	\$ 16,787,630
2018	15,880,929
2019	13,421,498
2020	11,858,262
2021	11,164,432
2022-2026	49,289,837
2027-2031	43,311,648
2032-2036	9,830,567
2037-2041	70,000
2042-2046	<u>10,500</u>
Total	<u>\$ 171,625,303</u>

The University entered into installment purchase agreements during fiscal year 2016. Gross minimum future installment payments, along with the present value of the minimum installment payments, as of June 30, 2016 for installment purchases are as follows:

2017	\$ 17,569
2018	12,589
2019	4,728
2020	<u>4,728</u>
Total Minimum Future Payments	39,614
Amount Representing Interest	<u>(2,847)</u>
Present Value of Net Minimum Payments	<u>\$ 36,767</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 8 – Retirement Benefits

Wisconsin Retirement System

Plan Description. The Wisconsin Retirement System (WRS) is a cost-sharing multiple-employer defined benefit public employee retirement system established by the State of Wisconsin to provide pension benefits for state and local government employees. The WRS is administered by the Wisconsin Department of Employee Trust Funds (ETF) in accordance with Chapter 40 of the Wisconsin Statutes. Benefit terms may only be modified by the Legislature. All employees initially employed by a participating WRS employer on or after July 1, 2011, expected to work at least 1,200 hours a year (880 hours for teachers and school district educational support employees) and to be employed for at least one year from employee's date of hire are eligible to participate in the WRS.

All assets of the WRS are invested by the State of Wisconsin Investment Board. The retirement fund assets consist of shares in the Variable Retirement Investment Trust and the Core Retirement Investment Trust. The Variable Retirement Investment Trust consists primarily of equity securities. The Core Retirement Investment Trust is a balanced investment fund made up of fixed income securities and equity securities. Shares in the Core and Variable Retirement Investment Trust are purchased as funds are made available from retirement contributions and investment income, and sold when funds for benefit payments and other expenses are needed.

Accounting Changes. The WRS adopted GASB Statement No. 82, *Pension Issues—an amendment of GASB Statements No. 67, No. 68, and No. 73* during the year ended December 31, 2015. GASB Statement No. 82 addresses the presentation of payroll-related measures in the Required Supplementary Information, the selection of assumptions used in determining the total pension liability and related measures, and the classification of employer-paid member contributions.

Vesting. For employees that began participation on or after January 1, 1990 and were no longer actively employed on or after April 24, 1998, creditable service in each of five years is required for eligibility for a retirement annuity. Participants employed prior to 1990 and on or after April 24, 1998, and prior to July 1, 2011, are immediately vested. Participants who initially became WRS eligible on or after July 1, 2011 must have five years of creditable service to be vested.

Benefits provided. Employees who retire at or after age 65 (54 for protective occupation employees, 62 for elected officials and State executive participants) are entitled to receive an unreduced retirement benefit. The factors influencing the benefit are: (1) final average earnings, (2) years of creditable service, and (3) a formula factor.

Final average earnings is the average of the participant's three highest years' earnings. Creditable service is the creditable current and prior service expressed in years or decimal equivalents of partial years for which a participant receives earnings and makes contributions as required. The formula factor is a standard percentage based on employment category.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 8 – Retirement Benefits (continued)

Employees may retire at age 55 (50 for protective occupation employees) and receive reduced benefits. Employees terminating covered employment before becoming eligible for a retirement benefit may withdraw their contributions, plus interest, and forfeit all rights to any subsequent benefits.

The WRS also provides death and disability benefits for employees.

Post-Retirement Adjustments. The Employee Trust Funds Board may periodically adjust annuity payments from the retirement system based on annual investment performance in accordance with Wisconsin Statutes Section 40.27. An increase (or decrease) in annuity payments may result when investment gains (losses), together with other actuarial experience factors, create a surplus (shortfall) in the reserves, as determined by the system's consulting actuary. Annuity increases are not based on cost of living or other similar factors. For Core annuities, decreases may be applied only to previously granted increases. By law, Core annuities cannot be reduced to an amount below the original, guaranteed amount (the "floor") set at retirement. The Core and Variable annuity adjustments granted during recent years are as follows:

<u>Year</u>	<u>Core Fund Adjustment</u>	<u>Variable Fund Adjustment</u>
2006	0.8%	3.0%
2007	3.0%	10.0%
2008	6.6%	0.0%
2009	(2.1)%	(42.0)%
2010	(1.3)%	22.0%
2011	(1.2)%	11.0%
2012	(7.0)%	(7.0)%
2013	(9.6)%	9.0%
2014	4.7%	25.0%
2015	2.9%	2.0%

Contributions. Required contributions are determined by an annual actuarial valuation in accordance with Chapter 40 of the Wisconsin Statutes. The employee required contribution is one-half of the actuarially determined contribution rate for general category employees, including teachers, and Executives and Elected Officials. Employer required contributions for protective employees are the same rate as general employees. Employers are required to contribute the remainder of the actuarially determined contribution rate. The employer may not pay the employee required contribution unless provided for by an existing collective bargaining agreement.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 8 – Retirement Benefits (continued)

During calendar years 2015 and 2014, the University's contributions recognized by the WRS amounted to \$131.5 million and \$133.5 million, respectively. Contribution rates as of June 30, 2016 and 2015 were:

Employee Category	June 30, 2016		June 30, 2015	
	Employee	Employer	Employee	Employer
General (including teachers)	6.6%	6.6%	6.8%	6.8%
Executives & Elected Officials	6.6%	6.6%	7.7%	7.7%
Protective with Social Security	6.6%	9.4%	6.8%	9.5%
Protective without Social Security	6.6%	13.2%	6.8%	13.1%

Pension Liabilities, Pension Expense, and Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions. At June 30, 2016, the University reported a net pension liability of \$220.5 million for its proportionate share of the net pension liability compared to a net pension asset of \$330.2 million at June 30, 2015. The net pension liability was based on an actuarial valuation performed as of December 31, 2014, with roll forward to December 31, 2015 and a measurement date of December 31, 2015. The University's proportion of the total net pension liability was determined based on the average of University's contributions to the WRS over the three most recent calendar years relative to the average contributions of all participating employers for the same period. At December 31, 2015, the University's proportion was 13.60%, which was an increase of 0.15% from its proportion measured as of December 31, 2014.

For the fiscal year ended June 30, 2016 and June 30, 2015, the University recognized pension expense of \$264.2 million and \$127.8 million, respectively.

The amount reported as pension-related deferred outflows resulting from the University's contributions subsequent to the measurement date is recognized as part of the net pension liability calculation in the year ended June 30, 2017. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pension benefits will be recognized in pension expense as follows:

Fiscal Year ended	Deferred Outflows	Deferred Inflows
<u>June 30:</u>	<u>of Resources</u>	<u>of Resources</u>
2017	\$ 283,967,490	\$ 114,473,335
2018	283,967,490	114,473,335
2019	283,967,490	114,473,335
2020	237,280,650	113,382,764
2021	4,942,148	14,898,488

Additional information related to deferred outflows of resources and deferred inflows of resources is presented in Note 10.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 8 – Retirement Benefits (continued)

Actuarial assumptions. The total pension liability in the December 31, 2015 actuarial valuation was determined using the following actuarial assumptions, applied to all periods included in the measurement:

Actuarial Valuation Date:	December 31, 2014
Measurement Date of Net Pension Liability	December 31, 2015
Actuarial Cost Method:	Entry Age
Asset Valuation Method:	Fair Value
Long-Term Expected Rate of Return:	7.2%
Discount Rate:	7.2%
Salary Increases:	
Inflation	3.2%
Seniority/Merit	0.2% - 5.6%
Mortality:	Wisconsin 2012 Mortality Table
Post-Retirement Adjustments*	2.1%

** No post-retirement adjustment is guaranteed. Actual adjustments are based on recognized investment return, actuarial experience and other factors. 2.1% is the assumed annual adjustment based on the investment return assumption and the post-retirement discount rate.*

Starting with 2015, this item includes the impact of known Market Recognition Account deferred gains/losses on the liability for dividend payments.

Actuarial assumptions are based upon an experience study conducted in 2012 using experience from 2009-2011. The total pension liability for December 31, 2015 is based upon a roll-forward of the liability calculated from the December 31, 2014 actuarial valuation.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 8 – Retirement Benefits (continued)

Long-term Expected Real Rate of Return. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

<u>Asset Class</u>	Core Fund		Variable Fund	
	Long-Term Real Rate of Return	Target Allocation	Long-Term Real Rate of Return	Target Allocation
US Equities	4.7%	23.0%	4.7%	70%
International Equities	5.6%	22.0%	5.6%	30%
Fixed Income	1.6%	37.0%	n/a	--
Inflation Sensitive Assets	1.4%	20.0%	n/a	--
Real Estate	3.6%	7.0%	n/a	--
Private Equity/Debt	6.5%	7.0%	n/a	--
Multi-Asset	3.8%	4.0%	n/a	--
Cash	0.9%	(20.0%)	n/a	--

Single Discount Rate. A single discount rate of 7.2% was used to measure the total pension liability. This single discount rate was based on the expected rate of return on pension plan investments of 7.2% and a long term bond rate of 3.57%. Because of the unique structure of the WRS, the 7.2% expected rate of return implies that a dividend of approximately 2.1% will always be paid. For purposes of the single discount rate, it was assumed that the dividend would always be paid. The projection of cash flows used to determine this single discount rate assumed that plan member contributions will be made at the current contribution rate and that employer contributions will be made at rates equal to the difference between actuarially determined contribution rates and the member rate. Based on these assumptions, the pension plan's fiduciary net position was projected to be available to make all projected future benefit payments (including expected dividends) of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 8 – Retirement Benefits (continued)

Sensitivity of the University's proportionate share of the net pension liability (asset) to changes in the discount rate. The following presents the University's proportionate share of the net pension liability (asset) calculated using the discount rate of 7.2 percent, as well as what the University's proportionate share of the net pension liability (asset) would be if it were calculated using a discount rate that is 1-percentage-point lower (6.2%) or 1-percentage-point higher (8.2%) than the current rate for fiscal years ended June 30, 2016 and 2015:

	2016	2015
1% Decrease to Discount Rate	\$ 1,548,658,807	\$ 931,457,039
Current Discount Rate	\$ 220,794,780	\$ (330,166,674)
1% Increase To Discount Rate	\$ (816,290,702)	\$ (1,326,546,070)

Pension plan fiduciary net position. Detailed information about the pension plan's fiduciary net position is available in separately issued financial statements available at <http://www.etf.wi.gov/publications/15et8600.pdf>.

Other Retirement Benefits

In addition to the WRS, certain employees associated with federally funded activities are partially covered by the Federal Retirement Program. The University's contributions to this program totaled \$81,056 during fiscal year 2016, compared with \$92,384 during fiscal year 2015.

NOTE 9 – Postemployment Benefits Other Than Pensions

In accordance with the provisions of GASB Statement No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, state and local governmental employers are required to display in financial reports other postemployment benefit expense/expenditures and related liabilities (assets), note disclosures, and if applicable, required supplementary information. University employees are employees of the State.

Health Insurance

The State's Health Insurance Program, a cost-sharing multiple-employer defined benefit plan not held in trust, is an employer-sponsored program offering group medical coverage to eligible employees and retirees of the State. ETF and the Group Insurance Board have program administration and oversight responsibilities under Wisconsin Statutes Sections 15.165(2) and 40.03(6).

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 9 – Postemployment Benefits Other Than Pensions (continued)

Under this plan, retired employees of the State contribute the same healthcare premium as active employees, creating an implicit rate subsidy for retirees. This implicit rate subsidy, which is calculated to cover pre-age 65 retirees (since at age 65 retirees are required to enroll in Medicare when eligible), is treated as another postemployment benefit (OPEB).

As of the January 2015 actuarial valuation, the State's annual required contributions were \$94.5 million and \$86.2 million for fiscal years ended June 30, 2016 and June 30, 2015, respectively. The State's annual OPEB costs were \$76.8 million and \$70.5 million for fiscal years ended June 30, 2016 and June 30, 2015, respectively, and the State's actual contributions were \$36.7 million in fiscal year 2016 and \$41.8 million in fiscal year 2015, which results in a net OPEB obligation for the State of \$542.7 million as of June 30, 2016, and \$502.6 million as of June 30, 2015. The portion of this obligation allocated to the University increased from \$248.4 million in fiscal year 2015 to \$267.9 million in fiscal year 2016.

The State of Wisconsin Comprehensive Annual Financial Report includes financial statements, additional note disclosures, and required supplementary information for this plan. That report is publicly available at www.doa.state.wi.us or may be obtained by writing to: Department of Administration, 101 East Wilson Street, Madison, Wisconsin 53703.

Life Insurance and Duty Disability

The Life Insurance program, a cost-sharing multiple-employer defined benefit plan held in trust, provides post-employment coverage to all eligible employees. The plan is administered under Wisconsin Statutes Section 40.70. Beginning at age 65, retirees and terminating members continue to receive basic coverage for life at the level of insurance in force before retirement. Retirees and terminating members under age 65 must continue to pay the employee premium to maintain coverage.

The Duty Disability program, a cost-sharing multiple-employer defined benefit plan held in trust, offers special disability insurance for employees in protective occupations. This plan is administered under Wisconsin Statutes Section 40.65. Qualified employees receive benefits under this program approximating 80% of salary, less certain offsets, based upon the type and level of disability suffered and the implications of the disability on their ability to work. There are no employee contributions associated with this plan. The University contributed \$37,127 to this program during fiscal year 2016 compared to \$56,473 during fiscal year 2015.

ETF issues publicly available financial reports that include financial statements, additional note disclosures, and required supplementary information for these plans. The reports are available at www.etf.wi.gov or may be obtained upon request from: Department of Employee Trust Funds, 801 West Badger Road, PO Box 7931, Madison, Wisconsin 53707-7931.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 10 – Deferred Outflows and Deferred Inflows of Resources

At June 30, 2016 and June 30, 2015, the University reported deferred outflows of resources and deferred inflows of resources from the following sources:

Deferred Outflows (Inflows) of Resources related to Pensions

<u>Fiscal Year 2016</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Differences between expected and actual experience	\$ 36,951,510	\$ (464,658,848)
Net differences between projected and actual earnings on pension plan investments	902,669,272	-
Employer contributions subsequent to the measurement date	50,250,757	-
Changes in Actuarial Assumptions	154,477,640	-
Changes in proportion and differences between employer contributions and proportionate share of contributions	-	(6,849,697)
Total	<u>\$ 1,144,349,180</u>	<u>\$ (471,508,545)</u>
<u>Fiscal Year 2015</u>	<u>Deferred Outflows of Resources</u>	<u>Deferred Inflows of Resources</u>
Differences between expected and actual experience	\$ 47,863,893	\$ -
Net differences between projected and actual earnings on pension plan investments	159,882,647	-
Employer contributions subsequent to the measurement date	44,887,431	-
Changes in Actuarial Assumptions	-	-
Changes in proportion and differences between employer contributions and proportionate share of contributions	-	(7,793,196)
Total	<u>\$ 252,633,971</u>	<u>\$ (7,793,196)</u>

Deferred Outflows (Inflows) of Resources related to Debt Refundings

	<u>2016</u>	<u>2015</u>
Unamortized Losses	\$ 37,136,330	\$ 31,816,561
Unamortized Gains	<u>(1,073,335)</u>	<u>(1,336,897)</u>
Total	<u>\$ 36,062,995</u>	<u>\$ 30,479,664</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 11 – Other Organizations

GASB Statement No. 14, *The Financial Reporting Entity*, GASB Statement No. 39, *Determining Whether Certain Organizations Are Component Units*, an amendment of GASB Statement No. 14, and GASB Statement No. 61, *The Financial Reporting Entity: Omnibus*, an amendment of GASB Statements No. 14 and No. 34, provide guidance in determining whether organizations are to be included as part of a reporting entity. The University has determined that, in accordance with the provisions of GASB Statements No. 14, 39, and 61, the accounts of the following organizations are not included in the financial statements; however, the following financial information is provided.

A – University of Wisconsin Medical Foundation

The University of Wisconsin Medical Foundation (UWMF) is the not-for-profit clinical practice organization for the faculty physicians of the School of Medicine and Public Health within the UW-Madison. The UWMF provides clinical sites, technical and professional staff, and administrative services for the UW-Madison faculty physicians group.

During fiscal year 2007-08, the Wisconsin Department of Health Services (DHS) implemented a Certified Public Expenditure (CPE) program for the services the UW faculty physicians group provides to Medical Assistance (MA) recipients. Because the UW faculty physicians group qualifies as a public provider, it is eligible to receive cost-based reimbursement under federal MA rules.

Under the CPE program, DHS is able to claim additional federal MA funds based upon the difference between the established MA reimbursement rate for the services provided by the UW-Madison faculty physicians group and the actual cost of providing those services. To enable the draw of these federal funds by DHS, UW-Madison remitted a total of \$9.7 million to DHS during fiscal year 2016 and \$7.3 million in fiscal year 2015, representing the state's share of this difference. DHS then claimed the federal share of the difference from the federal government and subsequently provided \$22.7 million during fiscal year 2016 and \$17.2 million during fiscal year 2015, representing both the state and federal share of the difference, to the UWMF. In addition, transfers by UW-Madison to the MA Trust Fund of \$13.0 million during fiscal year 2016 and \$9.9 million in fiscal year 2015 were also made under this program and are reported as a transfer to state agencies on the financial statements.

During fiscal year 2016, the UWMF remitted \$17.2 million to UW-Madison as reimbursement for payments to DHS during fiscal year 2015. The \$17.2 million that UW-Madison received from the UWMF is included in the other non-operating revenues account on the financial statements.

In addition, UW-Madison incurred expenditures for which reimbursement was received from the UWMF. Of the \$98.4 million expended in fiscal year 2016, \$88.7 million was for salaries and fringe benefits of staff in the UW-Madison School of Medicine.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 11 – Other Organizations (continued)

B – University of Wisconsin Hospital and Clinics Authority

The University of Wisconsin Hospital and Clinics Authority (UWHCA), pursuant to an act of the Wisconsin State Legislature, began operating on June 29, 1996 as a separate public authority. As required by this legislation, the University has entered into various affiliation and operating agreements with UWHCA, including a lease agreement. Under the terms of the lease, UWHCA makes payments equal to the debt service on all outstanding bonds issued by the State of Wisconsin to acquire, construct, or improve the leased facilities. At June 30, 2016, the present value of these future lease payments totaled \$0.2 million, compared to \$0.2 million at June 30, 2015, an amount equal to the principal on the related bonds outstanding; the asset is included on the balance sheet as part of the capital lease receivable, and the related debt is included as part of the total University bonds outstanding of \$1,384.1 million and \$1,371.5 million at June 30, 2016 and June 30, 2015, respectively. The leased facilities are not included as part of the University's investment in buildings since they have been reported by UWHCA in their audited financial statements in accordance with the generally accepted accounting principles that pertain to the reporting of leased assets.

During the fiscal year ended June 30, 2016, the University received services from UWHCA totaling \$4.8 million and provided services to UWHCA totaling \$66.9 million, compared to amounts for fiscal year ended June 30, 2015 of \$4.9 million and \$64.4 million. The cost of the services provided and the associated revenue are separately identified in the Statement of Revenues, Expenses, and Changes in Net Position. The amounts spent for services received are included as salaries and fringe benefits and supplies and services expenses on this statement. The services received were funded by an equivalent amount of state appropriations revenue.

C – The Wisconsin Institutes for Discovery

The Wisconsin Institutes for Discovery, which opened in December 2010, is a visionary public-private facility that has taken shape as an innovative building housing two world-class biomedical research institutes and a public space known as the Town Center for campus and community members to gather and collaborate. The public institute, the Wisconsin Institutes for Discovery, is organized under the UW-Madison Graduate School. The private portion of the facility is owned by the Wisconsin Alumni Research Foundation (WARF), which is an independent, nonprofit foundation chartered to support research at UW-Madison and the designated technology transfer organization for the university. The facility was originally undertaken with \$50.0 million in State of Wisconsin and University funding, \$110.0 million contributed by WARF, and a \$50.0 million donation from a private donor. The Morgridge Institute for Research, an independent IRC 501(c)(3) medical research organization, occupies the majority of the WARF-owned portion of the building.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 11 – Other Organizations
C – The Wisconsin Institutes for Discovery (continued)

The Wisconsin Institutes for Discovery facility is a 300,000 square foot building located at 330 North Orchard Street in Madison, Wisconsin. Since the University initially owned all of this land, the University and WARF became parties to a Real Property Exchange Agreement dated January 19, 2007. Under the terms of the Exchange Agreement, the University agreed to convey to WARF a portion of this land, and WARF agreed to convey to the University properties of equal value as defined in the agreement. In fiscal years 2008-09 and 2010-11, the University recorded \$4.3 million and \$7.7 million, respectively, as Land and Capital Contributions for the fair market value of the properties WARF has conveyed to the University of Wisconsin System under this agreement. The remainder of the property was transferred to the Board of Regents of the University in November 2016.

The Wisconsin Institutes for Discovery is operated as a condominium. University and WARF are the members of The Wisconsin Institutes for Discovery Condominium Association, Inc. (Association), as set forth in the Condominium Declaration dated September 25, 2009. Ownership of the facility has been determined to be 30% University and 70% WARF. Of the total capitalized cost, the University capitalized \$60.1 million as Buildings, and the remaining amount was capitalized by WARF. Under the terms of the Condominium Declaration, the Association contracts with WARF for purposes of the management and operation of the property. The parties also entered into an Operating and Services Agreement that sets forth the mutually agreed upon specifics of such management and operation.

D – La Crosse Medical Health Science Education Research Center

On June 6, 1997, the Board of Regents entered into a Use Agreement with The La Crosse Medical Health Science Consortium, Inc. (The Consortium), a Wisconsin non-stock corporation tax exempt under IRC 501(c)(3) with offices at 1725 State Street, La Crosse, Wisconsin. The Use Agreement makes available the exclusive use of the La Crosse Medical Health Science Education Research Center to The Consortium. As required by this Use Agreement, the University has entered into various operating agreements with The Consortium, including a lease agreement. Under the terms of the lease, The Consortium makes payments equal to the debt service on all outstanding bonds issued by the State of Wisconsin to acquire, construct, or improve the leased facilities. At June 30, 2016, the present value of these future lease payments totaled \$1.5 million, compared to \$2.6 million at June 30, 2015, an amount equal to the principal on the related bonds outstanding; the asset is included on the balance sheet as part of the capital lease receivable, and the related debt is included as part of the total University bonds outstanding of \$1,384.1 million and \$1,371.5 million at June 30, 2016 and June 30, 2015, respectively. The leased facilities are not included as part of the University's investment in buildings since they have been reported by The Consortium in their audited financial statements in accordance with the generally accepted accounting principles that pertain to the reporting of leased assets.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 11 – Other Organizations

D – La Crosse Medical Health Science Education Research Center (continued)

During the fiscal year ended June 30, 2016, the University provided services and rent to The Consortium totaling \$0.67 million. The cost of the services provided and the associated revenue are included in the Statement of Revenues, Expenses, and Changes in Net Position. The amounts spent for services received are included as salaries and fringe benefits and supplies and services expenses on this statement. The services received were funded by an equivalent amount of revenue from state appropriations.

E – University of Wisconsin-Platteville Real Estate Foundation

In July 2012, the Board of Regents of the University entered into a Lease Agreement with the University of Wisconsin-Platteville Real Estate Foundation, Inc. (The Foundation), a Wisconsin non-profit corporation. The Lease Agreement made available to The Foundation a land parcel owned by the University of Wisconsin System for purposes of constructing a residence hall and dining premises.

The Wisconsin Department of Administration and The Foundation entered into a lease agreement in June 2013 for use of the residence hall and dining premises by the University of Wisconsin-Platteville. The lease commenced August 1, 2013 and includes annual rental payments of \$2.5 million to The Foundation for 30 years. The lease also includes an option to purchase the facility.

F – Funds Held In Trust by Others

Funds held in trust by others are endowment funds held by trustees outside of the University Trust Funds for the benefit of the University. The market value of these funds amounted to \$177.2 million at June 30, 2016, compared with \$187.9 million at June 30, 2015. During fiscal year 2016, \$1.1 million of these funds was made available by the trustees for spending.

NOTE 12 – Classification of Net Position

Net Position is reported in the following categories: Net Investment in Capital Assets, Restricted-Pensions, Restricted-Nonexpendable, Restricted-Expendable, Restricted-Student Loans, Restricted-Other, and Unrestricted.

Net Investment in Capital Assets includes assets, such as buildings, construction in progress, and equipment, that are reported net of related debt. Restricted funds are those that have externally-imposed stipulations. Restricted-Pensions funds are those that must be used to fund future pension obligations. Restricted-Nonexpendable funds are those that must be permanently maintained, such as permanent endowments. The remaining three restricted categories include balances such as those for quasi-endowments; segregated fees; student loans; federal aid; and gifts, grants, and contracts. These funds are expendable subject to actions of the University that are pursuant to stipulations or may become expendable by the passage of time. Unrestricted funds are those that are not subject to external stipulations. However, most of the unrestricted funds have been identified for academic and research programs and initiatives, and capital programs.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 12 – Classification of Net Position (continued)

The amounts within each category at June 30, 2016 and June 30, 2015 are as follows:

	<u>2016</u>	<u>2015</u>
Net Investment in Capital Assets	\$ 4,383,247,748	\$ 4,386,420,962
Restricted – Pensions	-	330,166,674
Restricted – Nonexpendable		
Permanent Endowment	181,685,224	194,516,535
Restricted – Expendable		
Quasi-Endowment	247,116,988	235,454,703
Auxiliary Operations – Segregated Fees	<u>93,574,988</u>	<u>87,508,726</u>
Subtotal	340,691,976	322,963,429
Restricted – Student Loans		
Federal Aid – Student Loans	191,342,336	191,887,916
Gifts – Student Loans	31,045,867	30,229,582
Endowment Funds	<u>13,364,280</u>	<u>14,512,915</u>
Subtotal	235,752,483	236,630,413
Restricted – Other		
Federal Aid	34,321,130	22,807,886
Gifts and Nonfederal Grants & Contracts	279,704,890	226,598,149
Endowment Funds	11,183,544	15,313,214
Construction Fund	124,826,819	117,429,175
Segregated Revenue	537,231	410,541
All Other Restricted Program Revenue	<u>2,826,320</u>	<u>2,003,599</u>
Subtotal	453,399,934	384,562,564
Unrestricted		
Tuition (Academic & Extension Student Fees)	376,901,931	363,504,921
General Operations	156,194,334	136,168,650
Auxiliary Operations (Non-Segregated Fee)	271,955,630	224,417,917
Indirect Cost Reimbursement	159,901,195	166,571,897
Endowment Funds	51,704,640	66,191,813
All Other Unrestricted Program Revenue	31,356,062	31,474,619
Gifts and Nonfederal Grants & Contracts (Note 1)	(30,992,666)	(35,945,278)
Federal Aid (Note 1)	(4,142,058)	(14,154,229)
All Other Non-Program Revenue (Note 2)	<u>(28,797,783)</u>	<u>(104,425,627)</u>
Subtotal	984,081,285	833,804,683
Total Net Position	<u>\$ 6,578,858,650</u>	<u>\$ 6,689,065,260</u>

Note 1: Funds are typically collected on a reimbursement basis resulting in a negative balance at year end.

Note 2: The negative balance results primarily from an accumulating effect of accrual entries on General Purpose Revenue and Segregated Revenue funds.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 12 – Classification of Net Position (continued)

The following table shows reclassifications which are done to conform to reporting requirements related to the State of Wisconsin's CAFR. As a reporting entity, the University cannot exercise total discretion over the use of net position of segregated fee auxiliary operations because of statutory mandates; however, they do have discretion in the use of the net position of quasi-endowments reported as unrestricted.

CAFR reclassifications as of June 30, 2016 (in millions):

	University of Wisconsin System	Auxiliary Operations	Quasi- Endowments	Student Loans	State of Wisconsin CAFR
Net Investment in					
Capital Assets	\$ 4,383.2	\$ -	\$ -	\$ -	\$ 4,383.2
Nonexpendable	181.7	-	-	-	181.7
Expendable	340.7	(93.6)	36.5	-	283.6
Student Loans	235.8	-	-	(9.8)	226.0
Other	453.4	-	-	9.8	463.2
Unrestricted	<u>984.1</u>	<u>93.6</u>	<u>(36.5)</u>	<u>-</u>	<u>1,041.2</u>
Total Net Position	<u>\$ 6,578.9</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 6,578.9</u>

CAFR reclassifications as of June 30, 2015 (in millions):

	University of Wisconsin System	Auxiliary Operations	Quasi- Endowments	Student Loans	State of Wisconsin CAFR
Net Investment in					
Capital Assets	\$ 4,386.4	\$ -	\$ -	\$ -	\$ 4,386.4
Restricted for					
Pensions	330.2	-	-	-	330.2
Nonexpendable	194.5	-	-	-	194.5
Expendable	323.0	(87.5)	51.9	-	287.4
Student Loans	236.6	-	-	(11.0)	225.6
Other	384.6	-	-	11.0	395.6
Unrestricted	<u>833.8</u>	<u>87.5</u>	<u>(51.9)</u>	<u>-</u>	<u>869.4</u>
Total Net Position	<u>\$ 6,689.1</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 6,689.1</u>

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 13 – Prior Period Adjustments and Other Restatements

The June 30, 2016 Statement of Revenues, Expenses, and Changes in Net Position includes the following prior period adjustment:

<u>Account Affected</u>	<u>Amount</u>	<u>Explanation</u>
Other Operating Revenue	\$40,580,662	Correction of an error in 2015.
Unrestricted Net Position	(40,580,662)	

The June 30, 2015 Statement of Revenues, Expenses, and Changes in Net Position includes the following two prior period adjustments:

<u>Account Affected</u>	<u>Amount</u>	<u>Explanation</u>
Restricted Net Pension Asset	\$518,239,456	Implementation of GASB Statement No. 68
Net Position	(518,239,456)	
Other Post-Employment Benefits Liability	(233,006,049)	Change in accounting principle for reporting the liability related to post-employment benefits other than pensions. This liability was disclosed in prior years. However, including it in the statements provides a more complete picture of the UW System's future liabilities.
Net Position	233,006,049	

NOTE 14 – Contingent Liabilities

The University of Wisconsin System is covered by the State of Wisconsin's self-funded program with settlements or judgments paid from the State Risk Management Fund. Loss experience is charged back to the individual University of Wisconsin institutions in subsequent years based on exposure and experience with caps in place for large losses.

The University of Wisconsin System is party in a number of legal actions. While final resolutions have not yet been determined, management is of the opinion that any liabilities resulting from these actions will not have a material adverse effect on the University of Wisconsin System's financial position.

UNIVERSITY OF WISCONSIN SYSTEM
Notes to the Financial Statements
Years Ended June 30, 2016 and 2015

NOTE 15 – Subsequent Events

In July 2016, the State issued \$93.7 million of general obligation bonds. Of the \$93.7 million, \$84.0 million was issued as tax exempt obligations (Series B) and \$9.7 million was issued as taxable obligations (Series C). The bonds of both series are to be used for the acquisition, construction, development, extension, enlargement or improvement of land, water, property, highways, buildings, equipment or facilities for public purposes. The interest rates associated with the Series B bonds were set at 4.0 to 5.0 percent payable semiannually beginning November 1, 2016 and the interest rates associated with the Series C bonds were set at 0.80 to 2.00 percent payable semiannually beginning November 1, 2016. The Series B bonds mature annually beginning May 1, 2018 through May 1 2023, and the Series C bonds mature annually beginning May 1, 2018 through May 1, 2026. The total par amount of the 2016 Series B bonds issued for University purposes was \$10.9 million; additional purchase premium proceeds from this issue were also applied for UW purposes. No 2016 Series C bonds were issued for University purposes.

In August 2016, the State of Wisconsin (State) issued \$370.8 million of 2016 Series 2 Refunding general obligation bonds to be used for advance refunding of certain principal of previously issued general obligation bonds. The interest rates associated with these bonds were set at 1.5 to 5.0 percent payable semiannually beginning November 1, 2016. The bonds mature annually beginning November 1, 2021 through November 1, 2030.

In September 2016, the State issued \$136.0 million of 2016 Series A general obligation commercial paper notes to be used to fund previously issued general obligation extendible municipal commercial paper notes. A portion of the previously issued general obligation extendible municipal commercial paper notes were issued for borrowing purposes for the University.

In October 2016, the State issued \$324.4 million of general obligation bonds. The bonds are to be used for the acquisition, construction, development, extension, enlargement or improvement of land, water, property, highways, buildings, equipment or facilities for public purposes. The interest rates associated with the bonds were set at 4.0 to 5.0 percent payable semiannually beginning May 1, 2017. The bonds mature annually beginning May 1, 2018 through May 1 2037. The total par amount of the 2016 Series D bonds issued for University purposes was \$17.1 million; additional purchase premium proceeds from this issue were also applied for University purposes.

In March 2017, the State issued \$335.3 million of general obligation bonds. The bonds are to be used for the acquisition, construction, development, extension, enlargement or improvement of land, water, property, highways, buildings, equipment or facilities for public purposes. The interest rates associated with the bonds were set at 4.0 to 5.0 percent payable semiannually beginning November 1, 2017. The bonds mature annually beginning May 1, 2022 through May 1, 2037. The total par amount of the 2017 Series A bonds issued for University purposes was \$88.9 million; additional purchase premium proceeds from this issue were also applied for University purposes.

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UNIVERSITY OF WISCONSIN SYSTEM
Required Supplementary Information
and Notes to Required Supplementary
Information
Years Ended June 30, 2016 and 2015

Required Supplementary Information

University of Wisconsin System's Proportionate Share of the Net Pension Liability (Asset)
Wisconsin Retirement System

	<u>2016</u>	<u>2015</u>
Proportion of the net pension liability (asset)	13.59%	13.44%
Proportionate share of the net pension liability (asset)	\$ 220,794,780	\$ (330,166,674)
Covered-employee payroll	\$ 1,924,520,818	\$ 1,896,092,723
Proportionate share as a percentage of covered payroll	11.47%	17.41%
Plan's fiduciary net position as a percentage of the total pension liability	98.2%	102.74%

*The amounts presented for each fiscal year were determined as of the calendar year-end that occurred within the fiscal year

GASB standards require the presentation of 10 years of information. Because fiscal year 2015 was the first year for reporting this information, a full 10-year schedule will not be available until fiscal year 2024.

University of Wisconsin System's Pension Contributions
Wisconsin Retirement System

	<u>2016</u>	<u>2015</u>
Contractually required contributions	\$ 131,542,672	\$ 133,468,069
Contributions recognized in relation to the contractually required contributions	<u>131,542,672</u>	<u>133,468,069</u>
Contribution deficiency (excess)	\$ -	\$ -
Covered-employee payroll	\$ 1,924,520,818	\$ 1,896,092,723
Contributions recognized as a percentage of covered-employee payroll	6.84%	7.04%

*The amounts presented for each fiscal year were determined as of the calendar year-end that occurred within the fiscal year

GASB standards require the presentation of 10 years of information. Because fiscal year 2015 was the first year for reporting this information, a full 10-year schedule will not be available until fiscal year 2024.

Notes to Required Supplementary Information
for the Year Ended June 30, 2016

Changes of benefit terms. There were no changes of benefit terms for any participating employer in WRS.

Changes in assumptions. There were no changes in the assumptions.

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Years Ended June 30, 2016 and 2015

SUPPLEMENTAL INFORMATION

CHART 1
COMPARISON OF CURRENT FUNDS REVENUES
2006-2016

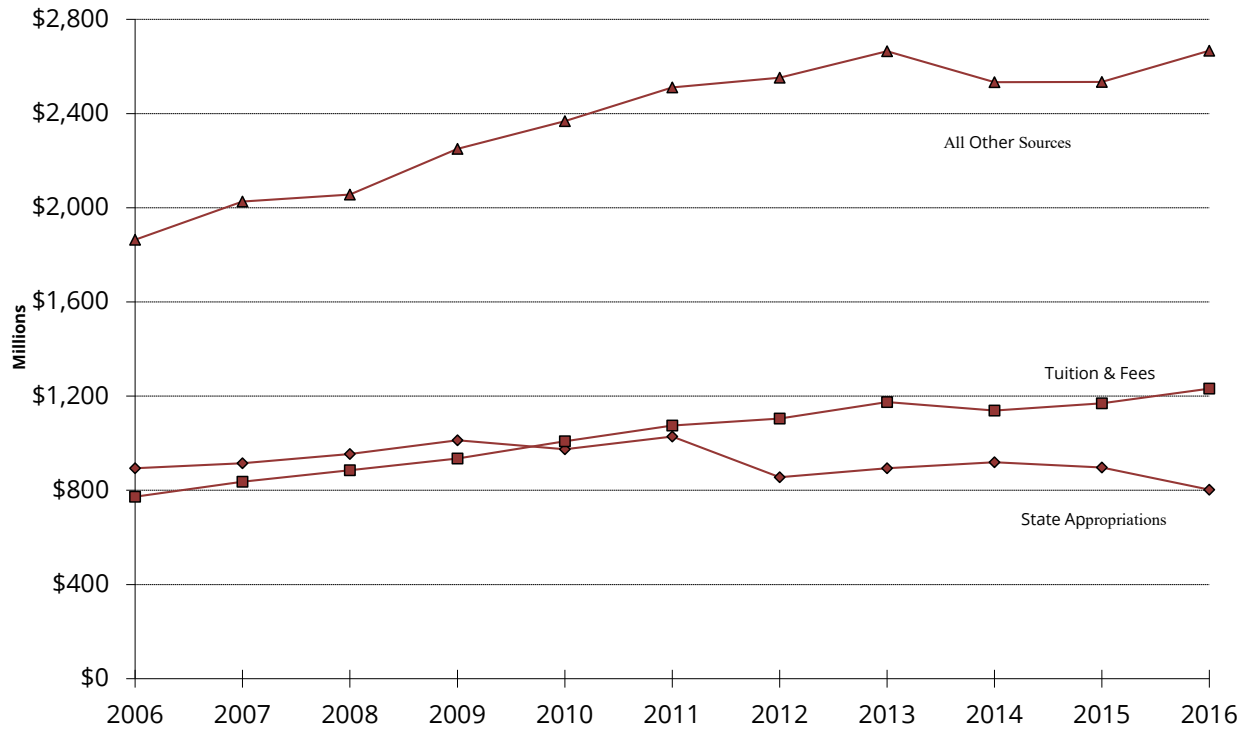


CHART 2
COMPARISON OF CURRENT FUNDS REVENUES
ADJUSTED FOR INFLATION
2006- 2016

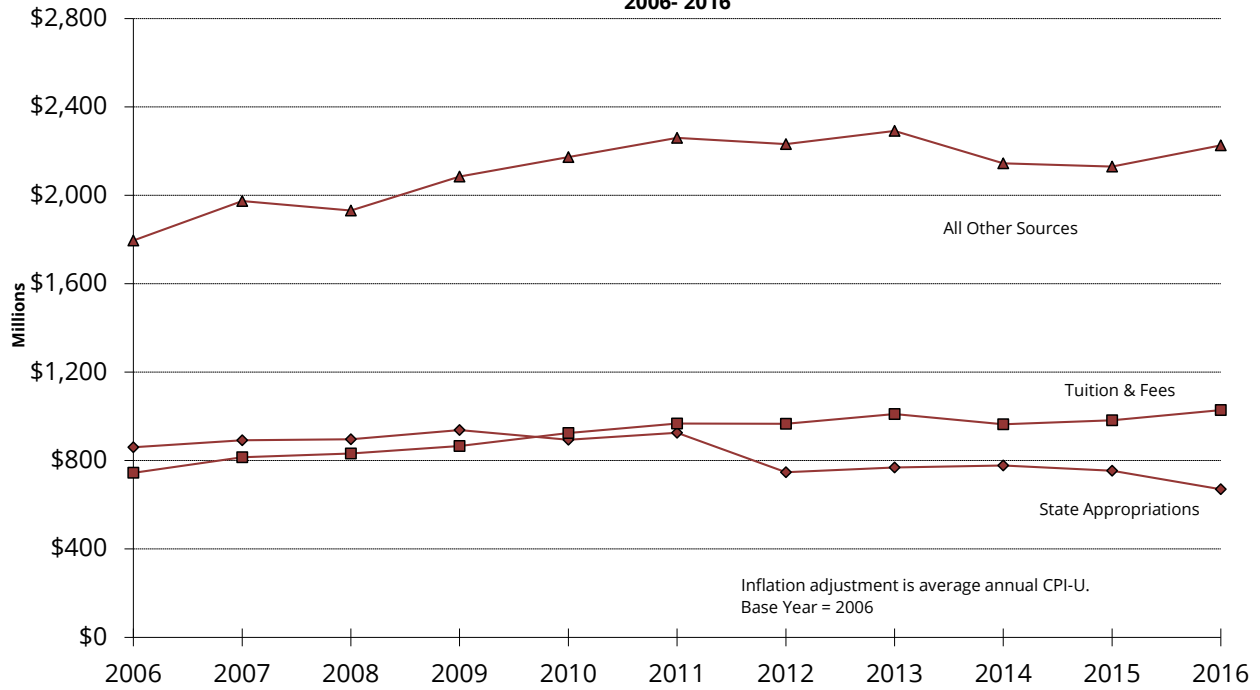
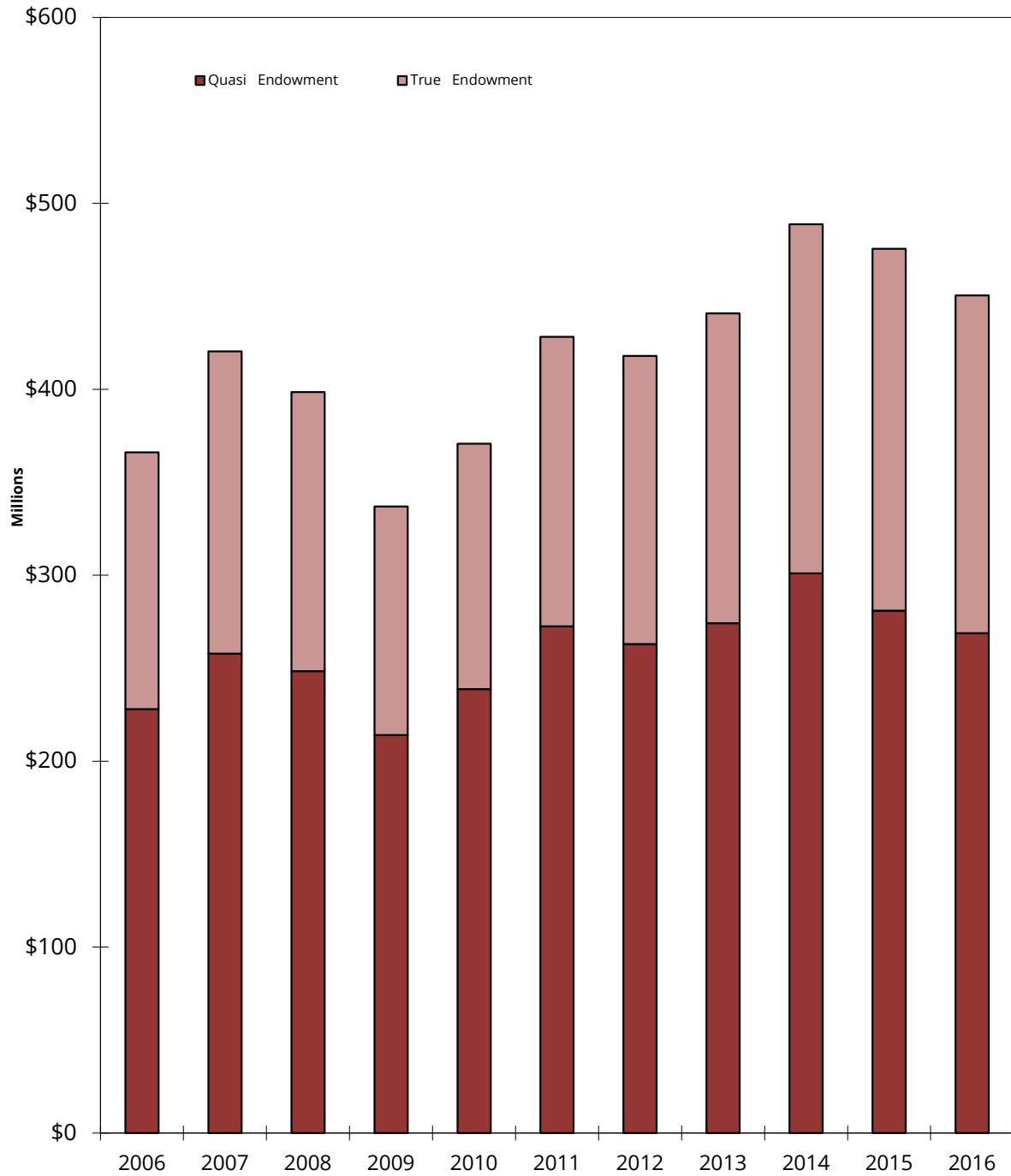


CHART 3
UNIVERSITY-CONTROLLED ENDOWMENTS
2006-2016



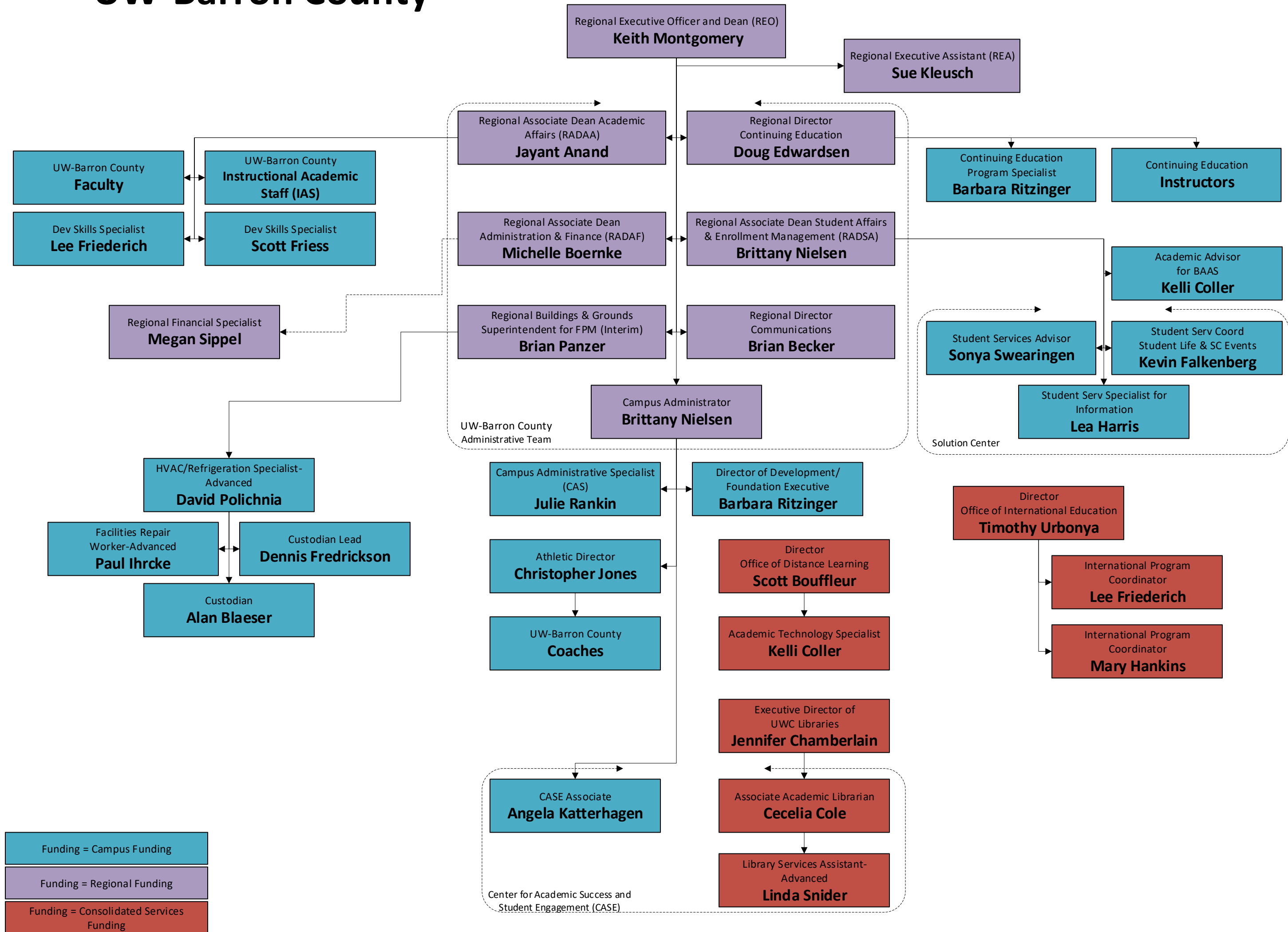
Charts have been prepared based on generally accepted accounting principles in effect prior to the adoption of GASB Statement No. 35

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UW Colleges Funding Organizational Charts

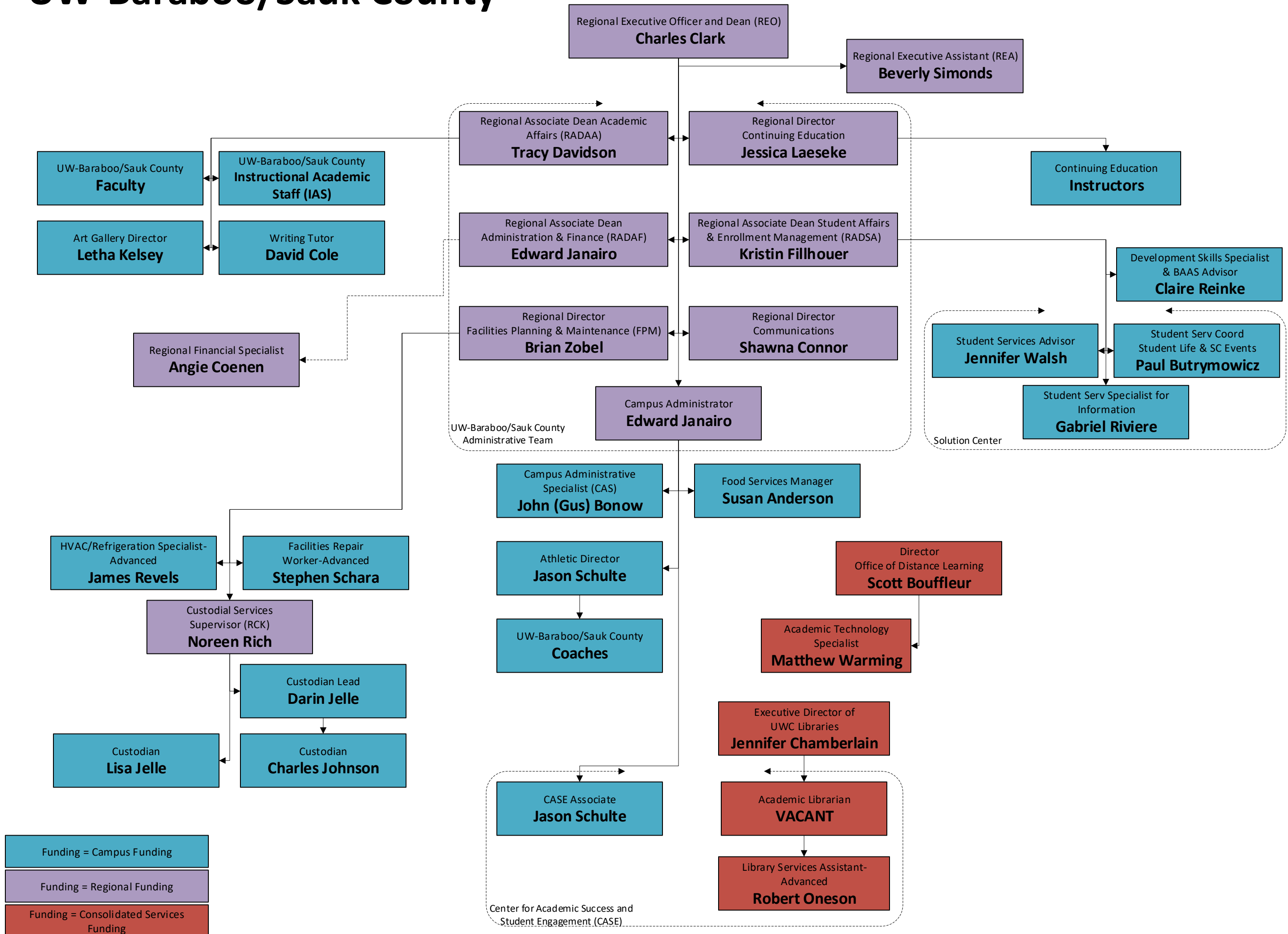
UW-Barron County

Updated 06/15/2017

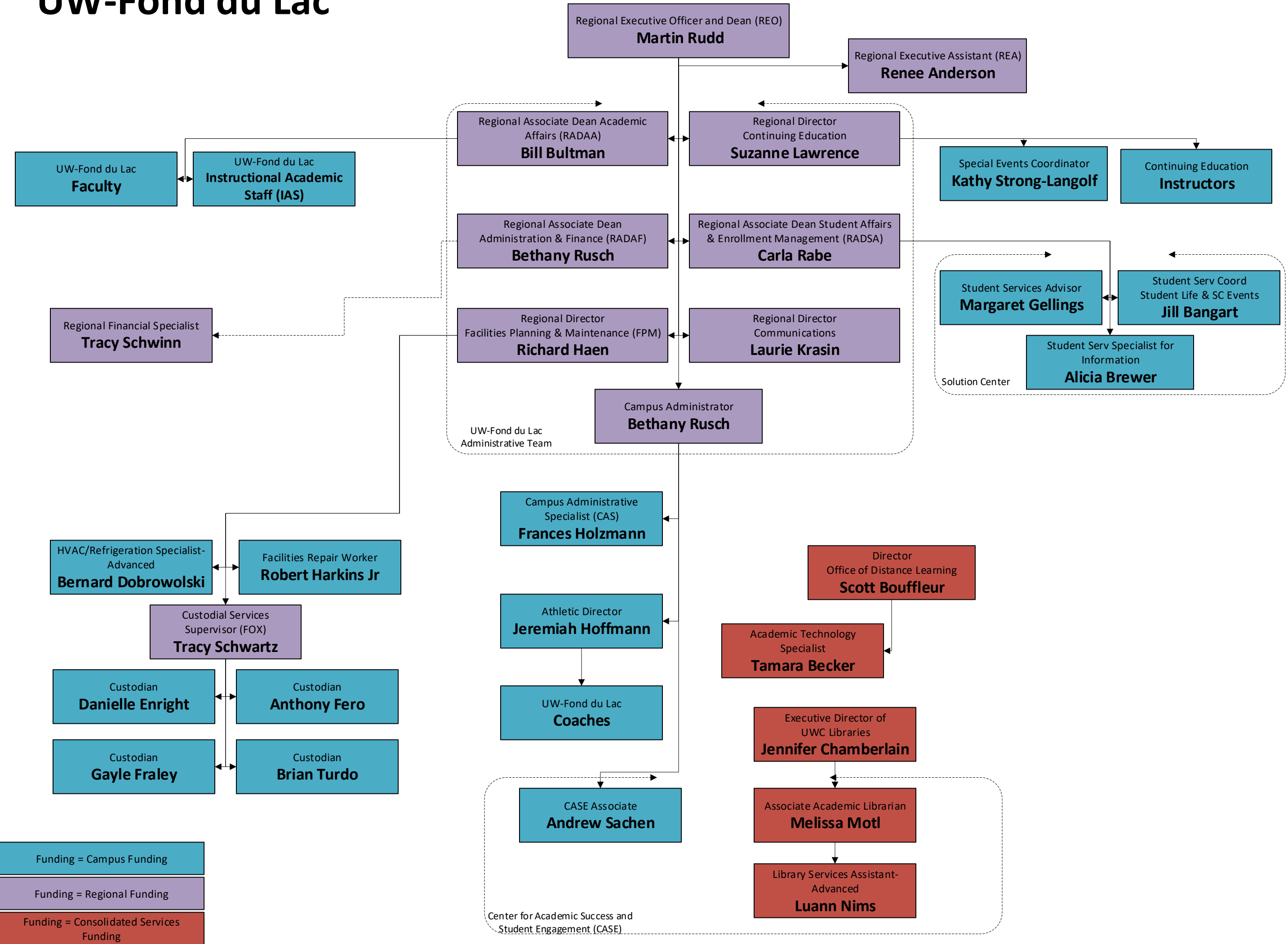


UW-Baraboo/Sauk County

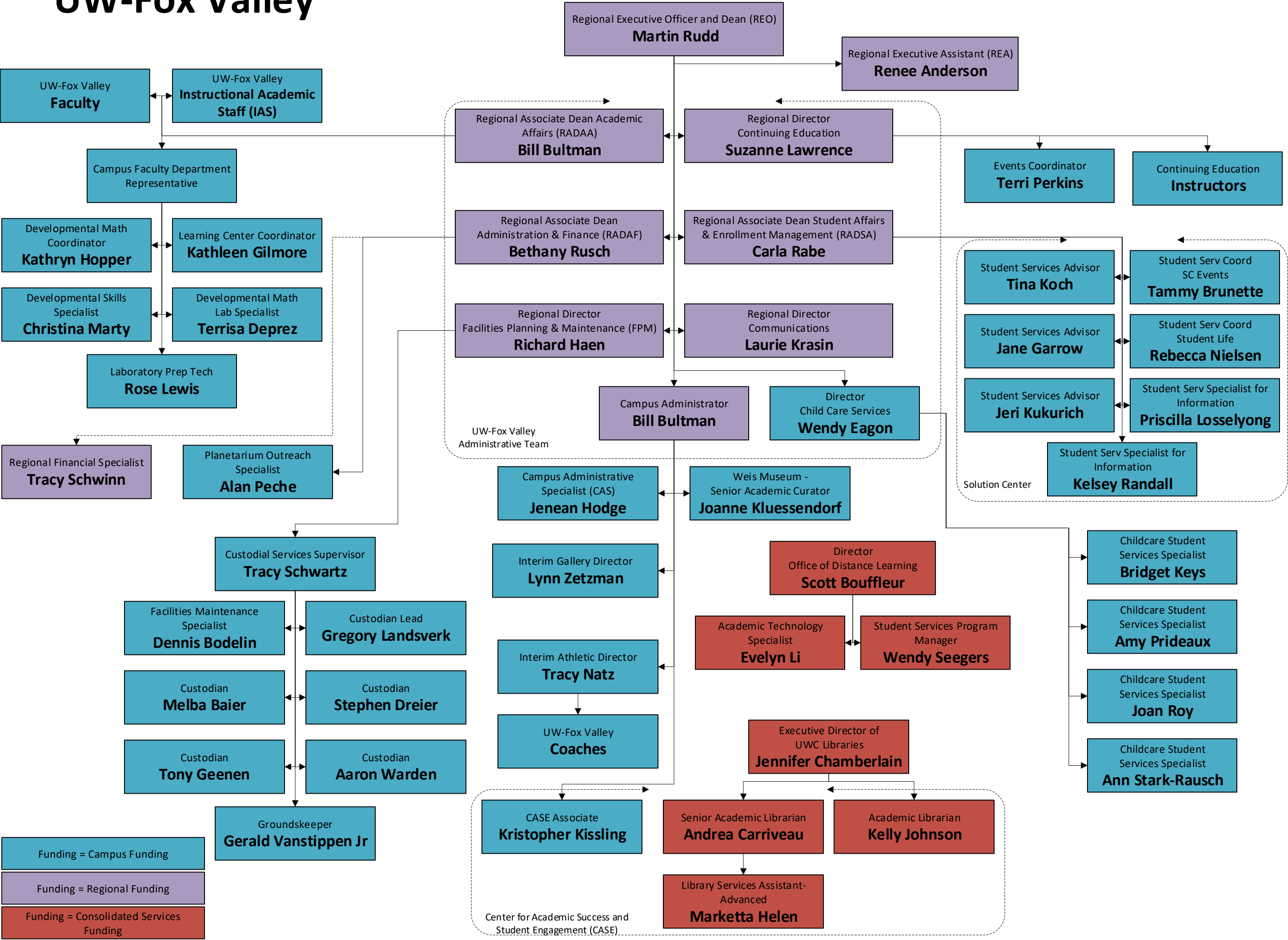
Updated 06/15/2017



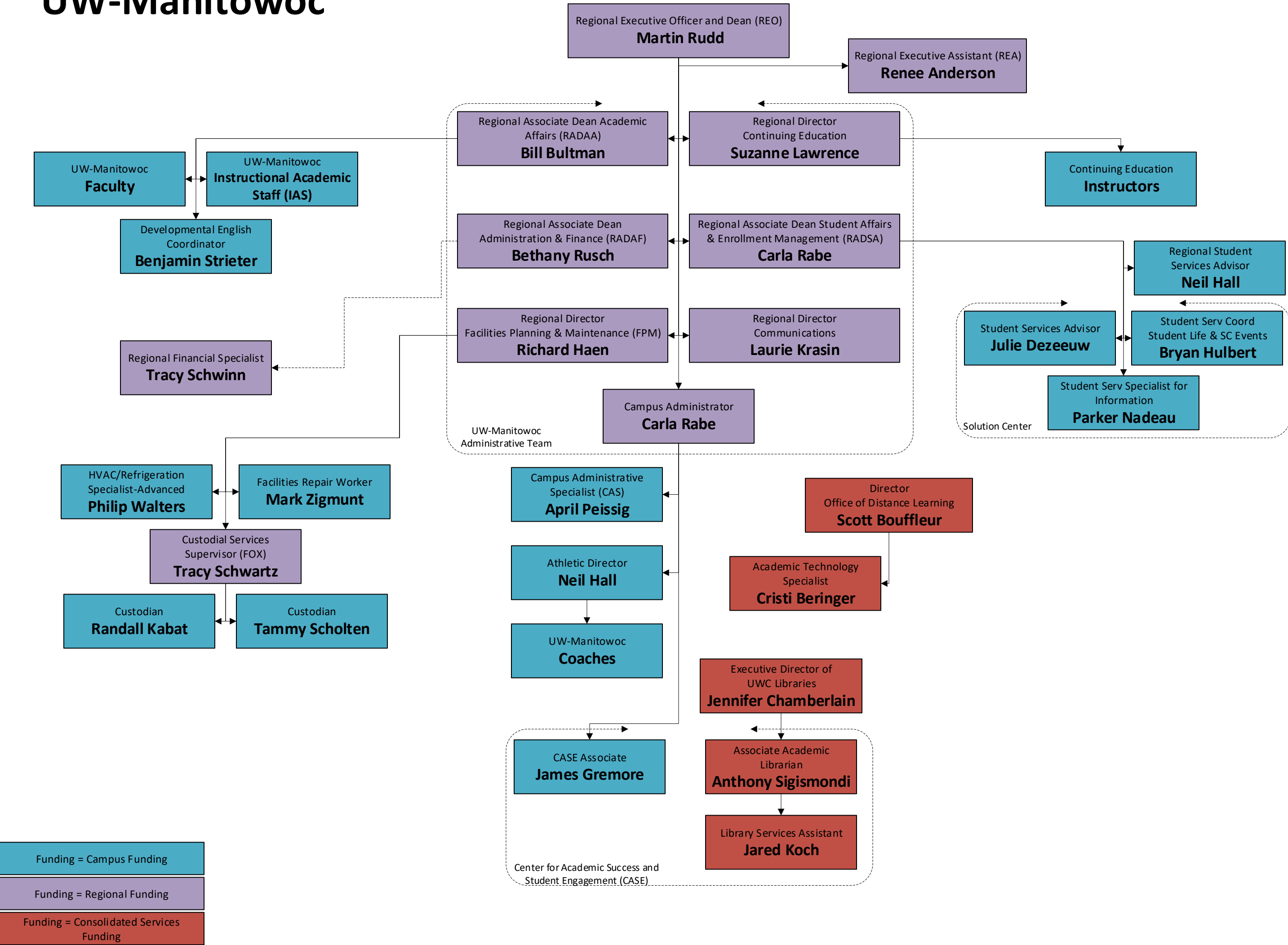
UW-Fond du Lac



UW-Fox Valley



UW-Manitowoc



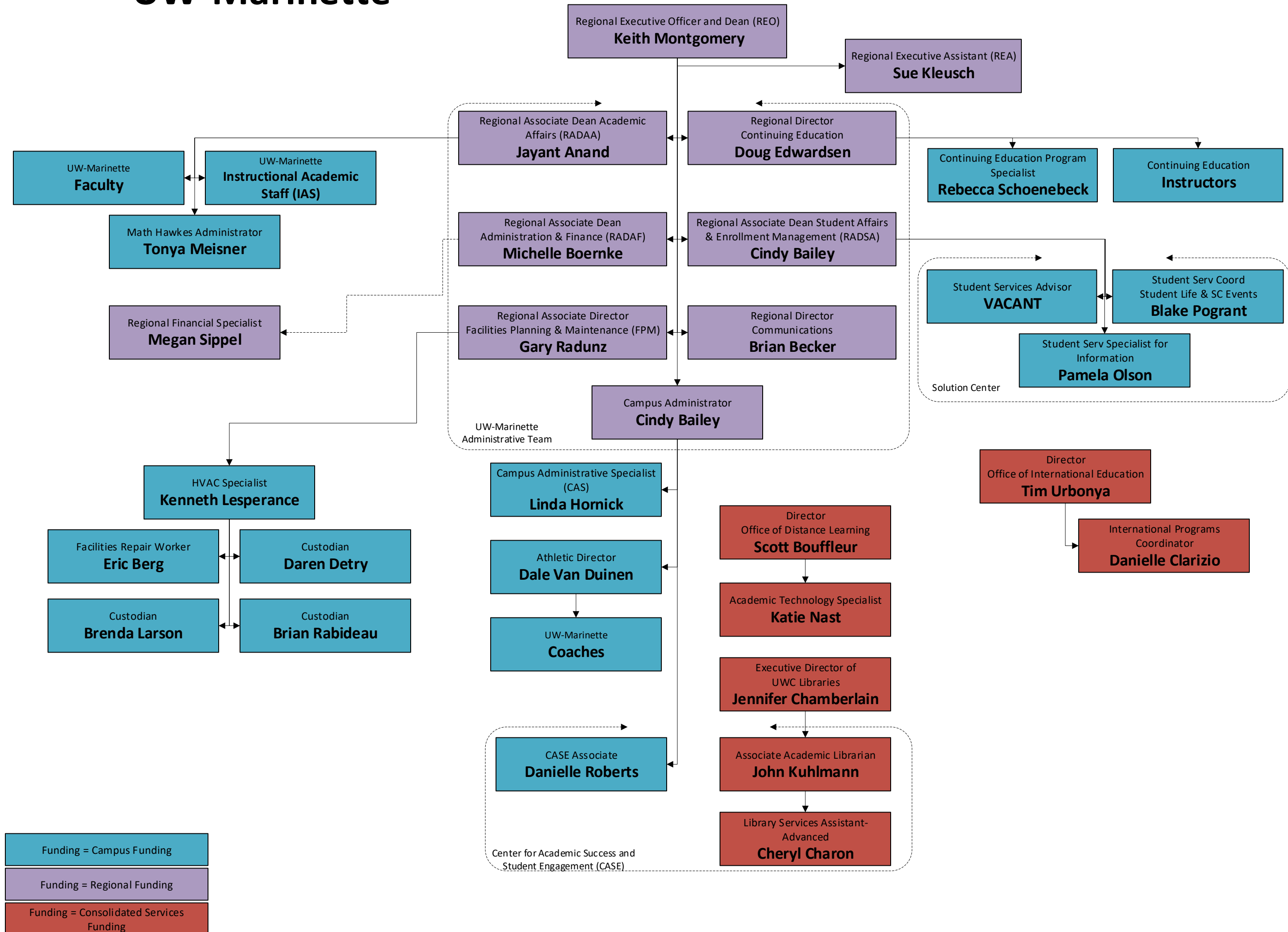
Funding = Campus Funding

Funding = Regional Funding

Funding = Consolidated Services Funding

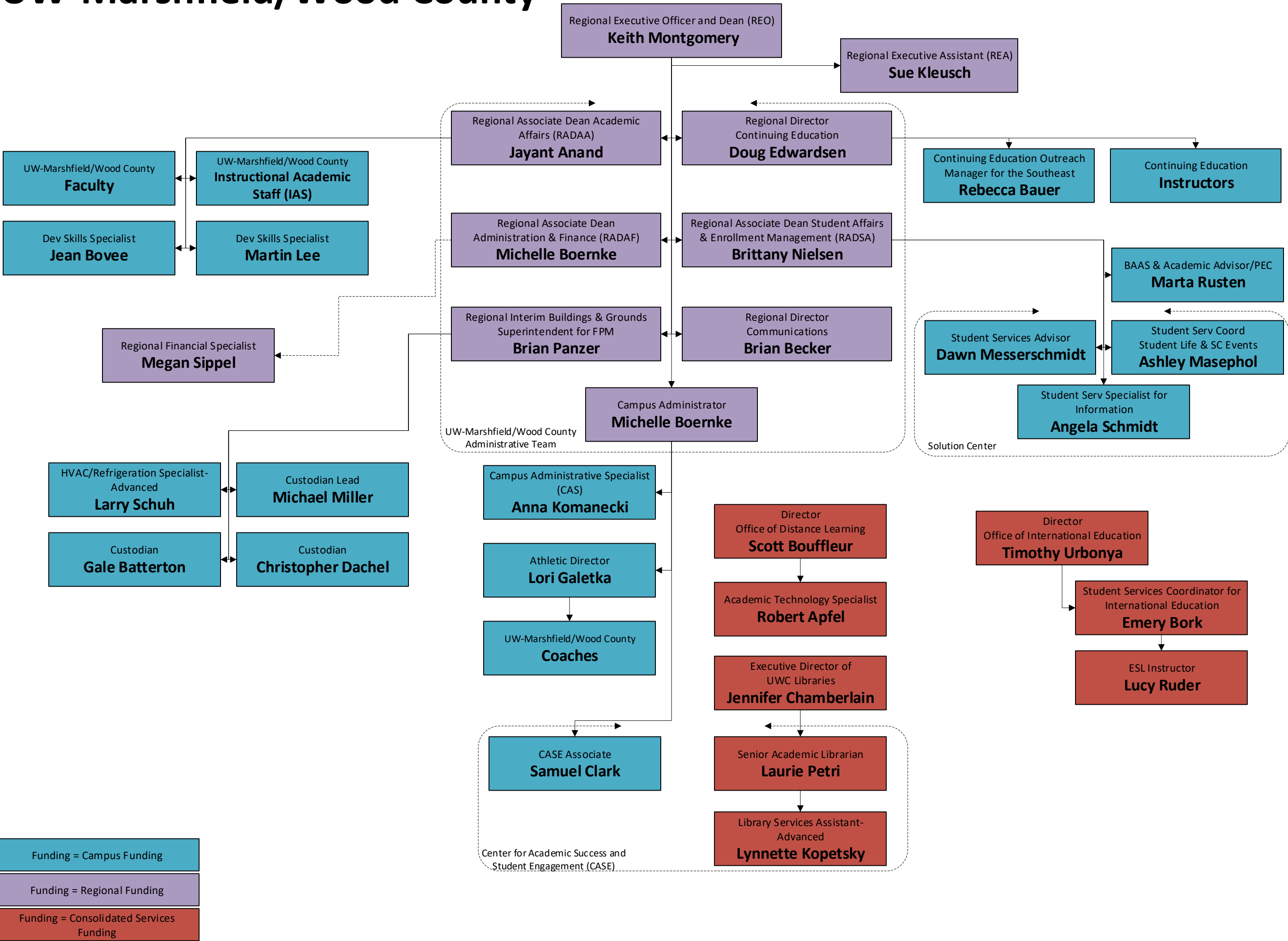
UW-Marinette

Updated 06/15/2017



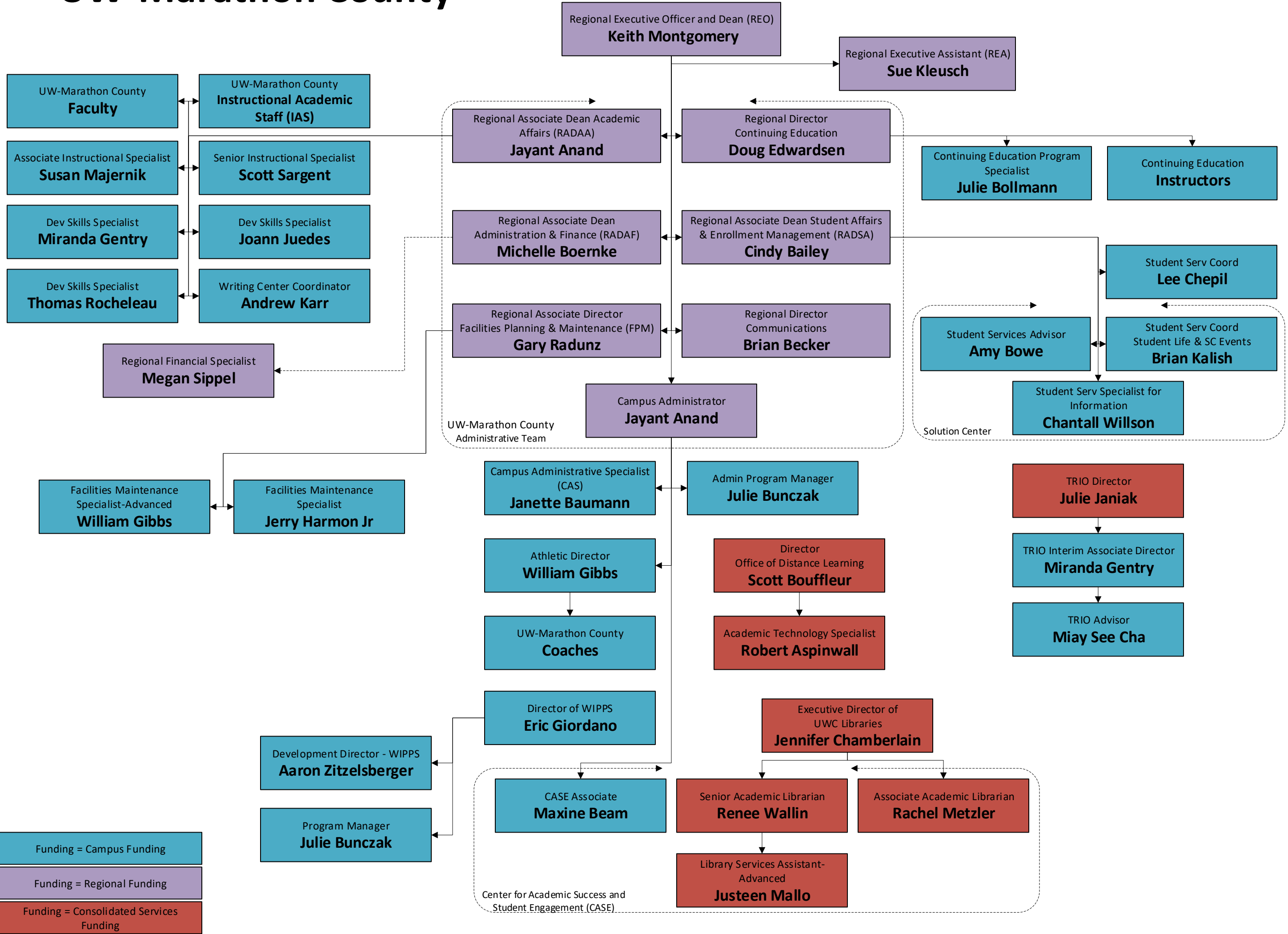
UW-Marshfield/Wood County

Updated 06/15/2017



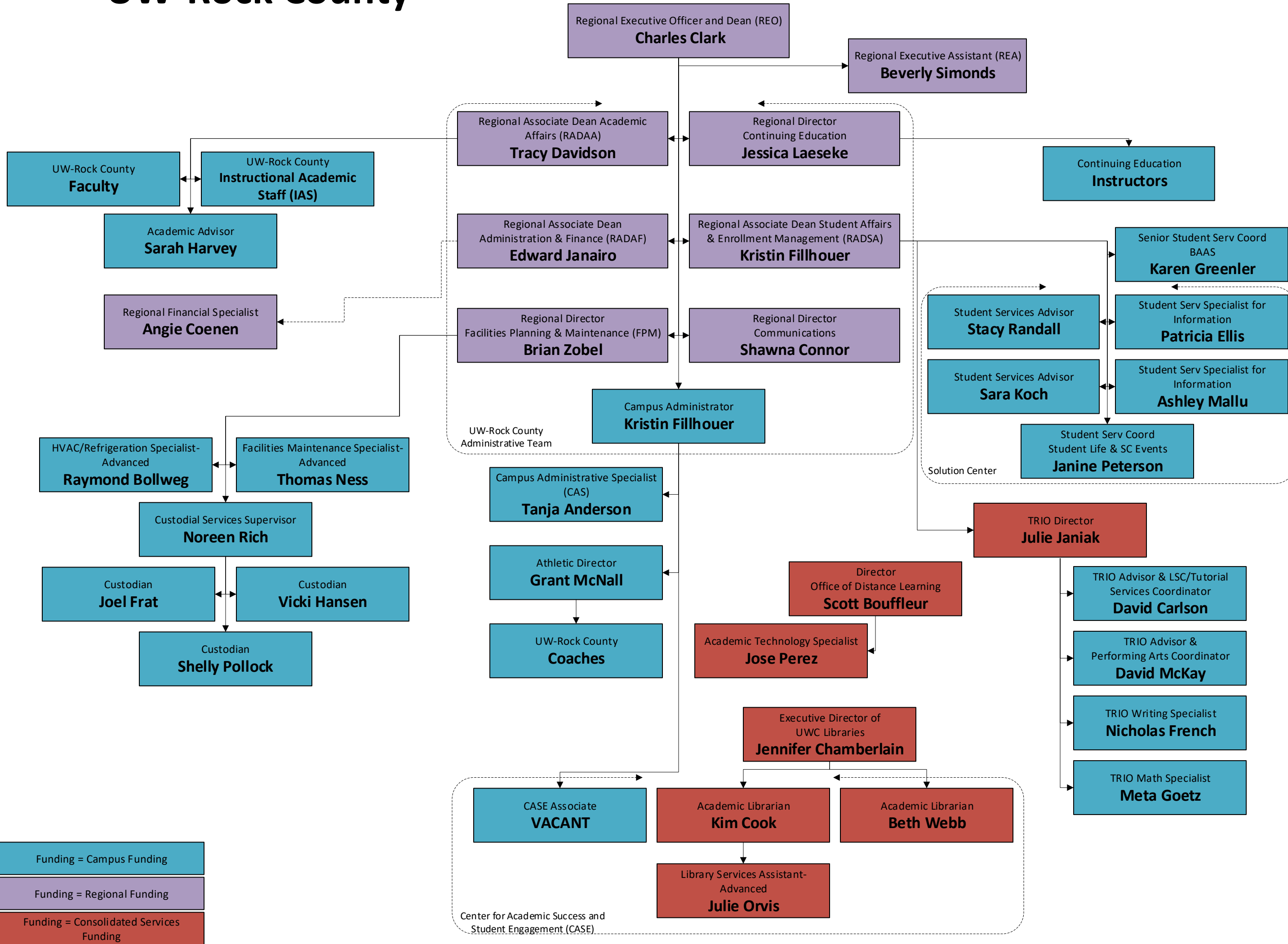
UW-Marathon County

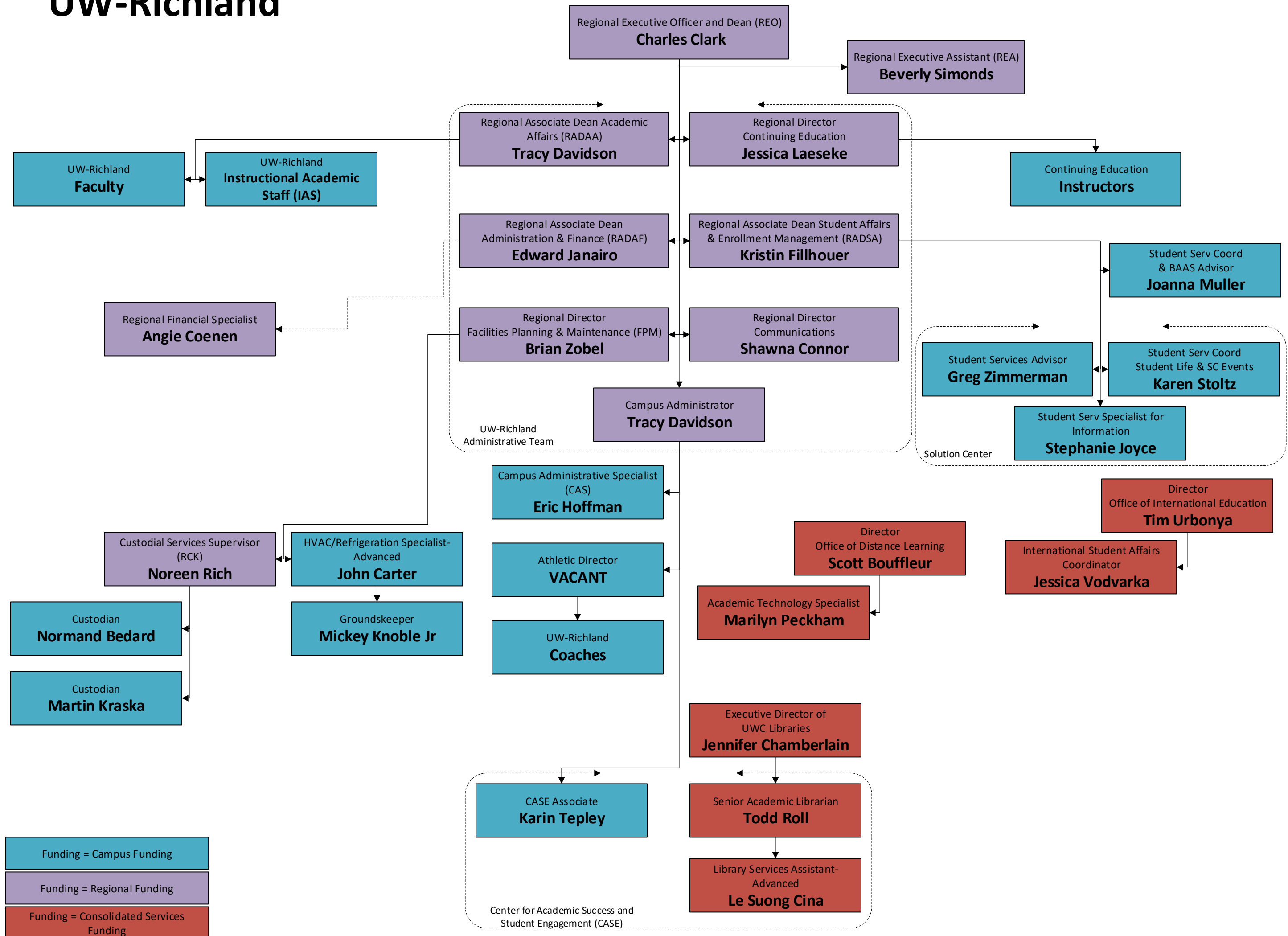
Updated 06/15/2017



UW-Rock County

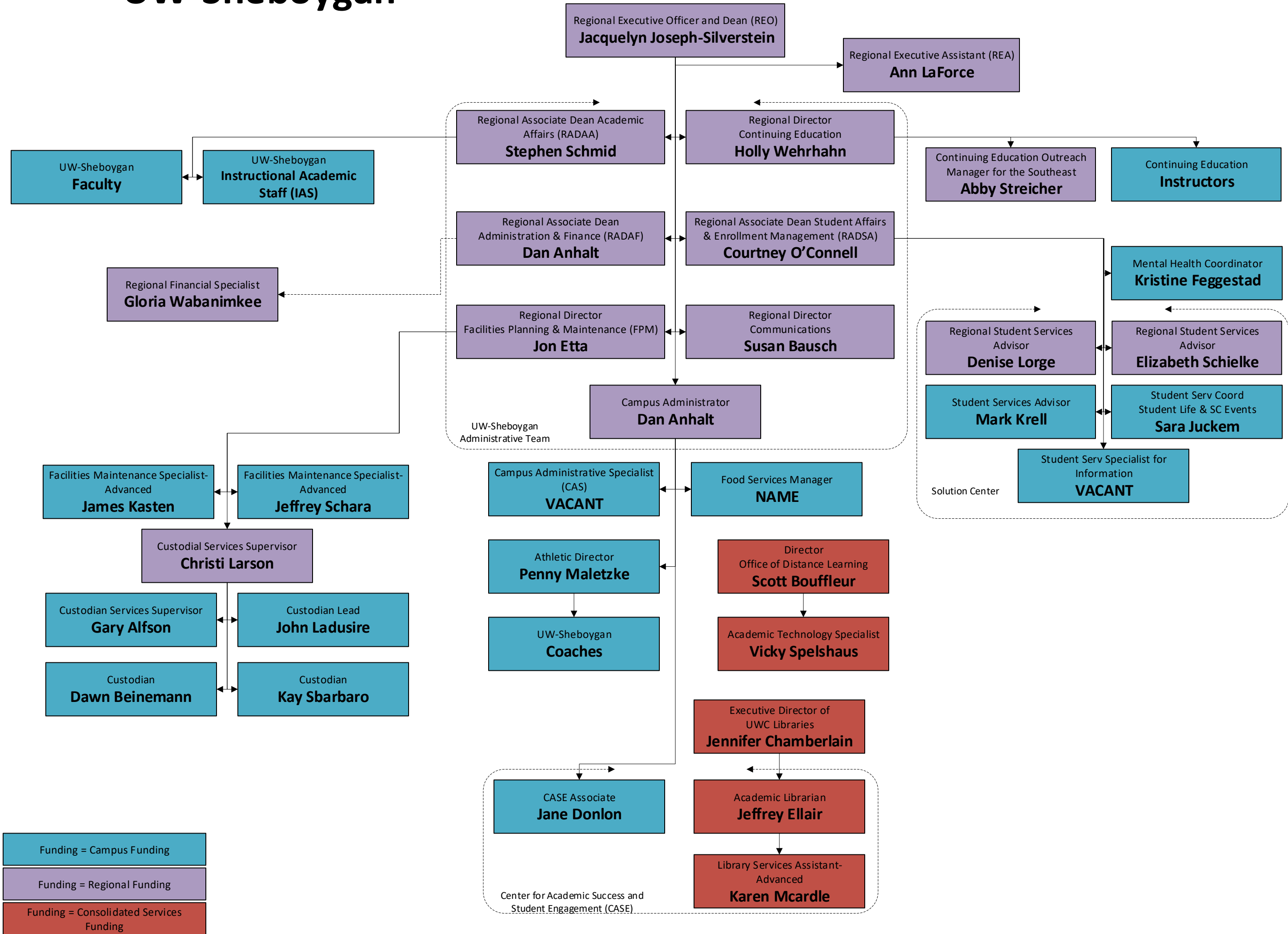
Updated 06/15/2017

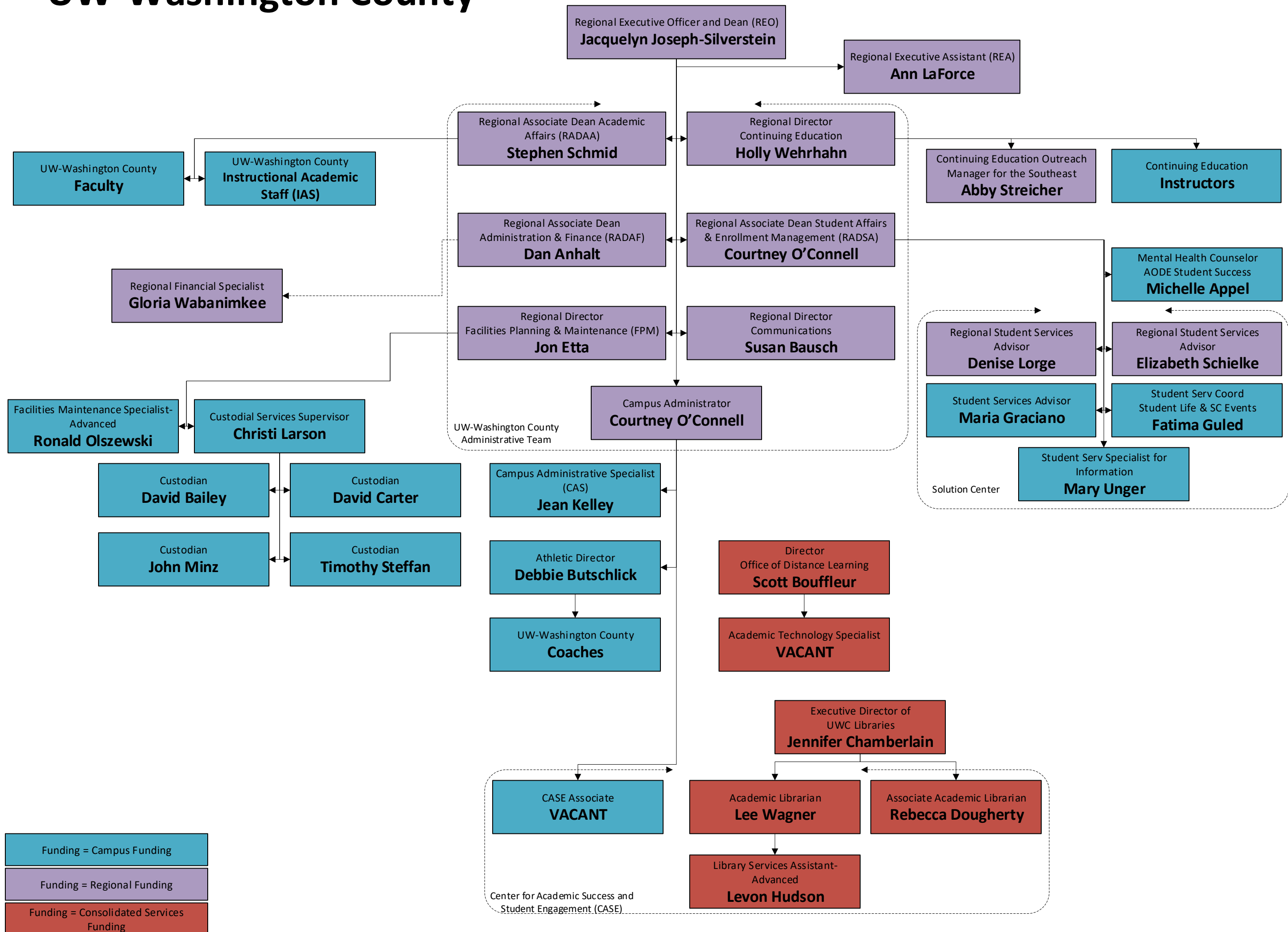




UW-Sheboygan

Updated 06/15/2017





APPENDIX G

Supporting Evidence

UW- Eau Claire Supporting Evidence

Undergraduate Academic Program Changes: Is Action Required? (US 11/11, 4/13, 4/16)

Type of Proposal		Level								
		Dept. or equivalent	*College/School Curr. Committee	College/School Faculty	Univ. Senate APC	University Senate	** University Faculty	***Administration	System Administration	Board of Regents
Courses (including Honors)	Establish new course	Y	Y	I	N	N	N	D	N	N
	Eliminate course	Y	Y	I	N	N	N	D	N	N
	Substantial course content change	Y	Y	I	N	N	N	D	N	N
	Change title/credits/prerequisites	Y	Y	I	N	N	N	D	N	N
	Honors – Establish new course	Y	—	—	—	—	—	P	N	N
	Honors – Change/eliminate course	Y	—	—	—	—	—	P	N	N
Credit-Bearing Certificate Programs & Study Abroad Programs	Establish or eliminate certificate	Y	Y	N	Y	I	I	P	N	N
	Suspend or reinstate certificate	Y	Y	I	I	—	I	P	N	N
	Change certificate requirements	Y	Y	N	N	N	I	P	N	N
	Establish new study abroad program	—	—	—	Y	I	I	P	N	N
	Eliminate study abroad program	—	—	—	Y	I	I	P	N	N
	Change study abroad requirements	Y	—	—	I	N	I	P	N	N
Minors, Emphases, Academic Concentrations & Pre-Professional Programs	Establish or eliminate	Y	Y	Y	Y	Y	I	P	N	N
	Suspend or reinstate	Y	Y	I	I	—	I	P	N	N
	Change Requirements	Y	Y	N	N	N	I	P	N	N
	Rename	Y	Y	Y	Y	Y	I	P	N	N
Majors	Submit Notice of Intent for new major	Y	N	N	N	N	N	P	Y	N
	Establish new major	Y	Y	Y	Y	Y	I	P	Y	Y
	Eliminate major	Y	Y	Y	Y	Y	I	P	I	I
	Suspend or reinstate major	Y	Y	Y	Y	Y	I	P	Y	I
	Change major requirements	Y	Y	N	N	N	I	P	N	N
	Change major requirements substantively	Y	Y	Y	Y	Y	I	P	Y	I
	Rename major	Y	Y	Y	Y	Y	I	P	I	I
Degrees	Establish new degree	N	Y	Y	Y	Y	I	P	Y	Y
	Eliminate or rename degree	—	Y	Y	Y	Y	I	P	I	I
	Change requirements (university)	N	N	N	Y	Y	I	P	I	N
	Change requirements (college/school)	N	Y	Y	N	N	I	P	I	N
Departments	Establish new department	—	Y	Y	Y	Y	I	P	N	N
	Eliminate or rename department	Y	Y	Y	Y	Y	I	P	N	N
Schools/ Colleges	Establish new college/school	—	—	—	Y	Y	I	P	Y	Y
	Eliminate or rename college/school	—	Y	Y	Y	Y	I	P	I	I
Other	Extramural grants/ programs with new curricular implications	I	I	I	I	I	I	P	Y	N
	Articulation Agreement	I	I	I	I	I	I	P	I	N
	New Prefix	Y	Y	Y	Y	Y	I	P	I	N

Y = Yes N = No — = Not Applicable I = Information Only P = Provost/Vice Chancellor D = Dean

*General and Liberal Education courses require action by the University Liberal Education Committee (ULEC).

**University Faculty are informed of changes through News Bureau publications or by action and minutes of the University Senate. On petition, the Full Faculty may review and confirm, modify, or reject any action of the University Senate.

***All actions are recommendations to the Chancellor. Administrative acceptance is accomplished at the various levels by the Department Chair, Dean, or the Provost/Vice Chancellor.



Yearly Academic Checklist of Assessment Activities

Academic Year Checklist of Assessment Activities: Academic Departments and Programs

Questions: University Assessment Office, 836-4951 or hoffmamf@uwec.edu

Fall Semester

- During contract period, department or program faculty and academic staff meet to discuss findings of assessment of student learning for the previous academic year, evaluate impact of past changes intended to enhance student learning, and institute additional changes to improve student learning
- Chair or director submits list of liberal education (LE) courses and sections in which assessment is to be reported during the semester and informs faculty and instructional academic staff who will be reporting assessment data
- An assessment mentor works with any new faculty or instructional academic staff to provide an orientation to both program and LE assessment
- Chair, director, curriculum committee, or assessment coordinator informs faculty and instructional academic staff of student learning outcomes to be assessed during the semester and the classes being used to assess them
- Early in semester faculty and instructional academic staff teaching the selected courses identify the assignments/artifacts that will be used to assess the assigned student learning outcome
- Faculty and instructional academic staff submit program assessment data by the deadline for fall grade submission; assigned party confirms that program assessment data has been submitted
- Faculty and instruction academic staff submit LE assessment data by the date indicated
- Chair or director submits LE chair form by date indicated

Winterim Semester

- Chair, director, curriculum committee, or assessment coordinator completes and submits program assessment report from the previous academic year (form to be provided)
- Faculty and instructional academic staff submit LE assessment data by the date indicated
- Chair submits LE chair form by date indicated
- *If applicable, chair, director, curriculum committee, or assessment coordinator informs faculty and instructional academic staff of program student learning outcomes to be assessed during the term and the classes being used to assess them*
- *If applicable, early in the term faculty and instructional academic staff identify assignments/artifacts that will be used to assess the assigned student learning outcome*
- *If applicable, faculty and instructional academic staff submit program assessment data by the deadline for winter grade submission*

Spring Semester

- Chair or director submits list of liberal education (LE) courses and sections in which assessment is to be reported during the semester and informs faculty and instructional academic staff who will be reporting assessment data
- Chair, director, curriculum committee, or assessment coordinator informs faculty and instructional academic staff of student learning outcomes to be assessed during the semester and the classes being used to assess them
- An assessment mentor works with any new faculty or instructional academic staff to provide an orientation to both program and LE assessment in the unit.
- Early in semester faculty and instructional academic staff identify assignments/artifacts that will be used to assess the assigned student learning outcome
- Faculty and instructional academic staff submit program assessment data by the deadline for spring grade submission
- Faculty and instructional academic staff submit LE assessment data by the date indicated
- Faculty and instructional academic staff submit program assessment data by the due date for spring grades; assigned party confirms that program assessment data has been submitted
- Chair or director submits LE chair form by date indicated

Summer Semester

- Faculty and instructional academic staff submit LE assessment data by the date indicated
- Chair submits LE chair form by date indicated
- *If applicable, chair, director, curriculum committee, or assessment coordinator informs faculty and instructional academic staff of program student learning outcomes to be assessed during the term and the classes being used to assess them*
- *If applicable, early in the term faculty and instructional academic staff identify assignments/artifacts that will be used to assess the assigned student learning outcome*
- *If applicable, faculty and instructional academic staff submit program assessment data by the deadline for summer grade submission*

Each seven years, in coordination with program review, each academic department and program will do the following:

- Revise as needed all assessment plans, including a review of outcomes, curriculum map, use of findings, and calendar.
- Provide a summary of changes made in response to findings of assessment of student learning in the program, and the results of those changes.
- A summary of changes made in response to findings of assessment of student learning in LE courses offered by the unit, and the results of those changes.

University Assessment Committee

Membership

Director of Assessment, Chair

Two (2) Representatives from each College, appointed by the Deans in consultation with the Senate Executive Committee

Three (3) Representatives from the Division of Student Affairs, appointed by the Vice Chancellor of Student Affairs in consultation with the Senate Executive Committee

Three (3) Representatives from the Division of Academic Affairs, appointed by the Provost and Vice Chancellor for Academic Affairs in consultation with the Senate Executive Committee

Mission

Advance a Culture of Assessment at UW-Eau Claire

Assist academic departments and academic support programs to develop, implement, and sustain useful and effective plans for assessing and advancing student learning

Demonstrate to all stakeholders the successful learning of our students and promote our ongoing efforts to advance student learning

Support and contribute to other initiatives related to the assessment of student learning

Function

1. Assist departments and academic and support programs to develop and improve plans for assessing student learning
2. Annually collect and review assessment reports from departments and academic and support programs and provide feedback
3. Prepare an Annual Report for Academic Affairs and the University Senate that includes a summary of assessment activities conducted throughout the university.
4. Develop, implement, and evaluate the results of institutional level assessment activities in collaboration with Institutional Research (exit interviews, standardized exams, surveys, etc.)
5. Prepare reports on student learning at UW-Eau Claire for UW-System's VSA program
6. Annually review the effectiveness of plans and practices for assessing student learning at the University, department, and program levels.
7. Develop and propose policies and procedures related to the assessment of student learning at UW-Eau Claire for approval by the University Senate.
8. Implement assessment policies and procedures as approved by the University Senate.
9. Assist with other initiatives involved in the assessment of student learning as requested the Provost, Academic Senate, or other stakeholders, as necessary

10. Advise the Director of Assessment in performance of the duties of the position.

Terms of Service

1. Chair, Director of University Assessment (ex-officio, voting)
2. Dean's Appointments: Three-year staggered terms
3. Vice Chancellor for Student Affairs Appointments: Three-year staggered terms
4. Provost and Vice Chancellor for Academic Affairs Appointments: Three-year staggered terms

Functions of the Chair of the University Assessment Committee on Behalf of the Provost

1. Chair the University Assessment Committee
2. Provide assessment resources to the university community
3. Report to stakeholders about the status of assessment activity at UW-Eau Claire and the status of student achievement as determined by department, unit, program, and institutional learning goals and outcomes.
4. Perform other duties as assigned by the Provost.

University of Wisconsin-Barron County

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Associate Degree

The Associate of Arts and Science (AAS) degree is the foundation for many college majors and for the bachelor's degree. The AAS degree provides a two-year, general education liberal arts-based academic program with training in the fine arts and humanities, mathematical and natural sciences, and social sciences.

The AAS degree is a foundation for many majors in the University of Wisconsin System and is generally accepted by other University of Wisconsin System institutions as fulfilling the university-wide general education breadth requirements. Students may earn the Associate of Arts and Science Degree with Emphasis.

Please see the [Academic Advising](#) page for degree planning help.

About the Degree

The degree requires that core requirements in writing and mathematics be completed as well as a distribution of credits in breadth of knowledge categories.

The breadth categories in the degree are defined as follows:

Fine Arts and Humanities

Students must acquire knowledge of ideas, beliefs, and abiding concerns pertaining to the human condition as represented in literature, philosophy and cultural history. They must acquire a level of aesthetic appreciation of the human imagination as expressed in the fine arts, and appreciation of the impact of the arts upon the quality and character of human life.

Mathematical and Natural Sciences

Students must know of the nature and workings of the physical universe. They must understand scientific method, the functions of numerical data and the solving of problems through mathematical and statistical computations, as well as the application of the scientific method in

Academics

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Meggars Hall

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uwbcinfo@uwbc.edu

Hours

Mon-Fri: 8 a.m. - 4:30

laboratory and experimental work. For this, an appropriate level of computer literacy is required. Students must also be aware of environmental conditions and challenges, the interrelationships of lifeforms and ecosystems, and the impact of human activities upon natural environments.

p.m.

Social Sciences

Students must understand the nature and dynamics of human social systems and how and why people organize their lives and resources. In doing so, students will learn about both their own and diverse cultures to acquire a historical perspective on long-term characteristics and consequences of social change and an informed understanding of the variety of human conditions and the interrelationships of nations, regions, peoples and individuals.

Application and Performance

Students must demonstrate an understanding of concepts, theory and knowledge through the application of their skills and understanding to specific problems and activities.

Ethnic Studies

Students must become aware of and sensitive to diversity issues and problems. Courses fulfilling this requirement will have a substantial emphasis on cultural diversity within the United States and examine these issues from at least one of the following perspectives: African American, Hispanic/Latino, Asian American, and American Indian topics.

Interdisciplinary Studies

Students must acquire an appreciation for the multiple dimensions of any given subject by applying the content, methods and assumptions of two or more disciplines. Students will learn to integrate knowledge from across the curriculum. A course is an interdisciplinary studies course if instructors from two or more disciplines teach the course.



Knowledge

Goal: Build knowledge and awareness of diverse peoples and cultures and of the natural and physical world through the study of arts, histories, humanities, languages, mathematics, sciences and technologies, and social sciences.

- K1. Describe and evaluate models of the natural and physical world through collection and scientific analysis of data, and through the use of mathematical or computational methods.
- K2. Use knowledge, theories, methods, and historical perspectives appropriate to the social sciences to explain and evaluate human behavior and social institutions.
- K3. Use knowledge, historical perspectives, analysis, interpretation, critical evaluation, and the standards of evidence appropriate to the humanities to address problems and explore questions.
- K4. Use knowledge, historical perspectives, theories, or methods appropriate to the arts to describe their context, function and impact.

Skills

Goal: Develop intellectual and practical skills, including, for example, inquiry and analysis, critical and creative thinking, written and oral communication, quantitative literacy, information literacy, and teamwork and problem solving.

- S1. Write, read, speak, and listen effectively in various contexts using a variety of means including appropriate information sources and technologies.
- S2. Use mathematical, computational, statistical, or formal reasoning to solve problems, draw inferences, and determine the validity of stated claims.
- S3. Create original work, perform original work, or interpret the work of others.

Responsibility

Goal: Apply personal and social responsibility for active citizenship and develop skills needed to thrive in a pluralistic and globally interdependent world.

- R1. Use critical and analytical skills to evaluate assumptions and challenge existing structures in ways that respect diversity and foster equity and inclusivity.
- R2. Evaluate the impact of systems, institutions and issues in local and global contexts and across cultures.
- R3. Use critical and creative thinking to address civic, social, and environmental challenges.

Integration

Goal: Integrate learning across courses and disciplines, and between campus and community life.

- IL1. Apply knowledge, skills or responsibilities gained in one academic or experiential context to other contexts.

ARTICLE THREE: UNIVERSITY SENATE

(Bylaws separated and revised US 4/98; US 5/12)

SECTION A – MEMBERS

The University Senate shall consist of University Faculty and University Academic Staff senators and will reflect the appropriate percentages of University Faculty senators and University Academic Staff senators as described in item 4. Senator Balance below.

1. University Faculty Senators

- a. Each academic department having four or more positions shall elect one senator. For purposes of senate representation, library services and recognized academic programs shall be considered the equivalent of an academic department. The department election shall take place at a regularly scheduled department meeting following the election of senators at large and shall provide for nominations from the floor. The election shall be conducted by secret ballot. Any department member who is a member of the University Faculty with half-time or more appointment within that department is eligible to vote in the department's election and to be elected as a senator, but no person shall vote or be a candidate in more than one department. The department chair shall notify the chair of the University Senate of the results of the election as soon as possible. If a vacancy occurs, the department shall elect another senator to serve the remainder of the unexpired term.
- b. Additional University Faculty senators shall be elected at large by the University Faculty. The number of University Faculty senators at large shall be determined according to item 4 in this section and shall include at least one from each of the colleges. These senators shall be nominated by the University-Wide Nominating Committee and elected in the spring election. Approximately one-fourth of the senators at large shall be elected each year. (US 10/04)

2. University Academic Staff Senators

- a. Each nonteaching unit having at least four academic staff positions shall elect one senator. Each unit having 20 or more academic staff positions shall elect two senators. The unit election shall take place at a regularly scheduled unit meeting following the election of academic staff senators at large and shall provide for nominations from the floor. The election shall be conducted by secret ballot. Any unit member who is a member of the University Academic Staff with half-time or more service in a unit is eligible to vote in the unit's election and to be elected as a senator, but no person shall vote or be a candidate in more than one unit. The director shall notify the chair of the University Senate of the results of the election as soon as possible. If a vacancy occurs, the unit shall elect another senator to serve the remainder of the unexpired term.
- b. Additional University Academic Staff senators shall be elected at large by the University Academic Staff. The number of University Academic Staff senators at large shall be determined according to item four in this section. These senators shall be nominated by the University-Wide Nominating Committee and elected in the spring election. Approximately one-fourth of the senators at large shall be elected each year.

3. Administrative Senators

The chancellor and vice chancellor(s) shall be non-voting members of the senate. (US 10/09)

4. Senator Balance

Each year the Senate Executive Committee shall review the size of the University Senate and distribution of senators. The percentage of University Faculty senators and the percentage of University Academic Staff senators within the University Senate shall reflect, as closely as possible, the percentage of

University Faculty and the percentage of University Academic Staff, respectively, within the total number of University Faculty and University Academic Staff eligible to vote.

The Senate Executive Committee or authorized representatives shall work with the appropriate administrators to determine the numbers of University Faculty and University Academic Staff eligible to vote as of October each year. Based on this information, recommendations pertaining to the number and distribution of senators may be made.

Any recommendations for changes in the number and distribution of senators at large and procedures for implementing the change must be approved by the University Senate. Upon approval, such changes shall be reflected in the spring elections of senators at large. (US 3/05)

5. Senator Membership

The voting members of the University Senate include: (US 4/09)

! 42 University Faculty (defined in Part II, Article One, Section C)

! One University Faculty member from each academic department or equivalent with 4 or more members

University Faculty senators at large:

! Additional faculty elected by and from each college as needed to have a minimum of three faculty senators from each college (the minimum of three includes any departmental senators)

! Additional instructional academic staff (IAS) with faculty status elected by and from each college as needed to have at least one IAS from each college (the minimum of one includes any departmental senators)

! Additional University Faculty from any area elected at large as needed to total 42

! 28 University Academic Staff (defined in Part II, Article Two, Section C)

! One University Academic Staff member from each Unit with 4 or more members

! One University Academic Staff member from instructional academic staff without faculty status from each department with 9 or more such members

University Academic Staff senators at large:

! Two University Academic Staff from the Instructional Academic Staff without faculty status

! Additional University Academic Staff from any area as needed to total 28

The chancellor and vice chancellor(s) shall be non-voting members of the University Senate. (US 3/05; US 10/09)

6. Senator Elections and Term of Office

Senators are elected to serve terms of four years, beginning the first day of the official opening of the fall semester and terminating on the day previous to the official opening of the fall semester.

Approximately one-fourth of the University Faculty senators at large and approximately one-fourth of the department University Faculty senators shall be elected each year according to procedures set forth in the University Faculty bylaws. Approximately one-fourth of the University Academic Staff senators at large and approximately one-fourth of the unit University Academic Staff senators shall be elected each year according to procedures set forth in the University Academic Staff bylaws.

7. Senate Vacancy

The office of senator or senate committee member shall be considered vacant under one or more of the following conditions:

a. if the member resigns the office or membership on a committee

b. if the member leaves the faculty permanently

c. if the member is absent or anticipates being absent from meetings for a period of one semester or more. If the member anticipates being absent from meetings for a period of only one semester, the

member may (1) submit a request to the University Senate Chair to temporarily fill the position for just the one semester and (2) seek permission, from the chair of any committees on which the member serves, to virtually participate on the committee during the semester (voting only when synchronous debate has occurred).

In case a senator cannot complete a term, a replacement shall be elected to serve for the unexpired portion of the term, according to procedures set forth in these bylaws.

8. Senator Expectations

University Faculty and University Academic Staff members of the Senate are expected to serve as representatives of the University Faculty and University Academic Staff, respectively, as a whole, regardless of the manner in which they have been elected. Each senator is expected to serve on at least one standing or ad hoc University Governance Committee and to keep the senate apprised of actions of those committees as appropriate.

SECTION B – SENATE OFFICERS AND SENATE SECRETARY

1. Senate Chair (US 4/17)

- a. Election: Nominations for chair-elect will be made at the first University Senate meeting in October of the even-numbered years. Election of the chair-elect will take place at the first University Senate meeting in November. The chair-elect is to be elected from among the current members of the University Senate.
- b. Term: The chair-elect will serve on the Executive Committee immediately upon election and then become chair of the University Senate for two years, taking office July 1 in the odd-numbered years. Upon completion of the two-year term as chair, the officer shall serve an additional year as the immediate past chair. (US 11/11, 2/12)
- c. Assignment: The University Senate chair receives a 37.5 percent assignment (annual appointment, July 1 to June 30) to the Office of the Chancellor for the two-year term as chair. (US 2/98, 5/10, 11/11)
- d. Responsibilities: The officer, during the years as chair-elect, chair, and immediate past chair, serves as an ex officio (and voting) member of the University Senate and the University Senate Executive Committee. If the senate term expires before the expiration of the term as chair or immediate past chair, the officer becomes an ex officio (and voting) member of the University Senate and University Senate Executive Committee for the remainder of the term of office. (US 2/12)

The chair of the University Senate shall serve as the representative of the faculty and the academic staff at official occasions and functions. The chair of the University Senate shall serve as the chair of the Senate Executive Committee, presiding over meetings following parliamentary procedures. (US 2/12)

The chair shall, as appropriate, attend meetings where concerns of governance are discussed; shall be a member of the University Planning Committee, shall be responsible for reporting Executive Committee actions and other information relevant to governance to the University Senate; shall assist the chancellor in setting the agenda for the fall and spring meetings of the University Faculty and University Academic Staff, and shall serve as supervisor of any clerical staff of the University Senate.

2. Senate Vice Chair (US 4/17)

- a. Election: The vice chair-elect shall be elected at the first spring meeting of the University Senate of the odd-numbered years. If the chair-elect is a faculty member, then the vice chair-elect is to be elected from among the current academic staff members of the University Senate. If the chair-elect is an academic staff member, then the vice chair-elect is to be elected from among the current faculty members of the University Senate. (US 11/11, 2/12)
- b. Term: The vice chair-elect will serve on the Executive Committee immediately upon election and then become vice chair of the University Senate for two years, taking office July 1 in the odd-numbered years.
- c. Assignment: The University Senate vice chair receives a 10 percent assignment (annual appointment, July 1 to June 30) to the Office of the Chancellor for the two-year term as vice chair. (US 5/10, 11/11)
- d. Responsibilities: The officer, during the years as vice chair-elect and vice chair, serves as an ex officio (and voting) member of the University Senate and the University Senate Executive Committee. If the senate term expires before the expiration of the term as vice chair, the officer becomes an ex officio (and voting) member of the University Senate and University Senate Executive Committee for the remainder of the term of office.

The vice chair shall preside over the University Senate and University Senate Executive Committee meetings in the absence of the Chair. The Vice Chair shall, as appropriate, attend meetings where concerns of governance are discussed; shall be responsible for reporting Executive Committee actions and other information relevant to governance to the University Senate; and shall assist the chancellor in setting the agenda for the fall and spring meetings of the faculty and academic Staff.

3. Faculty Representative to UW System

- a. Election: The faculty representative to the University of Wisconsin System shall be elected by the faculty members and from the tenured faculty members of the University Senate at the first fall-semester meeting of the University Senate of odd-numbered years. (UF 4/07)
- b. Term: The term as faculty representative-elect begins immediately upon election. The term of faculty representative shall be for two years beginning the next July 1. (UF 4/07; US 11/11)
- c. Assignment: The faculty representative receives a 20 percent assignment (annual appointment, July 1 to June 30) to the Office of the Chancellor for the two-year term as faculty representative. (US 2/98, 5/10, 11/11)
- d. Responsibilities: The faculty representative serves as an ex officio (and voting) member of the University Senate and the University Senate Executive Committee, and serves as chair of the Faculty Personnel Committee. Immediately upon election, the faculty representative-elect shall be an ex officio (and voting) member of the Faculty Personnel Committee. If the senate term expires before the expiration of the term as faculty representative, the representative becomes an ex officio (and voting) member of the University Senate, University Senate Executive Committee, and the Faculty Personnel Committee for the remainder of the term of office. (F 5/10, 4/11)

The faculty representative shall represent the faculty at UW System meetings of the faculty representatives and at other appropriate meetings where concerns of the faculty are discussed; shall be responsible for reporting actions and information relevant to faculty to the University Senate, to faculty-related committees, and, when appropriate, to the faculty; shall communicate with UW-Eau Claire and UW System Administration on faculty issues; shall represent faculty at

official functions of UW-Eau Claire or UW System; may serve on task forces/committees of the UW System; shall assist the chancellor in setting the agenda for the fall and spring all-faculty meetings; and shall generally advocate for faculty. (UF 5/10)

[The faculty may, either directly or by action of the faculty of the University Senate, alter this bylaw.] (US 3/04)

4. Academic Staff Representative to UW System

- a. Election: The academic staff representative to the University of Wisconsin System shall be elected by and from the academic staff members of the University Senate at the first fall-semester meeting of the University Senate of odd-numbered years. (AS 5/10)
- b. Term: The term as academic staff representative-elect begins immediately upon election. The term of academic staff representative shall be for two years beginning the next July 1. (AS 5/10)
- c. Assignment: The academic staff representative receives a 20 percent assignment (annual appointment, July 1 to June 30) to the Office of the Chancellor for the two-year term as academic staff representative. (US 3/91, 5/10, 11/11)
- d. Responsibilities: The academic staff representative serves as an ex officio (and voting) member of the University Senate and the University Senate Executive Committee, and serves as chair of the Academic Staff Personnel Committee. Immediately upon election, the academic staff representative-elect shall be an ex officio (and voting) member of the Academic Staff Personnel Committee. If the senate term expires before the expiration of the term as academic staff representative, the representative becomes an ex officio (and voting) member of the University Senate, University Senate Executive Committee, and the Academic Staff Personnel Committee for the remainder of the term of office. (AS 5/10, 4/11)

The academic staff representative shall represent the academic staff at UW System meetings of the academic staff representatives and at other appropriate meetings where concerns of the academic staff are discussed; shall be responsible for reporting actions and information relevant to academic staff to the University Senate and to the Academic Staff Personnel Committee, and to the academic staff at large; shall communicate with UW-Eau Claire and UW System administration on academic staff issues; shall represent UW-Eau Claire academic staff at official functions of UW-Eau Claire or UW System; may serve on task forces/committees of the UW System; shall assist the chancellor in setting the agenda for the fall and spring all-academic staff meetings; and shall generally advocate for academic staff.

[The academic staff may, either directly or by action of the academic staff of the University Senate, alter this bylaw.] (US 4/04)

5. Officer Vacancy

If the Senate term of an officer expires before the expiration of the term as a senate officer, the officer becomes an ex officio (voting) member of the Senate for the remainder of the term of office. In these cases the original senate membership will be filled following normal procedures. The balance of faculty and academic staff within the offices shall be maintained during the process of filling a vacancy in the office of chair or vice chair. If such balance can be maintained, then in the event of a vacancy in the office of chair, the current chair-elect (or if none, the vice chair) shall assume the office of Chair to serve the unexpired term. In the event of a vacancy in the office of vice chair, the current vice chair-elect shall assume the office of vice chair to serve the unexpired term. In the event of a vacancy in the office of chair-elect (or vice chair-elect), the senate shall elect a chair-elect (or vice chair-elect) to serve the

unexpired term. If a balance cannot be maintained, then appropriate elections shall be held to restore the balance.

6. Secretary of the University Senate

The secretary of the University Senate is a member of the regular clerical staff at the university.

SECTION C – MEETINGS

1. Proceedings

Unless otherwise provided in the constitution or the bylaws, the proceedings of University Senate meetings or meetings of its committees shall be governed by the most recent edition of Robert's Rules of Order. The chair may appoint a parliamentarian who will advise the chair on matters of parliamentary procedure. The parliamentarian shall be a member of the faculty or academic staff.

2. Quorums

At meetings of the University Senate or its committees, a quorum shall consist of a majority of the members eligible to vote.

3. Roll-Call Votes

A roll-call vote may be ordered by any member of the body except for the election of officers. *W/ Statute 19.88(2)* {see <http://www.legis.state.wi.us/statutes/Stat0019.pdf>}. (US 3/05)

4. Speaking Rights

Each member of the University Senate shall have the right to speak twice to a given motion or amendment during debate. Upon approval of the majority of the body, a member may be granted a third speaking turn. During the period of debate, the presiding officer may grant a speaking turn to any nonmember of the body for clarification or informational purposes. The student body president and University Staff Council chair shall be granted the same speaking rights as those retained by members of the University Senate. (US 12/09, 03/11, 4/13)

5. Minutes

- a. Those present at University Senate meetings shall be recorded as such in the minutes of University Senate meetings.
- b. Draft minutes of University Senate meetings shall be distributed with the agenda of the next meeting to members of the University Senate and guests (registrar, the president of the Student Senate, etc.).
- c. Approved minutes of University Senate meetings and University Senate committee meetings established by these bylaws shall be made available through the University Senate office.

SECTION D – ELECTIONS

1. Election Procedures

For elections, the following procedures will be followed:

- a. Election information and ballots will be prepared by the secretarial staff of the University Senate.
- b. Election information shall indicate the voting timeframe, the number to be elected from any specific designated group (department, unit, college, etc.), the group designation of continuing members, and the group designation of the candidates.
- c. Ballots, at a minimum, shall contain the number to be elected from any specific group and the group designation of the candidates.
- d. Election information and ballots will be distributed to eligible voters, who can then submit the completed ballots to the secretarial staff of the University Senate.

- e. To assure a secret ballot, no return address should be used.
- f. The wording on ballot instructions shall read: “Incorrectly marked ballots will be discarded.” (FS 5/81; US 11/11)

2. Determining Election Results

In all University Senate elections, the results shall be decided by a plurality of votes cast, except in the case of University Senate officers where a majority of votes cast is required for election. When terms of different lengths are being filled by election, the elected individual(s) receiving the most votes receive(s) the longest term(s). (US 11/02)

In cases of tie votes, the names of those tied shall be placed on the ballot and a run-off election conducted. If this does not resolve the tie, the University Senate chair shall be empowered to determine a means of resolving the tie. In cases where a candidate for senate office does not receive a majority vote, the names of the two candidates receiving the most votes shall remain on the ballot and a run-off election shall be conducted.

SECTION E – COMMITTEES

1. Committee Organization

University Senate committees provided for by the constitution of the University Senate and described in Article Four of these bylaws shall arrange for their own organization, officers, and schedule of meetings. Student members noted in committee memberships (1) shall serve as non-voting members upon appointment to the committee through appropriate Student Senate procedures; (2) should not be counted when determining quorums; (3) should be granted speaking rights accorded to voting members of the committee; and (4) may request for specific items of concern to students to be placed on meeting agendas. (US 3/11, 4/13, 3/15)

2. Vacancies on Committees

Vacancies occurring on standing committees of the senate shall be filled by the senate as soon as possible.

3. Co-expiration of Senate Committee Membership

When a University Senate member's term of office as a senator expires before the expiration of that member's membership term on a University Senate committee as a representative of the senate, the committee membership will expire with the expiration of the senate term. The replacement on the committee shall be elected for the remainder of the term.

4. Committee Reports to Senate

All reports of standing or ad hoc committees of the University Senate shall be accepted when submitted and become a part of the minutes of the University Senate, but this in no way indicates University Senate approval or rejection of any aspect of the report. After a committee report has been received, the University Senate will follow normal procedures in handling motions relevant to the contents of the report. It would, for example, be appropriate for the senate to make, amend, and vote on motions relating to the committee report, but it would not be appropriate for the senate to move to amend the committee report.

All motions forwarded by University Senate committees for senate action must have been officially acted upon by the committee prior to being placed on the agenda of University Senate. A report for the University Senate should accompany each motion and provide:

- a. the name of the committee;

- b. a brief history of why the issue needs to be considered;
- c. points discussed by the committee;
- d. pros of the recommendation;
- e. cons of the recommendation;
- f. technology/human resource impact; and
- g. a brief statement summarizing the committee recommendation.

Submitted with the report, the motion for the University Senate must include the name of the committee, the number of votes within the committee for and against the proposal, the date of the committee vote, the details of the proposal, and the recommended date upon which the action should take effect, if passed. (US 3/99)

SECTION F – ACTIONS

1. University Senate Actions Directed to the Chancellor

For those University Senate actions that are directed to the chancellor, the following procedures shall be followed:

- a. The chair of the University Senate shall transmit the recommendations of the University Senate to the chancellor who will act on them or refer them to the appropriate administrative body.
- b. The University Senate will expect the chancellor, or a member of the faculty or academic staff designated by the chancellor, to report to the University Senate without unnecessary delay the action taken on University Senate recommendations. If no action is reported to the University Senate Office within 60 days of receipt of the recommendation, the recommendation will be considered approved. (US 4/10)
- c. In the event that the Chancellor finds a University Senate recommendation unacceptable in whole or in part, these procedures will be followed:
 - 1) For University Senate or faculty concerns:
 - a) If the recommendation deals primarily with matters of concern to the University Faculty, a subcommittee composed of the University Faculty members of the Executive Committee will consult with the chancellor concerning those aspects of the recommendation which are unacceptable. For University Senate concerns, the executive committee will consult with the chancellor concerning those aspects of the recommendation which are unacceptable.
 - b) If the executive committee or subcommittee feels that a modification of the recommendation would be acceptable to both the chancellor and the University Senate, they may work with the chancellor in an attempt to modify the recommendation.
 - c) If the parties agree on the modification, it shall be presented to the University Senate for action.
 - d) If the executive committee or subcommittee does not agree to a modification suggested by the chancellor, the chancellor's objections to the recommendation shall be reported to the University Senate along with the executive committee's or subcommittee's position.
 - e) If the University Senate does not agree to a modification of its original recommendation, the original recommendation shall be returned to the chancellor for final action.
 - 2) For University Academic Staff concerns:
 - a) If the recommendation deals primarily with matters of concern to the University Academic Staff, a subcommittee composed of the university academic Staff members of the executive committee and the four University Academic Staff senators on the Academic Staff Personnel Committee will consult with the chancellor concerning those aspects of the recommendation which are unacceptable.

- b) If the University Academic Staff subcommittee feels that a modification of the recommendation would be acceptable to both the chancellor and the University Senate, they may work with the chancellor in an attempt to modify the recommendation.
 - c) If the parties agree on the modification, it shall be presented to the University Senate for action.
 - d) If the University Academic Staff subcommittee does not agree to a modification suggested by the chancellor, the chancellor's objections to the recommendation shall be reported to the University Senate along with the University Academic Staff subcommittee's position.
 - e) If the University Senate does not agree to a modification of the original recommendation, the original recommendation shall be returned to the chancellor for final action.
2. Thanks of the University Senate
- A commendation to be known as the Thanks of the University Senate shall be awarded to members of the university family for accomplishments above that called for in their typical job and which are not normally recognized by other means. (FS 5/69)

ARTICLE FOUR: UNIVERSITY GOVERNANCE COMMITTEES AND COUNCILS (US 5/12)

In order to facilitate the functioning of these bylaws,

- ! for faculty committees or councils, the faculty may, either directly or by action of the faculty members of the University Senate, enact or modify those committees or councils;
- ! for academic staff committees or councils, the academic staff may, either directly or by action of the academic staff members of the University Senate, enact or modify those committees or councils; and
- ! for University Senate or university-wide committees or councils, the faculty members of the University Senate may enact or modify those committees or councils whose primary function is related to curriculum or faculty personnel; the academic staff members of the University Senate may enact or modify those committees or councils whose primary function is related to academic staff personnel; and all members of the University Senate may enact or modify those committees or councils related to the functioning of the University Senate or the university as a whole. (US 11/12)

The University Senate office shall maintain election results and membership lists, monitor vacancies, serve as a referral source for issues to be addressed by university governance committees, and ensure that initial committee meetings are held by October 1 each year.

SECTION A – UNIVERSITY SENATE COMMITTEES

1. University Senate Executive Committee
 - a. Membership: The committee includes at least 22 members: 10 faculty senators and four academic staff senators elected by the members of the University Senate; the chair and the vice chair of the University Senate; the chair-elect or the immediate past chair of the University Senate (whoever is serving); the vice chair-elect of the University Senate (if serving); the academic staff representative; the faculty representative; and the chancellor and vice chancellor(s), who will be ex officio and non-voting members of the committee. There shall be at least one member from each of the colleges. Members shall serve two-year terms unless membership is terminated by expiration of University Senate membership as described in the bylaws. The chair of the University Senate shall serve as chair of the executive committee. (US 3/09, 10/09, 10/12, 10/14)
 - b. Function: Included among the functions of the executive committee are establishing the agenda for senate meetings, calling special meetings of the senate, and making recommendations on matters referred to it by the senate. This committee may suggest policies and means of implementing them to the senate, act as a coordinating agency among senate members, and recommend to the senate interpretations of the constitution of the University Faculty and the University Academic Staff. The executive committee may also serve as an advisory body to the chancellor and may provide the regents or system administration with faculty and academic staff reaction to documents and proposed policies when time does not permit their normal consideration by the senate and other senate committees. Such advice or reaction shall be reported to the University Senate and channeled through the chancellor to the regents or system administration. The executive committee shall serve as the Institutional Ethics Committee (as per motion 02/2007) as set forth in Part III, Article Five, Section D,3,g. The executive committee along with UW System president (as per motion 09/2009) shall serve as the UW-Eau Claire Honorary Degree Committee.
2. University Senate Academic Policies Committee
 - a. Membership: The committee includes 12 members: nine University Faculty senators elected by the University Faculty members of the University Senate. There shall be at least one member from each

of the colleges. Members shall serve three-year terms unless membership is terminated by expiration of University Senate membership as described in the bylaws. One University Faculty representative elected by members of library services will be an ex officio and non-voting member of the committee. The provost and vice chancellor or designated representative, will be an ex officio and non-voting member of the committee. One student, who will be non-voting, may be appointed by the Student Senate to serve on this committee for a one-year term. (US 3/05, 4/06, 3/11, 10/14)

- b. Function: This committee is responsible for recommending policies for academic programs of the university as they relate to items such as the creation and/or abolition of colleges, schools, departments, degree requirements, academic programs and standards, policies concerning grading, final examinations, class attendance, credit by examination, admission and transfer standards, and such related issues. The committee's charge also includes recommending policies and implementing procedures for review of academic programs, in accordance with policies of the Board of Regents and/or system administration.

3. University Senate Academic Staff Personnel Committee

- a. Membership: The committee includes at least 10 members: four academic staff senators, one of whom must be instructional academic staff, elected by the academic staff members of the University Senate; four academic staff, one of whom must be instructional academic staff, elected by the academic staff at large; the academic staff representative to the UW System Academic Staff Council; and one administrator selected by the chancellor, who will be an ex officio and non-voting member of the committee. During a year when an academic staff member of the senate has been elected to serve as academic staff representative-elect, the person becomes an ex officio (and voting) member of the committee. Three seats must be held by instructional academic staff members and six seats must be held by administrative or professional academic staff members. Members shall serve three-year terms unless committee membership is terminated by expiration of University Senate membership as described in the bylaws. The Academic Staff Representative to the UW System Academic Staff Council will serve as the chair of the committee. (US 11/04, 2/08, 10/14)
- b. Functions: The Academic Staff Personnel Committee shall consider and recommend policies affecting the academic staff in regard to status, salary, indefinite appointment, promotion, and working conditions. It shall also consider and recommend the practices and procedures for implementing those policies and serve as the primary agent for recommending revisions and amendments of the UW-Eau Claire Academic Staff Personnel Rules. It is charged as follows:
 - 1) To study and be knowledgeable of both system and local academic staff personnel policies and procedures.
 - 2) To maintain awareness of all administrative matters that may have ramifications for the procedures and rights afforded academic staff members under the policies and procedures.
 - 3) To provide information, but not function in an advocacy or advisory relationship, to any academic staff member regarding due process afforded to academic staff.
 - 4) To review the criteria for salary adjustments of academic staff but not arbitrate specific cases.
 - 5) To review the criteria used in the designation of positions within the budgetary and personnel constraints of the UW-Eau Claire as being within the fixed term or probationary categories.
 - 6) To review policies governing conversion of academic staff from fixed term to probationary, or from probationary to fixed term.
 - 7) To offer interpretations of guidelines for the definition of an operational area, especially where positions and duties under those positions might be transferred to other operational areas even though for all functional purposes they remained the same.

- 8) To review policies and recommend criteria for the designation of positions as fixed term when appointments to such positions would seem to exceed the temporary duration implied in the guidelines of fixed term employment.
 - 9) To offer interpretations of guidelines for the promotion to indefinite appointment.
 - 10) To maintain awareness of the rights of academic staff on layoff for alternative employment and reappointment as specified under UWS 12.03 and 12.09.
 - 11) To function as an agent for revision and amendment of the existing academic staff rules for UW-Eau Claire. (Charges reinstated US 9/10)
4. University Senate Compensation and Budget Committee (US 10/16)
- a. Membership: The committee includes at least nine voting members: two University Faculty senators and two University Academic Staff senators elected by the University Senate; two University Faculty members elected by and from the University Faculty at large; two University Academic Staff members elected by and from the University Academic Staff at large; and one academic dean selected by the deans of the four colleges in consultation with the provost and vice chancellor. There shall be one member from at least three of the colleges, at least one member from student affairs, at least one member from instructional academic staff (IAS), and at least one member from the administrative and professional academic staff (APAS). Members shall serve three-year terms unless membership is terminated by expiration of University Senate membership as described in the bylaws.

The committee may also include three non-voting members: one university staff member selected by the University Staff Council to serve on this committee for a three-year term; one student appointed by the Student Senate to serve on this committee for a one-year term; and the provost and vice chancellor or designated representative.
 - b. Functions: The primary responsibility of the Compensation and Budget Committee is to generate the UW System-mandated compensation plan. The committee may also choose to, at its discretion, recommend to the University Senate for approval policies and procedures concerning other compensation plans and salary adjustment distribution. The committee may also conduct surveys and studies to determine faculty and academic staff priorities related to resource allocation and/or compensation and benefits. The committee may recommend policies and procedures concerning budget transparency, compensation, and salary adjustment distribution to the senate.
5. University Senate Faculty Personnel Committee
- a. Membership: The committee includes nine members: four faculty senators elected by the faculty members of the University Senate; three faculty elected by the faculty at large; the faculty representative to the UW System; and one administrator selected by the chancellor, who will be an ex officio and non-voting member of the committee. There shall be at least one member from each of the colleges. Members shall serve three-year terms unless committee membership is terminated by expiration of University Senate membership as described in the bylaws. The faculty representative to the UW System will serve as the chair of the committee. (US 3/05, 11/10, 11/11, 10/14)
 - b. Function: The Faculty Personnel Committee shall consider and recommend policies affecting the faculty in regard to status, salary, tenure, promotion, and working conditions. It shall also consider and recommend the practices and procedures for implementing those policies and serve as the primary agent for recommending revisions and amendments of the UW-Eau Claire Faculty Personnel Rules. (US 2/05)

6. University Senate Physical Plant Planning Committee
 - a. Membership: The committee includes at least nine members: three University Faculty senators and two University Academic Staff senators elected by the University Senate; one member elected by and from the department of art & design; one member elected by and from the department of biology; and one member elected by and from the department of geography and anthropology. Members shall serve three-year terms unless membership is terminated by expiration of University Senate membership as described in the bylaws. One administrative representative appointed by the chancellor will be a non-voting member of the committee. Two university staff members may be selected by the University Staff Council to serve on this committee for three-year terms. One student, who will be non-voting, may be appointed by the Student Senate to serve on this committee for a one-year term. (US 3/11, 4/13, 10/14, 3/15)
 - b. Function: The committee shall recommend policies for the long-range development of the physical plant, for utilization of campus space, and for landscaping. It shall also be charged with policies for protection and development of Putnam Park.
7. University Senate Technology Committee
 - a. Membership: The committee includes at least seven members: three senators elected by the University Senate, one of whom must be from the University Academic Staff; four University Faculty members, one elected by and from each of the Colleges. Members shall serve three-year terms unless membership is terminated by expiration of University Senate membership as described in the bylaws. The Chief Information Officer shall be an ex officio and non-voting member of the technology committee. One university staff member may be selected by the University Staff Council to serve on this committee for a three-year term. One student, who will be non-voting, may be appointed by the Student Senate to serve on this committee for a one-year term. (US 4/10, 3/11, 4/13, 10/14, 3/15)
 - b. Function: The University Senate Technology Committee shall follow activities of school-, college-, and university-wide technology-related committees and all technology-related matters to provide guidance to either the full senate or to senate committees on items requiring University Senate action which may affect instructional, resource, and personnel policies and procedures. The committee may provide guidance to the University Senate Executive Committee or the chancellor on regent and system administration documents and proposed policies. Such advice or reaction shall be reported to the University Senate and channeled through the chancellor to the regents or system administration. The committee shall consult with information and technology management on the development of the campus learning and technology services' strategic plan and the setting of priorities on the use of resources and distribution of technology-related monies.

SECTION B – UNIVERSITY-WIDE COMMITTEES

1. Academic Staff Complaint, Grievance, and Review Committee
 - a. Membership: The committee includes nine academic staff members elected by the academic staff for staggered three-year terms. Representation of administrative and professional academic staff and instructional academic staff shall be in proportion to the number of voters in their constituencies and shall be elected by and from the administrative and professional or instructional academic staff constituency, respectively.
 - b. Function: The Complaint, Grievance, and Review Committee shall implement the hearing procedures outlined in Local Implementation Procedures for UWS 11, 12, and 13.

2. Faculty Complaint, Grievance, and Termination Review Committee
 - a. Membership: The committee includes 18 tenured members of the faculty, elected at large by the faculty, to serve three-year terms (six elected each year).
 - b. Functions: The function of the Faculty Complaint, Grievance, and Termination Review Committee is to implement the hearing procedures outlined in the Local Implementation Procedures for UWS 6 (complaints and grievances), UWS 3.08 (non-renewal), UWS 4.03 (dismissal), and UWS 5.11 (termination). (US 11/03; US 12/09)
3. Administrative and Professional Academic Staff Awards Committee
 - a. Membership: The committee includes five members holding administrative or professional academic staff or limited positions serving staggered three-year terms. Each year the chancellor will appoint one or two members to be selected from at least two or three names, respectively, recommended by the University-wide Nominating Committee.
 - b. Function: The Administrative and Professional Academic Staff Awards Committee, in consultation with the Foundation, shall establish eligibility criteria and selection procedures for identifying award recipients. It solicits and receives nominations for the Excellence in Performance Award which is given annually to a person holding an administrative and professional academic staff or limited position who, in the opinion of their colleagues, excels in the areas of performance and service. The committee evaluates the nominations for each award and forwards its selection to the chancellor. The committee shall assist sponsors of other awards as requested. (US 05/10, 10/14)
4. University Faculty Awards Committee
 - a. Membership: The committee includes six members of the University Faculty serving staggered three-year terms. Each year the chancellor will appoint two members from at least three names recommended by the University-Wide Nominating Committee.
 - b. Function: The University Faculty Awards Committee, in consultation with the foundation, shall establish eligibility criteria and selection procedures for identifying award recipients. It solicits and receives nominations for the excellence in advising, excellence in scholarship, and excellence in service awards. The committee evaluates the nominations for each award and forwards its selections to the chancellor. The committee shall assist sponsors of other awards as requested.
5. Academic Staff Professional Development Committee
 - a. Membership: The committee includes six academic staff members elected by the academic staff for staggered three-year terms and one member appointed by the chancellor from among those persons holding academic staff or limited positions but who are not University Academic Staff. The assistant vice chancellor for research and sponsored programs and the affirmative action director, or their designee(s), shall serve as ex officio and non-voting members of the committee.
 - b. Function: The Academic Staff Professional Development Committee encourages, reviews, and recommends training and/or retraining proposals from persons holding academic staff or limited positions for funding by appropriate resources.
6. University-Wide Nominating Committee
 - a. Membership: The committee consists of six members: two senators elected by the University Senate, one from the university faculty and one from the university academics staff; two university faculty members elected by and from the university faculty; two university academic staff members elected by and from the university academic staff. Members shall serve two-year staggered terms.
 - b. Functions:
 - a) The University-Wide Nominating Committee shall present nominations for all positions to be filled by university senate elections or through general university faculty and university academic staff elections, unless the University Senate, University Faculty, and/or the University

Academic Staff, respectively shall provide another means of nominations in specific areas. The committee shall seek to provide more nominees than there are positions to be filled.

- b) The committee shall report to the chancellor in time to permit distribution of the report along with the agenda for the meeting of the University Faculty and the University Academic Staff, at which time the report is to be formally presented to the University Faculty and University Academic Staff, respectively.
- c) The committee shall also present nominations to fill vacancies created by resignations or other causes as outlined in the bylaws. The nominating committee report of nominations to fill vacancies will be made to the University Faculty and the University Academic Staff during a regularly scheduled University Senate meeting. Any University Faculty member or University Academic Staff member will be eligible to nominate from the floor at that meeting. As an alternative to this procedure, a special meeting of the University Faculty or the University Academic Staff to make nominations to fill these vacancies can be requested by 15 percent of the University Faculty or University Academic Staff, respectively. Elections conducted to fill vacancies shall follow the procedures outlined in the bylaws. At the next general University Faculty or University Academic Staff election, the University Faculty or the University Academic Staff, respectively, shall elect members to serve out the remaining terms of the original University Faculty or University Academic Staff members, respectively, temporarily replaced by University Senate.
- d) The committee shall also present nominations to fill any vacancies that occur on University Senate or University Senate committees.
- e) The committee shall also present names of University Faculty and/or University Academic Staff as potential nominees for search committees for administrators at or above the rank of dean.

7. University Assessment Committee

- a. Membership: The committee consists of 15 members, including the director of assessment who shall serve as chair of the committee. Two members from each of the four colleges shall be appointed by the respective dean of the college; three members shall be appointed by the vice chancellor for academic affairs; and three members shall be appointed by the vice chancellor for student affairs. Each year approximately one-third of the committee will be appointed by the deans and vice chancellors in consultation with the University Senate Executive Committee to serve three-year terms.
- b. Function of the Committee:
 - 1) Assist departments and academic and support programs to develop and improve plans for assessing student learning;
 - 2) Annually collect and review assessment reports from departments and academic and support programs and provide feedback;
 - 3) Prepare an Annual Report for Academic Affairs and the University Senate that includes a summary of assessment activities conducted throughout the university;
 - 4) Develop, implement, and evaluate the results of institutional level assessment activities in collaboration with institutional research (exit interviews, standardized exams, surveys, etc.);
 - 5) Prepare reports on student learning at UW-Eau Claire for UW System's Voluntary System of Accountability program;
 - 6) Annually review the effectiveness of plans and practices for assessing student learning at the university, department, and program levels;
 - 7) Develop and propose to the University Senate policies and procedures related to the assessment of student learning at UW-Eau Claire for approval;

- 8) Help implement approved policies and procedures related to the assessment of student learning at UW-Eau Claire;
 - 9) Assist with other initiatives involved in the assessment of student learning as requested by the provost, University Senate, or other stakeholders, as necessary; and
 - 10) Advise the director of assessment in performance of the duties of the position. (US 10/11)
8. University Liberal Education Committee
- a. Membership: The committee includes seven faculty representatives from the College of Arts and Sciences, two faculty representatives from the College of Business, two faculty representatives from the College of Education and Human Sciences, and two faculty representatives from the College of Nursing and Health Sciences. These representatives will be chosen by existing shared governance processes established through the bylaws of the respective schools or colleges. One faculty representative from the library (ex officio and non-voting) will be chosen by existing shared governance processes established by the library. One academic staff representative (ex officio and non-voting) will be chosen by existing shared governance processes established by the academic staff. One student will be appointed by the student senate president in accordance with customary procedures. Faculty serve staggered three-year terms with approximately one-third of the representatives from each college being elected each year. The provost and vice chancellor or designated representative shall serve as an ex officio non-voting member of the committee. (US 3/05; 3/11)
 - b. Function: The University Liberal Education Committee is responsible for developing criteria and intended learning outcomes for the liberal education core: the core includes general education and other university-wide course/experience requirements outside the major/minor. It is responsible for recommending such criteria and intended learning outcomes to the Academic Policies Committee and to the University Senate. It serves as the coordinating body for university liberal education reform efforts. The committee is responsible for periodic review of university graduation requirements outside the major/minor; development of criteria for inclusion of courses and high impact practices in the liberal education core; periodic review of existing course offerings of the liberal education core for re-approval; working with the Office of Academic Affairs to annually evaluate liberal education core effectiveness in achieving the liberal education goals as passed by the University Senate. (US 3/05; 10/10)
9. University Planning Committee
- a. Membership: The committee consists of 13 members, including the executive director of marketing and planning, who serves as chair of the committee. Seven members are appointed by the chancellor (or designee) in consultation with the University Senate Executive Committee and one member is appointed by the chancellor in consultation with the University Staff Council. They serve staggered four-year terms, with two being appointed each year. Of the eight appointees, at least four must be faculty members and one member must be from student affairs and all colleges must be represented. The chair of the University senate, the director of institutional research, the assistant chancellor for finance (or designee), the student body president (or designee), shall be ex officio members.
 - b. Functions: The University Planning Committee is charged with the responsibility for (1) analyzing the demographic, educational, societal, and economic environment in which the university exists and operates, (2) reviewing both the mission and mission statements of the university, (3) overseeing an effective, integrated institutional planning process, (4) establishing success benchmarks and metrics to monitor progress on vision and goals, (5) supporting integrated planning efforts across all divisions, (6) annually assessing the implementation of the strategic plan and

ARTICLE FIVE: PERSONNEL POLICIES AND PROCEDURES

SECTION A – INTRODUCTION

Personnel rules and procedures for faculty and academic staff at the University of Wisconsin-Eau Claire are authorized by and in conformity with policies established at state and system levels. The chief source of personnel policies is the section of the Wisconsin Administrative Code which applies to the University of Wisconsin System.

1. Wisconsin Administrative Code – University of Wisconsin System (UWS)

(based on UWS http://docs.legis.wisconsin.gov/code/admin_code/uws)

The Wisconsin Administrative Code is a collection of state agency rules developed by the policy-making body of each State of Wisconsin agency under authority provided in the Wisconsin Statutes. The section of the Wisconsin Administrative Code pertaining to the University of Wisconsin System is officially entitled Rules of Board of Regents of the University of Wisconsin System (abbreviated UWS). The following chapters of UWS relate directly to faculty and academic staff:

UWS1-6	Personnel Rules for Faculty
UWS8	Faculty/ Academic Staff Code of Ethics
UWS9-13	Academic Staff Rules
UWS19	Sick Leave

Board of Regents rules call for the development of local rules to implement UWS at each institution of the system. At UW-Eau Claire, chapters of UWS applying to faculty and those applying to academic staff have been implemented by various actions of the University Senate, recommended to and approved by the chancellor.

Except for a few essential definitions, the text of UWS is not reproduced here; however, reference to the appropriate chapter of UWS precedes all local implementation.

2. Definitions: Faculty and Academic Staff

(based on UWS1 http://docs.legis.wisconsin.gov/code/admin_code/uws/1)

{UWS definitions, also located in Part I, Article Two are repeated here for convenience.}

a. Academic Staff – UWS1.01

"Academic Staff" means professional and administrative personnel, other than faculty and university staff, with duties and types of appointments that are primarily associated with higher education institutions or their administration.

b. Faculty – UWS1.04

"Faculty" means persons who hold the rank of professor, associate professor, assistant professor, or instructor in an academic department or its functional equivalent in an institution. The appointment of a member of the academic staff may be converted to a faculty appointment in accordance with UWS3.01 (1)(c).

c. Faculty Status – UWS1.05

By action of the appropriate faculty body and chancellor of an institution, members of the academic staff may be designated as having "faculty status." Faculty status means a right to participate in faculty governance of an institution in accordance with the rules of the institution. Faculty status does not confer rank or tenure or convert an academic staff appointment into a faculty appointment. Academic staff with faculty status are defined as University Faculty for purposes of participation in governance.

1) Eligibility

Members of the instructional academic staff who hold appointments of 50 percent or more in an academic department or functional equivalent, whose principal assignment is teaching (and/or coaching in athletics), who possess the qualifications normally required of ranked members of the faculty, and whose letter of appointment does not contain the statement that there is "no intent to renew," are eligible for "faculty status." (US10/02)

Members of the instructional academic staff whose letter of appointment contains the statement that there is "no intent to renew," but who otherwise meet all of the above requirements and who have served in the appointment for at least three consecutive semesters, are also eligible for "faculty status." (US10/02)

2) The Role of Academic Staff in Faculty Governance

Members of the instructional academic staff at the University of Wisconsin-Eau Claire who have been granted "faculty status" will have the right to and will be expected to participate in faculty governance activities at the department, school, college, University Senate, and University Faculty levels to the extent and subject to the limitations described in this section.

a) Departmental Governance

Members of the instructional academic staff who have been granted "faculty status" will be voting members of the department and will be eligible to be elected or appointed to voting membership on departmental committees, except those committees whose membership is restricted to tenured members of the faculty. Members of the academic staff may not serve on departmental reappointment (personnel) committees, departmental promotion committees, departmental committees developing and approving long-range tenure management plans, and any other committees which the department restricts to members of the faculty or to tenured members of the faculty.

b) College/ School Governance

Members of the instructional academic staff who have been granted "faculty status" will be voting members of the college faculty and will be eligible to be appointed or elected to voting membership on all college or school committees except those whose membership is restricted to tenured members of the faculty.

c) University Senate Governance

Members of the instructional academic staff who have been granted "faculty status" will be eligible, subject to the terms of the constitution of the University Faculty and University Academic Staff, to be elected to the University Senate and to serve on all committees of the University Senate except those whose membership is restricted to tenured members of the faculty.

d) General Faculty Governance

Members of the instructional academic staff who have been granted "faculty status" will be voting members of the general faculty and will be eligible to be appointed or elected to all committees of the general faculty except those whose membership is restricted to tenured members of the faculty.

3) Procedures

- a) Recommendations for granting "faculty status" to eligible members of the instructional academic staff will normally proceed from the academic department or functional equivalent through administrative channels to the chancellor. The chancellor or designee will review and approve all recommendations and formally grant "faculty status" in writing to eligible members of the instructional academic staff.
- b) If "faculty status" is granted at the time of appointment, the letter of appointment will so state and the appointment letter will be accompanied by a copy of this policy on Faculty Status for Instructional Academic Staff.
- c) If "faculty status" is granted during a period of appointment, the letter from the chancellor or designee conferring "faculty status" shall be accompanied by a copy of this policy on Faculty Status for Instructional Academic Staff. (FS4/79)

d. Emeritus Titles

Emeritus faculty and academic staff titles are conferred by the chancellor of an institution according to criteria established by the institutional faculty and academic staff. The university recognizes emeritus status of retired faculty and academic staff members. Standards for conferring emeritus status are as follows:

- 1) The faculty or academic staff member has served at least 20 years in this institution; or has had 20 years of collegiate service, 10 of which must have been in this institution just prior to retirement or has had 20 years of service to the education profession, at least 15 of which have been in this institution just prior to retirement.
- 2) The faculty or academic staff member is permanently retired from the university.

An exception to the above requirements may be granted under the following procedure.

The recommendation must originate at the department level or its functional equivalent and be forwarded to the chancellor. The chancellor will determine whether or not to grant the exception after consultation with the University Senate Executive Committee.

Emeritus status includes the following privileges: (US4/99)

- 1) Names of emeriti faculty and academic staff are published with the faculty and academic staff roll in UW-Eau Claire announcements.
- 2) Emeriti faculty and academic staff may march in commencement or other academic processions, entering immediately ahead of the administrative officers and leaving immediately after those officers.
- 3) Emeriti faculty and academic staff may participate in all social affairs of the university and hold membership in the emeriti faculty and retired associates of the university.
- 4) Emeriti faculty and academic staff are awarded the UW-Eau Claire medallion.
- 5) Emeriti faculty and academic staff, as with all retired faculty and academic staff, retain the UW-Eau Claire ID and all the privileges it provides.
- 6) Emeriti faculty and academic staff may, under certain circumstances, receive assistance in continuing their professional activities.
- 7) Emeriti faculty and academic staff may request a learning and technology services (LTS) network account.

- 8) Emeriti faculty and academic staff may audit courses according to the policies on auditing of classes by special students and auditing courses as published in the current university catalogue.

e. Visiting Faculty

The title "visiting professor" (associate, assistant, or instructor) is used for individuals who come from outside the UW System to an institution for temporary academic assignments. Normally such assignments last not longer than one year. Use of these titles is primarily intended for faculty from other educational institutions (as opposed to visitors from, for example, government or industry). Normally, the title given should reflect the comparable rank at the individual's home institution.

f. Educational Preparation Code

The following educational preparation code was originally established by Res. #3650 and Res. #3668 of the Board of Regents of the former Wisconsin State Universities. It is presently used at UW-Eau Claire in establishing guidelines for starting salaries and for recognizing appropriate educational attainments of continuing instructional staff.

Code 1 Any of the following three categories qualify for this rating:

- Ph.D.
- Ed. D.
- Earned doctor's degrees equivalent to the Ph.D. and Ed.D. requiring the minimum equivalent of three full years of graduate study beyond the baccalaureate.

Code 2 - Earned degrees requiring a minimum of three full years beyond the baccalaureate degree.

- All requirements for the doctorate met with the exception of the completion of the dissertation.

Code 3 - A master's degree plus one full year of graduate study as measured by the institution where graduate work is applicable in a degree program.

- A specialist degree or its equivalent.

- Two-year Master's degree.

Code 4 - Master's degree.

Code 5 - Bachelor's degree.

Code 6 - No bachelor's degree.

g. Day – UWS1.08

{based on UWS1 http://docs.legis.wisconsin.gov/code/admin_code/uws/1}

UWS1.08 provides the definition of "day" for all actions to be completed within a specified number of days:

- Day shall mean calendar day.
- The first day shall be the day after the event, such as receipt of a notice or conclusion of a hearing.
- Each day after the first day shall be counted, except that a Sunday or legal holiday shall not be counted if it would be the final day of the period.

h. Department

"Department" also refers to any functional equivalent of an academic department. (FS3/76, in connection with the Faculty Personnel Rules replaced by this revision.)

i. Peer

For purposes of review of faculty performance "peer" shall be defined as the tenured members of the department or functional equivalent, excluding the chair. (FS11/77)

3. Definitions: Period of Employment and Related Policies

Many of the policies quoted or summarized in this section derive from Academic Planning Statement #4 (abbreviated ACP4-4 <https://www.wisconsin.edu/program-planning/academic-planning-statements>) entitled "University of Wisconsin System Policy on Academic Year Definition and Assorted Derivatives," approved by the regents and revised July 11, 1980.

a. Academic Year – ACP4-4:1

The contractual academic year consists of a full nine months (39 weeks) and includes not fewer than 34 weeks of organized services for students, including classroom instruction, registration, advising, and examining.

b. Period of Employment – ACP4-4:3a,b

Most members of the instructional staff are engaged on an academic year appointment, which extends for the nine-month academic year specified in the UW-Eau Claire calendar as approved by the Board of Regents. The academic year ordinarily begins no earlier than one week before the first day of scheduled campus registration for the fall semester and concludes with the spring commencement and the submission of all grade reports.

The instructional staff may be employed as needed for the summer session. An additional two-ninths of the academic year salary is paid for a full-time summer appointment. Summer employment cannot be guaranteed because it is contingent on enrollment, department needs, and the individual's preparation for available assignments. Preference is given to regular faculty members for summer session teaching before seeking off-campus candidates.

The instructional staff may also be employed as needed for the Winterim session and will be paid according to the UW-Extension schedule by rank/title. Employment is contingent on enrollment, department needs, the individual's preparation for available assignments and willingness to teach a course immediately preceding the beginning of the spring semester.

The standard employment period for nonteaching positions is the annual appointment, extending over 12 months with the accrual of vacation at the rate of 22 working days per year. Compensation, sick leave, and vacation for employment periods of less than 12 months are prorated using the 12-month rates as the base. If an employee is moved from an academic year to an annual appointment, compensation for the annual appointment is ordinarily computed as the academic year base plus two-ninths of the base.

c. Unanticipated Termination of Appointment – ACP4-4:4

In the event of unanticipated termination of service during the term of an appointment, payment for services shall be terminated or suspended following cessation of services. The final check shall be calculated so that the employee receives full compensation for the portion of the appointment which has been completed. The formulas for computing such compensation are available from the director of human resources.

d. Full –Time Teaching Load - Faculty

A full-time semester teaching load is generally twelve credits or the equivalent. A full-time summer session load is eight credits. An alternative load measurement for a semester is based upon the number of student credit hours required to meet targets for student credit hour production within the various departments. A teacher who is assigned an overload will be compensated by a reduction in load a following semester. However, such overloads are approved only in very rare instances.

Teaching loads of departmental chairs are approximately nine hours in departments which have five to 15 members, and six hours in departments which have more than 15 members.

Faculty assigned to other appropriate professional activities, such as curricular development, student advising, pursuit of external grant support, research projects (generally involving students), coaching, directed or independent study with an individual or small groups of students, other scholarly/creative activities or administrative duties, will have their teaching load reduced. Such arrangements will occur only after careful consideration of the individual faculty member's professional goals and consultation between the faculty member, the department chair, and the college dean. Position descriptions or memoranda of agreement will typically serve as documentation that variances have been approved by the college dean.

The nonteaching elements of faculty workload for a semester typically include advising; serving on department, school, college, and/or university committees; providing public service; and conducting scholarly or creative activities. These elements are detailed in the annual performance review materials submitted by each faculty member and should also be reported, in summary form, in the departmental annual report as prepared by the department chair and forwarded to the college dean and provost and vice chancellor.

Faculty workload is initially determined by the department chair in consultation with the individual faculty member. A recommendation is submitted to the college dean who reviews the workloads of all faculty in the college. The provost and vice chancellor is ultimately accountable for the determination of faculty workload. (US5/94).

e. Full –Time Teaching Load – Instructional Academic Staff (IAS)

A full-time semester teaching load is generally fifteen credits, or the equivalent. IAS responsibilities are more limited than those of a probationary faculty and are generally limited to teaching duties. However, those assigned responsibilities in addition to teaching such as advising will have a reduced teaching load. Such arrangements will occur only after careful consideration of the individual staff member's responsibilities and after consultation with the IAS member, the department chair, the college dean and the provost or designee. Such assignments will be stipulated in a letter of appointment.

A full-time summer session load is eight credits. Instructional academic staff who are assigned an overload are generally compensated through an overload payment; however, instructional academic staff may be compensated by a reduction in load a following semester.

The provost and vice chancellor is ultimately accountable for the determination of IAS workload. (US 10/03)

f. Unanticipated Assignments from University Sources during the Period of Appointment – ACPS4:6a

The salary received by full-time employees is generally assumed to be full compensation for university activity during their appointment period. Thus, such employees may not receive compensation for an overload activity from any funds administered within the University System, regardless of source, except through procedures and within standards provided in this policy.

Exceptions to this policy are subject to specific advance approval of the provost and vice chancellor as the designee of the chancellor and must be of an unusual, short-term, or non-recurring nature. Compensation for such exceptions cannot exceed the statutory limitations as defined in Wisconsin Statutes (Section 16.417(2)).

g. Mini-Sessions During the Academic Year – ACPS4:6b

Faculty may receive additional payment for mini-sessions scheduled during the academic year when the addition of a mini-session or inter-session results in a teaching load that exceeds the institution's regular expected teaching load for fall and spring semesters.

Academic staff may receive additional payment for mini-sessions scheduled during the academic year when the addition of a mini-session or inter-session results in a teaching load that exceeds the institution's regular expected teaching load for fall and spring semesters.

h. Summer-Sessions and Post-Commencement Mini-Sessions – ACPS4:6c

For employment during the summer period, compensation received from the University may not in aggregate exceed two-ninths of the faculty/academic staff member's academic year salary unless an explicit exception is granted by the provost and vice chancellor as the designee of the chancellor.

i. Interinstitutional instructional, consulting, or technical services on an overload basis – ACPS4:6d

Overload payment for such services may be authorized by the provost and vice chancellor as the designee of the chancellor if the service falls outside the faculty member's regularly assigned responsibilities, can be provided without adversely affecting performance of regularly assigned responsibilities, and is an activity of unusual, short-term and non-recurring nature. Additional information regarding UW System and UW-Eau Claire policy may be obtained from the provost and vice chancellor.

j. Off-Campus Credit Instruction Coordinated through UW-Extension – ACPS4:6e

When taught by full-time faculty members during their appointment period, such courses are included insofar as possible as part of assigned full-time responsibilities. UW System and UW-Eau Claire policies regarding overload and ad hoc employment may be obtained from the provost and vice chancellor.

k. UW-Extension Continuing Education and Public Service Programs – ACPS4:6f

To the extent that needs can be anticipated, such assignments are included as part of the faculty member's full-time load. UW System policies may be obtained from the provost and vice chancellor.

l. Funding for Research and Other Activities (External Sources)

Research and other activities that involve financial support from agencies external to the University of Wisconsin System play an important part in the growth of the university and in the professional development of its faculty. The following policies and procedures, consistent with Board of Regents policy, govern local university operations.

m. Extramural Funds received by University of Wisconsin-Eau Claire

Any grant or contract for extramural funding which will be administered through the University of Wisconsin System must be accepted by the Board of Regents. Grant proposals must be cleared with department chairs, related dean(s) and/or directors, and the Office of Research and Sponsored Programs as a part of the UW-Eau Claire review/approval process. Assistance in preparing a proposal and arranging for UW-Eau Claire concurrence is available from the Office of Research and Sponsored Programs.

Request for released-time should follow the normal administrative channel from the department chair to the dean of the college to the provost and vice chancellor.

Compensation for those projects which are supported by extramural funds and administered through the UW System must comply with the provisions outlined in ACPs-4

(<https://www.wisconsin.edu/program-planning/academic-planning-statements/>). See Unanticipated Assignments from University Sources during the Period of Appointment.

n. External Funds as a Direct Source of Compensation

Faculty receiving compensation directly from agencies external to the University of Wisconsin System must comply with the provisions outlined in UWS8, Outside Activities, (http://docs.legis.wisconsin.gov/code/admin_code/uws/8.pdf) and the corresponding section of these Rules and Procedures.

o. Non-University Employment

The acceptance of any employment outside of the contract with the Board of Regents shall be with the concurrence of the chancellor of the university. Part-time teaching or in-service assignments with any other institution of learning shall be by request of the faculty member and the approval of the chancellor and the Board of Regents. In any case where remunerative employment is conducted with another agency, assurances must be provided that the Board of Regents has prior claim upon all services.

Non-university employment is subject to the provisions outlined in UWS8, Outside Activities, (http://docs.legis.wisconsin.gov/code/admin_code/uws/8.pdf) and the corresponding sections of these Rules and Procedures.

p. Leaves of Absence

Leaves of absence without salary may be granted for up to two years by the chancellor of the university. These are considered upon the request of the faculty member or academic staff member and the recommendation of the provost and vice chancellor.

q. Faculty Sabbatical Program

(based on ACPs3.3 <https://www.wisconsin.edu/program-planning/academic-planning-statements/>)

The Faculty Sabbatical Program enables recipients to engage in intensive study in order to become more effective teachers and scholars and to enhance their services to the university. Faculty members are considered on the merit of their past academic contributions. They are eligible for sabbatical if they have completed six or more years of full-time service, or the equivalent, in the UW System and have not taken a sabbatical within the UW System during the previous six years of full-time service or equivalent. A faculty member may take a sabbatical leave for one semester of an academic year at full compensation for that period or a sabbatical leave for an academic year at 65 percent of full compensation for that period.

The call for faculty sabbatical proposals is issued by the Office of Research and Sponsored programs each spring for academic year beginning 18 months later. A workshop on the sabbatical application procedures is generally offered in May. Proposals must be submitted to the assistant vice chancellor for research and sponsored programs for distribution to the screening committee. The deadline for submission of proposals will be announced at the beginning of each fall semester. More complete information on the program is available from the [Office of Research and Sponsored Programs](#).

SECTION B – FACULTY PERSONNEL POLICIES AND PROCEDURES

Personnel actions for faculty include recruitment, appointment, periodic review, reappointment, granting tenure, and promotion in rank. The provost, in consultation with the Faculty Personnel Committee, has the authority to designate an academic program as an official tenure home and therefore as the functional equivalent of a department. Such an academic program must establish and maintain written faculty personnel policies and procedures as defined herein with the program coordinator serving as department chair and the program serving as the department. (US10/11)

1. Faculty: Department Personnel Committee

a. DPC – Introduction

The Department Personnel Committee (DPC) is responsible for establishing criteria and procedures for periodic review, establishing criteria and procedures for evaluating performance, making recommendations on reappointment and granting tenure, and assisting the department chair in recruitment. The DPC is also responsible for communicating to faculty the criteria and procedures it currently uses in making these recommendations. Specifically, the DPC provides an opportunity annually for faculty to discuss the criteria and procedures contained in the departmental faculty evaluation plan.

All periodic review reports, evaluations of performance, and recommendations for appointment, reappointment, and granting tenure are forwarded to the department chair. The department chair is responsible for conducting his/her own periodic review of faculty members and evaluation of performance, and for making recommendations regarding appointment, reappointment, granting tenure, and promotion in rank to the dean. The department chair informs the faculty in writing of the criteria used in the review processes.

Criteria for periodic review and evaluation of performance for purposes of reappointment, granting tenure, and promotion in rank must include, but are not limited to, the general criteria of teaching effectiveness, scholarly activity, and service to the University, the profession, and the public.

b. DPC – Membership

All tenured faculty with an assignment of 50 percent or more in the department, excluding the department chair and excluding tenured faculty members on paid or unpaid leave of absence of greater than 50 percent, shall be members of the Department Personnel Committee. A faculty member may hold membership on the Department Personnel Committee in only one department. If a faculty member holds a 50 percent assignment in each of two departments, the department in which he or she will be a member of the Department Personnel Committee shall be determined at the time the tenure appointment is made. Tenured faculty members who are (a) on sabbatical leave or (b) temporarily assigned (i.e., for a period of two years or less) to university duties outside the department or (c) teaching abroad remain members of the Department Personnel Committee and are expected to participate fully in the Department Personnel Committee unless they expressly elect to temporarily suspend their membership during their sabbatical leave, outside appointment or teaching assignment and inform their department chair of their decision. Temporary suspension of membership can affect the ability of the Department Personnel Committee and its subcommittees to formally organize and make recommendations [see below, “Organization” and “Functional Equivalent”]. (US4/09)

Even though the department chair is not a member of the Department Personnel Committee or of its subcommittees, the chair may be invited to attend their meetings. The department chair shall call organizational meetings of the Department Personnel Committee as needed. The Department

Personnel Committee shall elect a chair and a secretary, each of whom shall sign all official documents and communications from the committee.

c. DPC– Organization

In order to formally organize and make recommendations, a Department Personnel Committee must have three or more members.

Each eligible faculty member has a responsibility to serve on the Department Personnel Committee, and there is no provision for resignation from this committee. An individual must decline to participate in certain decisions of this committee when there is a danger of conflict of interest. If the failure of an individual faculty member to participate in this committee's actions reduces the number of participating members to fewer than three, then for the purpose of those actions, the functional equivalent [see below] shall replace the committee.

d. DPC– Functional Equivalent

If the Department Personnel Committee cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Department Personnel Committee in such situations, the department chair or unit director shall operate as the functional equivalent of the Department Personnel Committee and must formally consult with those faculty eligible for membership on the committee. (US11/07) Serving as the functional equivalent does not itself impact the chair's membership on other DPCs. (US10/11)

Consultation with the eligible members must be reported to the next administrative level. The chair or director shall provide written notification to those eligible members of the recommendation being forwarded, and those members must be provided an opportunity to attach written comments to be included with the recommendations forwarded through the administrative channels.

The functional equivalent shall be treated as the Department Personnel Committee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the Department Personnel Committee except in those cases where the normal policies and procedures:

- 1) call for a recommendation to be submitted from the Department Personnel Committee to the Chair or Director. In this situation, the functional equivalent shall operate as the Department Personnel Committee and the recommendation shall be submitted directly to the next administrative level.
- 2) call for the Department Personnel Committee to assist the chair or director with a specific task. In this situation, the chair or director shall perform the specific task with assistance from the other members of the functional equivalent.
- 3) call for the Department Personnel Committee to take a specific action with input from the chair or director. In this situation, the functional equivalent shall be responsible for the specific action.
- 4) call for the chair or director to perform an evaluation independent from the evaluation performed by the Department Personnel Committee. In this situation, the functional equivalent shall perform the single evaluation.

In those cases where the department chair or unit director is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply. (US1/03)

e. DPC– Procedures

The Department Personnel Committee shall develop and approve written procedures for carrying out its charge. The committee procedures shall be in harmony with university and UW System policies and procedures, which shall always take precedence.

f. DPC– Voting

All votes pertaining to a personnel action will be conducted by voice, by show of hands, by signed ballot, or by roll call. If any member of the voting body requests a roll call or signed ballot vote, then the vote must be conducted in that manner. In the case of signed ballot or roll call, the name and specific vote cast by each voting member must be recorded, preserved, and be available for public inspection.

In reporting the results of any personnel action requiring a vote, the vote count (votes for, votes against, members present) will be recorded on the appropriate official personnel form. That form will be provided to the individual under consideration in the personnel action at the same time that it is forwarded to the next appropriate administrative level (Chair, Dean, etc.). (US4/ 14)

To be considered a positive recommendation (e.g., supportive of reappointment, tenure, or promotion), a simple majority of those voting on the motion must vote for the action (more votes “for” than votes “against”). Any other outcome, including a tie vote, is considered a negative recommendation (e.g., against reappointment, tenure, or promotion). [Note: Abstentions are not votes, they are a refusal to vote. Members who elect to abstain are not considered as having voted, but they are considered as part of the total for the number of members present.] (US4/ 14)

The right to vote is limited to members of an organization who are present in person or via synchronous discussion at the time the vote is taken at a legal meeting. (US2/05; 4/05; 5/05)

g. DPC - Subcommittees

The Department Personnel Committee procedures shall provide for subcommittees as specified in the sections on Promotion in Rank and Post-Tenure Review. The committee procedures may also provide for the delegation of any of the committee functions and responsibilities, other than those specified for the promotion and post-tenure review subcommittees, to one or more subcommittees whose membership must be formed with the membership of the Department Personnel Committee. (US9/04)

h. DPC - Meetings

The procedures shall provide for at least one meeting of the Department Personnel Committee each academic year at which the committee procedures and criteria used by the committee shall be reviewed and may be modified according to the provisions set forth in the procedures.

i. DPC- Charge

The Department Personnel Committee shall:

- 1) Establish criteria and procedures for periodic review of faculty performance as prescribed by university and UW System policies.
- 2) Establish a professional development process for each rank as well as language to evaluate the service of those who mentor others in professional development. (US4/ 13)
- 3) Establish criteria and procedures for making recommendations concerning the reappointment of probationary faculty, the rehiring of instructional and/or research academic staff, and granting tenure to faculty.
- 4) Establish criteria and procedures within the limits granted to the department for making salary recommendations.

- 5) Assist the department chair in developing and approving the departmental long-range plan.
- 6) Assist the Department Chair in the recruitment of faculty and instructional and/or research academic staff.
- 7) Make recommendations to the Department Chair concerning appointment and reappointment of faculty, hiring and rehiring of instructional and/or research academic staff, granting tenure to faculty, and the granting of faculty status to instructional and/or research academic staff, including a specific statement whether the recommendation is for or against these actions.
- 8) Implement personnel policies and procedures either delegated to or permitted at the department level.
- 9) Provide to faculty and instructional and/or research academic staff a copy of the current criteria and procedures used by the Department Personnel Committee, the promotion subcommittees, and any other subcommittees.
- 10) Annually provide an opportunity for faculty and academic staff to discuss the criteria and procedures used by the Department Personnel Committee and its subcommittees.

Unless otherwise provided, the procedures of the Department Personnel Committee shall be governed by Robert's Rules of Order. (US12/03)

2. Faculty: Recruiting/ Appointment/ Performance/ Tenure/ Renewal & Promotion

{based on UWS3 http://docs.legis.wisconsin.gov/code/admin_code/uws/3}

a. Faculty: Appointments

Appointments to the faculty of the University of Wisconsin-Eau Claire are made by the Chancellor of the University. Initial appointments are typically for two years. Contracts may be offered for part- or full-time positions which are specifically restricted to one or two semesters.

To ensure compliance with University, State, and Federal rules and regulations, the university shall provide a regular schedule of training for members of Department Personnel Committees, search committees, department chairs, and deans.

The University of Wisconsin-Eau Claire is an equal opportunity employer actively seeking applications from all qualified persons, whatever their sex, marital or parental status, race, color, religion, age, national origin, or handicap. Department chairs and directors recruit for each position available according to the affirmative action guidelines provided in the UW-Eau Claire Affirmative Action Plan. The recruitment process begins with completion of the "Request to Recruit" form available from the provost and vice chancellor's office. Written records are kept of all recruiting practices. (US2/05)

1) Types of Appointments {based on UWS3.01}

When a vacancy exists in an academic department, the chair of the department in consultation with the Department Personnel Committee (DPC) shall prepare a recommendation as to whether the vacancy is to be filled with a faculty appointment or an academic staff appointment. In formulating this recommendation consideration shall be given to, but not limited to, the staffing needs of the department, the tenure density of the department, the source of funding for the position, the responsibilities to be associated with the position, the number of years the position is expected to continue, and the provisions of Unclassified Personnel Guideline #1, Attachment #1, 4 – Instructional Academic Staff. The number of probationary faculty appointments in a department need not be limited to the number of anticipated vacant tenure positions. (FS11/84)

When an academic department has a vacant probationary faculty position, upon the recommendation of the Department Personnel Committee, the chair may recommend that the position be offered to one of the instructional and/or research academic staff members in the department without advertising the position. Such recommendation must be supported with documentation giving evidence that no useful purpose would be served by advertising the position, and that the academic staff member has the qualifications sought for the position and could be expected to prevail among the pool of applicants if the position were advertised. Upon approval by the dean, the affirmative action officer, and the chancellor, the instructional and/or research academic staff member shall be offered the probationary faculty position. (FS11/84)

2) Recruiting {based on UWS3.02}

Academic departments shall develop a long-range staffing plan that includes a description of curricular needs, a description of the value of a diversified faculty/staff to those curricular needs, and a description of diversity recruitment strategies. The affirmative action office will provide baseline data and information as necessary for this plan. When a vacancy exists in an academic department, the chair of the department shall forward a request to fill the vacancy and forward a recruitment plan that includes the department's diversity strategies to the dean. In consultation with appropriate members of the faculty, the chair shall develop a description of the position and the qualifications to be sought and forward that for approval to the dean as well. All recruiting procedures shall be in accordance with the department's long-range staffing plans and with UW-Eau Claire's affirmative action plan. (US4/94) {See [Affirmative Action's web site](#) for recruiting details.}

Upon review by the affirmative action officer and approval by the dean of the college and the provost and vice chancellor, the department chair shall publicize the vacancy in accord with the current affirmative action plan and in an effort to secure as many qualified applicants as possible. (US12/99)

The department chair shall obtain from the affirmative action office the appropriate forms for recording the recruitment activity and for recording the qualifications of the applicants reviewed.

After the review of applications, the department chair in consultation with the faculty of the department shall select the best qualified candidate(s); and after review by the affirmative action officer and approval of the dean of the college and the provost and vice chancellor, the dean shall invite the candidate(s) to campus for interviews. If none of the candidates is acceptable, the department chair, in consultation with the faculty of the department, shall (1) revisit the pool for additional candidates, (2) readvertise in the same and/or different locations using exactly the same position description and requirements, or (3) close the search, and, if appropriate, determine what changes need to be made to either the position or the wording of the advertisement and request permission to begin a new search incorporating the changes. (US 12/03)

While on campus, the candidate or candidates shall be interviewed by members of the faculty, the department chair, and normally by the dean of the college or colleges in which the candidate will hold appointment, and the provost and vice chancellor or designee.

If the candidate or candidates are not acceptable to the department and/or to the administration, another candidate will be invited for interviews and so on, until an acceptable candidate is found. (FS10/75)

3) Appointments - General {based on UWS3.03}

When an acceptable candidate has been found, the department chair on behalf of the department will prepare a recommendation for appointment including rank and salary. After review by the Affirmative Action Officer and upon recommendation of the dean of the college, the provost and vice chancellor shall prepare an appointment letter detailing the terms and conditions of the appointment, including, but not limited to, duration of the appointment, salary, starting date, ending date, general position responsibilities, probation-tenure status, tenure home, and the crediting of prior service where appropriate. (US10/11)

For all split and joint appointments, the appointment letter will specify the tenure home for the appointee and include detailed and specific descriptions of the various unit responsibilities in the evaluation process. For both split and joint appointments, the letter will designate which units are responsible for evaluating teaching, scholarship, and service respectively, and to what degree each unit is responsible for evaluating each of these criteria. The letter will also specify in which unit the appointee's tenure resides as well as which unit is responsible for making the overall recommendations for retention, tenure, and promotion. For split appointments, the letter will also specify which unit is responsible for evaluating the administrative duties of the appointee and will include detailed information about how the administrative evaluation will be weighed relative to the faculty evaluation for retention, tenure, and promotion. (US4/12)

The letter of appointment shall reference those portions of the Wisconsin Administrative Code (UWS) which pertain to faculty and the UW-Eau Claire Faculty Personnel Rules and Procedures relating to faculty appointment. Copies of these rules are available online.

All faculty and academic staff will be apprised of their governance rights by the department chair at the time of original hire. (US12/99)

4) Probationary Appointments {based on UWS3.04}

Appointment to a faculty position may be made initially with tenure status or probationary status. If a probationary appointment is made, previous full-time service as a ranked member of the faculty of other colleges or universities or comparable instructional service at this university may be included in calculating the probationary period at the University of Wisconsin-Eau Claire. Of the total years of such service, the portion to be included will typically not exceed three years, and may be less, and shall be determined at the time of initial appointment by the chancellor upon the recommendation of the Department Personnel Committee, the department chair, the dean of the college, and the provost and vice chancellor. (FS1/80)

The maximum probationary period for full-time faculty appointments shall be seven years of continuous service. The maximum probationary period for part-time positions of at least half-time shall be no more than the mathematical equivalent of seven years of full-time continuous service. For example, for a half-time appointment, the maximum probationary period shall be no more than fourteen years of half-time continuous service.

a) Leaves of Absence

Leaves of absence, sabbatical leaves, or retraining assignments shall not constitute breaks in continuous service nor shall they be included in the probationary period.

Responsibilities with respect to childbirth or adoption, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond the control of the faculty member, shall not constitute breaks in continuous service nor shall they be included in the probationary period when those circumstances significantly

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ACADEMIC STAFF PERSONNEL POLICIES

impede the faculty member's progress toward achieving tenure. It shall be presumed that a request made because of responsibilities with respect to childbirth or adoption shall be approved.

b) Delay of Tenure Evaluation

Requests to delay the tenure evaluation shall not be initiated once the tenure review cycle commences according to UWS3.04(3). The review cycle typically commences following the Board of Regents' final action on the previous year's tenure candidates. A request to "suspend the clock" for any of the above listed reasons must be made in writing to the department chair. The approved request must be forwarded along with the approval recommendation in turn to the dean, provost and vice chancellor, and chancellor. The chancellor in consultation with the department chair, dean, and provost and vice chancellor may grant the request. If the request is denied at any level, the denial must be based upon clear and convincing reasons and must be in writing. (US10/15)

More than one request may be granted because of responsibilities with respect to childbirth or adoption. More than one request may be granted to a probationary faculty member but the total, aggregate length of time of all requests, except for a request because of responsibilities with respect to childbirth or adoption, granted to one probationary faculty member shall be no more than one year. If a faculty member has been in probationary status for more than seven years because the clock has been "suspended" for one or more of the above reasons, then the person shall be evaluated as if he or she had been in probationary status for seven years. Tenure is not acquired solely because of years of service. Granting tenure must result from an affirmative recommendation of the department and approval by the administration. (US5/94)

b. Faculty: Review of Performance

1) Purpose {based on UWS3.05 http://docs.legis.wisconsin.gov/code/admin_code/uws/3}

The University of Wisconsin-Eau Claire is committed to a continuous self-evaluation as one means of ensuring the quality of the education it offers students. The periodic review of faculty performance is an integral part of this process. As such, it has as its primary purpose the maintenance and improvement of the quality of instruction provided by the individual faculty member and the quality of programs offered at the departmental or college levels. Recognizing that teaching, research, professional development, and service to the public, the profession, and the University, as well as all other types of scholarly activity, contribute to the quality of educational opportunity available at the University, all faculty shall be evaluated in all aspects of the fulfillment of their professional commitment to the institution. For split and joint appointments, the review shall be based on the responsibilities and criteria for evaluation established in the appointment letter. (US4/12)

The department chair, the Department Personnel Committee (DPC), the DPC subcommittees, and designated academic administrators participate in one or more of the several phases of periodic review of each faculty member listed below. (US3/04; 9/04)

Phase	Frequency	Initiated By
Salary Review	Annually	Department Chair
Reappointment Review	Annually through the fifth probationary year	Department Personnel Committee and Department Chair
Tenure Review	Prior to the seventh probationary year	Department Personnel Committee and Department Chair

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Promotion Review	After satisfaction of applicable criteria	Department Personnel Committee (Appropriate Promotion Subcommittee) and Department Chair
Post-Tenure Review	During the fifth year following tenure or promotion, whichever is more recent and then during every subsequent fifth year	Department Personnel Committee (Appropriate Subcommittee)

a) Probationary Faculty

The information gathered through the various phases of periodic review of probationary faculty is used in making personnel decisions as well as in the formulation of plans for the professional development of the faculty member involved. To promote the retention of qualified probationary faculty, the institution encourages departments to assign mentoring teams to the new faculty, to monitor retention goals, and, in conjunction with the administration, work to enhance the intercultural climate. The evaluation policies and procedures shall respect the dignity and the academic freedom of the individual and shall recognize the importance of good staff morale to the achievement of academic excellence.

b) Tenured Faculty

The information gathered through the various phases of periodic review of tenured faculty is used to ensure continuing growth and development in professional skills; to encourage faculty to explore new ways to promote academic excellence; and to identify areas for improvement and provide solutions for problem areas.

The periodic review of probationary faculty and of tenured faculty shall follow the same procedures as described below. The reviews may be incorporated into other departmental procedures for salary and other performance reviews at the department level.

Salary recommendations shall be based on performance of assigned duties and must include consideration of student evaluations.

2) Criteria for Periodic Review of Faculty Performance (US11/16,3/17)

** EDI language implementation beginning 7/1/2018

Each periodic review of faculty must include, but is not limited to, consideration of teaching effectiveness, scholarly activity, and service to the University, the profession, and the public.

** In addition, all faculty members are expected to contribute to university efforts towards equity, diversity, and inclusivity (EDI).

Equity is defined as the fair and impartial treatment of all individuals. Diversity is defined as the structural and power differences among people, including but not limited to, differences in race, ethnicity, religion, gender sexual orientation, disability, economic status or perspectives. Inclusivity is defined as valuing the perspectives and contributions of all individuals.

EDI contributions can be included in any of the three primary criteria for periodic review. Contributions to EDI can be demonstrated through teaching and curricular development, scholarly activity, engagement in initiatives that directly serve underrepresented students, underrepresented faculty, and/or underrepresented communities, or professional development, or any other activities as defined in the approved evaluation plan. All periodic faculty reviews shall include an evaluation of the faculty member's EDI engagement efforts.** Many faculty activities may contribute to more than one of these criteria, which are defined as follows:

- a) Teaching effectiveness means the success of the instructor in securing interest, effort, and progress on the part of students. The primary consideration is that students are stimulated to better standards of scholarship, to keener interest in learning, to greater professional understanding, and to more effective effort toward self-improvement. On October 4, 1974, the Board of Regents approved policies requiring student evaluation of instruction for the following purposes: (1) improvement of instruction; (2) as information used in actions on promotion, retention, and granting tenure; (3) as information used in actions on salary increases.
- b) Scholarly activity means scholarship of a live and progressive character, manifested by continued study, scholarly interests, research, productive and creative work, and professional participation and performance. The essential test of such growth is the teacher's success in holding the respect and esteem of students and colleagues within his or her special field of study and in maintaining professional standards in keeping with those generally approved by the teaching profession.
- c) Service to the university, the profession, and the public means the acceptance and fulfillment of the responsibility to serve the university, the professions, and the public through various activities which take place outside the classroom.
 - (1) Service to the university refers to service in various individual roles (e.g. mentoring faculty in professional development, assisting committees as an invited presenter, etc.) and service through participation on various committees, advisory boards, etc., at either the department, school, college, university, or system level.
 - (2) Service to the university also includes academic advising. Academic advising includes providing ongoing consultation for the student; referring the student to appropriate sources of assistance when necessary; assisting the student in the development of a comprehensive, long-range academic and career plan and the selection of courses; and monitoring the student's progress towards the fulfillment of all applicable degree requirements. (US11/16)
 - (3) Service to one's profession refers to active participation in professional organizations at the local, state, national, or international level.
 - (4) Service to the public refers to participation in community movements of an educational nature, or in continuing education activities, or to using one's professional expertise in a consulting or advisory capacity to agencies, businesses, communities, or individuals, or to similar types of activities through which the university achieves greater recognition and prestige in the community, state, or nation. (US4/13)

Each phase of periodic review of faculty performance shall include, but is not limited to, consideration of teaching effectiveness, scholarly activity, and service to the university, the profession and the public. The Department Personnel Committee (DPC) of each department or functional equivalent with input from the Department Chair shall develop and approve a written evaluation plan that defines each of these general criteria and describes the relative emphasis to be given to each criterion. The emphasis may vary depending on needs of the department, individual interests, and the stage of a faculty member's career. Upon approval by the DPC, the plan shall be submitted to the department chair, the dean, and the provost and vice chancellor who shall review the plan and, if it is determined to be acceptable, approve it in writing. The department chair shall distribute the approved plan to department members, thereby informing them of the agreed upon criteria. The Department Personnel Committee, the department chair,

the dean, and the provost and vice chancellor shall use the agreed upon criteria in considering performance reviews.

The Department Personnel Committee shall annually review the Department Evaluation Plan and revise the plan as deemed appropriate. Revisions shall be approved in the same manner as the original plan. The department chair shall inform the department in writing of any agreed upon revisions in the plan.

If at any point during the development or revision of the plan agreement cannot be reached over any aspect of the plan, the next higher level (department chair, dean, or provost and vice chancellor) shall attempt to informally mediate any differences and to secure agreement so that the plan may move forward. If the provost and vice chancellor's effort at informal mediation fails, the Faculty Complaint, Grievance, and Termination Review Committee shall be convened by the chancellor to examine the issues and to make a recommendation to the chancellor concerning that portion of the plan for which an agreement could not be reached. The decision of the chancellor is final. When the Faculty Complaint, Grievance, and Termination Review Committee recommendation is supported by three-fourths of those voting, the committee can expect that its recommendation will be supported except for only the most compelling reasons. (US12/03)

3) Procedures for Periodic Review of Faculty Performance

a) Procedures for Periodic Review by Department Personnel Committee

The committee or one of its subcommittees shall meet annually with all instructional staff of the department for the purpose of discussing the department criteria, the relative emphasis given to each of the criteria in the review of the individual faculty member's performance, and the procedures of the evaluation plan.

In addition to student evaluations, each phase of periodic review shall provide for peer judgments of performance and may be conducted by means of classroom evaluations, information presented by the faculty member, and information gathered by the DPC or its subcommittees. For nonteaching faculty, the plan shall follow the principles reflected in these guidelines with appropriate modifications based on the responsibilities and duties of the individual.

The departmental faculty evaluation plan shall include procedures which:

- (1) Conform to the Wisconsin open meetings and records laws, the UW System rules and policies, and UW-Eau Claire policies, all of which shall take precedence.
- (2) Provide forms and procedures for administering and analyzing student evaluations and promote the anonymity and integrity of those evaluations.
- (3) Provide that the faculty member shall be given copies of all periodic reviews of faculty performance at the same time as such reports are submitted to the department chair or other administrators by the Department Personnel Committee or its subcommittees.
 - (a) Provide that each phase of periodic review of probationary faculty be forwarded through administrative channels to the department chair, dean, provost and vice chancellor, and chancellor in the course of the reappointment process.
 - (b) Provide that each phase of periodic review of tenured faculty be forwarded to the department chair. After review the department chair will return the review to the faculty member and acknowledge completion of the process to the dean. Periodic reviews of tenured faculty for purposes of preparing promotion recommendations

will take the place of the post-tenure review and will be forwarded through administrative channels according to the procedures for promotion.

- (4) Provide that the faculty member be given an opportunity to examine his or her student evaluations.
- (5) Provide that the faculty member be given an opportunity to respond in writing to the student evaluations and the evaluation reports prepared by the Department Personnel Committee and that such responses are attached to the original documents before the evaluation report is forwarded to the dean.
- (6) Afford the faculty member opportunities to submit to the Department Personnel Committee or its subcommittees any documents or information relevant to the evaluation of his or her performance, and/or request a meeting with the committee.
- (7) Recognize that the department chair has the responsibility for maintaining the departmental personnel file for each staff member, including a record of the periodic evaluations, personnel decisions, and the information on which they are based.
- (8) Afford the faculty member an opportunity to review and respond to the information in his or her departmental personnel file.

b) Procedures for Periodic Review by Department Chair

In addition to student evaluations, each phase of periodic review by the department chair may be conducted by means of classroom observations, information presented by the faculty member, and information gathered by the Department Personnel Committee or its subcommittees. Following the completion of the each phase of periodic review, the department chair shall provide the faculty member with a written report on his or her performance. The faculty member shall have the opportunity to respond to this report in writing. This report, the information on which it is based, and the response, shall become a part of the departmental personnel file of the faculty member.

The department chair, in consultation with the Department Personnel Committee, will prepare a schedule for the regular (at least every five years) post-tenure review of the tenured faculty. An annual report to the provost and vice chancellor identifying those tenured faculty reviewed during the year will be filed before the end of each academic year. (US12/03)

c. Faculty: Renewal of Appointment and Granting Tenure

(based on 3.06 http://docs.legis.wisconsin.gov/code/admin_code/uws/3/)

1) Renewal of Appointments (Probationary Faculty Members)

Recommendations pertaining to reappointment of probationary faculty members proceed through administrative channels from the departmental level to the chancellor. The Department Personnel Committee is responsible for initiating reappointment or non-reappointment recommendations for all probationary faculty members in the department. These recommendations are forwarded to the chair of the department, the dean(s) of the college(s) in which the probationary faculty member holds an assignment, and the provost and vice chancellor. The chair of the department is then responsible for the development of a reappointment recommendation for each probationary faculty member in the department. These recommendations are forwarded to the dean of the college in which the faculty member has his/her primary assignment, who in turn reviews the recommendations and forwards a recommendation to the provost and vice chancellor, who in turn recommends to the chancellor.

The Department Personnel Committee shall give the faculty member at least 20 days' advance written notice of the departmental review. This notice will inform the faculty member whether the review is to be conducted to determine a reappointment recommendation only or to determine a recommendation for tenure. This notice will also inform the faculty member of his/her right to present to the committee written information related to the criteria on which it will base its recommendation and of his/her right to request an opportunity to appear before the committee to explain the information presented.

The Department Personnel Committee shall forward to the Department Chair its recommendation, the evaluation supporting that recommendation, and the number of votes for and against reappointment within 10 days of the time of the committee's vote. It shall at the same time inform the faculty member of its recommendation in writing. The faculty member shall not receive the reasons for the recommendation at this time.

Whenever a reappointment recommendation differing from that of the Department Personnel Committee's recommendation is sent forward, the Department Personnel Committee will be informed and an opportunity for consultation provided.

2) Other Administrative Responsibilities

The Department Chair shall meet with each probationary faculty member of the department for the purpose of communicating to him/her the judgment and suggestions regarding the faculty member's teaching and other academic responsibilities and to discuss his/her progress toward tenure.

The department chair shall make a recommendation and forward it, along with the Department Personnel Committee's recommendation and reasons, to the appropriate dean within 20 days of the Department Personnel Committee's vote, at the same time informing the faculty member in writing of the recommendation.

The dean shall make a recommendation and forward it, along with those previously made, to the provost and vice chancellor within a reasonable time. He/she shall inform the faculty member in writing of his/her recommendation within 20 days of making it.

The provost and vice chancellor shall make a recommendation and forward it, along with those previously made, to the chancellor within a reasonable time. He/she shall inform the faculty member in writing of his/her recommendation within 20 days of making it.

Where the Department Personnel Committee recommendation is supported by 3/4 of those voting, the committee may expect that its recommendation will be supported by the chair of the department, the dean, the provost and vice chancellor, and the chancellor, except for only the most compelling reasons. In such case, those compelling reasons will be communicated by the administrative officer making a recommendation different from that of the Department Personnel Committee to the chair of the Department Personnel Committee for distribution to the tenured members of the department. (FS3/75)

The providing of reasons upon request of a faculty member and the communicating of "compelling reasons" for reversing the recommendation of a Department Personnel Committee are separate actions. Reasons for non-reappointment shall be placed in the faculty member's official file (located in the chancellor's office) only when the faculty member has requested them. When reasons for reversal are communicated to the Department Personnel Committee, they shall be accompanied by a statement limiting access to the reasons to the tenured members of the appropriate department. (FS5/81; amended 10/81)

3) Granting Tenure for Faculty

a) Tenure Decisions

The maximum probationary period in a full-time position is seven years. Therefore a tenure decision is made no later than the sixth year of a probationary faculty member's full-time service to the university. The procedure to be followed is that used in periodic review of faculty, and must include, but is not limited to, a review of teaching effectiveness, scholarly activity, service to the university, the profession, and the public, and departmental needs. In reviewing teaching, departments must consider, among other factors, student evaluations.

If the decision is to grant tenure, it will become effective at the beginning of the academic year following the decision. If a decision not to grant tenure is made in the sixth year of service, the faculty member's service will be terminated with the completion of the seventh year. An appeal of a negative tenure decision can be made by the affected faculty member under the provisions of appeal of a nonrenewal decision.

b) Doctoral Degrees and Tenure

When a Department Personnel Committee deems an earned doctorate or other special preparation essential, probationary faculty members will be expected to have these qualifications before consideration for tenure will be given. The Department Personnel Committee shall inform the probationary faculty member of these expectations. In instances where no Department Personnel Committee exists, the department chair shall perform these functions.

c) Granting Tenure and Promotion in Rank

Granting tenure and promotion in rank result from separate recommendations. An individual may be promoted before obtaining tenure and may be granted tenure without promotion in rank. (US12/91)

Granting tenure shall result from an affirmative recommendation of the department and approval by the administration. Such recommendation shall proceed in the same manner as a recommendation for reappointment. (FS11/75)

d. Faculty: Nonrenewal of Probationary Appointments

{based on UWS3.07, 3.08, and 3.09 http://docs.legis.wisconsin.gov/code/admin_code/uws/3}

1) Rules and Procedures {based on UWS3.07(1)(a)}

If the decision of the chancellor is to deny reappointment, the faculty member, within 20 days of being notified of the decision, may request from the chancellor the reasons for the non-reappointment in writing. The chancellor shall forward the request to the official or body making the initial negative recommendation. Within 10 days of the faculty member's request, that official or body shall supply the faculty member with all reasons given in support of its recommendation in writing. A copy of the reasons and notification shall be forwarded to the chancellor and placed in the faculty member's official file. (FS3/75).

2) Reconsideration {based on UWS3.07(1)(b)}

The faculty member, after receiving the reasons, may within 10 days request a reconsideration from the official or body making the initial recommendation not to renew. The faculty member must be given at least 10 days' advance written notice of the time of the reconsideration. The faculty member shall have an opportunity to respond to the written reasons and to present any written or oral arguments or evidence relevant to the decision. Reconsideration shall take place within 20 days of the faculty member's request.

The official or body reconsidering a negative recommendation shall forward its conclusion directly to the chancellor within five days, at the same time notifying the faculty member of its recommendation in writing. If the new recommendation reverses the earlier recommendation for nonrenewal, the chancellor, in consultation with the intervening levels of consideration, shall determine whether to reaffirm or reverse the previous decision, notifying the faculty member of the decision in writing within 10 days of the reconsideration. (FS3/75)

3) Appeal of a Nonrenewal Decision {based on UWS3.08}

If the chancellor reaffirms the nonrenewal decision following reconsideration, the faculty member may within 20 days (25 days if notice is by first-class mail and publication) request in writing that the chancellor convene an appeals committee to consider evidence that the nonrenewal decision was based on prejudicial factors outlined in UWS3.08. The chancellor shall convene all members of the standing Faculty Complaint, Grievance, and Termination Review Committee who have not been involved in the decision-making process. This group will select a chair and a co-chair who will select the five members to serve on the five-member appeals committee(s), which will function as outlined in UWS3.08. Each appeals committee will select a chair and a co-chair from among its members. (US12/94)

4) Appeal of a Denial of Tenure Decision by a Department Personnel Committee or Functional Equivalent {based on UWS3.08}

If the appeals committee from the Faculty Complaint, Grievance, and Termination Review Committee (FOGTRC) finds that a departmental nonrenewal decision which results from a tenure denial during the probationary period was based in any significant degree upon impermissible factors, as defined in UWS3.08, with material prejudice to the individual faculty member, and elects not to remand the case back to the department under UWS3.08 because it would serve no useful purpose, the Faculty Complaint, Grievance, and Termination Review Committee shall appoint an ad hoc committee as follows:

- a) The membership of the committee will consist of five or seven tenured faculty members from any other UW-System campuses from substantially related fields who are not and have not been members of the probationary faculty member's academic department(s) or of any committee which has been involved in the nonrenewal appeal process for that faculty member.
- b) The Office of the Provost and Vice Chancellor and the dean of the college will assist the FOGTRC in coordinating the committee meetings, including provisions for meeting spaces, travel funding for the ad hoc committee members, and other necessary resources as recommended by the members of the FOGTRC.
- c) The FOGTRC shall make its appointments by a simple majority vote of the full FOGTRC. (US 10/12)

The ad hoc review committee shall conduct a de novo review of the candidate's record with reference to the criteria for tenure contained in the University of Wisconsin-Eau Claire Faculty and Academic Staff Rules and Procedures and in the probationary faculty member's department evaluation plan. Both written records and verbal testimony may be used to review the record.

The chancellor may recommend to the Board of Regents that a tenure appointment be granted without the concurrence of the appropriate Department Personnel Committee or its functional equivalent if the ad hoc committee, following the customary decision rules of the department or its functional equivalent, has recommended that tenure be granted. The ad hoc committee's

recommendation shall proceed through the same administrative channels as the DPC's recommendation.

If the ad hoc committee's decision is adverse, the faculty member may request a statement of reasons and a reconsideration by that committee. An adverse decision by the ad hoc committee, following such reconsideration, shall be final. (US9/92)

5) Notice of Nonrenewal {based on UWS3.09}

A faculty member who is employed on probationary appointment pursuant to s.36.13, Stats. (<http://docs.legis.wisconsin.gov/statutes/statutes/36.pdf>), shall be given written notice of reappointment or nonreappointment for another academic year in advance of the expiration of the current appointment as follows:

- a) When the appointment expires at the end of an academic year, not later than March 1 of the first academic year and not later than December 15 of the second consecutive academic year of service;
- b) If the initial appointment expires during an academic year, at least three months prior to its expiration; if a second consecutive appointment terminates during the academic year, at least six months prior to its expiration;
- c) After two or more years of continuous service at an institution of the University of Wisconsin System, such notice shall be given at least 12 months before the expiration of the appointment.

e. Faculty: Promotion

1) Promotion Subcommittees

a) Membership

Promotion subcommittees shall consist of those members of the Department Personnel Committee who hold rank higher than those being considered for promotion to a particular rank.

b) Organization

There normally will be three such subcommittees in each department, to be known as (department name) Professorship Subcommittee, (department name) Associate Professorship Subcommittee, and (department name) Assistant Professorship Subcommittee. In order to formally organize and make recommendations, a promotion subcommittee must have three or more members.

Each eligible faculty member has a responsibility to serve on the appropriate promotion subcommittee. Moreover, there is no provision for resignation from this committee. An individual must decline to participate in certain decisions of this committee when there is a danger of conflict of interest. If the failure of an individual faculty member to participate in this committee's actions reduces the number of participating members to fewer than three, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

c) Functional Equivalent

If any of the promotion subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Promotion Subcommittee in such

situations, the department chair or unit director shall operate as the functional equivalent of the promotion subcommittee and must formally consult with those faculty eligible for membership on the subcommittee. Consultation with the eligible members must be reported to the next administrative level. The chair or director shall provide written notification to those eligible members of the recommendation being forwarded, and those members must be provided an opportunity to attach written comments to be included with the recommendations forwarded through the administrative channels. (US11/07)

The functional equivalent shall be treated as the promotion subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the promotion subcommittee except that recommendations for promotion shall be initiated by the functional equivalent and shall be submitted directly to the next administrative level.

In those cases where the department chair or unit director is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply. (US 01/03)

d) Procedures

Initially, and as necessary thereafter, the department chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the promotion subcommittees. Only promotion subcommittees with three or more members will formally organize and make recommendations. Each promotion subcommittee shall elect a chair and a secretary, each of whom shall sign all official documents and communications from the subcommittee.

The promotion subcommittees shall operate autonomously in making their promotion recommendations. They shall use the criteria in the department evaluation plan for arriving at their recommendations.

2) Minimum Degree and Experience Requirements for Promotion

Promotion in rank shall not be automatic based solely on years at rank. These policies govern promotion in rank, not initial appointment to a rank at the time of hiring.

Credit for full-time years of experience at a rank shall be established at the time of hire.

Minimum years of full-time experience must be completed by the time of application and do not include the year in which the promotion evaluation occurs.

a) Professor:

(1) Earned terminal degree, as specified by the professional teaching societies which represent the different disciplines (e.g., MFA is the earned terminal degree required for promotion within the art & design department in studio areas). Faculty members holding such degrees shall not be discriminated against by reason of their not holding a doctorate.

(2) A minimum of five years of full-time equivalent (FTE) experience at the rank of associate professor of which at least two years are at the University of Wisconsin-Eau Claire. (FS 9/71, FS11/71, US4/07)

b) Associate Professor:

(1) Earned terminal degree (same as above).

- (2) A minimum of five years of full-time equivalent (FTE) experience at the rank of assistant professor of which at least two years are at the University of Wisconsin-Eau Claire. (FS 9/71, FS11/71, US12/91, US4/07)
- c) Assistant Professor:
Earned terminal degree (same as above) or earned master's degree plus completion of coursework for the terminal degree and evidence of active progress toward the completion of the terminal degree. (US4/07)
- d) Exceptions:
Exceptions to these minimum requirements may be made when it is believed that the faculty member's performance and contributions merit promotion.
- 3) Criteria for Promotion in Rank
The criteria to be followed in determining promotion in rank are provided in the department evaluation plan (see Periodic Review). Peer judgments of faculty performance and student evaluations shall be considered by the promotion subcommittee in making promotion recommendations. Promotions from one rank in the schedule to another shall not follow automatically when a faculty member shall have raised his or her qualifications to meet the requirements of the rank above.
- 4) Promotion in Rank and Granting Tenure
Granting tenure and promotion in rank result from separate recommendations. An individual may be promoted before obtaining tenure and may be granted tenure without promotion in rank. (US12/91)
- 5) Charge to the Promotion Subcommittee
The (department name) Professorship Subcommittee, the (department name) Associate Professorship Subcommittee, and the (department name) Assistant Professorship Subcommittee shall recommend promotions within the department to the rank of professor, associate professor, and assistant professor respectively.
The appropriate promotion subcommittees of the Department Personnel Committee shall initiate recommendations for promotion which shall be forwarded to the chancellor through the following review levels: the chair of the department or functional equivalent, the dean of the college, and the provost and vice chancellor.
The process begins at the departmental subcommittee level with a formal nomination or request for promotion. Faculty members may request that they be considered by means of an application procedure developed at the departmental level. Nominations may be made by a member of the promotion subcommittee, the department chair, or other academic administrator. All requests for consideration or nominations should be submitted to the chair of the appropriate promotion subcommittee with a copy sent to the department chair.
Departmental promotion subcommittees shall be responsible for giving formal consideration to all applications and nominations for promotion and for submitting a written recommendation for each application or nomination receiving a majority of affirmative votes. The subcommittees shall also inform each applicant or nominee in writing as to whether or not a recommendation supporting promotion has been forwarded to the department chair. The active status of all applications or nominations terminates with the academic year. Faculty may avail themselves of the appeal procedure (below) should they wish to question the decision of the promotion subcommittee. (FS5/85)

All recommendations supporting a promotion in rank must be forwarded to the chair of the department (or functional equivalent) not later than December 1 and shall include the number of votes for and against and an appropriate justification for the recommendation.

Recommendations shall be supported by documentation of the nominee's qualifications for the promotion and the record of the subcommittee's vote. The subcommittee's documentation and recommendation shall be forwarded through each successive level of administrative review along with the recommendation of the reviewing official. The chancellor shall inform the candidate for promotion of his/her recommendation prior to or at the time the promotion recommendations are forwarded to system administration. Thus, the recommendations made by the department promotion subcommittees will be considered at all administrative levels in the review process. Members of the faculty not recommended for promotion by the department promotion subcommittee shall not be considered at any other review level. (See appeal procedures, below.) (Amended FS5/85)

If a department promotion subcommittee's recommendation for promotion is not supported at any successive level of review, the official responsible for the decision not to support the recommendation will, in a timely manner, provide the promotion subcommittee chair and lower levels of administrative review with a written explanation of the decision not to support the recommendation. The subcommittee chair will share this communication with subcommittee members and the nominee, and if requested will call a meeting of the subcommittee to consider a response. (FS11/79, amended 5/85)

Those faculty whose recommendations for promotion were not approved at administrative levels subsequent to the promotion subcommittee must have their request or nomination for promotion reactivated by the appropriate subcommittee should they desire to be considered for promotion during a subsequent year. The active status of all applications or nominations terminates with the academic year. (FS5/85)

6) Appeals of Denials of Promotion

Upon receiving written notice of a decision to deny promotion, a faculty member who meets the minimum degree and experience requirements for promotion to the rank sought may within 10 days formally appeal the negative decision to the next highest administrative level not involved in the contested decision. The faculty member's appeal shall be heard within 20 days of its initiation. It is the faculty member's obligation to provide good reasons why the negative decision should be overturned. After reviewing the relevant facts, the reviewer shall, within five days of hearing the appeal, decide the appeal and shall promptly inform the faculty member and all previous levels of review in writing of his or her decision and the reasons for it. If the reviewer reaffirms the negative decision, the faculty member may not appeal it. If the reviewer reverses the negative decision, the application for promotion shall be forwarded to the next higher administrative level, if any, though the faculty member may not appeal any subsequent negative decision of the current application for promotion. (US4/08)

f. Faculty: Post-Tenure Review (RPD 20-9) (US10/16)

- 1) The overriding purpose of the periodic, post-tenure review is tenured faculty development; such review shall not infringe on existing faculty rights and protections (with the exception noted in f.2), including those of academic freedom.
- 2) All policies, procedures, and definitions for post-tenure review, unless otherwise specified, are taken from RPD 20-9. The reviews conducted and remediation plans developed in accordance with this policy are subject to the complaint process set forth in Chapter UWS

6.01, Wis. Admin Code, but are not subject to the grievance process set forth in Chapter UWS6.02, Wis. Admin. Code. Cases where failed remediation leads to a recommendation of termination for cause are subject to Chapter UWS4.01, Wis. Admin. Code. The post tenure review process is separate and distinct from all other review processes, including all annual, salary, and promotion reviews.

3) Definition of Review Categories

The review will result in the assignment of an overall category reflecting faculty performance. In determining the category, the review shall consider whether the faculty member under review has discharged conscientiously and with professional competence the contractual duties appropriately associated with the faculty member's position. All tenured faculty members under review shall be assigned one of the following three categories.

- a) Exceeds Expectations: This category reflects a significant level of accomplishment through performance of contractual duties beyond what is expected for the institution, college, department, or program as reflected in the approved evaluation plan. All faculty in this category shall be included in the salary adjustment pool as outlined in the Comprehensive Salary Plan approved by the University Senate.
- b) Meets expectations. This category reflects the expected level of accomplishment through performance of contractual duties for the institution, college, department, or program as reflected in the approved evaluation plan.
- c) Does not meet expectations. This category reflects a level of accomplishment through performance of contractual duties below the expected level for the institution, college, department, or program as reflected in the approved evaluation plan, and which requires remediation. All reviews resulting in "does not meet expectations," unless overturned upon further review, will result in a remediation plan as described below.

4) Post-Tenure Review Subcommittee of the Department Personnel Committee (DPC)

a) Membership

- (1) Each post-tenure review subcommittee shall consist of members of the Department Personnel Committee (DPC) who hold the same or higher rank as that individual being reviewed.

b) Organization

- (1) Initially, and as necessary thereafter, the department chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the necessary post-tenure review subcommittees. For all assistant professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of assistant professor or higher. For all associate professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of associate professor or higher. For all professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding the rank of Professor. In no case shall a member of the DPC serve on a post-tenure review subcommittee during the same year in which he/ she is also undergoing a post-tenure review by that subcommittee.

- (2) In order to formally organize and perform a review, a post-tenure subcommittee must have two or more members. Each eligible faculty member has a responsibility to serve on all appropriate post-tenure review subcommittees. An individual must decline to participate in actions of the subcommittee when there is a real or perceived conflict of interest. If the failure of an individual faculty member to participate in the subcommittee's actions reduces the number of participating members to fewer than two, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee. (US11/ 10)
- c) Functional Equivalent
- (1) If any of the post-tenure review subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the evaluation plan specifies other procedures for designating the functional equivalent of a post-tenure review subcommittee in such situations, the Department Chair in conjunction with the faculty eligible for membership on the appropriate post-tenure review subcommittee shall operate as the functional equivalent of the post-tenure review subcommittee. (US11/07)
 - (2) The functional equivalent shall be treated as the post-tenure review subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the post-tenure review subcommittee.
 - (3) In those cases where the department chair is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply.
- d) Charge to the Committee
- (1) Each post-tenure review subcommittee shall be responsible for conducting a review of those faculty members who are scheduled for post-tenure reviews and who hold a rank no higher than that of any member of the subcommittee. Each review shall be both summative and formative in nature with the express purpose of both evaluating past performance and facilitating improvement in future performance. Each subcommittee shall develop a written evaluation for its assigned faculty members. For faculty below the rank of professor, the evaluation must include explicit discussion of the faculty member's progress toward promotion to the next rank; subcommittee members at the same rank as the faculty member being reviewed shall be excluded from this specific discussion. For faculty at the rank of Professor, the evaluation must include explicit discussion of the faculty member's growth and professional development. The written performance evaluation shall only address the performance criteria contained in the most recently approved personnel evaluation plan. The committee shall forward to the department chair the written performance evaluation and separate form recording the recommended category and the votes for and against the recommended category. Following the post-tenure review, a faculty member may request the department chair to recommend a salary adjustment as outlined in the Comprehensive Salary Plan approved by the University Senate. (US5/08; US11/ 10)

e) Procedures

- (1) The provost will inform faculty members who are scheduled for post-tenure review no later than May 1 of the academic year preceding the start of the review cycle. Furthermore, each post-tenure review subcommittee shall give the faculty member at least 20 days advance written notice of the start of the post-tenure review process. This notice will inform the faculty member of his/her right to present to the committee written information related to the faculty member's performance and of his/her right to request an opportunity to appear before the committee to explain the information presented and to provide input to focus the formative portion of the evaluation.
- (2) At the time the reviewing subcommittee forwards its written evaluation to the department chair, written notice must be given to the faculty member indicating that the review has been forwarded to the department chair. This notice shall include a copy of the written report and shall inform the faculty member of his/her right to discuss the report with the department chair and of his/her right to submit to the department chair a written response to the report within seven days of the notice.

5) Role of the Department Chair In Post-Tenure Review

- a) After reviewing the submitted materials, the department chair shall submit a recommendation to the dean, along with the subcommittee report and any written response from the faculty member to the subcommittee report. The chair's letter shall assign the faculty member to one of the three categories outlined in Section f.3. The department chair shall provide the faculty member with a copy of the recommendation and inform the faculty member of his/her right to discuss the recommendation with the dean and of his/her right to submit to the dean a written response to the chair's recommendation within seven days of the notice. The department chair shall forward any such response from the faculty member to the dean.

6) Role of The Dean In Post-Tenure Review

- a) After reviewing the submitted materials, the dean shall submit a recommendation to the provost, along with the materials from the subcommittee and department chair report. The dean's letter shall recommend the faculty member be assigned to one of the three categories outlined in Section f.3. The dean shall provide the faculty member with a copy of the recommendation and inform the faculty member of his/her right to discuss the recommendation with the provost and of his/her right to submit to the provost a written response to the dean's recommendation within seven days of the notice. The dean shall forward any such response from the faculty member to the provost.

7) Role of the Provost In Post-Tenure Review

- a) After reviewing the submitted materials the provost (or designee) shall submit a recommendation to the chancellor, along with materials from the previous reviews. The provost's letter shall recommend the faculty member be assigned to one of the three categories listed in Section f.3. The provost shall provide the faculty member with a copy of the recommendation and inform the faculty member of his/her right to discuss the recommendation with the chancellor and of his/her right to submit to the chancellor a written response to the provost's recommendation within seven days of the notice. The provost shall forward any such response from the faculty member to the chancellor.

- 8) Role of the Chancellor In Post-Tenure Review
 - a) After reviewing the submitted materials, the chancellor (or designee) shall make a determination that assigns the faculty member to one of the three categories outlined in Section f.3. The chancellor shall forward this determination to the faculty member, the department chair, the dean, and the provost.
- 9) Post-Tenure Review of the Department Chair
 - a) The post-tenure review of the department chair shall adhere to the normal policies and procedures that govern all post-tenure reviews except that the most senior member of the post-tenure review subcommittee shall fulfill those responsibilities normally associated with the department chair, unless that person is the sole member of the committee, in which case the dean will serve the role of department chair and the senior most member will constitute the review committee. As with all post-tenure reviews, the evaluation of the department chair shall be conducted relative to the faculty performance criteria outlined in evaluation plan of the Chair's department. In particular, the department chair is to be evaluated against criteria for teaching, scholarship, and service. In those cases where there are no eligible faculty to serve on the post-tenure review subcommittee for the department chair, the dean shall serve the role of department chair and shall, in consultation with the department chair, select up to two tenured faculty at or above the rank of the department chair and from disciplines similar to that of the department chair to serve as the post-tenure review committee. This committee shall be explicitly instructed to limit their review to the policies outlined in the evaluation plan of the chair's department. (US11/10)
- 10) Post-Tenure Remediation
 - a) The dean shall identify any performance deficiencies that result from the process described above and provide a written report to the faculty member.
 - b) After receiving the report from the dean, the faculty member shall, in consultation with the dean and the department chair, devise a remediation plan. The dean has final approval over the remediation plan.
 - (1) The remediation plan shall address all of the criteria outlined in RPD 20-9 (teaching, scholarship, and service) regarding deficiencies that led to the assignment of the category "does not meet expectations" by the chancellor.
 - (2) The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the department or college as appropriate.
 - (3) The remediation plan shall include details of the support needed for implementation and shall specify a range of possible sanctions should it be determined that the faculty member has not met the remediation plan expectations.
 - (a) Possible sanctions may include, but are not limited to: workload reassignment, limited access to discretionary institutional support resources, reduction in salary, reduction in rank, or dismissal for cause (UWS4.01).
 - (4) The remediation plan shall include a semester-by-semester timeline that includes the three-semester timespan outlined in RPD 20-9, if necessary. The timespan shall begin with the next full academic semester but does not include the summer term unless it is specified in the remediation plan and

the faculty member has summer term financial support designated for the remediation plan.

- (5) If the remediation plan includes a research component, the faculty member may be granted an extension of one semester if approved by the Chancellor.
- c) At the conclusion of the remediation plan, or at any time prior to the end of the remediation plan, the faculty member in remediation shall submit a report to the Department Chair describing how the faculty member has met the goals of the remediation plan.
- d) After reviewing the report from the faculty member in remediation, the department chair shall submit a written recommendation to the dean. The recommendation shall include the department chair's determination regarding whether the remediation goals have been met. The department chair shall inform the faculty member of his/her right to discuss the recommendation with the dean and of his/her right to submit to the Dean a written response to the chair's recommendation within seven days of the notice.
- e) After reviewing the report from the faculty member in remediation and the department chair, the dean shall make a determination as to the achievement of the goals of the remediation plan.
 - (1) If the dean determines the faculty member has achieved the goals of the remediation plan, the Dean shall inform the faculty member, the department chair, the provost and the chancellor that the plan has been completed and that no further action will be taken.
 - (2) If the dean determines the faculty member has not achieved the goals of the remediation plan, the dean shall submit a report to the provost. The report shall include an explanation of any unresolved deficiencies. The dean shall inform the faculty member of his/her right to discuss the report with the provost and of his/her right to submit to the provost a written response to the dean's report within seven days of the notice.
- f) If the provost receives notification from the dean that the faculty member in remediation has not achieved the goals of the remediation plan, the provost shall convene a consultative meeting that includes the faculty member in remediation, the department chair, and the dean.
 - (1) If the Provost determines the goals of the remediation plan have been met, the Provost shall inform the faculty member, the department chair, the dean and the chancellor that the plan has been completed and that no further action will be taken.
 - (2) If the provost determines the goals of the remediation plan have not been met, the provost will, in consultation with the chancellor, determine which sanctions outlined in the remediation plan shall be applied.

3. Faculty: Dismissals and Layoffs

{based on UWS4 http://docs.legis.wisconsin.gov/code/admin_code/uws/4 and UWS7 http://docs.legis.wisconsin.gov/code/admin_code/uws/7}

a. Faculty: Procedures for Dismissal (US6/05)

{based on UWS4 http://docs.legis.wisconsin.gov/code/admin_code/uws/4.pdf}

1) Dismissal for Cause – See UWS4.01

Any faculty member having tenure may be dismissed only by the board and for just cause and only after due notice and hearing. Any faculty member having a probationary appointment may be dismissed prior to the end of his/her term of appointment only by the board and for just cause and only after due notice.

A decision not to renew a probationary appointment or not to grant tenure does not constitute a dismissal. Grievances alleging discrimination on the basis of sex, race, color, national origin, religion, handicap, or age shall be filed with the affirmative action officer, according to procedures outlined in these rules and procedures.

Members of the faculty are entitled to enjoy and exercise all rights of a United States citizen and the rights and privileges of academic freedom as they are generally understood in the academic community. This policy shall be observed in determining whether or not just cause for dismissal exists. The burden of proof of the existence of just cause for a dismissal is on the administration.

- 2) Responsibility for Charges – See UWS4.02
- 3) Standing Faculty Committee – See UWS4.03

The faculty committee to operate as a hearing agent under UWS4 shall be a committee of five faculty selected from the standing Faculty Complaint, Grievance, and Termination Review Committee as follows:

The Chair of the Faculty Complaint, Grievance, and Termination Review Committee shall call a meeting of the full committee and conduct the meeting at which the five-member hearing committee is selected. Those members of the Faculty Complaint, Grievance, and Termination Review Committee who are not qualified to serve on the hearing committee as provided by UWS4.06(b) shall first be disqualified. Then five members from those remaining shall be selected by lot to constitute the hearing committee. The hearing committee shall then elect a chair and proceed to conduct its business.

If replacements are needed because of further disqualifications under UWS4.06(d) or because of official leaves, they shall be selected by lot from those qualified members of the Faculty Complaint, Grievance, and Termination Review Committee not originally selected by lot to serve on the hearing committee. In those rare cases where further replacements are still needed, they shall be selected by the University Senate Executive Committee from eligible members of the faculty at large.

This committee shall operate as the hearing agent for the board pursuant to Wisconsin statutes and conduct the hearing, make a verbatim record of the hearing, prepare a summary of the evidence and transmit such record and summary along with its recommended findings of law and decision to the board according to s. UWS4.07.

- 4) Hearing Procedures for Dismissal Appeals – See UWS4.04
 - a) If a faculty member requests a hearing within 20 calendar days from the service of the statement of specific charges (25 calendar days if notice is by first class mail and publication), such hearing shall be convened no later than 20 calendar days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the hearing committee.
 - b) The request for a hearing must be submitted in writing to the chair of the Faculty Complaint, Grievance, and Termination Review Committee.
 - c) Within five working days of receipt of the hearing request, the Faculty Complaint, Grievance, and Termination Review Committee chair shall acknowledge, in writing, receipt of the

request and shall provide a copy of the acknowledgement to the petitioner's dean or director. In the acknowledgement the chair shall ask the petitioner to submit a clear written statement of the reasons for the hearing request and any relevant documentation. The chair shall request, in writing, that the dean or director provide a copy of the statement of charges and any other relevant documentation. Such documentation may include (but is not limited to) information regarding the sequence of events leading to the charge(s), correspondence regarding pertinent events in the case, names of individuals with direct knowledge of those events, and commentary regarding the nature of their knowledge. All documentation must be submitted to the hearing committee chair by the date set at the pre-hearing conference. Documents from the petitioner and from the dean or director will be exchanged on the date set at the pre-hearing conference. Documents shall not be shared by the committee with either party prior to this date.

d) Hearing Procedures for Dismissal Cases

(1) The hearing committee shall conduct a pre-Hearing conference within ten calendar days of receipt of the original hearing request. The pre-hearing conference shall be held with all parties involved to:

- (a) confirm the names and official mailing addresses of all parties involved,
- (b) confirm that there is a dismissal appeal to be heard,
- (c) identify the applicable UWS and UWE rules having jurisdiction over the matter,
- (d) state clearly the charge(s), the petitioner's interest in the matter, the remedy being sought,
- (e) hear any opening statements, pre-hearing motions, or closing statements made by the parties,
- (f) decide whether the hearing will be open or closed,
- (g) stipulate facts agreed upon, and
- (h) determine a timetable for the exchange of witness lists and documents.

A written summary of the pre-hearing conference shall be distributed to all parties involved within one working day of the conclusion of the pre-hearing conference.

(2) The hearing committee subsequently shall convene to hear the appeal. The hearing shall proceed according to UWS 4.04, 4.05, and 4.06. In consultation with the hearing committee, the chair shall be responsible for maintaining the decorum of the hearing and determining the relevance of the questions asked. It is recommended that the hearing committee pursue the following order of business:

- (a) The chair shall summarize the purpose of the hearing and the issues involved.
- (b) The chair shall ask both parties (the institution or its representative first and the petitioner second) whether they have any questions before the hearing proceeds. This order of presentation should be maintained consistently throughout the hearing.
- (c) The chair shall ask whether each party wishes to make an opening statement.
- (d) Each party shall have the opportunity to present documents and witnesses to support the case. Each party may pose questions to the witnesses.
- (e) The chair shall ask whether each party wishes to make a closing statement.

- (f) The chair shall inquire if there are any final questions and shall close the hearing.
- (3) Notwithstanding UWS4.06(1)(b), the final deliberation of the hearing committee in the formulation of its recommendation(s) shall be in closed meeting as provided by Subchapter V, Chapter 19 <http://www.legis.state.wi.us/statutes/Stat0019.pdf>, Wis. Stats. The hearing committee shall allow for a minority report in all of its recommendations. The hearing committee's recommendations and the consideration thereof will proceed as specified in the UWS4.07.
- e) The hearing committee is authorized to develop additional procedures not inconsistent with the provisions of Chapter UWS4.
- f) The timelines for hearings cited in UWS or UWEC rules may be extended by mutual consent of the parties involved or by order of the hearing committee.
- 5) Adequate Due Process – See UWS4.05
- 6) Procedural Guarantees – See UWS4.06
- 7) Recommendations to the Chancellor; to the Regents – See UWS4.07
 - a) The Faculty Hearing Committee shall send to the chancellor and to the faculty member concerned, as soon as practicable after conclusion of the hearing, a verbatim record of the testimony and a written copy of its report, finding, and recommendations. The report shall include:
 - (1) the names and official mailing addresses of all parties involved,
 - (2) a statement of the petitioner's request and the UWS and UWEC chapters and sections under which it was filed,
 - (3) the hearing committee's findings of fact,
 - (4) the hearing committee's conclusions of law, i.e., its rationale as to whether the alleged charges are valid or not, and
 - (5) the hearing committee's recommendations to the chancellor to
 - (a) dismiss the faculty member,
 - (b) impose a lesser disciplinary action, or
 - (c) find in favor of the faculty member, dismiss the charges against the faculty member, and remove any record of the charges from the faculty member's personnel file.
 - b) Within 20 calendar days after receipt of this material the chancellor shall review it and afford the faculty member an opportunity to discuss it. The chancellor shall prepare a written recommendation within 20 calendar days following the meeting with the faculty member, unless his/her proposed recommendation differs substantially from that of the committee. If the chancellor's proposed recommendation differs substantially from that of the Faculty Hearing Committee, the chancellor shall promptly consult the Faculty Hearing Committee and provide the committee with a reasonable opportunity for a written response prior to forwarding his/her recommendation. If the recommendation is for dismissal, the recommendation shall be submitted through the president of the system to the board. A copy of the Faculty Hearing Committee's report and recommendations shall be forwarded through the president of the system to the Board along with the chancellor's recommendation. A copy of the chancellor's recommendation shall also be sent to the faculty member concerned and to the faculty committee.

- c) Disciplinary action other than dismissal may be taken by the chancellor, after affording the faculty member an opportunity to be heard on the record. Upon written request by the faculty member, such action shall be submitted as a recommendation through the president to the board, with a copy of the Faculty Hearing Committee's report and recommendation.
- 8) Board Review – See UWS4.08
- 9) Suspension from Duties – See UWS4.09
- 10) Date of Dismissal – See UWS4.10
- b. Faculty: Layoffs and Termination for Reasons of Financial Emergency
(based on UWS5 http://docs.legis.wisconsin.gov/code/admin_code/uws/5)
 - 1) General – See UWS5.01
 - 2) Financial Emergency – See UWS5.02
 - 3) Layoff and Termination – See UWS5.03
 - 4) Faculty Consultative Committee – See UWS5.04

The standing faculty committee to advise the chancellor concerning fiscal emergency shall consist of the University Faculty members of the University Senate Executive Committee and the University Faculty chairs (or elected University Faculty representative) of the University Senate Academic Policies Committee, University Senate Faculty Personnel Committee and the University Senate Budget Committee. All members of this committee shall have voting privileges. The committee shall carry out the charges as detailed in UWS5.05 and 5.06.
 - 5) Consultation – See UWS5.05
 - 6) Recommendation to the System President and the Board – See UWS5.06
 - 7) Individual Designations – See UWS5.07
 - 8) Seniority – See UWS5.08

[The form of seniority to be followed is] without regard to rank, with seniority established by total years of service in the institution. (US2/05)

 - a) Designation for reassignment or layoff shall follow the order of seniority according to years of service at the institution.
 - b) Seniority shall be determined by the date upon which the faculty members' duties began at the University of Wisconsin-Eau Claire and by the years of full-time service at the institution. Part-time service shall be counted for a corresponding percentage of time toward seniority. Service during the summer session, however, shall not count toward seniority. All leaves, TIA's and reassignments granted prior to 1 July 1976 shall be counted in determining seniority. All leaves and reassignments granted after 1 July 1976 shall be counted toward seniority, except that no more than two consecutive years of leave shall be counted.

For a faculty member holding a joint or split appointment, total seniority shall be calculated on the basis of time of service in the institution.
 - c) A faculty member who transfers to UW-Eau Claire shall not be allowed to count his/her years at the former institution as time toward seniority on the UW-Eau Claire campus.
 - d) When it is necessary to select from among persons of identical seniority:
 - (1) Persons of lower rank shall be reassigned or laid off before persons of higher rank.
 - (2) Among persons of identical seniority and rank, those not holding the earned doctorate or terminal degree normal for the discipline shall be reassigned or laid off first.

- (3) Among persons of identical seniority, rank and educational preparation, persons with fewer years in rank shall be reassigned or laid off first.
- (4) Among persons of identical seniority, rank, educational preparation and time in rank, other academic credentials shall be considered: teaching effectiveness, contributions to the discipline, scholarly development, professional affiliation and activity, and contribution to department or university. (FS3/76)
- 9) Notification – See UWS5.09
- 10) Notification Period – See UWS5.10
- 11) Faculty Hearing Committee – See UWS5.11
The Faculty Hearing Committee for purposes of UWS5 shall be a committee of five faculty selected from the Faculty Complaint, Grievance, and Termination Review Committee as follows: The Chair of the Faculty Complaint, Grievance, and Termination Review Committee shall call a meeting of the full committee and conduct the meeting at which the five-member Hearing Committee is selected. Those members of the Faculty Complaint, Grievance, and Termination Review Committee who are not qualified to serve because they participated in the lay-off decision or who will be material witnesses in the hearing shall disqualify themselves. Five members from those remaining shall be selected by lot to constitute the hearing committee. The committee shall then elect a chair and proceed to conduct its business. (FS4/75)
- 12) Review Hearing – See UWS5.12
- 13) Hearing Procedure – See UWS5.13
The first order of business shall be consideration of a request for legal counsel, as provided by UWS5.13(1), either from the Office of General Counsel, UW System, or from the attorney general's office.
If replacements are needed because of further disqualification for cause according to 5.13(2), they shall be selected by the remaining members of the hearing committee from qualified members of the Faculty Complaint, Grievance, and Termination Review Committee not originally selected by lot to serve on the Hearing Committee. If further replacements are needed, they shall be selected by the hearing committee from the eligible members of the faculty at large. (FS4/75)
- 14) Recommendations and Review by the Board – See UWS5.14
- 15) Board Review – See UWS5.15
- 16) Layoff Status – See UWS5.16
- 17) Alternative Employment – See UWS5.17
- 18) Reappointment Rights – See UWS5.18
Where layoff or termination occurs for reasons of financial emergency, no person may be employed within three years to perform reasonably comparable duties to those of the faculty member laid off or terminated, unless the laid-off or terminated faculty member is first offered reappointment without loss of tenure, seniority, and other rights. The three-year period shall be computed from the effective date of layoff as specified in the original notice. (FS11/75)
- 19) Retention of Rank and Salary – See UWS5.19
- 20) Rights of Faculty Members on Layoff – See UWS5.20
Faculty on layoff whose layoff status involves involuntary reduction of service but not indefinite suspension of service shall continue to have use of campus facilities and shall continue to participate in departmental and university activities on the same basis as faculty not on layoff.

Faculty on layoff whose layoff status involves indefinite suspension of service shall have the following rights to use university facilities and participate in departmental and university activities:

- a) Faculty members on layoff shall continue to hold faculty identification cards and have access to those campus-wide facilities available to holders of faculty identification cards.
- b) Faculty members on layoff may be provided personal office space and related facilities at the discretion of the appropriate department or administrative officer if such use can be shown to be productive of any one of the following: professional development, scholarly research, curriculum development, or public service.
- c) Faculty members on layoff shall have the same rights to participate in university social and cultural activities as faculty members not on layoff.
- d) Faculty members on layoff shall not participate in regular shared governance activities of the University, except that they may serve on ad hoc shared governance bodies specifically created to deal with issues involving layoff. (FS3/76)

21) System-wide Tenure – See UWS5.21

22) Lack of Faculty Action – See UWS5.22

4. Faculty: Complaints and Grievances

{based on UWS6 http://docs.legis.wisconsin.gov/code/admin_code/uws/6}

a. Faculty: Complaint and Grievance Committee

The local standing committee to act as a hearing agent for UWS6.01 and 6.02 shall be the Faculty Complaint, Grievance, and Termination Review Committee which shall consist of 18 tenured faculty members elected by the faculty. Each member shall be elected for a three-year term with six terms expiring each year. The committee shall meet and elect a chair at the beginning of each academic year.

Any member of the Faculty Complaint, Grievance, and Termination Review Committee shall be disqualified from serving on the committee during the consideration of a particular complaint or grievance in which the member is involved in the substance of the complaint or grievance. This would include, but is not limited to, cases in which a member makes the complaint or grievance or is the object of a complaint or grievance. Any question of disqualification shall be resolved by a majority vote of the committee members voting.

Five members from those remaining shall be selected by lot to consider the particular complaint or grievance in question. If more than 13 members of the Faculty Complaint, Grievance, and Termination Review Committee are disqualified from or, because of an official leave, are unable to participate in the consideration of a particular complaint or grievance, the committee shall be increased to five members for consideration of the particular complaint or grievance in question. In those rare cases where further members are still needed, they shall be selected by the University Senate Executive Committee from eligible members of the faculty at large. (US11/03)

b. Faculty: Complaints

{based on UWS6.01}

All complaints alleging that conduct by a faculty member violates university rules or policies or adversely affects the faculty member's performance of his/her obligation to the University shall be made in writing to an appropriate university official.

The official receiving the complaint shall review the complaint and act on it within 20 days. He/she may dismiss the complaint, refer the complaint to the next administrative level, or, after notifying the faculty member involved and consulting with him or her, he/she may take disciplinary action. If

the complaint is referred to the next administrative level, the same procedures and options shall exist except that at the level of chancellor the action to refer the complaint to the Faculty Complaint, Grievance, and Termination Review Committee is an additional option.

If disciplinary action is taken against the faculty member at any administrative level, the faculty member shall have a right to a hearing before the Faculty Complaint, Grievance, and Termination Review Committee. Within 20 days after a request for a hearing, the committee shall meet and initiate action to evaluate the complaint and review the appropriateness of the administrative action. Within 30 days of its initial meeting, the committee shall issue a report that includes an evaluation of the complaint and a recommendation to the chancellor to:

- 1) Dismiss the complaint and rescind disciplinary action—and remove any record of the complaint from the faculty member's personnel record, [or]
- 2) Affirm the disciplinary action, [or]
- 3) Rescind the disciplinary action and substitute action recommended by the committee.

A copy of this report shall be sent to the faculty member involved. The chancellor shall act on the report and notify the committee of his/her action within 20 days of receiving the report.

The chancellor also has the right to refer any complaint to the committee before any final administrative disposition of the complaint. The time limitation on committee action and the chancellor's response shall be the same for complaints referred by a faculty member.

The committee shall notify the faculty member of the specific charges in the complaint at least ten days before the initial hearing. These charges shall not include any charges that have been part of a previous complaint. The notice shall also inform the faculty member of his/her right to request an open hearing and/or to present a written statement answering the charges. The faculty member may also select witnesses to appear before the committee on his/her behalf. The hearing shall be restricted to consideration of the charges specified in the notification to the faculty member. (FS 10/75, amended 4/76)

c. Faculty: Grievances (based on UWS6.02; http://docs.legis.wisconsin.gov/code/admin_code/uws/6)

A grievance is a formal assertion by a faculty member of unfair treatment or of dissatisfaction with aspects of his/her university rank, salary, or working conditions within the University which are not covered by other personnel policies, rules, or procedures. Examples of matters covered by other personnel rules include, without limitation because of enumeration, appeals of non-renewal, denials of tenure or promotion, and discrimination or harassment based on any protected category. (US 10/08)

A grievance may not be used to challenge substantive decisions made in the course of evaluating faculty for personnel actions involving reappointment, tenure, promotion, or salary adjustments. However, a faculty member may pursue a grievance when he/she believes that the relevant personnel policies, rules, or procedures were not appropriately followed. (US10/08)

To the extent practical, all potentially grievable issues should be settled through informal discussions at the lowest possible administrative level and may be discussed with progressively higher administrators in a mutually sincere effort to reach an acceptable settlement. (FS11/86, US 10/08)

Any faculty member wishing to make a grievance may submit a written statement of his/her grievance to the Chair of the Faculty Complaint, Grievance, and Termination Review Committee. The written statement of the grievance must be submitted within 300 days after the faculty member knew or reasonably should have known of the action or omission out of which the grievance has arisen, unless there are extenuating circumstances. (US10/08)

The committee will then determine whether it wishes to take formal action on the grievance or appoint a member or members of the committee to attempt informally to resolve the grievance in consultation with the parties involved. If the grievance is not resolved to the satisfaction of the faculty member involved, the faculty member may request a formal hearing. The committee shall then meet as a formal body, conduct hearings, consider the validity of the grievance, and compile a final report.

The hearing shall be conducted as follows:

The committee shall notify the parties involved of the specific contents of the written statement of the grievance as submitted to the Chair of the Faculty Complaint, Grievance, and Termination Review Committee by the faculty member bringing the grievance. The notice shall also inform each of the parties involved of his/her right to request an open hearing and/or to present a written statement for consideration by the committee. Each of the parties involved may also select witnesses to appear before the committee on his/her behalf. The hearing shall be restricted to consideration of the issue(s) identified in the initial written statement of the grievance.

The final report shall evaluate the grievance and recommend appropriate administrative action. The report shall be sent to the chancellor with a copy to the faculty member making the request. If the committee makes recommendations to the chancellor, the chancellor shall act on the recommendations within 30 days. The decision by the chancellor on the recommendation of the committee, or on the grievance in the absence of committee recommendation, shall be final except that the Board of Regents, upon petition of a grievant or the committee, may grant a review on the record. (US4/89)

- d. Faculty: Equal Opportunity/Affirmative Action Complaints or Grievances
Complaints or grievances having to do with discrimination or harassment based on race, religion, creed, color, sex, gender identity or expression, ancestry, national origin, age, marital status, sexual orientation, disability, veteran's status, membership in the military forces, arrest or conviction record, political affiliation, and all categories protected by law are handled through the Affirmative Action Office. (US4/07)

SECTION C— ACADEMIC STAFF PERSONNEL POLICIES AND PROCEDURES

1. Academic Staff: Unit Academic Staff Committees

(based on UWS9.04 http://docs.legis.wisconsin.gov/code/admin_code/uws/9)

a. Membership

All administrative and/or professional academic staff with an assignment of 50 percent or more in the department or unit, including the unit director or functional equivalent, shall be members of the Unit Academic Staff Committee.

b. Charge to the Unit Academic Staff Committee

The Unit Academic Staff Committee shall:

- 1) Establish written criteria and procedures for review of academic staff performance as prescribed by the university and UW System policies;
- 2) Establish written criteria and procedures for making recommendations concerning the reappointment of fixed term and probationary academic staff, and the granting of indefinite status;
- 3) Establish written criteria and procedures within the limits granted to the unit for making salary recommendations;

- 4) Assist the unit administrator in developing the unit's long-range plan, including long-range staffing plans to meet diversity goals, and approve the unit long-range plan;
- 5) Participate in recruitment training and assist the unit administrator in the recruitment of academic staff;
- 6) Periodically provide an opportunity for academic staff to discuss the criteria and procedures relevant to promotion and reappointment. (US4/94)

c. Unit Director's Responsibilities

The unit director shall call meetings of the Unit Academic Staff Committee as needed or upon the request of a member of the committee, and shall serve as the committee's chair. The unit director shall call a meeting of the Unit Academic Staff Committee early in the academic year for the purpose of reviewing the committee's charge and reviewing the written criteria and procedures mentioned in that charge. (US11/88)

d. Merger of Units – Procedure

- 1) When a merger is being considered, consultation with the Unit Academic Staff Committees from the affected units should begin. Discussions should include, but are not limited to:
 - a) the rationale and the advantages/disadvantages of the merger;
 - b) a review of the current organizational structure of the units affected, discussion of the potential impact of merger on the proposed unit's duties and responsibilities and the potential impact on current and future positions;
 - c) a method for receiving feedback from unclassified staff once they have had an opportunity to review and contemplate the proposed merger.
- 2) If the unit merger is to take place, the appropriate vice chancellor or associate vice chancellor shall provide written notice to the unclassified staff of the units affected that a merger is to take place. He/she shall meet with the unclassified staff of the units to discuss the proposed merger and to receive their input. Discussions should include, but are not limited to:
 - a) the mission of the merged unit;
 - b) a review of the unit's duties and responsibilities to determine which positions will be restructured;
 - c) the guidelines to be used to restructure the duties and responsibilities of the individuals affected;
 - d) a procedure to convene a meeting of the merged Unit Academic Staff Committee so that they can begin their charge.
- 3) Guidelines for recruitment and/or titling of positions when a merger occurs:
 - a) When a merger results in the creation of new positions (additional money to appoint), "Recruitment of Administrative and/or Professional Academic Staff in Units" should be followed.
 - b) When there are no new positions yet merger requires restructuring positions such that new titles are necessary within the merged unit, "Recruitment of Administrative and/or Professional Academic Staff" recruitment guidelines should be followed except all candidates shall come from within the merged unit. (US5/92)

2. Academic Staff: Recruiting and Appointments for Academic Staff Positions

(based on UWS 10 http://docs.legis.wisconsin.gov/code/admin_code/uws/10)

Appointments to the academic staff of the University of Wisconsin-Eau Claire are made by the chancellor of the university. Initial appointments are typically for one year. Contracts may be offered for part- or full-time positions which are specifically restricted to one or two semesters.

To ensure compliance with university, state, and federal rules and regulations, the university shall provide a regular schedule of training for members of Unit Academic Staff Committees, Department Personnel Committees, search committees, directors, department chairs, and deans.

The University of Wisconsin-Eau Claire is an equal opportunity employer actively seeking applications from all qualified persons, whatever their sex, marital or parental status, race, color, religion, age, national origin, or handicap. Department chairs and directors recruit for each position available according to the affirmative action guidelines provided in the UW-Eau Claire Affirmative Action Plan. The recruitment process begins with completion of the “Request to Recruit” form available in BP Logix (at the drop-down option, choose Human Resources). Records are kept of all recruiting practices.

a. Academic Staff: Appointments (based on UWS 10 http://docs.legis.wisconsin.gov/code/admin_code/uws/10)

1) Types of Appointments

Academic staff appointments may be fixed term, probationary, or indefinite under UWS 10.01. Fixed term appointments shall be limited to academic staff members whose positions fit the specifications set forth in the local implementation of UWS 10.03(1). All other academic staff appointments shall be probationary or indefinite within the operational unit.

2) Composition of Academic Staff

Academic staff appointments shall include the following categories: (a) Administrative and professional academic staff, which includes employees involved in policy development or execution, or in directing, organizing, or supervising activities in the administration of a college, school, division, department (or functional equivalent) or Unit; or involved in the support of students and/or research, teaching, or public service primarily associated with institutions of higher education and (b) Instructional and/or research academic staff.

3) Educational Preparation

Instructional and/or Research Academic Staff

A minimum of a master's degree is required. Exceptions to this policy may be made under rare circumstances as agreed upon by the department, the dean, and the provost and vice chancellor. An operational unit may require additional educational preparation.

Administrative and/or Professional Academic Staff

A minimum of a bachelor's degree is required. Exceptions to this policy may be made for short-term, non-continuing positions. An operational unit may require additional educational preparation. (US3/94)

4) Operational Area

An academic staff appointment shall be limited to an operational area specified at the time of the appointment and shall not carry rights beyond the limitation. The operational area of any academic staff appointment is the college, school, division, department (or functional equivalent), or specified research or program unit of UW-Eau Claire indicated in the letter of appointment. When an academic staff appointment has been apportioned to more than a single operational area, the majority operational area shall be responsible for personnel

recommendations and the appointee's records. When no particular operational area has the majority designation, the appointee shall choose the area which shall be responsible for personnel recommendations and the appointee's records. The director or chair responsible for the personnel recommendation shall consult with the director or chair of the other operational area to which the appointee is assigned prior to making the recommendation.

5) Leaves of Absence

Academic staff members may request and may be offered a leave of absence without jeopardizing their subsequent employment at the University. In such a case, prior to the beginning of the leave, the individual shall be offered a contract for the year following the leave.

b. Academic Staff: Recruitment and Letter of Appointment

(based on UWS 10.02 http://docs.legis.wisconsin.gov/code/admin_code/uws/10)

1) Recruitment of Administrative and/or Professional Academic Staff in Units

Recruitment to fill an administrative or professional academic staff position in a unit, whether it is newly created or becomes available through an established position being vacated, shall follow these procedures: the administrator (Director, Assistant/ Associate/ Vice Chancellor, or Provost and Vice Chancellor) shall seek the advice of the unit's academic staff in defining the position and conducting the search. The administrator shall oversee the development of a position description detailing the duties and responsibilities of the position and the qualifications to be sought. All recruiting procedures shall be in accordance with UW-Eau Claire's Affirmative Action Plan.

Upon review by the affirmative action officer and approval of the appropriate assistant/ associate/ vice chancellor or the provost and vice chancellor, the position shall be publicized in accord with the principles of affirmative action and in an effort to secure as many qualified applicants as possible. Internal and external candidates shall be given equal consideration.

After the closing date for applications, the administrator shall seek the advice of the screening committee in determining which candidate(s) to interview. The best qualified candidate(s) shall be identified and, after review by the affirmative action officer and approval of the appropriate assistant/ associate/ vice chancellor or the provost and vice chancellor, the candidate(s) shall be invited to the campus for interviews.

When an acceptable candidate has been identified, the administrator will prepare a recommendation for appointment. After review by the affirmative action officer, and upon recommendation of the appropriate assistant/ associate/ vice chancellor, the provost and vice chancellor shall prepare an appointment letter.

If none of the candidates is acceptable, the administrator in consultation with the screening committee shall (1) revisit the pool for additional candidates, or (2) readvertise in the same and/or different locations using exactly the same position requirements and description, or (3) close the search, and if appropriate, determine what changes need to be made to either the position or the wording of the advertisement and request permission to begin a new search incorporating changes. (US5/04)

2) Recruitment of Administrative and/or Professional Academic Staff Positions in Departments or Areas Other than Units

Recruitment to fill an administrative or professional academic staff position in a department, whether it is newly created or becomes available through an established position being vacated, shall follow these procedures: the department chair shall develop a position description detailing the duties and responsibilities of the position and the qualifications to be sought, identify appropriate means of publicizing the vacancy, and determine procedures for screening the applicants. All recruiting procedures shall be in accordance with the UW-Eau Claire's Affirmative Action Plan.

Upon review by the affirmative action officer and approval of the appropriate dean and the provost and vice chancellor, the position shall be publicized in accord with the principles of affirmative action and in an effort to secure as many qualified applicants as possible. Internal and external candidates shall be given equal consideration.

After the closing date for applications, the department chair, in accordance with the screening procedure described on the Request to Recruit, shall determine which candidate(s) to interview. The best-qualified candidate(s) shall be identified and, after review by the affirmative action officer and approval of the appropriate dean and the provost and vice chancellor, the candidate(s) shall be invited to the campus for interviews.

When an acceptable candidate has been identified, the department chair will prepare a recommendation for appointment. After review by the affirmative action officer, and upon recommendation of the appropriate dean, the provost and vice chancellor shall prepare an appointment letter.

If none of the candidates is acceptable, the department chair shall (1) revisit the pool for additional candidates, or (2) readvertise in the same and/or different locations using exactly the same position requirements and description, or (3) close the search, and if appropriate, determine what changes need to be made in either the position or the wording of the advertisement and request permission to begin a new search incorporating changes.

In the recruitment to fill an administrative or professional academic staff position in an area other than a unit or department, the immediate supervisor shall develop a position description, follow the above procedures, and forward recommendations through the appropriate university channels. (US5/04)

3) Letter of Appointment to Academic Staff

The terms and conditions of the appointment of an academic staff member shall be specified in a written letter of appointment signed by the chancellor or an official of the University of Wisconsin-Eau Claire authorized by him or her. The letter of appointment must contain: (a) designation of type of appointment as fixed term, probationary, or indefinite; (b) duration of the appointment, including starting and ending dates; (c) salary; (d) general position responsibilities; (e) definition of operational area; (f) length of the probationary period, if appropriate, and recognition of credit for prior service as part of the probationary period, if appropriate; and (g) reference to institutional and system regulations, rules, and procedures relating to academic staff appointments. If the appointment is subject to the approval of the Board of Regents, a statement to this effect must be included in the letter.

An amended letter of appointment shall be sent to an academic staff appointee whose position responsibility is to undergo significant change, and a copy of the amended letter shall be sent to the chair of the standing Academic Staff Personnel Committee at the same time.

FACULTY AND ACADEMIC STAFF RULES AND PROCEDURES – PART III
ACADEMIC STAFF PERSONNEL POLICIES

All academic staff shall be apprised of their governance rights and of the Faculty and Academic Staff Rules and Procedures by the unit director or department chair at the time of original hire. (US5/04)

4) Official Personnel File

The Office of the Chancellor shall maintain the official personnel file for each academic staff member. The contents and uses of such personnel files are governed by the current UW-Eau Claire statement on the confidentiality of personnel records.

c. Academic Staff: Appointments Policies (based on UWS 10.03 http://docs.legis.wisconsin.gov/code/admin_code/uws/10)

1) Fixed Term Appointments – Instructional and/or Research or Administrative and/or Professional

Fixed Term appointments shall be for a fixed term to be specified in the letter of appointment, renewable solely at the option of the University and carrying no expectation of re-employment beyond the stated term, regardless of how many times renewed.

Fixed term appointments may be offered as one year, multiple year, or rolling horizon appointments, unless otherwise specified in the letter of appointment, and are subject to the following conditions: (US4/92)

- a) Fixed term appointments may be used for an administrative and/or professional academic staff position only if (1) the position is temporary (temporary classification includes positions such as those under temporary funding and positions filling a leave of absence) or (2) the position is less than 50 percent appointment. When an established non-temporary position is divided and reduced to less than 50 percent and included in the academic staff fixed term category, this action is to be reported to the standing Academic Staff Personnel Committee. (US11/88)

- b) All instructional and/or research academic staff appointments shall be fixed term appointments.

Probationary faculty appointments are to be made whenever possible to limit excessive dependence upon academic staff to perform teaching responsibilities. Individuals holding instructional and/or research academic staff appointments may apply and be considered for probationary faculty positions. Refer to UPG 2.06

[\[https://www.wisconsin.edu/ohrwd/download/upg/UPG02.pdf\]](https://www.wisconsin.edu/ohrwd/download/upg/UPG02.pdf) for guidance in choosing whether to hire teaching academic staff or probationary faculty. (US5/05; US4/10)

The instructional and/or research academic staff member may be offered a fixed term contract which specifies that the responsibilities are more limited than those of a probationary faculty appointment. In addition to teaching, the instructional and/or research academic staff member's assigned responsibilities may include student advising and participation in departmental and institutional governance. The instructional and/or research academic staff member is to be evaluated only on his or her assigned responsibilities. (US4/10)

2) Indefinite and Probationary Academic Staff Appointments

a) Probationary Academic Staff Appointments

A probationary academic staff appointment is one leading to review for indefinite appointment.

The following conditions shall apply:

- (1) Prior service may be counted in the probationary period at the discretion of the appointing officer, and the letter of appointment must clearly state the amount of prior service to be counted.
- (2) A probationary appointment must be at least 50 percent or more.
- (3) The probationary period at UW-Eau Claire shall not exceed seven continuous years.
- (4) A leave of absence shall not constitute a break in continuous service, nor shall it be included in the probationary period. A request for a leave of absence shall be initiated in writing by the academic staff member to the supervisor. Approved requests shall be forwarded through administrative channels to the provost and vice chancellor. After consultation with the academic staff member's supervisor, the provost and vice chancellor shall make a recommendation to the chancellor. The chancellor is authorized to grant requests and specify the length of time for which the requests are granted. A denial of a request at any level shall be in writing and shall be based upon clear and convincing reasons. More than one request may be granted because of responsibilities with respect to childbirth or adoption. More than one request may be granted to a probationary academic staff member but the total, aggregate length of time of all requests, except for a request because of responsibilities with respect to childbirth or adoption, granted to one probationary academic staff member ordinarily shall be no more than one year. A leave of absence shall not constitute a break in continuous service nor shall it be included in the probationary period, for probationary academic staff members. Circumstances that do not constitute a break in a continuous service and that shall not be included in the seven-year period include responsibilities with respect to childbirth or adoption, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond the control of the academic staff member, when those circumstances significantly impede the academic staff member's progress toward achieving indefinite status. It shall be presumed that a request made because of responsibilities with respect to childbirth and adoption shall be approved. A request shall be made before an indefinite status review commences under UWS10.03(2)(a)1. If any academic staff member has been in probationary status for more than seven years because of an approved leave of absence, the academic staff member shall be evaluated as if he or she had been on probationary status for seven years. (US5/94)
- (5) Subject to review, the probationary appointment shall be renewable annually.
- (6) A probationary academic staff appointment cannot be converted to a fixed term appointment without the express approval of the individual involved.

b) Indefinite Appointment

An indefinite appointment is an appointment with permanent status and for an unlimited term granted by the chancellor to a member of the academic staff. An indefinite appointment is not acquired solely by years of service but is the result of an affirmative review process.

The following conditions shall apply:

- (1) An indefinite appointment may be granted to a member of the academic staff who holds or will hold a half-time appointment or more. The time, whether full-time or

proportionate, provided for in the initial indefinite appointment may not be diminished or increased without the mutual consent of the academic staff member and the appointing official.

- (2) Academic staff members on indefinite appointment will be evaluated annually for merit and salary before February 15.
- (3) An indefinite appointment shall be effective upon receipt of the appointment letter from the chancellor. An indefinite appointment is terminable only for cause under UWS 11 http://docs.legis.wisconsin.gov/code/admin_code/uws/11 or for reasons of budget or program under UWS12 http://docs.legis.wisconsin.gov/code/admin_code/uws/12.

d. Academic Staff: Review of Performance (US6/05, 2/17)

1) Fixed Term – Instructional and/or Research Academic Staff (IRAS)

a) Performance Review

The performance review of instructional and/or research academic staff will follow procedures outlined in the Departmental Evaluation Plan including the consideration of student evaluations. The Department Personnel Committee will conduct a review of performance and forward a report to the department chair.

The performance evaluation by the department chair, including the Departmental Personnel Committee's report, will be given to the staff member in writing at the same time the report is forwarded to the appropriate dean. The staff member shall have the right to comment on the evaluation in writing within ten calendar days of receipt of the departmental evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the department chair's performance evaluation and the academic staff member's comments, if any, shall be filed in the staff member's personnel file.

The department chair's performance evaluation is to be forwarded to the dean prior to January 15 in the staff member's first two years of service; prior to October 15 of the third through sixth years of service; and prior to February 15 for appointment to the seventh and subsequent years of service.

b) Areas of Evaluation

The performance review for instructional and/or research academic staff shall be based on contractual responsibilities. At the written request of the staff member, the evaluation may include professional growth and appropriate service to the department, the university, the profession, and the public, as well as contributions to equity, diversity and inclusivity.

For a staff member whose contract indicates there is no intent to renew/rehire, the department may conduct a more limited review as outlined in the Departmental Evaluation Plan.

2) Fixed Term – Administrative and/or Professional Academic Staff (APAS)

a) Performance Review

Within the first month of each contract period, the immediate supervisor shall call a meeting with the academic staff member to review and explain work assignments and performance expectations for the period. Performance expectations shall be determined in the context of the areas of evaluation specified below. The performance evaluation process shall be completed by January 15 in the first two years; by October 15 in the third through

sixth years of service; and by February 15 for appointment to the seventh and subsequent years of service.

The supervisor shall give results of the performance evaluation to the academic staff member in writing at the same time they are forwarded to the appropriate official. The academic staff member shall have the right to comment on the evaluation in writing within ten calendar days of the receipt of the supervisor's evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the supervisor's evaluation and the academic staff member's comments, if any, shall be filed in the academic staff member's personnel file.

b) Areas of Evaluation

Administrative and/or professional academic staff shall be evaluated on their contributions to the development and strengthening of their respective areas of responsibility.

Professional growth and effectiveness in dealing with people in employment capacities, as well as appropriate service to the unit/department, the university, the profession, and the public, as well as contributions to equity, diversity and inclusivity shall be considered in the evaluation.

- c) For a staff member whose contract indicates there is no intent to renew/rehire, the supervisor may conduct a more limited review based only on contractual responsibilities.

3) Probationary Administrative and/or Professional Academic Staff

a) Performance Review

Within the first month of each contract period, the immediate supervisor shall call a meeting with the academic staff member to review and explain work assignments and performance expectations for the period. Performance expectations shall be determined in the context of the areas of evaluation specified below. Performance evaluation process shall be completed by January 15 in the first year of service, by October 15 in the second year of service, and by February 15 thereafter.

The supervisor shall give results of the performance evaluation to the academic staff member in writing at the same time they are forwarded to the appropriate official. The academic staff member shall have the right to comment on the evaluation in writing within ten calendar days of the receipt of the supervisor's evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the supervisor's evaluation and the academic staff member's comments, if any, shall be filed in the academic staff member's personnel file.

An affirmative review process resulting in change of status from probationary to indefinite appointment may take place at any time during the probationary period.

b) Areas of Evaluation

Probationary academic staff members shall be evaluated on their contributions to the development and strengthening of their respective areas of responsibility. Professional growth and effectiveness in dealing with people in employment capacities, as well as appropriate contributions to the unit/department, the university, the profession, and the public, as well as contributions to equity, diversity and inclusivity shall be considered in the evaluation.

4) Indefinite Administrative and/or Professional Academic Staff

a) Performance Review

Annually, by February 15 the supervisor and academic staff member on indefinite appointment shall meet and review the performance of the academic staff member. The result of the evaluation shall be considered in making appropriate personnel decisions.

The supervisor shall give results of the performance evaluation to the academic staff member in writing at the same time they are forwarded to the appropriate official. The academic staff member shall have the right to comment on the evaluation in writing within ten calendar days of the receipt of the supervisor's evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the supervisor's evaluation and the academic staff member's comments, if any, shall be filed in the academic staff member's personnel file.

b) Areas of Evaluation

Members of the academic staff on indefinite appointment shall be evaluated on their contributions to the development and strengthening of their respective areas of responsibility. Professional growth and effectiveness in dealing with people in employment capacities, as well as appropriate contributions to the Unit/Department, the University, the profession, and the public, as well as contributions to equity, diversity and inclusivity shall be considered in the evaluation.

e. Academic Staff: Reappointment – Renewals and Indefinite Appointments

1) Renewal of Appointments

a) Fixed Term – Instructional and/or Research Academic Staff

A recommendation for reappointment must include an affirmative recommendation from the Department Personnel Committee. The recommendation shall proceed through channels from the department chair to the chancellor. The Department Personnel Committee and department chair will place in priority order, as necessary, the recommendations to reappoint the instructional members of the academic staff.

A recommendation to reappoint or not to reappoint for each instructional and/or research academic staff member must be forwarded by the department chair to the appropriate dean by February 1 in the first two years, by November 1 in the third to sixth years of service, and by May 1 of the preceding year in the seventh or subsequent year of service so that proper notification can be given if the decision is not to reappoint.

If the university decides to appoint an instructional and/or research academic staff member with a current appointment of 50 percent or more after ten semesters with a minimum 50 percent or more appointment each of those semesters as an instructional and/or research academic staff member, his or her employment commitment and contribution to the University shall be recognized by offering multiple year or rolling horizon contracts whenever possible in light of the continuing need for the position, funding source, and quality of employee's performance. However, the contract should state that regardless of how many times the contract is renewed, tenure is not a consideration and that the individual waives any claim to tenure based on years of service.

Fixed term IAS with five years in consecutive appointments of 50 percent or more of service whose appointments do not provide at least two-year terms shall be given the reasons in

writing. Fixed term IAS with seven or more years of service whose appointments do not provide at least three-year terms shall be given the reasons in writing. (US4/ 10)

b) Fixed Term – Administrative and/or Professional Academic Staff (APAS)

Recommendations concerning reappointment of fixed term administrative and/or professional academic staff shall be based on position availability and performance evaluation and proceed from the immediate supervisor through normal reporting channels to the Chancellor.

A recommendation to reappoint or not to reappoint each administrative and/or professional fixed term academic staff member shall be forwarded by the immediate supervisor through administrative channels to the provost and vice chancellor by February 1 in the first two years, by November 1 in the third to sixth year of service, and by May 1 of the preceding year in the seventh or subsequent year of service so that proper notification can be given if the decision is not to reappoint.

Fixed term administrative and/or professional academic staff with current appointments of 50 percent or more who have been employed at UW-Eau Claire for five or more years shall be given multiple year or rolling horizon contracts whenever possible in light of the continuing need for the position, funding source, and quality of employee's performance.

When at least 50 percent of a position is not temporary, the non-temporary portion of the position shall be converted to a probationary or indefinite appointment. A rolling horizon contract shall not be offered in lieu of a probationary or indefinite appointment.

Fixed term administrative and/or professional academic staff with five years or more of service whose appointments do not provide at least two-year rolling horizon contracts shall be given the reasons in writing. Fixed term administrative and/or professional academic staff with seven or more years of service whose appointments do not provide at least three-year rolling horizon contracts shall be given the reasons in writing.

c) Probationary Academic Staff

Recommendations concerning reappointment of probationary academic staff shall be based on position availability and performance evaluation and proceed from the immediate supervisor through normal reporting channels to the chancellor. A recommendation to reappoint or not to reappoint each probationary academic staff member shall be forwarded by the supervisor to the appropriate official by February 1 in the first year, November 1 in the second year, and May 1 of the preceding year for the third and subsequent years so that proper notification can be given if the decision is not to reappoint.

2) Affirmative Review Leading to Indefinite Appointment

A decision on indefinite appointment must be made not later than the end of the sixth year of probationary service for both full- and part-time appointments. The supervisor, upon notification by the academic staff personnel officer, must notify a probationary academic staff member (hereafter referred to as the individual) in writing at least 30 days prior to the review conference at which granting of indefinite appointment is to be considered. The review conference must be scheduled no later than November 1 of the sixth year of probationary service. An individual may request initiation of the review process prior to the end of the sixth year of the probationary period but not before one year of probationary service is completed.

Indefinite appointment is not acquired based solely on years of service but as a result of an affirmative review process. The review will include the individual's contributions to the

development and strengthening of areas of responsibility, professional growth, effectiveness in dealing with people, and appropriate contributions to the Department, the University, the profession, and the public.

In preparation for the conference, the individual may review his/her official personnel file and may submit additional relevant information prior to the conference. Also, the individual may make a personal presentation at the review conference.

The conference to consider promotion to indefinite appointment shall be held under one of three conditions: (1) only the two principals present; (2) both principals choosing up to two members of the university community to be present upon mutual agreement; or (3) an impartial observer present upon request of either principal. The third parties present in (2) or (3) may question the two principals to the conference and make comments to them but will not file a report of the conference. In disputed cases, however, such third parties may be called as witnesses. The impartial observer in (3) will be selected by mutual agreement of the two principals from a panel of three persons nominated by the standing Academic Staff Personnel Committee. The impartial observer shall be a member of the university community but not a member of the college, school, division, department (or functional equivalent) employing the individual who is under review.

At the conclusion of the conference, the immediate supervisor will compile the following documentation: (1) current vita of the individual; (2) a written statement regarding the permanency of the position; (3) a summary of the annual performance reviews conducted during the probationary period; (4) a summary of the individual's contributions to the development and strengthening of the areas of responsibility, professional growth and effectiveness in dealing with people in employment capacities, contributions to the unit and the profession; service to the University and the public. The emphasis on service may vary depending on the standards set by the unit.

The immediate supervisor's documentation and recommendation regarding the granting of indefinite status shall be forwarded through administrative channels to the chancellor. The individual may submit written documentation regarding any or all areas listed above which will be forwarded with the supervisor's recommendation. At each successive level of review, the individual shall be informed of the recommendation in writing within ten days of the decision.

The following timeline shall be followed:

- November 15: Supervisor forwards recommendation and accompanying documentation to the Director/Dean.
- December 15: Director/Dean forwards recommendation and all prior materials to appropriate Associate/Vice Chancellor.
- February 1: Associate/Vice Chancellor forwards recommendation to Provost and Vice Chancellor.
- March 15: Provost and Vice Chancellor forwards recommendation to Chancellor.
- June 30: Chancellor notifies the individual of the decision.

If the decision is to grant an indefinite appointment, the appointment will become effective at the beginning of the fiscal year following the decision. The notice of indefinite appointment shall define the operational area to which the individual is assigned. The operational area of an indefinite appointment is the unit, school, college, division, department (or functional equivalent). An individual with an indefinite appointment does not lose that status if the

individual accepts a limited appointment within the same unit where the indefinite status has been granted.

If a decision not to grant an indefinite appointment is made in the sixth year of probationary service, the academic staff member's service will be terminated with the completion of the seventh year. The individual may request from the Chancellor the reasons for a negative decision. The request must be made in writing by October 1 of the calendar year in which the decision was made. The letter stating the reasons for denial will be forwarded to the individual within 20 days of the request and a copy placed in the individual's official personnel file. If an individual wishes to file an appeal, he/she may do so. (US4/95)

f. Academic Staff: Nonrenewal of Academic Staff Appointments

UWS10.03 http://docs.legis.wisconsin.gov/code/admin_code/uws/10.pdf treats the issue of job security including appropriate due process protections in the case of non-reappointment for fixed term academic staff members who have served the institution for a substantial period of time.

1) Nonrenewal of Fixed Term and Probationary Academic Staff Appointments {based on UWS 10.04}

a) A non-renewed member of the fixed term academic staff who has served the institution for at least five years may request and shall be given a written statement of the reasons for nonrenewal. A non-renewed member of the probationary academic staff may request and shall be given a written statement of the reasons for nonrenewal. The academic staff member has the right to request a review of the decision upon written appeal within 20 working days of receipt of the notice of nonrenewal. The Academic Staff Complaint, Grievance, and Review Committee will constitute the hearing body under procedures outlined in Hearing Procedures for Dismissal Appeals [3.a.4) of this section]. Such review shall be held not later than 20 working days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the hearing body. The burden of persuasion in such a review shall be on the non-renewed appointee and the scope of the review shall be limited to the question of whether the decision was based in any significant degree upon one or more of the following factors with material prejudice to the individual:

- (1) conduct, expressions, or beliefs which are constitutionally protected or actions which are consistent with an appropriate professional code of ethics; or
- (2) employment practices proscribed by applicable state or federal law; or
- (3) improper consideration of qualifications for reappointment or renewal. For purposes of this section, "improper consideration" shall be deemed to have been given to the qualifications of a staff member in question if material prejudice resulted because of any of the following:
 - (a) the procedures required by the chancellor or board were not followed, or
 - (b) available data bearing materially on the quality of performance were not considered, or
 - (c) unfounded, arbitrary, or irrelevant assumptions of fact were made about work or conduct.

b) Within 30 working days of the hearing, the hearing body's findings as to the validity of the appeal shall be reported in writing to the official making the nonrenewal decision, to the appropriate dean or director, to the chancellor, and to the staff member involved.

- c) Such report may include remedies which may, without limitation because of enumeration, take the form of a reconsideration by the decision maker; a reconsideration by the decision maker under instruction of the hearing body, which is the Academic Staff Complaint, Grievance, and Review Committee; or a recommendation to the next higher administrative level. Cases shall be remanded for reconsideration by the decision maker in all instances unless the Academic Staff Complaint, Grievance, and Review Committee specifically find that such a remand would serve no useful purpose. The Academic Staff Complaint, Grievance, and Review Committee shall retain jurisdiction during the pendency of any reconsideration. (US11/88)
- 2) Notice of Nonrenewal {based on UWS10.05}
 - a) Notice that a fixed term or probationary academic staff appointment will not be renewed shall be given in writing to the appointee in advance of the expiration of the appointment as follows:
 - (1) Fixed Term appointments

At least three months before the end of the appointment in the first two years, six months before the end of the appointment in the third through sixth year, and twelve months thereafter. When the letter of offer for a fixed term appointment states that renewal is not intended, no further notice of nonrenewal is required. “No intent to renew” contracts shall be issued only when a position will clearly not be continued. Contracts which are subject to sources of funding or other limitations shall be offered on a contingency basis and not issued as “no intent to renew” contracts. (rev. US5/97)

The notice required to terminate rolling term appointments is the length of the term less one year. Notice is given annually to extend or terminate at the end of the term.
 - (2) Probationary appointments

At least three months before the end of the appointment in the first year; six months before the end of the appointment in the second year; and 12 months thereafter.
 - b) Extension in the absence of proper notification

If proper notice of nonrenewal is not given in accordance with (1) above, the appointment shall be extended so that at least the required notice is provided.
- g. Academic Staff: Promotion
 - 1) Academic Staff Title Structure – Definitions

The following are definitions of prefixes within the UW System Academic Staff Title Structure and additional criteria developed by UW-Eau Claire. Departments and offices may add criteria such as academic degrees or other relevant requirements specific to the unit. Such additions must be approved by the chancellor and forwarded to the Academic Staff Personnel Committee for comment.

 - a) Administrative and/or Professional Academic Staff (Category A)
 - (1) Professional Prefix Definitions

Four prefixes are defined for most Category A academic staff professionals. Prefix levels reflect successfully greater experience, expertise, and applied ability in a particular specialty area. Although the typical professional academic staff member will show career advancement through the Associate, No Prefix, and Senior prefix levels, Hayes/Hill, Inc. saw “the need for a superstar category stressing peer recognition both

within and outside the institution as one of the key criteria. We would generally expect that a person in the superstar category would have at least ten or more years of progressively responsible experience in their field.” Consistent with Hayes/Hill’s original intent to reserve a prefix level “for the truly exceptional performers,” the Distinguished prefix is defined below.

Distinctive prefix levels are defined for Academic Librarian and Special Librarian to accommodate program management and/or supervisory responsibilities which are otherwise treated separately.

Professional Prefix Professional Prefix Definition (US2/ 17)

Associate	At this level, a professional is expected to perform at the entry level of proficiency. This includes performing all or any of the basic duties and functions as defined for the specialty or by the level of certification or licensure.
(No prefix)	An individual at this level performs those duties and responsibilities expected of a fully competent professional. Typically, such duties and responsibilities require knowledge and skills gained only through considerable experience. A fully competent professional works independently in applying the approaches, methods, and techniques of his or her profession and is active in developing or assisting in the development of new approaches to resolving problems. A professional at this level is expected to contribute to equity, diversity and inclusivity. Typically, one to three years in the position or in a comparable position are required to achieve this level of professional work.
Senior	<p>A professional at the senior level performs program functions at a level of proficiency typically requiring advanced knowledge and skills and extensive experience gained through employment at UW-Eau Claire and/or other educational settings. At this level the professional has a consistent record of exemplary performance. A senior professional is expected to develop new approaches, methods, or techniques to resolve problems with little or no expert guidance and to cope independently with new, unexpected, or complex situations. A senior professional is expected to contribute to equity, diversity and inclusivity. At this level, a professional can be expected (but not required) to guide or train other professionals within or outside of their work unit or to oversee their work. (US12/92, 3/15)</p> <p>Effectiveness in the position; contributions to the development and strengthening of the areas of responsibility; professional growth; and service to the university, the profession, and the public will be considered in the decision regarding assigning the senior prefix. A minimum of seven years in the position or in a comparable position is required to attain the senior prefix. An employee may apply for promotion during their seventh year of employment for implementation at the start of their eighth year of employment. (US3/ 15)</p>

Distinguished A professional at the distinguished level performs at a level of proficiency typically requiring extensive experience (a minimum of ten years in the position or in a comparable position) and advanced knowledge and skills. The expertise of a professional at this level is commonly recognized by his or her peers and through a reputation which extends beyond UW-Eau Claire. A distinguished professional is expected to develop new approaches, methods, or techniques to resolve problems with little or no expert guidance and to cope independently with new, unexpected, or complex situations. A distinguished professional is expected to contribute to equity, diversity and inclusivity. At this level, a professional can be expected to guide or train other professionals or to oversee their work.

(2) Program Manager Prefix Definition

Three function level designations are available for the program manager title. Function levels reflect differences in the complexity of the program(s); differences in the degree of supervision that may be required to manage programs of different sizes and complexity; and other factors. The determination of the appropriate level will be based on the rating of the position using the Title Evaluation Instrument. The general career progression standards applicable to titles in the professional category will not apply to titles in the program manager category.

(3) Director Series Prefix Definition

Director Prefix	Director Prefix Definition
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Assistant	An assistant director manages a subunit of a major department and reports to a director or associate director, supervises three or more staff members excluding his or her personal secretary, develops and recommends an annual unit budget, and develops or assists in developing and recommending policy to the director.
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An assistant director is responsible for the day-to-day administrative management and policy implementation activities of an administrative unit. The role of an assistant director is primarily supervisory and managerial as contrasted with a program manager whose primary responsibility is direct service delivery and whose job is largely non-supervisory.

Associate	An associate director assists in directing the administrative and policy development and implementation endeavors of a major administrative unit under the general supervision of the Director. An associate director acts on behalf of a director (no prefix) in his or her absence. Typically, there is no more than one associate director per unit.
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An associate director title is typically defined in units of sufficient size and scope of responsibility such that secondary decision making must be shared with or allocated to an associate director.

FACULTY AND ACADEMIC STAFF RULES AND PROCEDURES – PART III
ACADEMIC STAFF PERSONNEL POLICIES

(No prefix) A director (no prefix) directs all the administrative policy development and implementation endeavors of a major administrative unit.

b) Instructional and/or Research Academic Staff (Category B)

Lecturer Prefix	Lecturer Prefix Definition
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Associate	An associate lecturer is one who independently teaches a course(s) subject to broad guidelines describing the scope of the subject matter to be taught and the topics to be covered. Effective classroom delivery, testing, and grading are the primary duties expected of lecturers at this level.
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(No prefix)	A lecturer at this level has experience with a minimum of two years full-time equivalency (FTE) or comparable position and academic qualifications needed to develop and teach a course(s) subject to broad guidelines describing the scope of the subject matter to be covered. However, the specific topics to be covered and the degree of topic emphasis are left to the independent judgment of the (no prefix) lecturer. At this level, a lecturer may be involved in various instructional related activities. These may include undergraduate advising, assisting in developing lab safety protocols, course scheduling, curriculum development, participating in departmental outreach programs, or other instructional activities (US4/12)
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Senior	<p>A senior lecturer has subject matter expertise in an academic discipline. A Lecturer at this level has gained a reputation among his or her peers for demonstrably sustained superior contributions to teaching within a department or division. It is expected that the Senior Lecturer will independently select, develop, and organize course content and instructional materials and approaches. Involvement with committees engaged in supporting this development is typical. However, the direct delivery of instruction is the primary responsibility of the individual holding this title. In addition, a senior lecturer has extensive teaching experience with a minimum of five years full-time equivalency (FTE) in the lecturer position or in a comparable position of which at least two such years were served at UW-Eau Claire. An employee may apply for promotion during the year in which they will complete the minimum years of full-time experience for implementation at the start of the following academic year. (US4/12, 3/15)</p> <p>Exceptions to these minimum requirements may be made when it is believed that the lecturer's performance and contributions merit promotion. (US5/08)</p>
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2) Academic Staff Title Structure – Promotion Procedures

a) Procedures for Promotion Through Prefix Change for Administrative and/or Professional Academic Staff (AS5/11)

- (1) A written request for consideration for promotion may be initiated by an academic staff member and must be submitted to the immediate supervisor by October 15 with a copy

of the request being sent to the unit director or functional equivalent. The immediate supervisor may also initiate the promotion process. Recommendations for promotion shall be forwarded from the immediate supervisor to the chancellor through the following review levels: the unit director, the associate vice, vice chancellor, and the provost and vice chancellor. (US3/ 15)

- (2) Requests for promotion shall be reviewed by the immediate supervisor. He/she shall inform the academic staff member in writing as to whether or not a recommendation supporting promotion will be forwarded. Recommendations for promotion and supporting documentation must be forwarded to the unit director by December 1. Recommendations supported by the director shall be forwarded to the vice chancellor by December 15.
 - (3) Recommendations and documentation shall be forwarded through each successive level of administrative review along with the recommendation of the reviewing official. The chancellor shall inform the candidate of his/her recommendation on or before March 15.
 - (4) If a request or recommendation for promotion is not supported at any level, the official not in support shall, in a timely manner but no later than March 15, provide the previous reviewers, the immediate supervisor, and the employee with a written notification of and the reasons for the decision not to support. The immediate supervisor shall discuss the steps the individual may take to pursue promotion in the future.
 - (5) Those academic staff members whose recommendations for promotion are not supported may reactivate the request in a subsequent year.
- b) Procedures for Promotion Through Prefix Change for Instructional and/or Research Academic Staff
- (1) A written request for consideration for promotion may be initiated by an academic staff member and must be submitted to the Department Personnel Committee by October 15 with a copy sent to the department chair. The Department Personnel Committee or the department chair may also initiate the promotion process. Recommendation for promotion shall be forwarded from the Department Personnel Committee to the chancellor through the following review levels: department chair, dean, and the provost and vice chancellor. (3/ 15)
 - (2) Requests for promotion shall be reviewed by the Department Personnel Committee, which shall inform the academic staff member in writing as to whether or not a recommendation will be forwarded. The Department Personnel Committee's recommendations for promotion and supporting documentation must be forwarded to the department chair by December 1. Recommendations supported by the department chair shall be forwarded to the dean by December 15.
 - (3) Recommendations and documentation shall be forwarded through each successive level of administrative review, along with the recommendation of the reviewing official, in a timely fashion. The chancellor shall inform the candidate of his/her recommendation on or before March 15.
 - (4) If a request or recommendation for promotion is not supported at any level, the official not in support shall, in a timely manner but no later than March 15, provide the

previous reviewers, the Department Personnel Committee, and the employee with a written notification of and the reasons for the decision not to support. The Department Personnel Committee or the department chair shall be informed of the reasons for the negative decision and shall discuss the steps the individual may take to pursue promotion in the future.

- (5) Those academic staff members whose recommendations for promotion are not supported may reactivate their request in a subsequent year.
- c) Procedures for Promotion From One Title or Title Series to Another
 - (1) At the request of an academic staff member and/or his/her supervisor, the position description shall be reviewed to determine if it is properly titled.
 - (2) Documentation supporting the request shall be submitted to the unit director by December 1. Recommendations supported by the Director shall be forwarded to the vice or assistant chancellor by December 15.
 - (3) Recommendations and documentation shall be forwarded through each successive level of administrative review along with the recommendation of the director. The chancellor shall inform the candidate of the final decision.
 - (4) If the request for title change is not supported at any level, the immediate supervisor and the employee shall be informed in writing in a timely manner but no later than March 15. The immediate supervisor shall immediately upon receipt identify and discuss the reasons why the position does not meet the criteria for the requested title.
 - (5) A lateral move from one title to another within the same grade is not a promotion.
- d) Appeal Procedures

Upon receiving written notice of a decision to deny promotion, an academic staff member may within 10 days appeal that decision to the next highest administrative level not involved in the contested decision.

 - (1) Within 30 days the reviewer shall consider the written reasons for the negative decision and the academic staff member's appeal for the decision to be overturned, and may interview the academic staff member and any other relevant individuals. The academic staff member shall be informed immediately of the final decision of the reviewer. The appeal can be reviewed through all administrative channels up through the provost and vice chancellor.
 - (2) If the administrative review again results in a negative decision, the academic staff member may bring her/his appeal to the Academic Staff Complaint, Grievance and Review Committee. At this time, all documents regarding the academic staff member's promotion shall be forwarded to the Academic Staff Complaint, Grievance and Review Committee.
 - (3) The written report of the Review Committee shall be forwarded to the chancellor along with the provost and vice chancellor's report. The chancellor shall make a final decision and inform the academic staff member in writing within 30 days of receipt of the review committee's recommendations.

3. Academic Staff: Dismissals and Layoffs {based on UWS 11 http://docs.legis.wisconsin.gov/code/admin_code/uws/11 and UWS 12 http://docs.legis.wisconsin.gov/code/admin_code/uws/12}

a. Academic Staff: Dismissal of Academic Staff for Cause (US2/99)

FACULTY AND ACADEMIC STAFF RULES AND PROCEDURES – PART III
ACADEMIC STAFF PERSONNEL POLICIES

- 1) Dismissal for Cause – Indefinite Academic Staff Appointments – See UWS11.01 (http://docs.legis.wisconsin.gov/code/admin_code/uws/11)
 - a) A member of the academic staff holding an indefinite appointment may be dismissed only for just cause under UWS11.02 through 11.10 or for reasons of budget or program under UWS12.
 - b) Members of the academic staff are entitled to enjoy and exercise all rights of United States citizens and to perform their duties in accordance with appropriate professional codes of ethics. This policy shall be observed in determining whether or not just cause for dismissal exists. The burden of proof of the existence of just cause for a dismissal is on the administration.
- 2) Responsibility for Charges – See UWS11.02 (http://docs.legis.wisconsin.gov/code/admin_code/uws/11)
 - a) Whenever the UW-Eau Claire chancellor receives an allegation which concerns an academic staff member holding an indefinite appointment which appears to be substantial and which, if true, might lead to dismissal under UWS11.01, the chancellor shall request within twenty calendar days that the appropriate dean or director
 - (1) investigate the allegation,
 - (2) offer to discuss it informally with the individual, and
 - (3) provide information of rights to which members of the academic staff are entitled under UWS11.
 - b) If such an investigation and discussion do not result in a resolution of the allegation and if the allegation is deemed sufficiently serious to warrant dismissal, the dean or director shall prepare a written statement of specific charges. A member of the academic staff may be dismissed only after receipt of such a statement of specific charges and, if a hearing is requested by the academic staff member, after a hearing held in accordance with the provisions of this chapter. If the staff member does not request a hearing, dismissal action shall proceed along normal administrative lines, but the provisions of UWS11.02, 11.08, and 11.09 shall apply. In those cases where the immediate supervisor of the academic staff member concerned is a dean or director, the chancellor shall, to avoid potential prejudice, designate an appropriate administrative officer to act for the Dean or Director under this section.
 - c) The appeal procedures shall accompany any formal statement of specific charges sent to an academic staff member.
 - d) Any formal statement of specific charges shall be served personally or by certified mail, return receipt requested. If such service cannot be made within 20 calendar days, service shall be accomplished by first class mail and by publication as if the statement of charges were a summons and the provisions of section 801.11(1)(c) Wis. Stats., (<http://docs.legis.wisconsin.gov/statutes/statutes/801>), were applicable. Such service by mailing and publication shall be effective as of the first insertion of the notice of statement of charges in the newspaper.
- 3) Hearing Body – See UWS11.03 (http://docs.legis.wisconsin.gov/code/admin_code/uws/11)
 - a) A hearing committee of the Academic Staff Complaint, Grievance, and Review Committee shall hear all dismissal appeals. The hearing committee shall operate as the hearing agent for the chancellor pursuant to Wisconsin statutes and conduct the hearing, make a verbatim record of the hearing, prepare a summary of the evidence, and transmit such record and

summary along with its recommended findings of fact and decision to the chancellor (UWS 11.07)

- b) Dismissal for just cause of a member of the academic staff having teaching responsibilities shall be heard by the Faculty Complaint, Grievance and Termination Review Committee. The hearing shall be held pursuant to the provisions of UWS11.
- 4) Hearing Procedures for Dismissal Appeals – See UWS11.04
{http://docs.legis.wisconsin.gov/code/admin_code/uws/11}
- a) If a staff member requests a hearing within 20 calendar days from the service of the statement of specific charges (25 calendar days if notice is by first class mail and publication), such hearing shall be convened no later than 20 calendar days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the hearing committee.
- b) The request for a hearing must be submitted in writing to the chair of the Academic Staff Complaint, Grievance, and Review Committee.
- c) Within five working days of receipt of the hearing request, the Academic Staff Complaint, Grievance, and Review Committee Chair shall acknowledge, in writing, receipt of the request and shall provide a copy of the acknowledgement to the petitioner's dean or director. In the acknowledgement the chair shall ask the petitioner to submit a clear written statement of the reasons for the hearing request and any relevant documentation. The chair shall request, in writing, that the dean or director provide a copy of the statement of charges and any other relevant documentation. Such documentation may include (but is not limited to) information regarding the sequence of events leading to the charge(s), correspondence regarding pertinent events in the case, names of individuals with direct knowledge of those events, and commentary regarding the nature of their knowledge. All documentation must be submitted to the hearing committee chair by the date set at the pre-hearing conference. Documents from the petitioner and from the dean or director will be exchanged on the date set at the pre-hearing conference. Documents shall not be shared by the committee with either party prior to this date.
- d) Selection of Hearing Committee
 - (1) Within five working days after a request for a hearing has been filed, the Academic Staff Complaint, Grievance and Review Committee Chair shall call a meeting of the full committee. The committee shall select from its own membership a Hearing Committee of five. Selection of hearing committee members shall be by a random selection process.
 - (2) Members of the committee may request to be disqualified from the case on the grounds of bias. Likewise, either party to the appeal may request that a particular committee member be disqualified for cause. In either case, the remaining committee members shall hear the explanation for the request. By majority vote they shall determine whether to honor the request or deny it [UWS11.06(2)(a)].
 - (3) When a member of the hearing committee has been disqualified, the committee shall randomly select a replacement from among the remaining members of the committee. The composition of the hearing committee shall in no way compromise the provisions of UWS11.06(1)(a).
 - (4) The hearing committee shall convene and elect a chair. The chair shall request of the chancellor personnel assistance to provide a verbatim record of the proceedings [UWS

11.05(1)(e)], clerical assistance to record written findings [UWS 11.05(1)(f)], and legal counsel [UWS 11.06(2)(b)].

- (5) In consultation with the hearing committee, the chair will set a date for a pre-hearing conference and for the hearing. Service of written notice of the Hearing and the pre-hearing conference shall be provided to both parties at least ten calendar days prior to the hearing.

e) Hearing Procedures for Dismissal Cases

- (1) The hearing committee shall conduct a pre-hearing conference within ten calendar days of receipt of the original hearing request. The pre-hearing conference shall be held with all parties involved to:
- (a) confirm the names and official mailing addresses of all parties involved,
 - (b) confirm that there is a dismissal appeal to be heard,
 - (c) identify the applicable UWS and UWEC rules having jurisdiction over the matter,
 - (d) state clearly the charge(s), the petitioner's interest in the matter, the remedy being sought,
 - (e) hear any opening statements, pre-hearing motions, or closing statements made by the parties,
 - (f) decide whether the hearing will be open or closed,
 - (g) stipulate facts agreed upon, and
 - (h) determine a timetable for the exchange of witness lists and documents.

A written summary of the pre-hearing conference shall be distributed to all parties involved within one working day of the conclusion of the pre-hearing conference.

- (2) The hearing committee subsequently shall convene to hear the appeal. The hearing shall proceed according to UWS 11.04, 11.05, and 11.06. In consultation with the hearing committee, the chair shall be responsible for maintaining the decorum of the hearing and determining the relevance of the questions asked. It is recommended that the hearing committee pursue the following order of business:
- (a) The chair shall summarize the purpose of the hearing and the issues involved.
 - (b) The chair shall ask both parties (the institution or its representative first and the petitioner second) whether they have any questions before the hearing proceeds. This order of presentation should be maintained consistently throughout the hearing.
 - (c) The Chair shall ask whether each party wishes to make an opening statement.
 - (d) Each party shall have the opportunity to present documents and witnesses to support the case. Each party may pose questions to the witnesses.
 - (e) The chair shall ask whether each party wishes to make a closing statement.
 - (f) The chair shall inquire if there are any final questions and shall close the hearing.
- (3) Notwithstanding UWS 11.06(1)(b), the final deliberation of the hearing committee in the formulation of its recommendation(s) shall be in closed meeting as provided by Subchapter V, Chapter 19 <http://docs.legis.wisconsin.gov/statutes/statutes/19>, Wis. Stats. The hearing committee shall allow for a minority report in all of its

recommendations. The hearing committee's recommendations and the consideration thereof will proceed as specified in UWS11.07.

- f) The hearing committee is authorized to develop additional procedures not inconsistent with the provisions of Chapter UWS11.
 - g) The timelines for hearings cited in UWS or UWEC rules may be extended by mutual consent of the parties involved or by order of the hearing committee.
- 5) Adequate Due Process – See UWS11.05 http://docs.legis.wisconsin.gov/code/admin_code/uws/11
A fair hearing for an academic staff member whose dismissal is sought under UWS11.01, except as specifically limited in UWS11.11 or 11.12, shall include the following:
- a) a right to the names of witnesses and of access to documentary evidence upon the basis of which dismissal is sought;
 - b) a right to be heard in his or her defense;
 - c) a right to counsel and/or other representative, and to offer witnesses;
 - d) a right to confront and cross-examine adverse witnesses;
 - e) a verbatim record of all hearings, which might be a sound recording, provided at no cost;
 - f) written findings of fact and decision based on the hearing record;
 - g) admissibility of evidence governed by Wisconsin Statutes.
- 6) Procedural Guarantees – See UWS11.06 http://docs.legis.wisconsin.gov/code/admin_code/uws/11
A fair hearing for an academic staff member under UWS11, except as specifically limited in UWS 11.11 or 11.12, shall include the following procedural guarantees:
- a) Any person who participated in the investigations of allegations leading to the filing of a statement of charges, or in the filing of a statement of charges, or who is a material witness shall not be qualified to participate as a member of the hearing body.
 - b) The hearing shall be closed unless the staff member under charges requests an open hearing, in which case it shall be open (as provided by Chapter 19.85(1)(b), Subchapter V, Wis. Stats., Open Meeting Law, <http://docs.legis.wisconsin.gov/statutes/statutes/19>).
 - c) The hearing body shall not be bound by common law or statutory rules of evidence and may admit evidence having reasonable probative value but shall exclude immaterial, irrelevant, or unduly repetitious testimony, and shall give effect to recognized legal privileges.
 - d) The burden of proof of the existence of just cause is on the administration or its representatives.
 - e) If a staff member whose dismissal is sought has requested a hearing, discontinuance of the proceeding by the institution is deemed a withdrawal of charges and a finding that the charges were without merit.
 - f) Nothing in par. e) shall prevent the settlement of cases by mutual agreement between the administration and the staff member, with the chancellor's approval, at any time prior to a final decision by the chancellor; or when appropriate, with the board's approval prior to a final decision by the board.
 - g) Adjournments shall be granted to enable either party to investigate evidence as to which a valid claim of surprise is made.
- 7) Recommendation to the Chancellor in Dismissal Cases – See UWS11.07
[{http://docs.legis.wisconsin.gov/code/admin_code/uws/11}](http://docs.legis.wisconsin.gov/code/admin_code/uws/11)

- a) Within 20 working days of the hearing, the hearing committee shall send a verbatim record of the testimony, which may be a sound recording, and a copy of its report, findings, and recommendations to the chancellor and to the staff member concerned. The report shall include:
 - (1) the names and official mailing addresses of all parties involved,
 - (2) a statement of the petitioner's request and the UWS and UWEC chapters and sections under which it was filed,
 - (3) the hearing committee's findings of fact,
 - (4) the hearing committee's conclusions of law, i.e., its rationale as to whether the alleged charges are valid or not, and
 - (5) the hearing committee's recommendations to the chancellor to
 - (a) dismiss the staff member,
 - (b) impose a lesser disciplinary action, or
 - (c) find in favor of the staff member, dismiss the charges against the staff member, and remove any record of the charges from the staff member's personnel file.
 - b) After reviewing the matter on record and considering arguments if submitted by the parties, the chancellor shall issue a decision to both parties and the hearing committee within 20 working days. This decision shall be deemed final unless the board of regents, upon request of the staff member, grants a review based on the record. In dismissal cases against an indefinite appointee, the board shall review the case according to UWS 11.10.
- 8) Suspension from Duties – See UWS 11.08
- The staff member with an indefinite appointment shall continue to receive his or her salary until the chancellor makes a decision as to dismissal and shall not be relieved of his or her duties except as noted in UWS 11.08.
- 9) Date of Dismissal – See UWS 11.09
- A decision by the chancellor ordering dismissal shall specify the effective date of the dismissal.
- 10) Board Review – See UWS 11.10
- A member of the academic staff on indefinite appointment who has been dismissed for just cause by the chancellor following a hearing may appeal this action to the board of regents. Any appeal must be made within 30 days of the date of the decision of the chancellor to dismiss. Upon receiving an appeal the Board shall review the case on the record. Following such review, the board may confirm the chancellor's decision, or direct a different decision, or approve a further hearing before the board with an opportunity for filing exceptions to the hearing body's recommendations or the chancellor's decision and for oral argument on the record. If further review with opportunity for oral argument on the record is provided, this review shall be closed unless the staff member requests an open hearing. [See Chapter 19.85(1)(b), Subchapter V, Wis. Stats., Open Meeting Law, <http://docs.legis.wisconsin.gov/statutes/statutes/19>] All decisions of the board, whether after review on the record or after oral argument, shall be expressed in writing and shall indicate the basis for such decision.
- 11) Dismissal for Cause – Fixed Term or Probationary Appointees – See UWS 11.11
- A member of the academic staff holding a probationary appointment, or a member of the academic staff holding a fixed term appointment and having completed six months in the position, may be dismissed prior to the end of the contract term only for just cause or for

reasons of budget or program under UWS12 http://docs.legis.wisconsin.gov/code/admin_code/uws/12. A nonrenewal of such an appointment is not a dismissal under this section. The provisions of UWS 11.01(2) through 11.07, 11.09 and 11.11 shall apply to dismissal for just cause of fixed term or probationary academic staff appointees.

In no event shall a decision favorable to the appellant extend the term of the original appointment. If a proceeding on appeal is not concluded before the appointment expiration date, the academic staff member concerned may elect that such proceeding be carried to a final decision. Unless such election is made in writing, the proceeding shall be discontinued at the expiration of the appointment. If the chancellor ultimately decides in favor of the appellant, salary lost during the interim period between the effective date of dismissal and the date of the chancellor's decision or the end of the contract period, whichever is earlier, shall be restored.

12) Dismissal for Cause – Instructional and/or Research Academic Staff – See UWS11.12

As provided under UWS11.03(2) and UWS11.12, a dismissal hearing for instructional and/or research academic staff shall be heard before the Faculty Complaint, Grievance, and Termination Review Committee pursuant to UWS11.02 through 11.10. In such cases, dismissal shall be effective immediately upon receipt of written notification to that effect from the chancellor, pursuant to recommendations of the Faculty Complaint, Grievance, and Termination Review Committee. Provisions for board review under UWS4.08 will apply to allow the appellant opportunity for reinstatement or recovery of lost salary as provided under UWS11.11. In no event, however, shall a decision favorable to the appellant extend the time of the original appointment specified in the letter of appointment.

b. Academic Staff: Layoff of Academic Staff for Reasons of Budget or Program (US5/96)

{based on UWS12 http://docs.legis.wisconsin.gov/code/admin_code/uws/12}

1) General – See UWS12.01

Notwithstanding 36.15 <http://docs.legis.wisconsin.gov/statutes/statutes/36>, Wis. Stats., and UWS10 http://docs.legis.wisconsin.gov/code/admin_code/uws/10 and 11 http://docs.legis.wisconsin.gov/code/admin_code/uws/11, the chancellor or his/her designee may layoff a member of the academic staff holding an indefinite appointment or may layoff a member of the academic staff, hereafter staff member, holding either a fixed term or a probationary appointment prior to the end of the appointment period when such action is deemed necessary due to budget or program decision requiring program discontinuance, curtailment, modification, or redirection. Program decisions made pursuant to a change in the level of resources available for a particular project shall be discussed by the chancellor or his/her designee with both the standing Academic Staff Personnel Committee and the Academic Staff Complaint, Grievance, and Review Committee. Decisions affecting individuals shall be communicated to the affected persons by the chancellor or his/her designee together with a description of the change in available resources which has required the layoff decision. Nonrenewal of a probationary staff appointment (under UWS10.04) or a fixed term appointment, even if for financial reasons, is not a layoff for reasons of program or budget.

2) Layoff – See UWS12.02

For the purpose of this chapter, “layoff” is the suspension of a staff member’s employment by the University of Wisconsin System during the appointment period for reasons of budget or program. A laid-off staff member retains the rights specified in UWS12.07 through 12.11 inclusive. For the purposes of 36.21, Wis. Stats., termination occurs at the time of layoff.

3) Individual Layoff Decision – See UWS12.03

When a reduction in program of a particular operational area is required, layoff of staff members with indefinite, fixed term, or probationary appointments should normally follow seniority, as established by date of acceptance of initial letter of academic staff appointment, excluding any periods of non-employment. This presumption in favor of seniority may be overcome upon consultation with the standing Academic Staff Personnel Committee where program needs dictate other considerations (e.g., the need to maintain specific expertise within the program or operational area). The standard notice periods specified in the local implementation of UWS10.05 should be used, unless there are compelling reasons to the contrary (e.g., almost immediate cutoff of funds) for layoff of probationary and fixed term appointments under this chapter. Indefinite appointees shall have twelve months' notice of layoff for reasons of budget or program, unless there are compelling reasons to the contrary.

4) Hearing Body – See UWS12.04

The Academic Staff Complaint, Grievance, and Review Committee shall be the hearing body for the purpose of this chapter. This body shall act as the hearing agent for the chancellor pursuant to Wisconsin statutes and conduct the hearing, make a verbatim record of the hearing, prepare a summary of the evidence, and transmit such record and summary, along with findings of fact and decision, to the chancellor as specified in Hearing Procedures for Dismissal Appeals [3.a.4) of this section].

5) Review and Hearing for Indefinite Appointments – See UWS12.05

- a) A staff member with an indefinite appointment whose position is to be eliminated shall be notified in writing. The staff member has 20 calendar days after such notification to make a written request for a written statement of the reasons for the decision. Within 15 calendar days of the request, the staff member shall receive a statement of the reasons for the decision. This written statement shall indicate the reasons the budgetary or program needs should be met by curtailing or discontinuing the program in which the individual concerned works. The staff member has 20 calendar days after receipt of the written statement of reason to request a hearing before the hearing body. However, such a request for hearing shall not forestall a layoff under this section.
- b) Upon receipt of a hearing request by the Academic Staff Complaint, Grievance, and Review Committee, the chair shall call a meeting of the full membership. Procedures and selection of membership for the hearing committee shall adhere to the local implementation of UWS 11.04 and UWS12.05

6) Review for Fixed Term and Probationary Academic Staff Members – See UWS12.06

The chancellor shall review, with the standing Academic Staff Personnel Committee, program decisions leading to layoff for reasons of budget or program of academic staff members with fixed term or probationary appointments. Review procedures specified in the local implementation of UWS12.05 and 12.06 shall also apply to probationary and fixed term academic staff members who are laid off prior to the completion of their appointments. Nonrenewal is not a layoff under this section.

7) Layoff Status – See UWS12.07

A staff member whose position has been eliminated according to the provisions of this chapter may, at the end of the appropriate notice period, be placed on layoff status unless the layoff notice has been rescinded prior to that time. The staff member whose notice period has expired and who is placed on layoff status shall remain on layoff status until:

- a) For fixed term and probationary appointee, one of the following occurs:
 - (1) The appointment expires under its own terms.
 - (2) The staff member fails to accept an alternative appointment.
- b) For staff on indefinite appointment one of the following occurs:
 - (1) The staff member is reappointed to the position from which laid off. Failure to accept such reappointment would terminate the staff member's association with the institution.
 - (2) The staff member accepts an alternative continuing position at the institution. Failure to accept an alternative appointment would not terminate the staff member's association with the institution.
 - (3) The staff member resigns.
 - (4) The staff member fails to notify the chancellor or his/her designee by December 1 of each year while on layoff status as to the staff member's location, employment status, and desire to remain on layoff status. Failure to provide such notice of desire to remain on layoff status shall terminate the staff member's association with the institution.
 - (5) A period of three years lapses.
- 8) Alternative Employment – See UWS12.08

UW-Eau Claire shall devote its best efforts to securing alternative appointments within the institution in positions for which staff laid off under this chapter are qualified under existing criteria. UW-Eau Claire should seek to provide financial assistance for staff members who have indefinite appointments and who are to be laid off to readapt within the operational area or within another operational area of the institution where such readaptation is feasible within one year's time.
- 9) Reappointment Rights – See UWS12.09

Where layoffs occur for reasons of budget or program, no person may be employed in that operational area within three years to perform reasonably comparable duties to those of the staff member laid off without first offering the laid off staff member on layoff status reappointment without loss of rights or status. In addition, UW-Eau Claire shall continue for three years from date of layoff to offer the reappointment rights stated in this section to a laid-off fixed term or probationary appointee whose appointment has expired under its own terms if such appointee notified the Chancellor or his/her designee by December 1 of each year as to the staff member's location, employment status, and desire to pursue reappointment rights under this section. For probationary staff, the clock will stop when the layoff occurs and will restart at the time the staff member is rehired if within the three-year period.
- 10) Retention of Salary – See UWS12.10

Any academic staff member reappointed within three years after layoff to reasonably comparable duties within the operational area shall be reappointed with a salary rate at least equivalent to the salary rate when laid off, together with such other rights and privileges which may have accrued at the time.
- 11) Rights of Academic Staff Members on Layoff – See UWS12.11

Any staff member on layoff status in accord with the provisions of UWS12 has the re-employment rights guaranteed by UWS12.09 and 12.10 and has the following minimal rights;

- a) Voluntary participation in life, health, and income continuation insurance programs, including the right to prepay as long as layoff status is maintained with conversion rights if still on layoff status at the end three years.
 - b) Such continued use of campus facilities and participation in institution activities as is extended to emeriti personnel.
4. Academic Staff: Complaint and Grievances (US2/99)
(based on UWS13 http://docs.legis.wisconsin.gov/code/admin_code/uws/13)
- a. Academic Staff: Complaints – See UWS13.01
 - 1) Definition

Complaints are allegations by persons other than the academic staff member's supervisor(s), including administrators, students, other academic staff, faculty, university staff, or members of the public concerning conduct by an academic staff member that violates university rules or policies or that adversely affects the staff member's performance of obligations to the University but which allegations are not serious enough to warrant dismissal proceedings under Chapter UWS11. The burden of proof of the alleged misconduct is on the institution or its representative.
 - 2) Initial Procedures to Resolve Complaints
 - a) Complaints should be resolved informally whenever possible. Before initiating a formal complaint, the complainant should discuss the issue with the person whose alleged actions led to the complaint or, when not possible, with that person's immediate supervisor, dean, or director. In all cases, the person first hearing the complaint shall notify the staff member that a complaint has been made against him or her and shall provide a description of the alleged misconduct, the name of the complainant, and give him or her an opportunity to explain his or her conduct.
 - b) If informal resolution has been unsuccessful, a formal written complaint may be made to the Provost within 30 calendar days of the alleged misconduct. The written complaint must be signed and specify the alleged misconduct, the steps taken toward informal resolution, and the resolution sought. The Provost shall review and act upon it within 15 working days. The provost shall first give written notice to the academic staff member involved regarding the nature of the complaint and give him or her an opportunity to explain his or her conduct. The Provost may make a further investigation of the allegations and shall then
 - (1) dismiss the complaint,
 - (2) take disciplinary action, or
 - (3) refer it to the Academic Staff Complaint, Grievance, and Review Committee for a hearing.The provost shall notify the staff member, in writing, of his or her decision.
 - c) If the provost or any administrator invokes disciplinary action without referral to the Academic Staff Complaint, Grievance, and Review Committee, the staff member shall have a right to a hearing before the Academic Staff Complaint, Grievance, and Review Committee.
 - 3) Procedures to File a Hearing Request in Complaint Cases
 - a) If a staff member requests a hearing within 20 calendar days of notice of disciplinary action, such hearing shall be convened no later than 20 calendar days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the hearing committee.

- b) The request for a hearing shall be addressed in writing to the Chair of the Academic Staff Complaint, Grievance, and Review Committee.
 - c) Within five working days of receipt of the hearing request, the Academic Staff Complaint, Grievance, and Review Committee chair shall acknowledge, in writing, receipt of the request and shall provide a copy of the acknowledgement to the person who took disciplinary action, and the staff member's dean or director. In the acknowledgement, the chair shall ask the staff member to submit a clear written statement of the reasons for the hearing request and any other relevant documentation. The chair shall request, in writing, that the person who took disciplinary action provide a copy of the complaint and any other relevant documentation. Documentation may include (but is not limited to) information regarding the sequence of events leading to the complaint, correspondence regarding pertinent events in the case, names of individuals with direct knowledge of those events, and commentary regarding the nature of their knowledge. All documentation must be submitted to the hearing committee chair by the date set at the pre-hearing conference [see 4.a.4)d) in this section]. Documents from both parties will be exchanged on the date set at the pre-hearing conference. The committee shall not share these documents with either party prior to this date.
- 4) Hearing Committee
- a) Within five working days after a request for a hearing has been filed, the full Academic Staff Complaint, Grievance, and Review Committee shall meet to select from its own membership a Hearing Committee of five. Selection of Hearing Committee members shall be by a random selection process.
 - b) Members of the committee may request to be disqualified from the case on the grounds of bias. Likewise, either party may request that a particular committee member be disqualified for cause. In either case, the remaining committee members shall hear the explanation for the request. By majority vote they shall determine whether to honor the request or deny it. When a member of the hearing committee has been disqualified, the committee shall randomly select a replacement from among the remaining members of the committee.
 - c) The hearing committee shall convene and elect a chair. The chair shall request of the chancellor personnel assistance to provide a verbatim record of the proceedings, clerical assistance to record written findings, and legal counsel.
 - d) In consultation with the hearing committee, the chair of that committee will set a date for a pre-hearing conference and for the hearing. Service of written notice of the hearing shall be provided to both parties at least ten calendar days prior to the hearing.
- 5) Hearing Procedures for Complaints
- a) The hearing committee shall conduct a pre-hearing conference within ten calendar days of receipt of the original hearing request. The pre-hearing conference shall be held with all parties involved to:
 - (1) confirm the names and official mailing addresses of all parties involved,
 - (2) confirm that there is a complaint case to be heard,
 - (3) identify the applicable UWS and UWEC rules having jurisdiction over the matter,
 - (4) state clearly the complaint, the staff member's interest in the matter, and the remedy being sought,

- (5) hear any opening statements, pre-hearing motions, or closing statements made by the parties,
- (6) decide whether the hearing will be open or closed,
- (7) stipulate facts agreed upon, and
- (8) determine a timetable for the exchange of witness lists and documents

A written summary of the pre-hearing conference shall be distributed to all parties involved within one working day of the conclusion of the pre-hearing conference.

- b) The hearing committee subsequently shall convene to hear the case. The hearing shall be restricted to consideration of the complaint specified in the notification to the staff member. In consultation with the hearing committee, the chair shall be responsible for maintaining the decorum of the Hearing and for determining the relevance of the questions asked. It is recommended that the hearing committee pursue the following order of business:

- (1) The chair shall summarize the purpose of the hearing and the issues involved.
- (2) The chair shall ask both parties (the institution or its representative first and the staff member second) whether they have any questions before the hearing proceeds. This order of presentation (institution then staff member) should be maintained consistently throughout the hearing.
- (3) The chair shall ask whether each party wishes to make an opening statement.
- (4) Each party shall have the opportunity to present documents and witnesses to support the case. Each party may pose questions to the witnesses.
- (5) The chair shall ask whether each party wishes to make a closing statement.
- (6) The chair shall inquire if there are any final questions and shall close the hearing.

- c) The final deliberation of the hearing committee in the formulation of its recommendation(s) shall be in closed meeting as provided by Chapter 19.85(1)(b), Subchapter V, Wis. Stats. The hearing committee shall allow for a minority report in all of its recommendations.

6) Recommendations to the Chancellor in Complaint Cases

- a) Within 20 working days of the hearing, the hearing committee shall send a verbatim record of the testimony, which may be a sound recording, and a copy of its report, findings, and recommendations to the Chancellor and to the staff member concerned. The report shall include:
 - (1) the names and official mailing addresses of all parties involved,
 - (2) a statement of the staff member's interest in the matter, and the UWS and UWEC chapters and sections under which it was filed,
 - (3) the hearing committee's findings of fact,
 - (4) the hearing committee's conclusions of law, i.e., the committee's rationale as to whether the complaint is valid or not, and
 - (5) the hearing committee's recommendations to the chancellor to
 - (a) dismiss the complaint, rescind disciplinary action, and remove any record of the complaint from the staff member's personnel record, or
 - (b) affirm the disciplinary action, or

- (c) rescind the disciplinary action, remove any record of it, and substitute action recommended by the committee.
 - b) After reviewing the matter on record, the chancellor shall act on the report and notify the committee and both parties of any action within 20 working days.
 - 7) If the provost refers the complaint to the Academic Staff Complaint, Grievance, and Review Committee for a hearing before any disciplinary action is taken, the following procedures shall apply:
 - a) The referral for a hearing must be submitted in writing to the chair of the Academic Staff Complaint, Grievance, and Review Committee. All relevant materials accumulated by the Provost shall be sent to the Committee Chair and a copy shall be sent to the staff member against whom the complaint was made
 - b) Within five working days of receipt of the referral, the committee shall meet to select a hearing committee to hear the case following procedures in 4.a.4) of this section.
 - c) The hearing shall be conducted according to procedures in 4.a.5) of this section except that the hearing committee's report to the Chancellor shall include a recommendation to
 - (1) dismiss the complaint and remove any record of it or
 - (2) suggest disciplinary action or other appropriate remedy.
 - 8) The hearing committee is authorized to develop additional procedures, not inconsistent with the provisions of UWS13 and its local implementation.
 - 9) The timelines for hearings cited in UWS or UWEC rules may be extended by mutual consent of the parties involved or by order of the hearing committee.
- b. Academic Staff: Grievances – See UWS13.02 (AS4/ 13)
- 1) Definition

A grievance is a personnel problem involving an academic staff member's expressed feeling of unfair treatment or dissatisfaction with aspects of his/her university working conditions which are outside his/her control.
 - 2) Purpose and Limits of Grievance

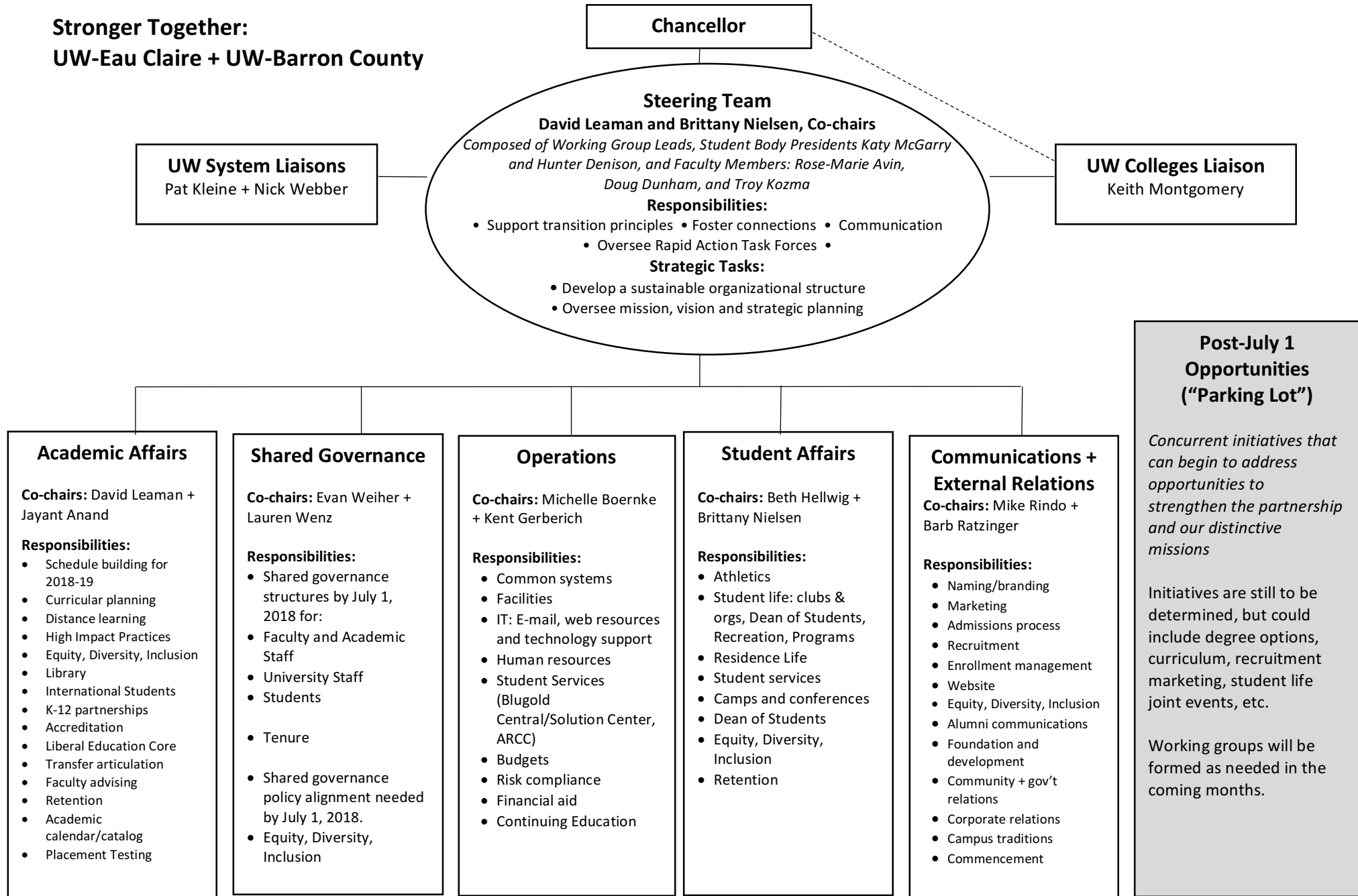
An academic staff member may pursue a grievance when he/she believes that the relevant personnel policies, rules, or procedures were not appropriately followed. To the extent practical, all grievances should be settled through informal discussions at the lowest possible administrative level and may be discussed with progressively higher administrators in a mutually sincere effort to reach an acceptable settlement. In addition, any question or allegation not related to discrimination may be discussed informally with the Chair of the Academic Staff Personnel Committee.

Complaints or grievances having to do with discrimination or harassment will be handled as outlined below under "Equal Opportunity/Affirmative Action Complaints and Grievances."
 - 3) Procedures for Filing a Formal Grievance
 - a) Any academic staff member wishing to make a grievance may submit a written statement of his/her grievance to the chair of the Academic Staff Complaint, Grievance, and Review Committee (ASCGRC)

- b) The written statement of the grievance must be submitted within 300 days after the academic staff member knew or reasonably should have known of the action or omission out of which the grievance has arisen, unless there are extenuating circumstances.
- c) The formal statement of grievance should include:
 - (1) Description of the specific act which resulted in the grievance, the date(s) upon which the act(s) took place, the names of the persons involved.
 - (2) A listing of the specific rights of the academic staff member which are alleged to have been violated, or the nature of the alleged unfair treatment.
 - (3) Evidence to support the grievance. Such evidence may include materials which predate the grievance.
 - (4) Desired outcome.
- 4) ASOGRRC Procedures after Receipt of Grievance

Within seven days of receiving the grievance, the ASOGRRC will meet to determine whether it wishes to take formal action on the grievance as a full committee or to appoint a subcommittee whose task is to attempt to informally resolve the grievance.
- 5) Procedures for Formal Hearing
 - a) If within 30 days the grievance is not resolved by way of the informal mediation involving the ASOGRRC subcommittee to the satisfaction of the academic staff member involved, the academic staff member may request a formal hearing.
 - b) Within three days of deciding upon a formal hearing, the ASOGRRC shall forward a copy of the grievance as submitted to the chair of the ASOGRRC to the party(s) at which it is directed. Any other party may also present a written statement for consideration by the committee.
 - c) Within seven days of deciding upon a formal hearing, the committee shall appoint a hearing committee of five members.
 - d) Within 21 days from the formation of the hearing committee, a hearing shall be held. The hearing will be closed unless any party requests an open hearing. The hearing shall be restricted to consideration of the issue(s) identified in the initial written statement of the grievance.
 - e) Each of the parties involved may select witnesses to appear before the committee on his/her behalf, as well as retain the right to have a support person or advisor present at the hearing. The advisor may be a lawyer. The advisor may counsel the grievant, but may not directly question witnesses, present information or witnesses, or speak on behalf of the grievant except at the discretion of the hearing examiner or committee.
 - f) Within ten days of the hearing, the hearing committee shall recommend appropriate administrative action in a written report to the chancellor with a copy to all parties involved.
 - g) The chancellor shall act on the recommendations of the report and notify in writing all parties involved of his or her decision within 21 days. The decision by the chancellor on the recommendation of the committee shall be final.
 - h) All deadlines in the above timeline of procedures may be extended upon mutual agreement of parties or by order of the hearing committee.
- c. Academic Staff: Equal Opportunity/ Affirmative Action Complaints or Grievances

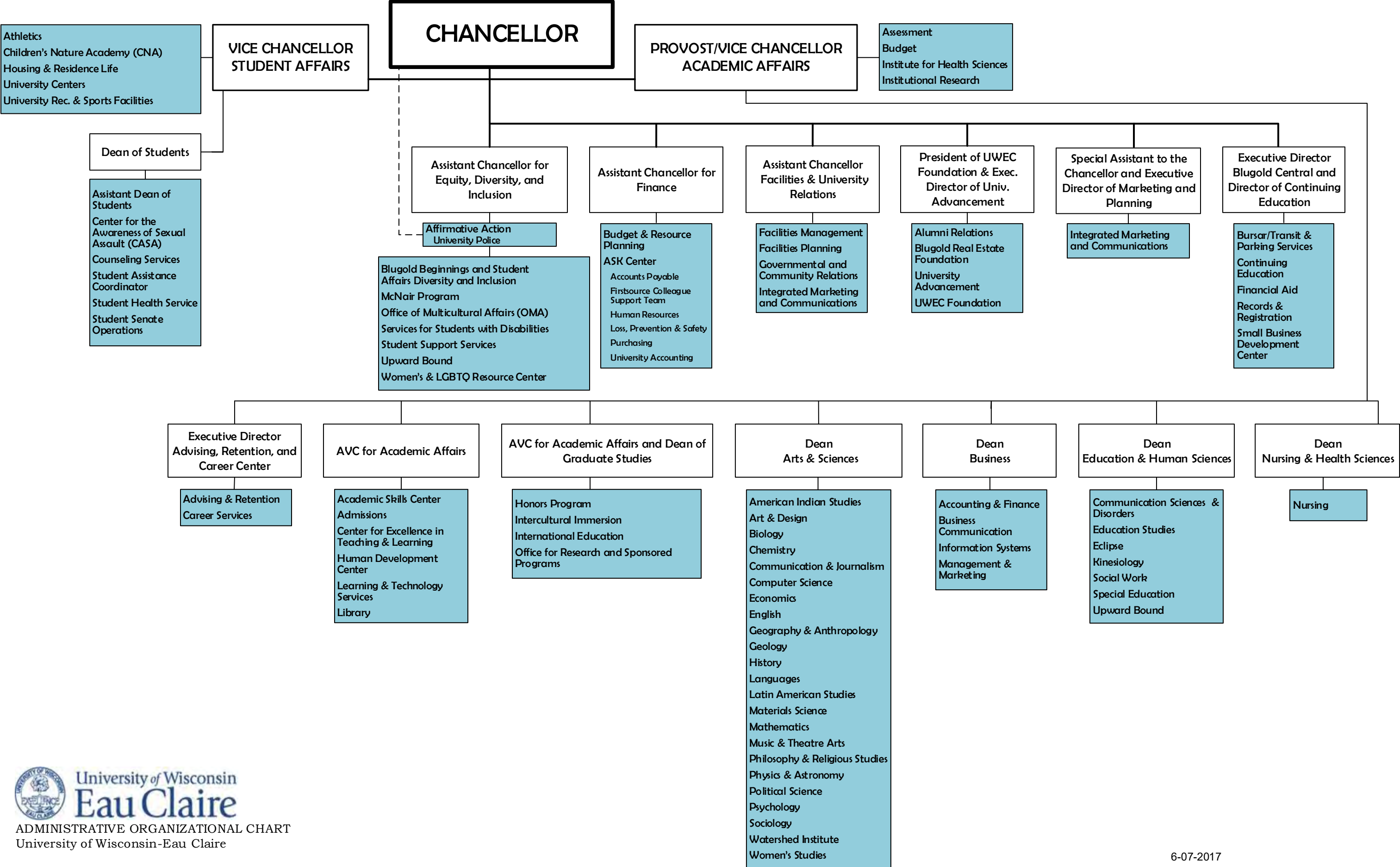
**Stronger Together:
UW-Eau Claire + UW-Barron County**

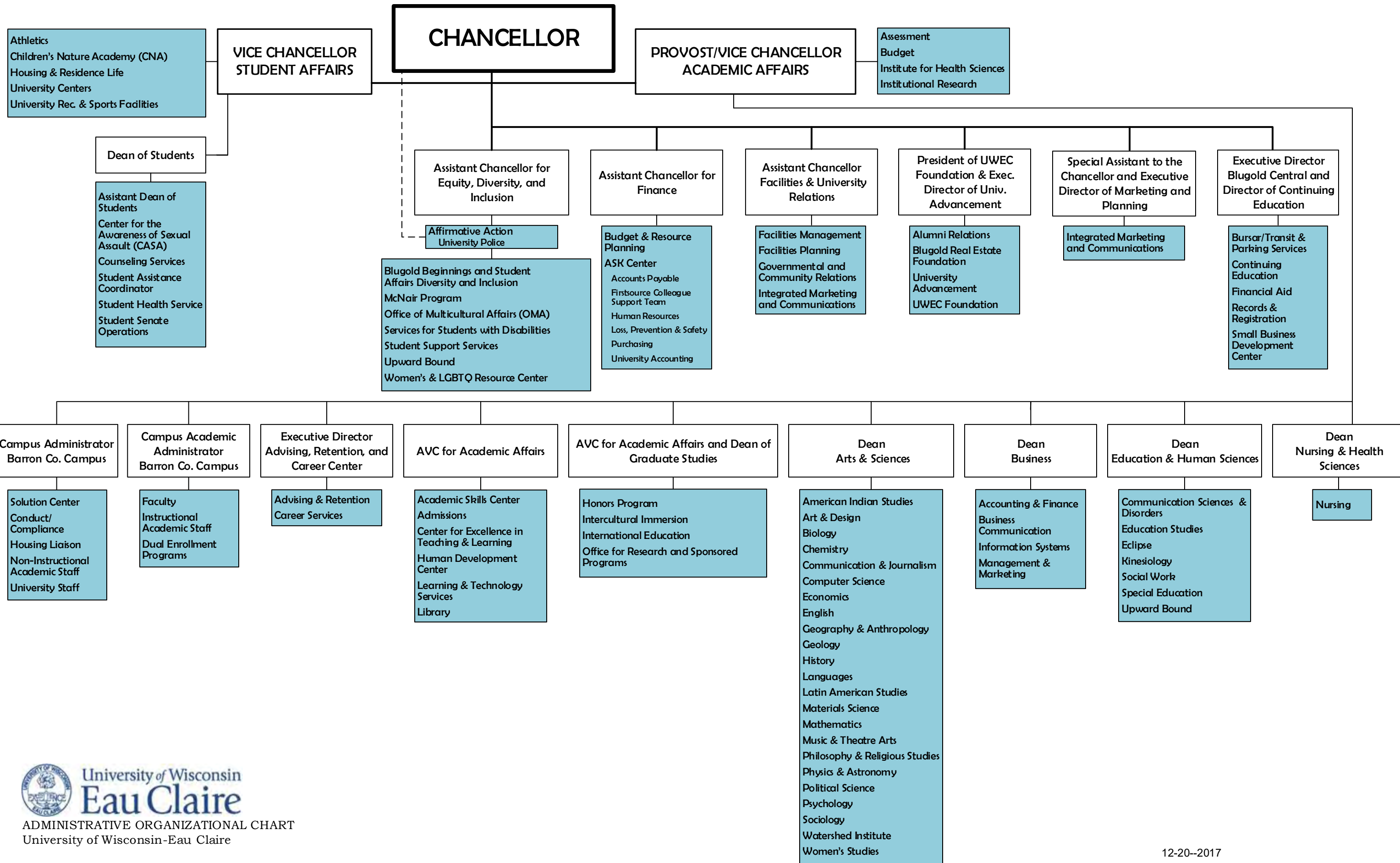


UWEC + UWBC TRANSITION: RAPID ACTION TASK FORCE REPORTS

Use a separate form for EACH priority initiative. Complete and return to MJ Brukardt, brukarmj@uwec.edu.

Task Force	
Priority Initiative (Identify as Level 1, 2 or 3)	
Analysis	
Define issue or initiative. Describe what must be changed and/or maintained and what outcomes must be achieved by July 1	
Describe the current state and how analysis was undertaken. (Interviews, document analysis, etc.)	
Options for July 1	
List at least two options for moving forward with this priority. Include brief justification statements or background on how you arrived at these options. Include any supporting materials that will assist the Steering Committee (org charts, policy documents, financial data, etc.)	
Implementation Timeline	
Outline a proposed implementation timeline. Note any external actions that may impact the timeline (UW System decisions, academic calendar, etc.)	
Implementation Implications	
Describe potential outcomes (positive or negative) from implementing each of your options. These could include: staffing changes, shared governance policies, resource needs, likely challenges, unresolved questions, etc.	
Describe impact and/or implications for incoming and current students.	





University of Wisconsin
Eau Claire

ADMINISTRATIVE ORGANIZATIONAL CHART
University of Wisconsin-Eau Claire

Academic Affairs/Provost

[Quick Links](#)[About Us](#)[Faculty/Academic Staff Resources](#)[Committees](#)[Policies](#)[Forms/Documents](#)[Policy Documents](#)[University Computer and
Network Usage Guidelines](#)[Guidelines for Establishment](#)[Faculty and Academic Staff
Rules and Procedures](#)

Policy Documents

Mission Statement of the University

We foster in one another creativity, critical insight, empathy, and intellectual courage, the hallmarks of a transformative liberal education and the foundation for active citizenship and lifelong inquiry.

We fulfill our mission through a pervasive university commitment to provide:

- Rigorous, intentional and experiential undergraduate liberal education for life and livelihood;
- Strong, distinctive professional and graduate programs that build on and strengthen our proud tradition of liberal education;
- Multicultural and international learning experiences for a diverse world;
- Exemplary student-faculty research and scholarship that enhance teaching and learning;
- An inclusive campus community that challenges students to develop their intellectual, personal, cultural, and social competencies;
- Educational opportunities responsive to the needs of our communities, state, region and beyond; and
- Academic leadership in transforming liberal education.

The University offers undergraduate programs and degrees in the arts, humanities, social sciences, health sciences, sciences, select engineering fields, education, nursing, and business. The institution also offers graduate programs related to areas of strength within the institution, including business, education, nursing, human sciences, humanities, and sciences.

UW-Eau Claire mission statement amended by UWS Board of Regents Res. 8623, adopted 11/8/2002; Res. 9774, adopted 6/11/2010; and Res. 10716, adopted 6/10/2016.

Mission Archive

The Academic Master Plan

The Academic Master Plan sets the priorities for the academic mission and is the foundation for the University's strategic plan. It serves as a roadmap for how the University will identify opportunities for programmatic changes, meet its four guidepost goals, and set priorities that will strengthen our commitment to academic excellence and student success.

Twelve goals provide direction, discipline and inspiration for our continued commitment to a student experience that is transformative, anchored in student-faculty relationships and committed to liberal education.

Equity, Diversity, and Inclusivity:

We will integrate our commitment to equity, diversity, and inclusivity throughout teaching and learning. We will encourage the entire campus community to critically examine institutional practices that permit and perpetuate racism, sexism, and heterosexism, and to make changes to policies, practices, curriculum, and pedagogy based on that analysis.

Liberal Education: We will make the Liberal Education Learning Outcomes central to the UW-Eau Claire experience in order to prepare each of our students for lifetime contributions to society through career, service, and personal achievement.

High-Impact Practices: We will ensure that all of our students participate in multiple high-impact practices that allow them to live what they study.

Civic Engagement and Civic Learning: Students, faculty, and staff will work with community partners to strategically identify and research community needs, and apply the knowledge, skills and energy of the campus community to address them.

Globally Infused Curricular and Co-curricular Experiences: We will provide all of our students with globally infused curricular and co-curricular experiences that allow them to build global competency and we will increase opportunities for faculty to teach abroad.

Academic Advising, Student Retention, and Career Counseling: We will provide more intrusive and accountable academic advising, student retention support, and career counseling to promote the success of all of our students.

Assessment of Student Learning and Academic Programs:

We will systematically assess student learning in the Liberal Education Core and major and minor programs in order to enhance curriculum development, teaching, and learning.

Recruitment and Retention of High-Achieving Students: We will recruit and retain additional high-achieving students by strengthening our institutional commitment to the University Honors Program and other programming for high-ability students.

Faculty Professional Development and Workload: To retain and recruit high-quality faculty we will develop flexible faculty workload options and meaningful professional development opportunities.

Undergraduate Program Array: We will refine our program array to serve our students and the state, allow for innovation, and advance our institutional mission. The plan identifies primary considerations and a process by which to make decisions regarding how each department can most appropriately contribute to student learning.

Graduate Programs: We will revise administrative structures and processes for Graduate Studies and review and revise our current array of programs.

Allocation of Resources: The plan identifies considerations to guide our use of resources in ways that allow us to address current student enrollment patterns while also attending to strategic, forward-looking enrollment and program development goals.

Creating Our Future: UW-Eau Claire Strategic Pathway to 2020

Thanks to the efforts of hundreds of faculty, staff, students and community members, UW-Eau Claire now has three important new strategic plans that, taken together, will guide institutional decisions through 2020.

OUR GUIDEPOSTS

- ▶ **100%** of students participating in two high-impact learning experiences
- ▶ **90%** of our entering students retained to their sophomore year
- ▶ **50%** of our students graduating in four years
- ▶ **20%** enrollment of students of color and elimination of the opportunity gap

Our Mission

Foster in one another creativity, critical insight, empathy and intellectual courage, the hallmarks of a transformative liberal education and the foundation for active citizenship and lifelong inquiry.

Our Values

- Diversity and Inclusiveness
- Leadership
- Innovation and Continuous Improvement
- Stewardship and Sustainability

Our Vision

We are noted for rigorous, integrated, globally infused undergraduate liberal education and distinctive select graduate programs. We are leaders in preparing students for lifelong contributions to society through career, service and personal achievement.

The Power of **AND**

University of Wisconsin
Eau Claire

The University 2020 Strategic Plan

The University Strategic Plan provides a defined pathway forward for the entire University. It lays out a clear vision, identifies a limited number of strategic goals, and a range of strategies in support of them.

FOUNDATION GOAL

Continue our commitment to excellence in our second century:

Our ability to excel in our second century depends on retaining, supporting, recruiting and unleashing the talent of UW-Eau Claire faculty and staff. We will do so by investing in sustainable, institutional compensation and fostering innovation.

ASPIRATIONAL GOALS

Ensure that all students will thrive:

All students will find at UW-Eau Claire a community focused on supporting their learning and success. Students will have many opportunities to connect with individuals inside and outside the classroom and to engage in learning that is rigorous and immersive. They will live what they study through high-impact experiences that prepare them to be active citizens of the world.

Live our commitment to equity, diversity and inclusion:

As a public institution we serve the common good by providing an equitable education for all students. To reach our guidepost goal we will improve the campus climate, eliminate the opportunity gap and increase the diversity of our faculty, staff and students, in service to our mission.

Foster a resilient university:

To fulfill our mission to the citizens of Wisconsin and our region amid a changing environment we will strengthen our university by reallocating our resources to strategic priorities, expanding philanthropic and income-earning opportunities, implementing an enrollment plan, growing community partnerships and improving efficiencies.

The Equity, Diversity and Inclusivity Plan

The Equity, Diversity, and Inclusivity (EDI) Plan is central to both the University strategic plan and the Academic Master Plan and its goals are echoed in both. The EDI plan reflects our unwavering commitment to educational equity and our mission responsibility to serve an increasingly diverse region.

The EDI plan will engage the whole campus community in collaborative work toward our mission commitment of equitable education. This will require meaningful, equitable, anti-racist change across our university.

EDI contributions in annual evaluation, promotion and tenure decisions: We will expect, evaluate and reward EDI contributions among all employees.

Campus-wide professional development: To increase cultural intelligence, improve campus culture and support equitable education, faculty, staff and students will engage in professional development.

Retention and recruitment of faculty and staff of color: Through post-doc/ dissertation fellows programs, grow-our-

own initiatives, and improved personnel practices we will strengthen our ability to keep and attract a more diverse campus community.

Engage all departments and units in reaching our Guidepost Goal: All units, but especially those that directly impact student life, will determine how they can best contribute to our EDI goals.

Improve communication: Enhance and support leadership of EDI efforts and amplify cross-campus retention and recruitment practices.

UW-Green Bay Supporting Evidence

**University of Wisconsin College Restructuring Project
HLC Change Request
UW Green Bay Response**

**Clifton Ganyard
Associate Provost, Project Team Leader, Accreditation Liaison Officer**

22 December 2017

DOCUMENTATION

PART B: TRANSACTIONAL DOCUMENTS

Item 2: Governance Documents:

- 1. Academic integrity:**
 - a. Academic Program Review Policy and Procedures
 - b. University Assessment Plan

Procedures
for
Academic Program Review
and
Student Learning Outcomes Assessment
University of Wisconsin–Green Bay
2017-2018

Approved:



Gregory Davis, Provost and Vice Chancellor

19 MAY 17
Date

April 4, 2013

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Mandate, Goals, and Intended Results of the Academic Program Review and Student Learning Outcomes Assessment

Mandate

The UW System Board of Regents mandates periodic and regular review of all academic programs. The Provost and Vice Chancellor for Academic Affairs oversees the program review process, delegating the responsibility for implementation to the Associate Provost for Academic Affairs and the deans of the Colleges. Policy guidance on program reviews and procedures comes from the faculty through the Academic Affairs Council and University Committee. These procedures reflect recommendations from those bodies as well as from the deans.

Goals

The goal of an Academic Program Review and Student Outcomes Assessment is to provide an opportunity for programs at the University of Wisconsin-Green Bay to assess their role within the University with respect to the campus mission; to examine their place within the strategic plan; to address program quality, institutional impact, and viability; to address the results of student outcomes assessment; and to stimulate planning and improvement.

Results

The centerpiece of the Academic Program Review and Student Outcomes Assessment is a Self-Study Report conducted by the program's faculty under the supervision of the chair of the program's Executive Committee and the appropriate dean. The purpose of the Self-Study is to provide an opportunity for faculty to thoughtfully and thoroughly review their program with particular emphasis on:

- a. how the program contributes and relates to the University's mission;
- b. the actions the program faculty took in response to the results and recommendations from the last review;
- c. the program's student successes, major accomplishments, and faculty/staff professional development efforts;
- d. an analysis of both survey and institutional enrollment data and the conclusions drawn from the analysis and the actions that were taken as a result;
- e. the program's processes for assessing student learning outcomes and use of the assessment results; and
- f. your program's plan for future development including the program's major goals for the next seven-year period.

Academic Program Reviews and Student Learning Outcomes Assessments are conducted on a seven-year cycle and include the preparation of the Self-Study Report as well as focused responses from the Academic Affairs Council, Deans, and Provost and Vice Chancellor for Academic Affairs (or designee). At the conclusion of each program review the Self-Study Report and all focused responses are posted on the Secretary of the Faculty and Academic Staff website. The reporting of ongoing Student Learning Outcomes Assessment is a central part of the Self-Study Report as are the implementation of the recommendations that come from this process.

In addition to this review process, the deans and program chairs will work together to submit Annual Updates on student learning outcomes to the University Assessment Council's Academic Program Assessment Subcommittee (APAS). UW-Green Bay is also required to annually submit a summary of program review results to the UW System Office of Academic and Student Affairs.

The Review Procedure

The Academic Program Review and Student Learning Outcomes Assessment procedure includes the following steps:

1. The deans of the Colleges have overall responsibility for Academic Program Reviews and Student Learning Outcomes Assessments for programs within their Colleges. Each spring, the Associate Provost for Academic Affairs in consultation with the deans confirms the program review schedule for the upcoming year. When possible and appropriate, a program review will be scheduled to take advantage of a recent accreditation review to reduce redundancy.
2. The deans discuss the program review process and deadline for preparing the Self-Study Report with the chairs of programs scheduled for review during the upcoming year.
3. The program faculty, led by the chair, completes the Self-Study Report and submits it to the appropriate dean.
4. The dean reviews the Self-Study Report for completeness and clarity and may meet with the program chair and faculty or request additional information. The primary purpose at this stage of the review is to provide an opportunity for a constructive dialog between the dean and program faculty members. If the report is satisfactory, the dean forwards the Self-Study Report and attachments to the Academic Affairs Council (AAC) or Graduate Studies Council (GSC) for its review. A copy of the Self-Study Report and attachments are also sent to the Associate Provost for Academic Affairs.
5. The Academic Affairs Council or Graduate Studies Council conducts a review based primarily on the Self-Study Report. Council members may also request additional information from the program chair and interview program faculty. The main focus of the AAC or GSC review and discussion should be on program quality and the extent to which there is evidence that the program is accomplishing its mission. Using this information, the Council prepares a written report (See Appendix D for the required format of this report.), including comments on the overall quality and strengths of the program, areas in need of attention, and the viability of the program's future plans. A copy of the report is sent to the program chair, dean, Associate Provost for Academic Affairs, and to the Faculty Senate.
6. The program chair has the option of preparing and sending the dean and the Faculty Senate a response to the AAC or GSC report.
7. The dean prepares a summary response including recommended actions based on the Self-Study Report, attachments, the Academic Affairs Council or Graduate Studies Council report, and program response (if applicable). This summary memorandum is sent to the Provost and Vice Chancellor for Academic Affairs, Associate Provost for Academic Affairs, Chair of the Academic Affairs Council, and program chair.

8. Based on the contents of the Self-Study Report and responses to it, the Provost and Vice Chancellor for Academic Affairs (or designee) prepares a concluding evaluative statement regarding the program's quality, a recommendation regarding continuation of the program and recommendations for future program improvement. A copy of this concluding statement should be sent to the Associate Provost for Academic Affairs.
9. The review process concludes with the Associate Provost for Academic Affairs sending the Self-Study Report and responses from the dean, Academic Affairs Council or Graduate Studies Council, program chair, and Provost and Vice Chancellor for Academic Affairs to the Secretary of the Faculty and Academic Staff for posting on the SOFAS website.
10. Academic Program Reviews and Student Learning Outcomes Assessments are on a seven-year cycle. Each year, between the program Self-Study Review and the related development of recommendations, deans will meet with programs chairs to gauge progress in meeting the goals set out by the recommendations and to ensure the assessment of program student learning outcomes on a yearly basis. (See Appendix B's Cycle for Academic Program Review and Student Learning Outcomes Assessment Schedule.)
11. Annually each program chair will submit an update on assessment and in year four of the cycle will submit a status report. The program chair submits the updates and status report to the Dean who then forwards the update or status report to the Associate Provost for Academic Affairs for review by the University Assessment Council. (For more information, refer to the University Assessment Plan.)

 A flowchart of the Academic Program Review Process can be found in Appendix A.

Self-Study Report Instructions

The Self-Study Report is a program's official record of the results of its review. The program chair is responsible for the preparation of the Self-Study Report, but the process of creating it must involve all program faculty. Program faculty must officially approve the final version of the Self-Study Report before it is forwarded to the Dean for action. The required format for the report is described below. Each Self-Study Report must be a maximum of fifteen pages in length and provide an examination and an analysis of the educational quality of the program. It is not simply a description of the program's current state of affairs. An analysis of student outcomes assessment is vital to the Self-Study Report. The required organizational structure for the Self-Study Report is as follows:

I. Cover Sheet

Name of Program: _____

Name of Program Chair: _____

Date of Last Program Review: _____

Date the Current Self-Study Report approved by Program Executive Committee: _____

II. Prepare a narrative that includes the following seven sections.

Section A. Mission Statement and Program Description

State your program's mission, describe its requirements and explain how they relate to UW-Green Bay's select mission and the institution's overall strategic plan. Note any changes that have been made to your program mission and requirements since the last review. Then provide a description of your program's curricular strengths and areas in need of improvement.

Section B. Student Learning Outcomes Assessment

Describe the program's intended student learning outcomes and the methods used to assess them. Analyze the assessment results and describe the conclusions drawn from that analysis. Finally, describe what specific actions were taken as a result of the assessment of student outcomes learning.

Section C. Program Accomplishments and Student Success

Describe your program's major accomplishments and student successes since the last Academic Program Review (e.g., internship program; enrollment increases; student achievements, awards, publications, and presentations; faculty scholarly activity, graduate school admission, diversification of students and faculty; program and faculty awards). Also describe faculty and staff professional development activities and how they impacted your program.

Section D. Program Enrollment Trends and Analysis

Provide an analysis of the data (both survey and institutional enrollment data) provided by the Office of Institutional Research and Assessment. Pay close attention to the demographic information. What trends are present? Are there any imbalances in terms of gender, race, or ethnicity? Describe what specific actions, if any, were taken or are intended to be taken based on the conclusions drawn from the analysis.

Section E. Program's Vision for Future Development

Describe your program's plan for future development including the program's major goals for the next seven-year period. These goals should be established with the understanding that they will be used to guide program planning and development and serve as a framework for your program's next Self-Study Report.

Section F. Summary and Concluding Statement

Respond specifically to the results and recommendations from the last review and end your report with a general concluding statement.

Section G. Required Attachments

Four attachments (and only these four) should be included with the Self-Study Report:

1. A series of tables, prepared by the Office of Institutional Research and Assessment. A list of these tables is included in Appendix C.
2. The program's current official description and requirements as published in the most recent Undergraduate Catalog;
3. The Academic Affairs Council and Dean's conclusions and recommendations from the program's last review; and
4. The program's Assessment Plan and Annual Updates on Student Outcomes Assessment (see the descriptions below). These processes will be coordinated by the University Assessment Council, the UAC's Academic Program Assessment Subcommittee and are described in the University Assessment Plan.

Student Learning Outcomes Assessment in Undergraduate and Graduate Programs

Each academic program will have an approved **Program Assessment Plan** as part of the seven-year program review cycle. Each program will also submit an **Annual Update** on assessment.

Each **Program Assessment Plan** includes:

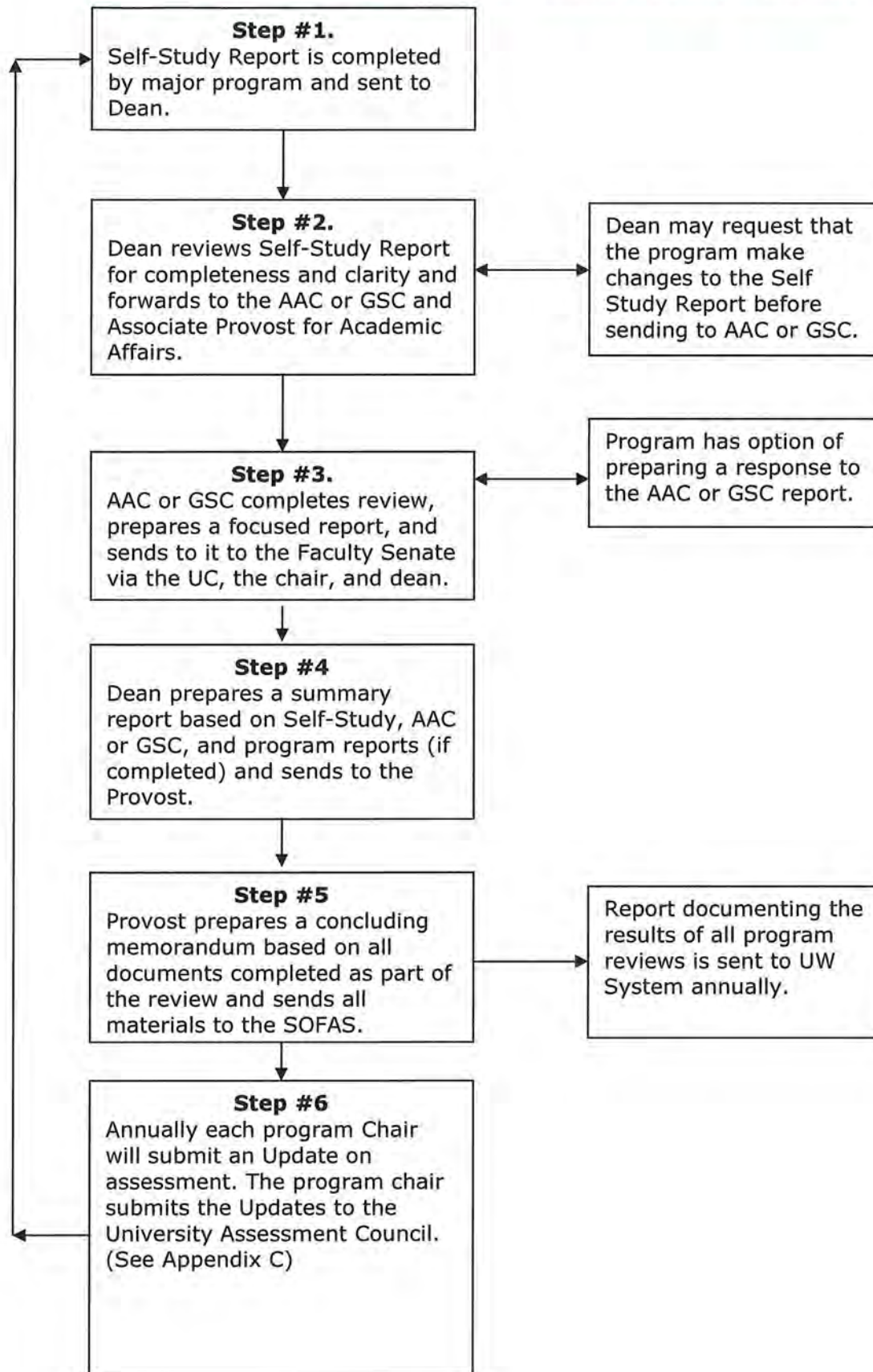
- the identification of student learning outcomes;
- the mapping of those student learning outcomes on the program's curriculum;
- an explanation of the direct and indirect methods used to assess the student learning outcomes;
- a timeline for the implementation of the methods; and
- the identification of those responsible for coordinating data collection.

Each **Annual Update** includes:

- the student learning outcomes measured by assessment activities;
- the findings from assessment activities conducted during the current year;
- any actions taken on these findings; and
- any plans for changes and follow-up.

Undergraduate and graduate programs will upload copies of their Program Assessment Plans and Annual Updates to the University Assessment website, where they will be accessed by the deans and the University Assessment Council (UAC). The Academic Program Assessment Subcommittee (APAS) of the UAC will review the plans and updates and, if necessary, will forward recommendations to the dean regarding any changes in the program's reported set of assessment activities to ensure that sufficient evidence of student learning outcomes is included.

Appendix A
Flow Chart of Academic Program Review and Student Outcomes Assessment Process



Attachment B
Academic Program Review and Student Learning Assessment Outcomes Schedule
Seven-Year Cycle 2012-2020

Revised 18 May 2017
Clifton Ganyard
Associate Provost for Academic Affairs

2012-13 Academic Year

Communication	October 1, 2012
Information Sciences	October 1, 2012
Interdisciplinary Studies (BA and BAS)**	October 1, 2012
First Nations Studies**	Nov 1, 2012
Computer Science	Dec 1, 2012
Humanistic Studies	February 1, 2013
Social Work (BSW)	March 1, 2013
**UW System Joint Review	

2013-14 Academic Year

Arts Management**	October 1, 2013
Design Arts**	Nov 1, 2013
History	Dec 1, 2013
Human Development	February 1, 2014
Theatre	March 1, 2014
Urban and Regional Studies	April 1, 2014
**UW System Joint Review	

2014-15 Academic Year

Chemistry	October 1, 2014
Geoscience	Nov 1, 2014
Environmental Science and Policy (Grad)	Dec 1, 2014
Public Administration /Environmental Policy and Planning	February 1, 2015
Human Biology	March 1, 2015

2015-16 Academic Year

Biology	October 1, 2015
Economics	Nov 1, 2015
Psychology	Dec 1, 2015
Nursing	February 1, 2016
Philosophy	March 1, 2016
Democracy and Justice Studies	April 1, 2016

2016-17 Academic Year

Education	Nov 1, 2016
Modern Lang (German, French, Spanish)	Dec 1, 2016
Music	February 1, 2017
Political Science	March 1, 2017
Applied Leadership (Graduate)	April 1, 2017

2017-18 Academic Year

English	October 1, 2017
Sustainable Management (Grad)**	Nov 1, 2017
Mathematics	Nov 1, 2017
Environmental Science	Dec 1, 2017
Information Sciences	February 1, 2018
HIMT**	March 1, 2018

** UW System Joint Review

2018-19 Academic Year

Accounting/Business Administration	October 1, 2018
Nursing (MSN)(Grad)	Nov 1, 2018
Art	Dec 1, 2018
Management (Grad)	February 1, 2019
Communication	March 1, 2019
Social Work (BSW)	April 1, 2019
Social Work (MSW) (Grad)	April 1, 2019

2019-20 Academic Year

Interdisciplinary Studies (BA an BAS)	October 1, 2019
First Nations Studies	Nov 1, 2019
Computer Science	Dec 1, 2019
Humanistic Studies	February 1, 2020

Appendix C

Data Tables to Support Program Review

- A. Graduating Senior Survey Tables including employment data
- B. Alumni Survey Data Tables including employment data
- C. Student Tables
 - 1. Declared Majors and Minors for Past Seven Falls
 - 2. Profile of Declared Majors (most recent fall)
 - ☐ Profile includes gender, ethnicity, age, geographic origins, year in school and full-time, part-time attendance status
 - 3. Majors and Minors Graduated for Past Seven Years
 - 4. Profile of Graduated Majors (most recent year)
 - ☐ Profile includes gender, ethnicity, age, honors, mean credits earned at UW-Green Bay, mean GPA at graduation
 - 5. Student Qualifications of Declared Majors (most recent fall)
 - ☐ Qualifications include original status (freshman or transfer), prior college GPA, mean transfer credits, mean high school GPA, mean high school percentile rank, mean ACT composite, reading, English and mathematics scores
- D. Teaching Tables
 - 1. Headcounts by Level and Course Type for Past Seven Years
 - 2. Student Credit Hours by Level and Course Type for Past Seven Years
 - 3. Sections by Level and Course Type for Past Seven Years
 - 4. Average Section Sizes by Level for Group Sections for Past Seven Years
 - 5. Total Unduplicated Group Courses Offered in Past Four Years
 - 6. Student Credit Hours in General Education Courses for Past Seven Years
 - ☐ As percent of all enrollments in group sections
- E. Faculty Tables*
 - 1. Full-Time Faculty by Rank
 - ☐ Headcount, FTE, student credit hours per FTE
 - 2. Student Credit Hours (SCH) per FTE

*The information in these tables is based on all faculty in a program's budgetary unit.

Appendix D Academic Affairs Council or Graduate Studies Council Response Format

I. Introduction

Prepare an introductory statement that sets the context for the review.

II. Assessment of Student Learning

Evaluate the processes used by the program to assess the program's intended student learning outcomes. Specifically address the extent to which the program used the assessment results to improve program quality.

III. Program Accomplishments

Describe what the AAC or GSC considers to be the program's most significant accomplishments over the past seven years, especially in regards to student success. Evaluate the efforts that have been made by the program's faculty to improve the curriculum and the program.

IV. Program Strengths and Areas in Need of Attention

Describe the program's major strengths. Summarize the major issues that the program needs to address during the next seven-year period to maintain and improve program quality and to create student success. Indicate if the program Chair should report back to the AAC before the next scheduled review on any issue.

V. Conclusions and Recommendations

Provide specific conclusions and recommendations including a statements that address overall program quality, institutional impact, and the viability of the program's long-term plans.

Appendix E

Core and Select Missions of the University of Wisconsin-Green Bay

The mission statement which follows describes the general purposes and character of the University of Wisconsin-Green Bay.

The statement is presented in three sections:

Section I: The Select Mission

Purposes particular to the University of Wisconsin-Green Bay are stated in this section.

Section II: The Core Mission

As an Institution in the University Cluster of the System, UW-Green Bay shares in the purposes of this Cluster.

Section III: The System Mission

As an Institution of the University of Wisconsin System, UW-Green Bay shares in the purpose of the entire System.

When approved by the Board of Regents, this select mission statement became the foundation planning document for the University of Wisconsin-Green Bay. However, the select mission statement does not in and of itself provide any particular program entitlement not specifically authorized on its own merits by the Regents.

The select mission statement should be regarded as a living document subject to change. When it is clear that modification in the select mission statement would support more effective service, a recommendation for such change can be brought forward for consideration and action by the Board of Regents.

I. The Select Mission

The University of Wisconsin-Green Bay provides an interdisciplinary, problem-focused educational experience that prepares students to think critically and address complex issues in a multicultural and evolving world. The University enriches the quality of life for students and the community by embracing the educational value of diversity, promoting environmental sustainability, encouraging engaged citizenship, and serving as an intellectual, cultural and economic resource.

The University offers undergraduate and graduate programs in the liberal arts and sciences and in professional studies that cultivate knowledge and encourage investigations into disciplinary and interdisciplinary fields, promote civic engagement and lifelong learning, and serve the needs of a diverse student body. Programs in the arts and humanities; business, management, and communication; science and technology; education; environment; health science; social and behavioral sciences; and social justice

lead to a range of degrees, including AAS, BA, BAS, BM, BS, BSN, BSW, BBA, MS, MSW, and MSN degrees. (Approved by the UW System Board of Regents, December 2014.)

II. The Core Mission


As an Institution in the University Cluster of the University of Wisconsin System, the University of Wisconsin-Green Bay shares the following core mission with other institutions of the Cluster:

- a. Offer associate and baccalaureate degree level and selected graduate programs within the context of its approved select mission.
- b. Offer an environment that emphasizes teaching excellence and meets the educational and personal needs of students through effective teaching, academic advising, counseling, and through university-sponsored cultural, recreational, and extracurricular programs.
- c. Offer a core of liberal studies that support university degrees in the arts, letters, and sciences, as well as for specialized professional/technical degrees at the associate and baccalaureate level.
- d. Offer a program of pre-professional curricular offerings consistent with the university's mission.
- e. Expect scholarly activity, including research, scholarship and creative endeavor that supports its programs at the associate and baccalaureate degree level, its selected graduate programs, and its approved mission statement.
- f. Promote the integration of the extension function, assist University of Wisconsin-Extension in meeting its responsibility for statewide coordination, and encourage faculty and staff participation in outreach activity.
- g. Participate in inter-institutional relationships in order to maximize educational opportunity for the people of the state effectively and efficiently through the sharing of resources.
- h. Serve the needs of women, minority, disadvantaged, disabled, and nontraditional students and seek racial and ethnic diversification of the student body and the professional faculty and staff.
- i. Support activities designed to promote the economic development of the state.

III. The System Mission

The University of Wisconsin-Green Bay shares in the mission of the University of Wisconsin System.

The mission of this System is to develop human resources, to discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of its campuses, and to serve and stimulate society by developing in students heightened intellectual, cultural, and humane sensitivities; scientific, professional, and technological expertise; and a sense of value and purpose. Inherent in this mission are methods of instruction, research, extended education, and public service designed to educate people and improve the human condition. Basic to every purpose of the System is the search for truth.

 See <http://www.uwgb.edu/univcomm/about-campus/mission.htm>



ASSESSMENT AT UW-GREEN BAY

University Assessment Plan

- [Overview](#)
- [Assessment Process](#)
- [Coordination in Assessing Student Learning](#)

Overview

The select mission of the University of Wisconsin-Green Bay is to "provide an interdisciplinary, problem-focused educational experience that prepares students to think critically and address complex issues in a multicultural and evolving world. The University enriches the quality of life for students and the community by embracing the educational value of diversity, promoting environmental sustainability, encouraging engaged citizenship, and serving as an intellectual, cultural and economic resource" (approved by the UW System Board of Regents, September 2007). In order to ensure that the educational experiences, programs and learning environment provided to students at the University of Wisconsin-Green Bay are aligned with the institution's select mission, as well as with the UW System mission and the core mission of the University Cluster of the University of Wisconsin System (found in Appendices A and B), the University Plan for the Continuous Assessment of Student Learning was developed. The following principles of assessment guided the development of the plan:

- Meaningful assessment recognizes the developmental nature of student learning, and thus involves the use of multiple measures conducted at significant time points during a student's academic career, in order to ensure the progressive acquisition of the knowledge and skills expected of a UW-Green Bay graduate.
- Campus-wide coordination of university assessment efforts is essential for ensuring that all students, regardless of academic program, have acquired a set of minimum competencies (e.g., in writing and information literacy) upon completion of their degree.
- Program-specific assessment of student learning is vital for ensuring that students acquire the knowledge, skills, values, attitudes and habits of mind that faculty intend to cultivate within their discipline(s).
- Assessment is most effective at improving programs when those programs have clear, measurable goals that are in line with the institution's mission and with faculty's intentions for their program.
- Effective assessment is ongoing and conducted with an eye toward continuous improvement, as the institution regularly monitors progress toward intended goals and refines approaches when warranted.
- Student learning is a campus-wide responsibility, and thus meaningful assessment involves the collaboration of individuals representing multiple facets of the educational community, including (but not limited to) the faculty, librarians, and staff within Student Life.
- Assessment works best when it addresses questions that are meaningful specifically to our institution.

With these guiding principles in mind, the University Plan for the Continuous Assessment of Student Learning will focus assessment efforts on **four specific areas within the educational community** at the University of Wisconsin – Green Bay. These areas include:

1. **Academic Programs.** Assessment of program-specific student learning outcomes – with an eye toward continual curricular improvement - will be conducted as part of each undergraduate and graduate program's seven year review cycle.
2. **General Education.** Systematic inquiry into student learning will take place within the context of the general education curriculum, in order to ensure that this common educational experience continues to effectively address our institution's select mission.
3. **Co-curricular Programs and Resources.** Regular assessment of academic- and student-support services will take place in order to identify the most effective approaches to supporting student learning on our campus.
4. **Innovations in Teaching and Learning.** UW-Green Bay has a history and national reputation for innovative pedagogical approaches, and thus it is fitting that our institution's assessment plan documents the impact of these unique innovations on students' educational experience.

Assessment Process

Assessment practices for all four areas within the educational community at UW – Green Bay (*Academic Programs, General Education, Co-curricular Programs and Resources, and Innovations in Teaching and Learning*) are based on a five component assessment cycle that has the continuous goal of improving measurable outcomes. These components of the assessment cycle include:

- *identifying outcomes*
- *establishing methodologies to assess the achievement of outcomes*
- *gathering and analyzing the evidence with the methodologies*

- *sharing the results of the analysis, and*
- *making evidence-based improvements as needed.*

All components of the assessment cycle should be reflected in the Assessment Plans for each area of the university. Improvements may not be needed if evidence confirms that outcomes have been achieved.

AREA 1: Academic Programs

Overview

Faculty in the programs are the most qualified to determine what the learning outcomes for students in their programs should be, and therefore are the most qualified to determine how to assess if those outcomes are being met.

Each academic program is required to have an approved Assessment Plan as part of the seven-year program review. Annually each program will submit an Update on assessment and in year four of the cycle they are required to submit a Status Report.

Each Assessment Plan includes:

- the identification of student learning outcomes;
- an explanation of the direct and indirect methods used to assess the outcomes;
- a timeline for the implementation of the methods;
- the identification of those responsible for coordinating data collection

Each Annual Update includes:

- findings from assessment activities conducted during the current year
- outcomes assessed by assessment activities
- actions taken on findings
- plans for changes and follow-up

Each Status Report includes:

- a description of the findings from assessment data;
- the conclusions drawn from the findings (e.g., does the evidence support students' attainment of the outcomes, or does it indicate the need for change to improve outcomes?);
- plans for changes to improve outcomes, if needed;
- the identifications of gaps in data, if appropriate

Guidelines for Assessing Academic Programs

Undergraduate and graduate programs are required to submit a copy of their Assessment Plans, Annual Updates, and Status Reports to the University Assessment Council (UAC) through the appropriate college dean according to the schedule provided below. The UAC will review the report and, if necessary, make recommendations for changes in the program's reported set of assessment activities to ensure that sufficient evidence of student outcomes are included. The program may consult with the Council and revise the schedule of activities, as needed.

A program's Assessment Plan should have the following components:

1. **Student Learning Outcomes.** A list of specific student learning outcomes unique to each program. *What do you expect all students to know or be able to do?*
2. **Relationship to Mission.** Indicate how the program's student learning outcomes relate to UW-Green Bay's Mission Level Learning Outcomes (MLLO).
3. **Methods.** Describe all of the methods used to assess the identified student learning outcomes. This should include an explanation of how evidence/information/data are gathered, including systematic methods for gathering quantitative and/or qualitative data as well as anecdotal information. Clearly indicate which outcome or outcomes each method addresses. All outcomes should be assessed by at least one direct method.
4. **Evidence.** The information/data gathered through the program's assessment activities that show the extent to which learning outcomes are being met. Please report data by outcome.
5. **Use of Results.** A description of how the evidence that has been gathered is used systematically to make a determination that the students are achieving the learning outcomes at an appropriate level and/or to make programmatic improvements.
6. **Further Information Needed.** An analysis of results to uncover gaps in current information/data or problematic findings that indicate a need for further study.
7. **Timeline.** A timeline for collection additional information.

Coordinated Cycle for Program Review and Program Assessment

Timeline	Activities
Year 1 (following program review)	Continue to implement assessment program and review the information/data from assessment activities. Make evidence-based decisions concerning students' attainment of the learning outcomes. Submit Annual Assessment Update to University Assessment Council.

Year 2 (five years prior to program review)	Continue to gather evidence on how students are attaining learning outcomes and conduct a thorough review of each assessment program using the <i>Assessment Program Evaluation Rubric</i> as a guide. Modify assessment program if needed. Begin drafting Status Report to UAP. Submit Annual Assessment Update to University Assessment Council.
Year 3 (four years prior to program review)	Continue to gather evidence on students' attainment of learning outcomes, and review the information/data from assessment activities. Make evidence-based decisions concerning student's attainment of the learning outcomes. Submit Annual Assessment Update to University Assessment Council.
Year 4 (three years prior to program review)	Status Report. Submit current Assessment Plan and Status Report on the finding from assessment activities and how the results from assessment activities were used for decision making. The UAC will provide feedback to the program. Submit Status Report to University Assessment Council.
Year 5 (two years prior to program review)	Continue to gather evidence on how it is meeting its objectives and to make comparisons of the findings from the evidence collected since the program review. Make evidence-based decisions concerning students' attainment of the learning outcomes. Submit Annual Assessment Update to University Assessment Council.
Year 6 (one year prior to program review)	Begin preparation of program review documents, including the programs complete Assessment Plan and any changes to the program student learning outcomes. Submit Annual Assessment Update to University Assessment Council.
Year 7 (program review completed)	Program Review submitted to Academic Dean. The program review includes a self-study report, complete Assessment Plan, and supporting data and documentation. (See the Program Review Procedures for full details.) Submit Program Assessment Plan to University Assessment Council.

AREA 2: GENERAL EDUCATION

Overview

Regular, continued assessment of learning student outcomes within the General Education Program ensures that all UW-Green Bay students achieve the following three overarching degree level competencies (in addition to discipline-specific, content-based competencies) upon graduation:

- the ability to communicate effectively through listening, speaking, reading, writing, and the use of computers;
- the ability to think critically; and
- the ability to exercise problem-solving skills – such as problem identification and analysis, and solution formulation, implementation, and assessment – using an integrated interdisciplinary focus.

The General Education Council is responsible “for curriculum development and regular course review” within UW-Green Bay’s General Education Program (UW-Green Bay Faculty Handbook, 54.03C). Thus, the General Education Council will coordinate the assessment of General Education according to a seven year cycle (outlined below), which includes Annual Updates, a Status Report (during year 4 of the cycle), and an Assessment Plan Report (during year 7) to be reviewed by the Dean of Liberal Arts and Sciences and the University Assessment Council.

Each Annual Update on General Education includes:

- findings from assessment activities conducted during the current year;
- outcomes assessed by assessment activities;
- actions taken on findings; and
- plans for changes and follow-up.

Each Status Report (submitted during year 4) on General Education includes:

- a description of the findings from assessment data;
- the conclusions drawn from the findings (e.g., does the evidence support students' attainment of the outcomes, or does it indicate the need for change to improve outcomes?);
- plans for changes to improve outcomes, if needed; and
- the identifications of gaps in data, if appropriate.

Guidelines for Assessing General Education

The General Education Council is to submit a copy of their Assessment Plans, Annual Updates, and Status Reports to the University Assessment Council (UAC) through the Dean of Liberal Arts and Sciences according to the schedule provided below. The UAC will review the report and, if necessary, make recommendations for changes in the General Education Program's reported set of assessment activities to ensure that sufficient evidence of student outcomes are included. The General Education Council may consult with the Council and revise the schedule of activities, as needed.

The General Education Assessment Plan should have the following components:

1. **Student Learning Outcomes.** A list of the current General Education student learning outcomes (both content- and skills-based outcomes). *What do we expect all students to know or be able to do by the time they receive their degree from UW-Green Bay?*
2. **Relationship to Mission.** Indicate how General Education's student learning outcomes relate to UW-Green Bay's Mission Level Learning Outcomes (MLLO).
3. **Methods.** Describe all of the methods used to assess the identified student learning outcomes. This should include an explanation of how evidence/information/data are gathered, including systematic methods for gathering quantitative and/or qualitative data as well as anecdotal information. Clearly indicate which outcome or outcomes each method addresses. All outcomes should be assessed by at least one direct method.
4. **Evidence.** The information/data gathered through General Education's assessment activities that show the extent to which learning outcomes are being met. Please report data by outcome.
5. **Use of Results.** A description of how the evidence that has been gathered is used systematically to make a determination that the students are achieving the learning outcomes at an appropriate level and/or to make General Education improvements.
6. **Further Information Needed.** An analysis of results to uncover gaps in current information/data or problematic findings that indicate a need for further study.
7. **Timeline.** A timeline for collection additional information.

REVIEW SCHEDULE FOR GENERAL EDUCATION

Timeline	Activities
Year 1 (six years prior to Assessment Plan Report)	The General Education Council will begin cycle by reviewing its student learning outcomes and determining the appropriate methods to document success in meeting objectives. The Council should begin or continue to collect longitudinal evidence to demonstrate that objectives are being met. Submit Annual Assessment Update to the Dean of LAS and the UAC
Year 2 and 3 (five and four years prior to Assessment Plan Report)	GEC will continue to gather evidence of outcomes and refine assessment activities to insure that all outcomes are supported by evidence. Submit Annual Assessment Update to the Dean of LAS and the UAC
Year 4 (one year prior to Assessment Plan Report)	During this year the GEC will provide an Update report on its seven-year cycle of assessment activities. This Update will include where the GEC stands on its assessment timeline, a Status Report of the data gathered and improvements made to date, and further information needed to be obtained before full plan is due in year seven. Status Report on Assessment Plan to the Dean of LAS and the UAC
Year 5 and 6 (two and one year prior to Assessment Plan Report)	The GEC will continue to gather evidence of outcomes and refine assessment activities to insure that all outcomes are supported by evidence. Submit Annual Assessment Update to Dean of LAS and the UAC
Year 7 (Assessment Plan Report)	During this year the GEC will provide complete its Assessment Plan Report, including a program history, mission / goals / objectives, methods used, evidence from analysis of findings, use of results, and further information needed. Submit complete Assessment Plan Report to the Dean of LAS and the UAC

AREA 3: Co-Curricular Programs and resources

Overview

For assessment in the academic- and student-support divisions, the focus is at the department level, where the staff determines the outcomes for the services they provide, develops the programmatic initiatives for the services they provide, and develops the programmatic initiatives in their units.

Each Assessment Plan includes:

- the identification of objectives/outcomes;
- an explanation of the direct and indirect methods used to evaluate the achievement of the outcomes;
- a description of which methods are used to assess each of the outcomes;
- a timeline for the implementation of the methods;
- the identification of the individual(s) responsible for coordinating data collection

Each Status Report includes:

- a description of findings from assessment data;
- the conclusions drawn from the findings indicating that the evidence supports attainment of the outcome(s) or the need for changes to improve outcomes;
- plans for changes to improve outcomes, if needed;
- the identification of gaps in data, if appropriate.

Guidelines for Assessing Co-Curricular Programs and Resources

Divisions that provide academic- and student-support services are central to student success in the university and play a crucial part in the delivery of academic programs. Therefore, it is important that these units and departments also engage in the assessment process to demonstrate the quality of services; to identify ways to improve services; and to record improvements. The evidence that is compiled through assessment will assist the university in demonstrating accountability to its internal and external audiences.

Divisions that provide academic- and student- support services are required to submit a copy of their Assessment Plans, Annual Updates, and Status Reports to the University Assessment Council (UAC) through their appropriate Division Leader according to the schedule provided below. The UAC will review the report and, if necessary, make recommendations for changes in the divisions reported set of assessment activities to insure that sufficient evidence of outcomes is included.

A division's Assessment Plan should have the following components:

1. **History.** A brief history of the unit/department which provides a solid contextual background in which to understand the mission of the unit and the information in the assessment report.
2. **Mission, Goals, and Objectives.** A stated mission which is logically linked to the goals and objectives (stated as outcomes) unique to each unit/department. Some outcomes will be student learning outcomes while others will be related to program effectiveness. Objectives should include stated targets for performance.
3. **Methods.** Describe all of the methods used to gather evidence used in determining if the outcomes are being met, including systematic methods for gathering quantitative and/or qualitative data as well as anecdotal information, with a clear indication of which outcome or outcomes each method addresses.
4. **Evidence.** The information gathered through the unit/department's assessment activities that show the extent to which outcomes are being met and indicate which data address which objective.
5. **Use of Results.** Describe how the evidence that has been gathered is used systematically to make programmatic improvements and how the results could answer questions about how the unit/department relates to the institutional mission.
6. **Further Information Needed and Timeline.** An analysis of results to uncover gaps in current information or problematic findings that indicate a need for further assessment. A timeline for collecting additional information is presented.

REVIEW SCHEDULE FOR CO-CURRICULAR PROGRAMS AND RESOURCES

Divisions that provide academic- and student-support services are required to complete a full Assessment Plan every seven (7) years, with a Status Report being due in year four (4) of the cycle.

Divisions may find it is more beneficial to write Assessment Plans and reports by department. Departmental Assessment Plans and reports are acceptable to the UAC, so long as these reports follow the same procedures as outlined below. If completing departmental level plans, a division may also work with the UAC to create a staggered timeline, keeping from having all departments due in the same year.

Timeline	Activities
Year 1 (six years prior to Assessment Plan Report)	Divisions will begin cycle by reviewing its assessment programs for clarity of program objectives and appropriate methods to document success in meeting objectives. The division should begin or continue to collect longitudinal evidence to demonstrate that objectives are being met. Submit Annual Assessment Update to University Assessment Council.
Year 2 and 3 (five and four years prior to Assessment Plan Report)	Division will continue to gather evidence of outcomes and refine assessment activities to insure that all department or unit objectives are supported by evidence. Submit Annual Assessment Update to University Assessment Council.
	During this year the division will provide an Update report on its seven-year cycle of assessment activities. This Update will include where the division stands on its assessment

Year 4 (one years prior to Assessment Plan Report)	<p>timeline, a Status Report of the data gathered and improvements made to date, and further information needed to be obtained before full plan is due in year seven.</p> <p>Status Report to UAC on Assessment Plan</p>
Year 5 and 6 (two and one years prior to Assessment Plan Report)	<p>Division will continue to gather evidence of outcomes and refine assessment activities to insure that all department or unit objectives are supported by evidence.</p> <p>Submit Annual Assessment Update to University Assessment Council.</p>
Year 7 (Assessment Plan Report)	<p>During this year the unit or department will provide complete Assessment Plan Report, including a program history, mission / goals / objectives, methods used, evidence from analysis of findings, use of results, and further information needed.</p> <p>Submit complete Assessment Plan Report to UAC</p>

Area 4: Innovations in teaching and learning

Overview

Since its inception, the University of Wisconsin – Green Bay has had a culture that fosters innovative approaches to teaching and learning, in large part due to the unique principles upon which the university was founded (interdisciplinarity; problem-focused education). This culture has produced a rich learning environment for students, cultivated by faculty who are recognized internationally for their expertise in the scholarship of teaching and learning.

In order to recognize the significant, positive impact of these teaching innovations on student learning – as well as to ensure continuation of those efforts that perpetuate a culture of innovation – regular assessment of campus teaching and learning initiatives will be conducted. The Center for the Advancement of Teaching and Learning (CATL), in collaboration with the Instructional Development Council (IDC), will be responsible for conducting regular reviews, which include Annual Updates, a Status Report (during year 4 of the 7 year cycle) and an Assessment Plan Report (during year 7) to be reviewed by the Dean of Liberal Arts and Sciences and the University Assessment Council.

Each Annual Update on Innovations in Teaching and Learning includes:

- findings from assessment activities conducted during the current year;
- outcomes assessed by assessment activities;
- actions taken on findings; and
- plans for changes and follow-up.

Each Status Report (submitted during year 4) on Innovations in Teaching and Learning includes:

- a description of the findings from assessment data;
- the conclusions drawn from the findings (e.g., does the evidence support attainment of the outcomes, or does it indicate the need for change to improve outcomes?);
- plans for changes to improve outcomes, if needed; and
- the identifications of gaps in data, if appropriate.

Guidelines for Assessing Innovations in Teaching and Learning

CATL is to submit a copy of their Assessment Plans, Annual Updates, and Status Reports to the University Assessment Council (UAC) through the Dean of Liberal Arts and Sciences according to the schedule provided below. The UAC will review the report and, if necessary, make recommendations for changes in the reported set of assessment activities to ensure that sufficient evidence of teaching and learning outcomes are included. CATL may consult with the Council and revise the schedule of activities, as needed.

The Innovations in Teaching and Learning Assessment Plan should have the following components:

1. **Teaching and Learning Outcomes.** A list of the intended outcomes for teaching and learning initiatives on our campus.
How do we expect these outcomes to affect the teaching and learning environment for faculty and students at UW-Green Bay?
2. **Relationship to Mission.** Indicate how the outcomes identified for Innovations in Teaching and Learning relate to UW-Green Bay's Mission Level Learning Outcomes (MLLO).
3. **Methods.** Describe all of the methods used to assess the identified outcomes. This should include an explanation of how evidence/information/data are gathered, including systematic methods for gathering quantitative and/or qualitative data as well as anecdotal information. Clearly indicate which outcome or outcomes each method addresses.
4. **Evidence.** The information/data gathered through assessment activities that show the extent to which outcomes for Innovations in Teaching and Learning are being met. Please report data by outcome.
5. **Use of Results.** A description of how the evidence that has been gathered is used to make a determination that CATL- and IDC-sponsored programs are achieving their identified outcomes at an appropriate level and/or to make improvements in teaching and learning initiatives on our campus.
6. **Further Information Needed.** An analysis of results to uncover gaps in current information/data or problematic findings that indicate a need for further study.

7. **Timeline.** A timeline for collection of additional information.

REVIEW SCHEDULE FOR INNOVATIONS IN TEACHING AND LEARNING

CATL is required to complete a full Assessment Plan every seven (7) years, with a Status Report being due in year four (4) of the cycle.

Timeline	Activities
Year 1 (six years prior to Assessment Plan Report)	CATL and IDC will begin the cycle by reviewing its assessment programs for clarity of program objectives and appropriate methods to document success in meeting objectives. Begin or continue to collect longitudinal evidence to demonstrate that objectives are being met. Submit Annual Assessment Update to University Assessment Council.
Year 2 and 3 (five and four years prior to Assessment Plan Report)	CATL and IDC will continue to gather evidence of outcomes and refine assessment activities to insure that all objectives are supported by evidence. Submit Annual Assessment Update to University Assessment Council.
Year 4 (one years prior to Assessment Plan Report)	During this year CATL will provide an Update report on its seven-year cycle of assessment activities. This Update will include where CATL stands on its assessment timeline, a Status Report of the data gathered and improvements made to date, and further information needed to be obtained before full plan is due in year seven. Status Report to UAC on Assessment Plan
Year 5 and 6 (two and one years prior to Assessment Plan Report)	CATL and IDC will continue to gather evidence of outcomes and refine assessment activities to insure that all objectives are supported by evidence. Submit Annual Assessment Update to University Assessment Council.
Year 7 (Assessment Plan Report)	During this year CATL and the IDC will provide complete Assessment Plan Report, including a program history, mission / goals / objectives, methods used, evidence from analysis of findings, use of results, and further information needed. Submit complete Assessment Plan Report to UAC

Coordination in Assessing Student Learning

The University Assessment Council

- The University Assessment Council is advisory to the Provost and Vice Chancellor and Associate Provost for Academic Affairs and her/his designee and serves the following functions:
 - Guides UW-Green Bay's reaccreditation process including
 - regularly communicating to the university community regarding Higher Learning Commission (HLC) related activities;
 - providing advice related to the University's efforts to document compliance with the HLC Assurance and Quality Improvement components of the new accreditation process;
 - and preparing and planning for the HLC site visits.
 - Develops and monitors the implementation of the University's Assessment Plan.
 - Promotes and supports the institution-wide assessment activities related to the assessment of student learning outcomes, particularly in the context of the seven-year academic program review cycle.
 - Integrates all assessment activities carried out by academic programs, student affairs and other support areas.
 - Provides advice on assessment related issues.
- The University Assessment Council shall be composed of sixteen (16) appointed members including the Associate Provost for Academic Affairs (Chair), the Assistant Vice Chancellor for Professional Development and Grants and Director of Graduate Studies, and representatives from each of the colleges, Outreach and Adult Access, Student Services, , Enrollment Services, the Library, Student Government, the Academic Affairs Council, the Graduate Studies Council, and the General Education Council, and two faculty members with experience and/or interest in assessment methods. The Coordinator of Assessment and Testing Services and the Director of Institutional Research will serve as ex officio, nonvoting members.
- Appointment of representatives is the responsibility of the respective division head.

4. Nomination of faculty candidates for appointment to the University Assessment Council is the responsibility of the Committee on Committees and Nominations. Appointments are made annually by the Provost. Faculty members serve three-year staggered terms to ensure continuity.
5. The University Assessment Council shall appoint an Academic Program Assessment Subcommittee (APAS) for the purpose of reviewing the Annual Assessment Updates submitted by the academic programs. The APAS will meet on a regular basis and provide feedback and recommendations to the chairs of the academic programs. In addition, the APAS will submit an annual report to the UAC. The APAS will consist of four faculty members (one from each domain) with experience and/or interest in assessment, two graduate faculty members with experience and/o interest in assessment, the Dean or Associate Dean of each college, and the Associate Provost for Academic Affairs (Chair)
6. The chair of the Council must submit a report of its activities at the end of each academic year to the Provost and Vice Chancellor for Academic Affairs and the Secretary of the Faculty and Academic Staff.

Last revised September 10, 2015

2. Governance representation and/or structures:

Governance at UWGB

(as excerpted from Criterion 5.B.2-3 of UWGB's Assurance Argument)

The Chancellor governs UWGB. Directly reporting to him are the Provost/Vice Chancellor for Academic Affairs, Vice Chancellor for Student Affairs and Campus Climate, Vice Chancellor for Business & Finance, Vice Chancellor for University Advancement, Associate Chancellor for External Affairs & Chief of Staff, and the Director of Athletics. The Provost directly oversees the Deans of the three colleges and one school, along with the Associate Provost for Academic Affairs, Associate Vice Chancellor for Academic Affairs and Director of Graduate Studies, Assistant Vice Chancellor for Enrollment Services, Executive Director of Continuing Education and Community Engagement, Assistant Vice Chancellor for Information Technology and Library Services (in her capacity as Director of the Cofrin Library), and the Secretary of the Faculty and Staff (SOFAS). The UWGB Organization Chart clearly outlines this structure and reporting lines.

Chancellor Miller has issued a memo to the University Committee on shared governance and a memo to the campus community on tenure and shared governance. In both documents, he expresses his intention to maintain all existing campus governance structures and procedures. Consequently, we retain a number of governance committees for faculty, staff, and students. Governance is implemented through different mechanisms for faculty, academic staff, university staff, and students.

Faculty

The faculty has primary responsibility for advising the Chancellor regarding academic and educational activities and faculty personnel matters. As outlined in the UWGB Faculty Handbook, faculty governance at UWGB is implemented through the faculty as a whole, academic units and their Executive Committees, the Faculty Senate, and a system of governance committees. The faculty may delegate its responsibilities to the Faculty Senate, which represents the entire faculty. Faculty Senate is composed of elected members from each voting district. Each academic budgetary unit comprises a voting district; one senator is elected for every ten voting faculty per district. Voting faculty include all faculty members and instructional academic staff with faculty status in the district; voting faculty are also the persons eligible for election. Senators serve a term of two years.

The University Committee is the Executive Committee of the Faculty Senate. It is composed of six tenured members of professorial rank, two elected each year for 3-year terms. Four members represent each of the four domain voting districts (Arts and Humanities, Natural Sciences, Professional Studies, and Social Sciences), and the remaining members at-large; no more than two members can be from the same voting district. The University Committee examines policies and procedures affecting the institution, serves as the campus' Codification Committee, sets the Faculty Senate

agenda, and acts in an advisory capacity on policies and procedures affecting the faculty.

Academic Staff

Academic staff has primary responsibility for advising the Chancellor regarding the formulation and review of all policies and procedures concerning academic staff members, including personnel matters. As outlined in the Employee Handbook, the Academic Staff carries out its governance responsibilities through standing committees, subcommittees, task forces, and joint governance committees. The Academic Staff Committee (ASC) is the formal mechanism of governance for academic staff. The ASC is composed of six members who broadly represent the campus community. The academic staff elect ASC members to 3-year terms.

University Staff

University Staff were granted rights to participate in institutional governance in Regent Policy Document 20-20, including rights to participate in the development of all policies and procedures concerning university staff, including personnel matters. These rights are outlined in the University Staff Governance Bylaws, established and approved in 2014. The University Staff Committee (USC) is the primary mechanism of governance for university staff and represents such staff in all matters within the jurisdiction of the university staff. USC membership is composed of seven eligible staff members broadly representing the campus community. The university staff elect USC members to 2-year terms.

Students

Students have primary responsibility for advising the Chancellor regarding the formulation and review of policies concerning student life, services, and interests; they may also recommend the disposition of student fees for campus student activities. The Student Government Association (SGA) is the primary mechanism of governance for students. As outlined in the SGA Constitution, its legislative branch includes the Student Senate, which has chief student legislative authority for information and review of policies concerning students. Membership of the Student Senate is comprised of a Chair, a Speaker, and at-large Senators elected by the student body each spring. The Senate has nine standing committees: Environmental Affairs, Academic Affairs, University Governance, Union and Dining, Health and Safety, Student Resources, Segregated University Feel Allocation, Student Recreation and Athletics, Equity and Diversity, and Community Outreach.

4. Tenure

UWGB Document on Tenure

Promotion or appointment to the rank of Associate Professor or Full Professor normally carries tenure at the University of Wisconsin-Green Bay. Tenure is viewed as an acknowledgment in the academic community of the commitment and contribution of the individual to his/her profession and the University for the mutual benefit of each. Tenure also is a formal acknowledgment of a reciprocal responsibility between the University and the fully qualified individual.

In granting tenure at UWGB, assessment shall be made of professional performance, contributions, and future potential of the individual. Such evaluations and judgments should be made in the context of the mission of the University with its emphases on problem oriented learning and research, innovation in curriculum, excellence in teaching, and a liberal arts program as the foundation of its undergraduate degree programs. Tenure implies responsibilities and obligations of leadership for maintaining academic excellence in the University and of professional participation in activities outside the University.

If a faculty member has been on probationary status for more than seven years because of one or more reasons set forth in UWGB Chapter 3.06 (5) and (6), the faculty member shall be evaluated as if he or she had been on probationary status for seven years.

Evaluation of the qualifications of a faculty member for tenure shall be made by consideration of activities in the following categories:

A. TEACHING

1. Array of courses taught, including undergraduate and graduate level, Independent Study, and graduate student supervision (major professor).
2. Evidence of involvement with other academic programs and interdisciplinary teaching.
3. Evidence of course development, special techniques of instruction developed and instructional improvement.
4. Evaluation of teaching effectiveness will be based upon the following:
 - Peer evaluation by classroom visitation
 - Course syllabi
 - Reading lists
 - Narrative self-evaluation
 - Student Evaluation Policy (pp. 107, Approved 10 March 1976, last revised January 2008)
 - Examinations

Student evaluation continues to be an important mechanism for assessing teacher effectiveness. Additionally, however, evidence from the above areas must also be available and be suitably representative of the diversity and frequency of courses taught during the years (e.g., lower level, upper level, graduate, interdisciplinary unit, disciplinary unit, etc.). Classroom visitation by peers

obviously cannot be accomplished for all courses but a representative sampling can provide useful evidence. The courtesy of advance notification of the visitation should be exercised.

B. SCHOLARLY ACTIVITY AND CREATIVE ACCOMPLISHMENT

1. Articles published in refereed journals.
2. Performances, recitals, exhibitions as appropriate to the major field including evaluative evidence of originality or creativity.
3. Books and monographs; manuscripts if accompanied with evidence of peer review and evaluation.
4. Professional work in other media such as service journals, laboratory manuals, educational films or video tapes, or related materials including evidence of peer review and evaluation.
5. Professional contributions at regional, national, and international meetings or organizations.
6. Grants solicited and received; awards or other honors received.
7. Current activities.

C. UNIVERSITY AND COMMUNITY SERVICE

1. Evidence of contributions to and participation on elected and appointed committees.
2. Evidence of contribution to program development and curricular innovations within and among academic units.
3. Evidence of professional orientation of activities and service outside the University at local, regional, national, and international levels, including but not limited to:
 - a. committee participation
 - b. organization involvement
 - c. non-credit teaching
 - d. community research, evaluation, development, and planning
 - e. workshops and presentations

The following considerations are intended to clarify the application of these criteria:

1. Achievement of a record of high quality in each of the categories of Teaching, Scholarship, and University and Community Service is necessary for the awarding of tenure.
2. If service at another institution is to be considered, evidence of performance and evaluation of activities there must be available.
3. Ordinarily no faculty member should be recommended for promotion to tenure with less

than one academic year's experience at this university.

4. Evidence of sustained contributions and future potential shall be assessed along with considerations of merit review comments related to the candidate's past activities.

D. PROGRAMMATIC AND OTHER INSTITUTIONAL CONSIDERATIONS IN PERSONNEL DECISIONS

The Faculty of UWGB have primary responsibility for decisions to retain or promote probationary faculty. Four categories of performance constitute the basis for faculty personnel evaluation. Teaching, scholarly or creative activity, institutional development, and community outreach, are to be assessed in terms of the candidate's performance and in terms of the program needs the individual serves within UWGB's institutional priorities. It is the responsibility of unit executive committees reviewing candidates to assess the programmatic significance of the candidate's qualifications and record of performance at UWGB.

The evaluation of a probationary faculty member for purposes of retention or promotion should take careful and specific account of the candidate's contribution to the unit's goals and to the related institutional missions as specified in the unit's current planning and review documents. For the Faculty to discharge its personnel review responsibilities effectively, units must be informed by the Office of Academic Affairs in a regular and timely fashion of programmatic or institutional concerns that could negatively affect decisions on the retention or tenuring of probationary faculty.

Neither programmatic nor other institutional considerations shall be applied without the careful evaluation of faculty records in teaching, scholarly or creative activity, institutional development, and community outreach. That is, programmatic and institutional considerations shall be interpreted in terms of candidates' records of performance. Faculty are entitled to regular personnel review by their peers, to be informed of the findings and recommendations of their peers, and to have their service to their programs and to the institution assessed on the basis of their performance in the four areas of their professional responsibility.

No administrative denial of retention or tenure on the basis of programmatic or other institutional considerations shall be made prior to consultation by the Administration with the unit(s) affected and with the Academic Affairs Council. Specific reasons for denial in these cases will be provided to the candidates at their request.

Personnel Council Approved 1978-1979

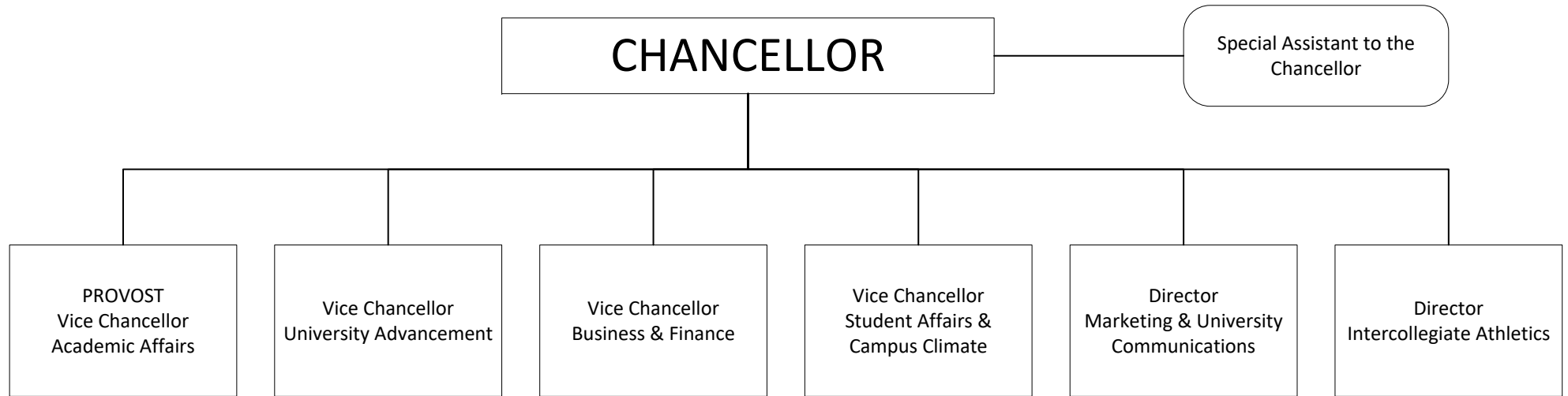
UWGB Faculty Senate Revised and Approved 12 May 1982

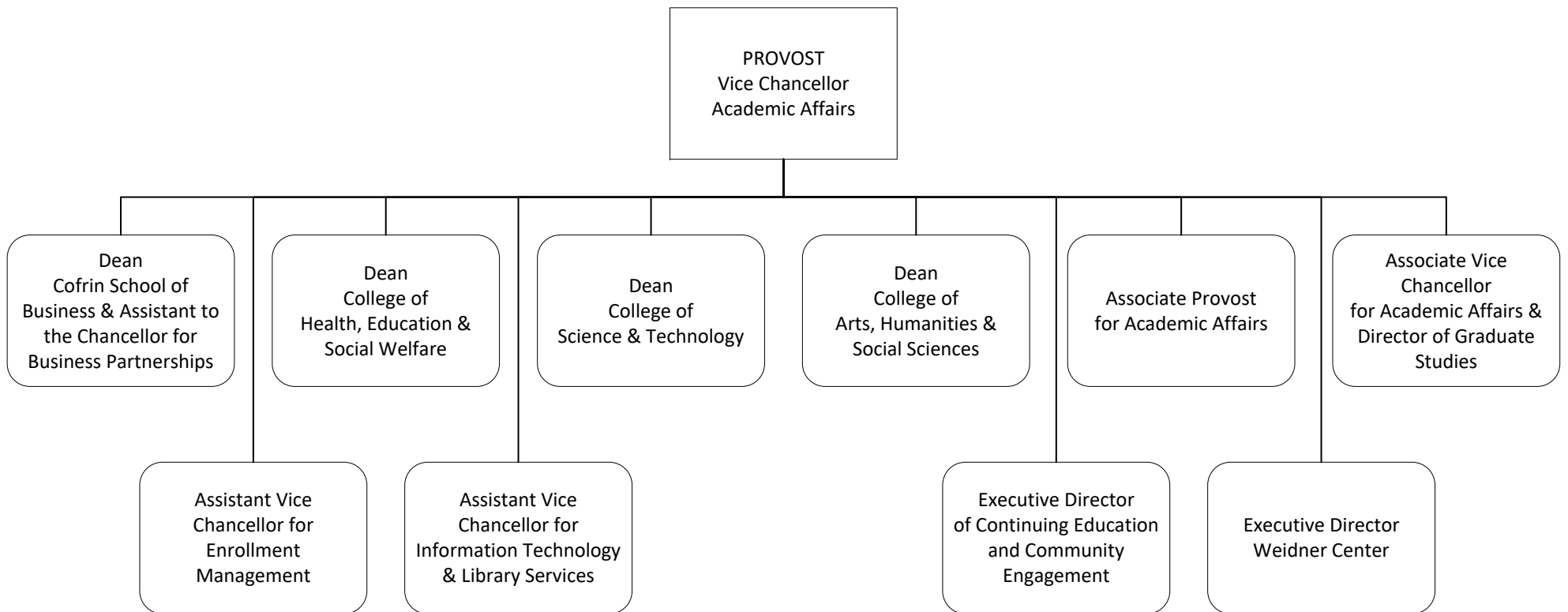
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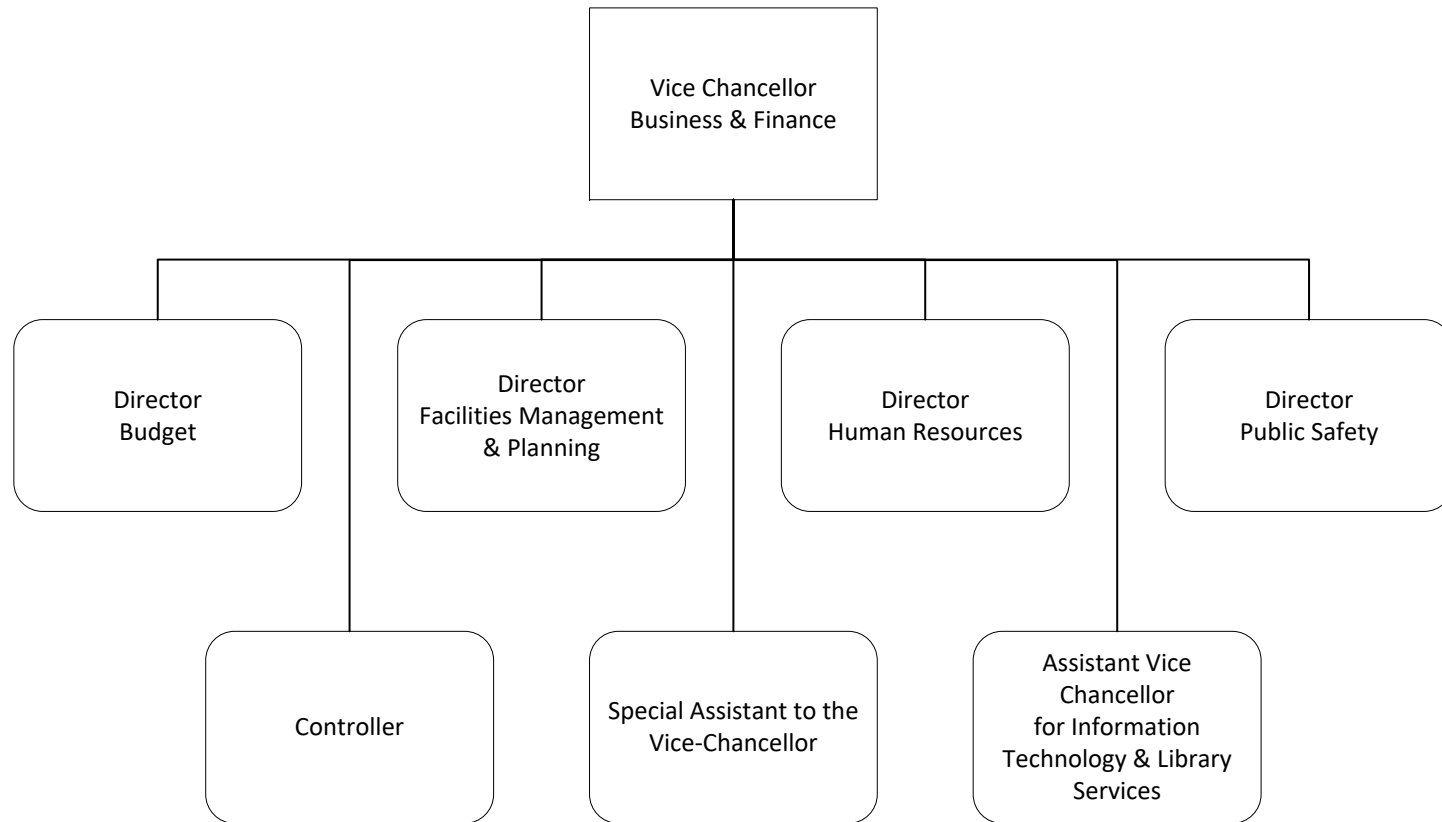
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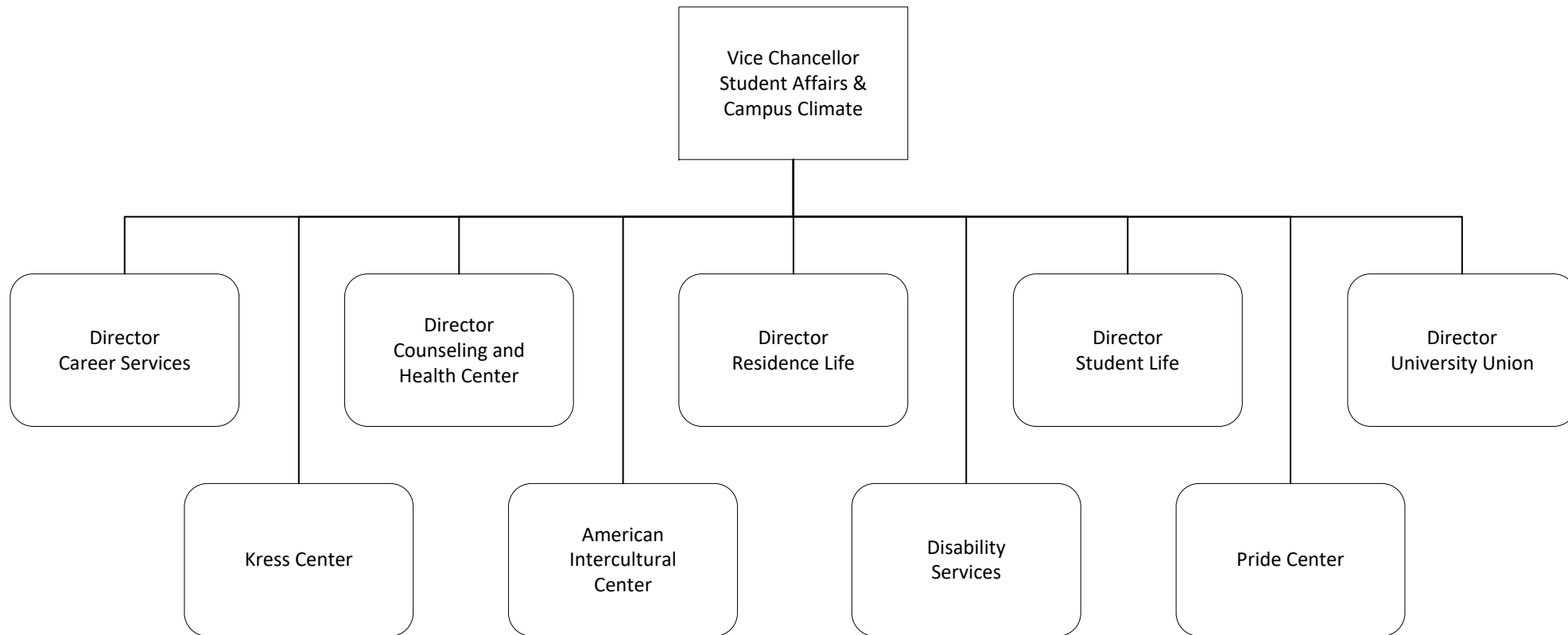
UWGB Organizational Structure

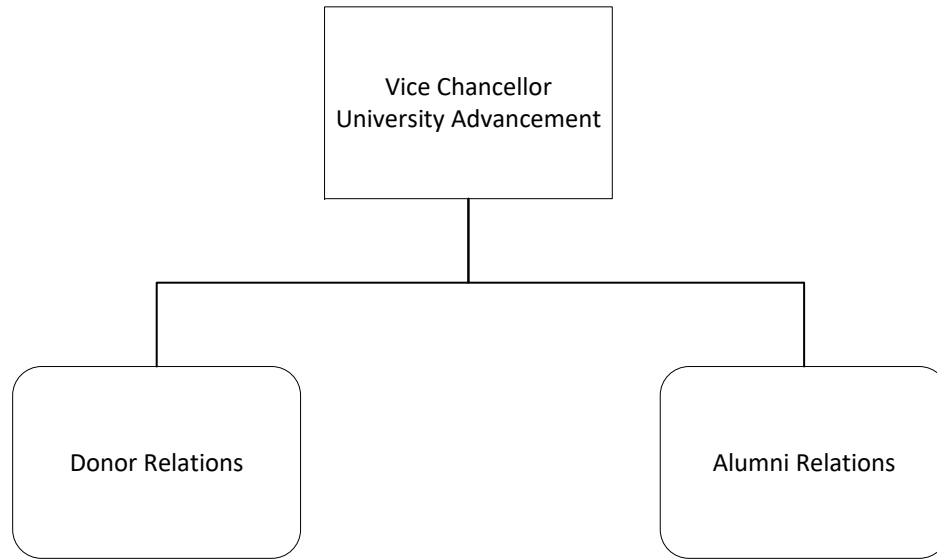
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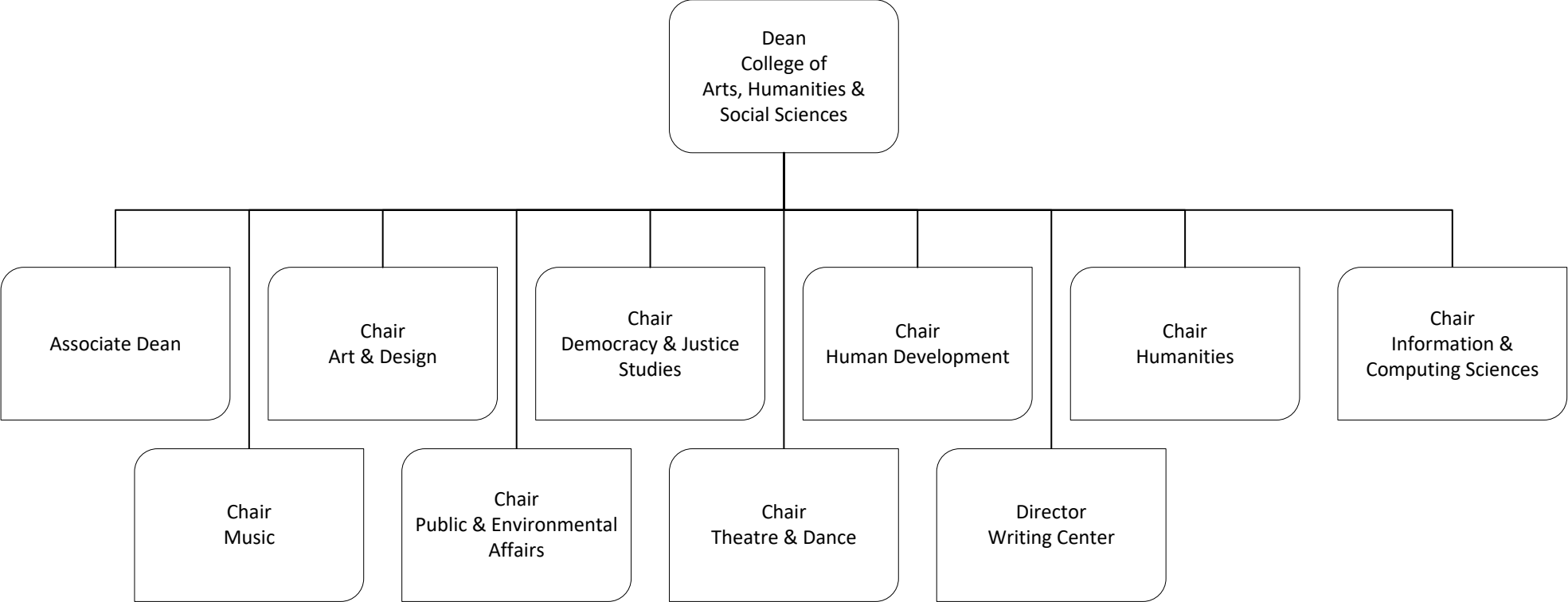


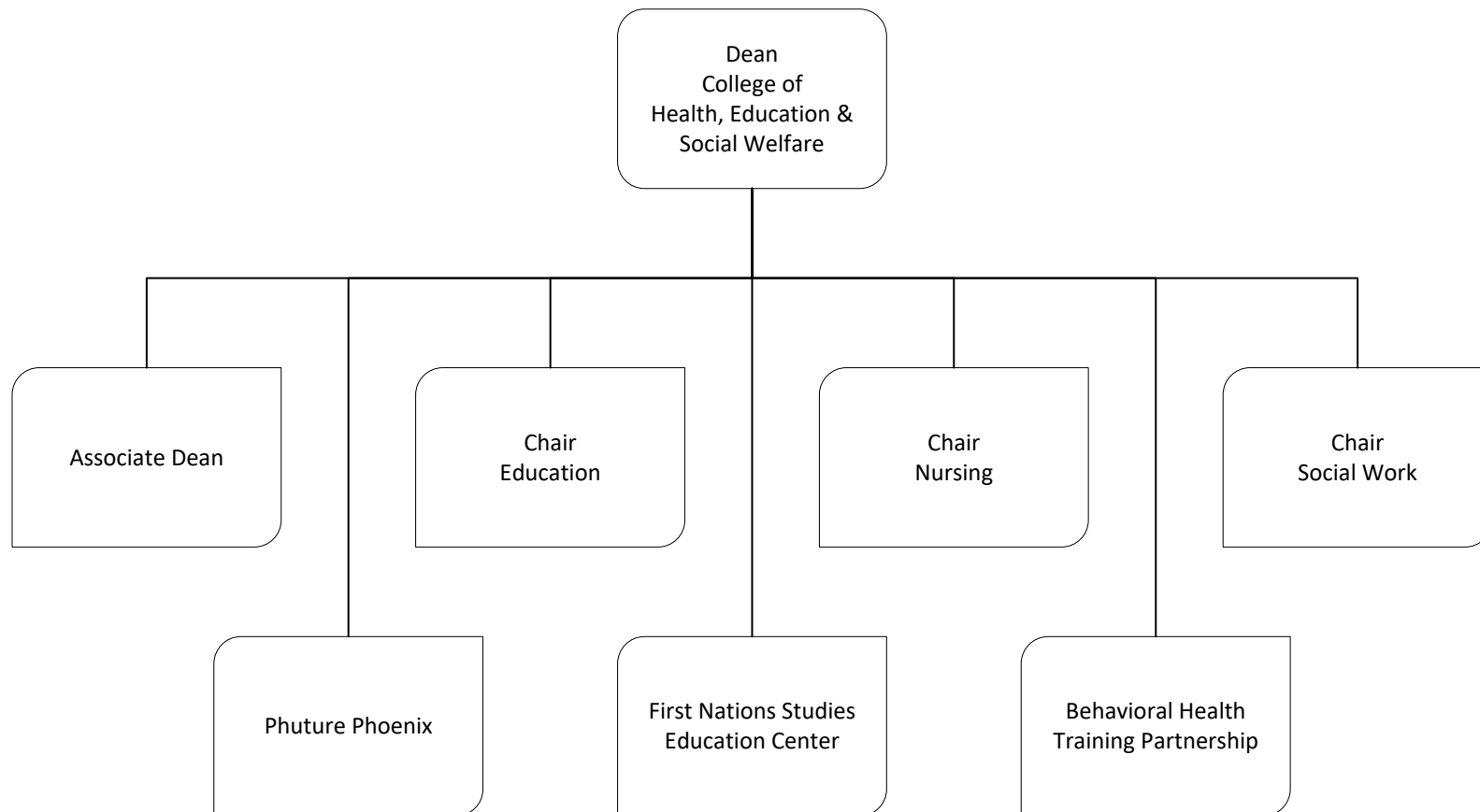


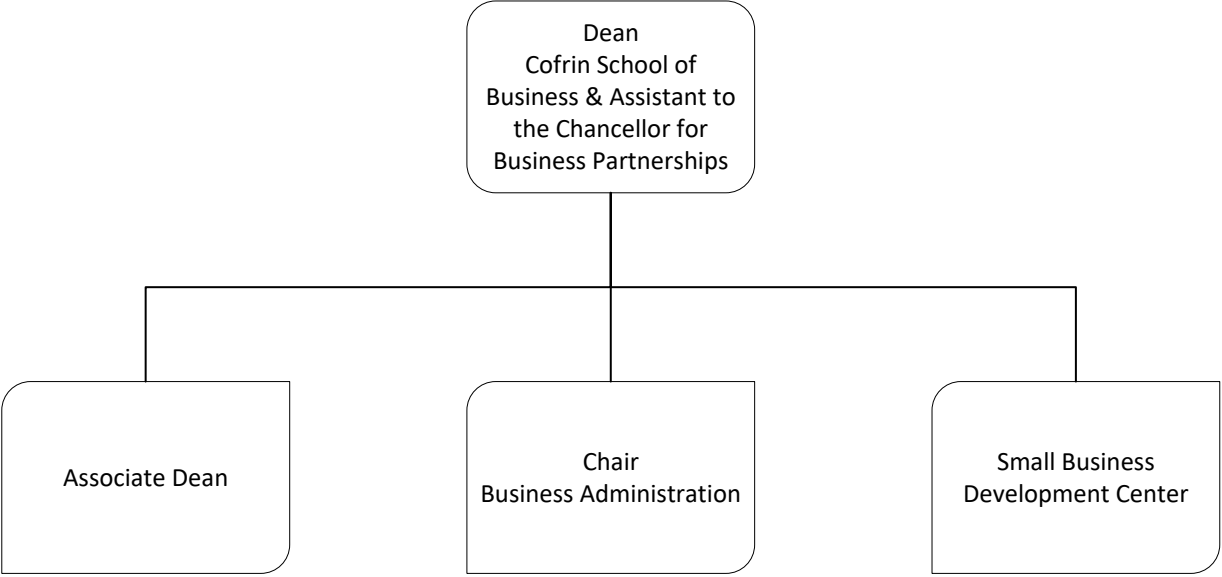


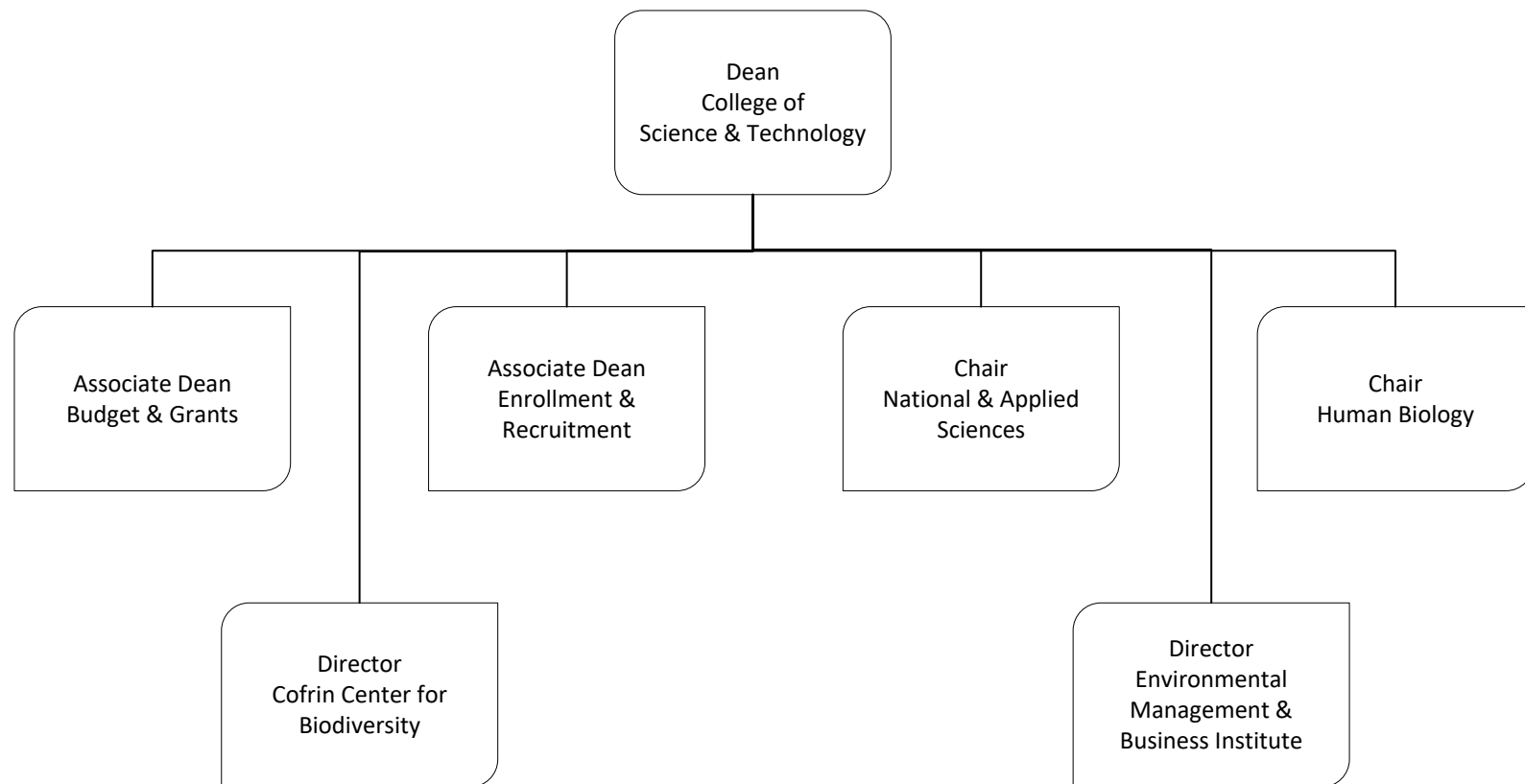


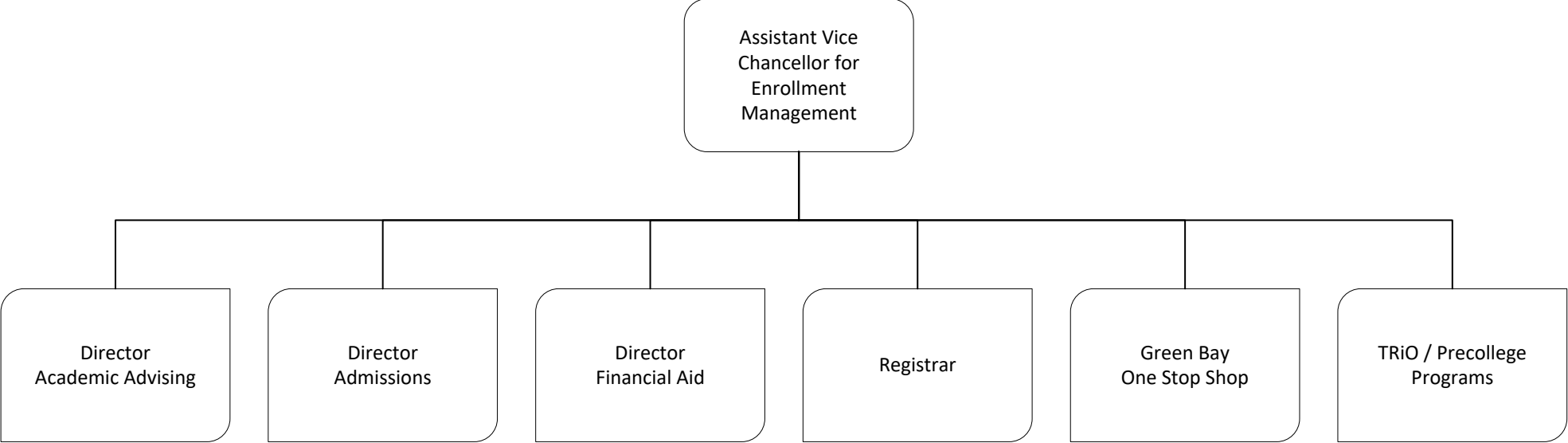


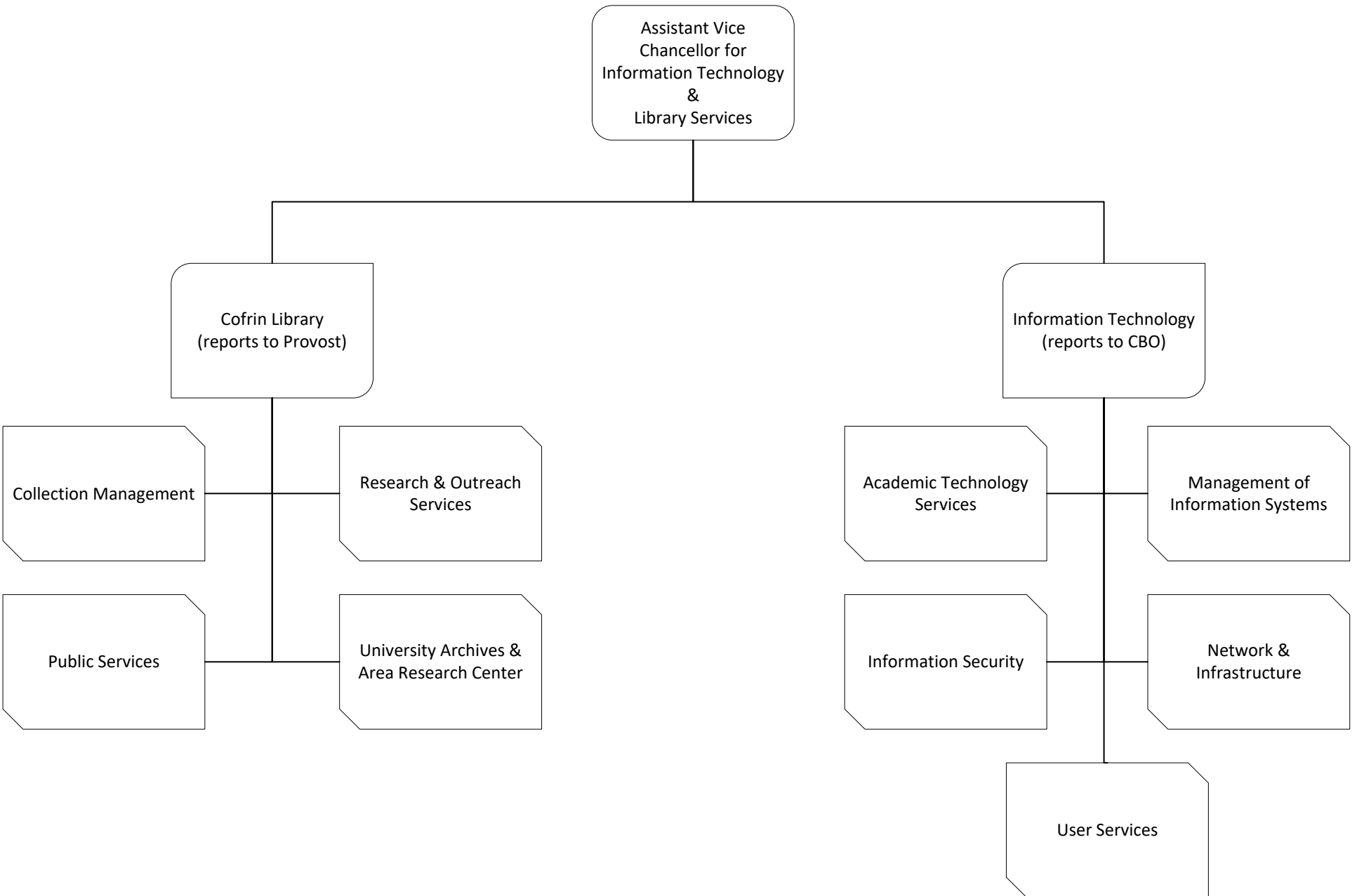


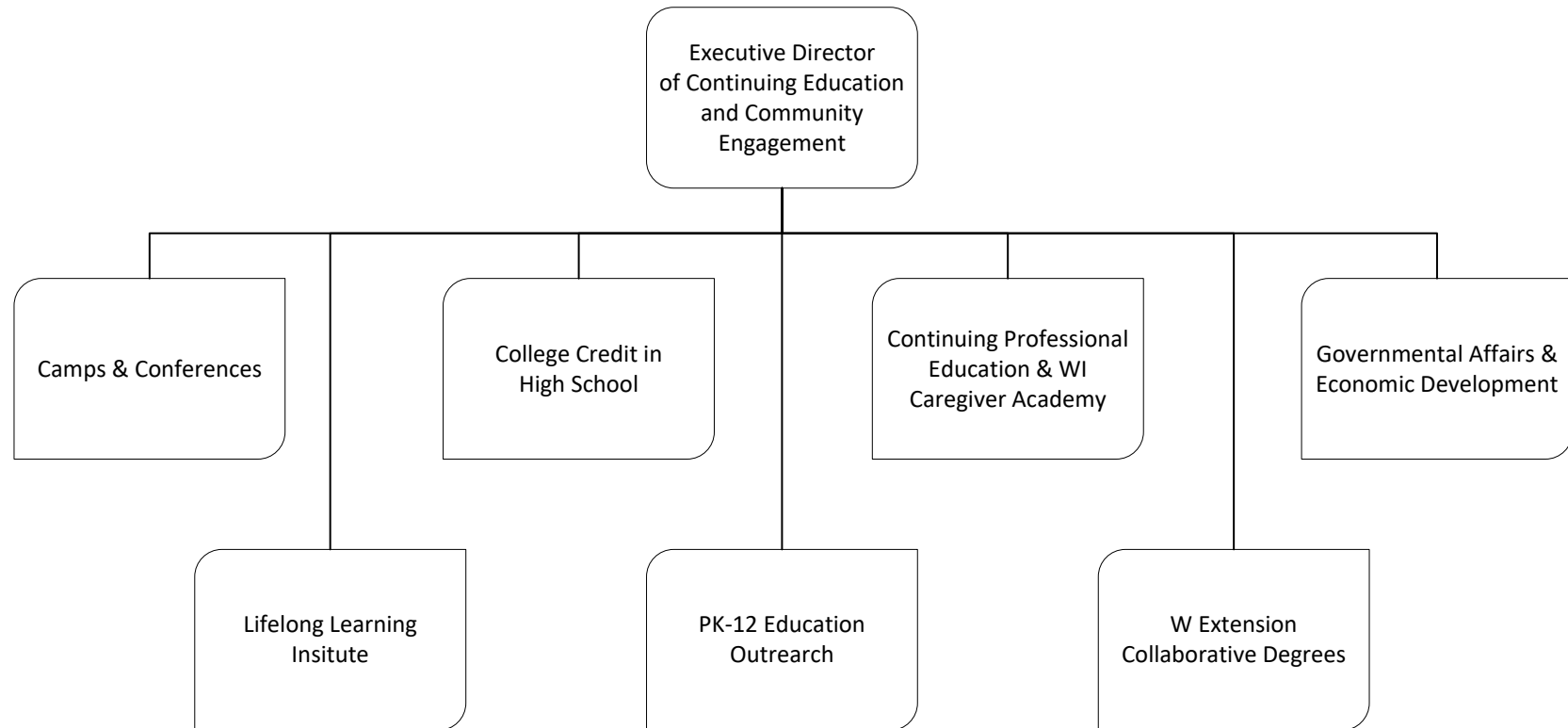


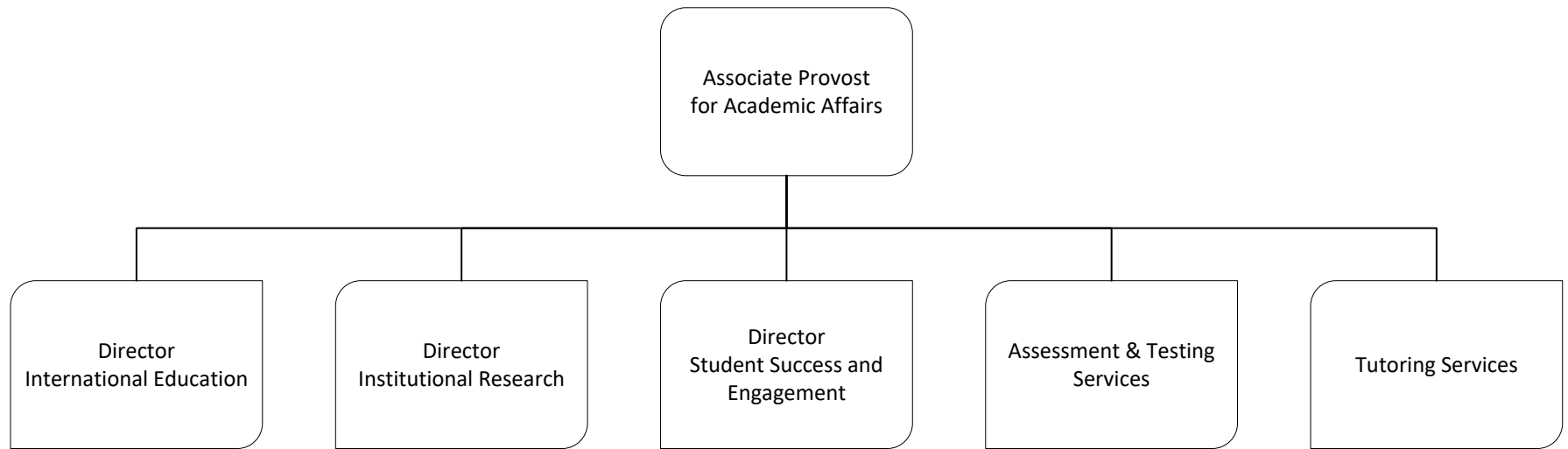


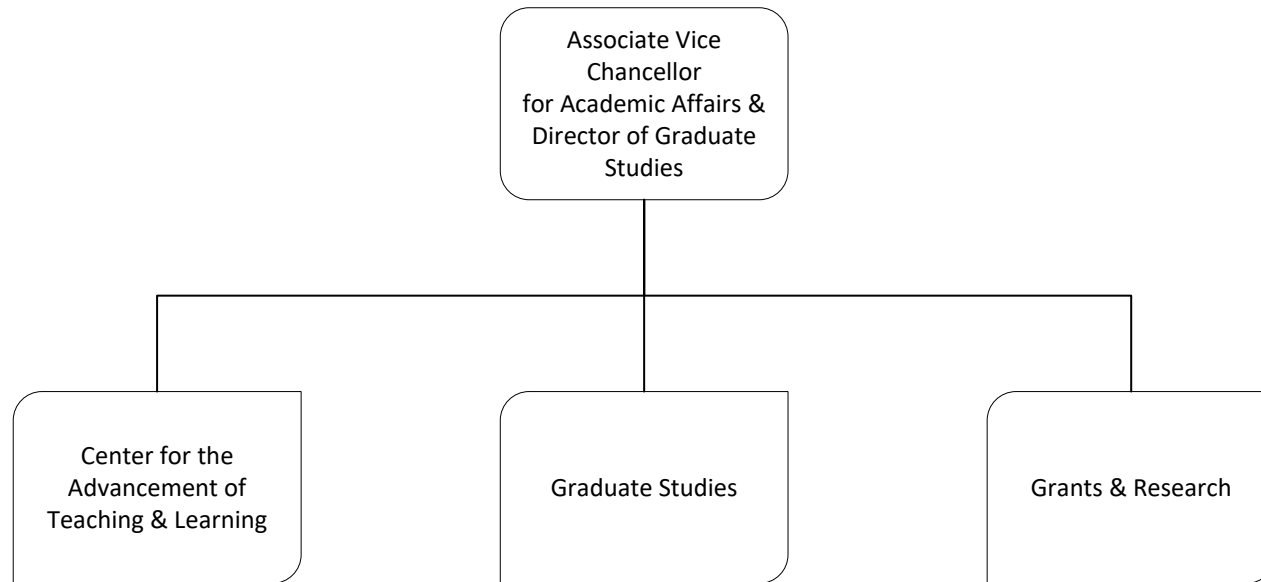








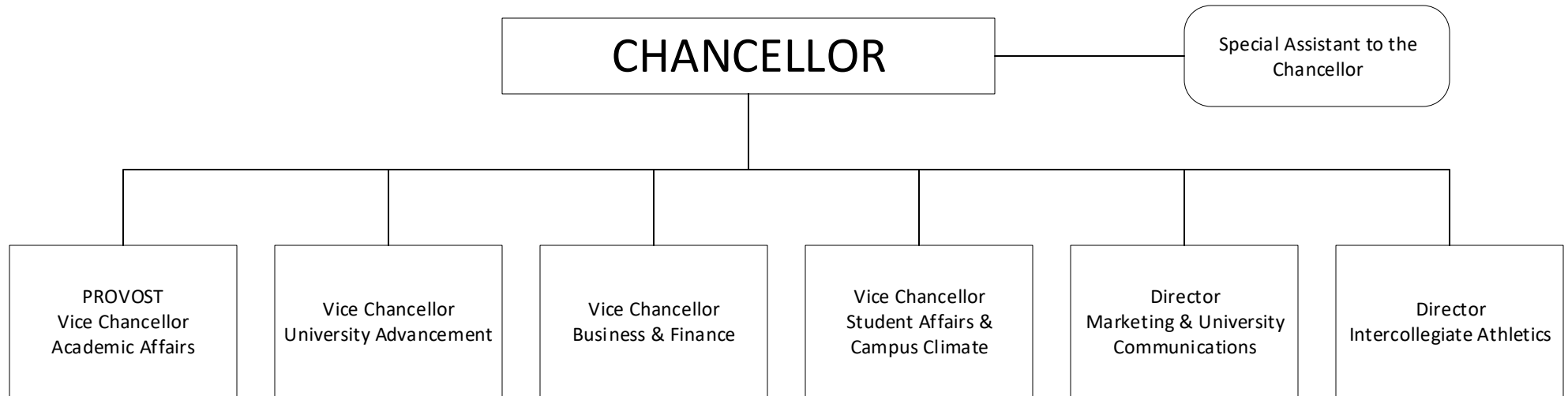


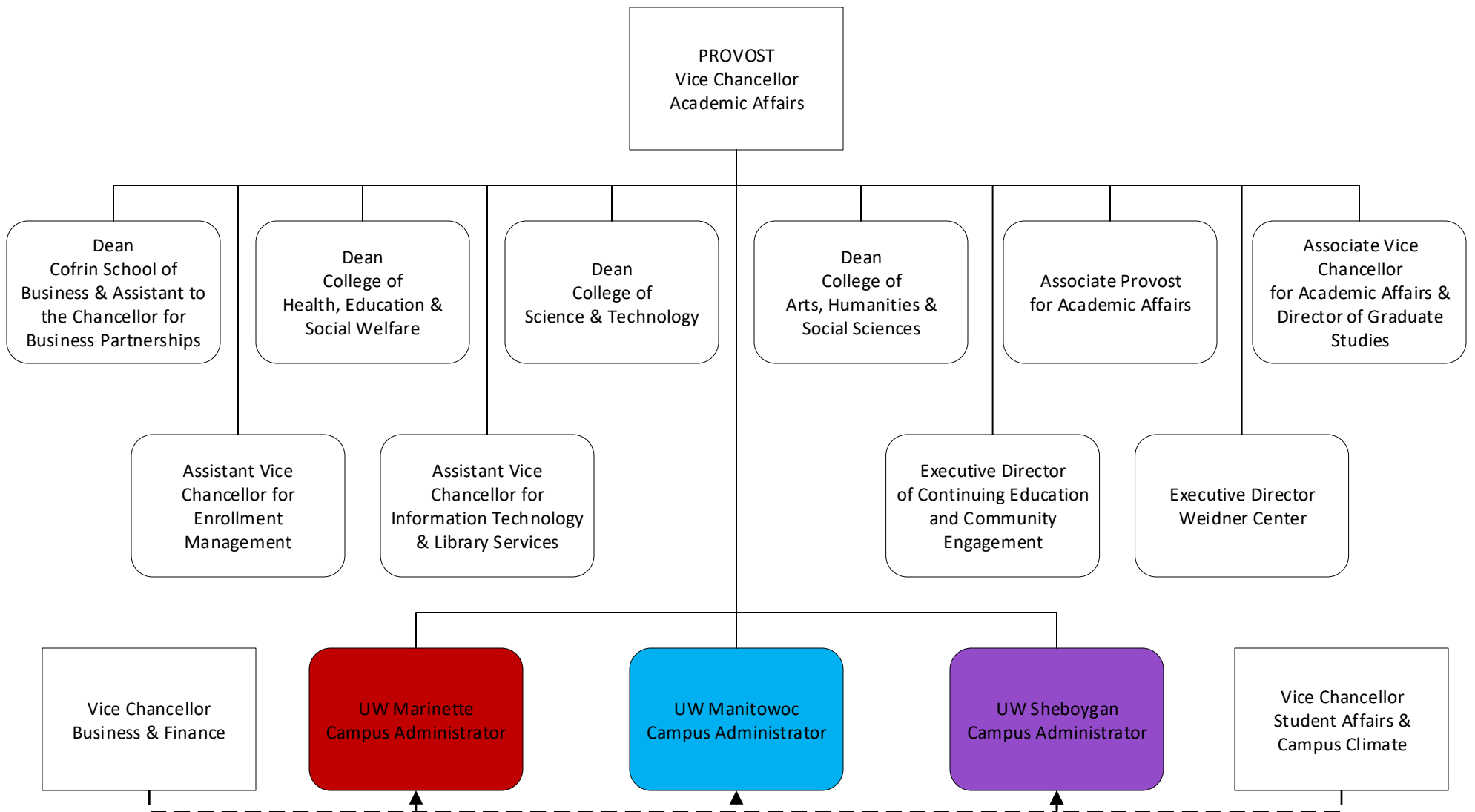


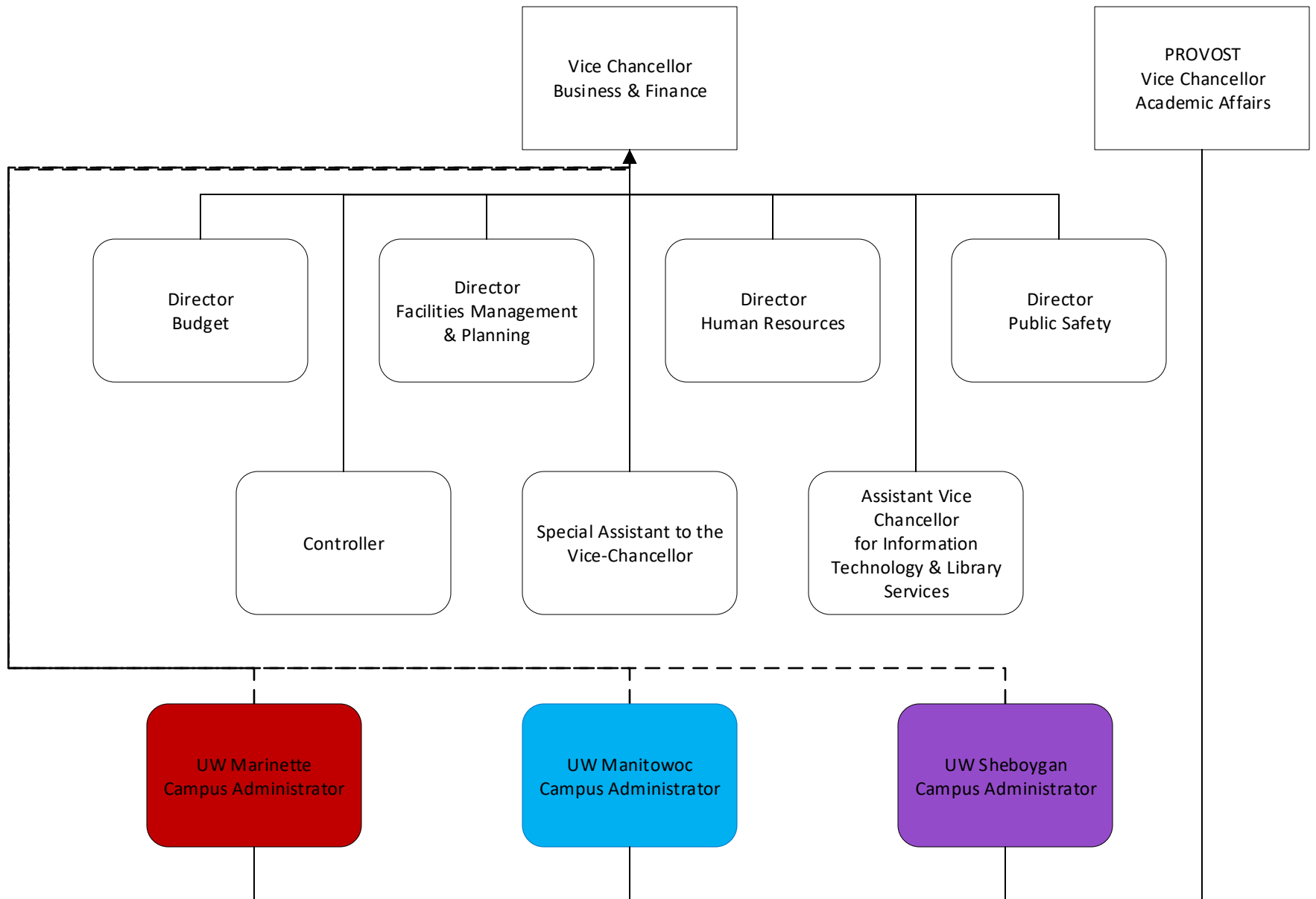
Proposed Changes
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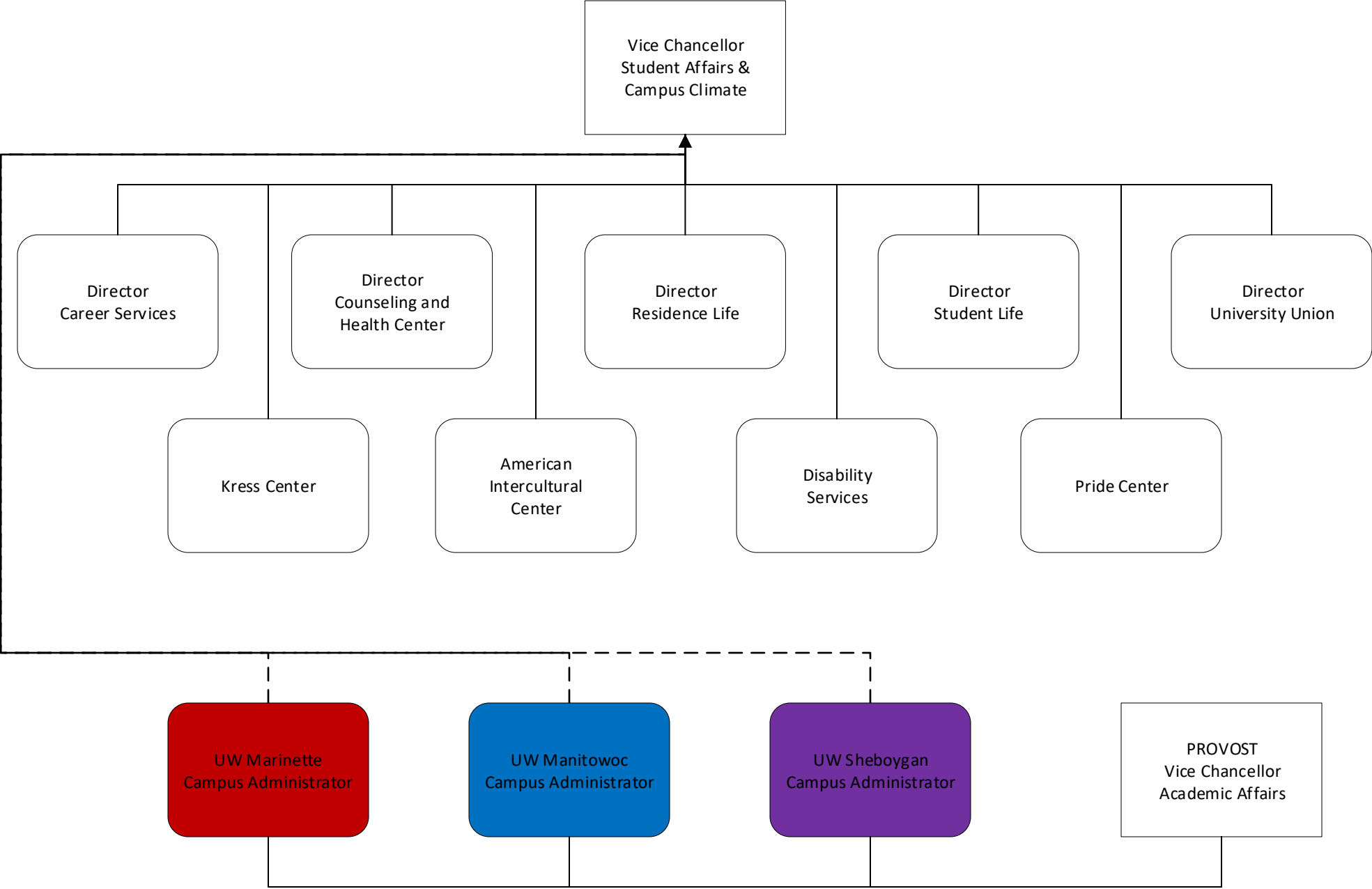
UWGB Organizational Structure

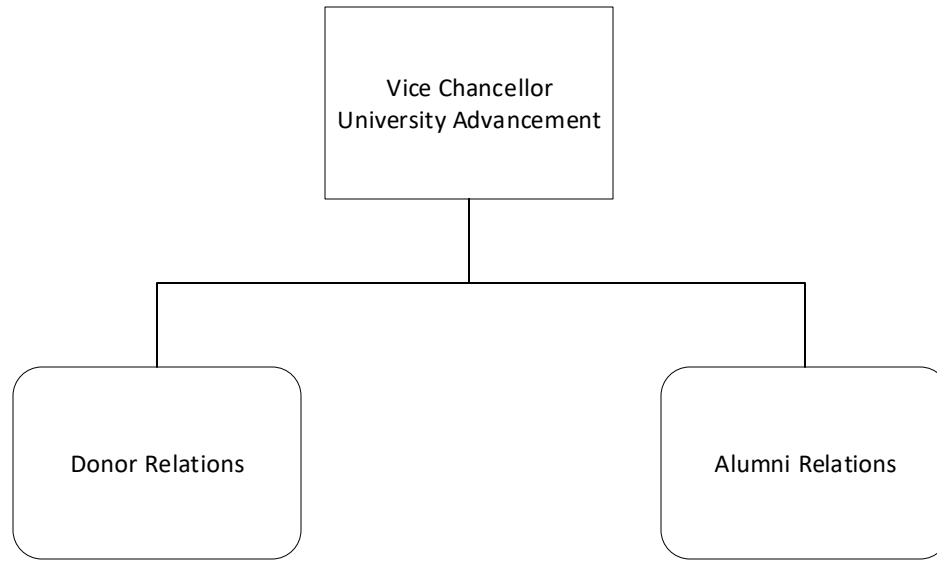
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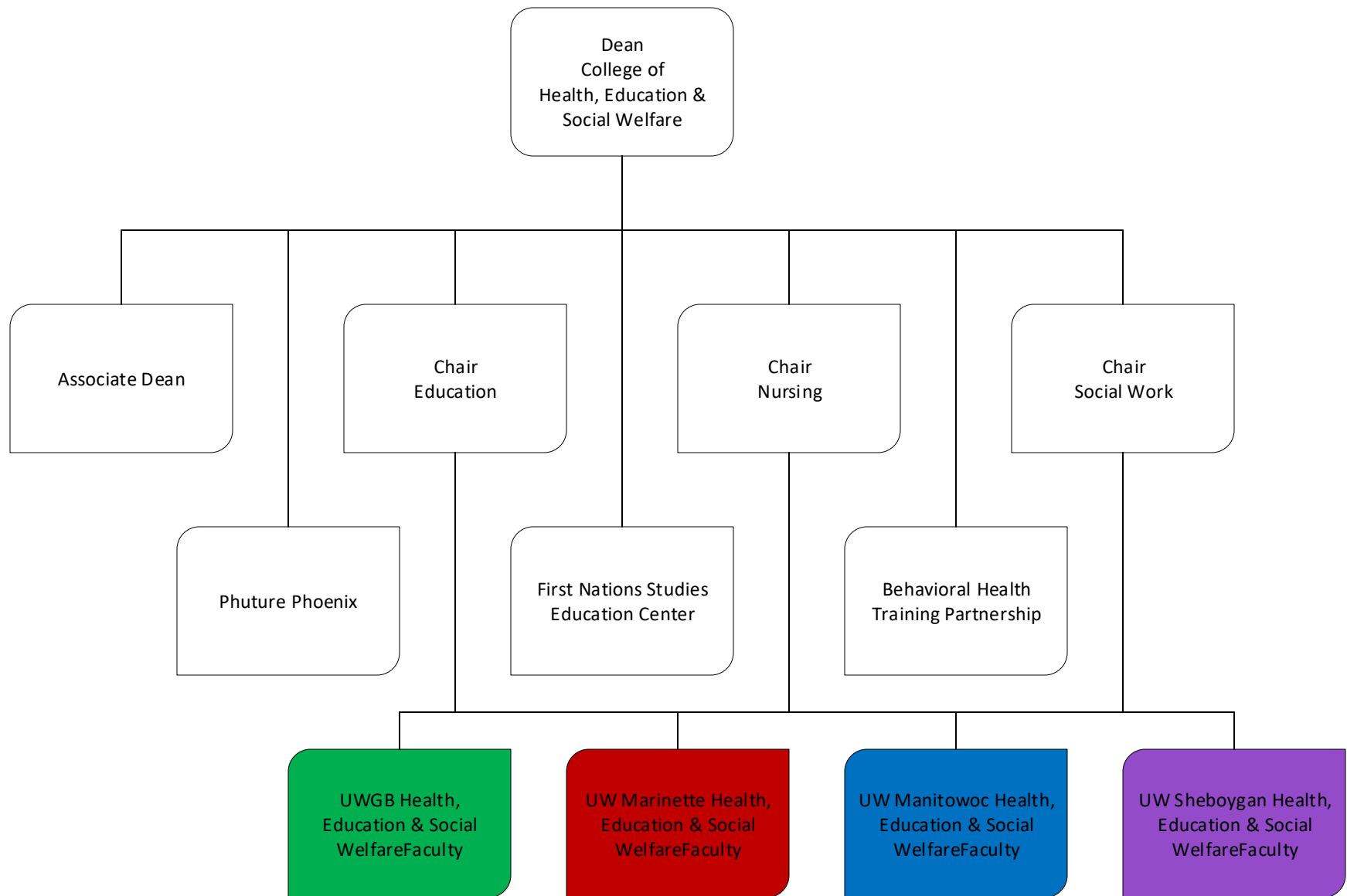


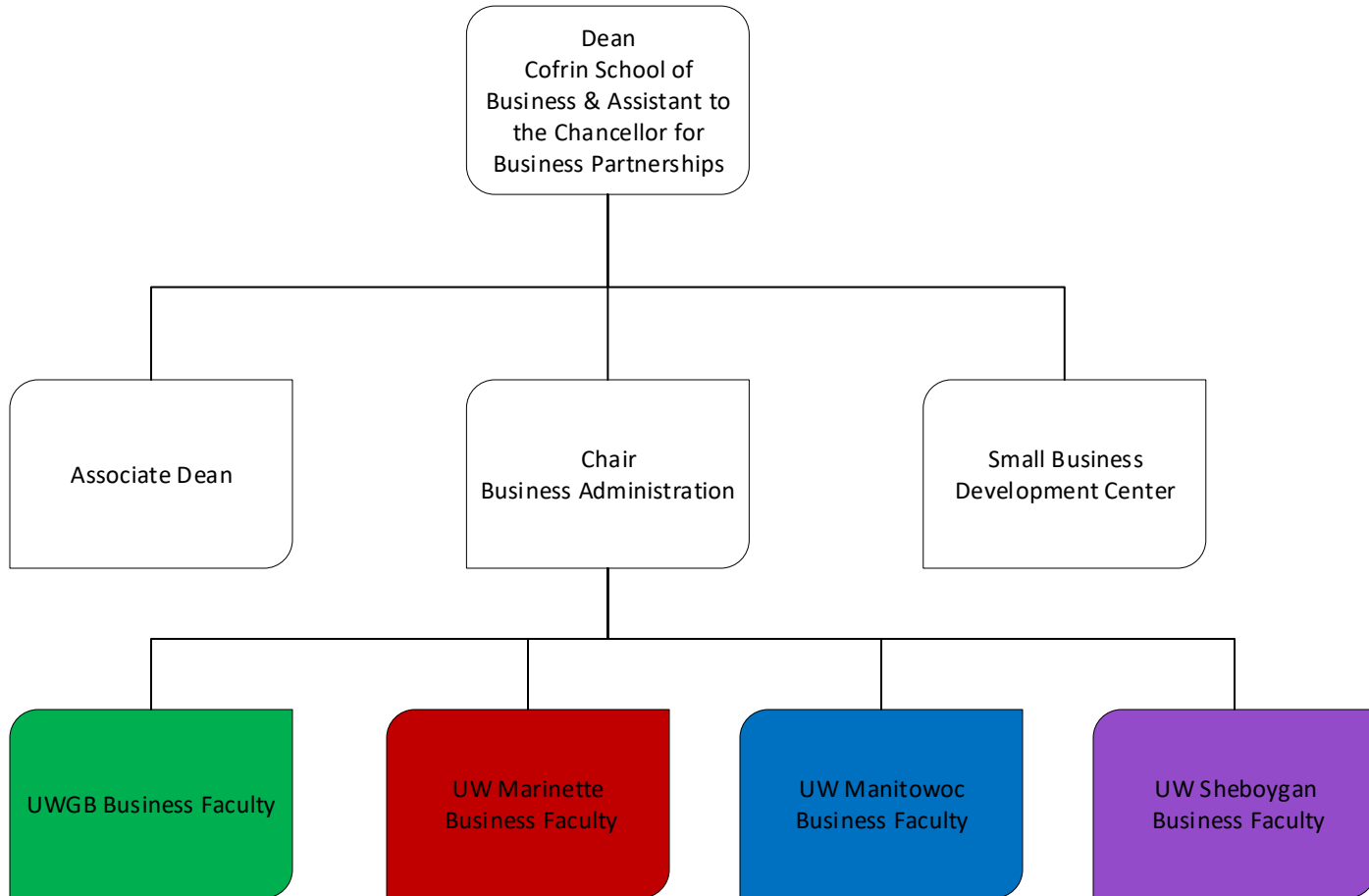


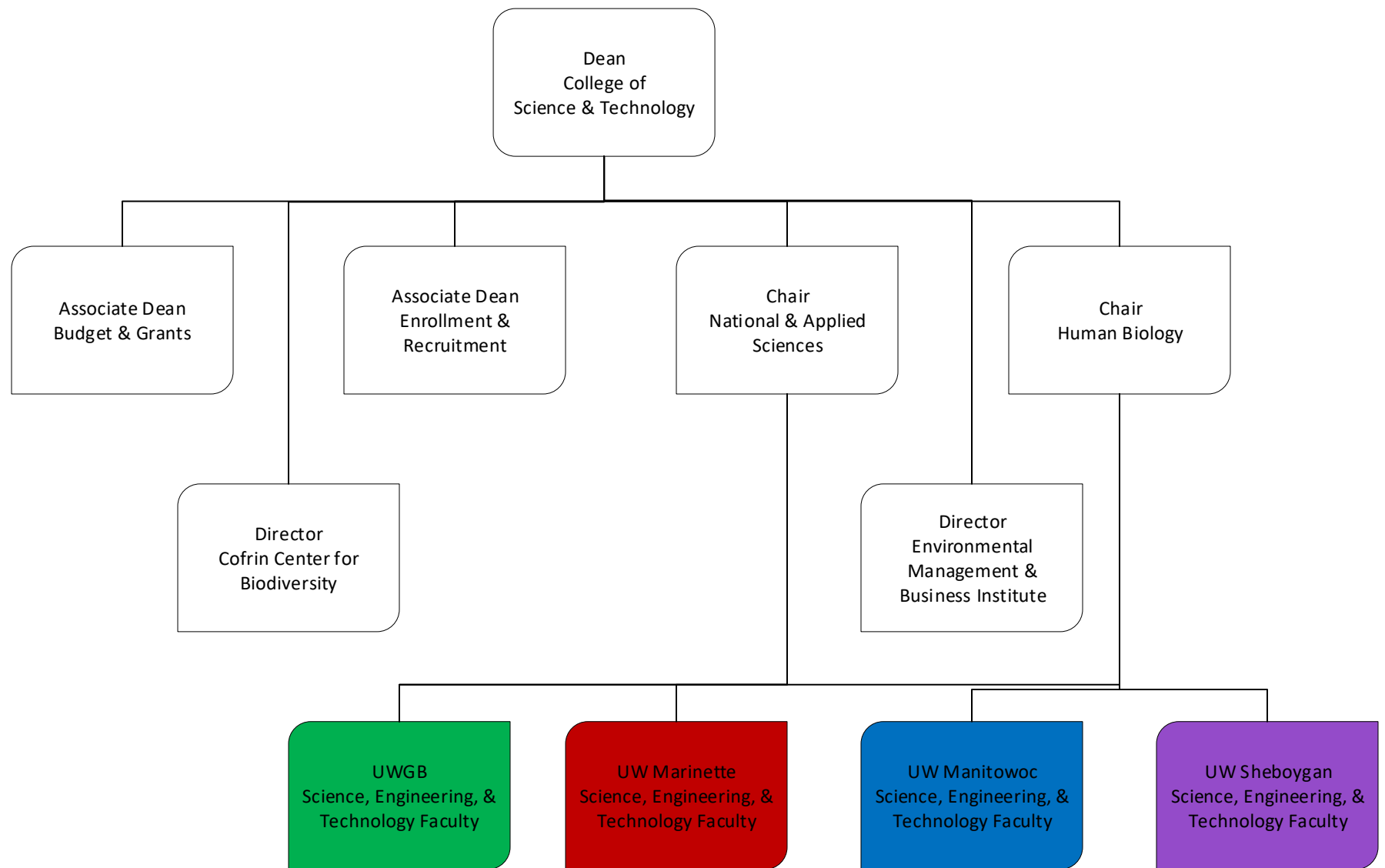


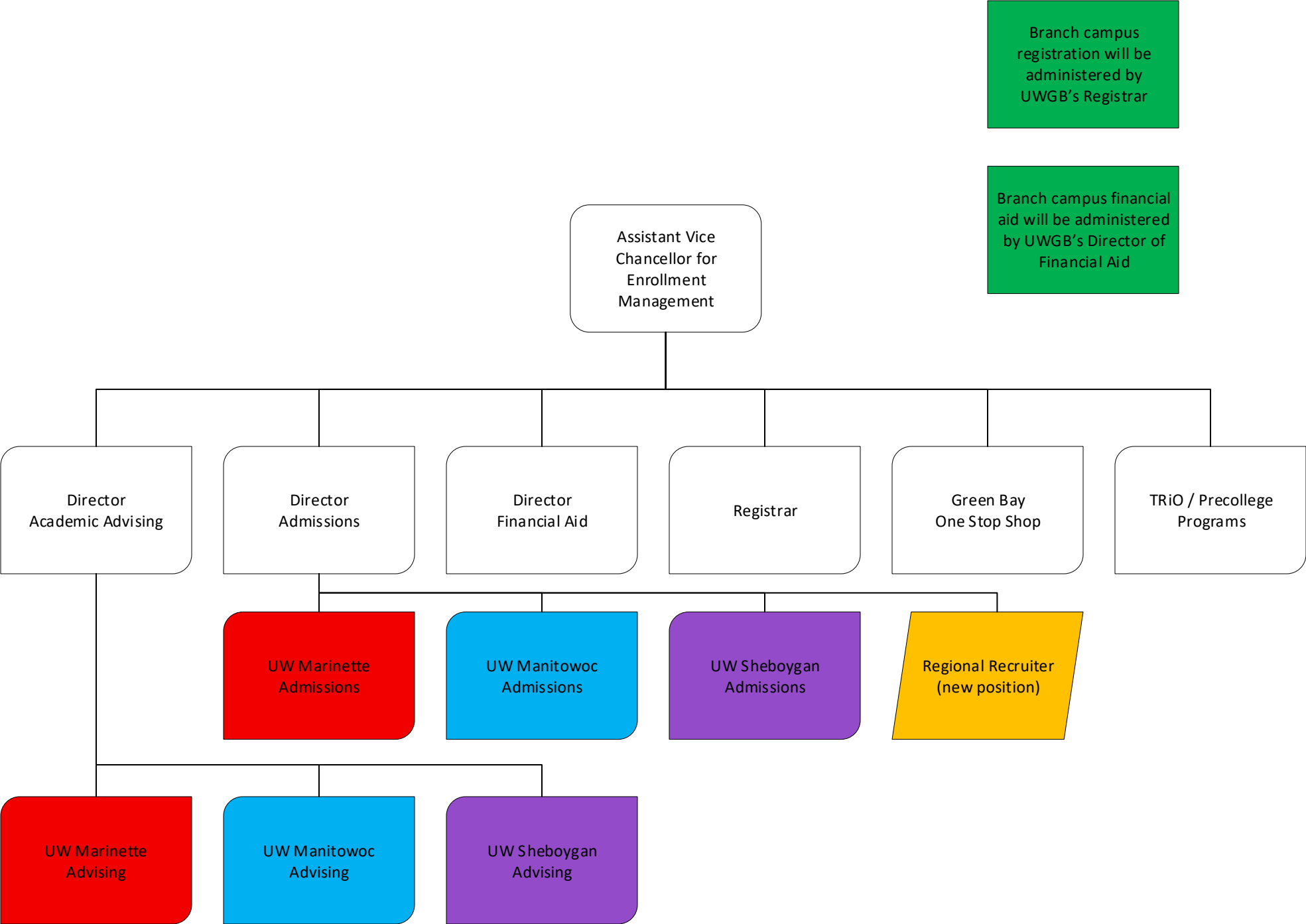


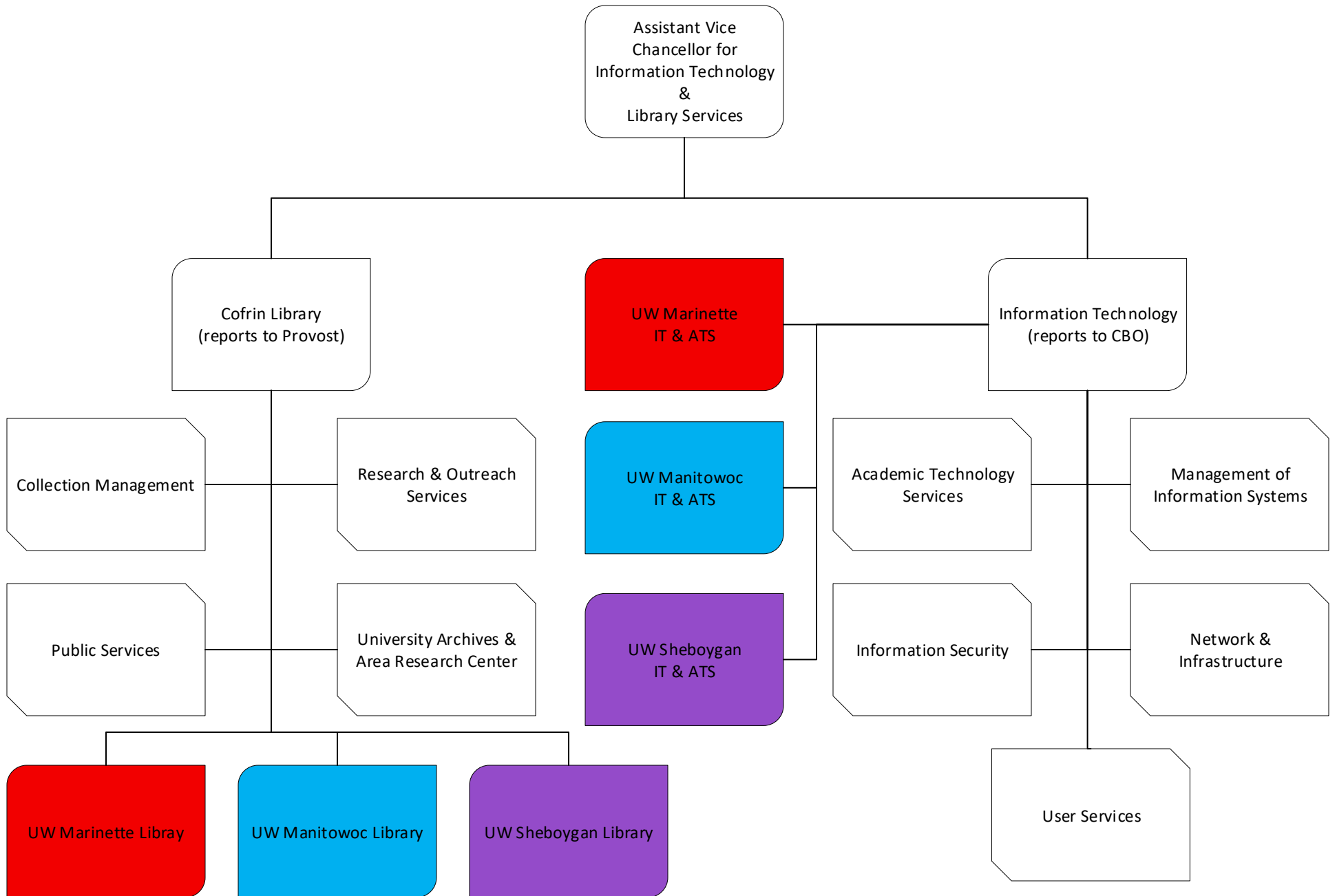


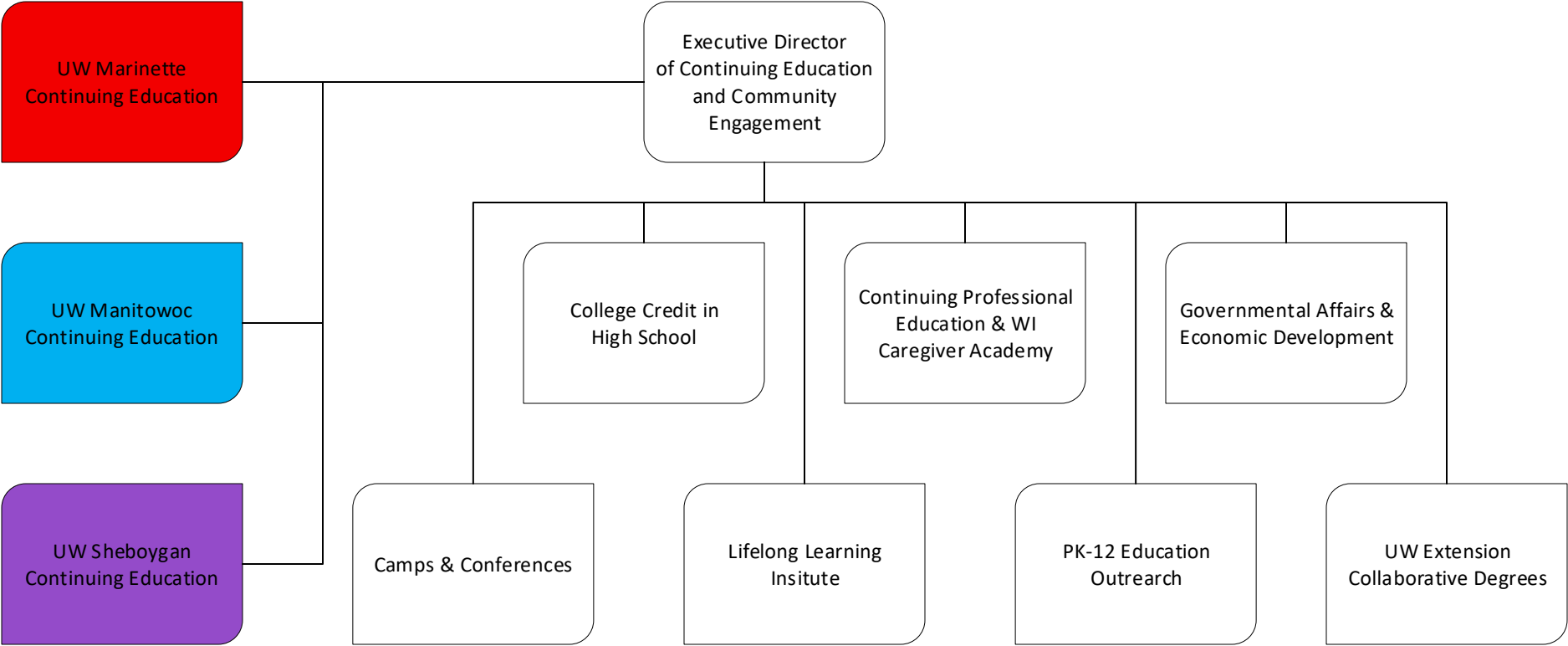


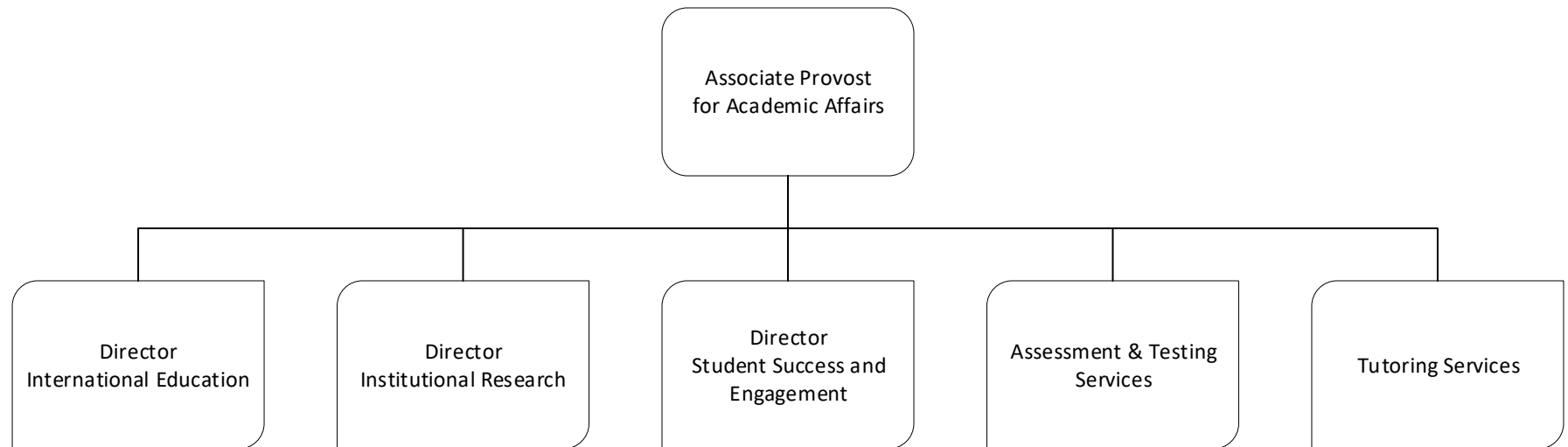


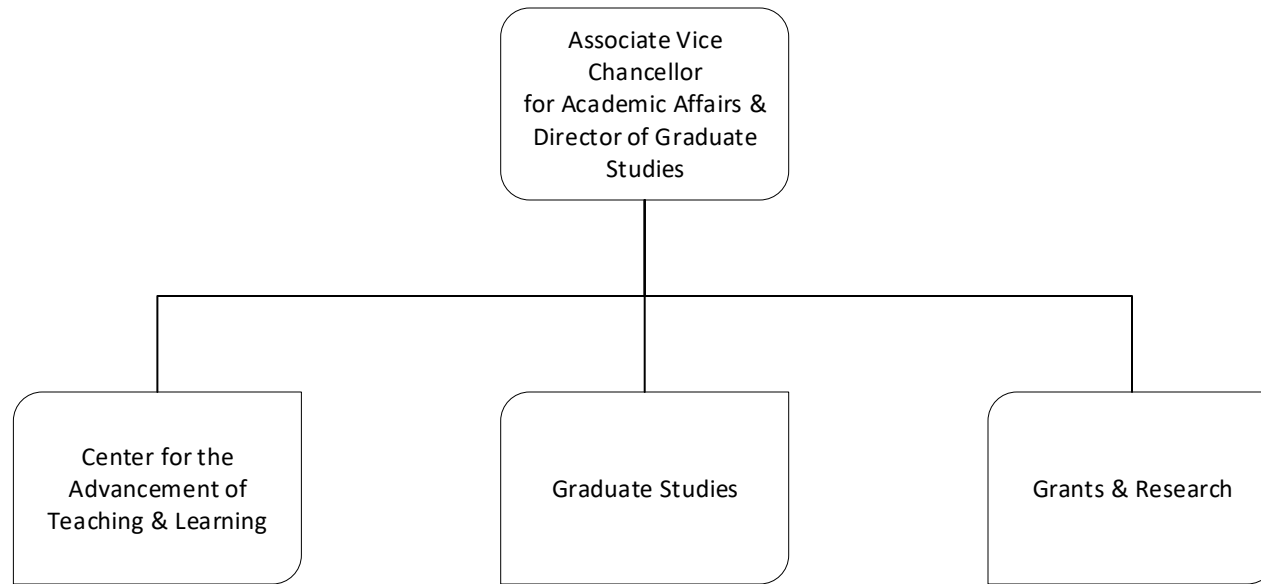




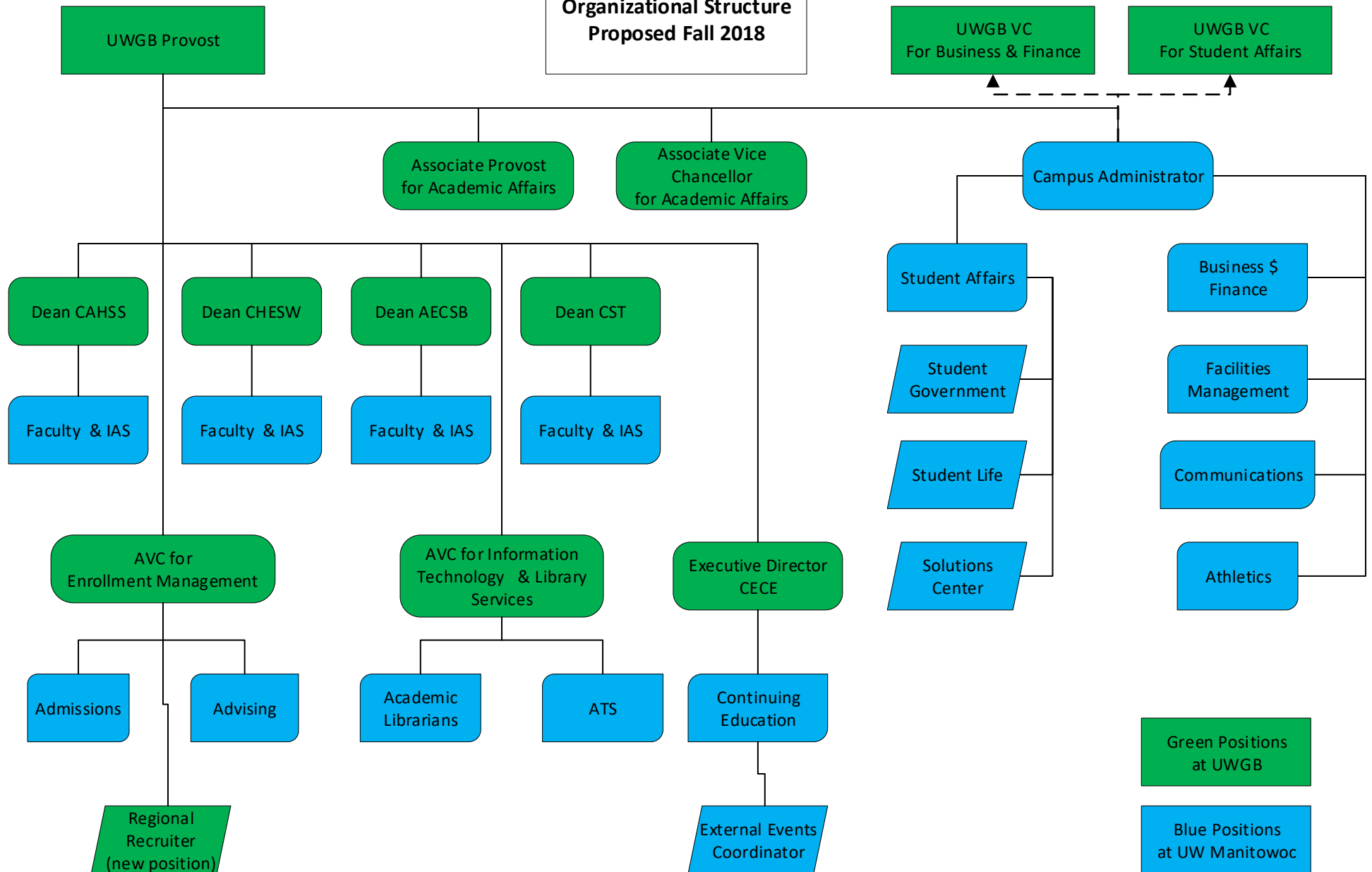


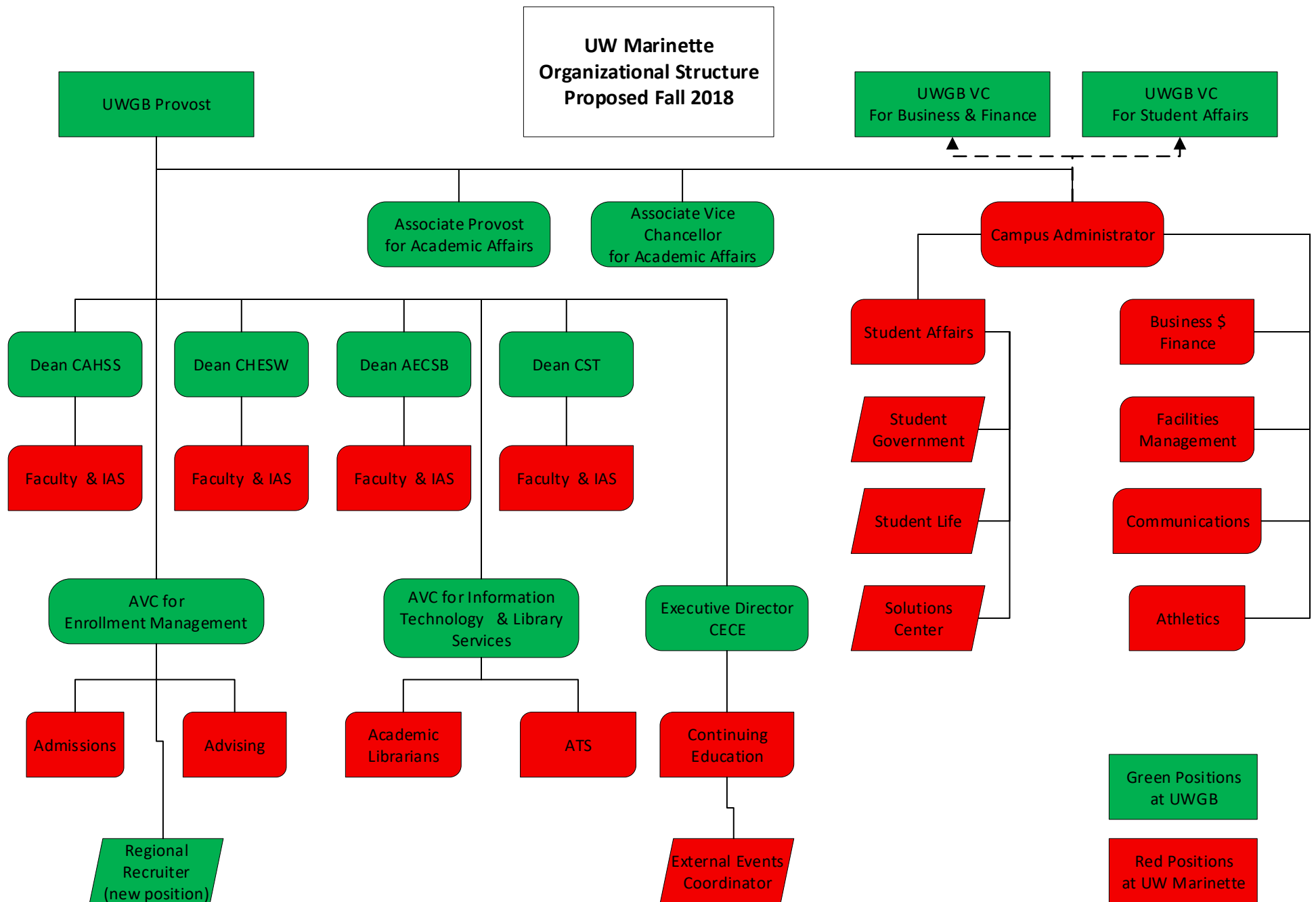




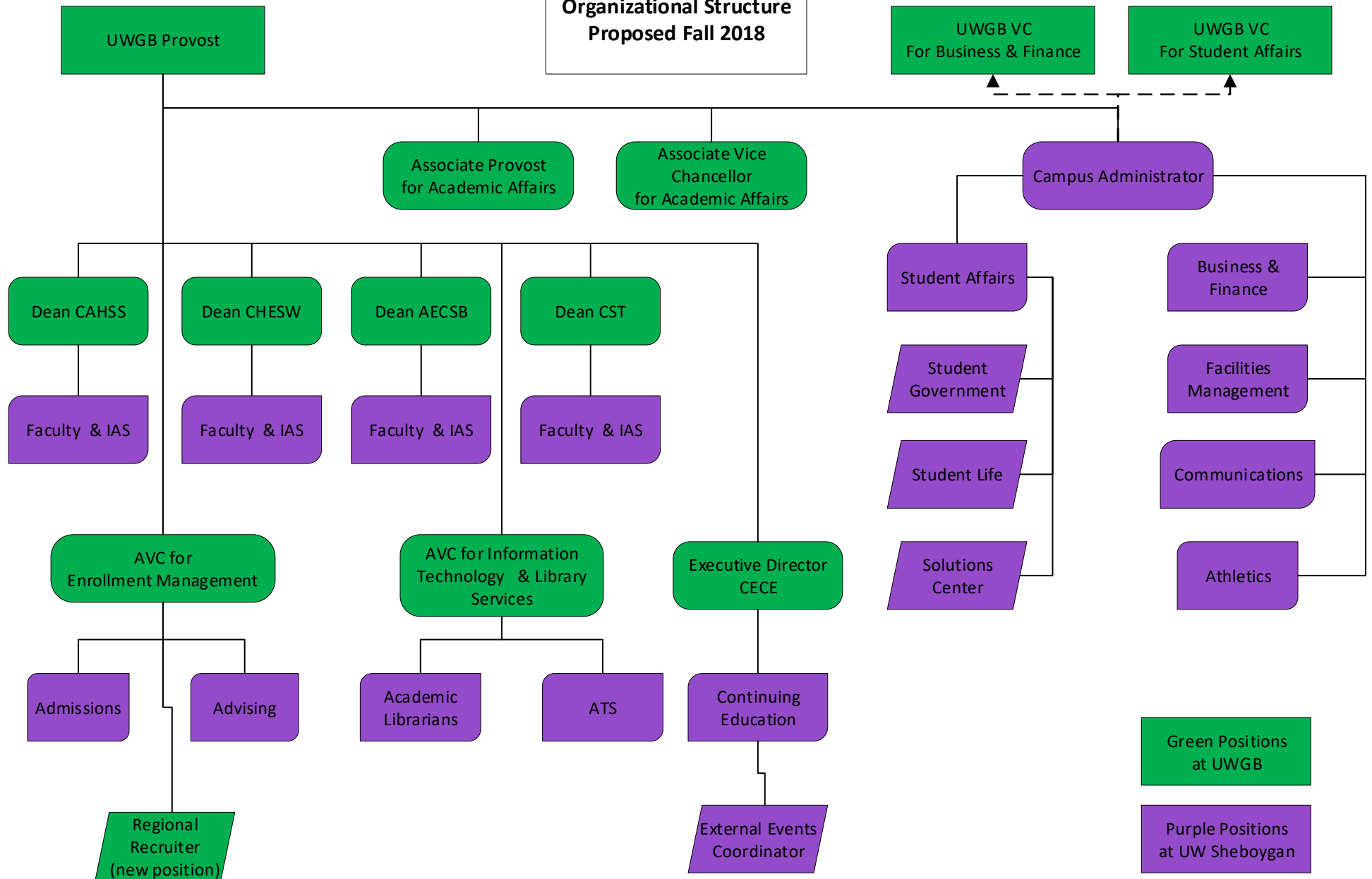


**UW Manitowoc
Organizational Structure
Proposed Fall 2018**





**UW Sheboygan
Organizational Structure
Proposed Fall 2018**





Office of Marketing and UNIVERSITY COMMUNICATION

UW-Green Bay Mission Statement

The mission statement which follows describes the general purposes and character of the University of Wisconsin-Green Bay.

When approved by the Board of Regents, this select mission statement became the foundation planning document for the University of Wisconsin-Green Bay. However, the select mission statement does not in and of itself provide any particular program entitlement not specifically authorized on its own merits by the Regents.

The select mission statement should be regarded as a living document subject to change. When it is clear that modification in the select mission statement would support more effective service, a recommendation for such change can be brought forward for consideration and action by the Board of Regents.

I. The Select Mission

The University of Wisconsin-Green Bay provides an interdisciplinary, problem-focused educational experience that prepares students to think critically and address complex issues in a multicultural and evolving world. The University enriches the quality of life for students and the community by embracing the educational value of diversity, promoting environmental sustainability, encouraging engaged citizenship, and serving as an intellectual, cultural and economic resource.

The University offers undergraduate and graduate programs in the liberal arts and sciences and in professional studies that cultivate knowledge and encourage investigations into disciplinary and interdisciplinary fields, promote civic engagement and lifelong learning, and serve the needs of a diverse student body. Programs in the arts and humanities; business, management, and communication; science and technology; education; environment; health science; social and behavioral sciences; and social justice lead to a range of degrees, including AAS, BA, BAS, BM, BS, BSN, BSW, BBA, MS, MSW, and MSN degrees. *(Approved by the UW System Board of Regents, December 2014.)*

II. The Core Mission

As an Institution in the University Cluster of the University of Wisconsin System, the University of Wisconsin-Green Bay shares the following core mission with other institutions of the Cluster:

- a. Offer associate and baccalaureate degree level and selected graduate programs within the context of its approved select mission.
- b. Offer an environment that emphasizes teaching excellence and meets the educational and personal needs of students through effective teaching, academic advising, counseling, and through university-sponsored cultural, recreational, and extracurricular programs.
- c. Offer a core of liberal studies that support university degrees in the arts, letters, and sciences, as well as for specialized professional/technical degrees at the associate and baccalaureate level.
- d. Offer a program of pre-professional curricular offerings consistent with the university's mission.
- e. Expect scholarly activity, including research, scholarship and creative endeavor, that supports its programs at the associate and baccalaureate degree level, its selected graduate programs, and its approved mission statement.
- f. Promote the integration of the extension function, assist University of Wisconsin-Extension in meeting its responsibility for statewide coordination, and encourage faculty and staff participation in outreach activity.
- g. Participate in inter-institutional relationships in order to maximize educational opportunity for the people of the state effectively and efficiently through the sharing of resources.
- h. Serve the needs of women, minority, disadvantaged, disabled, and nontraditional students and seek racial and ethnic diversification of the student body and the professional faculty and staff.
- i. Support activities designed to promote the economic development of the state.

III. The System Mission

The University of Wisconsin-Green Bay shares in the mission of the University of Wisconsin System.

The mission of this System is to develop human resources, to discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of its campuses, and to serve and stimulate society by developing in students heightened intellectual, cultural, and humane sensitivities; scientific, professional, and technological expertise; and a sense of value and

The statement is presented in three sections:

Section I: The Select Mission

Purposes particular to the University of Wisconsin-Green Bay are stated in this section.

Section II: The Core Mission

As an Institution in the University Cluster of the System, UW-Green Bay shares in the purposes of this Cluster.

Section III: The System Mission

As an Institution of the University of Wisconsin System, UW-Green Bay shares in the purpose of the entire System.

purpose. Inherent in this mission are methods of instruction, research, extended education, and public service designed to educate people and improve the human condition. Basic to every purpose of the System is the search for truth.



Memorandum

GARY L. MILLER
Chancellor

To: University Community

From: Gary L. Miller *Gary L. Miller*

Date: October 13, 2016

Subject: The Vision of UWGB for the Future

The public comprehensive mission of UWGB is important for this region and the State of Wisconsin. The Board of Regents approved University Mission Statement guides proximate strategies and tactics to accomplish specific institutional goals as outlined in our Strategic Plan. The results of the *Invent the Future* process, the *Future Imagined* rationale for the four college reorganization, and the newly approved UW System 2020FWD Strategic Framework, represent important campus and system collaborative work that helps shape our activities.

An essential additional planning element is a statement of our long-term aspirations: A Vision. Working with the UPIC, the Deans and other campus leaders, we have developed a Vision Statement for the University (attached). This statement is intended to guide our proximate strategies and tactics (driven by the strategic plan) toward our dreams for the future. The elements of this vision embrace our current strategy, our interdisciplinary commitment, our focus on student success and our desire to be a larger, more engaged university that supports faculty research and teaching.

Currently, the University Planning and Innovation Council is employing the vision and other recent reflections on where we are to refresh the existing University Strategic Plan. Their work will be ready for campus discussion later this semester.

Thank you all for your great work.

Attachment

c: Council of Trustees

University of Wisconsin – Green Bay

Urban-Serving Strategic Vision

The University of Wisconsin-Green Bay is an access-driven, urban-serving comprehensive university that provides a world-class education and promotes economic growth, sustainability, as well as health, wellness, and social equity in Green Bay and the surrounding areas through a commitment to interdisciplinary learning, scholarship, and problem-solving.

To realize this vision, UW-Green Bay must be:

- A university that makes student success its highest priority.
- A large university (10,000 total headcount) approaching 15% out-of-state students with one of the highest proportions of international students in the UW System.
- A diverse university that reflects the community.
- A leading comprehensive, Division I university recognized for connecting community partners in innovative programs of development, education, and sustainability.
- An internationally-recognized university that instills the benefits of interdisciplinary thinking and learning.
- A university known for distinctive programs, including traditional and professional graduate programs.
- A university that invests in its people, values innovation and creativity, and strives to create a work environment that supports personal and professional growth.



UW Colleges
Campuses

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Mission, Goals and Vision of UW Colleges

Mission

The University of Wisconsin Colleges is a multi-campus institution committed to high quality educational programs, preparing students for success at the baccalaureate level of education, providing the first two years of a liberal arts general education that is accessible and affordable, providing a single baccalaureate degree that meets local and individual needs, and advancing the Wisconsin Idea by bringing the resources of the University to the people of the state and the communities that provide and support its campuses.

Approved by the UW Board of Regents
June 9, 2011

Approved by the UW Colleges Senate
April 23, 2010

Goals

1. To excel at delivering a liberal arts general education associate degree that prepares students for transfer to baccalaureate-granting institutions and professional programs.
2. To emphasize teaching excellence including the development, use, and assessment of effective teaching methods.
3. To prepare students for lifelong learning, leadership, service and responsible citizenship.
4. To foster scholarly activity that supports the mission of the University of Wisconsin Colleges.
5. To serve the people of Wisconsin by promoting continuing education and outreach in Wisconsin communities.
6. To participate in collaborative relationships with other University of Wisconsin System institutions, the Wisconsin Technical College

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System, private colleges, and K-12 public schools in order to maximize educational opportunities and resources for the people of Wisconsin.

7. To serve the needs of ethnically diverse students, students with disabilities and nontraditional students.
8. To make available as a service to business, industry and the general public, the unique professional expertise of the faculty and staff.
9. To provide opportunities for civic and cultural enrichment in the communities that support its campuses.

Approved by the UW Colleges Senate
January 15, 2003

Approved by the UW Board of Regents
May 7, 2004

Vision

The UW Colleges will be Wisconsin's institution of access, innovation and quality in teaching, learning and community service.

In order to realize the mission, all members of the UW Colleges community have a responsibility to promote and a right to expect:

Respect for Persons

Basic to respect is the freedom of inquiry and expression — the right to be heard and the obligation to listen. Respect is mutual; it is founded on the recognition that members of the community are multi-faceted with many gifts and challenges and come from diverse cultural and socio-economic backgrounds. The campus environment should be free from intimidation and harassment. Disagreement within the community is expected to be resolved through a process of mutual respect.

Personal Integrity

All community members must meet high standards of personal and academic integrity. Recognizing the value of others' time and effort, we strive to be accurate, to be timely, and to evaluate critically. Views should be presented honestly; taking credit where credit is not due contradicts the goals of learning.

Individual Development

Initiative, critical thinking, the pursuit of truth and the exchange of ideas are essential to any academic experience. Community members should be committed to continuous improvement in themselves and others. All should be prepared to devote whatever time and effort is necessary both to educate and be educated. As the learning community fosters self-development, it should provide ample and accurate advising. Opportunities for professional development and

training are essential for individual growth.

Considerate Assessment

The learning environment requires considerate assessment. The criteria for assessment should be mutually acknowledged, public and unambiguous. Assessment should be ongoing, focusing not only on individual community members but also on the educational process itself. The community helps its members to identify and assess their various responsibilities.

Responsive Institution

Each member of the community has a right and a responsibility to contribute to the success of the institution. The university should provide a responsive curriculum, smooth transfer procedures, and fair grievance processes and policies. All segments should be involved in budgeting and other long-range planning. Leaders seek and respect input gained through the shared governance process, so that decisions are made in the best interests of all members. Institutional and campus policies contribute to the success of all members of the community.

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Memorandum

GARY L. MILLER
Chancellor

To: University Community

From: Gary L. Miller *Gary L. Miller*

Date: April 7, 2017

Subject: University Mission

As we continue to do the hard work of aligning expenses with revenues for the coming year and beyond, discussions have arisen regarding plans to restructure the Board of Regents (BOR) approved Select Mission of the University. Let me provide some background to those discussions.

From its beginning, UWGB has relied on the deep support of this community. The story of how this community fought to establish a four-year University here is well known to all of us. Community support brought the Weidner Center for the Performing Arts and the Kress Events Center to campus. Community support helped establish our Division I athletic program and continues to support that program today. For nearly twenty years, the UWGB Council of Trustees (COT) has provided important material and political support for the University. In recent years, the COT Advocacy Committee has played a key role in promoting the significance of the University in the economy of Northeastern Wisconsin, one of the most important sectors of the Wisconsin economy. The COT Program and Initiative Advisory Committee has played a key role in helping us develop support for academic programs as they move through the arduous System approval process.

The UWGB Foundation has worked with great skill to optimize our endowments and quasi-endowments in order to support students and programs. The UWGB Alumni Association is growing and increasingly engaged in active support of philanthropy and student recruitment. Countless members of the community provide service and advice to us because of their love of this University. UWGB faculty and staff serve as members on nearly every major board and advisory group in the region and provide countless hours of consulting and other kinds of support to the community.

So, it was not surprising that the year-long Greater Green Bay Chamber strategic economic development planning initiative, which included all of the top business, government, not-for-profit and education leaders of Green Bay and Brown County, focused heavily on the role of higher education as a key driver in expanding the local economy through educational attainment, high wages job creation, capital investments, business startups and growth in the local tax base. On May 10, the Greater Green Bay Chamber will release the results of their extensive study, which was facilitated by Tip Strategies of Austin, Texas. The recommendations of the study are based on national benchmarks and lessons from important urban projects from around the country.

One of the key messages of the report will be the need for the expansion and reshaping of the higher education assets in the region. A greatly expanded partnership between NWTTC and UWGB is recommended (something we are already developing). With respect to UWGB, the most important strategic actions recommended are:

- Expand UWGB into downtown Green Bay
- Develop engineering programs at UWGB
- Re-Mission UWGB to be a larger, more R&D focused, broader-reaching university with a long-term trajectory placing it on track to support significantly more research and technology development.

Given our creation as a community initiative, and the support we have and continue to receive from this community, our obligation is to respond directly to these recommendations from community leaders.

This represents a unique opportunity for us. The Chamber recommendations align with the message I presented to the BOR when they met on campus last April. Green Bay is a very different place 50 years after UWGB was founded. The University sits in a vibrant, dynamic, growing and internationally-branded city with large economic sectors in manufacturing, health care, professional sports and the service industries. The confluence of difficult economic times, innovative thinking in the community and the need to address important imperatives (e.g., degree attainment; middle class wage decline; emerging regional diversity, etc.) present UWGB with an uncommonly large suite of unique opportunities, some of which I have mentioned in our recent college meetings. Recognizing these opportunities require a different kind of university partnership, the community is asking us to reexamine ourselves with respect to the new realities of our region.

The University System has a process for campus reconsideration of the select mission, which we will initiate this summer. The System process will include public hearings regarding any new mission recommended. The campus process will begin with college-level vision and missioning exercises led by the Deans. Each college will be asked to shape a vision of their college in consideration of (a) the Chamber recommendations; (b) regional social and economic goals; (c) the changing nature of work, (d) the future of the various disciplines and programs; and (e) the changing nature of knowledge and learning. The goal of this college-level work will be to sharpen college program priorities; emphasize the social, cultural and civic impact of key higher learning dimensions (e.g., Humanities; Arts and Music; Social Sciences; Communications; STEM; Business; Helping Professions, etc.); and make the case for the college vision and mission in the context of the Green Bay environment. These college visions will form the foundation of organized campus and community discussions regarding a contemporary mission for UWGB. The details of this planning process will be discussed with the University Committee and released near the end of the semester.

The Chamber report leaves no doubt of the importance of UWGB to the future of this region and the expectation that we will be nimble in our response to the dramatic changes that have occurred in the past 50 years and those that will continue to occur. I look forward to working with you and the community to seize this important opportunity.

c: President Ray Cross, UW System
Council of Trustees

Statement on Program Review excerpted from UWGB's Assurance Argument (4.A.1)

UWGB has conducted regular program reviews of academic programs for over 20 years. Since the last time the Higher Learning Commission reviewed the campus (2007), the University has modified several practices, and the scope of programs subject to review has expanded. In 2008, the cycle for regular program reviews moved from five years to seven. The modifications made in 2008 also included requiring programs to review the major's learning outcomes, assessment plans, and recent results from student learning outcomes assessments. Accredited programs also prepare self-studies in accordance with the guidelines and schedules required by their accrediting bodies.

Program reviews evaluate the effectiveness of programs and suggest appropriate modifications. The process of academic program review begins with faculty members of the academic program writing a self-study that addresses core issues. All units have access to standard data sets maintained by the Office of Institutional Research and Assessment (OIRA) and updated each February. The Academic Affairs Committee (AAC) and the program's academic Dean review the self-study. The self-study, the AAC's review, and Dean's review are available online at a site maintained by the Secretary of the Faculty and Academic Staff (SOFAS) and updated at the start of each year. The scope of academic program review has recently expanded to include several new majors and master's programs. As the array of Master's programs has grown, establishing regular routines and appropriate information resources has become more critical.

Statement on Curricular Assessment excerpted from UWGB's Assurance Argument (4.B.2 & 3)

UWGB has a campus-wide, both inside and outside the classroom, which helps to inform curricular, co-curricular, and programmatic development.

Curricular Program Assessment

All academic programs at UWGB assess and report the Student Learning Outcomes (SLO) for their specific programs. Each year, academic programs develop an annual assessment plan in which they identify program SLOs to be assessed and the methods for assessing these outcomes. During the academic year, programs carry out the assessment plans they have developed, and at the end of the year submit Assessment Reports in which they record their results and outline appropriate curricular and programmatic changes as suggested by the results. In the following year, the (APAS) reviews annual assessments submitted by the academic programs and provides feedback and recommendations.

The goals for each academic program are informed by UWGB's mission, goals, and learning outcomes, along with best practices and accreditation requirements. For example, the Psychology program bases its programmatic assessment on the American Psychological Association's guidelines for the undergraduate. Programs within the College of Health, Education, and Social Welfare have a history of successfully meeting rigorous accreditation and

licensing standards, including those specific to assessment of student learning outcomes. Social Work received reaffirmation of accreditation in 2013 (BSW) and 2015 (MSW). Nursing and Health Studies received reaccreditation in 2015 (BSN & MSN). Ongoing accreditation efforts inform the UWGB programmatic assessment for these programs. For example, Social Work incorporates the Council on Social Work Education (CSWE) Competencies into its program assessment plan.

In 2015, UWGB improved its program assessment process by requiring programs to identify how data would be used to inform future programmatic improvements. One example of a completed report that demonstrates program improvement based on SLO data is that of Nursing which focused on student professionalism.

As discussed in 3.B.3, are assessed on a rotating basis. In 2014-15, assessment of the Quantitative Literacy learning outcome showed that 72% of undergraduate students satisfactorily accomplished all parts of the Quantitative Literacy learning outcome. In 2016, the General Education Council (GEC) reviewed the General Education learning outcomes and concluded that they were overly complex. As a result, the GEC refashioned the learning outcomes into a simpler, more manageable array. These outcomes were approved by the Faculty Senate on December 12, 2016.

Assessment of student learning outcomes in the Office of Continuing Education and Community Engagement resulted in a revision of learning outcomes and a change in the name of the Interdisciplinary Studies major to Integrative Leadership Studies. In 2016, this program was moved to the College of Arts, Humanities, and Social Sciences as part of the institutional restructuring of Academic Affairs.

Statement on Curricular Development excerpted from UWGB's Assurance Argument (4.A.4)

UWGB's Curriculum Planning and Procedures Guide (PROVOST_CurriculumGuide_2017) describes the process for curriculum approval procedures, from modification of existing courses to the establishment of new degrees. Course modifications and curriculum planning involve faculty and respective unit Executive Committees under the leadership of the unit chairperson.

All new course proposals must identify student learning outcomes, course description, credit hours, required and/or recommended pre-requisites, resource/facilities requirements, and supporting documents. Courses are vetted by the respective unit Executive Committees, Dean, the General Education Council (GEC), and the Academic Affairs Council (AAC) or the Graduate Academic Affairs Council (GAAC), as appropriate. Final approval of courses occurs at the Provost level.

All new degrees go through an extensive process involving approval and/or recommendation from numerous university committees, including the Faculty Senate as well as UW System. This process also includes review of the degree proposal by two outside consultants

who have experience with a degree program similar to the one being proposed. The Curriculum Planning and Procedures Guide (PROVOST_CurriculumGuide_2017) describes this process.

The Registrar assigns course numbers according to the level of instruction: 100-200 numbers indicate lower level support courses, 300-400 numbers indicate upper level undergraduate courses, 500-700 numbers indicate master's level courses, and 800-900 numbers are reserved for doctoral level courses.

The Associate Provost for Academic Affairs has administrative leadership for programs and services that impact student learning and instruction, such as curriculum development processes and academic program review. The authority and assurance of expectations for student learning fall within his purview. Faculty governance also exercises leadership around curriculum. For example, the General Education Council (GEC)(SOFAS_GEC_Charge) was instrumental in developing and approving the revised General Education program (PROVOST_GeneralEducationProgram_2017-2018) implemented in fall 2014.

UWGB has expended significant effort and resources at improving the development and quality of student learning outcomes by academic programs since the last HLC accreditation review. The position of Special Assistant to the Provost for Institutional Assessment was created in 2012 to assist in developing a repository of student learning outcomes for each program and enhance departmental efforts in development or refinement of program outcomes. Three different faculty members occupied this position between August 2012 and August 2015. Due to resource limitations and position description changes, the position was suspended in late 2015, and the Associate Provost now oversees assessment.

All undergraduate courses have learning outcomes that are listed on course approval forms and in course syllabi. Program outcomes for undergraduate majors are available on the Assessment website (PROVOST_ASSESSMENTWEBSITE_2016). Additionally, each program has an annual Assessment Plan and Assessment Report. All graduate courses have learning outcomes that are listed on course approval forms and in course syllabi. Programmatic Assessment Plans and Reports are published on the Assessment website.

Statement on Evaluation of Students excerpted from UWGB's Assurance Argument (4.A.6)

UWGB has evaluated the success of its graduates for over 20 years. Three offices on campus collect and analyze employment and graduate-school outcomes. Since the Higher Learning Commission last reviewed UWGB, these offices have worked together to clarify their roles and avoid duplication.

The Office of Institutional Research and Assessment surveys graduates just prior to their graduation and again after three years. Although these surveys collect employment and graduate school data, their central purpose is collecting indirect assessment data and satisfaction measures. For example, the Alumni Survey asks respondents to evaluate their educational experiences and achieve of learning outcomes. Academic programs reflect on these results through the program

review process; each program writing a self-study receives survey results from its majors from the Office of Institutional Research and Assessment.

Career Services conducts a “first-destination” survey of students to record their placement during the first year after graduation. Campus-wide and major-specific reports are available online for the most recent year and for each cohort extending back to 2007. In 2013, UWGB was selected to participate in an audit of placement rate data by UW System. The audit findings supported the campus’ practices. The audit suggested changing the collection of salary data from an open-ended item to a question with set ranges. Career Services made that change for two years (2014, 2015), but returned to the open-ended item for the class of 2016 in line with guidelines from the National Association of Colleges and Employers (NACE). UWGB’s first-destination data reflect positive outcomes for recent graduates. Of the 841 respondents to the 2016 survey, 96.3% reported that they were either employed or continuing their education. Among the 702 respondents who indicated the geographic region in which they were employed, 85.5% were employed in Wisconsin, and of the 477 who responded to the question “Is your position related to your major/program of study,” 88% described their current jobs as “very” or “somewhat” related to their major.

The Alumni Office, under the direction of University Advancement, also maintains records of graduates’ employment. Academic units can access contact information for alumni to conduct focused assessments, although most units tend to use the survey results described above.

The U.S. Department of Education has exerted pressure on universities to improve data collection relating to outcomes, and has begun to provide additional tools for schools. In 2015, the Department implemented the College Scorecard. In the fall, when the Department updates scorecard information, UWGB’s Office of Institutional Research reviews the information with senior administration. The University Accreditation and Assessment Committee reviews and discusses scorecard results in the spring. The scorecard contains two items that measure long-term success. The average salary of students (not graduates) six years after attending shows that students from UW-Green Bay earned \$39,600, slightly above the national comparison figure of \$34,300; 66% of students who attended UWGB earned more than the average for high school graduates in the same age bracket. The second measure of long-term success is the percent of students with federal loans who have begun to pay off that debt within three years of leaving school or graduating. UWGB’s rate of 90% suggests more positive employment outcomes than the national rate of 66%.

Statement on Distance Delivery excerpted from UWGB’s Assurance Argument (3.B.3)

UWGB offers courses both on the main campus and off-campus in partnership with regional school districts (e.g., dual credit programming and Master of Science in Applied Leadership for Teaching and Learning program). UWGB also has a vibrant online learning environment. UWGB has consistent processes for program and course approval, instructor approval, and quality review for all modalities and locations. All courses, whether intended as

long-term offerings or one-time only, must undergo review and approval via defined curriculum processes. These processes include review and approval by faculty, budgetary unit Chairs, Deans, and Provost. Proposed online courses undergo additional review using the QM benchmarks or review by the Dean of the appropriate College, as outlined in the UWGB Distance Education Policy.

Individuals who are not members of the regular UWGB faculty may teach courses as long as the individuals meet the stated faculty qualifications. The process requires a review of vita and rationale based on exceptional qualifications related to the course and the individual's current credentials. Similarly, instructors teaching dual-enrollment courses in high schools must be approved by the relevant academic department. The instructor also hosts a site visit from a university faculty mentor and provides evidence of student learning.

Academic Affairs Council Charge

- Upon request of the appropriate Dean(s), the Academic Affairs Council shall approve or disapprove of all new programs or on modification to existing programs (majors and/or minors), and on all new credit courses or modifications to existing credit courses at both the undergraduate and graduate levels.
- The Academic Affairs Council shall have the responsibility and authority for review of all credit courses and all academic programs at both the undergraduate and graduate levels. Its official response, including its decision, shall be forwarded to the Faculty Senate through the University Committee. The Faculty Senate will publish all curricular decisions made by the Academic Affairs Council in the minutes of its monthly meetings and forward them along with copies of all official Academic Affairs Council correspondence to the Provost/Vice Chancellor for Academic Affairs.

In a case where the Academic Affairs Council does not approve a new course or program, the initiator of that new course or program may ask the Academic Affairs Council for reconsideration of the decision, providing new arguments or supplementary evidence in support of the claim or making appropriate modifications in the proposal to meet the Academic Affairs Council's published objections. If this initial appeal fails to produce a satisfactory conclusion in the view of the initiator, a second appeal to the University Committee is possible. In such cases the University Committee may investigate the appeal themselves or establish an ad hoc committee to do so. If the University Committee chooses to overturn the second no approval decision, the results of that deliberation will be reported to the Senate, published in the Senate minutes and forwarded to the Provost/Vice Chancellor for Academic Affairs.

- The Academic Affairs Council shall have the responsibility for examining the interrelationships among program areas in the University and for overseeing for the faculty the total academic plan and its various programs and components. This examining and overseeing function shall include, but not be limited to, the reviewing of course titles and content for duplication, and the monitoring of records pertaining to enrollments in lower division courses, upper division courses, the graduate program, and career and adult education courses. The final decision of the Council shall be forwarded to the Faculty Senate through the University Committee. The Faculty Senate will publish all curricular decisions of the Academic Affairs Council in the minutes of its monthly meetings and forward them along with copies of all official Academic Affairs Council correspondence to the Provost/Vice Chancellor for Academic Affairs.
- On its own initiative, or upon request of the University Committee, the Academic Affairs Council may advise the Faculty Senate about issues of educational policy and implementation that fall within the jurisdiction of the Faculty.
- The Academic Affairs Council shall annually provide the Secretary of the Faculty and Academic Staff, for inclusion in the *Faculty Governance Handbook*, a current list of: 1) Interdisciplinary Units and 2) approved academic programs (including majors, minors, emphases, graduate programs, and certificate programs) and the Interdisciplinary Units responsible for them.

Secretary of the Faculty and Staff

UW - Green Bay, 2420 Nicolet Drive, Green Bay, WI, 54311, USA

Contact Us: (920) 465-2211 or sofas@uwgb.edu

University Accreditation and Assessment Council Charge

1. The University Accreditation and Assessment Council shall be composed of the Associate Provost for Academic Affairs (Chair), the Assistant Vice Chancellor for Professional Development and Grants and Director of Graduate Studies, the Director of Student Success and Engagement, and representatives from each of the colleges, Outreach and Adult Access, Student Services, Enrollment Services, the Library, Student Government, the Academic Affairs Council, the Graduate Academic Affairs Council, and the General Education Council, and two faculty members with experience and/or interest in assessment methods. The Coordinator of Assessment and Testing Services and the Director of Institutional Research will serve as ex officio, nonvoting members.
2. Appointment of representatives of is the responsibility of the respective division head.
3. Nomination of faculty candidates for appointment to the University Accreditation and Assessment Council is the responsibility of the Committee on Committees and Nominations. Appointments are made annually by the Provost. Faculty members serve three-year staggered terms to ensure continuity.
4. The University Accreditation and Assessment Council is advisory to the Provost and Vice Chancellor and Associate Provost for Academic Affairs and her/his designee and serves the following functions:
 - a. Guides UW-Green Bay's reaccreditation process including (i) regularly communicating back to the campus community regarding Higher Learning Commission (HLC) related activities; (ii) providing advice related to the University's efforts to document compliance with the HLC Assurance and Quality Improvement components of the new accreditation process; and (iii) preparing and planning for the HLC site visits.
 - b. Develops and monitors the implementation of the University's Assessment Plan.
 - c. Promotes and supports the institution-wide assessment activities related to the assessment of student learning outcomes, particularly in the context of the seven-year academic program review cycle.
 - d. Integrates all assessment activities carried out by academic programs, student affairs and other support areas.
 - e. Provides advice on assessment related issues.
5. The University Accreditation and Assessment Council shall appoint an Academic Program Assessment Subcommittee (APAS) for the purpose of reviewing the Annual Assessment Updates submitted by the academic programs. The APAS will meet on a regular basis and provide feedback and recommendations to the chairs of the academic programs. In addition, the APAS will submit an annual report to the UAAC. The APAS will consist of four faculty members (one from each domain) with experience and/or interest in assessment, two graduate faculty members with experience and/or interest in assessment, the Dean or Associate Dean of each college, and the Associate Provost for Academic Affairs (Chair).
6. The chair of the Council must submit a report of its activities at the end of each academic year to the Provost and Vice Chancellor for Academic Affairs and the Secretary of the Faculty and Academic Staff.

Last revised September 12, 2016

Secretary of the Faculty and Staff

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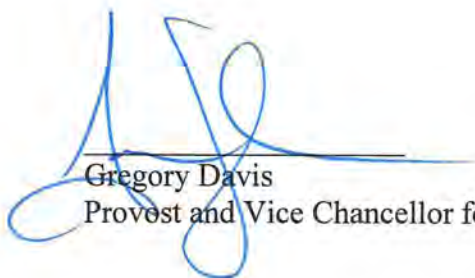
Contact Us: (920) 465-2211 or sofas@uwgb.edu

CURRICULUM PLANNING AND PROCEDURES GUIDE

UNIVERSITY OF WISCONSIN - GREEN BAY

Approved by the
University Committee and Faculty Senate

Revised January 2017



Gregory Davis
Provost and Vice Chancellor for Academic Affairs

January 6, 2017

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Introduction

This Guide provides an overview of the UW-Green Bay curriculum approval procedures ranging from the establishment of new degrees to minor modifications of existing courses.

The curriculum approval procedures have been structured to comply with existing UW-Green Bay and UW System policies and procedures while at the same time encouraging faculty to creatively develop and refine the University's curriculum and academic programs to improve quality and maximize student learning opportunities.

The Guide is divided into three major parts. Part I provides a description of the step-by-step process that must be followed to obtain approval for a particular curricular modification. Each of the sections in Part I are intended to provide a complete description of the approval process. The user of this Guide should refer to the Table of Contents to locate the pages containing a description of the curricular modification that needs to be approved.

Part II contains copies of all curriculum approval forms referenced in the Guide.

Part III contains copies of all relevant UW-System policies and procedures documents. These documents are referenced in the step-by-step procedures section of the Guide as appropriate.

If you have questions, contact the Associate Provost for Academic Affairs or the Secretary of the Faculty and Academic Staff.

Clifton Ganyard
Associate Provost for Academic Affairs
January 2017

OVERVIEW OF CURRICULUM APPROVAL PROCEDURES

Academic Action		Interdisciplinary Program	Dean(s)	General Education Council	Graduate Academic Affairs Council	Academic Affairs Council (undergrads)	UC & Faculty Senate	Provost	Chancellor	UW System Administration	Board of Regents
A1	Establish degree	A	A	R	A	A	A	A	A	A	A
A2	Modify degree requirements	A	A	R ¹	A	A	N	A	I	I	I
A3	Rename a degree	A	A	N	A	A	N	A	I	I	I
A4	Discontinue a degree	A	A	N	A	A	A	A	A	I	I
B1	Establish a major	A	A	N	A	A	A	A	A	A	A
B2	Substantially modify major requirements	A	A	N	A	A	N	A	N	I	I
B3	Slightly modify major requirements	A	A	N	A	A	N	A	N	N	N
B4	Rename a major	A	A	N	A	A	N	A	N	I	I
B5	Discontinue a major	A	A	N	A	A	A	A	A	I	I
C1	Establish a new minor	A ²	A	N	A	A	A ³	A	I	I	I
C2	Modify minor requirements	A ²	A	N	A	A	N	A	N	N	N
C3	Rename a minor	A ²	A	N	A	A	N	A	N	I	I
C4	Discontinue a minor	A ²	A	N	A	A	A ³	A	I	I	I
D1	Establish area of emphasis	A	A	N	A	A	N	A	N	I	I
D2	Modify area of emphasis requirements	A	A	N	A	A	N	A	N	N	N
D3	Discontinue area of emphasis	A	A	N	A	A	N	A	N	I	I
E1	Establish certificate program	A	A	N	A	A	N	A	I	I	I
E2	Modify certificate program requirements	A	A	N	A	A	N	A	N	N	N
E3	Discontinue a certificate program	A	A	N	A	A	N	A	I	I	I

A = Approval Needed
N = No Action Required

R = Recommendation Only

I = Informed of Decision

¹Required only if the change involves a general education requirement.

²Required only if the minor is under the auspices of an interdisciplinary budget unit.

³Required only if the minor is a “stand alone” minor.

OVERVIEW OF CURRICULUM APPROVAL PROCEDURES, CONTINUED

Academic Action		Interdisciplinary Program	Dean(s)	General Education Council	Graduate Academic Affairs Council	Academic Affairs Council (undergrads)	UC & Faculty	Provost	Chancellor	UW System Administration	Board of Regents
F1	Modify General Education program	R	N	A	N	N	A	A	I	N	N
G1	Establish a cooperative program	A	A	R	A	A	A	A	A	A	A
G2	Discontinue a cooperative program	A	A	N	N	N	N	A	I	I	I
H1	Offer an existing degree program off-campus	A	A	N	A	A	N	A	A	A	I
H2	Discontinue an off-campus degree program	A	A	N	N	N	N	A	I	I	I
I1	Offer existing degree via distance education	A	A	N	A	A	N	A	A	A	I
I2	Discontinue a distance education degree program	A	A	N	N	N	N	A	I	I	I
J1	Establish an Articulation Agreement	A	A	I	I	I	I	A	I	I	I
J2	Establish a Memorandum of Understanding	A	A	I	I	I	I	A	I	I	I
K	Establish, merge of discontinue an academic unit	A	A	N	A ⁴	A ⁴	A	A	A	I	I
L1	Develop a new course offering	A	A	R ⁵	A	A	N	A	N	N	N
L2	Change an existing course	A	A	R	A ⁶	A ⁶	N	A	N	N	N
L3	Deactivate/Reactivate course	A	A	R	A	A	N	A	N	N	N
L4	Develop an experimental course offering	A	A	A ⁵	N	N	N	N	N	N	N

A = Approval Needed R = Recommendation Only I = Informed of Decision
N = No Action Required

⁴The Academic Affairs Council or Graduate Academic Affairs Council and Personnel Council meet jointly on these matters.

⁵Required only if the course is intended to meet a general education requirement.

⁶Required only if the revisions are substantial as indicated on the Master Course Form.

A. 1. Establish New Degree

Academic Action: Establish a program of study that leads to the awarding of a specific bachelor's or master's degree (e.g., Bachelor of Arts, Bachelor of Business Administration) that is in compliance with UW-Green Bay and UW System policies.		
Curricular Requirements:	Bachelor's Degree: minimum of 120 degree credits; 30 credits in residence; satisfaction of UW-Green Bay general education and major requirements; minimum of 2.0 cumulative grade-point average. Master's Degree: Typically 30-36 credits.	
Originator of Process:	Interdisciplinary Unit Executive Committee	
Approval Process:	CourseLeaf: <u>Program Admin</u> : Propose New Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation	A	Initiating Faculty Committee
	R	Other Interdisciplinary Unit Executive Committee(s)
	R	General Education Council
	A	Dean(s)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	University Committee/Faculty Senate
	A	Chancellor
	R	Program Review Committee
	A	UW System Administration
	A	UW System Board of Regents
Approval Process		
Step 1	A faculty committee prepares a Notice of Intent to Plan a new degree following the guidelines established by UW System and described in <i>UW System Administrative Policy 102</i> (formerly ACIS 1.0) <i>Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting</i> . Following approval by the Dean and Provost, the Provost submits the proposal to the UW System Associate Vice President for Academic Programs and Educational Innovation (APEI).	
Step 2	After receiving the entitlement to plan, a faculty committee prepares a full proposal following the guidelines established by UW System and described in <i>UW System Administrative Policy 102</i> (formerly ACIS 1.0) <i>Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting</i> . (See Appendix B) and completes the Propose New Program form in CourseLeaf (see Appendix A).	
Step 3	If any courses or other degree requirements are outside the jurisdiction of the initiating faculty committee, then the draft proposal must be reviewed by the Interdisciplinary Unit(s) impacted by the creation of the new degree. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 4	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Interdisciplinary Unit Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 5	The Dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then routed to the appropriate	

	<p>governance committees. The Academic Affairs Council or Graduate Academic Affairs Council should be the last governance committee to review the proposal.</p> <ul style="list-style-type: none"> ▪ <u>General Education Council</u> – if the degree involves changes to the institution’s general education requirements. ▪ <u>Graduate Academic Affairs Council</u> – if the proposal involves a master’s degree. ▪ <u>Academic Affairs Council</u> – if the proposal involves a bachelor’s degree. <p>Following the AAC or GSC review, an approved proposal is forwarded to the chair of the University Committee for action by the Faculty Senate. (Note: Step #5 and #6 can be done concurrently.) If not approved by the AAC or GSC, the proposal is returned to appropriate dean(s).</p>
Step 6	Two outside consultants, who have experience with a degree program similar to the one being proposed, are contacted by the dean to conduct a review of the proposal. The recommendations of these reviewers are forwarded to the Provost and included with the proposal as it progresses through the approval process.
Step 7	The dean(s) is/are responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal it is sent to the Provost for review and approval. If <u>not</u> approved by the Faculty Senate, the proposal is returned to the appropriate Dean(s).
Step 8	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the appropriate dean.
Step 9	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the new degree.
Step 10	If approved, the Provost forwards the proposal and supporting documentation to a Program Review Committee consisting of a Provost representative, one or two institutional representatives and a UW System representative. The Committee reviews the proposal and submits, through the Provost, a recommendation to the UW System Associate Vice President for Academic, Faculty, and Global Programs for approval.
Step 11	If approved by the UW Associate Vice President, the proposal is submitted to the UW Board of Regents Education Committee and full Board for approval.
Step 12	If approved by the Board of Regents, the Provost notifies the Office of the Registrar that the new degree has been approved and when it should be officially implemented.

A. 2. Modify Degree Requirements

Academic Action: Modify the course or non-course requirements of an existing bachelor's or master's degree.		
Curricular Requirements:	Bachelor's Degree: minimum of 120 degree credits; 30 credits in residence; satisfaction of UW-Green Bay general education and major requirements; minimum of 2.0 cumulative grade-point-average. Master's Degree: Typically 30-36 credits.	
Originator of Process:	Interdisciplinary Unit Executive Committee	
Approval Process:	CourseLeaf: <u>Program Admin</u> ; Edit Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Interdisciplinary Unit Executive Committee
	R	Other Interdisciplinary Executive Committee(s)
	A	Dean(s)
	R	General Education Council (see Step 4 below)
	A	Graduate Academic Affairs Council (see Step 4 below)
	A	Academic Affairs Council (see Step 4 below)
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of an Interdisciplinary Unit Executive Committee prepares a proposal to modify existing degree requirements and completes the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	If the proposed modification(s) involves courses or other degree requirements that are outside the jurisdiction of the initiating Executive Committee, the draft proposal must be reviewed by the Interdisciplinary Units(s) that will be impacted by the changes. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Interdisciplinary Unit Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	<p>The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then routed to the appropriate governance committees. The Academic Affairs Council or the Graduate Academic Affairs Council should be the last governance committee to review the proposal.</p> <ul style="list-style-type: none"> ▪ <u>General Education Council</u> – if the degree involves changes to the institution's general education requirements. ▪ <u>Graduate Academic Affairs Council</u> – if the proposal involves a master's degree. ▪ <u>Academic Affairs Council</u> – if the proposal involves a bachelor's degree. <p>Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.</p>	
Step 5	The proposed degree modification with supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, Dean, Registrar and SOFAS are notified that the degree program requirements have been	

	modified and the effective date of the change. If not approved by the Provost, the proposal is returned to the dean.
Step 6	The Provost notifies the UW Associate Vice President for Academic, Faculty, and Global Programs that modification of requirements to an existing degree program have been made and the effective date of the change.

A. 3. Rename a Degree

Academic Action: Change the name of an existing bachelor's or master's degree.		
Curricular Requirements:	Not applicable.	
Originator(s) of Process:	Interdisciplinary Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Executive Committee
	R	Other Interdisciplinary Units
	A	Dean(s)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration
	I	Board of Regents
Approval Process		
Step 1	The chair of an Interdisciplinary Executive Committee prepares a proposal to rename an existing degree program and completes the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	If renaming of the degree impacts units outside the jurisdiction of the initiating Executive Committee, the draft proposal must be reviewed by the Interdisciplinary Unit(s) that will be impacted by the changes. The chair of the initiating Executive Committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. Each unit impacted must respond, in writing, to the request to review the proposal. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Interdisciplinary Unit Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are sent to the Academic Affairs Council (for bachelor's degrees) or Graduate Academic Affairs Council (for master's degrees) for its review and approval.	
Step 5	The proposed name change is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.	
Step 6	The proposed name change with supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are notified that the degree program requirements have been modified and the effective date of the change. If not approved by the Provost, the proposal is returned to the dean.	
Step 7	The Provost notifies the UW Associate Vice President for Academic, Faculty, and Global Programs that the name of an existing degree has been changed and when it should be officially implemented.	

A. 4. Discontinue a Degree

Academic Action: Discontinue an existing bachelor's or master's degree program.		
Curricular Requirements:	Not applicable.	
Originator(s) of Process:	Interdisciplinary Executive Committee	
Approval Process:	CourseLeaf: <u>Program Admin</u> : Deactivate Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Executive Committee
	R	Other Interdisciplinary Units
	A	Dean(s)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	University Committee/Faculty Senate
	A	Provost & Vice Chancellor for Academic Affairs
	A	Chancellor
	I	UW System Administration & Board of Regents
Approval Process		
Step 1	The chair of an Interdisciplinary Unit Executive Committee prepares a rationale for discontinuing the degree program and completes the Deactivate Program form in CourseLeaf (see Appendix A).	
Step 2	If discontinuing the degree impacts units outside the jurisdiction of the initiating Executive Committee, the draft proposal must be reviewed by those Interdisciplinary Unit(s). The chair of the initiating Executive Committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. Each unit impacted must respond, in writing, to the request to review the proposal. As the proposal progresses through the approval process, it must include the written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal or not approving the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for bachelor's degrees) or Graduate Academic Affairs Council (for master's or doctoral degrees) for its review and approval.	
Step 5	The proposal is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Approved proposals are forwarded to the chair of the University Committee for action by the Faculty Senate. Proposals that are not approved are returned to the dean.	
Step 6	The dean is responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal it is sent to the Provost for review and approval. If <u>not</u> approved by the Faculty Senate the proposal is returned to the appropriate Dean.	
Step 7	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the appropriate Dean.	
Step 8	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the discontinuation of the degree.	
Step 9	If approved by the Chancellor, the Provost notifies the initiating Executive Committee, dean, Registrar and SOFAS that the degree program will be discontinued and the effective date of the discontinuation. Students who are currently enrolled in the degree program will be allowed a sufficient amount of time to complete the degree requirements and awarded the degree.	

Step10	The Provost also notifies the UW Associate Vice President for Academic, Faculty, and Global Programs that an existing degree program has been discontinued along with the effective date of the action.
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B. 1. Establish a New Major

Academic Action: Establish a disciplinary or interdisciplinary major program of study that is in compliance with UW-Green Bay and UW System policies and procedures.		
Curricular Requirements:	Minimum of 30 degree credits including 24 at the upper level.	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Unit Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Propose New Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation	A	Initiating Faculty Committee
	R	Other Interdisciplinary Unit Executive Committee(s)
	A	Dean(s)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	University Committee/Faculty Senate
	A	Chancellor
	R	Program Review Committee
	A	UW System Administration
	A	UW System Board of Regents
Approval Process		
Step 1	A faculty committee prepares an a Notice of Intent to Plan a new major following the guidelines established by UW System and described in <i>UW System Administrative Policy 102 (formerly ACIS 1.0) Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting</i> . Following approval by the dean and Provost, the Provost submits the proposal to the UW System Associate Vice President for Academic Programs and Educational Innovation (APEI).	
Step 2	After receiving the entitlement to plan, a faculty committee prepares a full proposal following the guidelines established by UW System and described in <i>UW System Administrative Policy 102 (formerly ACIS 1.0) Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting</i> (see Appendix B) and completes the Propose New Program in CourseLeaf (see Appendix A).	
Note:	If the new major being proposed is intended to have a new Executive Committee (i.e., “Stand Alone” major), the process to establish a new academic unit (as described on page 39 of this Guide) is completed simultaneously with the establishment of a new major process.	
Step 3	If any courses or other major requirements are outside the jurisdiction of the initiating faculty committee, the draft proposal must be reviewed by the Interdisciplinary Unit(s) that will be impacted by the creation of the new major. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 4	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Interdisciplinary Unit Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 5	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are sent to the Academic Affairs	

	Council (for undergraduate majors) or Graduate Academic Affairs Council (for graduate majors) for its review and approval.
Step 6	The Academic Affairs Council or Graduate Academic Affairs Council reviews the proposal. Following the AAC or GSC review, an approved proposal is forwarded to the chair of the University Committee for action by the Faculty Senate. (Note: Step #6 and #7 can be done concurrently.) If not approved by the AAC or GSC, the entire proposal packet is returned to appropriate dean(s).
Step 7	Two outside consultants, who have experience with a major program similar to the one being proposed, are contacted by the dean to conduct a review of the proposal. The recommendations of these reviewers are forwarded to the Provost and included with the proposal as it progresses through the approval process.
Step 8	The dean is responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal, it is sent to the Provost for review and approval. If <u>not</u> approved by the Faculty Senate, the proposal is returned to the appropriate dean(s).
Step 9	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the appropriate dean.
Step 10	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the new major.
Step 11	If approved, the Provost forwards the proposal and supporting documentation to a Program Review Committee consisting of a Provost representative, one or two institutional representatives and a UW System representative. The Committee reviews the proposal and submits, through the Provost, a recommendation to the UW System Associate Vice President for Academic Programs and Educational Innovation (APEI).
Step 12	If approved by the UW Associate Vice President for Academic, Faculty, and Global Programs, the proposal is submitted to the UW Board of Regents Education Committee and full Board for approval.
Step 13	If approved by the Board of Regents, the Provost notifies the Office of the Registrar that the new degree has been approved and the effective date of the action.

B. 2. Substantial Modification of Major Requirements

Academic Action: Modification of more than 25 percent of the course and/or non-course requirements for an existing major. Modifications can include supporting or upper level course requirements, non-course requirements or changes in any combination of these categories.		
Curricular Requirements:	Minimum of 30 credits including 24 at the upper level.	
Originator(s) of Process:	Interdisciplinary or Disciplinary Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Interdisciplinary Unit Executive Committee
	R	Other Interdisciplinary Unit Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	UW System Administration
	I	UW System Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for an existing major prepares a proposal to modify the requirements of the major and completes the Edit Program form in Courseleaf(see Appendix A).	
Step 2	If the proposed modifications involve requirements that are outside the jurisdiction of the initiating Executive Committee, the draft proposal must be reviewed by the other responsible unit(s). The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Interdisciplinary Unit Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then routed to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal and supporting documentation are reviewed by the Academic Affairs Council or Graduate Academic Affairs Council . Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the entire proposal is returned to Dean.	
Step 6	The proposal and supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are notified that the degree program requirements have been modified and the effective date of the change. If not approved by the Provost, the proposal is returned to the dean.	
Step 7	The Provost notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that modifications of requirements to an existing major have been made and the effective date of the change.	

B. 3. Limited Modification of Major Requirements

Academic Action: Modification of <u>less than</u> 25 percent of an existing major's course and/or non-course requirements. Modifications can include supporting or upper level course requirements or changes in a combination of these categories.		
Curricular Requirements:	Minimum of 30 degree credits including 24 at the upper level.	
Originator(s) of Process:	Interdisciplinary or Disciplinary Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation	A	Initiating Executive Committee
	R	Other Interdisciplinary/Disciplinary Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
Step 1	The chair of an Interdisciplinary or Disciplinary Executive Committee responsible for an existing major prepares a proposal to modify the requirements and completes the Edit Program form in Courseleaf (see Appendix A).	
Step 2	If the proposed modifications involve any courses or other major requirements that are outside the jurisdiction of the initiating Executive Committee, the proposal must be reviewed by the Interdisciplinary Unit(s) that will be impacted by the change in requirements. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal and supporting documentation are reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.	
Step 6	The proposed major modification and supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are notified that the degree program requirements have been modified and the effective date of the change. If not approved by the Provost, the proposal is returned to the Dean.	

B. 4. Rename a Major

Academic Action: Change the name of an existing major in a manner that is consistent with the policies and procedures of UW-Green Bay and the UW System.		
Curricular Requirements:	Not applicable.	
Originator(s) of Process:	Interdisciplinary or Disciplinary Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Executive Committee
	R	Other Disciplinary or Interdisciplinary Units
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of an Interdisciplinary or Disciplinary Executive Committee responsible for an existing major prepares a rationale for the proposed name change following the Edit Program form in Courseleaf (see Appendix A) and forwards it to the Dean.	
Step 2	The Dean reviews the proposal and supporting documentation and, if approved, forwards the proposal to the Academic Affairs Council (for bachelor's degrees) or Graduate Academic Affairs Council (for master's or doctoral degrees) for its review and approval.	
Step 3	The proposal and supporting documentation are reviewed by the Academic Affairs Council or Graduate Academic Affairs Council . Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the entire proposal packet is returned to dean.	
Step 4	The proposed name change and supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 5	The Provost Office also notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that the name of an existing major will be changed along with the effective date of the change.	

B. 5. Discontinue a Major

Academic Action: No longer offer an existing major.		
Curricular Requirements:	Not applicable.	
Originator(s) of Process:	Interdisciplinary or Disciplinary Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Deactivate Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Executive Committee
	R	Other Interdisciplinary/Disciplinary Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	University Committee/Faculty Senate
	A	Chancellor
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of an Interdisciplinary Unit Executive Committee prepares a rationale for discontinuing the major and completes the Deactivate Program form in CourseLeaf (see Appendix A).	
Step 2	If discontinuing the major impacts units outside the jurisdiction of the initiating Executive Committee, the draft proposal must be reviewed by those Interdisciplinary Unit(s). The chair of the initiating Executive Committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. Each unit impacted must respond, in writing, to the request to review the proposal. As the proposal progresses through the approval process, it must include the written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal or not approving the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for bachelor's majors) or Graduate Academic Affairs Council (for master's majors) for its review and approval.	
Step 5	The proposal is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Approved proposals are forwarded to the chair of the University Committee for action by the Faculty Senate. Proposals that are not approved are returned to the dean.	
Step 6	The dean is responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal, it is sent to the Provost for review and approval. If <u>not</u> approved by the Faculty Senate, the proposal is returned to the dean.	
Step 7	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the dean.	
Step 8	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the proposal and returns the proposal to the Provost.	
Step 9	If approved by the Chancellor, the Provost notifies the Office of the Registrar that the major will be discontinued and the effective date of the discontinuation. Students who are currently enrolled in the major will be allowed a sufficient amount of time to complete the major requirements.	

Step 10	The Provost also notifies the UW Associate Vice President that an existing major has been discontinued along with the effective date of the action.
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C. 1. Establish a New Minor

Academic Action: Establish a new minor that is in compliance with UW-Green Bay and UW System policies.		
Curricular Requirements:	Minimum of 18 degree credits including 12 at the upper level. Music, Art and Theatre disciplines are exempt from this requirement.	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Propose New Program	
Approvals/ Recommendations Needed:	A	Initiating Faculty Committee
	R	Other Interdisciplinary/Disciplinary Executive Committee(s)
	A	Dean
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
A – Approval Needed	A	Provost & Vice Chancellor for Academic Affairs
R – Recommendation	A	Faculty Senate (if no corresponding major)
I – Information Only	I	UW System Administration and Board of Regents
Approval Process		
Step 1	A Faculty Committee prepares a proposal following the Propose New Program form in CourseLeaf (see Appendix A).	
Note:	If the new minor being proposed is intended to have a new Executive Committee (i.e., “Stand Alone” minor), the process to establish a new academic unit (as described on page 39 of this Guide) is completed simultaneously with the establishment of a new minor process.	
Step 2	If the proposed minor involves courses or other requirements that are outside the jurisdiction of the initiating committee, the proposal must be reviewed by the academic unit(s) that will be impacted if the minor is approved. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the suggestions received. If the proposed minor is <u>not</u> a “stand alone” minor the appropriate Interdisciplinary and/or Disciplinary Unit Executive Committee must also <u>approve</u> the proposal before it is forwarded to the dean.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are sent to the Academic Affairs Council.	
Step 5	The proposal and supporting documentation are reviewed by the Academic Affairs Council. If the proposal is approved by the AAC and if there is no existing major with the same title as the proposed minor <u>or</u> if the new minor is intended to have a new Executive Committee, go to Step 6 . If there is a major with the same title and a new executive committee is not being formed, go to Step 7 . [Faculty Senate approval is not required.] If not approved by the AAC, the proposal is returned to appropriate dean(s).	
Step 6	The dean(s) are responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal, it is sent to the Provost for review and approval. If not approved by the Faculty Senate, the proposal is returned to the appropriate dean.	
Step 7	The Provost reviews the proposal and, if approved, the initiating executive committee chair, dean and Registrar are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	

Step 8	The Provost Office also notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that a new minor has been established along with the effective date of the action.
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C. 2. Modify Requirements for a Minor

Academic Action: Modify course or non-course requirements of an existing minor that is in compliance with UW-Green Bay policies.		
Curricular Requirements:	Minimum of 18 degree credits including 12 at the upper level with the exception of the Music, Art and Theatre disciplines.	
Originator(s) of Process:	Interdisciplinary, Disciplinary or other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/ Recommendations Needed:	A	Minor Executive Committee
	R	Other Interdisciplinary or Disciplinary Executive Committee(s)
	A	Dean
	A	Academic Affairs Council
A – Approval Needed	A	Provost & Vice Chancellor for Academic Affairs
R – Recommendation		
Approval Process		
Step 1	The chair of the Executive Committee responsible for the minor prepares a proposal to modify requirements following the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	If the modification includes courses or other requirements that are outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are sent to the Academic Affairs Council.	
Step 5	The proposal and supporting documentation are reviewed by the Academic Affairs Council. Following the AAC review, an approved proposal is forwarded to the Provost. If not approved by the AAC, the proposal is returned to dean.	
Step 6	The proposed minor modification and supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are notified that the degree program requirements have been modified and the effective date of the change. If not approved by the Provost, the proposal is returned to the Dean.	

C. 3. Rename a Minor

Academic Action: Change the name of an existing minor with no changes in any of the minor's requirements.		
Curricular Requirements:	Not applicable.	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/ Recommendations Needed: A – Approval Needed I – Information Only	A	Minor Executive Committee
	A	Dean
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for the minor prepares a proposal to rename the minor following the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	The Dean reviews the proposal and supporting documentation and, if approved, forwards the Edit Program form to the Academic Affairs Council.	
Step 3	The proposal with supporting documentation is reviewed by the Academic Affairs Council. Following the AAC review, an approved proposal is forwarded to the Provost. If not approved by the AAC, the proposal is returned to dean.	
Step 4	The proposed name change with supporting documentation is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 5	The Provost Office notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that the name of an existing minor will be changed along with the effective date of the change.	

C. 4. Discontinue a Minor

Academic Action: No longer offer an existing minor.		
Curricular Requirements:	Not Applicable	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Deactivate Program	
Approvals/ Recommendations Needed:	A	Initiating Interdisciplinary Executive Committee
	A	Dean
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	University Committee/Faculty Senate (If a "stand alone" minor)
A – Approval Needed		
R – Recommendation		
I – Information Only	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The Chair of the Executive Committee responsible for the minor prepares a rationale for discontinuing the minor as part of the Deactivate Program form in CourseLeaf (see Appendix A).	
Step 2	If discontinuing the minor impacts units outside the jurisdiction of the initiating Executive Committee, the draft proposal must be reviewed by those Interdisciplinary Unit(s). The chair of the initiating Executive Committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. Each unit impacted must respond, in writing, to the request to review the proposal. As the proposal progresses through the approval process, it must include the written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal with all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal or not approving the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council for its review and approval.	
Step 5	The proposal with supporting documentation is reviewed by the Academic Affairs Council. If the proposal is approved by the AAC and the minor being proposed for discontinuation is a "stand alone" minor (i.e., has its own executive committee), go to Step 6 . If it is not a "stand alone" minor, go to Step 8 . [Faculty Senate approval is not required.] If not approved by the AAC, the proposal is returned to appropriate dean(s).	
Step 6	The dean(s) are responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal, it is sent to the Provost for review and approval. If not approved by the Faculty Senate, the proposal is returned to the appropriate dean.	
Step 7	The Provost reviews the proposal and, if approved, the initiating executive committee chair, dean and Registrar are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 8	The Provost Office also notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that an existing minor has discontinued along with the effective date of the action.	

D. 1. Establish an Area of Emphasis (or Track)

Academic Action: Establish a new area of emphasis (or track) within a major or minor program of study that is in compliance with UW-Green Bay and UW System policies.		
Curricular Requirements:	Major - Minimum of 30 degree credits including 24 at upper level. Minor - Minimum of 18 degree credits including 12 at upper level	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Propose New Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Executive Committee
	R	Other Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for the major or minor that will contain the area of emphasis prepares a proposal following the Propose New Program form in CourseLeaf (see Appendix A).	
Step 2	If the proposed area of emphasis includes courses or other requirements that are outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal with supporting documentation is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.	
Step 6	The proposed area of emphasis is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 7	The Provost Office notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that the name a new area of emphasis has been established.	

D. 2. Modify Requirements of an Area of Emphasis (or Track)

Academic Action: Modify course or non-course requirements that are part of an area of emphasis (or track) within a major or minor program of study in a manner consistent with UW System and UW-Green Bay policies.		
Curricular Requirements:	Minimum of 30 degree credits including 24 at the upper level.	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Executive Committee
	R	Other Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for the area of emphasis prepares a proposal to modify requirements following the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	If the proposed change(s) includes courses or other requirements that are outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal with supporting documentation is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to Dean.	
Step 6	The proposed changes are reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, Dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the Dean.	

D. 3. Discontinue an Area of Emphasis (or Track)

Academic Action: No longer offer an existing area of emphasis (or track) within a major or minor.		
Curricular Requirements:	Not applicable.	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: <u>Program Admin</u> : Deactivate Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Executive Committee
	R	Other Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	UW System Administration & Board of Regents
Approval Process		
Step 1	The Chair of the Executive Committee responsible for the area of emphasis prepares a rationale for discontinuing it as part of the Deactivate Program form in CourseLeaf (see Appendix A).	
Step 2	If discontinuing the area of emphasis would impact other academic units, the proposal must be reviewed by the unit(s) impacted. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal with all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal with supporting documentation is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council . Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.	
Step 6	The proposal is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, Dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 7	The Provost Office notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that an area of emphasis is being discontinued.	

E. 1. Establish a Certificate Program

Academic Action: Establish a new Certificate Program that is in compliance with UW-Green Bay and UW System policies.	
Curricular Requirements:	<p>Minimum of 12 required credits in any combination of lower and upper level courses.</p> <p>May be associated with an academic program. Certificate not associated with academic programs (i.e. stand-alone certificates) must demonstrate increased employability or enhanced professional qualifications for recipients of the certificate.</p> <p>Nine credits or one half the total required credits, whichever is greater, in residency at UWGB.</p> <p>Minimum GPA of 2.0.</p>
Originator(s) of Process:	Interdisciplinary or Disciplinary Executive Committee
Approval Process:	CourseLeaf: Program Admin: Propose New Program
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A Initiating Executive Committee
	R Other Interdisciplinary or Disciplinary Executive Committee(s)
	A Dean
	A Graduate Academic Affairs Council
	A Academic Affairs Council
	A Provost & Vice Chancellor for Academic Affairs
	I Chancellor
	I UW System Administration and Board of Regents
Approval Process	
Step 1	The chair of the initiating Executive Committee prepares a proposal following the directions provided as part of the Propose New Program form in CourseLeaf (see Appendix A).
Step 2	If the proposed certificate includes courses or other requirements that are outside of the jurisdiction of the initiating Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating Executive Committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then routed to the appropriate governance committees.
Step 5	<p>The Academic Affairs Council or Graduate Academic Affairs Council should be the last governance committee to review the proposal.</p> <ul style="list-style-type: none"> ▪ <u>Graduate Academic Affairs Council</u> – if the proposal involves a graduate program. ▪ <u>Academic Affairs Council</u> – if the proposal involves an undergraduate program. <p>Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to appropriate Dean(s).</p>

Step 6	The proposal is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Chancellor, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.
Step 7	The Provost Office notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that a certificate program has been established.

E. 2. Modify Requirements for a Certificate Program

Academic Action: Modify course or non-course requirements of a Certificate program that is in compliance with UW-Green Bay policies.		
Curricular Requirements:	<p>Minimum of 12 required credits in any combination of lower and upper level courses.</p> <p>May be associated with an academic program. Certificate not associated with academic programs (i.e. stand-alone certificates) must demonstrate increased employability or enhanced professional qualifications for recipients of the certificate.</p> <p>Nine credits or one half the total required credits, whichever is greater, in residency at UWGB.</p> <p>Minimum GPA of 2.0.</p>	
Originator(s) of Process:	Interdisciplinary, Disciplinary or other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation	A	Certificate Executive Committee
	R	Other Interdisciplinary or Disciplinary Executive Committee(s)
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
Approval Process		
Step 1	The Chair of the Executive Committee responsible for the Certificate Program prepares a proposal following the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	If the proposed changes include courses or other requirements that are outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then routed to the appropriate governance committees.	
Step 5	<p>The Academic Affairs Council or Graduate Academic Affairs Council should be the last governance committee to review the proposal.</p> <ul style="list-style-type: none"> ▪ <u>Graduate Academic Affairs Council</u> – if the proposal involves a graduate program. ▪ <u>Academic Affairs Council</u> – if the proposal involves an undergraduate program. <p>Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to appropriate dean(s).</p>	

Step 6	The proposal is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the Dean.
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E. 3. Discontinue a Certificate Program

Academic Action: No longer offer an existing Certificate Program.		
Curricular Requirements:	Not Applicable	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Deactivate Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Executive Committee
	A	Dean
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The Chair of the Executive Committee responsible for the Certificate Program prepares a proposal following the Deactivate Program form in CourseLeaf (see Appendix A).	
Step 2	If discontinuing the certificate program would impact units outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the discontinuation. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. If approved, the proposal and supporting documentation is then routed to the appropriate governance committees.	
Step 5	<p>The Academic Affairs Council or Graduate Academic Affairs Council should be the last governance committee to review the proposal.</p> <ul style="list-style-type: none"> ▪ <u>Graduate Academic Affairs Council</u> – if the proposal involves a graduate program. ▪ <u>Academic Affairs Council</u> – if the proposal involves an undergraduate program. <p>Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to appropriate dean(s).</p>	
Step 6	The proposal is reviewed by the Provost. If approved by the Provost, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 7	The Provost Office notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that a certificate program has been deactivated.	

F. 1. Modify General Education Program

Academic Action: Modify the institution's General Education Program structure or learning outcomes.		
Curricular Requirements:	See current Undergraduate Catalog.	
Originator of Process:	General Education Council	
Approval Process:	Registrar – CourseLeaf: Catalog: General Education: Edit Page	
	A	General Education Council
	R	Interdisciplinary Units
	A	University Committee/Faculty Senate
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of an General Education Council prepares a proposal to modify existing program requirements.	
Step 2	The proposal must be reviewed by the unit(s) impacted by the changes to the program. The chair of the General Education Council is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When approved by the General Education Council, it is forwarded to the University Committee for action by the Faculty Senate.	
Step 4	The Faculty Senate acts on the proposal and informs the Provost and Vice Chancellor for Academic Affairs of the result of the vote.	
Step 5	If the proposal is approved by the Faculty Senate, the Provost reviews the proposal and, if approved, notifies the Office of the Registrar that the degree program requirements have been modified and the effective date of the change. If not approved by the Faculty Senate, the proposal is returned to the General Education Council.	

G. 1. Establish New Cooperative Program

Academic Action: Offer an existing program cooperatively with another UW Institution that leads to the awarding of a bachelor's or master's degree that is in compliance with UW-Green Bay and UW System policies.		
Curricular Requirements:	Bachelor's Degree: minimum of 120 degree credits; 30 credits in residence; satisfaction of UWGB general education and major requirements; minimum of 2.0 cumulative grade-point average. Master's Degree: No specific requirements.	
Originator of Process:	Interdisciplinary Unit Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Propose New Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation	A	Initiating Interdisciplinary Unit Executive Committee
	R	Other Interdisciplinary Unit Executive Committee(s)
	A	Dean(s)
	R	General Education Council (see Step 4 below)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	University Committee/Faculty Senate
	A	Chancellor
	A	UW System Administration
	A	UW System Board of Regents
Approval Process		
Step 1	A faculty committee prepares an a Notice of Intent to Plan" a new major following the guidelines established by UW System and described in <i>UW System Administrative Policy 102</i> (formerly ACIS 1.0) <i>Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting</i> . Following approval by the dean and Provost, the Provost submits the proposal to the UW System Associate Vice President for Academic Programs and Educational Innovation (APEI).	
Step 2	If the proposed cooperative program will impact units outside of the jurisdiction of the initiating Executive Committee, the proposal must be reviewed by the unit(s) impacted by the new program. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Interdisciplinary Unit Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then routed to the appropriate governance committees. The Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) should be the last governance committee to review the proposal. <ul style="list-style-type: none"> ▪ <u>General Education Council</u> – if the degree involves changes to the institution's general education requirements. ▪ <u>Graduate Academic Affairs Council</u> – if the proposal involves a graduate program. 	

	<ul style="list-style-type: none"> ▪ <u>Academic Affairs Council</u> – if the proposal involves an undergraduate program. <p>Following the AAC or GSC review, an approved proposal is forwarded to the chair of the University Committee for action by the Faculty Senate. If not approved by the AAC or GSC, the proposal is returned to appropriate dean(s).</p>
Step 5	The dean is responsible for presenting the proposal to the Faculty Senate. If the Faculty Senate approves the proposal, it is sent to the Provost for review and approval. If <u>not</u> approved by the Faculty Senate, the proposal is returned to the appropriate dean(s).
Step 6	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the appropriate dean.
Step 7	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the new cooperative program and returns the <i>Form G Cooperative Program Cover Sheet</i> and supporting documentation to the Provost.
Step 8	If approved, the Provost forwards the proposal and supporting documentation to the UW System Associate Vice President for Academic Programs and Educational Innovation (APEI) for approval.
Step 9	If approved by the UW Associate Vice President, the proposal is submitted to the UW Board of Regents Education Committee and full Board for approval.
Step 10	If approved by the Board of Regents, the Provost notifies the Office of the Registrar that the new cooperative program has been approved and when it should be officially implemented.

G. 2. Discontinue a Cooperative Program

Academic Action: No longer offer an existing Cooperative Program.		
Curricular Requirements:	Not Applicable	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Deactivate Program	
Approvals/ Recommendations Needed:	A	Initiating Interdisciplinary Executive Committee
	A	Other Interdisciplinary or Disciplinary Units
	A	Dean
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
A – Approval Needed	I	UW System Administration and Board of Regents
I – Information Only		
Approval Process		
Step 1	The chair of the Executive Committee responsible for the Cooperative Program prepares a proposal to discontinue it following the Deactivate Program form in Courseleaf (see Appendix A).	
Step 2	If discontinuing the cooperative program would impact units outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the discontinuation. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal or not approving the proposal. If approved, the proposal and supporting documentation is then routed to the Provost.	
Step 5	The Provost reviews the proposal and, if approved, notifies the Office of the Registrar that the cooperative program is being discontinued and the effective date of the action. If not approved the proposal is returned to the Dean(s).	
Step 6	The Provost Office also notifies the Chancellor and UW Associate Vice President for Academic, Faculty, and Global Programs that the cooperative program has been discontinued along with the effective date of the action.	

H. 1. Offer an Existing Degree Program Off-Campus

Academic Action: Offer at least 50% all course and other requirements for an existing degree program at a location that is not on the UW-Green Bay campus.		
Curricular Requirements:	Bachelor's Degree: minimum of 120 degree credits; 30 credits in residence; satisfaction of UWGB general education and major requirements; minimum GPA of 2.0. Master's Degree: Typically 30-36 credits; minimum GPA of 3.0. Doctoral Degree: Typically 54-72 credits; minimum GPA of 3.0.	
Originator of Process:	Interdisciplinary Unit Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Interdisciplinary Unit Executive Committee
	R	Other Unit Executive Committee(s)
	A	Dean(s)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	Chancellor
	A	UW System Administration
	I	UW System Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for the degree program prepares a proposal to offer a degree program off campus as part of the Edit Program form in CourseLeaf (see Appendix A).	
Step 2	If the degree program includes courses or other requirements that are outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the Dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal with supporting documentation is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Following the AAC or GSC review an approved proposal, is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.	
Step 6	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the appropriate dean.	
Step 7	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the new degree.	

Step 8	If approved, the Provost forwards the proposal and supporting documentation to the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) for approval.
Step 9	If approved by the UW Associate Vice President, the Provost notifies the chair of the initiating Executive Committee, Dean, Registrar and SOFAS of the approval.

H. 2. Discontinue an Off-Campus Degree Program

Academic Action: No longer offer an existing off-campus degree program.		
Curricular Requirements:	Not Applicable	
Originator(s) of Process:	Interdisciplinary Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Deactivate Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Executive Committee
	A	Dean
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for the Off-Campus Degree Program prepares a proposal to discontinue the program following the directions provided as part of <i>Form H Off-Campus Degree Program Cover Sheet</i> (see Appendix A).	
Step 2	If discontinuation of the off-campus track of the program would impact units outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	When a final proposal is approved by the initiating Executive Committee, the proposal with all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal or not approving the proposal. Approved proposals and supporting documentation are then sent to the Provost for review and approval.	
Step 5	The proposed changes are reviewed by the Provost. If approved by the Provost, the Chancellor, the chair of the initiating Executive Committee, dean, Registrar and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 6	The Provost Office also notifies the UW Associate Vice President for Academic, Faculty, and Global Programs that the off-campus program has been discontinued along with the effective date of the action.	

I.1. Offer an Existing Degree or Certificate Program Via Distance Education

Academic Action: Establish a mechanism for offering an existing degree or certificate program using distance education methods.		
Curricular Requirements:	A degree or certificate program is considered distance education when a substantial number of credit hours (fifty percent or more of the courses for the program) will be delivered through distance education.	
Originator of Process:	Interdisciplinary/Disciplinary Unit Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Edit Program	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Executive Committee
	R	Other Interdisciplinary Unit Executive Committee(s)
	A	Dean(s)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost & Vice Chancellor for Academic Affairs
	A	Chancellor
	A	UW System Administration
	I	UW System Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee that will be responsible for the distance education degree or certificate program prepares a proposal as part of the Edit Program form in Courseleaf (see Appendix A).	
Step 2	If the degree/certificate program includes courses or other requirements that are outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted by the modifications. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	The proposal may be revised based on the comments received. When a final proposal is approved by the initiating Executive Committee, the proposal and all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving the proposal, not approving the proposal or requesting changes to the proposal. Approved proposals and supporting documentation are then sent to the Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs) for its review and approval.	
Step 5	The proposal with supporting documentation is reviewed by the Academic Affairs Council or Graduate Academic Affairs Council. Following the AAC or GSC review, an approved proposal is forwarded to the Provost. If not approved by the AAC or GSC, the proposal is returned to dean.	
Step 6	The Provost reviews the proposal. If approved, it is forwarded to the Chancellor for final institutional approval. If not approved, the proposal is returned to the appropriate dean.	
Step 7	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the new degree.	
Step 8	If approved, the Provost Office forwards the proposal and supporting documentation to the UW Associate Vice President for Academic Programs and Educational Innovation (APEI).	

Step 9	If approved by the UW Associate Vice President, the Provost notifies the chair of the initiating Executive Committee, Dean, Registrar and SOFAS are informed that the program has been approved along with the effective date of the action.
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I. 2. Discontinue a Distance Education Program

Academic Action: No longer offer an existing distance education degree program.		
Curricular Requirements:	Not Applicable	
Originator(s) of Process:	Interdisciplinary, Disciplinary or Other Executive Committee	
Approval Process:	CourseLeaf: Program Admin: Deactivate Program	
Approvals/ Recommendations Needed: A – Approval Needed I – Information Only	A	Initiating Interdisciplinary Executive Committee
	A	Dean
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration and Board of Regents
Approval Process		
Step 1	The chair of the Executive Committee responsible for the distance education program prepares a proposal to discontinue the program following the Deactivate Program form in CourseLeaf (see Appendix A).	
Step 2	If discontinuation of the distance education program would impact units outside of the jurisdiction of the Executive Committee, the proposal must be reviewed by the unit(s) impacted. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 3	When the proposal is approved by the initiating Executive Committee, the proposal with all supporting documentation is forwarded to the dean for review and approval.	
Step 4	The dean reviews the proposal and supporting documentation and has the option of approving or not approving the proposal. Approved proposals and supporting documentation are then sent to the Provost for review and approval.	
Step 5	The proposed changes are reviewed by the Provost. If approved by the Provost, the Chancellor, chair of the initiating Executive Committee, Dean, Registrar, and SOFAS are informed of the decision. If not approved by the Provost, the proposal is returned to the dean.	
Step 6	The Provost Office also notifies the UW Associate Vice President for Academic Programs and Educational Innovation (APEI) that the distance program has been discontinued along with the effective date of the action.	

J. 1. Establish an Articulation Agreement with a Non-UW Institution

Academic Action: Establish a formal agreement with a non-UW institution that will allow a graduate of the institution to transfer into a UW-Green Bay degree program under the conditions articulated in the agreement.		
Curricular Requirements:	Variable depending upon the degree requirements.	
Originator of Process:	Interdisciplinary Unit Executive Committee	
Approval Form:	Form J – Articulation Agreement Cover Sheet	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Unit Executive Committee
	R	Transfer Services Coordinator
	A	Dean(s)
	R	Special Assistant to the Vice Chancellor for Business and Finance
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration/ Board of Regents
	I	Graduate Academic Affairs Council
	I	Academic Affairs Council
	I	UC and Faculty Senate
	I	General Education Council
Approval Process		
Step 1	An Interdisciplinary Unit Executive Committee, Dean, or Provost prepares a proposal following the guidelines established by UW System and described in <i>UW System Administrative Policy 140</i> (formerly ACIS 6.2) <i>UW System Guidelines For Articulation Agreements Between UW System Institutions And WTCS Districts</i> (see Appendix B) and completes the <i>Form J Articulation Agreement Cover Sheet</i> (see Appendix A).	
Step 2	The proposal is sent to the Transfer Services Coordinator for review. The Transfer Services Coordinator assists the preparers to accurately identify courses that will transfer and how they will transfer.	
Step 3	The Dean reviews the proposal and may request changes. When approved by the Dean, the proposal is submitted to the Provost and Vice Chancellor for Academic Affairs for approval. If not approved, the proposal is returned to the Executive Committee that developed the proposal.	
Step 4	The Provost shares the proposal with the Special Assistant to the Vice Chancellor for Business and Finance to assess any liabilities involved with the agreement. Revisions may be requested.	
Step 5	The Provost reviews the proposal and all recommendations and, if approved, obtains all necessary approval signatures from the institution(s) participating in the agreement. If not approved, the proposal is returned to the Dean.	
Step 5	If approved by the Provost and after all necessary signatures are obtained, the Provost sends the completed agreement to the UW System Office of Academic and Student Services prior to implementation. When the review process is complete, ACSS will notify the UW Institution, forward a copy of the agreement to WTCS and add the agreements to the TIS list of articulation agreements.	
Step 6	After being notified by ACSS, the Provost notifies the Office of the Registrar that a new program-to-program agreement has been established. In addition, for informational purposes only, the Provost and Vice Chancellor for Academic Affairs forwards a copy of the agreement to the chairs of the University Committee, Academic Affairs Council (for	

	undergraduate programs) or Graduate Academic Affairs Council (for graduate programs), and General Education Council.
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J. 2. Establish a Memorandum of Understanding with a Non-UW Institution

Academic Action: Establish a partnership between two or more institutions that generally does not include any degree program or course transferability components.		
Curricular Requirements:	No specific requirements.	
Originator of Process:	Interdisciplinary Unit Executive Committee	
Approval Form:	Form J – Articulation Agreement Cover Sheet	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	A	Initiating Interdisciplinary Unit Executive Committee
	A	Dean(s)
	R	Special Assistant to the Vice Chancellor for Business and Finance
	A	Provost & Vice Chancellor for Academic Affairs
	I	Chancellor
	I	UW System Administration/ Board of Regents
	I	Graduate Academic Affairs Council
	I	Academic Affairs Council
	I	UC and Faculty Senate
	I	General Education Council
Approval Process		
Step 1	An Interdisciplinary Unit Executive Committee, Dean, or Provost prepares a proposal following the guidelines established by UW System and described in <i>UW System Administrative Policy 140</i> (formerly ACIS 6.2) <i>UW System Guidelines For Articulation Agreements Between UW System Institutions And WTCS Districts</i> (see Appendix B) and completes the <i>Form J Articulation Agreement Cover Sheet</i> (see Appendix A).	
Step 2	If degree program or course transfers are involved, the preparers should be directed to follow the procedures for J. 1. Articulation Agreements listed above.	
Step 3	The Dean reviews the proposal and may request changes. When approved by the Dean, the proposal is submitted to the Provost and Vice Chancellor for Academic Affairs for approval. If not approved, the proposal is returned to the Executive Committee that developed the proposal.	
Step 4	The Provost shares the proposal with the Special Assistant to the Vice Chancellor for Business and Finance to assess any liabilities involved with the agreement. Revisions may be requested.	
Step 5	The Provost reviews the proposal and all recommendations and, if approved, obtains all necessary approval signatures from the institution(s) participating in the agreement. If not approved, the proposal is returned to the Dean.	
Step 6	The Provost notifies the Office of the Registrar that a new program-to-program agreement has been established. In addition, for informational purposes only, the Provost and Vice Chancellor for Academic Affairs forwards a copy of the agreement to the chairs of the University Committee, Academic Affairs Council (for undergraduate programs) or Graduate Academic Affairs Council (for graduate programs), and General Education Council.	

K. Establish, Merge, or Discontinue an Academic Unit

Academic Action: Establish, merge, or discontinue an interdisciplinary, disciplinary or other unit following UW-Green Bay and UW System policies and procedures.		
Curricular Requirements:	Not applicable.	
Originator of Process:	Faculty Members Concerned, Dean, or Provost	
Approval Form:	Form K – Academic Unit Actions Cover Sheet	
Approvals/ Recommendations Needed: A – Approval Needed R – Recommendation I – Information Only	R	Faculty Concerned
	R	Academic Affairs Council
	R	Personnel Council
	A	Dean(s)
	A	University Committee/Faculty Senate
	A	Provost & Vice Chancellor for Academic Affairs
	A	Chancellor
	I	UW System Administration
	I	UW System Board of Regents
Approval Process		
Step 1	The initiator(s) of the process prepare(s) a proposal including a detailed rationale to establish, merge, or discontinue an interdisciplinary, disciplinary, or other academic unit following the instructions provided on <i>Form K Academic Unit Actions Cover Sheet</i> (see Appendix A).	
Step 2	If the proposal is initiated by faculty, after all faculty concerned have had an opportunity to comment on the proposal, the proposal is forwarded to the Dean. If the proposal is initiated by the Dean or Provost, all faculty members concerned must review the proposal and submit their recommendations in writing to the initiator.	
Step 3	If establishing, merging, or discontinuing an academic unit will impact faculty outside of the initiating committee, the proposal must be reviewed by the interdisciplinary unit(s) that will be impacted. The chair of the initiating faculty committee is responsible for sending (electronically) a complete proposal to the chair of the unit(s) impacted. As the proposal progresses through the approval process, it must include written documentation from <u>all</u> of the unit(s) consulted.	
Step 4	The Dean reviews the proposal and supporting documentation and may request additional information. After it is approved by the Dean, the <i>Form K – Academic Unit Actions Cover Sheet</i> , with supporting documentation is forwarded to the Academic Affairs Council and Personnel Council meeting jointly.	
Step 5	Following the AAC/Personnel Council review, the proposal, supporting documentation, and Form Z-AAC or Z-GSC are forwarded to the chair of the University Committee for action by the Faculty Senate.	
Step 6	The Faculty Senate acts on the proposal and informs the Provost and Vice Chancellor for Academic Affairs of the result of the vote.	
Step 7	If the proposal is approved by the Faculty Senate, the Provost reviews the proposal and, if approved, forwards it to the Chancellor for final institutional approval. If not approved by the Faculty Senate, the proposal is returned to the appropriate Dean.	
Step 8	The proposal and recommendations are reviewed by the Chancellor, who approves or does not approve the new academic unit and returns the <i>Form K Cover Sheet</i> and supporting documentation to the Office of the Provost.	

Step 9	If approved, the Provost Office notifies the Dean and impacted faculty that the new unit has been formed and the effective date of the action.
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L. 1. Develop a New Course Offering

Academic Action: Develop a new course with a structure and requirements that comply with UW-Green Bay and Faculty Governance policies and procedures.		
Curricular Requirements:	Variable depending upon type of course	
Originator of Process:	UW-Green Bay Faculty	
Approval Process:	CourseLeaf: Course Admin: Propose New Course	
Approvals Needed: A – Approval Needed	A	Disciplinary Executive Committee (if a disciplinary course)
	A	Interdisciplinary Executive Committee
	A	Dean
	A	General Education Council (if appropriate)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost and Vice Chancellor for Academic Affairs
Approval Process		
Step 1	A faculty member completes the Propose New Course form in Courseleaf and submits it to a Disciplinary (go to Step 2) or Interdisciplinary Executive Committee (go to Step 3) for review and action.	
Step 2	The Disciplinary Executive Committee reviews the proposal and may request revisions. If approved, the proposal is forwarded to the appropriate Interdisciplinary Executive Committee for review and action.	
Step 3	The Interdisciplinary Executive Committee reviews the proposal. If approved, the proposal is forwarded to the appropriate Dean's office for review and action.	
Step 4	The Dean reviews the course. If approved, it is sent to the General Education Council (GEC), the academic Affairs Council (AAC), or Graduate Academic Affairs Council (GAAC), as appropriate. (See Steps 5 and 6)	
Step 5	If the course is intended to be a General Education course, it is submitted to the General Education Council (GEC) for review. If approved, the course is forwarded to the Academic Affairs Council. If it is not approved, it is returned to the Dean. If it is not a General Education course, go to Step 6.	
Step 6	If the course is an undergraduate course, it is sent to the Academic Affairs Council (AAC). If it is a graduate course, it is sent to the Graduate Academic Affairs Council (GAAC). If approved, the course is sent to the Provost. If not approved, the course is returned to the Dean.	
Step 7	The Provost (or designee) reviews the proposal and supporting documents. If approved, the Dean, initiating Executive Committee, and Registrar's Office are notified that a new course has been approved and the effective date of the action. If <u>not</u> approved, the proposal is returned to the initiating Executive Committee for further development.	

L. 2. Change an Existing Course

Academic Action: Change the number of credit hours or make a change in the content of an existing course in compliance with UW-Green Bay and Faculty Governance policies and procedures.		
Curricular Requirements:	Variable depending upon type of course	
Originator(s) of Process:	UW-Green Bay Faculty	
Approval Process:	CourseLeaf: Course Admin: Edit Course	
Approvals Needed: A – Approval Needed	A	Disciplinary Executive Committee (if a disciplinary course)
	A	Interdisciplinary Executive Committee
	A	Dean
	A	General Education Council (if appropriate)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost and Vice Chancellor for Academic Affairs
Approval Process		
Step 1	A faculty member completes the Edit Course form in Courseleaf and submits it to a Disciplinary (go to Step 2) or Interdisciplinary Executive Committee (go to Step 3) for review and action.	
Step 2	The Disciplinary Executive Committee reviews the proposal and may request revisions. If approved, the proposal is forwarded to the appropriate Interdisciplinary Executive Committee for review and action.	
Step 3	The Interdisciplinary Executive Committee reviews the proposal. If approved, the proposal is forwarded to the appropriate Dean's office for review and action.	
Step 4	The Dean reviews the course. If approved, it is sent to the General Education Council (GEC), the academic Affairs Council (AAC), or Graduate Academic Affairs Council (GAAC), as appropriate. (See Steps 5 and 6)	
Step 5	If the course is intended to be a General Education course, it is submitted to the General Education Council (GEC) for review. If approved, the course is forwarded to the Academic Affairs Council. If it is not approved, it is returned to the Dean. If it is not a General Education course, go to Step 6.	
Step 6	If the course is an undergraduate course, it is sent to the Academic Affairs Council (AAC). If it is a graduate course, it is sent to the Graduate Academic Affairs Council (GAAC). If approved, the course is sent to the Provost. If not approved, the course is returned to the Dean.	
Step 7	The Provost (or designee) reviews the proposal and supporting documents. If approved, the Dean, initiating Executive Committee, and Registrar's Office are notified that a new course has been approved and the effective date of the action. If <u>not</u> approved, the proposal is returned to the initiating Executive Committee for further development.	

L. 3. Deactivate/Reactivate an Existing Course Offering

Academic Action: Deactivate or Reactivate a course that already exists in the Catalog or CourseLeaf.		
Curricular Requirements:	Variable depending upon type of course	
Originator of Process:	UW-Green Bay Faculty	
Approval Process:	CourseLeaf: Course Admin: Deactivate/Reactivate Course	
Approvals Needed: A – Approval Needed	A	Disciplinary Executive Committee (if a disciplinary course)
	A	Interdisciplinary Executive Committee
	A	Dean
	A	General Education Council (if appropriate)
	A	Graduate Academic Affairs Council
	A	Academic Affairs Council
	A	Provost and Vice Chancellor for Academic Affairs
Approval Process		
Step 1	A faculty member completes the Deactivate or Reactivate Course form in Courseleaf, as appropriate, and submits it to a Disciplinary (go to Step 2) or Interdisciplinary Executive Committee (go to Step 3) for review and action.	
Step 2	The Disciplinary Executive Committee reviews the proposal and may request revisions. If approved, the proposal is forwarded to the appropriate Interdisciplinary Executive Committee for review and action.	
Step 3	The Interdisciplinary Executive Committee reviews the proposal. If approved, the proposal is forwarded to the appropriate Dean's office for review and action.	
Step 4	The Dean reviews the course. If approved, it is sent to the General Education Council (GEC), the academic Affairs Council (AAC), or Graduate Academic Affairs Council (GAAC), as appropriate. (See Steps 5 and 6)	
Step 5	If the course is a General Education course, it is submitted to the General Education Council (GEC) for review. If approved, the course is forwarded to the Academic Affairs Council. If it is not approved, it is returned to the Dean. If it is not a General Education course, go to Step 6.	
Step 6	If the course is an undergraduate course, it is sent to the Academic Affairs Council (AAC). If it is a graduate course, it is sent to the Graduate Academic Affairs Council (GAAC). If approved, the course is sent to the Provost. If not approved, the course is returned to the Dean.	
Step 7	The Provost (or designee) reviews the proposal and supporting documents. If approved, the Dean, initiating Executive Committee, and Registrar's Office are notified that the course has been deactivated/reactivated and the effective date of the action. If <u>not</u> approved, the proposal is returned to the initiating Executive Committee for further development.	

L. 4. Develop an Experimental Course Offering

Academic Action: Develop a course that will be offered for no more than two consecutive semesters as an experimental course. Course structure and requirements must be consistent with UW-Green Bay policies and procedures.		
Curricular Requirements:	Variable depending upon type of course	
Originator(s) of Process:	UW-Green Bay Faculty or Staff Member	
Approval Process:	CourseLeaf: Course Admin: Propose New Course	
Approvals/ Recommendations Needed: A – Approval Needed	A	Disciplinary Executive Committee (If disciplinary course)
	A	Interdisciplinary Executive Committee
	A	Dean
Approval Process		
Step 1	A faculty member completes the Propose New Course form in Courseleaf and submits it to a Disciplinary (go to Step 2) or Interdisciplinary Executive Committee (go to Step 3) for review and action.	
Step 2	The Disciplinary Executive Committee reviews the proposal and may request revisions. If approved, the proposal is forwarded to the appropriate Interdisciplinary Executive Committee for review and action.	
Step 3	The Interdisciplinary Executive Committee reviews the proposal. If approved, the proposal is forwarded to the appropriate Dean's office for review.	
Step 4	If the course is intended to be a General Education course, it is submitted to the General Education Council (GEC) for review. The GEC's recommendation is returned to the Dean for action.	
Step 4	The Dean reviews the course. If the course has been approved by the GEC, it may be approved as a General Education course. If the course has not been approved by the GEC, it may <u>not</u> be approved as a General Education course, but it may be approved as a regular course.	
Step 5	If approved by the Dean, the initiating Executive Committee and the Registrar's Office are notified that an X-Course has been approved and the effective date of the action. If not approved, the proposal is returned to the Unit for further development.	

APPENDIX A

CURRICULUM APPROVAL FORMS

Can be found on the web at
<http://www.uwgb.edu/registrar/resources/>

New course proposals or changes use [Course Admin](#)

New program proposals or changes use [Program Admin](#)

Curricular changes may be reviewed and approved in the **Approval Queue**

For Help with CourseLeaf, please review [UPDATES! Hints, Tips](#) or email the Registrar (registrar@uwgb.edu).

APPENDIX B

UW SYSTEM POLICIES

*UW System Administrative Policy 102 (formerly ACIS 1.0)
Policy on University of Wisconsin System Array Management: Program Planning,
Delivery, Review, and Reporting*

Located at: <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/policy-on-university-of-wisconsin-system-array-management-program-planning-delivery-review-and-reporting/>

*UW System Administrative Policy 140 (formerly ACIS 6.2)
UW System Guidelines For Articulation Agreements Between UW System
Institutions And WTCS Districts*

Located at: <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/>

Statement on Budgeting as excerpted from UWGB's Assurance Argument (Criterion 5)

UWGB relies on two main sources of revenue: state aid and tuition revenue. Tuition authority is established in Wisconsin State Statute and is set by the UW System Board of Regents as part of the biennial budget process. Undergraduate tuition has been frozen since FY2014.

UWGB continues to deal with financial challenges, most notably a state budget recession and a decline in enrollment. In fiscal year 2015-16, UWGB absorbed a \$2.8 million budget reduction in State funding, resulting in the elimination of 15 faculty and staff positions, and shifting the funding source for nine positions.

In response to these issues, in March 2016, the campus created a Funding Allocation Work Group including staff from the Provost's Office and Business and Finance to review the campus' budget allocation process. Currently, UWGB utilizes an incremental budget model for most financial allocations, such that each department starts at the previous year's budget level, with funding added or reduced to reflect expected institutional or department changes. This Working Group is reviewing other budget allocation methods and options for implementing them for the campus.

As described in 1.A.3, UWGB maintains a representative budget committee, the name and composition of which have evolved over the past decade. While the exact nature of this committee has shifted, the goal of soliciting feedback on budget and strategic planning issues from the University's constituents as well as providing an avenue for communication has remained consistent. In 2016, for example, the committee – now known as the University Planning and Innovation Council (UPIC), was asked to review the materials developed in the *Invent the Future* process commissioned by Chancellor Gary Miller. One of the questions that arose in those discussions was the role interdisciplinarity does and should play at UWGB. UPIC's members did not feel that they were correct group to review that question and recommended that the University Committee address the question. As a result of these deliberations, the Chancellor decided that a new budgetary committee more directly focused on strategic budgeting issues was necessary, and in July 2017, the Strategic Budgeting Committee was created.

The Composite Financial Index (CFI) ratio provides a fiscal perspective that identifies measures, and records financial risks to Public Higher Education Institutions. UWGB's CFI in FY 2016 was 4.38, after factoring in assets from the UWGB Foundation and the impact from the implementation of GASB 68 Pension Obligations, which is considered "above the zone." In FY 2015, the composite score was 4.22, which is also "above the zone." Using the CFI indicator score as a guide, UWGB's current resource base supports and maintains its programs.

Total expenditures in fiscal year 2016 were \$128,009,764, of which \$29.3 million was on instruction-related activities and \$37.7 million was related to student financial aid.

As part of the UW System, UWGB's budget development process is determined by state statute and UW System policies. Each UW system institution uses the same type of budget reporting to UW System, Board of Regents, and Legislature. Campuses are able to develop their own internal budget development and allocation process.

The UWGB budget is developed annually and changes incrementally based on new funding received or budget reductions. UW System provides oversight and guidelines to the campus Budget office, which coordinates the campus budget process. Allocations are received from UW System and distributed to campus departments based on requirements of the appropriation type.

The Budget Director oversees and coordinates the annual budget process. Currently, UWGB uses an incremental budget model for most financial allocations. As mentioned in 5.A.1 and 5.A.2, the Funding Allocation Work Group is reviewing other budget allocation methods and options for implementing them. The Strategic Budgeting Committee, created in 2017, is advisory to the Chancellor and provides leadership in the development and coordination of internal planning processes, including strategic planning and budgeting.

Departments monitor revenue and expenses, with some review centrally by Business and Finance. Reports review program revenue account balances, and the Controller's staff contact departments to review and address deficits prior to the fiscal year end.

UWGB uses its data collection processes to enhance its resource planning. Data gathered about student outcomes informs the academic planning activities of several governance and appointive committees. As part of the Academic Program Review Process, the Academic Affairs Council (AAC) receives and reviews the self-study reports and submits its assessment to the appropriate academic Dean. The General Education Council (GEC) similarly works with annual reports of the outcomes from the General Education Assessment Program and guides ongoing changes to both the assessment and the structure of the program. Additionally, the Academic Program Assessment Subcommittee (APAS) of the University Accreditation and Assessment Council (UAAC) reviews programmatic Assessment Plans and Reports and recommends improvements to academic units. Several committees that focus on student affairs issues work in a similar fashion. The Health and Safety Committee, the Chancellor's Council on Diversity and Inclusive Excellence, and the Technology Council each rely on their own regular and targeted utilization and satisfaction surveys to assess student experiences and track improvements in their various domains.

Budgeting decisions involve two groups: the Strategic Budgeting Committee (SBC) and the Chancellor's Cabinet, which has significant budget-setting responsibilities. The SBC is an appointive committee that advises the Chancellor and his cabinet on planning and budgeting decisions. It relies on a wide array of data, contingent upon its agenda, which is largely established by the Chancellor. Issues addressed by the SBC cut across all university divisions, as does the committee's membership. Within the Academic Affairs division, all senior staff with significant budget responsibilities serve on the University Accreditation and Assessment Committee (UAAC), and several serve on or are administrative liaisons to the critical committees listed in this and the preceding paragraph. The committees study their appropriate data, draw conclusions, and establish planning parameters; the Chancellor's Cabinet considers those planning parameters in its budget deliberations.

UWGB also links assessment of student learning, planning, and budgeting at the level of student success initiatives. For example, student outcome data from participation in First Year Seminars was used as a primary rationale for adding the course to the general education requirements in 2014, with faculty resources being allocated being allocated to this curricular initiative. Prior to the implementation of the new general education requirements, the University was delivering about a dozen freshmen

seminars a year as an optional part of the curriculum. As the new set of requirements, the University moved toward full-scale delivery by increasing the number of voluntary seminars to about 20. The number of seminars required during full implementation varies somewhat based on the size of the freshman class, and has averaged about 33 per year. The Gateways to Phoenix Success (GPS) Program was closely assessed for student learning and retention outcomes over the first two years of the program. Positive assessment of student outcomes led to planning to sustain and then increase the size of the program to support enrollment initiatives, by moving the program into the Provost's office and creating a dedicated budget. Another major initiative that demonstrates how UWGB links planning and budgeting with student learning and success is the new Library Commons project. The Library Commons is a multi-phase project with the first phase opening in fall 2017. This area will bring together various student support services (e.g., tutoring, research, writing), thereby providing students with better access to needed services in a flexible, creative, and comfortable learning environment. Similarly, the Green Bay One Stop Shop (GBoss) in Enrollment Services uses the "one stop" approach to connect students to Admissions, Academic Advising, Financial Aid, the Registrar, and the Bursar. This team and the processes they support identify opportunities for process improvement and better communication for prospective and current students.

Monthly, UWGB engages its operational divisions for capital physical development planning in order to meet the biennial planning and budget process requirements of UW System Administration's Capital Planning and Budget office. The Chancellor discusses significant budget issues with the Council of Trustees. As needed, the Chancellor distributes campus wide memos via email to summarize important budget issues and updates on the budget process.

Each area leader is tasked with working with unit and office directors to measure performance during the year and evaluate any budget or funding changes needed. The campus process encourages each unit or office to identify physical deficiencies with space as well as functional deficiencies related to academic or strategic programming.

As mentioned previously, academic programs are required to engage in annual assessments of student learning outcomes in order to align programmatic goals with issues identified in the assessments. Programs engage in a comprehensive review every seven years that evaluates not only student learning outcomes but also enrollment history, student comments, alumni surveys, graduation and employment rates, faculty productivity, and the like. The review offers the opportunity to reflect on the challenges and successes the program has faced and reevaluate how resources are allocated at the unit, college, or institutional level.

**Report on Planning and Budget Processes For UW Colleges Campuses and Regions
by the Regional Associate Deans for Administration and Finance (RADAF)**

November 8, 2016

	Campus Activity and Strategy	Regional Activity and Strategy
How strategic planning and mission feeds into budget-building	The institutional goals, derived from the mission, are shared by the leadership team to Senate Steering Committee, and to the Senate Budget Committee, which then make recommendations during the budgeting and planning process. For example, if the emphasis is on new freshman success, we may lean towards offering more LEC 100 courses or tutoring/support services, and then put additional funding in those areas.	As noted in the left column, the RADAFs also look at the mission and goals from a regional perspective in that we use our strength as a region to share ideas, best practices, share in funding/resources, instructors, and leverage our dollars in how to best meet the goals of the campus, region and institution. In the example of new freshman success, we might actually combine an activity between two campuses, or provide a class and video stream it to all campuses, saving money but expanding our resources. Therefore, we often plan our budgets with the thought of how we can collaborate and leverage those dollars to get the best results for all. This involves the Regional Leadership Teams working together to provide regional budget goals and strategies, within and amongst regions that maximize institutional wide resources.
How the RADAF team manages campus and regional budgets	Utilizing several tools (WISDM {the UW System Financials DataMart}, Business Intelligence, Student Financial System, and other reports), the RADAFs manage each campus fund on a regular basis by working with our campus and UW Colleges finance team to ensure revenue and expenses are hitting the right accounts and staying within the budgets for that particular campus. The RADAFs also maintain regular oversight of incoming revenue, spending, and purchasing policies.	Utilizing several tools (WISDM {the UW System Financials DataMart}, Business Intelligence, Student Financial System, and other reports), the RADAFs complete review for regions by combining the financial information from each of the campuses with the others within that same region, and the entire institution, looking for trends, efficiencies, errors, and other possible information that can help the region and campuses accomplish their goals.
How the RADAF team monitors budgets	The RADAFs retain account management responsibility at the campus level. This oversight includes account managers identified for each account who are	The RADAFs retain account management responsibility at the regional level. This oversight includes account managers identified for each account who are

	expected to review all revenue and expenses for accuracy within assigned accounts, with guidance provided by the RADAFs.	expected to review all revenue and expenses for accuracy within assigned accounts, with guidance provided by the RADAFs.
How the RADAF team assesses whether the budget supports our mission, strategic plan.	When developing campus-based budgets, the ability of the budget to support academic programming and curriculum is assessed as to how they maximize and meet campus and institutional priorities.	Our Regional Administrative Leadership Team works together to assess the outcomes for individual campuses and regions, while seeking input from each of our individual campuses, committees, departments, UW Colleges' administration, students, and other stakeholders.

FY2018 UW Colleges Redbook Summary, All Funds Detail with distributed Fringe

			SALARY BUDGETS		NON-SALARY BUDGETS					FTE
Division Description	Fund	Total Budget	Salaries	Fringe	S&E	Sales Credit	Capital	Aids to Individuals	Special Purpose	
Baraboo/Sauk County	102	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0
	103	\$ 2,098,586	\$ 1,341,510	\$ 642,901	\$ 114,175	\$ -	\$ -	\$ -	\$ -	26.41
	109	\$ 208,770	\$ -	\$ -	\$ 208,770	\$ -	\$ -	\$ -	\$ -	0
	128	\$ 251,136	\$ 96,350	\$ 37,834	\$ 112,907	\$ (2,000)	\$ -	\$ -	\$ 6,045	2.02
	131	\$ 44,886	\$ 37,405	\$ 7,481	\$ -	\$ -	\$ -	\$ -	\$ -	0
	133	\$ 203,746	\$ -	\$ -	\$ 19,746	\$ -	\$ -	\$ 184,000	\$ -	0
	136	\$ 115,919	\$ 64,633	\$ 20,036	\$ 31,250	\$ -	\$ -	\$ -	\$ -	0.64
	150	\$ 12,439	\$ -	\$ -	\$ 12,439	\$ -	\$ -	\$ -	\$ -	0
	161	\$ 280	\$ -	\$ -	\$ 280	\$ -	\$ -	\$ -	\$ -	0
Baraboo/Sauk County Total		\$ 2,935,762	\$ 1,539,898	\$ 708,252	\$ 499,567	\$ (2,000)	\$ -	\$ 184,000	\$ 6,045	29.07
Barron County	103	\$ 1,841,403	\$ 1,180,432	\$ 565,706	\$ 84,759	\$ -	\$ 10,506	\$ -	\$ -	22.25
	109	\$ 143,000	\$ -	\$ -	\$ 143,000	\$ -	\$ -	\$ -	\$ -	0
	128	\$ 284,959	\$ 71,175	\$ 26,603	\$ 161,192	\$ -	\$ 21,676	\$ -	\$ 4,313	0.8
	131	\$ 35,944	\$ 34,521	\$ 1,423	\$ -	\$ -	\$ -	\$ -	\$ -	0.65
	132	\$ 22,500	\$ 22,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.5
	133	\$ 150,126	\$ 21,084	\$ 10,542	\$ 23,500	\$ -	\$ -	\$ 95,000	\$ -	0.5
	136	\$ 130,501	\$ 86,265	\$ 34,136	\$ 10,100	\$ -	\$ -	\$ -	\$ -	0.73
	150	\$ 500	\$ -	\$ -	\$ 500	\$ -	\$ -	\$ -	\$ -	0
	161	\$ 4,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,500	\$ -	0
Barron County Total		\$ 2,613,433	\$ 1,415,977	\$ 638,410	\$ 423,051	\$ -	\$ 32,182	\$ 99,500	\$ 4,313	25.43
Fond du Lac	103	\$ 2,751,617	\$ 1,788,858	\$ 857,286	\$ 114,503	\$ (9,030)	\$ -	\$ -	\$ -	32.37
	109	\$ 150,000	\$ -	\$ -	\$ 150,000	\$ -	\$ -	\$ -	\$ -	0
	128	\$ 269,650	\$ 95,933	\$ 30,512	\$ 136,854	\$ -	\$ -	\$ -	\$ 6,351	1.28
	131	\$ 37,365	\$ 32,929	\$ 4,436	\$ -	\$ -	\$ -	\$ -	\$ -	0.25
	133	\$ 43,000	\$ -	\$ -	\$ 18,000	\$ -	\$ -	\$ 25,000	\$ -	0
	136	\$ 160,289	\$ 104,830	\$ 41,409	\$ 14,050	\$ -	\$ -	\$ -	\$ -	1.25
Fond du Lac Total		\$ 3,411,921	\$ 2,022,550	\$ 933,643	\$ 433,407	\$ (9,030)	\$ -	\$ 25,000	\$ 6,351	35.15
Fox Valley	103	\$ 4,972,578	\$ 3,297,640	\$ 1,580,350	\$ 276,234	\$ (181,646)	\$ -	\$ -	\$ -	55.09
	109	\$ 385,000	\$ -	\$ -	\$ 385,000	\$ -	\$ -	\$ -	\$ -	0
	128	\$ 1,107,430	\$ 451,357	\$ 138,857	\$ 481,373	\$ -	\$ 20,000	\$ -	\$ 15,843	6.28
	131	\$ 82,477	\$ 74,002	\$ 8,475	\$ -	\$ -	\$ -	\$ -	\$ -	0.75
	133	\$ 352,579	\$ -	\$ 26,509	\$ 326,070	\$ -	\$ -	\$ -	\$ -	0
	136	\$ 461,575	\$ 304,175	\$ 111,605	\$ 40,320	\$ -	\$ 5,475	\$ -	\$ -	4.2
	144	\$ 3,000	\$ -	\$ -	\$ 3,000	\$ -	\$ -	\$ -	\$ -	0
	233	\$ 53,018	\$ 53,018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	1
Fox Valley Total		\$ 7,417,657	\$ 4,180,192	\$ 1,865,796	\$ 1,511,997	\$ (181,646)	\$ 25,475	\$ -	\$ 15,843	67.32
Manitowoc	103	\$ 2,267,099	\$ 1,457,457	\$ 698,467	\$ 126,896	\$ (15,721)	\$ -	\$ -	\$ -	26.81

	109	\$	121,600	\$	-	\$	-	\$	121,600	\$	-	\$	-	\$	-	\$	-	0
	128	\$	229,564	\$	63,410	\$	21,436	\$	110,031	\$	-	\$	30,000	\$	-	\$	4,687	0.75
	131	\$	15,373	\$	12,811	\$	2,562	\$	-	\$	-	\$	-	\$	-	\$	-	0
	133	\$	30,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	30,000	\$	-	0
	136	\$	84,948	\$	55,346	\$	21,102	\$	8,500	\$	-	\$	-	\$	-	\$	-	0.25
	144	\$	34,160	\$	4,000	\$	160	\$	30,000	\$	-	\$	-	\$	-	\$	-	0
Manitowoc Total		\$	2,782,744	\$	1,593,024	\$	743,727	\$	397,027	\$	(15,721)	\$	30,000	\$	30,000	\$	4,687	27.81
Marathon County	103	\$	4,170,743	\$	2,609,384	\$	1,250,512	\$	358,298	\$	(51,246)	\$	3,795	\$	-	\$	-	45.4
	109	\$	320,000	\$	-	\$	-	\$	320,000	\$	-	\$	-	\$	-	\$	-	0
	128	\$	1,008,159	\$	220,871	\$	59,305	\$	691,416	\$	(10,000)	\$	37,398	\$	-	\$	9,169	1.73
	131	\$	34,067	\$	33,077	\$	990	\$	-	\$	-	\$	-	\$	-	\$	-	0.7
	132	\$	45,000	\$	45,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	133	\$	276,000	\$	-	\$	-	\$	39,000	\$	-	\$	-	\$	237,000	\$	-	0
	136	\$	140,043	\$	91,718	\$	31,725	\$	16,600	\$	-	\$	-	\$	-	\$	-	0.85
	144	\$	122,855	\$	120,189	\$	-	\$	2,666	\$	-	\$	-	\$	-	\$	-	3.4
	150	\$	750	\$	-	\$	-	\$	750	\$	-	\$	-	\$	-	\$	-	0
	161	\$	4,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	4,000	\$	-	0
	402	\$	32,789	\$	21,795	\$	10,994	\$	-	\$	-	\$	-	\$	-	\$	-	0.5
Marathon County Total		\$	6,154,406	\$	3,142,034	\$	1,353,526	\$	1,428,730	\$	(61,246)	\$	41,193	\$	241,000	\$	9,169	53.58
Marinette	103	\$	1,855,558	\$	1,228,043	\$	588,523	\$	78,065	\$	(39,073)	\$	-	\$	-	\$	-	24.31
	109	\$	144,000	\$	-	\$	-	\$	144,000	\$	-	\$	-	\$	-	\$	-	0
	128	\$	482,835	\$	97,395	\$	35,788	\$	341,697	\$	-	\$	5,000	\$	-	\$	2,955	0.8
	131	\$	80,601	\$	75,226	\$	5,375	\$	-	\$	-	\$	-	\$	-	\$	-	1
	132	\$	21,500	\$	21,500	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	0.5
	133	\$	205,350	\$	-	\$	-	\$	113,150	\$	-	\$	-	\$	92,200	\$	-	0
	136	\$	145,294	\$	96,327	\$	35,257	\$	13,710	\$	-	\$	-	\$	-	\$	-	0.25
	144	\$	100,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	100,000	\$	-	0
	150	\$	250	\$	-	\$	-	\$	250	\$	-	\$	-	\$	-	\$	-	0
Marinette Total		\$	3,035,388	\$	1,518,491	\$	664,943	\$	690,872	\$	(39,073)	\$	5,000	\$	192,200	\$	2,955	26.86
Marshfield/Wood County	103	\$	2,320,568	\$	1,497,906	\$	717,851	\$	104,811	\$	-	\$	-	\$	-	\$	-	27.04
	109	\$	193,588	\$	-	\$	-	\$	193,588	\$	-	\$	-	\$	-	\$	-	0
	128	\$	164,191	\$	65,718	\$	19,790	\$	103,144	\$	(29,300)	\$	-	\$	-	\$	4,839	0.45
	131	\$	63,838	\$	60,295	\$	3,543	\$	-	\$	-	\$	-	\$	-	\$	-	1
	132	\$	38,000	\$	38,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	133	\$	208,950	\$	-	\$	-	\$	208,950	\$	-	\$	-	\$	-	\$	-	0
	136	\$	250,585	\$	161,742	\$	63,843	\$	25,000	\$	-	\$	-	\$	-	\$	-	1.75
	150	\$	250	\$	-	\$	-	\$	-	\$	-	\$	-	\$	250	\$	-	0
Marshfield/Wood County Total		\$	3,239,970	\$	1,823,661	\$	805,027	\$	635,493	\$	(29,300)	\$	-	\$	250	\$	4,839	31.24
Richland	103	\$	1,785,021	\$	1,155,445	\$	553,732	\$	75,844	\$	-	\$	-	\$	-	\$	-	22.21
	109	\$	170,000	\$	-	\$	-	\$	170,000	\$	-	\$	-	\$	-	\$	-	0
	128	\$	151,806	\$	48,816	\$	16,223	\$	84,728	\$	(1,000)	\$	-	\$	-	\$	3,039	0.86
	131	\$	90,446	\$	89,496	\$	950	\$	-	\$	-	\$	-	\$	-	\$	-	2
	133	\$	172,000	\$	6,000	\$	3,000	\$	9,500	\$	-	\$	-	\$	153,500	\$	-	0

	136	\$	175,037	\$	112,672	\$	44,015	\$	18,350	\$	-	\$	-	\$	-	\$	-	0.2
	144	\$	30,250	\$	-	\$	-	\$	13,750	\$	-	\$	-	\$	16,500	\$	-	0
	150	\$	250	\$	-	\$	-	\$	250	\$	-	\$	-	\$	-	\$	-	0
	161	\$	3,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	3,000	\$	-	0
Richland Total		\$	2,577,810	\$	1,412,429	\$	617,920	\$	372,422	\$	(1,000)	\$	-	\$	173,000	\$	3,039	25.27
Rock County	103	\$	3,227,004	\$	2,143,354	\$	1,027,174	\$	56,476	\$	-	\$	-	\$	-	\$	-	34.61
	109	\$	379,000	\$	-	\$	-	\$	379,000	\$	-	\$	-	\$	-	\$	-	0
	128	\$	373,941	\$	107,575	\$	33,390	\$	220,702	\$	(2,000)	\$	-	\$	3,050	\$	11,224	1.06
	131	\$	93,411	\$	82,063	\$	11,348	\$	-	\$	-	\$	-	\$	-	\$	-	0.5
	133	\$	66,500	\$	-	\$	-	\$	6,500	\$	-	\$	-	\$	60,000	\$	-	0
	136	\$	327,914	\$	192,637	\$	81,877	\$	53,400	\$	-	\$	-	\$	-	\$	-	0.67
	144	\$	179,827	\$	110,004	\$	53,780	\$	16,043	\$	-	\$	-	\$	-	\$	-	2.95
	150	\$	2,300	\$	-	\$	-	\$	2,300	\$	-	\$	-	\$	-	\$	-	0
	402	\$	66,025	\$	43,888	\$	22,137	\$	-	\$	-	\$	-	\$	-	\$	-	0.75
Rock County Total		\$	4,715,922	\$	2,679,521	\$	1,229,706	\$	734,421	\$	(2,000)	\$	-	\$	63,050	\$	11,224	40.54
Sheboygan	103	\$	2,256,907	\$	1,461,616	\$	700,460	\$	94,831	\$	-	\$	-	\$	-	\$	-	28.03
	109	\$	303,926	\$	-	\$	-	\$	303,926	\$	-	\$	-	\$	-	\$	-	0
	128	\$	303,821	\$	111,639	\$	41,776	\$	144,055	\$	-	\$	-	\$	-	\$	6,351	1.75
	131	\$	33,110	\$	27,592	\$	5,518	\$	-	\$	-	\$	-	\$	-	\$	-	0
	133	\$	51,936	\$	900	\$	36	\$	1,500	\$	-	\$	-	\$	49,500	\$	-	0
	136	\$	268,532	\$	182,302	\$	64,930	\$	21,300	\$	-	\$	-	\$	-	\$	-	1
	150	\$	1,950	\$	-	\$	-	\$	1,950	\$	-	\$	-	\$	-	\$	-	0
Sheboygan Total		\$	3,220,182	\$	1,784,049	\$	812,720	\$	567,562	\$	-	\$	-	\$	49,500	\$	6,351	30.78
Washington County	103	\$	3,279,697	\$	2,166,815	\$	1,038,417	\$	79,865	\$	(5,400)	\$	-	\$	-	\$	-	34.74
	109	\$	151,127	\$	-	\$	-	\$	151,127	\$	-	\$	-	\$	-	\$	-	0
	128	\$	326,422	\$	123,947	\$	43,715	\$	149,523	\$	-	\$	-	\$	-	\$	9,237	2.15
	131	\$	60,031	\$	50,026	\$	10,005	\$	-	\$	-	\$	-	\$	-	\$	-	0
	133	\$	55,500	\$	-	\$	-	\$	12,500	\$	-	\$	-	\$	43,000	\$	-	0
	136	\$	203,991	\$	145,358	\$	38,755	\$	19,878	\$	-	\$	-	\$	-	\$	-	1.05
	161	\$	1,750	\$	-	\$	-	\$	-	\$	-	\$	-	\$	1,750	\$	-	0
Washington County Total		\$	4,078,518	\$	2,486,146	\$	1,130,892	\$	412,893	\$	(5,400)	\$	-	\$	44,750	\$	9,237	37.94
Waukesha	103	\$	5,382,870	\$	3,528,410	\$	1,690,943	\$	179,717	\$	(16,200)	\$	-	\$	-	\$	-	64.16
	109	\$	305,489	\$	-	\$	-	\$	305,489	\$	-	\$	-	\$	-	\$	-	0
	128	\$	623,150	\$	248,805	\$	71,621	\$	282,976	\$	-	\$	-	\$	-	\$	19,748	3.6
	131	\$	232,266	\$	199,234	\$	33,032	\$	-	\$	-	\$	-	\$	-	\$	-	0.75
	133	\$	28,000	\$	-	\$	-	\$	1,000	\$	-	\$	-	\$	27,000	\$	-	0
	136	\$	800,183	\$	480,383	\$	161,300	\$	158,500	\$	-	\$	-	\$	-	\$	-	3.6
	144	\$	317,020	\$	226,308	\$	89,712	\$	1,000	\$	-	\$	-	\$	-	\$	-	3.65
	402	\$	27,439	\$	18,239	\$	9,200	\$	-	\$	-	\$	-	\$	-	\$	-	0.45
Waukesha Total		\$	7,716,417	\$	4,701,379	\$	2,055,808	\$	928,682	\$	(16,200)	\$	-	\$	27,000	\$	19,748	76.21
Colleges Total:		\$	53,900,131	\$	30,299,351	\$	13,560,371	\$	9,036,124	\$	(362,616)	\$	133,850	\$	1,129,250	\$	103,801	507.20

Regional

North Region Leadership	103	\$	1,379,696	\$	891,499	\$	427,239	\$	67,018	\$	(12,000)	\$	5,940	\$	-	\$	-	10
	104	\$	75,000	\$	75,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	132	\$	613,125	\$	179,500	\$	68,625	\$	355,000	\$	-	\$	10,000	\$	-	\$	-	0
	189	\$	86,300	\$	56,000	\$	16,800	\$	13,500	\$	-	\$	-	\$	-	\$	-	0
North Region Leadership Total		\$	2,154,121	\$	1,201,999	\$	512,664	\$	435,518	\$	(12,000)	\$	15,940	\$	-	\$	-	11
Northeast Region Leadership	103	\$	1,214,128	\$	783,397	\$	375,433	\$	55,298	\$	-	\$	-	\$	-	\$	-	8.5
	104	\$	75,000	\$	75,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	131	\$	42,374	\$	42,374	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	132	\$	104,666	\$	29,958	\$	6,708	\$	68,000	\$	-	\$	-	\$	-	\$	-	0
	189	\$	67,600	\$	52,000	\$	15,600	\$	-	\$	-	\$	-	\$	-	\$	-	0
Northeast Region Leadership Total		\$	1,503,768	\$	982,729	\$	397,741	\$	123,298	\$	-	\$	-	\$	-	\$	-	10.5
Southeast Region Leadership	103	\$	1,207,484	\$	778,906	\$	373,280	\$	55,298	\$	-	\$	-	\$	-	\$	-	8
	104	\$	75,000	\$	75,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	132	\$	640,049	\$	129,660	\$	29,031	\$	476,132	\$	-	\$	5,226	\$	-	\$	-	1
	189	\$	76,417	\$	55,705	\$	16,712	\$	4,000	\$	-	\$	-	\$	-	\$	-	0
Southeast Region Leadership Total		\$	1,998,950	\$	1,039,271	\$	419,023	\$	535,430	\$	-	\$	5,226	\$	-	\$	-	10
Southwest Region Leadership	103	\$	1,197,403	\$	772,091	\$	370,014	\$	96,200	\$	(40,902)	\$	-	\$	-	\$	-	8.5
	104	\$	75,000	\$	75,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	131	\$	22,000	\$	22,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	0.5
	132	\$	249,818	\$	52,960	\$	11,858	\$	185,000	\$	-	\$	-	\$	-	\$	-	0
	189	\$	14,321	\$	9,285	\$	2,786	\$	2,250	\$	-	\$	-	\$	-	\$	-	0
Southwest Region Leadership Total		\$	1,558,542	\$	931,336	\$	384,658	\$	283,450	\$	(40,902)	\$	-	\$	-	\$	-	10
Regional Total:		\$	7,215,381	\$	4,155,335	\$	1,714,086	\$	1,377,696	\$	(52,902)	\$	21,166	\$	-	\$	-	41.5

Central Administration - Colleges																		
Administration	103	\$	1,614,653	\$	1,031,923	\$	494,535	\$	88,195	\$	-	\$	-	\$	-	\$	-	9.5
	128	\$	65,112	\$	40,951	\$	24,161	\$	-	\$	-	\$	-	\$	-	\$	-	0.8
	131	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	0
Administration Total		\$	1,679,765	\$	1,072,874	\$	518,696	\$	88,195	\$	-	\$	-	\$	-	\$	-	10.3
Consolidated Services	103	\$	10,806,594	\$	5,849,442	\$	2,803,267	\$	1,962,706	\$	(143,282)	\$	334,461	\$	-	\$	-	108.82
	109	\$	30,000	\$	-	\$	-	\$	30,000	\$	-	\$	-	\$	-	\$	-	0
	128	\$	69,232	\$	68,699	\$	35,573	\$	23,298	\$	(58,338)	\$	-	\$	-	\$	-	1.15
	131	\$	450,139	\$	358,063	\$	90,826	\$	1,250	\$	-	\$	-	\$	-	\$	-	6.08
	136	\$	123,564	\$	112,289	\$	-	\$	11,275	\$	-	\$	-	\$	-	\$	-	2
	144	\$	71,841	\$	42,994	\$	19,347	\$	9,500	\$	-	\$	-	\$	-	\$	-	1
	150	\$	26,628	\$	21,600	\$	5,028	\$	-	\$	-	\$	-	\$	-	\$	-	0.3
	402	\$	365,849	\$	158,766	\$	80,083	\$	127,000	\$	-	\$	-	\$	-	\$	-	1.5
Consolidated Services Total		\$	11,943,847	\$	6,611,853	\$	3,034,124	\$	2,165,029	\$	(201,620)	\$	334,461	\$	-	\$	-	120.85
Governance	103	\$	521,859	\$	292,428	\$	140,142	\$	89,289	\$	-	\$	-	\$	-	\$	-	0.5
Governance Total		\$	521,859	\$	292,428	\$	140,142	\$	89,289	\$	-	\$	-	\$	-	\$	-	0.5
Institutional Programs	103	\$	1,706,197	\$	897,333	\$	430,035	\$	422,829	\$	(44,000)	\$	-	\$	-	\$	-	13.05
	104	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	0
	128	\$	25,414	\$	11,999	\$	4,792	\$	11,223	\$	(2,600)	\$	-	\$	-	\$	-	0.2

	131	\$	433,766	\$	300,100	\$	68,891	\$	64,775	\$	-	\$	-	\$	-	\$	-	3.1
	136	\$	334,592	\$	200,887	\$	29,220	\$	104,485	\$	-	\$	-	\$	-	\$	-	3.63
	233	\$	60,000	\$	60,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	1
	402	\$	5,800	\$	-	\$	-	\$	5,800	\$	-	\$	-	\$	-	\$	-	0
Institutional Programs Total		\$	2,565,769	\$	1,470,319	\$	532,938	\$	609,112	\$	(46,600)	\$	-	\$	-	\$	-	20.98
Pooled Expenses	103	\$	4,971,936	\$	1,010,664	\$	484,347	\$	2,642,279	\$	-	\$	-	\$	834,646	\$	-	0
	104	\$	(254)	\$	(254)	\$	-	\$	-	\$	-	\$	-	\$	-	\$	-	2.5
	128	\$	23,485	\$	-	\$	-	\$	23,485	\$	-	\$	-	\$	-	\$	-	0
	131	\$	35,000	\$	-	\$	-	\$	35,000	\$	-	\$	-	\$	-	\$	-	0
	136	\$	56,075	\$	-	\$	-	\$	56,075	\$	-	\$	-	\$	-	\$	-	0
	150	\$	27,502	\$	-	\$	-	\$	27,502	\$	-	\$	-	\$	-	\$	-	0
	406	\$	222,073	\$	-	\$	-	\$	-	\$	-	\$	-	\$	222,073	\$	-	0
Pooled Expenses Total		\$	5,335,817	\$	1,010,410	\$	484,347	\$	2,784,341	\$	-	\$	-	\$	1,056,719	\$	-	2.5
Central/Consolidated Total:		\$	22,047,058	\$	10,457,884	\$	4,710,248	\$	5,735,966	\$	(248,220)	\$	334,461	\$	1,056,719	\$	-	155.13



Strategic Enrollment Management Plan

2016 – 2020

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University of Wisconsin-Green Bay (UWGB) Vision and Mission

Vision Statement: The University of Wisconsin-Green Bay is an access-driven, urban-serving comprehensive university that provides a world-class education and promotes economic growth, sustainability, as well as health, wellness, and social equity in Green Bay and the surrounding areas through a commitment to interdisciplinary learning, scholarship, and problem-solving.

To realize this vision, UW-Green Bay must be:

- A university that makes student success its highest priority.
- A large university (10,000 total headcount) approaching 15% out-of-state students with one of the highest proportions of international students in the UW System.
- A diverse university that reflects the community.
- A leading comprehensive, Division I university recognized for connecting community partners in innovative programs of development, education, and sustainability.
- An internationally-recognized university that instills the benefits of interdisciplinary thinking and learning.
- A university known for distinctive programs, including traditional and professional graduate programs.
- A university that invests in its people, values innovation and creativity, and strives to create a work environment that supports personal and professional growth.

Mission Statement: The University of Wisconsin-Green Bay provides an interdisciplinary, problem-focused educational experience that prepares students to think critically and address complex issues in a multicultural and evolving world. The University enriches the quality of life for students and the community by embracing the educational value of diversity, promoting environmental sustainability, encouraging engaged citizenship, and serving as an intellectual, cultural and economic resource.

Priorities: The Strategic Enrollment Management Plan development aligns with university strategic priorities, focused on:

- make **student success** our highest priority;
- increase **student access** in order to meet the needs of the region;
- offer **distinctive programs** at both the undergraduate and graduate levels;
- demonstrate the benefits of **interdisciplinary** thinking and learning
- develop a **diverse** university that reflects the community;
- purposefully develop **community relationships**; and
- ensure **professional growth** of our faculty and staff in order to foster creativity, innovation, and scholarship.

Strategic Enrollment Management (SEM) Introduction

SEM is a comprehensive process designed to aid UWGB in realizing optimal enrollment through strategic recruiting and retention practices focused on student success. SEM planning involves thorough analysis of data relevant to current student population and projections for the future. A strong SEM plan is a direct reflection and extension of the University's strategic plan and vision.

The development of SEM must be an institution-wide initiative, relying on input and buy-in from stakeholders across UWGB including faculty, staff, and students. Other units within UWGB, such as the Office of Graduate Studies and collaborative programs, have independent plans relating to enrollment management, marketing, and recruiting. However, this SEM Plan is designed to incorporate all areas of UWGB within a centralized planning initiative. UWGB needs to better represent itself as “one university.” We need a larger, university-wide discussion on how best to position all areas of UWGB to accommodate change and move the university forward.

In order to create buy-in and to better employ the wide variety of knowledge and experience our university community offers, the establishment of an Enrollment Management Committee is vital. The committee will be comprised of representatives from a wide cross-section supplying varied perspectives from the University community. By utilizing pertinent data sources and guided by the University’s strategic plan, vision, and purpose, the Enrollment Management Committee will make recommendations on recruitment practices, student success programs, program development, and enrollment supports for the institution.

The use of SEM and creation of an Enrollment Management Committee are critical to the sustainability of the University as it faces increased challenges to enroll and retain students in the face of fluctuating high school graduate populations in UWGB’s primary market, increased costs intensified by reductions in state funding, and a constant evolution of student needs. The plan will frame the activities we will take for Academic Years 2017-2018, 2018-2019, and 2019-2020.

Executive Summary

Between academic years 2009 and 2015, UWGB saw a period of declining enrollment. First time freshmen and on-campus transfer student enrollment fell to XXX FTE. During this same time period, online student enrollment and the College Credit in High School Program students (student FTE historically considered outside of the tuition pool) grew, somewhat offsetting the full decline in total FTE. Academic year 2016 saw the first increase in student FTE of 4%, including a 10% increase in new freshmen. During this time, student retention remained relatively constant. Graduate enrollments increased from XXX to XXX (2016). Because of changes in leadership and the different management of student groups (traditional vs. online), many recruitment and retention processes were not scrutinized to identify the highly successful programs to continue, the less successful programs to alter or discontinue, and the new challenges of a quickly evolving marketplace.

UWGB, like most institutions around the country, is not immune to the challenges facing higher education, with increased competition, governmental mandates for improved graduation rates, a more price sensitive consumer, and fluctuating high school graduate populations. These significant threats must be addressed in a strategic manner to insure that enrollment goals are met, while maintaining the academic integrity of our institution, meeting the needs of our student population, and continuing to represent the mission of UWGB. The process of evaluation and development of a Strategic Enrollment Management plan is a vital component of insuring that all of these expectations are met and exceeded.

The Path to Success

The purpose of the plan is to provide a blueprint to guide our recruitment and retention efforts over the next two years to increase our opportunities for success. The plan intends to respond to three overarching areas:

- Grow the institution to the desired size of 10,000
- Reflect the student demographic profile of the Greater Green Bay Area
- Support the economic and community development initiatives of the Greater Green Bay Area

The plan seeks to develop consensus regarding goals and priorities for managing enrollment at the undergraduate and graduate levels. The plan will enable units across campus to reexamine their positions and roles within the greater UWGB enrollment management condition and to redesign their own pathways to success in accordance with the greater interests of the university as a whole. Successful enrollment planning facilitates attracting and enrolling the optimal student profile, and enables the university to:

- Set goals that align with the institutional mission
- Develop enrollment goals strategically, including the use of institutional resources
- Balance short-term vs. long-term expectations

The plan is a place to articulate university strengths, opportunities, threats, and challenges, particularly in response to external influences and growing competition. Included within the plan are data points and information to increase awareness and inform decision making regarding the desired enrollment profile. It is critically important that enrollment efforts are focused on the individuals we recruit and their opportunities to be successful at UWGB. The plan will also keep us focused on the larger higher education landscape to avoid any surprises that may impact fiscal stability and institutional success.

The plan is a fluid document and, therefore, will be updated periodically throughout each enrollment cycle to reflect and account for current trends, occupational outlook, and federal, state, and institutional decisions that may impact recruitment and retention outcomes. We are embarking on a formal partnership to develop a strategic enrollment management plan to define our enrollment profile and instructional aspirations. As we develop this strategy, there are specific roles the Academic Colleges, Enrollment Services, Student Services, the College of Graduate Studies, Gateways to Phoenix Success (GPS), and other units must play to facilitate success.

Enrollment and Student Services will:

1. Develop the Enrollment Management Committee — This re-invigorated initiative will promote a coordinated effort of recruitment and retention strategies for UWGB.
2. Develop an operationalized recruitment plan that align with the institution's priorities and support enrollment goals.
3. Create specific recruiting strategies and goals to build a student population that more accurately reflects the Greater Green Bay area K-12 student population.
4. Continue support for GPS and early alert — UWGB is building an early alert system to support retention efforts and student success.
5. Implement the Salesforce CRM (constituent relationship management) system — this system will allow the admissions, advising, and nursing departments to better automate and track communications with prospective and current students. Communications will occur sooner and at set touch-points during the recruitment cycle and focus on building the student profile of the institution.

6. Secure better recruiting data — UWGB is building new high school lists for use with the CRM.
7. Recruit students beyond Wisconsin — UWGB will secure names and contact information for students in Michigan, Illinois, Iowa, and Minnesota based on defined variables that fit well with our student profile.
8. Recruit students internationally — UWGB is building a stronger relationship with defined roles between Enrollment Services and the Office of International Education with a focus on strengthening agency relationships.
9. Conduct market research — Gain insight into awareness and perception of UWGB in the marketplace. Better understand psychographics, determine key opportunities and challenges to increase our student prospect pool, market engagement of potential students, and viability of our current strategies.
10. Model financial performance as a function of UG enrollment for colleges.
11. Project enrollment by major over the next 5 to 10 years based on external factors — (e.g. high school graduation rates, changes in demographics).

The College of Graduate Studies will:

1. Enhance the graduate outcomes assessment process to review and assess program quality, enhance graduation rates, and track successful performance indicators.
2. Develop a financial assistance plan to maximize fellowship, scholarship, assistantship, loans, and other forms of financial assistance for graduate students.
3. Engage graduate coordinators and department chairs in recruiting and retention objectives.
4. Strategically recruit in-state to meet program-based objectives.
5. Strategically recruit nationally to meet program-based objectives.
6. Strategically recruit internationally to meet program-based objectives.
7. Conduct market research – to gain insight into program-based trends, opportunities, and challenges.
8. Model financial performance as a function of graduate enrollment.
9. Project enrollment by program, department, and college over the next 5 to 10 years based upon both external and internal factors.

Academic Colleges will:

1. Oversee greater involvement and leadership in establishing admissions criteria by program, college, etc.
 - Provide timely and comprehensive information regarding new program development and programmatic changes.
 - Review and efficaciously enhance graduate admissions standards and processes.
2. Seek out and secure additional development opportunities to increase funds earmarked specifically for scholarships and need-based funding to support new and continuing students.
3. Consistently review gateway courses with high poor/failing grade rates (D, E, W, and I) and support both curricular and pedagogy revisions that will strike the appropriate balance between rigor and support (supplemental instruction, success coaching, tutoring, etc.), promoting improved academic habits and student investment in the learning process.
4. Monitor registration to assure student access to courses.
5. Create multi-year academic course offerings to support student planning and advising.

6. Provide quality advisement
 - Advocate faculty interventions with students who are underperforming to assist and/or make referrals to support services, and connect the referral with support personnel, as early as possible.
 - Advise within the colleges to support students in selecting and managing courses to promote student retention, progression toward degrees, and graduation in four years.
7. Effectively manage curriculum development (new degrees, majors, and minors) —The right product to interest the type(s) of students we want at UWGB will be offered. Work with Provost's Office to get involved in new and obsoleting program discussions earlier as an opportunity to share occupational outlook and high interest/demand areas.
8. Prepare to actively and continuously participate in student outreach and core recruitment activities — Support student communication via CRM/messaging plans, admissions fairs, open houses, etc.
9. Identify a stronger recruitment and retention communications/interactions for each college — Ensure direct and ongoing collaboration and active participation in the Enrollment Management Committee.
10. Help define a value proposition —Identify programs where UWGB is the first, best, only university to offer them! Identify and define programs of excellence (e.g. first quartile outcomes in graduation rates, placement, and graduate study).
11. Identify what career opportunities exist in each major field of study — (e.g. occupational outlook)
12. Institutionalize an internal informational/recruiting system whereby students become aware of advanced academic opportunities beyond the bachelor's degree — (i.e. accelerated degree programs, graduate certificates, master's, and doctoral, etc.).

Enrollment Projections

On-campus enrollment projections are developed annually to provide information for budget and personnel needs for the next fiscal year. The projection methodology starts with identifying a UWGB tuition-paid headcount enrollment, composed of first-time freshmen, incoming transfer and returning undergraduate students, online students, and new graduate students. Considerations in projecting freshmen enrollment include the size of the Wisconsin high school graduating class, and UWGB's market share of that class. New freshmen and transfer student projections are influenced by changes at UWGB and among key competitors in recruitment initiatives (especially tuition pricing), institutionally-funded scholarships, and new academic programs.

Graduate enrollment numbers, including both domestic and international graduate enrollments, are determined relative to historical enrollment, new programs, program deletions, and recruiting efforts. Returning undergraduate enrollments follow historical persistence rates and consider marked changes in students' time-to-degree. Once enrollment headcount is determined, semester credit hours (SCH) are projected. SCH are projected by designator, department, college, level, tuition cohort, and semester using expected credit hour loads per student type consistent with recent history and adjusted for recent trends. The enrollment projections serve as the base on which enrollment goals are developed in addition to items such as revenues, expenses, marketing investments, break-even analysis, overhead, revenue/expenses by course, new programs, discontinued programs, facility availability, online delivery subscription, and faculty availability.

Enrollment Goals 2017 – 2019

Here are performance indicators as well as goals established as of May, 2017. These are headcounts, not FTE.

	Fall 2016 Actual	Fall 2017 Goals	Fall 2018 Goals	Fall 2019 Goals
Undergraduate new FTIACs on campus	853	892	936	1030
New transfers/re-entry on campus	546	557	568	597
New online program students	193	170	195	211
Returning undergraduates on campus	3,189	3,200	3,250	3,269
New graduate students (non-collab)	63	69	75	100
Retained graduate students	103	110	115	120
Total Campus enrollments	4,947	4,998	5,130	5,299

These goals are in recognition of the current market performance as well as the opportunity to expand our reach beyond the State of Wisconsin. The goals will be monitored and adjusted as milestones are reached. These numbers do not include Undergraduate Special Students or Graduate Special Students, which would add approximately 1500 student headcount to the total.

Organizational Structure for the Enrollment Management Committee

UWGB supports enrollment management as a strategic, university-wide program designed to provide student service, satisfaction, and success. While responsibility for enrollment management is shared by all, the Enrollment Management Committee has been charged with providing sound advice and recommendations to the university's executive leadership on optimal enrollment profile and matters influencing the establishment and attainment of enrollment goals. This will be accomplished through a comprehensive evaluation of internal and external data, including demographic, geographic, and financial influences on recruitment and retention, and through an advanced, qualitative assessment based upon discussions with academic unit directors, chairs, and college deans. The primary objective of the committee will be to ensure that recruitment, enrollment, and retention practices align with the institution-wide strategic plan, mission, and purpose of attracting, educating, and graduating highly qualified students.

Name	Title	Office	Academic	Recruit	Retention	Strategic
	Associate Dean	CSOB	X	X		
	Faculty	CAHSS			X	
	Faculty	CST			X	
	Faculty	CHESW			X	
Anderson, Dick	Director	Business and Finance				X
Arneson, Eric	Vice Chancellor	Student Services			X	X
Ashman, Scott	Associate Dean	CHESW	X	X		
Bartell, Denise	Director	Student Success/GPS			X	
Bonkowski, Janet	Director	Marketing and University Communication				X
Casborne, Michael	Director	Pre-College/TRIO		X		
Craver, Eric	Director, Marketing Strategy	Marketing and University Communication		X		
Davis, Greg	Provost	Academic Affairs				X
Derge, Bridget	Associate Director	Admissions		X		
Dornbush, Matt	Associate Vice Chancellor	Graduate Studies	X			
Furlong, Debbie	Director	Institutional Research				X
Furlong, Scott	Dean	CAHSS				X
Gallagher-Lepak, Susan	Dean	CHESW		X		X
Ganyard, Clif	Associate Provost	Academic Affairs	X			
Gillespie, Mary Ellen		Athletics				X
Hensler, Doug	Dean	CSOB				X
Jones, Jen	Director	Admissions		X		
Katers, John	Dean	CST				X
Miller, Gary	Chancellor	UW-Green Bay				X
Nelson, Amanda	Associate Dean	CST		X		
Peacock-Landrum, Linda	Director	Career Services	X			
Pfeifer, Ron	Associate Chancellor	External Affairs				X
Renier, Darrel	Director	Academic Advising			X	
Ritch, Donna	Associate Dean	CAHSS	X	X		
Rohan, Jim	Director	Financial Aid		X		
Strehlow, Meagen	Director	Education Outreach		X		
Trombley, Christina	Chair of Committee and Assistant Vice-Chancellor	Enrollment Services	X	X	X	X
Van Gruensven, Sheryl	Vice-Chancellor	Business and Finance				X
Vandervest, Molly	Assistant Director	Athletics		X		
Voss, Kay	Advisor	Cofrin School of Business			X	
Werner, Tony	Director	Foundation				X
Zorn, Michael	Associate Dean	CST	X			

Enrollment Management Subcommittee Descriptions

Academic Subcommittee

The subcommittee on academic enrollment management will analyze data specific to academic program offerings at the undergraduate and graduate levels with a goal of improving degree completion and job placement outcomes. The committee will:

- Review and verify academic program offerings as compared to occupational outlook and other demand indicators.
- Conduct major demand analysis.
- Analyze curricular complexity and choice and make recommendations for improvement.
- Identify collaborative opportunities that integrate career and academic advising.

Recruitment Subcommittee

The subcommittee on recruitment will review current recruitment practices for the undergraduate admissions enterprise. The committee will review current market penetration, strategies for identifying target markets, potential out-of-state markets, evaluate the communication plans for a variety of audiences, and make recommendations for continuation and implementation of new strategies. The committee will also review the methods and philosophy for evaluation of applicants and make recommendations according to effectiveness in meeting class size and profile enrollment goals. The committee will review program-based recruiting goals and objectives and make recommendations for enhanced marketing and recruiting initiatives.

Retention Subcommittee

The subcommittee on retention will examine student persistence and graduation rates across all departments, programs and colleges. The committee will analyze data (retention, withdrawal, transfer, student satisfaction, etc.) and recommend strategies to enhance UWGB's retention and graduation rates. The committee will recommend long-term strategies to address the ongoing needs of all students, and partner with other campus constituencies to advance priority action items. These priority action items will likely include the following:

- Analyze and communicate retention data and best practices across campus.
- Strategize support for use of new Student Success Center
- Share ideas and initiate conversations on issues contributing to retention, such as campus culture, shifting student demographics, etc.
- Recommend the implementation of programs for identifiable at-risk groups.
- Seek ways to enhance academic and social interaction among all student populations, including international students, diverse and underrepresented populations, graduate and undergraduate students, full-time and part-time students, rural and urban populations, etc.
- Participate in national research and conferences as appropriate.
- Evaluate institutional policies, practices, and procedures as they pertain to student retention.

Strategic Planning Enrollment Council

The Strategic Planning Enrollment Council is charged with establishing institution-wide, enrollment goals and providing oversight of all student recruitment processes. Core responsibilities include:

- Establish long-term and annual student enrollment goals and set recruitment priorities.
- Review and approve the annual, institution-wide, recruitment plan.
- Monitor key performance indicators throughout each recruitment cycle.
- Critique outcomes of recruitment initiatives and make suggestions for future recruitment efforts.
- Provide information, advice and support to the Institutional Enrollment Steering Committee to help ensure the attainment of established enrollment goals.

Situational Analysis

Situational Analysis is a comprehensive assessment of internal and external factors that may influence or directly impact desired outcomes.

1. Enrollment Trends:

- New Freshman 1-year total enrollment change is up 10.2%, while the 3-year change is up 13.8%.
- New Transfer/Re-entry 1-year total enrollment change is down 7.7%, while the 3-year change is down 2.2%.
- New Online 1-year total enrollment change is up 26.1%, while the 3-year change is up 12.2%.
- New Graduate 1-year total enrollment change is down 41.1%, while the 3-year change is down 8.6%.
- UWGB's undergraduate student entering credential have remained constant at a 3.33 GPA and 22.6 ACT.
- Wisconsin high school graduation rates have remained fairly constant, but had its first dip of two tenths in 2015 (Department of Public Instruction). Projections for Wisconsin have fluctuations in graduation rates for the next five or six years. (Figure 1)

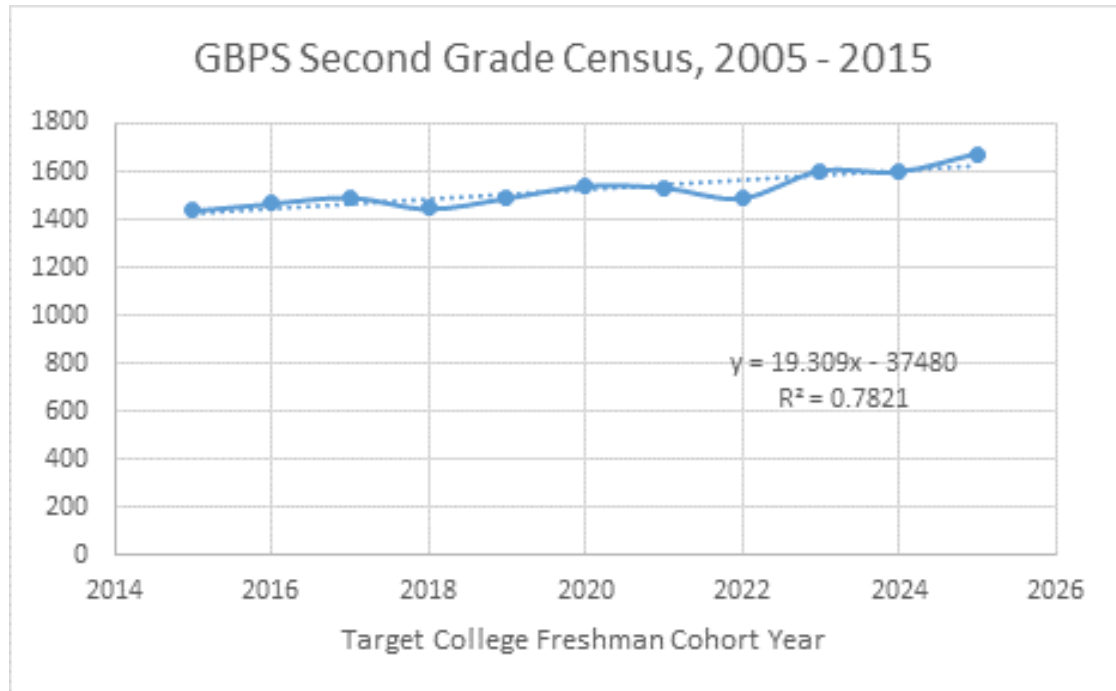


Figure 1

- The achievement gap between White and Black students grew by one percent again in 2015 (Department of Public Instruction).
2. Population Characteristics (Fall 2016):
 - 91% of all UWGB students are from Wisconsin
 - 24% attended Brown County high schools with 15% of new freshmen coming from Brown County High Schools.
 - 55% attended high school in the NEW North region
 - Underrepresented minority student enrollment remained constant at 11% at 792 students
 - Non-resident (domestic and international) student enrollment remained constant at 8%.
 3. Retention and Graduation Trends:
 - UWGB's three-year average persistence rate from first to second year for enrolled students is 75.7%.
 - Students persisting to a third and fourth year average 62.2% and 55.3% respectively.
 - UWGB's four-year graduation rate is 31.1% for new freshmen and 60.0% for transfer students.
 - UWGB's six-year graduation rate is 48.9% for new freshmen and 64.6% for transfer students.
 4. Yield/Conversion Analysis
 - New Freshmen Conversion
 - i. Prospect/Lead* to Applied – 2647 applications**lead management is being strengthened so initial numbers are suspect*
 - ii. Applications to Completed – 79.4%
 - iii. Completed to Admitted – 89.7%

- iv. Admitted to Enrolled – 45.2%
- New Transfer Re-entry Conversion
 - i. Prospect/Lead* to Applied – 948 applications**lead management is being strengthened so initial numbers are suspect*
 - ii. Applications to Completed – 81.4%
 - iii. Completed to Admitted – 93.8%
 - iv. Admitted to Enrolled – 75.4%
- New Online Conversion
 - i. Prospect/Lead* to Applied – 280 applications**lead management is being developed so initial numbers are suspect*
 - ii. Applications to Completed – 84.2%
 - iii. Completed to Admitted – 96.2%
 - iv. Admitted to Enrolled – 85%
- New Graduate Conversion
 - i. Prospect/Lead* to Applied – 141 applications**no current management system*
 - ii. Applications to Completed – 71.6%
 - iii. Completed to Admitted – 83.2%
 - iv. Admitted to Enrolled – 75%
- 5. Major and Job Trends:
 - Spring 2017 top 3 Graduating Majors: Business Administration (131), Integrative Leadership Studies (112), Human Biology/Human Development/Psychology (80)
 - Spring 2016 top 3 Graduating Majors: Business Administration, Integrative Leadership Studies, Psychology
 - Wisconsin's top outlook through 2024 with corresponding UWGB majors (Worknet):
 - i. Operations Research Analysts, Home Health Aides, Personal Financial Advisors, Interpreters and Translators, Web Developers, Biochemists and Biophysicists, Real Estate Brokers, Market Research Analysts and Specialists, Software Developers, Chemical Equipment Operators, Chemists, Nurse Practitioners, Actuaries
- 6. Financial Aid and Pricing Comparisons:
 - UWGB ranks as 5th least expensive in tuition among the 13 UW Comprehensives.
 - NWTC is \$434.85 per 3-credit course; UWGB is \$787.29 with no seg fees.
 - 76% of all UWGB students receive some form of financial aid. The financial aid budget has remained relatively consistent at \$40 million.
 - Last year, UWGB's institutional scholarships total awarded was \$717,000.
- 7. Competitive Benefits:
 - New collaboration with Green Bay Area Public Schools and Northeast Wisconsin Technical College supports all high school graduates earning 15 college credits upon graduation.
 - UWGB's Psychology and Human Development departments have innovative social media additions, including an app, podcast, and sites.
 - UWGB has an online degree completion program, one of the few of its kind in Wisconsin and definitely the most successful.

- UWGB's Natural and Applied Science programs have significant experiential learning opportunities
 - UWGB's new Engineering Technology degrees are some of the few offered in the state.
 - UWGB's Cofrin School of Business has very successful internship opportunities.
 - The overwhelming majority of UWGB graduates find jobs in their fields; many stay in Wisconsin.
 - UWGB has a strong support system for LGBTQ students.
 - Programs within CHESW are accredited.
8. Capacity Analysis:
- Work is being done with EAB Academic Program and will be shared in Fall, 2017.

Planning Assumptions

External

1. Wisconsin population and high school demographics
 - The overall population in Wisconsin has shown a modest growth since the 2010 Census, that growth has been in the larger urban areas. Brown County grew 4.2%, ranking it the third largest growing county.
 - Wisconsin has 26 counties in the metropolitan category, and between the 2010 Census and the 2015 estimate, their combined population increased by 91,506, or 2.19 percent.
 - 27.8% of Wisconsin's population who are 25+ years of age hold a Bachelor's degree or higher, 2% below the national average.
 - Fluctuating high school graduating totals will impact enrollment.
2. Labor force growth
 - Wisconsin's unemployment rate is 3.9% as of March, 2017 (Department of Workforce Development.) The US unemployment rate is 4.7%.
 - Low unemployment rates will affect the enrollment of transfer and graduate students, as traditionally a poor economy enhances both of these groups enrolling in higher education.
3. High school graduation rates.
 - Wisconsin's 2016 graduation rate was 88.4, higher than the national rate of 82.3%, and fairly constant from the previous year (Department of Public Instruction.)
 - Wisconsin has the highest graduation gap between white and black students and the 10th highest gap between white and Hispanic students graduating in four years.
4. Increased competition from four-year public and private universities and technical colleges in Wisconsin (National Center for Education Statistics).
 - 13 public four-year institutions
 - 29 private not-for-profit institutions
 - 14 technical colleges
 - 24 private-for-profit institutions
 - 14 UW-College campus locations
 - 2 Tribal Colleges
 - Expansion of online and hybrid options from competitors will continue indefinitely and compete more aggressively.

- Board of Regent approval for UW-Extension to grant degrees within the Flex program.
- 5. Increased competition for the most qualified applications of Wisconsin students
 - 25% of students met or exceeded all four College Readiness Benchmark Scores
 - 60% met or exceeded the benchmark in English
 - 41% met or exceeded the benchmark in Algebra
 - 41% met or exceeded the benchmark in Social Science
 - 37% met or exceeded the benchmark in Biology
- 6. Space and identification in downtown Green Bay
 - Space in downtown Green Bay will provide UWGB with a visible presence in the city.

Internal

1. 91% of UWGB students are from Wisconsin.
2. 82.4% of our graduates stay in Wisconsin, working as scientists, teachers, health professionals, communicators and a multitude of other professions, applying their knowledge and contributing to the economy of our state.
3. UWGB has 32,076 alumni with 25,644 of them living in Wisconsin.
4. UWGB is not immune to the shrinking number of high school graduates, especially in rural populations. Recruitment efforts show the best success in rural and/or smaller high schools. Our commitment to serving Wisconsin students with the primary student population base being from the region means the University is certainly affected.
5. UWGB's current student minority enrollment is 11%. The Chancellor's goal is for the student population to reflect the population of the Greater Green Bay Area, which is 52% (9% black, 7% Asian, >1% Pacific Islander, 4% American Indian, 5% two or more, 27% Hispanic). UWGB faculty/staff minority representation is 10.49%.
6. Approval, funding, design and construction phases to be complete on new Engineering Building
 - will meet a tremendous need made possible by a \$13 million capital outlay with \$5 million from the state
 - will provide classroom and research laboratory space for UWGB engineers, scientists, and students and will augment existing facilities in Environmental Sciences Building. The new facility will allow us to keep pace with advances in research and the rapid growth of our engineering department.
7. Implementation of Salesforce CRM (Customer Relationship Management) software to allow for better prospect and inquiry tracking and communication management. There is opportunity to include other areas, such as Graduate Studies and Athletics, in the CRM for better recruitment and retention.
8. Continued enhancement for our website is expected to increase its potential, especially in Enrollment Services for attracting stealth applicants.
9. The four College model will continue to cultivate relationships with business and industry partners
10. Greater partnerships with Green Bay Area Public Schools under Turbocharge partnership will help create a stronger pipeline for future enrollment
11. Develop additional events and strategies to strengthen recruitment efforts within a growing Hispanic population.

12. Increased interest in articulation agreements with technical colleges regarding several of our online programs will increase pipeline of transfer students.
13. Increased efforts on student success with GPS programs and Academic Advising, including one-time funding for orientation and training for faculty advising.
14. Membership with the Enrollment Management forums through the Education Advisory Board to yield valuable data on how to best to recruit and retain enrolled students
15. Partnerships with international colleges and universities and international agencies will be expanded and strengthened

Market Strategy

1. Currently, there is no marketing plan for the entire campus, so there is no campaign slogan or brand. Admissions is using specific headlines and verbiage that appeals to the four designated target markets or specific programs.
2. Admissions is focusing on business, health careers, engineering technology, and psychology – four of the hottest areas of the university and within higher education as a whole.
 - a. It targets students, parents, and student influencers in the metro Green Bay area and Green Bay-Milwaukee corridor.
 - b. It includes advertising with outdoor, digital/online, Facebook, and print pieces. Online efforts are highly measurable /trackable.
 - c. Additional leverage is gained through social media, a concerted online presence, emails to new admits, etc.
 - d. Snapchat has been particularly effective with new freshmen admits.
3. Admissions is developing and implementing a strategic, methodical plan for communications targeting individual students (and in some cases, their parents and influencers) to use with Salesforce CRM. This plan will create an orchestrated campaign, rather than relying on reactive, one-off communications.
4. Focus groups will be held in late spring/early summer of 2017 to learn more about the perceptions from key groups, including potential students, their parents, guidance counselors, and business.

University Communications and Admissions also meet regularly. Marketing foci and messages need to be institutionalized, however, and communicated with Deans, faculty, and staff. As Enrollment and Student Services becomes increasingly data driven, so will marketing and communications efforts. Combined metrics for marketing strategies and campaigns must be developed to determine successful strategies.

Recruitment Strategies

On-Campus Undergraduate Recruitment Strategies

UWGB has set challenge goals for recruiting new students. We need to tailor our approaches to drive applications from regional students who are the right “fit” for UWGB where they will persist and succeed. Some of the areas where we have begun to adjust our recruiting processes are:

1. Inquiry Processing – Lead/Prospect Management

- Inquiry Processing is the practice of entering prospective student data into a database for future cultivation. Looking at the origin of our leads allows us to leverage data to inform recruitment efforts. With the establishment of the Lead/Prospect Management framework, the Undergraduate Admission processes are being adjusted to ensure capture of all defined lead sources at the appropriate level for ROI evaluation. Assessment of all the data and formulating plans to respond and communicate by lead source will provide the foundation for improving the student pool feeding our enrollment funnel.
- 2. Communication Flow
 - For each lead source, the communication plan needs to be refined to strengthen the benefit proposal. Use of the current Talisma system did not allow for easily developed campaigns or good tracking of data. The implementation of Salesforce CRM, now underway in Undergraduate Admissions to replace Talisma, enables full-scale communications that will be implemented, monitored and managed.
- 3. Campus-wide Communications Coordination
 - This activity combines the centralized communication flow with decentralized communication initiatives to ensure consistency of message and look and prevent illogical overlapping or duplication of information. To the student, UWGB is one institution. Hence, communication from various campus units will be collectively intuitive and synergistically connected. The ES departments are all documenting their current and future communication plans that can be rolled up into a single plan that, for the first time, can be assessed and adjusted. This assessment will allow future implementation of the Salesforce CRM tool to be prioritized for managing all communications. Not only is the coordination of main campus department communication a vital strategy, but also the promotion of all modalities of providing a UWGB education whether on-campus or online undergraduate student.
- 4. Recruiting Events will include: high school visits, campus visits, open houses, information sessions, area receptions, fairs, private visits, and high school counselor campus visits.
- 5. Exploration of out-of-state potential
 - State of Wisconsin high school graduate demographics continue to fluctuate and decline in the rural areas (where UWGB sees their strongest response). UWGB has set specific goals for out-of-state student recruitment. Through strategic use of data, potential out-of-state markets will be identified and cultivated for building a greater market share of out-of-state students. Specific strategies, like the Phoenix Scholarships, will be implemented to spur recruiting in neighboring states.
- 6. Strengthening international student recruitment efforts
 - Develop a comprehensive recruiting plan for undergraduate and graduate students based on an analysis of market data, partner institutions, and U.S. Office of International Education outlook data.
 - Design and develop recruiting pieces specific to countries that are program specific and easily translated.
 - Expand agency relationships and agreements. Utilize Keystone to increase lead generation in targeted countries and Singapore, Thailand, and Indonesia.

- Attend education fairs for face-to-face contact in target countries of Korea, Japan, China, Taiwan, Malaysia, Vietnam, Nepal.
 - Develop 1-year educational opportunities for visiting students from China.
 - Encourage participation of key campus leaders in recruiting trips where the relationship building will be critical.
 - Host delegations from foreign institutions and agencies to build stronger relationships and confidence.
 - Organize alumni receptions in major foreign cities.
 - Continue to improve the application, acceptance materials, and processes with follow-up emails and calls.
 - Currently, international recruitment supports itself and adds to the tuition pool. However, with changing international relationships and perceptions, we need to develop benchmarks and metrics to for continual review.
7. Benchmarking Admissions Resources
- The Admissions Office will continue to benchmark data regarding resources spent on recruitment to establish investment returns. This will encourage review of roles and responsibilities to ensure that recruitment targets are met.

Online Recruitment Strategies

UWGB currently has six online, non-collaborative programs – Integrative Leadership Studies, Nursing, Psychology, Human Development, Business Administration, and Associate in Arts and Sciences. Online students currently account for 17% of our students and take in over \$4 million as part of our gross tuition revenues. With the growing interest in online courses, UWGB's recruitment and retention efforts should be incorporated within the university-wide SEM plan.

Note that online enrollment deserves close attention and support, as it faces the same, if not more aggressive, competition in the marketplace. Specific marketing and recruitment strategies for 2018 are detailed as follows:

2. Continue to drive a preference for UWGB programs by implementing marketing communication strategies that are relevant to adult students and customer focused. This includes but is not limited to the following strategies:
 - Using messages adult students have told us they want and need to hear from a university when considering returning to college or seeking an advanced degree.
 - Reinforcing UWGB's experience and success in working with and supporting adults from inquiry through graduation.
 - Strategically, yet efficiently, purchase media and mediums directed at reaching our adult student market.
 - Expand and continue to refine our front-line teams (GBOSS and Admission Advisors) use of CRM in monitoring and identifying student inquiry needs while using data in CRM to measure campaign response to continue to sustain conversion rates. Over the past two years, UWGB has maintained our conversion rates. Past academic year conversion rates were at:
 - 29% for Inquiry to Application
 - 81% for Application to Admit

- 82% of Application to First Time Enrolled
- Increase outreach efforts to corporations, government agencies, municipalities and associations to increase awareness of UWGB flexibility in bringing degree programs and customized non-degree programs to their employees.

Most of the on-campus objectives are applicable to the marketing of online programs. We coordinate closely with University Communications to give students their options of face-to-face or online, and coordinate with campus admissions operation on college visits and recruitment fairs.

Ten years ago, UWGB was one of two public, four-year institutions in Wisconsin offering an online degree program. Today, all Wisconsin public, four years institutions offer online degrees.

2018 Online Recruitment Goals:

- Inquiries – 1200
- Applications – 305
- Admitted Students – 256
- First Time Enrolled students – 170

UWGB Online Population Characteristics:

- 91% of all undergraduate students are Wisconsin residents.
- 4% have MSEP residency; 5% are non-residents.
- 7% of students are veteran's and 28% are a child or spouse of a veteran.
- Minority enrollment in online programs is 9%

New Program Development

Many new programs are being considered across campus.

3. Work on Mechanical Engineering has progress in both resource development and planning
4. Focus should remain on new programs and majors, rather than on new emphases and minors.
5. ES would like to work with Deans and Faculty to ensure that existing majors are identifiable to potential students (i.e., Journalism as major rather than as an emphasis in Communication.)

The following are in various stages of development, from discussion with department to NOI submitted.

College of Arts, Humanities, and Social Sciences

- Data Science
- Information Technology
- Game Studies
- Health Communication
- Software Engineering
- Information Assurance and Security
- Creative and Applied Writing
- Public Administration (online)

Cofrin School of Business

- Master's of Business Administration

College of Health, Education, and Social Welfare

- Nursing (on-campus)

College of Science and Technology

- Freshwater Science
- Professional Geology
- Mechanical Engineering

Graduate Studies

- Athletic Training
- Nutrition and Integrated Health
- Student Affairs
- Counseling
- Arts Management (online)
- Creative Writing
- Cyber Security
- Pharmacy 3+3

Retention Strategies

Retention is “an outcome of a high quality educational experience that puts the students and their learning at the center. Providing intellectually stimulating and satisfying learning environments are central elements in fostering student success and educational attainment. It is developing engagement approaches that will improve the student experience.” (Noel-Levitz: Student Retention in the New Environment).

Student recruitment efforts require substantial institutional expenditures from the hiring of staff to funding marketing and travel. In contrast, student success and retention initiatives are four to five times more cost-effective than recruitment efforts. It requires four to five times more investment to recruit a new student than it does to retain an already enrolled student, and a retained student for four years will generate the same net revenue as five or six new students who leave after one year.

We need to build a framework to identify “at-risk” students and have steps defined for each identified group to help them get back on track.

- Educational Advisory Board (EAB) Enrollment Management Collaborative
- Creation and management of information technologies in support of university retention goals
- Support and assistance in the development of university retention goals and key performance metrics
- College-level support for the creation of retention strategies in identified areas of need
- Early Alert and Intervention / MAP-Works or CRM Enrollment and Persistence Reporting
- Academic Progress / Continuous Enrollment Monitoring
- Identification and maintenance of progress markers by academic program

- Review and follow-up with students making transcript requests
- Monitoring and intervention including exit interviews among students not re-enrolling in academic classes
- Curricular
 - First Year Experience (FYE), Academic Advancement (AAD)
 - Academic course / curricular assistance in high attrition courses and high DEWFI courses identified as significant predictors of degree attainment
- Co-Curricular Programming
- Creation of greater awareness and stronger connections for student to current services already in place with proven positive impact on retention, such as:
 - Supplemental Instruction
 - Residential Colleges and Living and Learning Communities
 - Faculty advising and partnerships
 - Student mentors

Online and face-to-face retention strategies are broken down into program specific and course specific retention activities:

- Achieve 100% voluntary orientation completion either face-to-face or online
- Encourage both face-to-face and online students to attend a “welcome on board” session at one of our face-to-face locations before the beginning of each semester. This connects all students to the student service staff and advisors
- Schedule advising appointment and develop student specific academic program plan
- Communicate to every student who didn’t re-enroll from one term to another to encourage re-enrollment or try to resolve barriers that stopped re-enrollment
- Recognize students that have met 50% of the degree requirements
- Review and communicate to all students at the end of each term and semester that are placed on academic probation. Advisors reach out to students on improvement plans
- Cohort students sign an automated registration agreement and are automatically registered for courses

To improve success outcomes for students enrolled in online formats the following services are provided:

- Make all online instructors aware of students that are new to the online format at UWGB
- Reach out to all students who have not yet engaged in their online course in both the first and second week. Explain the implications of non-participation
- Inform students of support services

Academic Strategies

Program Development Strategies

The Provost's Office will take the lead on new academic program development, working with the Deans and Associate Deans in concert with Enrollment Services to determine their viability.

The Assistant Vice Chancellor for Enrollment Services will provide enrollment data, information regarding students who were accepted to UWGB but did not enroll, identification of programs that are in the greatest demand, and other pertinent data to the Provost's Office and Administrative Council for planning purposes. Special consideration must be given to the development of programs that are not provided by our competitors.

New academic programs most often originate in the departments where faculty are in tune with the latest trends and student interests. Faculty will continue to evaluate program content through the processes described below, making revisions to strengthen the program and to better prepare our graduates. In all cases, the Provost and academic deans will evaluate the need, competition, existing resources, and cost analysis. They will need to balance student interests with occupational outlook and institutional capacity. There must be employment opportunities for our graduates.

Program Prioritization

Currently, the Data Analysis Working Group is reviewing a process for program prioritization. The last academic program prioritization was conducted in 2006. An evidence-based process resulting in placing academic programs into one of five general categories: program is a candidate for enrichment, program should be retained at a somewhat higher level of support, program should be retained at a neutral level of support, program should be retained but with a lower level of support, and program is a candidate for reduction, phasing out, or consolidation with another program.

The University can invest in top programs, building upon our strengths. Colleges will be able to invest in top-rated programs through new positions, improved facilities, and other support as needed. Struggling programs and programs with low enrollment may be redesigned or deleted. This process should be regularly repeated every five years. Current top rated programs by enrollment are Human Biology, Business, Integrative Leadership Studies, Engineering Technology, Nursing, and Psychology/Human Development.

College Synopses

Although Enrollment and Student Service units and co-curricular programs play an important role in a students' decision to enroll and persist at UWGB, it is the academic programs and quality of relationships with faculty which are the most critical factors. The degrees and programs offered by the academic departments are core to students' decisions.

If the university does not offer academic programs which:

- Meet the interest of students
- Meet the needs of society
- Are delivered in a manner to facilitate students' degree completion in a reasonable time
- Impart value to the student, however the students define it
- Are characterized by professional and meaningful interactions with faculty

Then students wither will not enroll at UWGB or will not remain enrolled at UWGB.

Academic colleges and departments must design and deliver programs which are:

- Current
- Relevant
- Responsive to the interest of students
- Meet societal needs
- High quality
- Advancing the university's mission

Each College's summaries of strategies, opportunities, and challenges are incorporated below:

Cofrin School of Business (CSOB)

1. Bachelor of Business Administration (BBA) Online Format

At this point, without knowing what resources we would have to accommodate growth in the online path to the BBA, we would discourage initiatives to increase its growth. While the online sections of the courses needed to complete the Business Administration major with a General Business Emphasis are not completely filled with students from the online format, we have to rely on Associate Lecturers to offer our full Schedule of Classes each semester. This situation would be exacerbated by significant growth in this program without additional faculty.

2. Two additional programs that will be the focus of special recruitment efforts during the 2016-2017 recruitment cycle include the new major area of emphasis in Supply Chain Management and Accounting.
3. Recruitment strategies that will be implemented by the Cofrin School of Business to meet the established recruitment goals include:
 - Speakers Bureau – faculty speaking in high school classes; connect with Chamber of Commerce K-12 Data Base of speakers, see if there is an alternative class at GB East and West that we could speak in if they don't have business classes
 - Invite high school Future Business Leaders of America (FBLA) officers to Cofrin School of Business student org events.
 - Participate in recruiting events at UW Colleges and Tech colleges
 - Prepare promotional video and material for Supply Chain emphasis
 - Complete or implement work already done by Lucy Arendt on transfer credits from Tech schools and UW Colleges
 - Hold Cofrin School of Business Open House in fall and spring
 - Work with new dean to plan for non-traditional delivery times on a rotational schedule.
4. The College believes that, based on the potential for enrollment among transfer students, it may be worthwhile to hold programs at the technical colleges and two-year campuses (Fox Valley, NWTC, UW-Manitowoc, UW-Marinette) in which Business and other units could participate. These could include panel presentations and resource tables. Perhaps area high school students could also be invited.

5. Planning continues on the Master's in Business Administration program, which will replace the Master's in Management program.

College of Health, Education, and Social Welfare (CHESW)

The College of Health, Education and Social Welfare has established the following recruitment goals for 2016-2017:

1. Nurse 1-2-1 Bachelor of Science in Nursing (Four year nursing program with year 1 and 4 at UWGB; Year 2 & 3 at NWTC)

This is a new cohort program that will enroll 24 students each year beginning in fall 2016. It is anticipated that each cohort will be at maximum capacity each year. Consequently, there will be a total of 96 students enrolled in this program in fall 2019.

Recruitment strategies that will be implemented by the CHESW to meet the established recruitment goals include:

- Focus recruitment on high school students
- Coordinate efforts with Enrollment Services
- Development online program intention form
- Add program & description to the nursing website

2. Bachelor of Science in Nursing (BSN) – Online Programs

The Bachelor of Science in Nursing Program (BSN) includes two on-line tracks BSN@Home and BSN-LINC. National initiatives are pushing associate degree nurses (ADN) to return to school for BSN completion. However, there has been a dramatic increase in the number of BSN Completion programs over the past 5 years.

BSN@Home is an online RN to BSN Program for Registered Nurses who are Wisconsin residents. The program uses the combined resources of bachelor's degree nursing programs at UW-Green Bay, UW-Eau Claire, UW-Madison, UW-Milwaukee, UW-Oshkosh and UW-Stevens Point. UW-Green Bay enrollment in this program is projected to be 242 students in 2016-2017 which represents a stable enrollment from 240 students in 2015-2016. Projected enrollment for 2017-2018 is 242 students.

BSN-LINC is an online RN to BSN Program for Registered Nurses who reside outside of Wisconsin. Most students enrolled in this program reside in the states of Illinois, Minnesota, Michigan, and Connecticut. Enrollment in this program is projected to be 77 students in 2016-2017 which represents a slight decrease from 90 students in 2015-2016. Projected enrollment for 2017-2018 is 77 students.

Combined enrollment of online undergraduate nursing programs (BSN@Home and BSN-LINC) likely will be stable going forward. As of fall 2015, the online Bachelor of Science in Nursing (BSN) programs had 401 declared Nursing majors enrolled. Combined enrollment in these two programs is projected to decrease slightly to 390 students in 2016-2017.

Recruitment strategies that will be implemented by the CHESW to meet the established recruitment goals include:

- Website to provide information to potential students
- Advising of prospective students and unofficial transcript reviews if requested
- Digital marketing – targeted e-mails with program URLs at certain intervals to RNs in specific geographic areas (i.e., Connecticut, area of Washington state, Salem OR, Forest Lake IL, Cape Cod MA, Minneapolis/St. Paul)
- E-mail campaigns to employers of BSN-LINC students nationally
- Follow-up schedule of communications to students that inquire about BSN
- Follow-up with applications started but not completed
- Ads in select state nursing association publications
- Attendance at select student education fairs
- Additional attention in Michigan
 - New advising/partnership table with Gogebic Community College
 - New relationships with ADN programs in lower Michigan

3. Health Information Management Technology (HIMT) – Online Program

The HIMT program is a collaborative, online bachelor's degree program. Partner institutions include UW-Parkside, UW-La Crosse and UW-Stevens Point. UW Extension (CEOEL), the fifth partner in the collaborative, offers student recruitment and enrollment services, and other student support services for the program.

Students selecting UW-Green Bay as their “home” institution for the HIMT collaborative program is projected to be 150 in 2016-2017 which represents an increase from 117 students in 2015-2016. The cap established for HIMT students at UW-Green Bay is 150 given the current resource allocation to our campus from the collaborative program financial model. Projected UW-Green Bay enrollment in the HIMT program for 2017-2018 is 150 students.

Recruitment strategies that will be implemented by the CHESW to meet the established recruitment goals include:

- Website to provide information to potential students
- Advising of prospective students and unofficial transcript reviews if requested
- Digital marketing – targeted e-mails with program URLs at certain intervals to individuals interested in education and technology in specific geographic areas (i.e., Green Bay, Appleton, Minneapolis/St. Paul) funded by UW-Extension
- Attendance at select student education fairs
- Development of partnership tables with Technical College HIM programs.

College of Arts, Humanities, and Social Science (CAHSS)

Recruitment strategies that will be implemented by the CAHSS to meet the established recruitment goals include:

- Maintaining active partnerships with technical colleges specific to the BAS including: (1) continuing brand awareness at each school by having table visits at each location; (2) distribution of print materials at partnership sites; (3) focusing recruitment efforts at our satellite locations in Appleton, Milwaukee, and Wausau; particularly at Milwaukee and Wausau

where our dual-role advisors are located; (4) developing new and maintaining existing partnerships with out-of-state partners (e.g. Gogebic and City Colleges of Chicago – potential)

- Offering online information sessions once each month allows for a more personalized experience for prospective students. During the online information session, prospective students learn about the degrees offered through the Adult Degree Program, tuition, application process, and more. Each session is interactive and allows prospective students to ask questions and comment.
- Continuation of Technical College Visits and transfer fairs with the addition of a recently signed articulation agreement with Western Tech(monthly visits)
- Attendance at community events (Business Expo and Chamber events)
- Other focused recruitment efforts based on new programs being developed

College of Science and Technology

1. Engineering Technology

The Engineering Technology program includes degrees in Electrical, Mechanical and Environmental Engineering Technology. The 2016-17 academic year will be the second year for the program, which now includes three tenure-track faculty that started in the fall of 2015 and two additional tenure-track faculty that will be starting in the fall of 2016. The number of majors has increase from 31 in F15 to 56 for F16 (not including new freshman registration and summer transfers). The majors are currently very balanced between the three programs, so a general recruiting approach will be utilized, as opposed to focus on only one specific area where there would be capacity.

- a. Increase presence at the technical colleges to increase transfer students
 - Meeting already held with UW-Fox Valley
 - Completion of additional articulation agreements with technical colleges including Western Wisconsin Technical College
- b. Additional of two new faculty members (Mechanical and Electrical) will increase the capacity of the program for recruiting, site visits, etc.
- c. Create stronger partnerships with local business/industry to increase the number of internships and capstone projects that can be used in marketing
- d. Work with Advancement to increase the number of scholarships (particularly first year scholarships)

2. Other Recruitment Activities Being Pursued by the College

- a. Pursue NSF grants and other funding to provide scholarships for first/second year students in Engineering Technology program.
- b. Develop a new major in a water science area that would focus on local and regional issues of interest, as well as faculty expertise in teaching and research.
- c. Emphasize undergraduate research opportunities available in the sciences

- d. Focus on historical roots of UWGB in the areas of environmental science, while expanding to include sustainability through EMBI and associated internship.
- e. Increase emphasis on the physical sciences in conjunction with engineering technology programs.
- f. New website to promote the College of Science and Technology: Featured Faculty; Featured Students; Focus on Research and Scholarship; and Community Partnerships

DRAFT

ACTION PLANS**Committee Action Plan****ES Goal 1:** Develop and Implement a strategic enrollment plan**Objective 1:** Develop a plan that aligns with and supports the university's strategic plan, mission, and vision to provide sound recommendations on an optimal enrollment profile and matters influencing achievement of enrollment goals

Action Item	Responsibility	Others Involved	Target Implementation Date	Expected Outcomes/KPIs	Actual Outcomes
Form Strategic Enrollment Management Council (SEMC)	ES	Cabinet Deans Marketing	2016	Committee defined and meetings scheduled	4 meetings are held annually;
Improve use of data to drive enrollment decisions	ES	SEMC Cabinet Admin Cncl	Spring 2017	Provide data regarding discussion topics so that recommendations and decisions are informed and data driven	<Ongoing> Four student funnels developed; enrollment tracking reports developed for funnel; deep dive into student makeup. More standard enrollment reports are needed.
	ES	SEMC	Fall 2017	What information is needed to inform decisions? Collection of any information that is identified and has not yet been shared?	<Ongoing> Additional information is shared as it is identified.
Create Strategic Enrollment Management (SEM) Plan	ES		June 2017 – Draft September 2017 Final	Plan document is created and draft is being reviewed	
	SEMC	Grad College International Athletics Colleges	September 2017	Shared with campus to align areas with plan; input can be used for future versions	
Form Subcommittees with focus on three strategic areas: Academic Recruitment Retention	ES		June 2017	Form and schedule subcommittees	
	ES		August 2017	Subcommittees meet, confirm summaries, and assign a lead as well as provide recommendations to ES/SEMC	

Action Item	Responsibility	Others Involved	Target Implementation Date	Expected Outcomes/KPIs	Actual Outcomes
Establish concrete objectives and metrics to qualify and quantify goal attainment	ES	Admission Advising Grad College Colleges IR Career Services Financial Aid OIE	Aug 2017	Action plans with metrics – goals have been set for Fall 2017; Plan recommendations for improved progress tracking in its own section which can be extracted and maintained.	In progress
	SEMC			Review/Expand Action plans for sections that align with each subcommittee	
	ES	SEMC	Spring, 2017	Review/Create concrete strategies for supporting inclusionary practices to increase URM to better reflect diversity of Greater Green Bay Community	

Marketing Action Plan

ES Goal 2: Develop and implement a comprehensive student marketing and recruitment campaign

Objective 1: Create a strong University brand identity in its current market as well as expand reach and exposure beyond the current market.

Action Item	Responsibility	Others Involved	Target Implementation Date	Expected Outcomes/KPIs	Actual Outcomes
Create recognizable brand identity and build support internally and externally	M/UC	ES	Aug 2017	Update marketing and advertising opportunities, including collateral, giveaways, brochures, digital, broadcast, and social media to build recognition	
	M/UC	ES	Dec 2017	Clarify value proposition, competitive advantage, and brand	

Strategic Enrollment Management Plan 31

Action Item	Responsibility	Others Involved	Target Implementation Date	Expected Outcomes/KPIs	Actual Outcomes
				identity for specific student targeted markets	
Develop and implement a market research plan; identify and cement markets	ES	M/UC	January 2017	Market analysis completed defining current market and segmentation; generating opportunities we choose to pursue and planned with specific metrics.	4 student groups: new freshmen, transfer, online, and graduate. Enrollment trend reports have been developed. Goals set for each group for next two years.
	M/UC	ES	June 2017	Address the psychographic issues – why are students not coming?	<IP> focus groups scheduled for May; additional work on survey creation and SIS report out needed.
Align and orchestrate marketing and communications efforts targeted at prospective students, their parents and those who influence them; communicate in a campaign format.	ES	M/UC	September 2017	A strategic, methodical plan for communications targeting individual students (and in some cases, their parents and influencers).	<IP> New CRM implementation is finished in July.
Establish standard alumni reports of 5 and 10 years to create “message of success” regarding what our alum have achieved.	M/UC	ES Foundation	January 2018	Identify opportunities to leverage UWGB alumni to support recruitment and retention efforts	
	M/UC	ES Foundation	2018	Assess promotional messages based on alumni views/activities	
Establish process for communicating events to specific areas to support recruitment, community relations, opportunities for interactions and sales	ES	Marketing Athletics CECE Colleges Admissions Union	November 2017	Developing a process for communicating events to key internal stakeholders; Developing recruitment and marketing strategies to use at events; Developing metrics/assessment for strategies	

Recruitment Action Plan

ES Goal #3: Develop a comprehensive recruitment strategy for increasing and diversifying the University's student applicant pool.

Objective 1: Increase the number of students in three funnels (new freshmen, new transfer, new online)

Action Item	Responsibility	Others Involved	Target Implementation Date	Expected Outcomes/KPIs	Actual Outcomes
Review and revise strategies for increasing inquiries in all three funnels	Dir of Adm	Admissions Staff ES AVC Colleges	June 2017	Build better criteria for buying mailing lists and create communication sequences that appeal to specific programs/markets	
Increase number of applications for new freshmen	Dir of Adm	Admissions Marketing	July 2017	Increase appeal and strategize frequency for communication sequence to potential students	
	Dir of Adm	Admissions Marketing	Aug 2017	Create specific messages for students based on indicated program of interest	
	Dir of Adm	Associate Deans and Faculty GBAPS	December 2017	Build schedule and deliver specific topics and presentations at GBAPS classrooms	



UNIVERSITY *of* WISCONSIN
GREEN BAY

STRATEGIC THEMES & GOALS

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Introduction

This UW – Green Bay Strategic Plan draft is the result of almost two years of work and effort. Starting in April 2010 the University held 17 focus groups and listening sessions both on campus and in the community. These sessions helped to ultimately identify seven strategic themes that became the building block for this strategic plan.

As a reminder, the seven strategic themes include:

- Academic Programs and Enrollment
- Commitment to Community
- Diversity and Institutional Environment
- Finance, Budget, Resources
- Identity, Image, Marketing
- Meeting the Needs of Students
- Sustainability

Since last spring, Cabinet members have been meeting with their respective areas to develop a set of goals, measurable objectives, and specific action steps. In the attached document, you see the strategic goals, how each goal maps to the seven strategic themes, and the supporting objectives for that goal. Additionally, action steps have been developed for each objective. These are not included in this draft to make review more expedient.

As all of you are well aware, we continue to deal with ongoing budgetary challenges which will potentially impact the implementation of certain goals and objectives in the Strategic Plan. Therefore, this plan is a living document that will be updated regularly as goals are achieved, new goals are developed, and adjustments made as required. If you have any concerns or suggestions regarding the plan, please send them to Laurie Case, casel@uwgb.edu.

I am hopeful that you will find this draft Strategic Plan to be helpful and informative.

Tom Harden
Chancellor

Strategic Goals Arranged by Theme

Strategic Theme: Academic Programs and Enrollment	
The University continues to develop high quality, relevant undergraduate and graduate programs to meet increasing student and societal needs. This requires adding traditional and innovative programs, improving existing programs, and further developing uses of technology to enhance teaching and learning. We value interdisciplinarity, problem-focused education, innovation and sustainability across the curriculum. UW-Green Bay plans for appropriate growth including increasing undergraduate enrollment and increasing the array of graduate programs.	
Academic Affairs	Offer a relevant, high-quality curriculum and co-curricular experiences that prepare students for life-long learning and success in a fiscally restricted environment.
	Foster a culture that values assessment and continuous improvement.
	Increase student and staff experiences that involve internationalization and diversity and foster inclusive excellence.
	Maintain and embrace a technology infrastructure to support the changing needs of the institution.
	Foster a culture that places a high value on innovation and creativity.
	Invest in the university's workforce.
	Manage enrollment strategies and maximize student success.
Advancement	Fully implement University of Wisconsin - Green Bay Foundation, Inc.
	Identify UW-Green Bay's distinct brand and position in the marketplace.
	Focus additional PR, news and creative content on facilitating University fundraising.
	Sharpen the focus on news/features raising UW-Green Bay's academic profile.
Business & Finance	Provide appropriate facilities necessary to support the strategic enrollment plan and changes in instructional course delivery methods.
	Develop a campus master plan that supports the University mission and provides for future campus infrastructure needs.
Intercollegiate Athletics	Student-Athlete Excellence: Develop and maintain an atmosphere within our programs that promotes a positive culture of student-athlete success academically, athletically, and socially.
	Community Appreciation: We will deepen our appreciation for the relationships we have with our on- and off-campus communities and continue to look for ways to expand communication with all constituents.
	Competitive Excellence: Recognizing that competitive excellence can be defined differently, each athletic program at UW – Green Bay will be expected to deliver competitive excellence based on their national, regional, and local interests. Goals will be set by the Director of Athletics and the sport program supervisors.
	Branding/Image: Provide increased national, regional and local exposure for the University and create a Green Bay Athletics brand that people respect, admire and generously support. All decisions will be communicated in a manner to create, project and enhance this strong intercollegiate athletic brand.
	Financial Stability: All financial resources will be allocated to provide a balanced budget that meets the requirements of sustaining a reputable, vibrant, and compliant NCAA Division 1 program that supports scholarships, quality

	academic support services, competitive operating budgets and comprehensive facilities.
Sustainability	Support faculty efforts to embed sustainability concepts and teaching across the curriculum.
Weidner Center	Establish and present programs designed to entertain, inspire and educate the diverse demographic groups of Northeast Wisconsin. Serve the academic Mission of UW – Green Bay, serving both the arts and other disciplines, working with admissions and marketing to maximize recruitment opportunities.

Strategic Theme: Commitment to Community

As an institution committed to its broader community, UW-Green Bay seeks to engage the community. By doing so we address the University's missions and responsibilities, create civic-minded students, and promote economic well-being which will help strengthen the northeast Wisconsin community. We encourage and support relevant, deliberate faculty and staff interaction and involvement with the Greater Green Bay community, the New North regions, the state of Wisconsin, and beyond. We recognize that improving our community strengthens our institution. .

Academic Affairs	Offer a relevant, high-quality curriculum and co-curricular experiences that prepare students for life-long learning and success in a fiscally restricted environment.
	Invest in the university's workforce.
	Enhance stewardship and community connections.
Advancement	Fully implement University of Wisconsin - Green Bay Foundation, Inc.
	Identify UW-Green Bay's distinct brand and position in the marketplace.
	Focus additional PR, news and creative content on facilitating University fundraising.
	Strengthen connections with the community and enhance stewardship of donors.
	Improve alumni relations, expand alumni involvement in university events, strengthen the alumni association board and leadership, and increase alumni support of UW-Green Bay.
Business & Finance	Ensure a safe and secure campus environment.
	Develop a campus master plan that supports the University mission and provides for future campus infrastructure needs.
	Ensure that employees are fairly compensated.
Intercollegiate Athletics	Community Appreciation: We will deepen our appreciation for the relationships we have with our on- and off-campus communities and continue to look for ways to expand communication with all constituents.
	Branding/Image: Provide increased national, regional and local exposure for the University and create a Green Bay Athletics brand that people respect, admire and generously support. All decisions will be communicated in a manner to create, project and enhance this strong intercollegiate athletic brand.
	Financial Stability: All financial resources will be allocated to provide a balanced budget that meets the requirements of sustaining a reputable, vibrant, and compliant NCAA Division 1 program that supports scholarships, quality

	academic support services, competitive operating budgets and comprehensive facilities.
Intercollegiate Athletics	Compliance: Instill a culture that respects and understands the importance of NCAA Compliance throughout the Department of Intercollegiate Athletics. Educate and communicate the importance of this priority throughout the UW-Green Bay campus community and with all constituents of Green Bay Athletics.
Kress Events Center Operations	Provide a comprehensive and well-rounded campus intramural and recreation program.
	Provide a well-rounded Fitness/Wellness Program for students, the campus community and community members.
	Coordinate with campus units (i.e. Athletics, Student Life, Union, Counseling & Health Services, and Residence Life) to improve campus life while continuing to build and maintain external community relationships.
Sustainability	Meet content submission deadlines required for American College & University Presidents Climate Commitment (ACUPCC) and Association for Advancement of Sustainability in Higher Education (AASHE) programs.
	Identify and pursue financing/funding opportunities for sustainability and/or 'green' projects.
	Encourage UW – Green Bay Foundation, Inc., Board of Directors to consider sustainability in its investment decisions
	Enhance sustainability communication efforts to promote and build value within all stakeholder groups.
	Leverage past and ongoing successes in environmental and sustainability efforts to build value and competitive edge with external stakeholders.
Weidner Center	Establish and present programs designed to entertain, inspire and educate the diverse demographic groups of Northeast Wisconsin.
	Become a center of excellence for performing arts in the greater Green Bay area, partnering with area cultural groups and presenters to increase access to the Weidner and develop collaborative work
	Re-brand the Weidner as “the place” where great arts events take place. Develop a robust online and media presence designed to engage the community, spread excitement and sell tickets.

Strategic Theme: Diversity and Institutional Environment

The University strives for diversity that is broadly inclusive, warmly welcoming, and equitable in its treatment of all members of the University community. UW-Green Bay is an institution committed to diversity of thought and practice which seeks to move beyond labels and categories that put up barriers and tend to fragment populations. The University is committed to hiring and retaining a more diverse faculty and staff as we continue to recruit a more diverse student body. The University invests in its people and strives to create a work environment that supports personal and professional growth, collegiality and a healthy quality of life. The University strives to provide competitive compensation and benefits.

Academic Affairs	Increase student and staff experiences that involve internationalization and diversity and foster inclusive excellence.
	Maintain and embrace a technology infrastructure to support the changing needs of the institution.
	Foster a culture that places a high value on innovation and creativity.

	Invest in the university's workforce.
	Manage enrollment strategies and maximize student success.
Academic Affairs	Enhance stewardship and community connections.
Advancement	Fully implement University of Wisconsin - Green Bay Foundation, Inc.
	Identify UW-Green Bay's distinct brand and position in the marketplace.
	Improve internal advancement practices, procedures, policies, and professionalism.
Business & Finance	Strengthen ability to react and strategically adapt to rapidly evolving short-term and long-term operating budget changes with increased transparency.
	Support campus diversity and institutional environment initiatives.
Intercollegiate Athletics	Student-Athlete Excellence: Develop and maintain an atmosphere within our programs that promotes a positive culture of student-athlete success academically, athletically, and socially.
	Leadership: Provide a culture and environment that is conducive to recruiting and retaining professional staff and coaches and supports the department's diversity and equity initiatives.
Kress Events Center Operations	Provide a comprehensive and well-rounded campus intramural and recreation program.
	Provide a well-rounded Fitness/Wellness Program for students, the campus community and community members.
	Coordinate with campus units (i.e. Athletics, Student Life, Union, Counseling & Health Services, and Residence Life) to improve campus life while continuing to build and maintain external community relationships.
Sustainability	Meet content submission deadlines required for American College & University Presidents Climate Commitment (ACUPCC) and Association for Advancement of Sustainability in Higher Education (AASHE) programs.
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Strategic Theme: Finance, Budget, Resources

The University will increase its ability to acquire, develop, use and manage resources. In order to enhance student success, deliver an appropriate mix of academic programs, and recruit and retain outstanding faculty and staff, additional funding, facilities and technology are critical. Finances will greatly determine the extent we are able to address our mission responsibilities. For growth, quality improvement and maintenance, it is important that the University acquire additional funding, budget effectively, create greater efficiencies, and commit resources to in-demand programs and services.

Academic Affairs	Foster a culture that places a high value on innovation and creativity.
	Invest in the university's workforce.

	Manage enrollment strategies and maximize student success.
Advancement	Double university-wide annual private support to \$3.5 million in five years.
Advancement	Focus additional PR, news and creative content on facilitating University fundraising.
	Coordinate fundraising efforts and collaborate with academic departments, Advancement Outreach and Adult Access, the Weidner Center and athletics to establish and attain university-wide fundraising goals.
	Incorporate prospect research into Advancement, recording prospects' research data in Raiser's Edge, and using the data effectively in fundraising efforts.
	Improve internal advancement practices, procedures, policies, and professionalism.
Business & Finance	Provide appropriate facilities necessary to support the strategic enrollment plan and changes in instructional course delivery methods.
	Strengthen ability to react and strategically adapt to rapidly evolving short-term and long-term operating budget changes with increased transparency.
	Continually strive to provide more efficient and effective business processes.
	Ensure that program revenue operations maintain fiscal viability and a high level of customer satisfaction.
	Develop a campus master plan that supports the University mission and provides for future campus infrastructure needs.
	Ensure that employees are fairly compensated.
Intercollegiate Athletics	Community Appreciation: We will deepen our appreciation for the relationships we have with our on- and off-campus communities and continue to look for ways to expand communication with all constituents.
	Financial Stability: All financial resources will be allocated to provide a balanced budget that meets the requirements of sustaining a reputable, vibrant, and compliant NCAA Division 1 program that supports scholarships, quality academic support services, competitive operating budgets and comprehensive facilities.
Sustainability	Identify and pursue financing/funding opportunities for sustainability and/or 'green' projects.
	Encourage UW – Green Bay Foundation, Inc., Board of Directors to consider sustainability in its investment decisions.
	Leverage past and ongoing successes in environmental and sustainability efforts to build value and competitive edge with external stakeholders.
Weidner Center	Re-brand the Weidner as “the place” where great arts events take place. Develop a robust online and media presence designed to engage the community, spread excitement and sell tickets.
	Work aggressively to create an annual fund and attain corporate and foundation support both for core operations and programming.

Strategic Theme: Identity, Image, Marketing

UW-Green Bay is an outstanding university that advances knowledge, assists students in transforming their lives, and drives economic growth. We strive to create a clear and positive identity. Our marketing and public relations efforts position UW-Green Bay as a premier university in areas of teaching and learning, research and service. We strive for an identity as a university that students choose as their first choice as we face increasing competition from degree granting for-profit corporations and other colleges and universities.

Academic Affairs	Offer a relevant, high-quality curriculum and co-curricular experiences that prepare students for life-long learning and success in a fiscally restricted environment.
	Foster a culture that values assessment and continuous improvement.
	Increase student and staff experiences that involve internationalization and diversity and foster inclusive excellence.
	Maintain and embrace a technology infrastructure to support the changing needs of the institution.
	Foster a culture that places a high value on innovation and creativity.
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	Leadership: Provide a culture and environment that is conducive to recruiting and retaining professional staff and coaches and supports the department's diversity and equity initiatives.

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Strategic Theme: Meeting the Needs of Students

The success of our students is the highest priority of UW-Green Bay. The University provides students with excellent learning opportunities and necessary learning resources, connects learning to life through rigorous interdisciplinary academic programs, and enhances student progression toward graduation. UW-Green Bay supports the healthy growth and development of all students and provides a safe and active campus environment that encourages students to have an enjoyable and successful educational experience that allows them to explore and reach their goals. Students are encouraged to extend their learning experience beyond the classroom.

Academic Affairs	Offer a relevant, high-quality curriculum and co-curricular experiences that prepare students for life-long learning and success in a fiscally restricted environment.
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	Increase student and staff experiences that involve internationalization and diversity and foster inclusive excellence.
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	Enhance sustainability communication efforts to promote and build value within all stakeholder groups.
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	Support faculty efforts to embed sustainability concepts and teaching across the curriculum.
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	Serve the academic Mission of UW – Green Bay, serving both the arts and other disciplines, working with admissions and marketing to maximize recruitment opportunities.

Strategic Theme: Sustainability

We demonstrate leadership in our policies, programs and practices toward local and global ecological integrity. As stewards of knowledge, we continue to institutionalize appropriate environmental practices, policies and sustainability-related curriculum decisions. We seek to prepare a community of sustainable learners and ensure our students are being prepared for employment and citizenship in a world defined in part, by environmental and other challenges. We must ensure that the University promotes sustainability in all aspects of the University.	
Academic Affairs	Invest in the university's workforce.
Advancement	Fully implement University of Wisconsin - Green Bay Foundation, Inc.
	Identify UW-Green Bay's distinct brand and position in the marketplace.
Business & Finance	Reduce campus carbon footprint.
Sustainability	Meet content submission deadlines required for American College & University Presidents Climate Commitment (ACUPCC) and Association for Advancement of Sustainability in Higher Education (AASHE) programs.
	Identify and pursue financing/funding opportunities for sustainability and/or 'green' projects.
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	Leverage past and ongoing successes in environmental and sustainability efforts to build value and competitive edge with external stakeholders.
	Support faculty efforts to embed sustainability concepts and teaching across the curriculum.



UNIVERSITY *of* WISCONSIN
GREEN BAY

STRATEGIC GOALS & OBJECTIVES

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Introduction

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As a reminder, the seven strategic themes include:

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- Finance, Budget, Resources
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I am hopeful that you will find this draft Strategic Plan to be helpful and informative.

Tom Harden
Chancellor



DRAFT STRATEGIC PLAN

Academic Affairs Strategic Goals

Strategic Themes

1. Academic Programs and Enrollment
2. Commitment to community
3. Diversity and Institutional Environment
4. Finance, Budget, Resources
5. Identity, Image, Marketing
6. Meeting the Needs of Students
7. Sustainability

	1	2	3	4	5	6	7
• Offer a relevant, high-quality curriculum and co-curricular experiences that prepare students for life-long learning and success in a fiscally restricted environment.							
• Foster a culture that values assessment and continuous improvement.							
• Increase student and staff experiences that involve internationalization and diversity and foster inclusive excellence.							
• Maintain and embrace a technology infrastructure to support the changing needs of the institution.							
• Foster a culture that places a high value on innovation and creativity.							
• Invest in the university's workforce.							
• Manage enrollment strategies and maximize student success.							
• Enhance Stewardship and Community Connections.							

GOAL: Offer a relevant, high-quality curriculum and co-curricular experiences that prepare students for life-long learning and success in a fiscally restricted environment.

OBJECTIVES

- Develop and implement an assessment plan for all academic programs that focuses on the improvement of instruction and the assessment of student learning.
- Increase the availability of high impact practices to all students to ensure that each has engaged in a minimum of three experiences prior to graduation.
- Modify the current General Education Program requirements and present General Education Task Force recommendations regarding general education reform to the Faculty Senate for approval.
- Develop a coordinated set of opportunities for all first-year students to ease their transitions from high school and support their success.
- Establish the Common Theme as a primary method for integrating students' educational experiences.
- Develop a Graduate Studies administrative, budgetary, and faculty governance structure that will adequately support existing programs and allow for the development of new ones.
- Develop and implement, within the next six years, a graduate program array that produces 100+ UW-Green Bay graduates each academic year.
- Improve and expand student social opportunities on weekends.
- Develop and implement a strategy, working with athletics and key stakeholders, to increase student attendance at athletic events.
- Develop a proposal for a deck or patio off of the coffee house and a multipurpose green space that connects Residence Life and the Union and MAC Visitor Lot.

GOAL: Foster a culture that values assessment and continuous improvement.**OBJECTIVES**

- Develop a comprehensive, institution-wide assessment plan.
- Assess annually, in coordination with the preparation of the Operating Plan/Budget Request, the quality and sustainability of each division's current programs and makes changes as appropriate.
- Develop specific plans for assessing teaching/learning in the general education program, international education programs, interdisciplinarity and problem-focused education practices.
- Successfully obtain accreditation/reaccreditation for selected academic programs.
- Infuse the DOE Program Integrity guidelines into the institution's comprehensive Assessment Plan.
- Develop an organizational structure for transitioning to the Higher Learning Commission "Open Pathway" model for continued accreditation.

GOAL: Increase student and staff experiences that involve internationalization and diversity and foster inclusive excellence.**OBJECTIVES**

- Increase the number of students involved in international travel or other experiences such that 80% of students have some type of "international" experience by the time they graduate.
- Review the results of the climate study conducted during spring of 2011 and develop a set of recommendations to address problems and concerns.
- Develop, and annually assess, a University-wide plan for providing students, faculty and staff with opportunities to become engaged University and global citizens.
- Develop and implement assessment methods to ensure that all UWGB graduates have had opportunities to learn about all major aspects of diversity and inclusive excellence.

GOAL: Maintain and embrace a technology infrastructure to support the changing needs of the institution.**OBJECTIVES**

- Develop and implement a plan for the coordinated delivery of services provided by the CATL, LTC and Division of Outreach and Adult Access to support faculty experimentation with instructional technology inside and outside the classroom environment.
- Redesign and remodel the concourse level of the Instructional Services building to bring together the staff resources needed to support instructional design and general faculty professional development.
- Increase the use of technology to support Student Affairs operations and direct services to students and thereby improve efficiencies, achieve long term personnel savings, and improve access to timely and actionable information.
- Ensure that 100% of all instructional spaces have full technology installations including wireless.
- Expand information literacy initiative in collaboration with faculty and academic leaders.

GOAL: Foster a culture that places a high value on innovation and creativity.**OBJECTIVES**

- Develop programs that can be used by faculty and to support the development of innovative and creative programs and services to fulfill the University's mission.
- Develop mechanisms for enhancing the university community's awareness of issues and challenges facing higher education in this decade.

GOAL: Invest in the university's workforce.**OBJECTIVES**

- Work with Joint Committee on Workload & Compensation to complete a comparative analysis of university's workforce in regard to salary and workload.
- Enhance support for faculty scholarship and research.
- Conduct an analysis of diversity in key University areas and establish goals for future achievement.
- Work toward creating a more "family-friendly" and healthy campus environment including investigating childcare center options.

GOAL: Manage enrollment strategies and maximize student success.**OBJECTIVES**

- Conduct research and identify new student markets.
- Develop new high school programs, an honors program, accelerated programs, and opportunities for undergraduate research in order to attract additional high quality students.
- Create a strategic plan that eventually increases graduate student population size to 4% of student enrollment.
- Expand representation of non-traditional undergraduates in the enrollment mix from 17% to 24%.
- Develop formal plans allowing students to complete selected majors on a part-time basis.
- Increase transfer enrollments 5% each year by improving the transfer experience.
- Increase first to second year retention rates by 5%.
- Increase the number of online bachelors and master's degree programs.
- Complete the Progress Report and the development and implementation of the University's "Growth Agenda."

GOAL: Enhance stewardship and community connections.**OBJECTIVES**

- Document and encourage faculty and academic staff (academic, professional development, and community learning programs) to become involved in community initiatives. Recognize these contributions in the annual personnel review process.
- Recognize and celebrate community support for UW-Green Bay.
- Determine and promote how UW-Green Bay contributes to the public good.



DRAFT STRATEGIC PLAN

Strategic Themes

1. Academic Programs and Enrollment
2. Commitment to community
3. Diversity and Institutional Environment
4. Finance, Budget, Resources
5. Identity, Image, Marketing
6. Meeting the Needs of Students
7. Sustainability

Advancement Strategic Goals

	1	2	3	4	5	6	7
• Double university-wide annual private support to \$3.5 million in five years.							
• Fully implement University of Wisconsin - Green Bay Foundation, Inc.							
• Identify UW-Green Bay's distinct brand and position in the marketplace.							
• Focus additional PR, news and creative content on facilitating University fundraising.							
• Coordinate fundraising efforts and collaborate with academic departments, Outreach and Adult Access, the Weidner Center and athletics to establish and attain university-wide fundraising goals.							
• Strengthen connections with the community and enhance stewardship of donors.							
• Sharpen the focus on news/features raising UW-Green Bay's academic profile.							
• Incorporate prospect research into Advancement, recording prospects' research data in Raiser's Edge, and using the data effectively in fundraising efforts.							
• Improve internal advancement practices, procedures, policies, and professionalism.							
• Improve alumni relations, expand alumni involvement in university events, strengthen the alumni association board and leadership, and increase alumni support of UW-Green Bay.							

GOAL: Double university-wide annual private support to \$3.5 million in five years.

OBJECTIVES
• Increase alumni giving each year (12% for 2011-12, 13% for 2012-13...) and increase number of alumni donors by 5% per year.
• Increase community giving (12% for 2011-12, 13% for 2012-13...) each year and increase number of community donors by 5% per year.
• Increase the donations received from newly identified major prospects by 10% each year.
• Launch and sustain three additional major innovative fundraising efforts.
• Achieve 35% per year increase in dollars from local, state, regional and national Foundations from 2012 – 2018.
• Increase the number of endowed funds for scholarships by 5 per year.
• Develop and implement a formal planned giving program by 2015.

GOAL: Fully implement University of Wisconsin - Green Bay Foundation, Inc.**OBJECTIVES**

- Create and modify documents, websites and public materials to promote the new University of Wisconsin-Green Bay Foundation, Inc.
- Work with Chancellor and Chancellor's Council of Trustees to select prominent leaders to serve on the UWGB Foundation Board.

GOAL: Identify UW-Green Bay's distinct brand and position in the marketplace.**OBJECTIVES**

- Support and successfully complete all components of Stamats contract.
- Review and implement selected recommendations of Stamats branding initiative.
- Measure and track results of Stamats branding initiatives through regular implementation of research and statistical analysis of outcomes.
- Inform key stakeholders (faculty, staff, Alumni Board, Founder's Board, Foundation Board, student government, etc.) on brand positioning.
- Integrate Strategic Planning Themes and priorities in institutional communications.
- Identify and fully implement best practices in editorial/graphics quality control on key institutional communications.
- Communicate expectations with regard to University standards, Stamats branding, Strategic Themes.

GOAL: Focus additional PR, news and creative content on facilitating University fundraising.**OBJECTIVES**

- Educate advancement staff on messaging for donor activities and fundraising.
- Enhance existing communication vehicles to promote and support fundraising efforts by increasing impressions in each existing channel by 25% over three years.

GOAL: Coordinate fundraising efforts and collaborate with academic departments, adult and outreach, athletics, Weidner Center, Phuture Phoenix, Theater First Nighters and other programs to establish and attain university-wide fundraising goals.**OBJECTIVES**

- Establish Resource Development Council to identify university-wide fundraising goals and priorities based on the university's strategic plans, to recommend and work together to develop funding strategies and proposals, and to work collaboratively to seek funding for those priorities.

GOAL: Strengthen connections with the community and enhance stewardship of donors.

OBJECTIVES

- Establish a minimum of two new programs to connect community friends with the university.
- Evaluate effectiveness of existing programs and identify needed improvements to enhance success.

GOAL: Sharpen and focus news/features, raising UW-Green Bay's academic profile.

OBJECTIVES

- Spotlight faculty and/or research through quarterly stories using existing communication vehicles.
- Annually feature a minimum of 20 student academic success stories through print and electronic media.
- Introduce selected new media, social media, Web 2.0 options.
- Create new vehicles or revise existing publications to better highlight the exceptional teaching and research of UW-Green Bay faculty.

GOAL: Incorporate prospect research into Advancement, recording prospects research data in Raiser's Edge, and using the data effectively in fundraising efforts.

OBJECTIVES

- Establish criteria and benchmarks for helping to identify and categorize 'prospects'.
- Establish a prospect research program and practices.

GOAL: Improve internal advancement practices, procedures, policies, and professionalism.

OBJECTIVES

- With Advancement staff, identify and implement 5 best internal practices and procedures to improve efficiency, and effectiveness.
- Evaluate effectiveness of newly implemented policies and procedures.
- Educate staff on professionalism practices and encourage staff participation in programs for professional development.

GOAL: Improve alumni relations, expand alumni involvement in university events, strengthen the alumni association board and leadership, and increase alumni support of UW-Green Bay.

OBJECTIVES

- Explore the feasibility of establishing alumni chapters, launch two pilot chapters, evaluate effectiveness, and if more chapters should be established.
- Host alumni receptions in Wisconsin cities with high concentration of UWGB graduates biannually (Milwaukee, Madison, etc.).
- Host alumni receptions at surrounding businesses – two in the fall and two in the spring (Schreiber Foods, Humana, Ameriprise, Georgia-Pacific, Associated Bank, etc.).

- | |
|--|
| <ul style="list-style-type: none">• Strengthen the scope, influence, and leadership of the Alumni Association Board of Directors. |
| <ul style="list-style-type: none">• Collaborate with Athletics to plan alumni activities coordinated with athletic events and functions. |

DRAFT STRATEGIC PLAN

Strategic Themes

1. Academic Programs and Enrollment
2. Commitment to community
3. Diversity and Institutional Environment
4. Finance, Budget, Resources
5. Identity, Image, Marketing
6. Meeting the Needs of Students
7. Sustainability

Business and Finance Strategic Goals

	1	2	3	4	5	6	7
<ul style="list-style-type: none"> Provide appropriate facilities necessary to support the strategic enrollment plan and changes in instructional course delivery methods. 							
<ul style="list-style-type: none"> Strengthen ability to react and strategically adapt to rapidly evolving short-term and long-term operating budget changes with increased transparency. 							
<ul style="list-style-type: none"> Continually strive to provide more efficient and effective business processes. 							
<ul style="list-style-type: none"> Ensure a safe and secure campus environment. 							
<ul style="list-style-type: none"> Ensure that program revenue operations maintain fiscal viability and a high level of customer satisfaction. 							
<ul style="list-style-type: none"> Reduce campus carbon footprint. 							
<ul style="list-style-type: none"> Support campus diversity and institutional environment initiatives. 							
<ul style="list-style-type: none"> Develop a campus master plan that supports the University mission and provides for future campus infrastructure needs. 							
<ul style="list-style-type: none"> Ensure that employees are fairly compensated. 							

GOAL: Provide appropriate facilities necessary to support the strategic enrollment plan and changes in instructional course delivery methods.

- Strengthen relationships and understanding between campus and UW-System capital budget planning staff through annual face-to-face meetings.
- Identify and effectively communicate the impact of the strategic enrollment plan on campus facilities through integrated planning discussions.

GOAL: Strengthen ability to react and strategically adapt to rapidly evolving short-term and long-term operating budget changes with increased transparency.

- Fully engage Planning and Budget Council in the annual operating budget planning process.
- Increase transparency via increased communication through open forums, e-mails, LOG announcement to fully inform the campus community in a timely manner.

GOAL: Continually strive to provide more efficient and effective business processes.

- In 2012, ensure minimal disruption and confusion for faculty, staff and students during HRS implementation.
- Streamline travel expense reimbursement process by implementing ACH payment when available through UW System.
- Participate in system-wide “lean process” initiatives.

GOAL: Ensure that program revenue operations maintain fiscal viability and a high level of customer satisfaction.

- ~~Review performance of campus food service operation on a yearly basis.~~
- ~~Maintain and expand current campus safety and risk management efforts through conducting a minimum of one formal training session each semester, and encourage on-going networking to gain insight from campus student and staff groups.~~
- Stay in tune to customer concerns by annually reviewing and interpreting customer surveys and comment cards.
- By June 2012, research, review and report on any recommended changes to the Phoenix Bookstore business plan.

GOAL: Reduce campus carbon footprint.

- On an ongoing basis, help educate the campus community concerning the benefits of adopting alternative printing technologies to reduce the campus carbon footprint through a minimum of two annual training sessions and by providing online guidelines.
- By June 2012, expand re-use of campus surplus items and reduce the amount of surplus that goes to the landfill by developing a campus “office supply depot”.
- Reduce the use of energy campus-wide by developing a marketing plan to educate the campus community on energy saving actions to be taken.
- Add renewable energy capacity to the campus portfolio within next ten years.

GOAL: Support campus diversity and institutional environment initiatives.

GOAL: Develop a campus master plan that supports the University mission and provides for future campus infrastructure needs.

- ~~Continue to provide training and educational opportunities for employees (e.g., harassment and discrimination prevention training).~~
- ~~Secure the services of planning consultants to assist in the development of a space use plan and campus master plan by end of 2012.~~
- Develop space use and campus master plans by end of 2013.

GOAL: Strive to ensure that employees are fairly compensated.

- Identify faculty/staff compensation inequities based on relevant and comparable data, e.g. CUPA.
- Inform and engage Planning and Budget Council and Joint Committee on Workload and Compensation to ensure increased transparency on compensation issues.
- Identify stable and long-term funding sources to reduce or eliminate identified compensation inequities.



DRAFT STRATEGIC PLAN

Intercollegiate Athletics Kress Events Center Operations Strategic Goals

Strategic Themes

1. Academic Programs and Enrollment
2. Commitment to community
3. Diversity and Institutional Environment
4. Finance, Budget, Resources
5. Identity, Image, Marketing
6. Meeting the Needs of Students
7. Sustainability

	1	2	3	4	5	6	7
<ul style="list-style-type: none"> Student-Athlete Excellence: Develop and maintain an atmosphere within our programs that promotes a positive culture of student-athlete success academically, athletically, and socially. 							
<ul style="list-style-type: none"> Community Appreciation: We will deepen our appreciation for the relationships we have with our on- and off-campus communities and continue to look for ways to expand communication with all constituents. 							
<ul style="list-style-type: none"> Competitive Excellence: Recognizing that competitive excellence can be defined differently, each athletic program at UW – Green Bay will be expected to deliver competitive excellence based on their national, regional, and local interests. Goals will be set by the Director of Athletics and the sport program supervisors. 							
<ul style="list-style-type: none"> Branding/Image: Provide increased national, regional and local exposure for the University and create a Green Bay Athletics brand that people respect, admire and generously support. All decisions will be communicated in a manner to create, project and enhance this strong intercollegiate athletic brand. 							
<ul style="list-style-type: none"> Financial Stability: All financial resources will be allocated to provide a balanced budget that meets the requirements of sustaining a reputable, vibrant, and compliant NCAA Division 1 program that supports scholarships, quality academic support services, competitive operating budgets and comprehensive facilities. 							
<ul style="list-style-type: none"> Compliance: Instill a culture that respects and understands the importance of NCAA Compliance throughout the Department of Intercollegiate Athletics. Educate and communicate the importance of this priority throughout the UW-Green Bay campus community and with all constituents of Green Bay Athletics. 							
<ul style="list-style-type: none"> Leadership: Provide a culture and environment that is conducive to recruiting and retaining professional staff and coaches and supports the department's diversity and equity initiatives. 							
<ul style="list-style-type: none"> Kress Events Center Operations: Provide a comprehensive and well-rounded campus intramural and recreation program. 							
<ul style="list-style-type: none"> Kress Events Center Operations: Provide a well-rounded Fitness/Wellness Program for students, the campus community and community members. 							
<ul style="list-style-type: none"> Kress Events Center Operations: Coordinate with campus units (i.e. Athletics, Student Life, Union, Counseling & Health Services, and Residence 							

Life) to improve campus life while continuing to build and maintain external community relationships.								
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GOAL: Student-Athlete Excellence — Develop and maintain an atmosphere within our programs that promotes a positive culture of student-athlete success academically, athletically, and socially.

OBJECTIVES
<ul style="list-style-type: none"> • Provide a minimum of three seminars/opportunities annually that help prepare student-athletes socially and help develop life skills. • Achieve 10% of student-athlete population be from a diverse background. • Have a graduation rate higher than the previous year's general student population at UW – Green Bay • Achieve a 3.0 Grade Point Average or higher overall for all our student-athletes. • Have each sport program continue to achieve higher than the NCAA minimum Academic Progress Rate. • Improve student life on campus by communicating student life activities to student-athletes on a monthly basis. • Provide a sports program array that meets the gender equity commitment of our University and Title IX.

GOAL: Community Appreciation — We will develop a deep appreciation for the relationships we have with our on- and off-campus communities and continue to look for ways to expand communication with all constituents.

OBJECTIVES
<ul style="list-style-type: none"> • Offer a minimum of five events per year that build relationships, outreach to the community and recognize donors and friends of Green Bay Athletics. • Require staff to participate in a minimum of one community event, local service or volunteer organization activity to broaden staff outreach into the community. • Initiate a minimum of three new promotional ideas to better market athletic events to the campus community to grow student participations and attendance by 5% year- over- year. • Meet a minimum of once a year with each local sports media outlet.

GOAL: Competitive Excellence — Recognizing that competitive excellence can be defined differently, each program at UW – Green Bay will be expected to provide competitive excellence based on their national, regional, and local interests. Meeting their competitive excellence will be determined by administrators and coaches on these interests and allocated budgets.

OBJECTIVES

- Provide competitive funding and resources to our gated programs that positions them to finish in the top half of the league and position them to win a league championship.
- Provide resources to our non-gated sport programs that provide for positive students-athlete experiences and competitive results. Our student-athlete experiences will be measured by reviewing the results of our senior student-athlete exit interviews.

GOAL: Branding/Image — Provide increased national, regional and local exposure for the University and create a brand for Green Bay Athletics that people respect, admire and want to support. All decisions will be communicated in a manner to create, project and enhance this strong intercollegiate athletic brand.

OBJECTIVES

- Provide two training sessions for representatives to ensure that all promotional items, brochures and other materials support the athletic department branding initiatives.
- Provide two training programs to educate and enforce the Green Bay Phoenix brand in the Green Bay and campus communities.
- Creatively market athletics to all constituents and seek to increase innovative project revenue by 5%.

GOAL: Financial Stability — All financial resources will be allocated to provide a balanced budget that meets the requirements of sustaining a reputable, vibrant, and compliant NCAA Division 1 program that supports scholarships, quality academic support services, competitive operating budgets and comprehensive facilities.

OBJECTIVES

- Raise \$600,000 annually for the Phoenix Fund through various fundraising efforts by 2013.
- Increase overall fundraising for the Phoenix Fund to \$1,000,000 by 2015.
- Increase sponsorship revenues by 10%.
- Achieve an annual full-time student-athlete Grant-in-Aid equivalency of 125 in order to ensure maximum NCAA distribution.
- Increase merchandise commission revenue by 15% (PDI agreement).
- Increase men's basketball ticket sales by 15% annually from 2011-12 to 2015-16; Increase women's basketball ticket sales by 5% annually from 2011-12 to 2015-16.
- Research one new sport program that must fund itself in the short-term and generate enough revenue in the future to help financially support other sport programs.
- Review and adjust the outdoor facility plan to ensure it meets the needs of the soccer and softball programs as well as state requirements.

GOAL: Compliance — Instill a culture that respects and understands the importance of NCAA Compliance throughout the Department of Intercollegiate Athletics. Educate and communicate the importance of NCAA compliance throughout the UW-Green Bay campus community and all constituents of Green Bay Athletics.

OBJECTIVES

- Send out a campus-wide email at least once annually with a link to our Compliance Website to educate the University community regarding NCAA Rules Compliance and its importance.

<ul style="list-style-type: none"> • Provide article on NCAA Rules to be published in the LOG at least twice each semester.
<ul style="list-style-type: none"> • Increase attendance by coaches at monthly compliance meetings over the previous year.
<ul style="list-style-type: none"> • Provide a compliance and student-service program that is able to provide excellent assistance to our student-athletes.

GOAL: Leadership — Provide a culture and environment that is conducive to recruiting and retaining professional staff and coaches and supports the department diversity and equity recruitment/retention plans.

OBJECTIVES
<ul style="list-style-type: none"> • Support opportunities for professional growth by providing additional resources for sport programs that do not currently have available resources in their budget.
<ul style="list-style-type: none"> • Develop an award program for athletic department personnel which recognizes inclusive excellence.

GOAL: Kress Events Center Operations — Provide a comprehensive and well-rounded campus intramural and recreational program.

OBJECTIVES
<ul style="list-style-type: none"> • Beginning in Fall of 2012, expand intramural program offerings by adding four new recreational programs over a four year period.
<ul style="list-style-type: none"> • Beginning in Fall 2013, expand recreational offerings on Sunday evenings.
<ul style="list-style-type: none"> • Expand recreational offerings during Winterim period, beginning in 2014.
<ul style="list-style-type: none"> • Contingent on funding, meet demand for increased growth in Outdoor Intramural Recreation participation opportunities by adding a minimum of one additional lighted field to be available for use in 2015.
<ul style="list-style-type: none"> • Pending funding, by Summer 2016 develop an outdoor synthetic turf field to increase Spring/Fall seasonal availability for intramurals, club sports and informal recreation.
<ul style="list-style-type: none"> • Pending funding, provide an improved tennis recreation component for students and campus community members by 2015.
<ul style="list-style-type: none"> • Improve Open Recreation and Club Sport opportunities through better utilization of the EMS System.
<ul style="list-style-type: none"> • Increase climbing tower participation against a 3-year rolling average.
<ul style="list-style-type: none"> • Pending additional professional staff and funding, benchmark a minimum of two Outdoor Recreation programs at other similar size institutions in order to identify, establish and launch a well-rounded Outdoor Recreation program by July 2017.
<ul style="list-style-type: none"> • Follow Kress 10 year Operating Supplies & Equipment and Capital Items Improvement Plan to ensure quality recreation facilities and equipment to serve patrons needs.
<ul style="list-style-type: none"> • Pending funding, improve softball field facilities for student recreation and rental opportunities.
<ul style="list-style-type: none"> • Explore the possibility to work with the Student Life Office and SUFAC to transition the supervision of Campus Sport Clubs to the Kress Events Center by July 2013.

GOAL: Kress Events Center Operations — Provide a well-rounded Fitness / Wellness Program for students, the campus community and community members.

OBJECTIVES

- Continue to demonstrate growth in the student fitness and wellness program through increasing class offering and participation rates against a 3-year rolling average.
- Successfully develop and implement the Chancellor's initiative for a Faculty / Staff Fitness and Wellness Program for campus by spring of 2012.
- Provide targeted opportunities to meet community members' needs.
- Follow Kress Center's ten year Operating Supplies & Equipment and Capital Items Improvement Plan to ensure quality fitness, weight, exercise and aerobic equipment to serve patrons needs.

GOAL: Kress Events Center Operations — Coordinate with campus units (i.e. Athletics, Student Life, Union, Counseling & Health Services, and Residence Life) to improve campus life while continuing to build and maintain external community relationships.

OBJECTIVES

- Educate SUFAC and Student Government on the Kress Events Center Budget through regular annual meetings.
- Enhance Kress Events Center's key role in student recruitment and retention with annual training of student ambassadors/marketers on current and accurate Kress Center services.
- Provide support to Athletics to help them run a successful Division I program.
- Support athletics in achieving its outdoor facility plans that meet the needs of their soccer and softball programs.
- Increase collaborative opportunities with a minimum of two other campus programs/departments by 2013.
- Develop and maintain long-term facility rental relationships with community groups to capture outside revenue possibilities when in the Kress Center's best interests.
- Follow Kress Center's ten year Operating S & E and Capital Items Improvement Plan to ensure quality equipment is purchased and storage space is created to serve campus event and community rental needs.

DRAFT STRATEGIC PLAN

Sustainability Strategic Goals

Strategic Themes

1. Academic Programs and Enrollment
2. Commitment to community
3. Diversity and Institutional Environment
4. Finance, Budget, Resources
5. Identity, Image, Marketing
6. Meeting the Needs of Students
7. Sustainability

	1	2	3	4	5	6	7
• Meet content submission deadlines required for American College & University Presidents Climate Commitment (ACUPCC) and Association for Advancement of Sustainability in Higher Education (AASHE) programs.							
• Identify and pursue financing/funding opportunities for sustainability and/or 'green' projects.							
• Encourage UW – Green Bay Foundation, Inc., Board of Directors to consider sustainability in its investment decisions.							
• Enhance sustainability communication efforts to promote and build value within all stakeholder groups.							
• Leverage past and ongoing successes in environmental and sustainability efforts to build value and competitive edge with external stakeholders.							
• Support faculty efforts to embed sustainability concepts and teaching across the curriculum.							

GOAL: Meet content submission deadlines required for American College & University Presidents Climate Commitment (ACUPCC) and Association for Advancement of Sustainability in Higher Education (AASHE) programs.

OBJECTIVES
• Submit greenhouse gas (GHG) inventory for FY10 to meet ACUPCC commitment by July 30, 2011.
• Submit data by September 30 with a goal of achieving a minimum "Bronze" accreditation under AASHE's Sustainability Tracking Assessment & Ratings System (STARS).
• Develop and submit Climate Action Plan using FY 2010 GHG inventory baseline to meet ACUPCC commitment (carbon neutral by 2050) by December 2011.

GOAL: Identify and pursue financing/funding opportunities for sustainability and/or 'green' projects/programs.

OBJECTIVES
• Identify a minimum of 5 local, state and national grant/foundation funders for sustainability/green projects.
• Establish an Alumni Green Fund by Fall 2012 for donations specifically earmarked for green/sustainability efforts.
• Research feasibility of establishing a 'green revolving fund' for ongoing support of sustainability efforts.

GOAL: Encourage UW – Green Bay Foundation, Inc., Board of Directors to consider sustainability in its investment decisions.

OBJECTIVES

- Research and present best practices from higher education institutions regarding sustainability policy statements for review by the Investment Committee of the Foundation.
- Research, draft and present 3 -5 positive sustainability screening parameters for future Foundation investments in publicly held corporations.

GOAL: Enhance sustainability communication efforts to promote and build value within all stakeholder groups.

OBJECTIVES

- Redesign, enhance and update UWGB “sustainability” website.
- Develop, produce and promote suggested guidelines for incorporating green/sustainable concepts into meetings & events held at UWGB facilities (e.g. recycling bins at all events).
- Develop, produce and implement a sustainability informational program specific for Resident Advisors and staff in Residential Life.
- Develop, produce and implement a “sustainability primer” for new student orientation (traditional, transfer and non-traditional students).
- Produce an annual “State of Sustainability” report for UWGB in Spring 2012.
- Launch a faculty/staff discussion series on sustainability issues by Spring 2013, with one topic/month.
- Develop, produce and implement a sustainability on-boarding program for newly hired faculty/staff by Summer 2012.

GOAL: Leverage past and ongoing successes in environmental and sustainability efforts to build value and competitive edge with external stakeholders.

OBJECTIVES

- In conjunction with Athletics, select an athletic event annually to promote sustainability on campus and at campus events.
- Continue annual participation in RecycleMania, changing to the competitive division starting in 2012 and improving year-to-year performance.
- Collaborate with EMBI and Business School to establish three additional internships in sustainability/ environmental management with NE Wisconsin businesses annually.
- Achieve placement of UWGB on national sustainability/green listings for higher education institutions such as Princeton Review and Sierra Club’s Cool Schools.
- Select an existing campus building(s) in cooperation with Facilities for potential LEED EBOM certification opportunity by 2013.

GOAL: Support faculty efforts to embed sustainability concepts and teaching across the curriculum.

OBJECTIVES
<ul style="list-style-type: none"> • Work with faculty groups as a resource to help identify the essential learning outcomes(s) related to sustainability.
<ul style="list-style-type: none"> • Work with Institutional Research Office to include sustainability literacy questions into existing student survey efforts to track change in awareness/understanding during tenure at UWGB.
<ul style="list-style-type: none"> • Support academic initiatives to develop incentive/support programs to encourage and provide time for faculty to develop sustainability courses and/or sustainability-focused modules in their subject matter area.
<ul style="list-style-type: none"> • Work with faculty to include high-impact practices in developing sustainability knowledge via both on-campus and off-campus opportunities.

DRAFT STRATEGIC PLAN

Strategic Themes

1. Academic Programs and Enrollment
2. Commitment to community
3. Diversity and Institutional Environment
4. Finance, Budget, Resources
5. Identity, Image, Marketing
6. Meeting the Needs of Students
7. Sustainability

Weidner Center Strategic Goals

	1	2	3	4	5	6	7
<ul style="list-style-type: none"> Establish and present programs designed to entertain, inspire and educate the diverse demographic groups of Northeast Wisconsin. 							
<ul style="list-style-type: none"> Serve the academic Mission of UW – Green Bay, serving both the arts and other disciplines, working with admissions and marketing to maximize recruitment opportunities. 							
<ul style="list-style-type: none"> Become a center of excellence for performing arts in the greater Green Bay area, partnering with area cultural groups and presenters to increase access to the Weidner and develop collaborative work. 							
<ul style="list-style-type: none"> Re-brand the Weidner as “the place” where great arts events take place. Develop a robust online and media presence designed to engage the community, spread excitement and sell tickets. 							
<ul style="list-style-type: none"> Work aggressively to create an annual fund and attain corporate and foundation support both for core operations and programming. 							

GOAL: Establish and present programs designed to entertain, inspire and educate the diverse demographic groups of Northeast Wisconsin.

OBJECTIVES

- Program an opening season (20th Anniversary) that contains world class performances, and new names serving multiple demographics.
- Become a leader in performing arts education.
- Create programming that inspires.

GOAL: Serve the academic Mission of UW – Green Bay, serving both the arts and other disciplines, working with admissions and marketing to maximize recruitment opportunities.

OBJECTIVES

- Set up a means of regular contact with department heads, academic leadership.
- Establish a strategy for selecting key admissions events at the Weidner, integrating marketing messaging, follow-up and results tracking.

GOAL: Become a center of excellence for performing arts in the greater Green Bay area, partnering with area cultural groups and presenters to increase access to the Weidner and develop collaborative work.

OBJECTIVES

- Host interested cultural agencies and performances at the Weidner Center.
- Development of a multi-disciplinary course of study rooted in Arts and Speakers and integrated within the academy.

GOAL: Re-brand the Weidner as “the place” where great arts events take place. Develop a robust online and media presence designed to engage the community, spread excitement and sell tickets.

OBJECTIVES

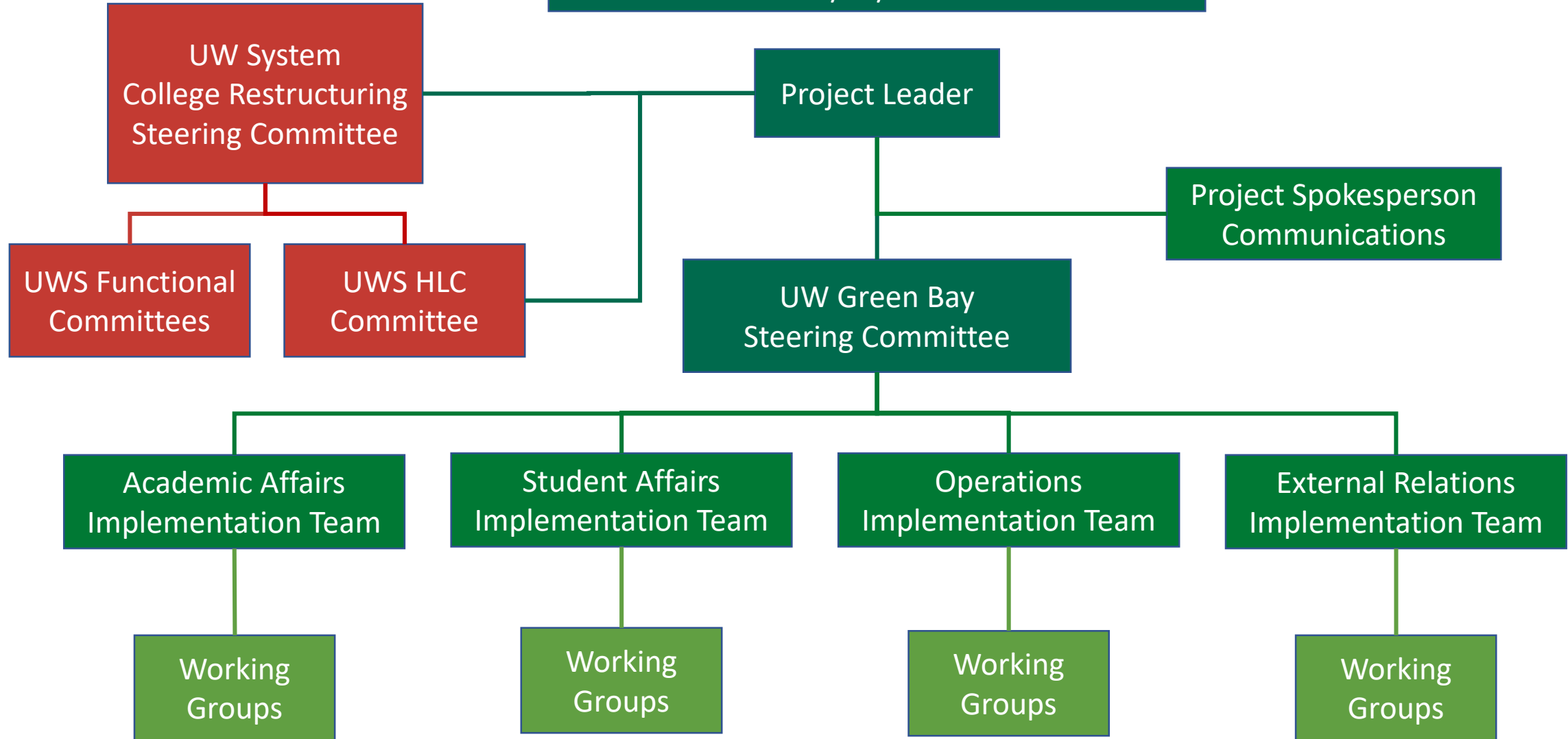
- Redesign and launch Weidner Center website.
- Engage key stakeholders and opinion leaders in the work and excitement of the Center.
- Engage students in Weidner performances.

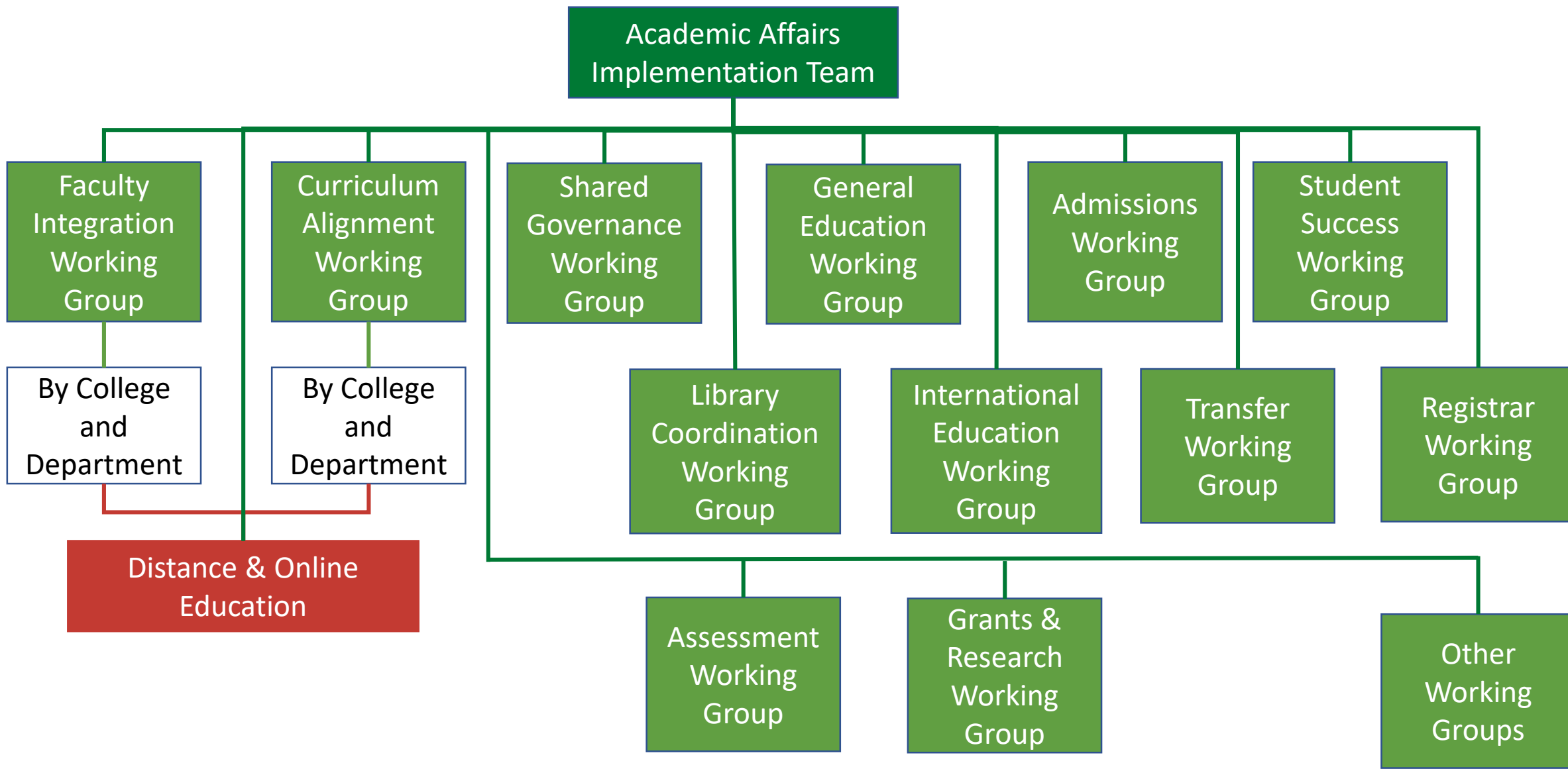
GOAL: Work aggressively to create an annual fund and attain corporate and foundation support both for core operations and programming.

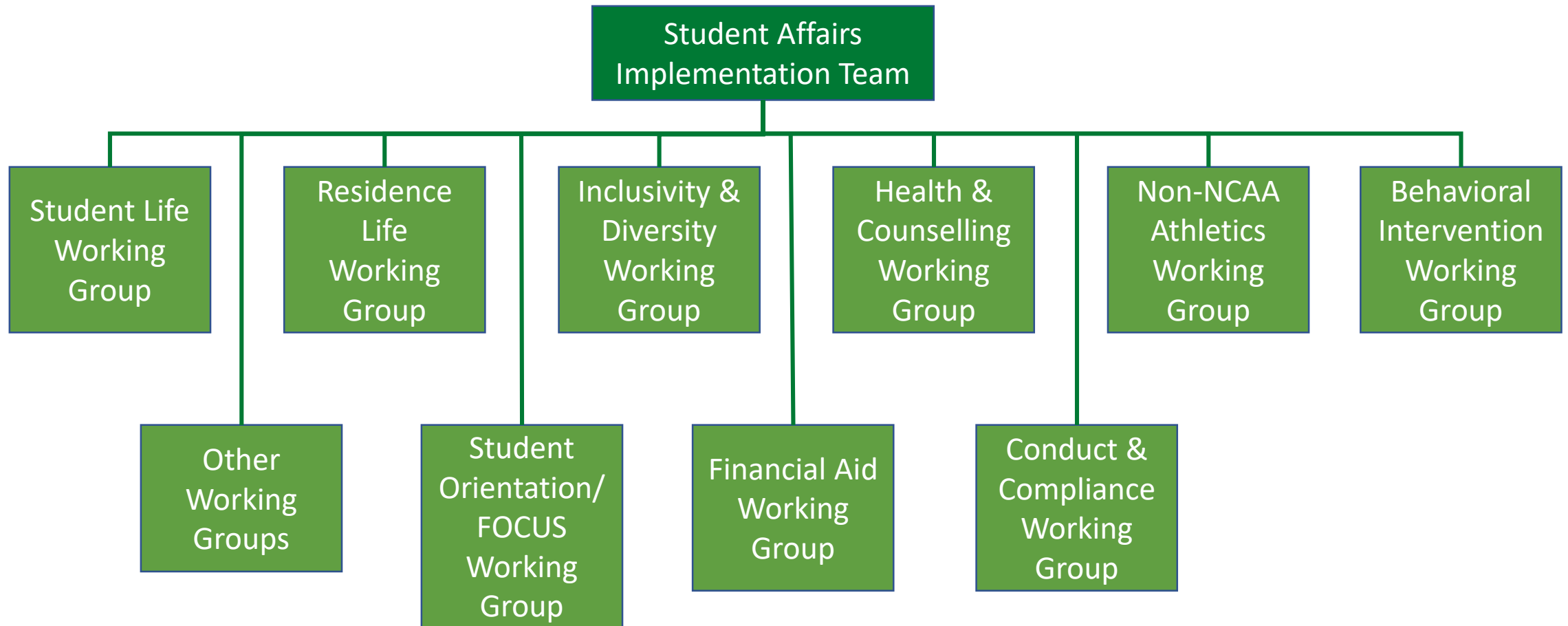
OBJECTIVES

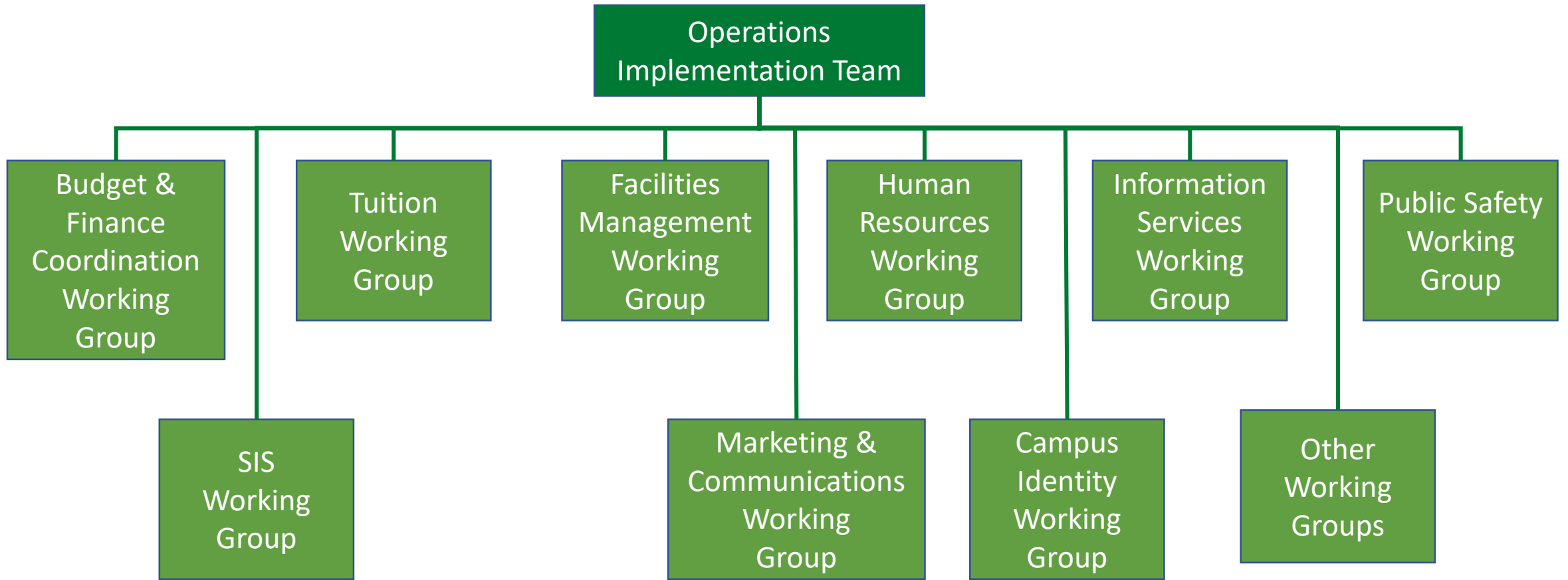
- Establish and grow annual “membership campaign.”
- Develop a robust corporate sponsorship/partnership program.
- Engage with key stakeholders to support bridge funding and project specific support.

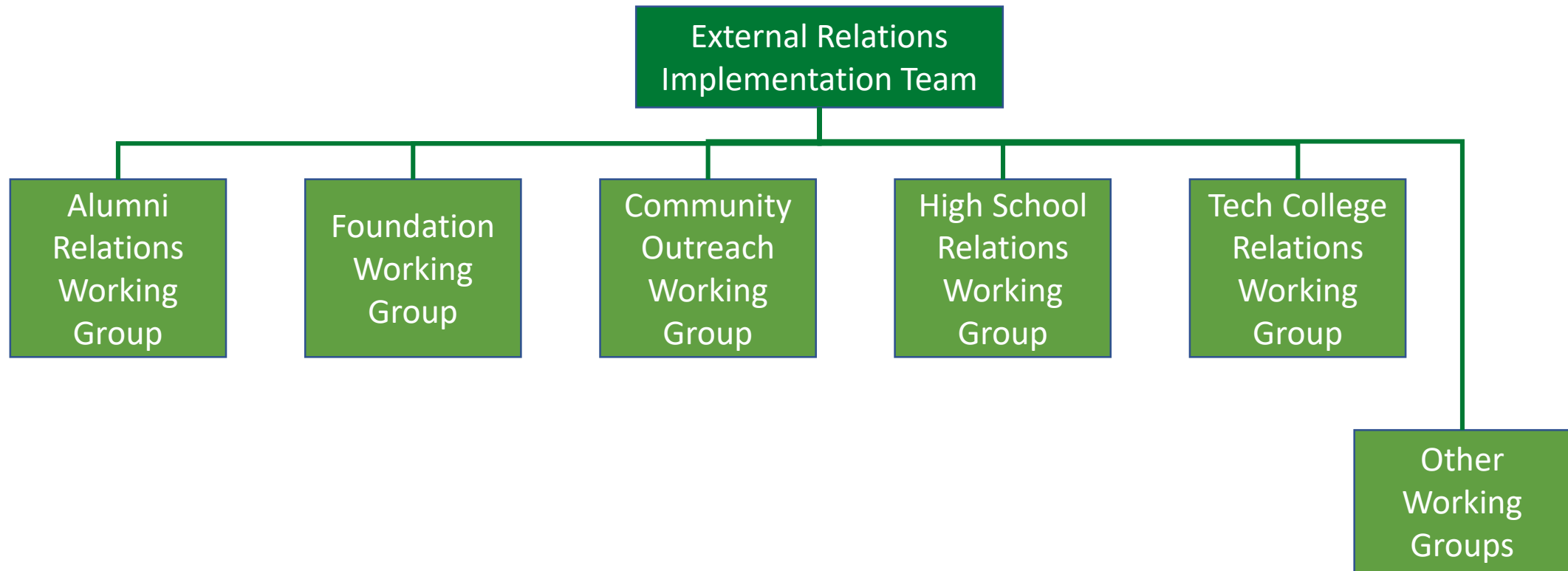
Project Coastal Management Structure 11/20/2017











UW-Milwaukee Supporting Evidence

Appendix I

UWC and UWWC Committees

UW-WASHINGTON COUNTY 2017-18 COMMITTEES

Campus Senator: T. Wessel-Blaski
WCC Faculty Rep: R. Peterson

Chief Investigating Officers: A. Widmayer (UWS14), C. O'Connell (UWS17)

CONSTITUTION COMMITTEES

Academic Actions

L. Gomes
R. Peterson
B. Malcuit
C. Yogerst, Chair
C. O'Connell (nonvoting)
(SGA)

Appointments

T. Ekunsanmi
M. Peterson*
K. Tyvela
L. Wagner
(SGA)

Curriculum

D. Basyal
P. Gibeau, Chair
M. Hamilton
C. O'Connell
S. Schmid (nonvoting)
Alexis Fellenz (SGA)

Grievance

P. Gibeau
C. Hays, Chair
T. Selby

Merit Evaluations

M. Ayoub
S. Brunette-Hill
C. Gahala
J. Lesniak
S. Tripathi, Chair
A. Widmayer

Steering

C. Larson
S. Scholz
T. Selby
T. Szabo, Chair
L. Wagner
T. Wessel-Blaski, Senator
C. O'Connell (nonvoting)
Katelyn Van Raden (SGA
President)

Student Life and Interest (SLIC)

R. Peterson
M. Thapa
F. Guled, Chair (SGA
Advisor)
Alex Bruni (SGA)
Abijah Allsop (SGA)
Chiara Alioto (SGA)
Charlee Solhiem (SGA)

Tenure, Retention & Promotion

M. Ayoub (2012-2018)
S. Tripathi (2016-2018)
T. Szabo (2014-2020)
K. Tyvela, Chair (2014-2020)
S. Brunette-Hill (2016-2022)
T. Wessel-Blaski (2016-2022)

BYLAWS COMMITTEES

Athletic Board

M. Hamilton
S. Scholz
D. Butschlick (Ath. Dir.)
R. Peterson, Chair (WCCR)
(SGA)
(Student)

Campus Facilities & Safety

J. Lesniak*
M. Thapa
K. Tyvela
C. O'Connell (CA)
Maintenance Rep.
(Student)

Fine Arts

P. Gibeau
C. Yogerst*
M. Appel
F. Guled (SGA Advisor)
D. Butschlick (FA Coord.)
Outside Consult (nonvoting)
(Student)
(Student)

Lectures

M. Ayoub
T. Ekunsanmi
C. Hays, Chair
Community Consultant
(Student)
(Student)

Library

S. Brunette-Hill
B. Malcuit
T. Selby
L. Hudson (Lib. Staff)
L. Wagner, Chair (Lib.
Staff)
(Student)

Nominations

T. Szabo, Chair, Steering
P. Gibeau, Curriculum chair
S. Tripathi, Evals chair

Publications Board

D. Ostrenga
T. Wessel-Blaski, Chair
(SGA)

Scholarship

D. Basyal
L. Gomes
M. Peterson*
M. Unger
C. Hays (WCCF)

Student Recruitment & Retention

C. Gahala, Chair (Assess.
Coord.)
S. Tripathi
A. Widmayer
M. Appel
F. Guled
C. O'Connell (RADSA)
(Student)

Student Collegium Members

Veda Inchaurregui SGA
Abijah Allsop SGA
Derrick Chaney SGA
Matthew Lane SGA
Katelyn Van Raden SGA

UW-Waukesha Fall 2017-Spring 2018 Elected Standing Committees

Academic Actions (major) – 2 years	
Humanities/Fine Arts	*Greg Ahrenhoerster (16-18)
Math/Natural Science	Tatiana Soleski (16-18)
Social Science	Colin Wang (17-19)
Enroll. Mgt. Rep.	Connie Humann
Student	Dmitry Becker
Appointments (major) – 2 years	
Humanities/Fine Arts	Jennifer Heinert (17-19)
Math/Natural Science	Asif Habib (17-19)
Social Science	*Tim Thering
At-Large Faculty	*Tim Dunn
Academic Staff	James Boling (17-19)
University Staff	Marilyn Lilley (16-18)
Student	Annie Cornell
Code of Conduct (major) 3 years	
Faculty Member	Dylan Bennett (16-19)
Academic Staff	James Boling (15-18)
University Staff	John Volz (16-19)
Student	Kit Sirgusa
Curriculum and Budget (major) – 2 years	
Humanities/Fine Arts	*Bill Schneider (16-18)
	Steven Decker (17-19)
Math/Natural Science	Kevin Lee (16-18)
	Teresa Schueller (17-19)
Social Science	Bob Bermant (16-18)
	Yongqing Wang (17-19)
Academic Staff	Jane Cavanaugh (16-18)
	Connie Humann (17-19)
University Staff	Joyce Bell (17-19)
	JP Slater (16-18)
Student	Heather Erickson
Ex. Officio (Dean)	Jackie Joseph-Silverstein
Ex. Officio (Assoc. Dean)	Stephen Schmid
Evaluation of Instructional Personnel (major) 2 years	
Humanities/Fine Arts	*Dean Kowalski (16-18)
	Cassandra Phillips (17-19)
Math/Natural Science	Suzanne Joneson (17-19)
	Luis Rodriguez (16-18)
Social Science	Jon Kasperek (16-18)
	Jill Rinzel (17-19)
Grievance (other)	
Humanities/Fine Arts	Lisa Hager (17-19)
Math/Natural Science	Asif Habib (17-19)
Social Science	Joe Essuman (16-18)
Alternates	
Humanities/Fine Arts	Jeff Noska (16-18)
Math/Natural Science	Suzanne Joneson (16-18)
Social Science	Yongqing Wang (17-19)
Nominations and Elections (other) 2 years	
Humanities/Fine Arts	Derek Blemberg (16-18)
Math/Natural Science	*Shubhangi Stalder (16-18)
Social Science	Joe Essuman (17-19)
Academic Staff	Sue Kalinka (16-18)
University Staff	JP Slater (17-19)
Steering (major) 2-years	
Humanities/Fine Arts	Barbara Reinhart (17-19)
Math/Natural Science	Phillip Owens (17-19)
Social Science	Gregg Jamison (17-19)
At-Large Faculty	*Margaret Hankenson (16-18)
Academic Staff	Heather Carroll (17-19)
University Staff	Brenda Dugan (16-18)
Student	MaryJo Kanelos
Ex. Officio – Dean	Jackie Joseph-Silverstein
Ex. Officio - Assoc. Dean	Stephen Schmid

Lectures and Fine Arts 2 years	
Humanities/Fine Arts	Barbara Reinhart (16-18)
Math/Natural Science	Mike Pauers (17-19)
Social Science	Colin Wang (16-18)
Academic Staff	Scott Silet (17-19)
University Staff	Mary Jo Crisci (17-19)
SGA Students (1-3)	Heather Erickson
	Olivia Rasa
	Daniel Schindler
Ex. Officio	Sue Kalinka-Student Dev.
Professional Development (major) 2 years	
Humanities/Fine Arts	Steven Decker (16-18)
Math/Natural Science	Michael Pauers (17-19)
Social Science	Julianna Alitto (17-19)
Academic/University Staff	Scott Silet (16-18)
Academic/University Staff	Sue Kalinka (17-19)
Ex. Officio – Dean	Jackie Joseph-Silverstein
UW Colleges Senate 2 years	
Faculty Senators	Drew Blanchard (17-18)
	Julianna Alitto (17-19)
	Ron Gulotta (17-19)

UW-Waukesha Fall 2017-Spring 2018 Appointed Committees

Athletic Board	
Members (4) at least 1 faculty	Greg Ahrenhoerster (17-19)
	*Drew Blanchard (16-18)
	Michael Pauers (17-18)
	Cassie Phillips (17-19)
SGA Students (1-3)	Dmitry Becker
	Payton Lazar
	Thadd Sapa-Kotlarek
Director of Athletics	Adam Ligocki
WCC Rep.	Jill Rinzel
Buildings, Grounds & Safety	
Faculty Members (3) ART	Barb Reinhart
Health, Exercise Science	Jack Hervert
1 from another discipline	Kevin Lee (17-18)
Academic Staff	Scott Silet (17-18)
University Staff	Mary Jo Crisci (17-18)
SGA Student	Kit Sirgusa
Haz.Mat. Rep.	Kristen Schneider
Facilities Coordinator	Kelli Thornton
Building Supervisor	John Volz
Dean	Jackie Joseph-Silverstein
Assoc. Dean	Stephen Schmid
Honors and Degree	
Members (5)	Nicolette Fugarino (16-18)
	Ron Gulotta (17-19)
	Debbie Paprocki (17-19)
	Amanuel Teweldemedhin (16-18)
	Colin Wang (16-18)
SGA Student(s)	Thadd Sapa-Kotlarek
Parking Committee	
Faculty/IAS (2)	Bob Bermant (16-18)
	Joe Out (17-19)
Academic Staff (2)	Schelzia Ross (16-18)
	Liz Wellner (17-19)
University Staff (2)	Joyce Bell (17-19)
	Marilyn Lilley (16-18)
SGA Students (3)	Annie Cornell
	Olivia Rasa
Scholarship Committee	
Members (4)	Ada Duffey (16-18)
(at least one faculty member)	Gregg Jamison (17-19)
	Jon Kasperek (16-18)
	Yongqing Wang (17-19)
SGA Students (2)	Payton Lazar

Scholarship Committee (continued)	
SGA Students	Thadd Sapa-Kotlarek
Ex. Officio	
Field Station	
Field Station Manager	Teresa Schueller
Members (3) at least 1 Fac. member	Julianna Alitto (17-18)
	Suzanne Joneson (17-18)
	Bill Schneider (17-18)
WINC Representative	Lisa Rowe, ex. Officio
Student	Kit Sirgusa
SUFAC (Seg. Univ. Fee Allocation)	
	Anthony Cattani
	MaryJo Kanelos
	Harley Laveck
	Emily Riedel
	Daniel Schindler
Student Dev. Rep.	Sue Kalinka
Asst. Dean for Admin./Finance	Dan Anhalt

* Denotes the Chair of the Committee

Effective: 12/13/2017 7:57 AM

Appendix II

UWM Academic Approval Matrix



ACADEMIC APPROVAL MATRIX

No: S-0.5

Date: October 2016

Authority: Academic Program Planning, Review, and Approval (BOR Policy 4-12)
UW System Policy Statement on Academic Planning, Review and Approval
(Approved August 2012)
UW System ACIS 1.0 (Revised April 2010)
UWM Faculty Document 2237
UWM SAAP 10.5: Centers/Institutes

Initiator: Provost

Responsible Party: Provost

I. Purpose

The purpose of this policy is to articulate the approvals needed for various academic program and administrative actions at UWM and UW System levels. This policy only applies to situations that would not result in faculty layoff or termination.

II. Policy

Academic program actions at the course, subprogram, and program levels are governed by policies established by the Board of Regents and the faculty senate. As such, these actions require review and approval by appropriate faculty bodies as well as by the UWM administration. Approval of actions related to academic administrative structures are also governed by various policies of the Regents and faculty senate. This policy sets forth the reviews and approvals required at UWM and UW System for certain academic program and administrative actions.

III. Definitions

Degree: Award conferred on a student upon successful completion of a prescribed set of requirements including a course of study. Examples: Bachelor of Arts, Bachelor of Science, Master of Business Administration, Master of Architecture, Doctor of Philosophy.

Major: Academic discipline in which the student's course of study is focused/specialized. Typically, the major is housed in an academic department or equivalent. Examples: Africology, English, Mechanical Engineering, Nursing. When more than one department or equivalent is involved in offering the major, it is usually referred to as an interdisciplinary major. Examples: Religious Studies, Women's & Gender Studies.

Submajor: A prescribed set of courses that a student pursuing a degree in a major can take that complements a major, or emphasizes a specialty within a major. UWM definition of submajor includes terms such as minor, area of interest, specialization, area, concentration, emphasis, field, focus, option, sequence, and track.

Curricular area: Subject area of a course offering.

IV. Procedures

The necessary approvals for various actions are noted in pages 3 and 4 of this policy. It is expected that schools and colleges will follow their established internal processes prior to forwarding the proposed actions to the appropriate campus level body. It is to be noted that some of the actions may also require approval of the Higher Learning Commission (HLC), which is UWM's regional accrediting body, per prevailing HLC policies. Additionally, the procedures for approvals by the UW System and the Board of Regents are subject to System and Regent policies in effect. Individuals, programs, and departments should consult with the Provost's office for the current System, Regent, and HLC requirements for approvals.

V. Contact Information

Dev Venugopalan, Vice Provost, Academic Affairs, Chapman Hall 240, dv@uwm.edu

VI. Forms:

Forms, templates, and procedures for the various academic actions can be obtained from <http://uwm.edu/academicaffairs/facultystaff/academic-program/>

Academic Actions	Undergraduate Level									Graduate/Post-baccalaureate Level								
	Department or Equivalent	School or College ¹	Academic Planning and Budget Committee (APBC)	Academic Program & Curriculum Committee (APCC)	Faculty Senate	Provost	Chancellor	UW System	Board of Regents	Department or Equivalent	School or College ¹	Academic Planning and Budget Committee (APBC)	Graduate Faculty Committee (GFC)	Faculty Senate	Provost	Chancellor	UW System	Board of Regents
Pre-Authorization to plan new degree or major	Y	Y ²	I	I	I	Y	I	Y	N	Y	Y ²	I	I	I	Y	I	Y	N
Authorization to implement new degree or major	Y	Y ²	R	Y	Y	Y	I	Y	Y	Y	Y ²	R	Y	Y	Y	I	Y	Y
Establish submajor or certificate program	Y	Y ²	N	Y	N	Y	I	I	N	Y	Y ²	N	Y	N	Y	I	I	N
Establish cooperative program with another UWS unit	Y	Y	R	Y	Y	Y	I	Y	N	Y	Y	R	Y	Y	Y	I	Y	N
Establish an off-site offering on an existing degree or certificate program	Y	Y	R	I	N	Y	I	Y	N	Y	Y	R	I	N	Y	I	Y	N
Rename degree or major	Y	Y ²	N	Y	Y	Y	I	I	N	Y	Y ²	N	Y	Y	Y	I	I	N
Change in degree/major requirements, or rename or change submajor or certificate program requirements	Y	Y	N	Y	N	Y	I	I	N	Y	Y	N	Y	N	Y	I	I	N
Add, change or drop course	Y	Y	N	Y	N	N	N	N	N	Y	Y	N	Y	N	N	N	N	N
Drop degree or major	Y	Y	I	Y	Y	Y	Y	I	N	Y	Y	I	Y	Y	Y	Y	I	N
Drop submajor or certificate program	Y	Y	N	Y	N	Y	I	I	N	Y	Y	N	Y	N	Y	I	I	N
Add, change, or drop curricular area	Y	Y	N	Y	N	Y	N	I	N	Y	Y	N	Y	N	Y	N	I	N
Change affecting all programs (e.g. establishing new admission requirements)	N	N	N	Y	Y	Y	Y	I	I	N	N	N	Y	Y	Y	Y	I	I

Legend: Y: Approval required; N: Approval not required; I: Information only; R: Review and comment.

¹ School or college approval must involve approval of appropriate faculty bodies within the school/college.

Academic Actions	University Level									
	Department or Equivalent	School or College ³	Academic Planning and Budget Committee	Academic Program & Curriculum Committee	Graduate Faculty Committee	Faculty Senate	Provost	Chancellor	UW System	Board of Regents
Establish/eliminate school/college	N	N ⁴	R	I	I	Y	Y	Y	Y	Y
Rename school/college	N	Y ⁴	N	I	I	Y	Y	Y	Y	Y
Restructure school/college	N	N ⁴	R	I	I	Y	Y	Y	I	N
Establish/eliminate department	Y	Y ⁴	R	I	I	Y	Y	Y	I	N
Rename department	Y	Y ⁴	N	I	I	Y	Y	Y	I	N
Establish/eliminate center or institute	N	Y ⁴	R	N	N	I	Y	Y	I	N
Rename center or institute	N	Y ⁴	N	N	N	N	Y	Y	I	N

Legend: Y: Approval required; N: Approval not required; I: Information only; R: Review and comment.

² Academic Affairs will also circulate proposals to all other schools/colleges, with copies to the University Committee, and allow 14 days for response. Evidence of such solicitation and any responses must accompany submission of proposals to APCC or Graduate Faculty Committee and when appropriate the Faculty Senate.

³ School or college approval must involve approval of appropriate faculty bodies within the school/college.

⁴ Academic Affairs will also circulate proposals to all other schools/colleges, with copies to the University Committee, and allow 14 days for response.

APPENDIX A:

Structuring of a School, College or Academic Department Proposal Template

Template: Proposal to establish, substantially restructure, or eliminate a school/college or establish/eliminate a department (UWM PP 2.01(2) & PP 4.01(2))

Executive summary: In 250 words or less, provide a summary of the proposed restructuring; highlight the major features, justification & impact of the proposal.

I. Unit identification

- A. Title of school/college or department that is the object of proposed action
- B. Title and location of unit that is proposing the action

II. Nature of proposed action

- A. Establish new unit (impact on curricular codes)
- B. Substantially restructure unit
 - 1. Suspend portion of unit (nondepartmentalized; impact on curricular codes)
 - 2. Absorb into an existing unit (impact on curricular codes)
 - 3. Merge with another unit to create new unit, neither continues as is (impact on curricular code)
 - 4. Other
- C. Eliminate a unit entirely (impact on curricular code)
- D. Modification of departmental structure of unit (change between departmentalization and nondepartmentalization)

III. Timetable for proposed action

- A. Effective date
- B. Transitional period/plan
- C. Duration of change:
 - 1. action taken for a particular time frame; clear statement of steps to be taken when time frame has elapsed (continue in status as suspended, return to prior status)
 - 2. action in effect until further notice

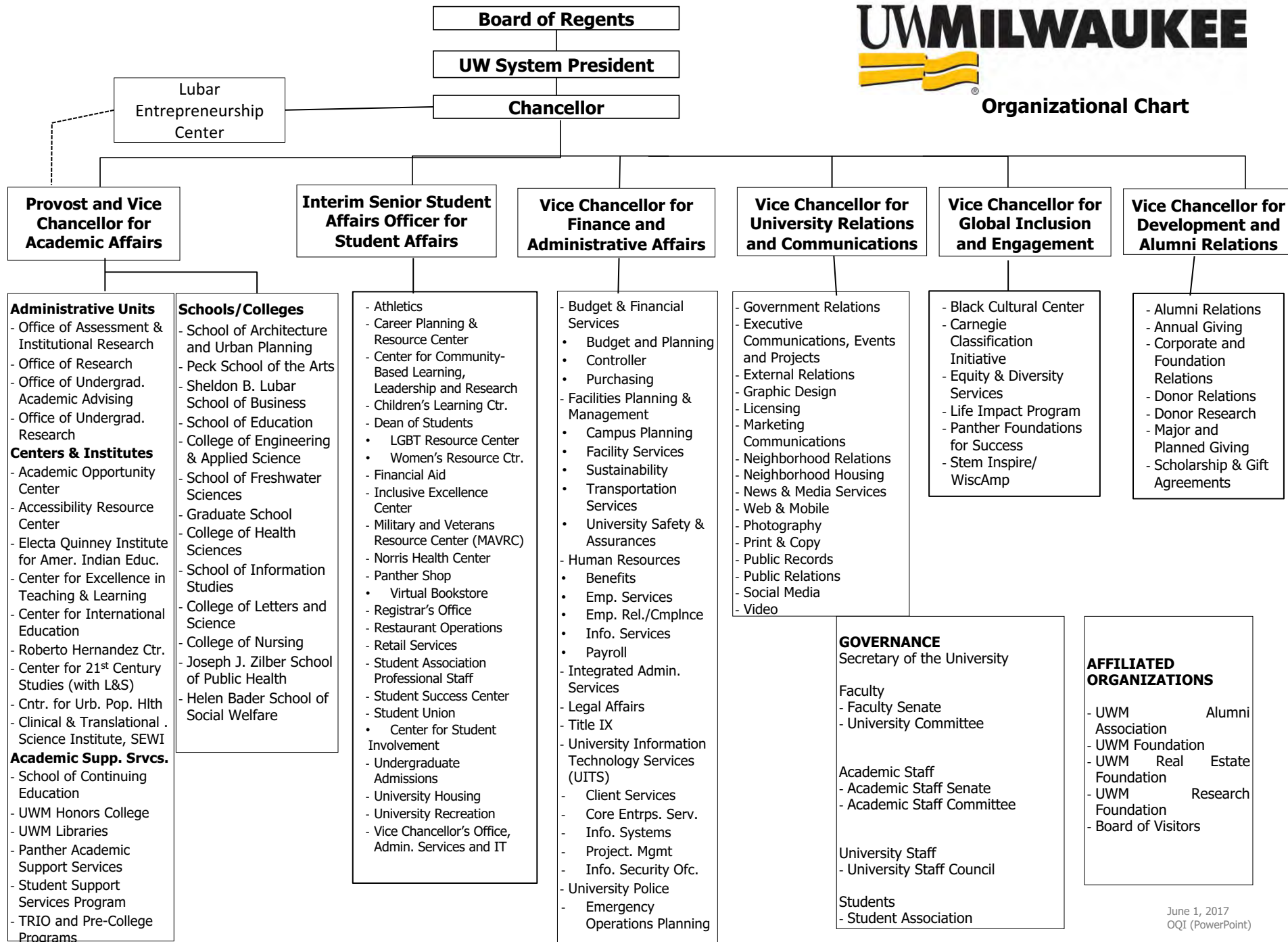
IV. Impact of proposed action on academic programs

- A. Programmatic impact of proposed action
 - 1. Impact of proposed action on unit's instructional programs: quality of certificate, minor, major, specialization, concentration, program by curricular code
 - 2. Impact of proposed action on scholarship, research, and creative activity in school/college, as it relates to campus mission and conception of urban doctoral research university
 - 3. Impact of proposed action on curricula in other programs, departments, and units
 - 4. Impact of proposed action on metro/regional, state, national/international programmatic needs, in light of existing programs and schools/colleges
 - 5. Other programmatic impact of proposed action (e.g., Advising, Outreach, Technology Utilization, Distance Education, Accreditation)
- B. Impact of proposed action on resource utilization in unit
 - 1. Current budget information for a unit and the financial impact of proposed action for first 2 years (e.g. Capital budget and resources, Operating budget (S/E), Reallocations: internal and external, Tuition/program revenue, extrainstructional budget, personnel budget)

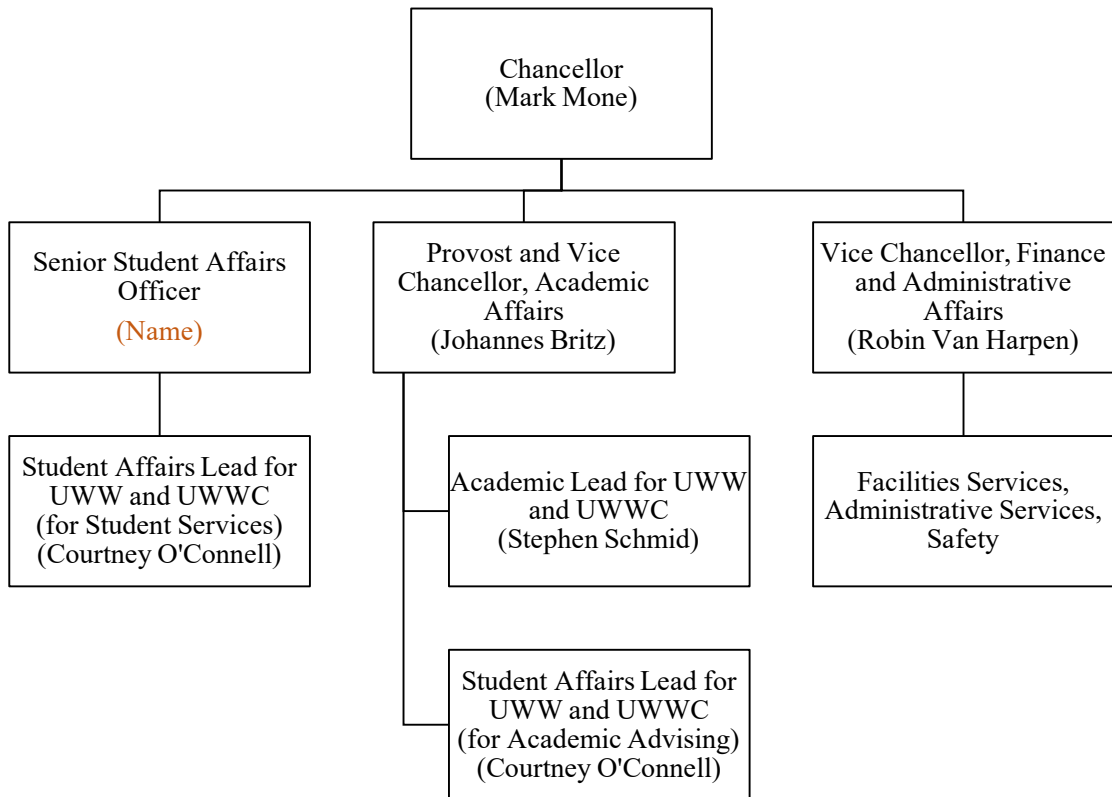
2. Impact of proposed action on utilization of space, facilities, and infrastructure (e.g., Space: ASF, offices, instructional, Space and facilities for scholarship, research, and creative activity, Clinical facilities, Study facilities, Other facilities, infrastructure, and supplies/equipment)
 3. Impact of proposed action on program support (e.g., Extramural research support, Other support for research, scholarly/creative activity)
 4. Other financial/resource impact of proposed action
- C. Impact of proposed action on personnel in unit
1. Impact of proposed action on staffing, workload, and position descriptions in unit
 2. What is the impact on existing staff (will they be moved, terminated, how will the change impact their workload?)
- D. Impact of proposed action on students
1. Impact on students within the unit (e.g., Overall SCH/enrollment, Students pursuing course of study in unit)
 2. Impact on students outside the unit (courses needed for other majors etc.)
 3. Plan for how students will matriculate after change (alternatives being offered and timeline for existing students to graduate)
- V. Plan for assessing proposed outcomes.
- VI. Path through campus approval matrix
- VII. New Bulletin Copy (provided by unit initiating action)
- VIII. Comments from faculty/staff/administration of school/college that is the object of proposed action

Appendix III

UWM Organizational Chart



UWM Organizational Chart for UWW and UWWC



Appendix IV

UWM and UWC Mission Statements

Mission of UW Colleges:

The University of Wisconsin Colleges is a multi-campus institution committed to high quality educational programs, preparing students for success at the baccalaureate level of education, providing the first two years of a liberal arts general education that is accessible and affordable, providing a single baccalaureate degree that meets local and individual needs, and advancing the Wisconsin Idea by bringing the resources of the University to the people of the state and the communities that provide and support its campuses.

Mission of UW-Milwaukee:

To fulfill its mission as a major urban doctoral university and to meet the diverse needs of Wisconsin's largest metropolitan area, the University of Wisconsin–Milwaukee must provide a wide array of degree programs, a balanced program of applied and basic research, and a faculty who are active in public service. Fulfilling this mission requires the pursuit of these mutually reinforcing academic goals:

- To develop and maintain high quality undergraduate, graduate and continuing education programs appropriate to a major urban doctoral university.
- To engage in a sustained research effort which will enhance and fulfill the University's role as a doctoral institution of academic and professional excellence.
- To continue development of a balanced array of high quality doctoral programs in basic disciplines and professional areas.
- To attract highly qualified students who demonstrate the potential for intellectual development, innovation, and leadership for their communities.
- To further academic and professional opportunities at all levels for women, minority, part-time, and financially or educationally disadvantaged students.
- To establish and maintain productive relationships with appropriate public and private organizations at the local, regional, state, national, and international levels.
- To promote public service and research efforts directed toward meeting the social, economic and cultural needs of the state of Wisconsin and its metropolitan areas.
- To encourage others from institutions in the University of Wisconsin System and from other educational institutions and agencies to seek benefit from the University's research and educational resources such as libraries, special collections, archives, museums, research facilities, and academic programs.
- To provide educational leadership in meeting future social, cultural, and technological challenges.

Appendix V

UWM Strategic Priorities

UW-Milwaukee
Strategic Opportunities Statement
April, 2017
Updated in July, 2017*

FOUNDATION AND PROCESS

UWM is a major research university, an important destination campus for undergraduate and graduate students, and serves as UW System's student access institution. **UWM is committed to meeting the needs of our region, the state of Wisconsin and beyond.** The Chancellor's Strategic Opportunities Work Group (CSOWG), **developed this statement of UWM's strategic opportunities**, building on our [established Mission, Vision, Guiding Values](#) and [strategic directions](#) of:

- Student success
- Research excellence
- Community engagement
- Culture and climate, and
- Brand, visibility and image

In light of the changing environment in higher education, UWM developed this **plan for future success as a premier urban research university**. Given unprecedented fiscal challenges, enrollment declines and shifts in the role and view of higher education, we acknowledge that previous actions and tactics will not lead to future success. We must **look forward and adapt**, and, in doing so, **define anew how UWM will achieve our mission, structure and overall direction**.

CSOWG included representatives from across campus and solicited wide campus input ([details here](#)). The process built on existing campus planning including the [UW-Milwaukee Strategic Plan 2020](#) document, plus recent recommendations from the [Campus Budget Task Force](#), [the Chancellor's Campus Organization & Effectiveness Team \(CCOET\)](#), [the Strategic Position Control process](#), the Student Success Work Group and others.

CSOWG's goal was to identify **areas in which UWM excels and what we aspire to be known for**, to establish a sustainable UWM that maintains and/or grows our [R1 standing](#), student success, community engagement, climate and culture, and brand, visibility and image. We will maintain our status as a complete university grounded in liberal arts and well-rounded, innovative education. Every school, college, and division has an important role, but we will be stronger with a focus on our strategic directions and resilient foundation. This statement will guide current and future investments and facilitate greater campus, community and legislative support, resulting in a stronger resource base and greater financial sustainability.

The following is UWM's Strategic Opportunities Statement.

*Please note that the revisions made in summer 2017 were provided by the Chancellor's Expanded Cabinet, including governance members, all of whom helped to create the original version. These minor revisions are primarily editorial and provide clarification and/or areas for further development.

UWM'S STRATEGIC OPPORTUNITIES AND ASPIRATIONS AS A PREMIER URBAN PUBLIC RESEARCH UNIVERSITY

Through collaborative discussions and with feedback obtained from the campus community, UWM has developed the following strategic opportunities, aspirations and key pathways:

- I. Be an outstanding learning environment that prepares all undergraduate and graduate students to live and work in the global 21st century through:**
 - A continuum of quality educational experiences within and beyond the classroom that instill deep, critical imaginative thinking and understanding, cultural fluency, leadership skills, and an entrepreneurial mindset.
 - Utilization of our urban setting, community partnerships and experiential learning opportunities.
 - Celebration of and support for our diverse student body.

- II. Be an exceptional research university known for:**
 - Excellence in research and creative arts;
 - Inter-disciplinary collaboration, including those in health, STEM and water fields; and
 - Research partnerships that contribute to and benefit from UWM's urban community.

- III. Be a leader in community engagement to improve the quality of life in our region, Wisconsin and the world, accomplished through:**
 - Undergraduate and graduate students, faculty and staff who are entrepreneurial and engage in the community;
 - Research that influences and enriches; and
 - Alumni who power the economy.

Foundational to all opportunities and aspirations is the practice to hire, develop, and retain diverse faculty and staff dedicated to teaching, mentoring, learning, and research, which will be measured through faculty/student ratios; teaching academic staff/student ratios; and the Demographic breakdown of faculty, teaching academic staff, non-teaching academic staff and university staff.

UWM'S KEY PATHWAYS TO AND METRICS FOR STRATEGIC OPPORTUNITIES AND ASPIRATIONS

I. Outstanding Learning Environment

- A. Strengthen the educational pipeline between UWM, high schools, technical schools, and 2-year colleges, and increase student retention and graduation.
 1. Admission, retention, and graduation rates of students by:
 - Level: Undergraduate, Master's, PhD, certificates;
 - Demographics: first generation, expected family contribution, race/ethnicity;
 - Institution type: Milwaukee Public Schools, UW Colleges, etc.; and
 - Other: flex, online, international, transfer, non-resident, and high school.
- B. Enhance our comprehensive student success network from admission through graduation.
 1. Total amount of scholarship funding available to students.
 2. Percentage of students participating in supplemental instruction, tutoring, writing support, and peer mentoring.
 3. Track grades in identified courses in which students earn grades of "D", "F", or Withdrawal.
 4. National Survey of Student Engagement benchmark data.
- C. Increase career planning, leadership development, and experiential learning opportunities.
 1. Total and percentage of students participating by school/college in work-based learning experiences such as for-credit internships, paid internships, off-campus independent study, co-ops, leadership development programs, and volunteer experiences.
 2. Total and percentage of students and faculty participating in service learning.
 3. Post-graduation employment data.
- D. Increase cross discipline, cultural, political, socioeconomic, and geographic dialogue, collaboration, and learning as it relates to student learning and leadership.
 1. Percentage of international students.
 2. Total number of students participating in study abroad.

II. Exceptional Research University

- A. Use campus-wide research priorities to guide decisions for supporting programs and investing in new initiatives.
- B. Adopt a team hiring strategy for some hires based upon multi-disciplinary, problem-based teams and built on existing research strengths.
 1. Initially target health, water and STEM but expand to other topical areas.

- C. Implement workload policies that accommodate varying levels of a faculty member's research and creative activity and provide accountability for faculty effort across research, teaching, and service activities.
- D. Support a research culture that values a wide breadth and diverse modes of research and creative activity.
- E. Phase in critical baseline investments over the next 2-3 years:
 - 1. Bring Teaching Assistant (TA) salaries to competitive levels;
 - 2. Provide a modest funding increase to restore some journal subscriptions; and
 - 3. Provide at least 50% of our graduating seniors with a meaningful research experience.
- F. Evaluate the structure of graduate programs to maximize research outcomes.
 - 1. Consider new research-based interdisciplinary graduate programs.
- G. Implement a more comprehensive university-wide system for tracking and assessing research and creative activities, and to guide investments.
 - 1. Total amount of research and public service expenditures
 - 2. Total number of awarded PhD degrees
 - 3. Total number of post-doc and RA appointments
 - 4. Total number of publications and creative works
 - 5. Total number of patents, licenses, and start-up companies.

III. Community Engagement Leader

- A. Strong, effective, and coordinated (e.g., potentially centralized) programs to:
 - Increase faculty and staff participation in service learning;
 - Increase undergraduate and graduate work experiences in alignment with regional opportunities; and
 - Increase faculty and staff engagement, internally and externally.
 - 1. Total and percentage of faculty/staff participating in service learning.
 - 2. See I.C.1.
 - 3. Total number of for-profit and non-for profit community partners.
 - 4. Public service expenditures per student FTE.
- B. Develop seamless connections with for-profit and not-for-profit organizations through:
 - Student internships/co-ops/work experiences.
 - Entrepreneurship.
 - Career services.
 - Executive education.
 - Guest speakers.
 - Sponsored research.
 - Philanthropic support.

1. See I.C.1.
 2. Total and percentage of students and faculty/staff involved in entrepreneurial programs.
 3. Total number of student career services placements.
 4. Total and percentage of executive education enrollee participants by school/college.
 5. Total and percentage of executive education faculty/staff involved by school/college.
 6. Total executive education revenue by school/college.
 7. Total of classroom speakers, lectures and other guest speaker campus events.
 8. Total number of research partnerships with for-profit and non-for-profit organizations.
 9. Total number of for-profit and not-for-profit organizations providing philanthropic support.
 10. Total amount of philanthropic support in categories of research, student scholarship and innovation/entrepreneurial capital campaign categories.
- C. Increase alumni programming that advances the community engagement mission.
1. Total number of participants in the Alumni Community Engagement (ACE) volunteer service program.
- D. Develop communication and marketing initiatives that inform the public of the powerful impact UWM's research, teaching and community service have on our communities and state.
1. Total number of earned media.
 2. Total fiscal value of earned media.

UW-Oshkosh Supporting Evidence

**Projected Number of Class Sections
by Campus & Academic Department
2018-2019 Academic Year**

<u>Academic Department</u>	<u>UW Oshkosh</u>	<u>UW Fond-du-Lac</u>	<u>UW-Fox Valley</u>	<u>TOTALS</u>
Art	139	6	12	157
Biology	332	18	45	395
Business Administration	560	7	14	581
Chemistry	185	17	34	236
Communication	158	18	27	203
Computer Science	60	8	11	79
Economics	81	6	7	94
Education	721			721
Engineering Technology	63			63
English	218	56	73	347
Foreign Languages	285	8	18	311
Geography	87	10	7	104
Geology	76	2	9	87
History	73	9	10	92
Human Services	92			92
Interdisciplinary Studies	185	0	1	186
International Studies	21			21
Journalism	78			78
Kinesiology	167			167
Liberal Studies	99			99
Mathematics	244	17	58	319
Medical Technology	34			34
Military Science	24			24
Music	621	22	25	668
Nursing	562			562
Philosophy	44	3	10	57
Physical Education	195	15	22	232
Physics/Astronomy	105	14	18	137
Political Science	73	3	6	82
Professional Counseling	51			51
Psychology	121	8	15	144
Public Affairs	108			108
Radio-TV-Film	62			62
Reading	53			53
Religious Studies/Anthropology	83	7	6	96
Social Work	55			55
Sociology	31	8	8	47
Special Education	613			613
Theatre	97			97
Women's & Gender Studies	22	1	2	25
Written Composition	161			161

TOTALS	7039	263	438	7740
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HIGHER LEARNING COMMISSION

230 South LaSalle Street, Suite 7-500
Chicago, IL 60604-1411
312.263.0456 | 800.621.7440
Fax: 312.263.7462 | hlcommission.org

November 20, 2017

Dr. Andrew Leavitt
Chancellor
University of Wisconsin-Oshkosh
800 Algoma Blvd.
Oshkosh, WI 54901-8622

Dear Chancellor Leavitt:

The Higher Learning Commission (HLC) reviewed your institution's financial data that was submitted during the 2017 Institutional Update. As a result of that review, HLC is concerned that your institution might be experiencing some financial difficulty as suggested by your low composite scores. The process used in making this determination is detailed below.

HLC annually collects a defined set of institutional financial indicators. For private institutions, HLC used the financial ratios required by the U.S. Department of Education (USDE); for public institutions, HLC relied on the financial ratios recommended in *Strategic Financial Analysis for Higher Education: Identifying, Measuring & Reporting Financial Risks (Seventh Edition)*, by KPMG LLP; Prager, Sealy & Co., LLC; Attain LLC. HLC's Financial Composite Index Evaluation Table is provided at the end of this letter.

According to our records, your institution's composite scores, which were reported from the June 2016 fiscal year, were "In the Zone" the past year, which does not require any additional review at this time. If the financial portion of your 2018 Institutional Update shows similar or declining composite scores, HLC may refer your institution to a Financial Panel for review. You will be notified in advance if such a review is scheduled.

To acknowledge receipt of this letter, please have your Chief Financial Officer send a signed letter either confirming the financial information that was reported to HLC, or a signed letter that requests modifications to the financial information submitted, with supporting documentation, if applicable, to indicators@hlcommission.org *no later than December 15, 2017*.

If you have any questions or comments, please feel free to contact Vince Coraci, Accreditation Processes Manager, vcoraci@hlcommission.org or Pat Newton-Curran, Associate Vice President for Accreditation Processes and Systems, pnewton@hlcommission.org.

Sincerely,

Higher Learning Commission

Financial Composite Index Evaluation Table			
	Private	Public	
Zones	Composite Index Range	Composite Index Range	Financial Panel Review
Above the Zone	1.5 to 3.0	1.1 to 10.0	No review
In the Zone	1.0 to 1.4	0 to 1.0	Review if flagged 2 or more consecutive years; request additional financial documents
Below the Zone	-1.0 to 0.9	-1.0 to -0.1	Review and request additional financial documents

Composite Financial Index (CFI) scores for the data submitted in the Institutional Update (IU):

Institution: University of Wisconsin-Oshkosh

2017 IU	2016 IU	2015 IU	2014 IU	2013 IU
-0.0	1.5	2.0	3.1	0.4

UNIVERSITY OF
WISCONSIN
OSHKOSH

VICE CHANCELLOR
ADMINISTRATIVE SERVICES
800 ALGOMA BLVD.
OSHKOSH, WI 54901-8614
PHONE (920) 424-3030
An Equal Opportunity/
Affirmative Action Institution
WEB adminservices.uwosh.edu

December 15, 2017

Mr. Vince Coraci
Accreditation Process Manager
Higher Learning Commission

Dear Mr. Coraci,

I am writing in response to the letter our Chancellor, Dr. Andrew Leavitt received from HLC, dated November 20, 2017. We are officially acknowledging receipt of that letter, however, some additional comments on this matter are also required.

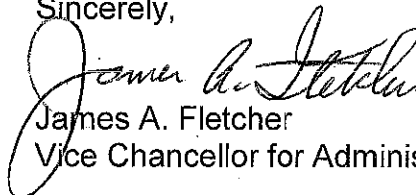
It is true that the last official submission on CFI data for our institution did register at -0.03, which you have graciously reflected in your letter as 0.0. However, in our dialog with System Accounting, we did get them to recognize that this number reflected an inappropriate accounting adjustment, which, when corrected, actually made our official CFI for FY 2016 a positive 0.42.

We still concluded that, even after this adjustment, our CFI was too low and needed to be improved. With that in mind, we developed an action plan, called our Financial Recovery Plan, that included further spending cuts and staffing controls designed to move us to a CFI position above 1.00 in three years. This was thoroughly reviewed internally, with faculty and staff, and with our senior System leadership, and is now in place.

I had the opportunity to speak with your CFO a few months ago to take him through the details of this plan. We discussed the key aspects of this plan and he advised me that the right approach to take was to send you folks a copy of the financial recovery plan at the time we received an official letter from you, stating our position and asking what plans we had to improve it. I don't know if this is the time at which that should be done, so please advise me if that is the case and I will gladly comply with that now.

Please let me know if you have any additional concerns.

Sincerely,



James A. Fletcher
Vice Chancellor for Administrative Services

Cc: Andrew Leavitt, Chancellor
John Koker, Vice Chancellor & Provost



Financial Administration

780 Regent Street, Suite 255
Madison, Wisconsin 53715
(608) 262-1313
(608) 262-5316 Fax

Email: finadmin@uwsa.edu
website: <https://www.wisconsin.edu/financial-administration/>

April 12, 2017

Higher Learning Commission
230 South LaSalle Street, Suite 7-500
Chicago, IL 60604-1411

To Whom It May Concern,

In my capacity as Interim Vice President for Finance and Chief Financial Officer of the University of Wisconsin (UW) System, I thought it would be helpful to explain the general financial framework in which UW-Oshkosh operates that affects its finances and history of financial ratios.

The past several State of Wisconsin biennial budgets enacted requirements that significantly impacted all institutions within the UW System. For example:

- The State's 2011-13 biennial budget reduced the UW System's base budget by \$250.0 million. Tuition increases only partially offset this reduction in state support by \$75.0 million. The UW System was required later in the biennium to lapse an additional \$19.6 million in fiscal year 2012-13.
- In the 2013-15 biennial budget, resident undergraduate tuition was frozen at the 2012-13 rates, and base funding was reduced by \$65.7 million. The UW System was also required to transfer \$58.3 million from its program revenue balances to the state agency that manages Wisconsin's higher education grant program, to replace general purpose revenue that typically funds the program.
- A further reduction of \$250.0 million was mandated in the 2015-17 biennial budget. Tuition was again frozen for both years of the biennium.

As you know, institutions of higher education require time to fully absorb reductions of this magnitude. Organizational structures, faculty appointments, and new programs or initiatives need to be considered and discussed in our shared governance environment. Institutional and System-wide program revenue balances are used as a "bridge" during this time to meet the budget demands.

Funds retained at the System level are for the benefit of all UW institutions. The System-wide accounts had a total program revenue balance of \$59.6 million at the end of fiscal year 2015-16 for two primary purposes. First, the UW System centrally pools and manages funds to ensure individual institutions have the necessary resources to cover expenses like fringe benefits, utilities, and veteran remissions. By doing so, an institution is not penalized for living in a geographical area with higher healthcare

costs, for having higher heating or cooling costs due to the weather, or for accepting veteran students.

Second, UW System Administration maintains a reserve balance that is not pledged or guaranteed to any one institution. These funds are instead intended to address extraordinary or adverse circumstances, such as large budgetary reductions, new initiatives, or at the discretion of the President. For example, UW-Oshkosh received funding of \$900,000 in fiscal year 2015-16 for its retention, progression and graduation initiative, and will continue to receive approximately \$286,000 in 2016-17, \$170,000 in 2017-18, and \$170,000 in 2018-19.

In addition, during the compilation of the UW System Annual Financial Report for fiscal year 2015-16, we discovered two unusual items that directly affect UW-Oshkosh's financial statements and related composite financial index:

1. ***Unallocated bond proceeds*** - Construction projects are managed by the State of Wisconsin Department of Administration (DOA). Academic facilities are funded through general purpose revenue-supported, general obligation bonds. DOA staff are responsible for ensuring that bond proceeds are allocated to projects after expenses are incurred.

During fiscal year 2015-16, DOA implemented a new accounting system and encountered significant issues during that implementation. As a result, DOA staff did not completely allocate all bond proceeds to projects with expenditures.

One major construction project with a large negative cash of \$4.7 million was UW-Oshkosh's Social Sciences/Nursing and Education building project with a budget of \$27.9 million. Total unallocated bond proceeds for UW-Oshkosh resulted in capital appropriations being understated by \$5.1 million in fiscal year 2015-16.

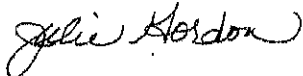
2. ***Over-capitalization of building/capital contributions*** - In fiscal year 2011-12, UW-Oshkosh partnered with its foundation, a legally separate entity, to build the new UW-Oshkosh Alumni Welcome and Conference Center (AWCC). In fiscal year 2013-14, UW-Oshkosh transferred program revenue balances to the foundation to help cover building costs. Upon completion, the foundation gifted the building to UW-Oshkosh at a value equal to the total construction cost. This resulted in the building's original cost and gifts (capital contributions) being overstated by \$4.6 million. The correcting entries were recording in the fiscal year 2015-16 financial statements.

The following table summarizes the impact of both of these items on the CFI calculation. The last column represents what the ratios would have been if all bond proceeds were recorded as capital appropriations and if the fiscal year 2013-14 error in the over-capitalization/capital contributions had not have been corrected in fiscal year 2015-16.

<u>Component</u>	Ratios based on Financial <u>Statements</u>	Ratios without <u>GASB 68</u>	Impact of Unallocated <u>Bond</u> <u>Proceeds</u>	Impact of <u>AWCC</u>	Adjusted Ratios without <u>GASB 68</u>
Primary Reserve	0.73	0.52	-0.06	-0.01	0.59
Net Operating Revenue	-0.40	-0.40	0.00	0.00	-0.40
Return on Net Assets	-0.61	-0.49	-0.18	-0.16	-0.15
Viability	<u>0.48</u>	<u>0.34</u>	<u>-0.04</u>	<u>0.00</u>	<u>0.38</u>
Composite Financial Indicator	<u>0.20</u>	<u>-0.03</u>	<u>-0.28</u>	<u>-0.17</u>	<u>0.42</u>

If you have any questions about this information or the UW System as a whole, I would be happy to address them.

Sincerely,

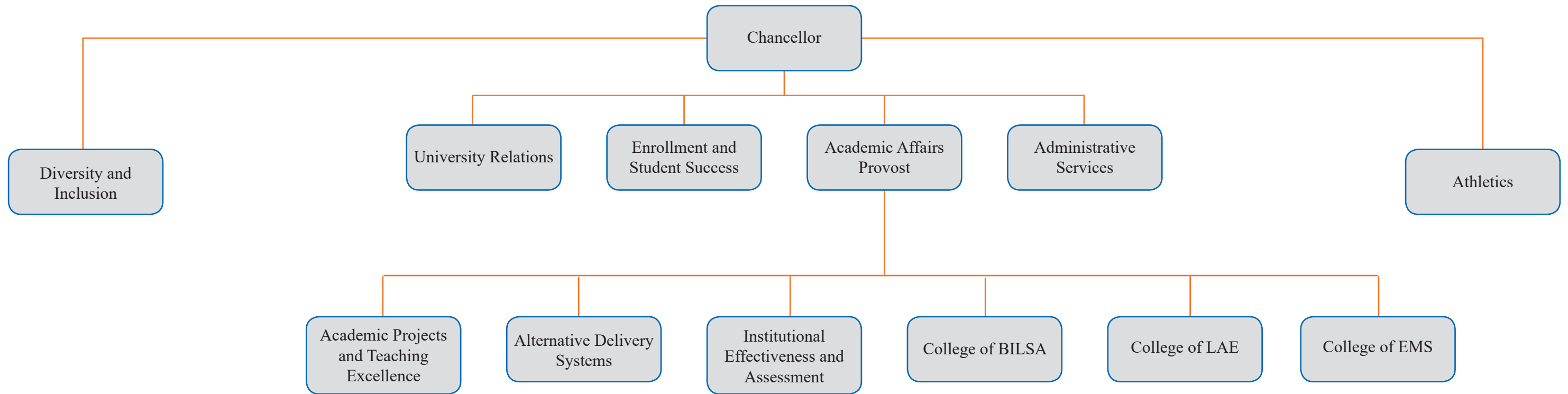


Julie Gordon
Interim Vice President for Finance
University of Wisconsin System

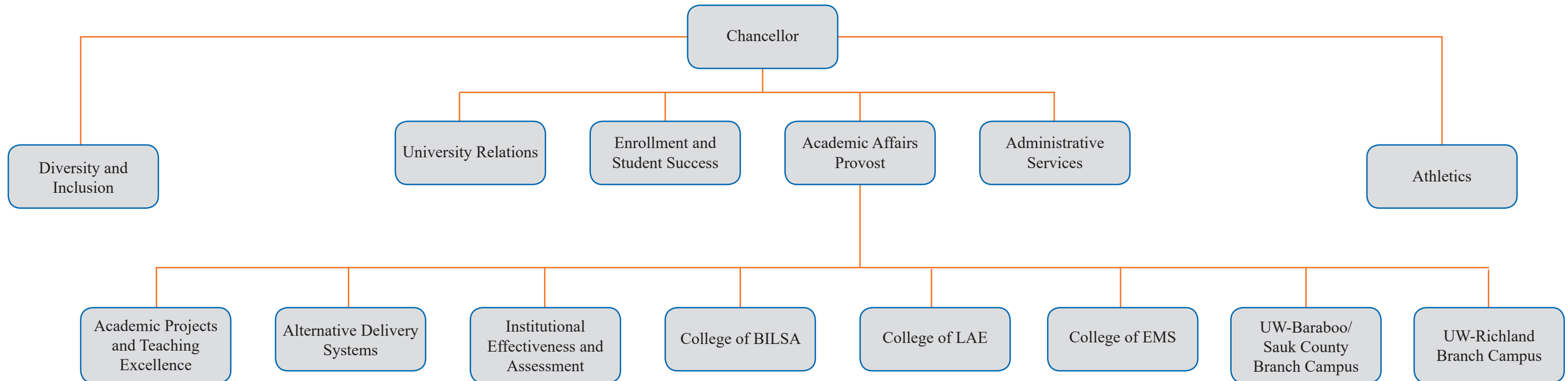
UW-Platteville Supporting Evidence



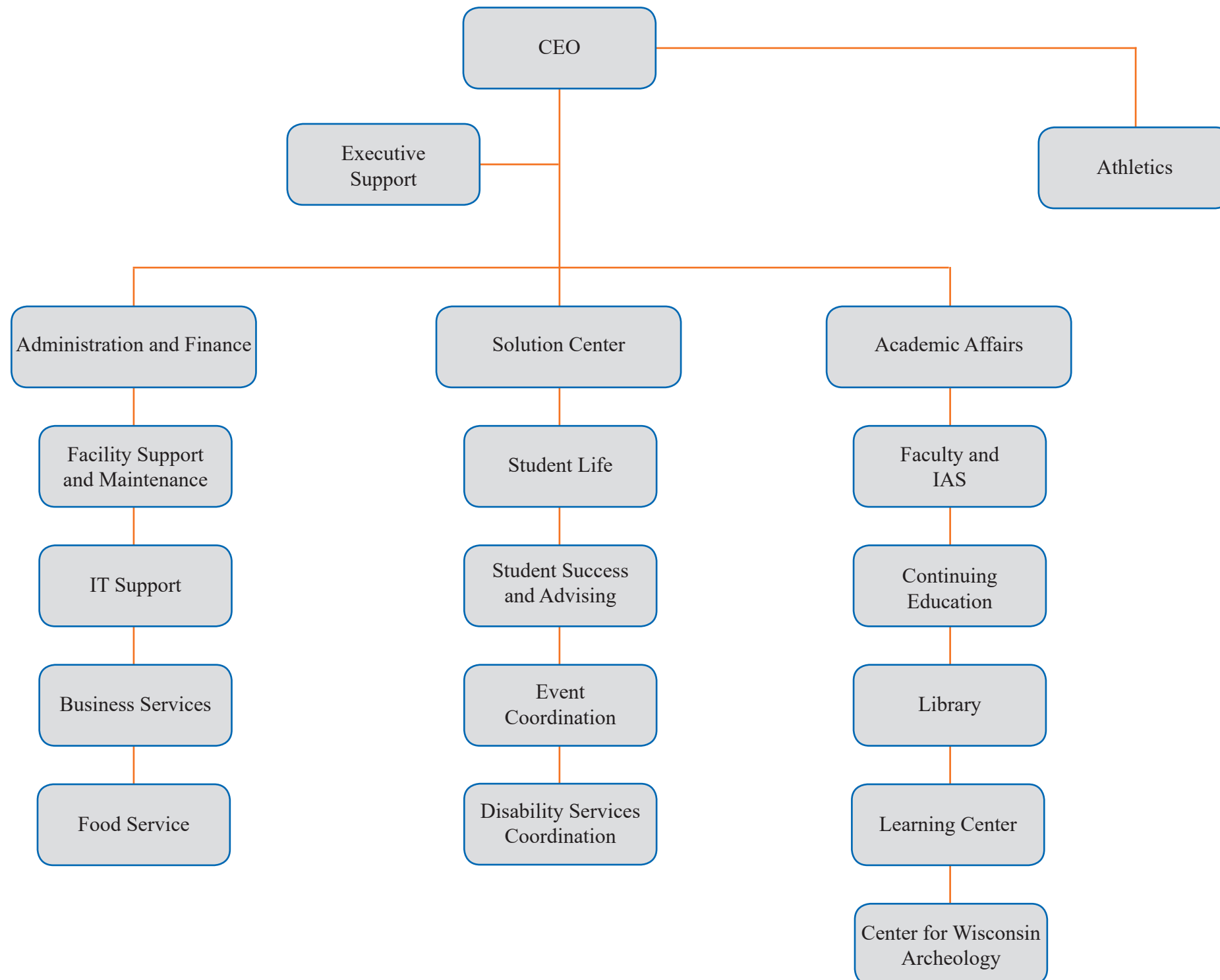
CURRENT STRUCTURE



PROPOSED STRUCTURE



UW-BARABOO/SAUK COUNTY PROPOSED STRUCTURE



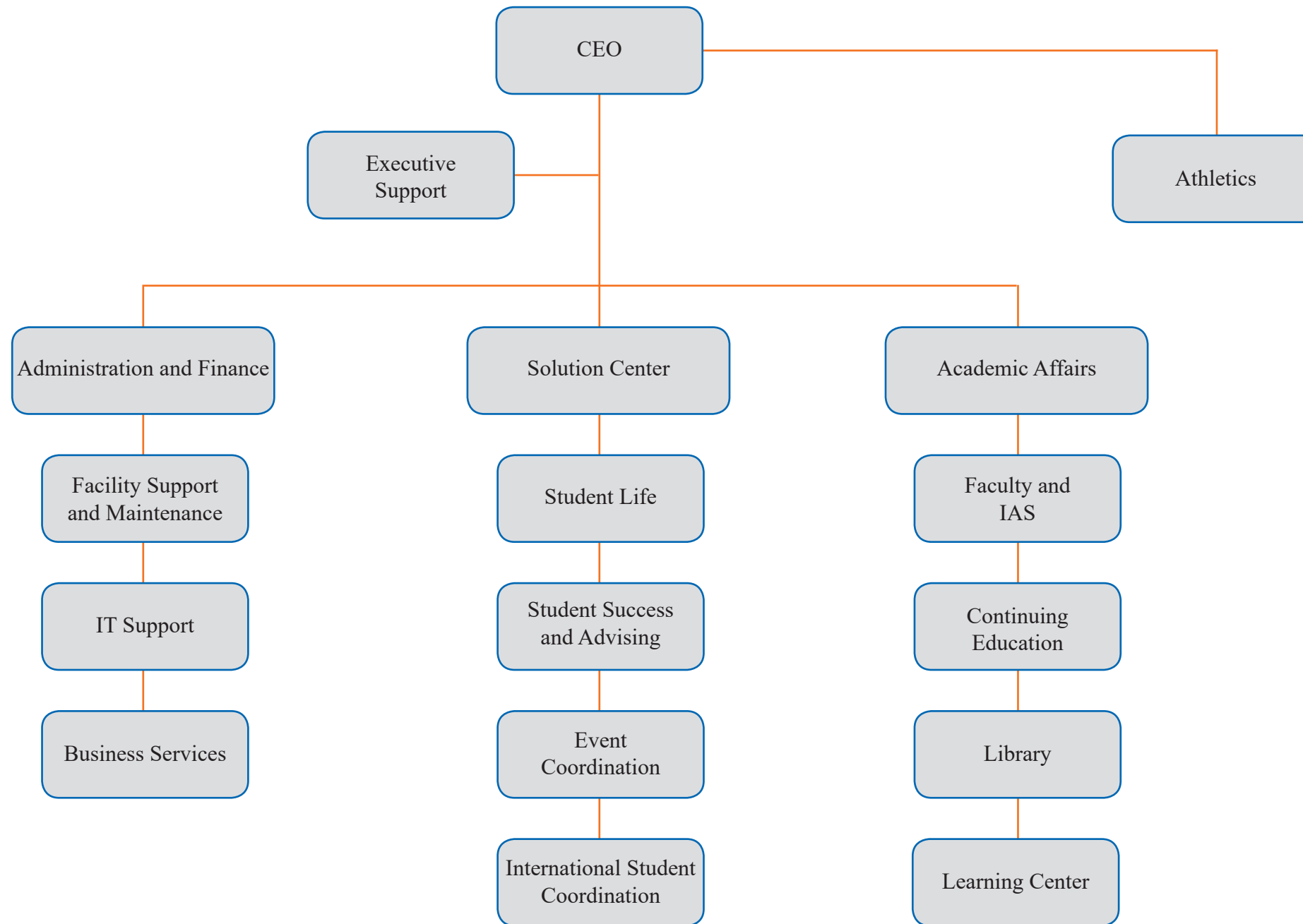
CURRENTLY CONTRACTED SERVICES WILL CONTINUE

- Bookstore
- Housing/Residence Life

SERVICES PROVIDED BY UW-PLATTEVILLE CAMPUS

- Communication
- Marketing
- Development
- IT
- Facility Planning and Oversight
- Business Services
- Human Resources
- Recruitment
- Student Services
 - Veterans Affairs
 - Financial Aid
 - Conduct
 - Disability Services

UW-RICHLAND PROPOSED STRUCTURE



CURRENTLY CONTRACTED SERVICES WILL CONTINUE UNTIL FURTHER EVALUATION

- Bookstore
- Food Service
- Housing/Residence Life

SERVICES PROVIDED BY UW-PLATTEVILLE CAMPUS

- Communication
- Marketing
- Development
- IT
- Facility Planning and Oversight
- Business Services
- Human Resources
- Recruitment
- Student Services
- Veterans Affairs
- Financial Aid
- Conduct
- Disability Services



WE PROMOTE EXCELLENCE BY USING A PERSONAL,
HANDS-ON APPROACH TO EMPOWER EACH STUDENT TO
BECOME BROADER IN PERSPECTIVE, INTELLECTUALLY MORE
ASTUTE, ETHICALLY MORE RESPONSIBLE, AND TO
CONTRIBUTE WISELY AS AN ACCOMPLISHED PROFESSIONAL AND
KNOWLEDGEABLE CITIZEN IN A DIVERSE GLOBAL COMMUNITY.





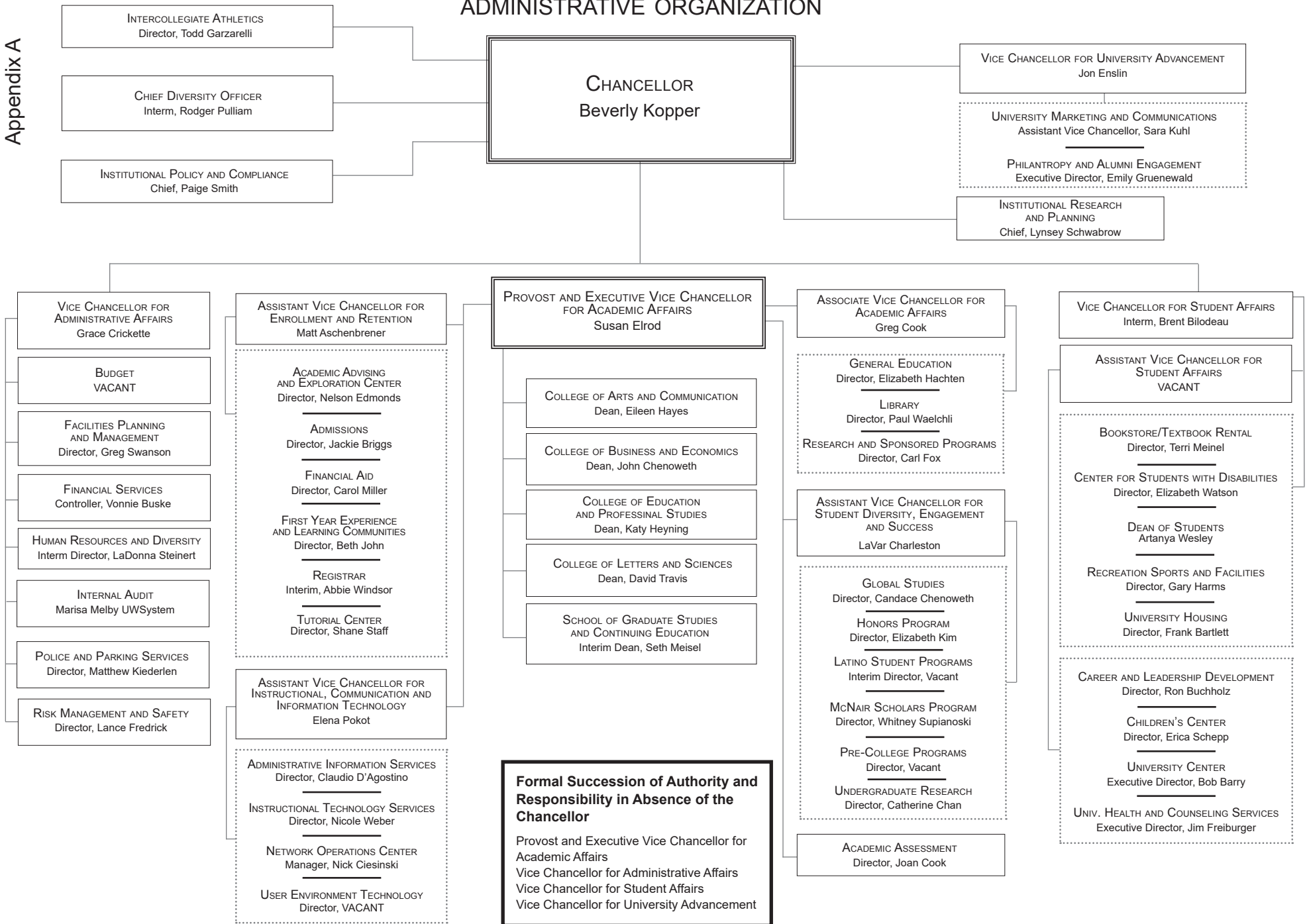
VISION STATEMENT

UW-PLATTEVILLE WILL BE RECOGNIZED AS THE
LEADING STUDENT-FOCUSED UNIVERSITY FOR ITS SUCCESS IN
ACHIEVING EXCELLENCE, CREATING OPPORTUNITIES,
AND EMPOWERING EACH INDIVIDUAL.



UW-Whitewater Supporting Evidence

ADMINISTRATIVE ORGANIZATION

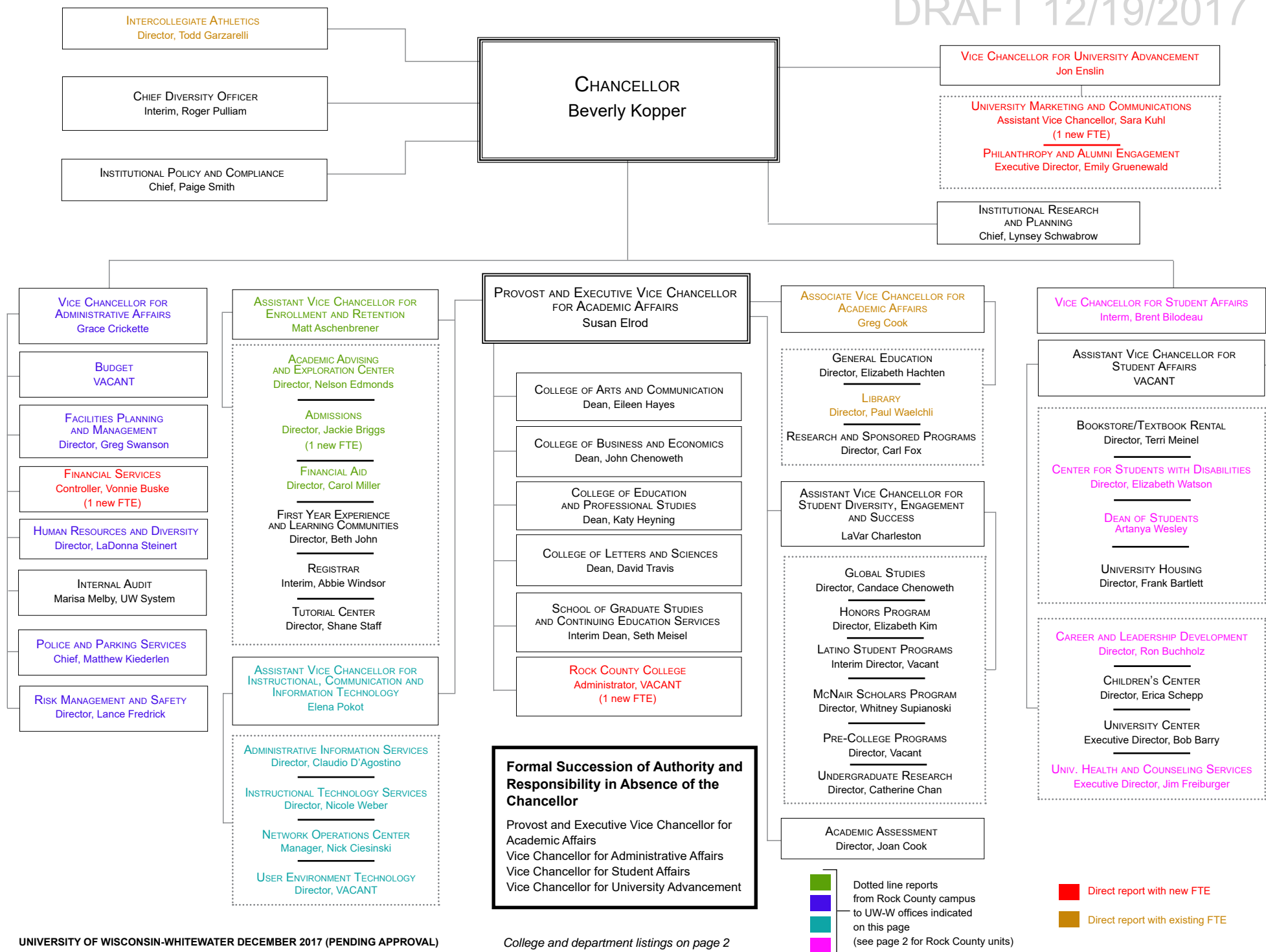


PROVOST AND EXECUTIVE VICE CHANCELLOR FOR ACADEMIC AFFAIRS
Susan Elrod

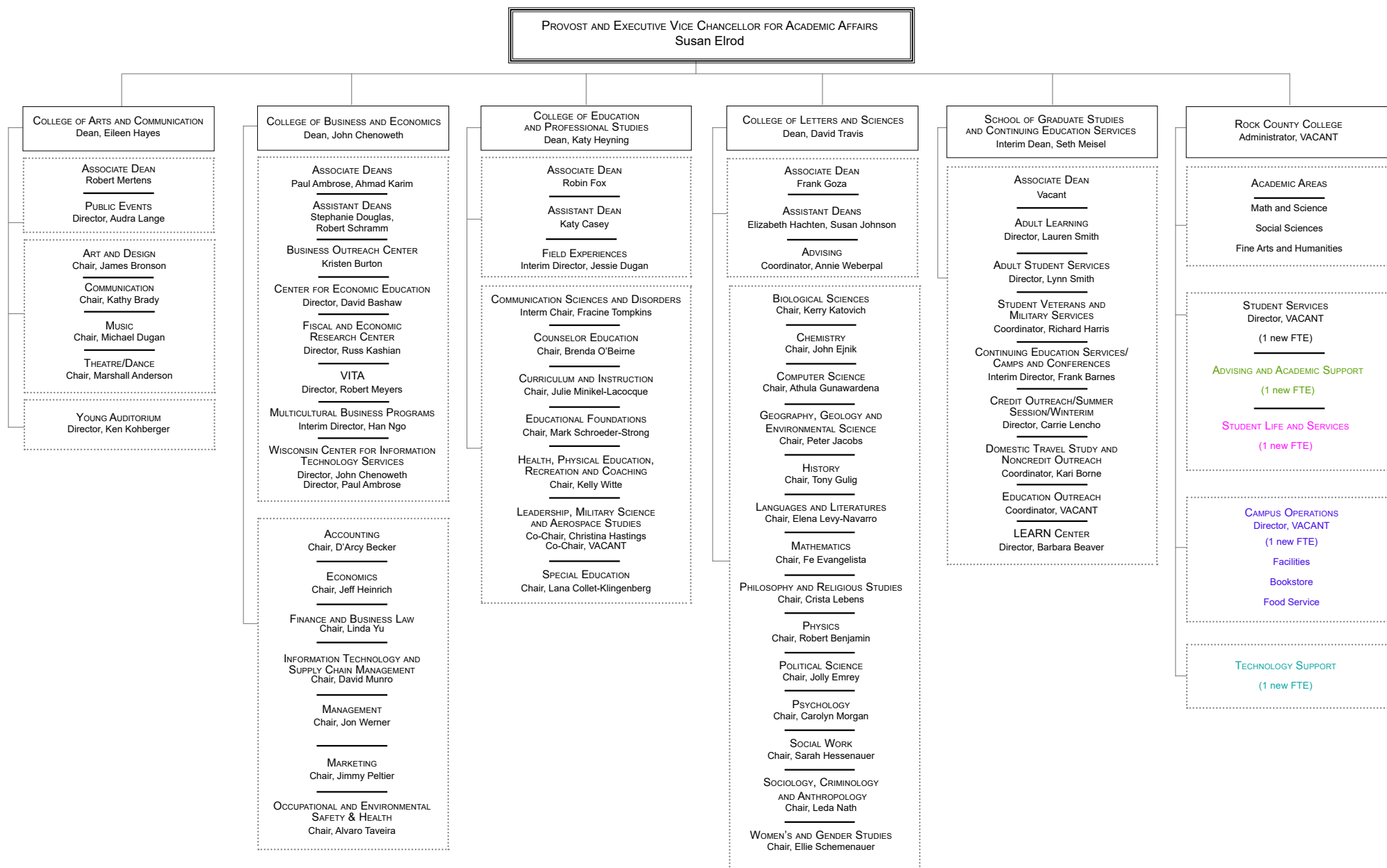


UW-WHITEWATER ADMINISTRATIVE ORGANIZATION WITH ROCK COUNTY CAMPUS

DRAFT 12/19/2017



UW-WHITEWATER ADMINISTRATIVE ORGANIZATION WITH ROCK COUNTY CAMPUS (PAGE 2)



DRAFT 12/19/2017

University of Wisconsin – Whitewater

Mission, Vision, Values

Mission

The University of Wisconsin-Whitewater is a preeminent academic institution driven by the pursuit of knowledge, powered by a spirit of innovation, and focused on transforming lives. As part of the University of Wisconsin System, UW-Whitewater embraces the Wisconsin Idea and is an economic and cultural driver of our region. We are a community with a deep appreciation for diversity and global perspectives. We are nationally and internationally recognized for the accomplishments of our students, faculty, staff and alumni. We inspire members of our community to make positive contributions to the State of Wisconsin, to our nation and to the world. Our academic programs span the disciplines, from the theoretical to the applied, and encompass study in the arts, business, education, humanities, natural sciences, social sciences, technology, professional, and interdisciplinary programs offered at the associate, bachelor, master, and doctoral levels. These programs prepare students to become lifelong learners who lead successful lives and productive careers. *Pending approval by the University of Wisconsin System Board of Regents*

Vision

The University of Wisconsin-Whitewater will be a national and international leader in providing transformational and empowering educational experiences.

Values

Collaboration

We invest in meaningful relationships that leverage our respective talents and strengthen the Warhawk family, and we champion the endeavors of our faculty, staff, students, and alumni.

Diversity and opportunity

We believe in the dignity of all individuals and we cultivate an accessible, inclusive, and equitable culture where everyone can pursue their passions and reach their potential in an intellectually stimulating and respectful environment.

Integrity

We embrace principles of honesty, fairness, and ethical standards to foster an environment of mutual trust.

Learning and academic excellence

We engage all members of the campus community in learning, research, scholarship, and

creative endeavors through powerful academic and co-curricular experiences in an environment that values academic freedom.

Service and social responsibility

We bring the knowledge and resources of the university into the communities we serve to solve problems, improve the quality of life, and create a more sustainable society.

Shared governance

We make decisions based on strategy, evidence, and transparent, collegial dialogue and we hold one another accountable.

APPENDIX H

Policies, Statutes, and Articles

Register April 2016 No. 724

Chapter UWS 6

COMPLAINTS AND GRIEVANCES

UWS 6.01 Complaints.

UWS 6.02 Grievances.

UWS 6.01 Complaints. The faculty of each institution, with the approval of the chancellor, shall establish rules and procedures to deal with allegations by the administration, students, academic staff members, other faculty members, university staff members, or members of the public concerning conduct by a faculty member which violates university rules or policies, or which adversely affects the faculty member's performance of his/her obligation to the university but which allegations are not serious enough to warrant dismissal proceedings under ch. UWS 4. Such rules and procedures shall include, but not necessarily be limited to, the following:

- (1) Review of and administrative action on the complaint by the chancellor. Administrative action may include dismissing the complaint, invoking an appropriate disciplinary action, or referring the complaint to the standing faculty committee created under sub. (2).
- (2) Provision for a hearing before a standing faculty committee selected by the faculty of each institution in such manner as they shall determine. Such hearing shall be held at the request of the chancellor or, if the chancellor invokes a disciplinary action, at the request of the faculty member concerned.
- (3) Guarantee of adequate due process to include, but not limited to, written notification of the complaint, fair and complete hearing procedures, written statement of findings, transmittal of findings to the faculty member involved and appropriate administrative officials within a reasonable period of time, and prohibition of further jeopardy for the same alleged misconduct after a final decision.
- (4) Delineation of the powers of the faculty committee to make recommendations to the chancellor concerning disciplinary action, to recommend dismissal of the complaint, or to recommend referral of the complaint to the appropriate department or administrative officer.
- (5) The decision by the chancellor on the recommendations of the committee, or on the complaint in the absence of committee recommendation, shall be final except that the board at its option might grant a review on the record.

History: Cr. Register, January, 1975, No. 229, eff. 2-1-75; **2015 Wis. Act 330: am. (intro.) Register April 2016 No. 724, eff. 5-1-16.**

UWS 6.02 Grievances. The faculty of each institution shall designate a committee or other appropriate faculty body to hear faculty grievances under rules and procedures established by the faculty of the institution in conjunction with the chancellor. The committee or faculty body shall have the power to conduct hearings and fact-finding related to the grievance and to recommend solutions to the grievance to the chancellor. If the committee or other body

makes recommendations to the chancellor, the chancellor shall act on the recommendations within 30 days. The decision by the chancellor on the recommendation of the committee, or on the grievance in the absence of committee recommendation, shall be final except that the board, upon petition of a grievant or the committee or other faculty body, may grant a review on the record.

History: Cr. Register, January, 1975, No. 229, eff. 2-1-75; am. Register, April, 1989, No. 400, eff. 5-1-89.

Menu » Administrative Rules Related » Administrative Code » Board of Regents of the University of Wisconsin System (UWS)
» Chapter UWS 6

Register June 2016 No. 726

Chapter UWS 7

DISMISSAL OF FACULTY IN SPECIAL CASES

UWS 7.01	Declaration of policy.
UWS 7.015	Definitions.
UWS 7.02	Serious criminal misconduct.
UWS 7.03	Dismissal for cause.
UWS 7.04	Reporting responsibility.
UWS 7.05	Expedited process.
UWS 7.06	Temporary suspension without pay.

UWS 7.01 Declaration of policy. University faculty members are responsible for advancing the university's missions of teaching, research and public service. The fulfillment of these missions requires public trust in the integrity of the institution and in all members of the university community. The university's effectiveness, credibility, and ability to maintain public trust are undermined by criminal activity that poses a substantial risk to the safety of others, that seriously impairs the university's ability to fulfill its missions, or that seriously impairs the faculty member's fitness or ability to fulfill his or her duties. Situations involving such serious criminal misconduct by faculty members must be addressed and resolved promptly to ensure that public trust is maintained and that the university is able to advance its missions. The Board of Regents therefore adopts the procedures in this chapter for identifying and responding to those instances in which a faculty member has engaged in serious criminal misconduct.

History: CR 06-078: cr. Register May 2007 No. 617, eff. 6-1-07; 2015 Wis. Act 330 s. 20: am. Register April 2016 No. 724, eff. 5-1-16.

UWS 7.015 Definitions.

- (1) "Clear and convincing evidence" means information that would persuade a reasonable person to have a firm belief that a proposition is more likely true than not true. It is a higher standard of proof than "preponderance of the evidence."
- (2) "Complainant" means any individual who is reported to have been subjected to sexual harassment, sexual assault, dating violence, domestic violence, or stalking as defined in s. UWS 4.015.
- (3) "Complaint" means an allegation against a faculty member reported to an appropriate university official.
- (4) "Consult" or "consulting" means thoroughly reviewing and discussing the relevant facts and discretionary issues.
- (5) "Preponderance of the evidence" means information that would persuade a reasonable person that a proposition is more probably true than not. It is a lower standard of proof than "clear and convincing evidence."

(6) "Serious criminal misconduct" is defined in s. UWS 7.02.

History: CR 15-061: cr. Register June 2016 No. 726, eff. 7-1-16; s. 35.17 correction in (2) Register June 2016 No. 726.

UWS 7.02 Serious criminal misconduct.

(1) In this chapter, "serious criminal misconduct" means:

(a) Pleading guilty or no contest to, or being convicted of a felony, in state or federal court, where one or more of the conditions in par. (b), (c), (d) or (e) are present, and the felony involves any of the following:

1. Causing serious physical injury to another person.
2. Creating a serious danger to the personal safety of another person.
3. Sexual assault.
4. Theft, fraud or embezzlement.
5. Criminal damage to property.
6. Stalking or harassment.

(b) A substantial risk to the safety of members of the university community or others is posed.

(c) The university's ability, or the ability of the faculty member's colleagues, to fulfill teaching, research or public service missions is seriously impaired.

(d) The faculty member's fitness or ability to fulfill the duties of his or her position is seriously impaired.

(e) The opportunity of students to learn, do research, or engage in public service is seriously impaired.

(2) Conduct, expressions, or beliefs which are constitutionally protected, or protected by the principles of academic freedom, shall not constitute serious criminal misconduct.

(3) Except as otherwise expressly provided, a faculty member who has engaged in serious criminal misconduct shall be subject to the procedures set forth in ss. UWS 7.03 to 7.06.

(4) Any act required or permitted by ss. UWS 7.03 to 7.06 to be done by the chancellor may be delegated to the provost or another designee pursuant to institutional policies approved by the Board of Regents under s. UWS 2.02.

History: CR 06-078: cr. Register May 2007 No. 617, eff. 6-1-07; 2015 Wis. Act 330 s. 20: am. (4) Register April 2016 No. 724, eff. 5-1-16.

UWS 7.03 Dismissal for cause.

(1) Any faculty member having tenure may be dismissed only by the board and only for just cause and only after due notice and hearing. Any faculty member having a probationary appointment may be dismissed prior to the end of his or her term of appointment only by the board and only for just cause and only after due notice and hearing.

(2) Just cause for dismissal includes, but is not limited to, serious criminal misconduct, as defined in s. UWS 7.02.

History: CR 06-078: cr. Register May 2007 No. 617, eff. 6-1-07.

UWS 7.04 Reporting responsibility. Any faculty member who is charged with, pleads guilty or no contest to, or is convicted of a felony of a type listed in s. UWS 7.02 (1) (a), in state or federal court, shall immediately report that fact to the chancellor.

History: CR 06-078: cr. Register May 2007 No. 617, eff. 6-1-07.

UWS 7.05 Expedited process.

(1) Whenever the chancellor of an institution within the University of Wisconsin System

receives a report under s. UWS 7.04 or other credible information that a faculty member has pleaded guilty or no contest to, or has been convicted of a felony of a type listed in s. UWS 7.02 (1) (a), in state or federal court, the chancellor shall:

- (a) Within 3 working days of receipt of the report or information, inform the faculty member of its receipt and, after consulting with appropriate institutional governance representatives, appoint an investigator to investigate the report or information and to advise the chancellor as to whether to proceed under this section or ch. UWS 4. In cases involving sexual assault, dating violence, domestic violence, or stalking, the complainant shall be notified by the chancellor of the receipt of the report or information at the same time as the faculty member.
 - (b) Upon appointing an investigator and notifying the faculty member, afford the faculty member 3 working days in which to request that the investigator be disqualified on grounds of lack of impartiality or other cause. In the event that the chancellor determines that a request for disqualification should be granted, the chancellor shall, within 2 working days of the determination, appoint a different investigator. The faculty member shall have the opportunity to request that any second or subsequent investigators be disqualified on grounds of lack of impartiality or other cause. In cases involving sexual assault, dating violence, domestic violence, or stalking, the complainant shall have the disqualification rights that are afforded to the faculty member in this subsection.
- (2) The investigator shall complete and file a report with the chancellor not later than 10 working days following the investigator's appointment.
- (3) Within 3 working days of receipt of the investigator's report, the chancellor shall consult with appropriate institutional governance representatives and decide whether to seek dismissal of the faculty member pursuant to this chapter, to seek dismissal of the faculty member pursuant to ch. UWS 4, to seek an alternative disciplinary sanction, or to discontinue the proceedings. The charges shall be served on the faculty member in the manner specified in s. UWS 4.02 (3).
 - (a) If the chancellor decides to seek dismissal of the faculty member pursuant to this chapter, the chancellor shall file charges within 2 working days of reaching the decision.
 - (b) If the chancellor decides to seek dismissal of the faculty member pursuant to ch. UWS 4, the chancellor shall file charges and proceed in accordance with the provisions of that chapter and implementing institutional policies. If, during the course of such proceedings under ch. UWS 4, the chancellor receives a report under s. UWS 7.04 or other credible information that the faculty member has pleaded guilty or no contest to or has been convicted of a felony of a type listed in s. UWS 7.02 (1) (a), and one or more of the conditions listed in s. UWS 7.02 (1) (b) through (e) are present, the chancellor may, at that point, elect to follow the procedures for dismissal pursuant to this chapter.
 - (c) If the chancellor decides to seek an alternative disciplinary sanction, the procedures under ch. UWS 6, and implementing institutional policies, shall be followed.
- (4) If charges seeking dismissal are filed under sub. (3) (a), the faculty member shall be afforded a hearing before the institutional standing committee charged with hearing dismissal cases and making recommendations under s. UWS 4.03. The hearing shall provide the procedural guarantees enumerated under ss. UWS 4.05 to 4.06, except that the hearing shall be concluded, and written findings and a recommendation to the chancellor shall be prepared, within 15 working days of the filing of charges.
- (5)
 - (a) Within 3 working days of receipt of the findings and recommendation of the committee under sub. (4), the chancellor shall prepare a written recommendation on the matter.
 - (b) If the recommendation is for dismissal, the chancellor shall transmit it to the board for review.
 - (c) Disciplinary action other than dismissal may be taken by the chancellor, whose decision

shall be final, unless the board at its option grants a review on the record at the request of the faculty member. The faculty member shall receive a copy of the chancellor's final decision. In cases involving sexual assault, dating violence, domestic violence, or stalking, the complainant shall receive a copy of the chancellor's final decision at the same time as the faculty member and shall have the same right to a review on the record as the faculty member.

- (6)** Upon receipt of the chancellor's recommendation, the full board shall review the record before the institutional hearing committee, and shall offer an opportunity for filing exceptions to the recommendation, and for oral argument. In cases involving sexual assault, dating violence, domestic violence, or stalking, the complainant shall have all the rights provided to the faculty member in this paragraph. The full board shall issue its decision on the matter within 15 working days of receipt of the chancellor's recommendation.

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Chapter UWS 8

UNCLASSIFIED STAFF CODE OF ETHICS

UWS 8.01	Declaration of policy.
UWS 8.02	Definitions.
UWS 8.025	Outside activities and interests; reports.
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UWS 8.035	Institutional ethics committee.
UWS 8.04	Action to avoid possible conflict.
UWS 8.05	Sanctions.
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UWS 8.01 Declaration of policy. In view of the special relationship of the University of Wisconsin System to the state and to affirm as public policy within the system certain common standards to prevent conflicts of interest, the board hereby adopts the following code of ethics for unclassified staff pursuant to ss. 19.45 (11) (b) and 36.23, Stats.

- (1)** Every member of the unclassified staff at the time of appointment makes a personal commitment to professional honesty and integrity, to seek knowledge and to share that knowledge freely with others. Such a commitment is essential for the university to perform its proper function in our society and to ensure continued confidence of the people of this state in the University of Wisconsin System and its personnel. It is a violation of this commitment for unclassified staff members to seek financial gain for themselves, their immediate families or organizations with which they are associated through activities that conflict with the interests of the University of Wisconsin System.
- (2)** The Board of Regents, as a matter of policy, recognizes that:
 - (a)** Members of the unclassified staff have personal and economic interests in the decisions and policies of national, state and local government.
 - (b)** Members of the unclassified staff retain their rights as citizens to interests of a personal or economic nature.
 - (c)** The code of ethics must distinguish between those minor and inconsequential conflicts which are unavoidable in a free society and those conflicts which are substantial and material.
- (3)** In adopting the standards of conduct set forth in this chapter, it is the board's purpose to prohibit only those activities which will result in a conflict between the personal interests of an unclassified staff member and that staff member's public responsibilities to the University of Wisconsin System. It is not the board's purpose to prohibit an unclassified staff member from freely pursuing those teaching, research, professional and public service activities which will not result in such a conflict, nor to prohibit a staff member from accepting any compensation, fees, honoraria or reimbursement of expenses which may be offered in connection therewith.

Note: Subsection (3) should be read in conjunction with new s. UWS 8.025 concerning outside activities. The approach reflects the view that the major inquiry in regard to the acceptability of outside activities is whether they may or do present conflicts with, or detract from performance of, university duties and responsibilities.

History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; r. (1) (a) 1. and 2. and (b) 4., renum. (1), (1) (a) (intro.) and (1) (b) 1., 2. and 3. to be (intro), (1) and (2) (a) to (c) and am., cr. (3), Register, January, 1986, No. 361, eff. 2-1-86; **2015 Wis. Act 330 s. 20: am. (intro.), (1), (2) (intro.), (3) Register April 2016 No. 724, eff. 5-1-16.**

UWS 8.02 Definitions. In this chapter:

- (1) "Academic staff" means professional and administrative personnel other than faculty with duties, and subject to types of appointments, that are primarily associated with higher education institutions or their administration.
- (2) "Anything of value" means any money or property, favor, service, payment, advance, forbearance, loan, or promise of future employment, but does not include:
 - (a) Any salary, expenses or other compensation received by a member of the unclassified staff from the university for his or her services;
 - (b) Any compensation, honoraria or expenses derived from outside activities permitted under this chapter;
 - (c) Political contributions which are reported under ch. 11, Stats.; or
 - (d) Hospitality extended for a purpose unrelated to university business.
- (3) "Associated," when used with reference to an organization, means that a person or a member of a person's immediate family is a director, officer or trustee or owns or controls, directly or indirectly, and severally or in the aggregate, at least 10% of the outstanding equity.
- (4) "Board" means the Board of Regents of the University of Wisconsin System.
- (5) "Chancellor" means the chief executive officer of an institution.
- (6) "Confidential university information" means information relating to university financial operations or personnel which is obtained from university records or in the course of official university business and which is not available to the general public upon request.
- (7) "Contracting personnel" means those persons who are designated in writing by the chancellor of an institution or the president of the system to negotiate, review, approve, or sign contracts for the purchase of goods and services on behalf of an institution, the university system, or the board. The term does not include persons who do either or both of the following:
 - (a) Contract only with outside agencies for research or for services to be performed by the university; or
 - (b) Negotiate, review, approve or sign only employment contracts.
- (8) "Faculty" means persons who hold the rank of professor, associate professor, assistant professor or instructor in an academic department or its functional equivalent in an institution.
- (9) "Immediate family" means:
 - (a) An unclassified staff member's spouse; and
 - (b) Any person who receives, directly or indirectly, more than one half of his or her support from an unclassified staff member or from whom an unclassified staff member receives, directly or indirectly, more than one half of his or her support.
- (10) "Institution" means any university or an organizational equivalent designated by the board.
- (11) "Limited appointees" means persons holding special appointments to administrative positions designated in s. 36.17, Stats., and ch. UWS 15, and who serve at the pleasure of

the board or of the authorized official making the appointment.

- (12) "Organization" means any corporation, partnership, proprietorship, firm, enterprise, franchise, association, trust or other legal entity other than an individual or body politic.
- (13) "President" means the president of the University of Wisconsin System.
- (14) "Secretary" means the secretary of the board.
- (15) "Unclassified staff" or "staff members" means faculty, academic staff and limited appointees of the University of Wisconsin System who are not subject to subch. III of ch. 19, Stats.
- (16) "Vice President" means system administration officials with the title "Vice President" or other administrative officers with similar duties.

History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; r. (1) (f), (i) and (j), renam. (1) (intro.), (1) (a) to (e), (g), and (h) to be (intro.), (4), (14), (13), (16), (5), (8) and (1) and am. (intro.), (5), (8) and (16), cr. (2), (3), (6), (7), (9) to (12) and (15), Register, January, 1986, No. 361, eff. 2-1-86; **2015 Wis. Act 330 ss. 8, 20: am. (4), (5), (13), (15) Register April 2016 No. 724, eff. 5-1-16.**

UWS 8.025 Outside activities and interests; reports.

- (1) **OUTSIDE ACTIVITIES.** Members of the unclassified staff are free to engage in outside activities, whether or not such activities are remunerative or related to staff members' fields of academic interest or specialization. However, no member of the unclassified staff may engage in an outside activity if it conflicts with his or her public responsibilities to the University of Wisconsin System or the institution at which the unclassified staff member is employed.
- (2) **REPORTABLE OUTSIDE ACTIVITIES.**
 - (a) The following outside activities must be reported to a staff member's dean, director or other appropriate administrator:
 - 1. Associations with organizations, as defined in s. UWS 8.02 (3) and (12), related to staff members' fields of academic interest or specialization;
 - 2. Private remunerative relationships between staff members and non-governmental sponsors of university research for which the staff member is a principal investigator; and
 - 3. Remunerative outside activities in a staff member's field of academic interest or specialization, including but not limited to consulting, and whether the staff member earns for such activities \$5,000 or more in a year from a single source.
 - (b) Each unclassified staff member engaging in outside activities reportable under this section shall annually, on or before April 30, file a report of outside activities with his or her dean, director or other appropriate administrator.
 - (c) If, during the year, significant changes in a staff member's reportable outside activities occur, the staff member shall immediately inform, in writing, his or her dean, director or other appropriate administrator. This information shall be placed on file with the staff member's annual statement of outside interests.
- (3) **INSTITUTIONAL POLICIES.** The unclassified staff members of each institution, with the approval of the chancellor, shall develop policies and procedures which shall, at a minimum, provide:
 - (a) Standards concerning the use of university facilities and personnel in connection with outside activities;
 - (b) Standards concerning absence from regular duties for the purpose of engaging in outside activities;

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Chapter UWS 14

STUDENT ACADEMIC DISCIPLINARY PROCEDURES

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UWS 14.16	Notice to students.
UWS 14.17	Notice to instructors.
UWS 14.18	Consistent institutional policies.

Note: See ch. UWS 17 for rules on student nonacademic disciplinary procedures.

UWS 14.01 Statement of principles. The Board of Regents, administrators, faculty, academic staff and students of the University of Wisconsin System believe that academic honesty and integrity are fundamental to the mission of higher education and of the University of Wisconsin System. The university has a responsibility to promote academic honesty and integrity and to develop procedures to deal effectively with instances of academic dishonesty. Students are responsible for the honest completion and representation of their work, for the appropriate citation of sources, and for respect of others' academic endeavors. Students who violate these standards must be confronted and must accept the consequences of their actions.

History: Cr. Register, February, 1989, No. 398, eff. 3-1-89; **2015 Wis. Act 330 s. 20: am. Register April 2016 No. 724, eff. 5-1-16.**

UWS 14.02 Definitions. In this chapter:

(1) "Academic misconduct" means an act described in s. UWS 14.03.

- (2) "Academic misconduct hearing committee" means the committee or hearing examiner appointed pursuant to s. UWS 14.15 to conduct hearings under s. UWS 14.08.
- (3) "Chancellor" means the chancellor or designee.
- (4) "Days" means calendar days.
- (5) "Disciplinary file" means the record maintained by the student affairs officer responsible for student discipline.
- (6) "Disciplinary probation" means a status in which a student may remain enrolled in the university only upon the condition that the student complies with specified standards of conduct for a specified period of time, not to exceed 2 semesters.
- (7) "Disciplinary sanction" means any action listed in s. UWS 14.04 taken in response to student academic misconduct.
- (8) "Expulsion" means termination of student status with resultant loss of all student rights and privileges.
- (9) "Hearing examiner" means an individual appointed by the chancellor in accordance with s. UWS 14.15 for the purpose of conducting a hearing under s. UWS 14.08.
- (10) "Institution" means any university or college, or organizational equivalent designated by the board.
- (11) "Instructor" means the faculty member or instructional academic staff member who has responsibility for the overall conduct of a course and ultimate responsibility for the assignment of the grade for the course.
- (12) "Investigating officer" means an individual, or his or her designee, appointed by the chancellor of each institution to carry out certain responsibilities in the course of investigations of academic misconduct under this chapter.
- (13) "Student" means any person who is registered for study in an institution for the academic period in which the misconduct occurred.
- (14) "Student affairs officer" means the dean of students or student affairs officer designated by the chancellor to carry out duties described in this chapter.
- (15) "Suspension" means a loss of student status for a specified length of time, not to exceed 2 years, with resultant loss of all student rights and privileges.

History: Cr. Register, February, 1989, No. 398, eff. 3-1-89; 2015 Wis. Act 330: am. (10) Register April 2016 No. 724, eff. 5-1-16.

UWS 14.03 Academic misconduct subject to disciplinary action.

- (1) Academic misconduct is an act in which a student:
 - (a) Seeks to claim credit for the work or efforts of another without authorization or citation;
 - (b) Uses unauthorized materials or fabricated data in any academic exercise;
 - (c) Forges or falsifies academic documents or records;
 - (d) Intentionally impedes or damages the academic work of others;
 - (e) Engages in conduct aimed at making false representation of a student's academic performance; or
 - (f) Assists other students in any of these acts.
- (2) Examples of academic misconduct include, but are not limited to: cheating on an examination; collaborating with others in work to be presented, contrary to the stated rules of the course; submitting a paper or assignment as one's own work when a part or all of the paper or assignment is the work of another; submitting a paper or assignment that contains ideas or research of others without appropriately identifying the sources of those ideas; stealing examinations or course materials; submitting, if contrary to the rules of a course, work previously presented in another course; tampering with the laboratory

experiment or computer program of another student; knowingly and intentionally assisting another student in any of the above, including assistance in an arrangement whereby any work, classroom performance, examination or other activity is submitted or performed by a person other than the student under whose name the work is submitted or performed.

History: Cr. Register, February, 1989, No. 398, eff. 3-1-89.

UWS 14.04 Disciplinary sanctions.

- (1)** The following are the disciplinary sanctions that may be imposed for academic misconduct in accordance with the procedures of s. UWS 14.05, 14.06 or 14.07:
- (a)** An oral reprimand;
 - (b)** A written reprimand presented only to the student;
 - (c)** An assignment to repeat the work, to be graded on its merits;
 - (d)** A lower or failing grade on the particular assignment or test;
 - (e)** A lower grade in the course;

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Chapter UWS 17

STUDENT NONACADEMIC DISCIPLINARY PROCEDURES

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UWS 17.16	Effect of discipline within the institution.
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UWS 17.18	Petition for restoration of rights after suspension or expulsion.
UWS 17.19	Emergency suspension.

Note: See ch. UWS 14 for student academic disciplinary procedures.

Note: Chapter UWS 17 as it existed on August 31, 1996 was repealed and a new chapter UWS 17 was created effective September 1, 1996. Chapter UWS 17 as it existed on August 31, 2009, was repealed and a new chapter UWS 17 was created effective September 1, 2009.

UWS 17.01 Policy statement. The missions of the University of Wisconsin System and its individual institutions can be realized only if the university's teaching, learning, research and service activities occur in living and learning environments that are safe and free from violence, harassment, fraud, theft, disruption and intimidation. In promoting such environments, the university has a responsibility to address student nonacademic misconduct; this responsibility is separate from and independent of any civil or criminal action resulting from a student's conduct. This chapter defines nonacademic misconduct, provides university procedures for effectively addressing misconduct, and offers educational responses to misconduct. The University of Wisconsin System is committed to respecting students' constitutional rights. Nothing in this chapter is intended to restrict students' constitutional rights, including rights of freedom of speech or to peaceably assemble with others.

History: CR 08-099: cr. Register August 2009 No. 644, eff. 9-1-09.

UWS 17.02 Definitions. In this chapter:

- (1)** "Chief administrative officer" means the chancellor of an institution or dean of a campus or their designees.
- (2)** "Clear and convincing evidence" means information that would persuade a reasonable person to have a firm belief that a proposition is more likely true than not true. It is a higher standard of proof than "preponderance of the evidence."
- (2m)** "Complainant" means any individual who is reported to have been subjected to sexual harassment, sexual assault, dating violence, domestic violence, or stalking, as defined in s. UWS 17.09.
- (3)** "Days" means calendar days.
- (4)** "Delivered" means sent by electronic means to the student's official university email address and, in addition, provided by any of the following methods:
 - (a)** Given personally.
 - (b)** Placed in the student's official university mailbox.
 - (c)** Mailed by regular first class United States mail to the student's current address as maintained by the institution.
- (5)** "Disciplinary file" means the record maintained by the student affairs officer responsible for student discipline.
- (6)** "Disciplinary probation" means a status in which a student may remain enrolled in the university only upon the condition that the student complies with specified standards of conduct or other requirements or restrictions on privileges, for a specified period of time, not to exceed two years.
- (7)** "Disciplinary sanction" means any action listed in s. UWS 17.10 (1) taken in response to student nonacademic misconduct.
- (8)** "Expulsion" means termination of student status with resultant loss of all student rights and privileges.
- (9)** "Hearing examiner" means an individual, other than the investigating officer, appointed by the chief administrative officer in accordance with s. UWS 17.06 (2) for the purpose of conducting a hearing under s. UWS 17.12.
- (10)** "Institution" means any university, or an organizational equivalent designated by the board, and the University of Wisconsin colleges.
- (11)** "Investigating officer" means an individual, or his or her designee, appointed by the chief administrative officer of each institution, to conduct investigations of nonacademic misconduct under this chapter.
- (12)** "Nonacademic misconduct hearing committee" or "committee" means the committee appointed pursuant to s. UWS 17.07 to conduct hearings under s. UWS 17.12.
- (13)** "Preponderance of the evidence" means information that would persuade a reasonable person that a proposition is more probably true than not true. It is a lower standard of proof than "clear and convincing evidence" and is the minimum standard for a finding of responsibility under this chapter.
- (13m)** "Respondent" means any student who is accused of violating any provision of this chapter, and was registered for study in an institution for the academic period, or between academic periods for continuing students, when the misconduct occurred.
- (14)** "Student" means any person who is registered for study in an institution for the academic period in which the misconduct occurred, or between academic periods, for continuing students.
- (15)** "Student affairs officer" means the dean of students or student affairs officer designated by the chief administrative officer to coordinate disciplinary hearings and carry out duties described in this chapter.

(16) "Suspension" means a loss of student status for a specified length of time, not to exceed two years, with resultant loss of all student rights and privileges.

(17) "University lands" means all real property owned by, leased by, or otherwise subject to the control of the Board of Regents of the University of Wisconsin System.

History: CR 08-099: cr. Register August 2009 No. 644, eff. 9-1-09; 2015 Wis. Act 330 s. 20: am. (17) Register April 2016 No. 724, eff. 5-1-16; **CR 15-060: cr. (2m), (13m) Register June 2016 No. 726, eff. 7-1-16; correction in (2m), (13m) under 13.92 (4) (b) 7., Stats., Register June 2016 No. 726.**

UWS 17.03 Consistent institutional policies. Each institution is authorized to adopt policies consistent with this chapter. A copy of such policies shall be filed with the Board of Regents and the University of Wisconsin System office of academic affairs.

History: CR 08-099: cr. Register August 2009 No. 644, eff. 9-1-09; 2015 Wis. Act 330 s. 20: am. Register April 2016 No. 724, eff. 5-1-16.

UWS 17.04 Notice to students. Each institution shall publish ch. UWS 17 on its website and shall make ch. UWS 17 and any institutional policies implementing ch. UWS 17 freely available to students through the website or other means.

History: CR 08-099: cr. Register August 2009 No. 644, eff. 9-1-09.

UWS 17.05 Designation of investigating officer. The chief administrative officer of each institution shall designate an investigating officer or officers for allegations of student nonacademic misconduct. The investigating officer shall investigate student nonacademic misconduct and initiate procedures for nonacademic misconduct under s. UWS 17.11. For allegations involving sexual assault, domestic violence, dating violence, stalking, or sexual harassment, the chief administrative officer shall involve the Title IX Coordinator, or designee, in accordance with applicable institutional policies.

History: CR 08-099: cr. Register August 2009 No. 644, eff. 9-1-09; **CR 15-060: am. Register June 2016 No. 726, eff. 7-1-16.**

UWS 17.06 Nonacademic misconduct hearing examiner.

- (1) The chief administrative officer of each institution, in consultation with faculty, academic staff, and student representatives, shall adopt policies providing for the designation of a student nonacademic misconduct hearing examiner to fulfill the responsibilities of the nonacademic misconduct hearing examiner in this chapter.

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Chapter UWS 18

CONDUCT ON UNIVERSITY LANDS

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UWS 18.15	Additional statutory penalty provisions regulating conduct on university lands.

UWS 18.01 Jurisdiction. These rules shall regulate conduct on all lands subject to the control of the Board of Regents of the University of Wisconsin System.

History: Cr. Register, March, 1976, No. 243, eff. 4-1-76; **2015 Wis. Act 330 s. 20: am. Register April 2016 No. 724, eff. 5-1-16.**

UWS 18.02 Definitions. For purposes of this chapter:

- (1) "Board of regents" or "board" means the Board of Regents of the University of Wisconsin System.
- (2) "Building" means any structure, including stadia, on university lands.
- (3) The "chief administrative officer" means the chancellor of an institution or dean of a campus or their designees.
- (4) "Discharge pollutants into storm sewers" means placing pollutants or water containing pollutants into any storm sewer on or serving university lands.
- (5) "Discharge pollutants to storm water" means placing pollutants onto university lands so that they are carried by storm water to waters of the state.
- (6) "Pollutants" has the meaning described in s. 283.01 (13), Stats.
- (7) "University lands" means all real property owned by, leased by, or otherwise subject to the control of the Board of Regents.

History: Cr. Register, March, 1976, No. 243, eff. 4-1-76; cr. (5) to (7), Register, September, 1996, No. 489,

UWS 18.03 Law enforcement.

- (1) The board may designate peace officers who are authorized to enforce these rules and regulations and to police all lands under the control of the board. These officers shall have all the powers provided in s. 36.11 (2), Stats., except where such powers are specifically limited or modified by the board. These officers may accept concurrent appointments as deputy sheriffs.
- (2) Uniformed peace officers shall be identified by an appropriate shield or badge bearing the word "Police" and a number or name plate, which shall be conspicuously worn when enforcing this chapter. Peace officers assigned to non-uniformed duties shall identify themselves with an appropriate badge or police identification card when enforcing this chapter.
- (3) Parking attendants are authorized to enforce the parking regulations in s. UWS 18.05.

History: Cr. Register, March, 1976, No. 243, eff. 4-1-76; am. (2), Register, November, 1991, No. 431, eff. 12-1-91; correction in (1) made under s. 13.93 (2m) (b) 7., Stats., Register, November, 1991, No. 431.

UWS 18.04 Traffic rules.

- (1) No person may operate any motor vehicle (self-propelled vehicle) on any roadway under the control of the board without a valid and current operator's license issued under ch. 343, Stats., except a person exempt under the provisions of s. 343.05, Stats.
- (2) No person may operate any motor vehicle on any roadway under the control of the regents unless the same has been properly registered as provided by ch. 341, Stats., unless exempt under the provisions of s. 341.05, Stats.
- (3) All provisions of ch. 346, Stats., entitled "Rules of the Road," which are applicable to highways as defined in s. 340.01 (22), Stats., and which are not in conflict with any specific provisions of these regulations, are hereby adopted for the regulation of all vehicular traffic, including bicycles, on all roadways, including those off-street areas designated as parking facilities, under the control of the board and are intended to apply with the same force and effect. All traffic shall obey the posted signs approved by the chief administrative officer regulating such traffic.
- (4) All provisions of ch. 347, Stats., entitled "Equipment of Vehicles" which are applicable to highways as defined in s. 340.01 (22), Stats., are hereby adopted for the regulation of all vehicular traffic on the roadways under the control of the board and are intended to apply with the same force and effect, except those provisions of ch. 347, Stats., which conflict with specific provisions of these regulations.
- (5) The chief administrative officer may require the registration of all student, faculty, or staff motor vehicles or bicycles on university lands under said officer's jurisdiction and may limit or prohibit their use in designated areas during designated hours. Any person who violates institutional regulations promulgated under this subsection may be fined up to \$25.

History: Cr. Register, March, 1976, No. 243, eff. 4-1-76; corrections made under s. 13.93 (2m) (b) 7., Stats., Register, November, 1991, No. 431; CR 08-099: am. (5) Register August 2009 No. 644, eff. 9-1-09.

UWS 18.05 Parking rules.

- (1) Parking is prohibited at all times on roads, drives and fire lanes traversing university lands, except that the chief administrative officer is authorized to establish parking areas, parking limits, and methods of parking on the lands under said officer's jurisdiction, and may designate parking areas for specific groups at specific times, providing such areas are properly posted as parking areas. Parking in university parking facilities may be restricted

or prohibited as required for reasons of maintenance and snow removal.

- (2) Except as provided in sub. (3), parking in university parking areas shall be prohibited during posted times to persons other than those specifically assigned to those areas. Motor vehicles so assigned to any parking areas shall be identified by a valid parking permit affixed to the vehicle in a manner prescribed by the chief administrative officer.
- (3)
 - (a) In order to provide parking in university parking facilities for patrons of public university events, motor vehicles may be permitted to park in facilities designated for this purpose by the chief administrative officer. Public events parking shall be for a limited time only, not exceeding 12 hours continuously, and appropriate fees may be established. Otherwise valid permits are voidable during this period.
 - (b) The chief administrative officer may establish visitor parking lots and set appropriate fees for parking in those lots.
 - (c) Unrestricted and unassigned parking areas for students, faculty, staff and visitors may be established by the chief administrative officer.
- (4)
 - (a) Parking shall be prohibited at all times in areas which must be kept clear for the passage of fire apparatus. These areas shall be designated by standard signs reading "Fire Zone, No Parking at Any Time, Day or Night" or "Fire Lane, No Parking at Any Time, Day or Night."
 - (b) Parking is prohibited at all times in areas which must be kept clear for vehicles to load and unload. These areas shall be designated by appropriate signs.
- (5) Motor vehicles parked in a restricted parking area without a valid permit or motor vehicles parked in a fire zone, fire lane, loading zone, or no parking zone, and unlicensed or partially dismantled motor vehicles may, at the owner's expense, be towed from the restricted parking areas and stored. Towed vehicles, if not claimed after notice to the owner, shall be considered abandoned and shall be disposed of as provided in s. 20.909 (1), Stats.
- (6) Any person who violates any of the provisions of this section may be fined up to \$200. Each institution shall establish a schedule of fines, which may include penalties for late payment.

History: Cr. Register, March, 1976, No. 243, eff. 4-1-76; am. (6), Register, November, 1991, No. 431, eff. 12-1-91; correction in (5) made under s. 13.93 (2m) (b) 7., Stats., Register, November, 1991, No. 431.

UWS 18.06 Protection of resources.

- (1) **PROHIBITED ACTS; LAND.** No person may remove any shrubs, vegetation, wood, timber, rocks, stone, earth, signs, fences, or other materials from university lands, unless authorized by the chief administrative officer.
- (2) **PROHIBITED ACTS; WILDLIFE.** No person may remove, destroy, or molest any bird, animal or fish life within the boundaries of university lands except as authorized by the chief administrative officer or except when this provision conflicts with a special order of the department of natural resources.
- (3) **PROHIBITED DUMPING; PROHIBITED DISCHARGES TO STORM WATER.**
 - (a) No person may dump or deposit any garbage, waste, hazardous material, rubbish, brush, earth or other debris or fill into any university dumpster or garbage receptacle or on any university lands unless authorized by the chief administrative officer.
 - (b) No person may discharge pollutants to storm water or storm sewers on or serving university lands, except where authorized by the chief administrative officer and in conformance with state law.

Note: Nothing in these rules precludes campus law enforcement officers from pursuing informal educational resolutions in lieu of prosecuting a citation in appropriate circumstances.

History: Cr. Register, March, 1976, No. 243, eff. 4-1-76; am. (13), cr. (16m), Register, December, 1986, No. 372, eff. 1-1-87; reprinted to restore dropped copy in (13), Register, February, 1987, No. 374; am. (5), (10), (22) (b) and (d), (27) and (28), cr. (10) (b) and (d), (12) (d) and (29) to (41), Register, November, 1991, No. 431, eff. 12-1-91; correction in (7) (c) made under s. 13.93 (2m) (b) 7., Stats., Register, November, 1991, No. 431; am. (1), Register, September, 1996, No. 489, eff. 10-1-96; corrections in (36) made under s. 13.93 (2m) (b) 7., Stats., Register, September, 1996, No. 489; am. (14), (38) and (41), r. and recr. (11), (34) and (35) and cr. (33) (d) to (f) and (42) to (50), Register, August, 1998, No. 512, eff. 9-1-98; correction in (36) made under s. 13.93 (2m) (b) 7., Stats., Register, April, 2001, No. 544; CR 08-099: am. (title), renum. (1) to (3) to be (3), (1) and (2) and am., renum. (4) to (11) and (13) to (50) to be UWS 18.07, 18.08, 18.09, 18.10, 18.11 and 18.12, r. (12) Register August 2009 No. 644, eff. 9-1-09.

UWS 18.07 Use of campus facilities.

- (1) ACCESS TO ROOFS, SERVICE TUNNELS, AND MAINTENANCE FACILITIES PROHIBITED.** No person may climb into, out of, or onto any university building, service tunnels or maintenance facilities, or walk or climb upon any university building or roof, except when emergency access to a fire escape is necessary, for required maintenance, or when authorized by the chief administrative officer.
- (2) CLOSING HOURS.**

 - (a)** Except as specifically provided in this code, the chief administrative officer may establish closing hours and closed periods for university lands, buildings, or portions thereof. These closing hours and closed periods shall be posted in at least one conspicuous place adjacent to or at the periphery of the area to be closed or, in the case of buildings, on the building.
 - (b)** No person, unless authorized to be present during closed periods, may enter or remain within the designated university lands, buildings, or portions thereof during a closed period established under this section.
 - (c)** For the purpose of par. (b), "person authorized to be present" means a person authorized to be present by an order issued pursuant to par. (a) or s. 36.35 (2), Stats.
 - (d)** No person, except those authorized to be present after the posted closing hour, may enter or remain in any university arboretum or picnic area unless traversing those areas or on park roads at the times the roads are open to the public.
- (3) LIMITED ENTRANCE.** The chief administrative officer may, by posting appropriate signs, limit or prohibit entrance to university lands, or portions thereof, in order to maintain or preserve an instruction or research area.
- (4) PICNICKING AND CAMPING.** No person may picnic or camp on university lands, except in those areas specifically designated as picnic or camping grounds, or as authorized by the chief administrative officer. No person may violate any rules and regulations for picnicking or camping established and posted by the chief administrative officer. For purposes of this subsection, camping shall include the pitching of tents or the overnight use of sleeping bags, blankets, makeshift shelters, motor homes, campers or camp trailers.
- (5) PROHIBITIONS ON BLOCKING ENTRANCES.** No person may intentionally physically block or restrict entrance to or exit from any university building or portion thereof with intent to deny to others their right of ingress to, egress from, or use of the building.
- (6) RESTRICTED USE OF STUDENT CENTERS OR UNIONS.** No person, except members of the student center or union, university faculty and staff, invited guests, and university-sponsored conference groups, may use student center or union buildings and grounds except on occasions when, and in those areas where, the buildings or grounds are open to the general public.
- (7) STRUCTURES.** No person may place or erect any facility or structure upon university lands unless authorized by the chief administrative officer.

History: CR 08-099: (1) to (7) renum. from UWS 18.06 (9), (7), (6), (14), (24), (20), (15) and am. (1), (2), (3), (6), cr. (title) Register August 2009 No. 644, eff. 9-1-09; correction to (title) made under s. 13.92 (4) (b) 2., Stats., Register August 2009 No. 644.

UWS 18.08 Personal conduct prohibitions.

(1) ANIMALS.

- (a) The presence of dogs, cats, and other pets is prohibited in all university buildings and in arboretums at all times except as authorized by the chief administrative officer. The chief administrative officer may also prohibit the presence of dogs, cats, and other pets on other designated university lands.

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CHAPTER 20

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SUBCHAPTER I

APPROPRIATION RATIONALE AND AMOUNTS

20.001 Definitions and abbreviations. In this chapter terms and abbreviations have the following meanings:

- (1) STATE AGENCY.** "State agency" means any office, department or independent agency in the executive branch of Wisconsin state government, the legislature and the courts.
- (2) REVENUE TYPES.**
 - (a) General purpose revenues.** "General purpose revenues" consist of general taxes, miscellaneous receipts and revenues collected by state agencies which are paid into a specific fund, lose their identity, and are then available for appropriation by the legislature. In this chapter, "general purpose revenues" refers to general purpose revenues in the general fund. General purpose revenues are identified by the abbreviation "GPR" in s. 20.005. They shall be deposited pursuant to s. 20.906.
 - (b) Program revenues.** "Program revenues" consist of revenues which are paid into the general fund and are credited by law to an appropriation to finance a specified program or state agency. In this chapter, "program revenues" refers to program revenues in the

general fund. Program revenues are identified by the abbreviation "PR" in s. 20.005. For any program revenue appropriation which is limited to the amounts in the schedule, no expenditures may be made exceeding the amounts in the schedule, except as provided in ss. 13.101 and 16.515, regardless of the amounts credited to that appropriation account. They shall be deposited pursuant to s. 20.906. Notwithstanding any other provision of this chapter, program revenues shall be used to reimburse the general fund for payments transferred under the appropriations made in s. 20.865 for the purposes of program revenue appropriations.

- (c) *Program revenues — service*. "Program revenues — service", indicated by the abbreviation "PR-S" in s. 20.005, consist of appropriated moneys in the general fund derived from any revenue source that are transferred between or within state agencies or miscellaneous appropriations. These moneys are shown as expenditures in the appropriation of the state agency or program from which the moneys are transferred and are also shown as program revenue in the appropriation of the agency or program to which the moneys are transferred. For any program revenue — service appropriation which is limited to the amounts in the schedule, no expenditure may be made exceeding the amounts in the schedule, except as provided in ss. 13.101 and 16.515, regardless of the amounts credited to the account from which the appropriation is made.
- (d) *Segregated fund revenues*. "Segregated fund revenues", indicated by the abbreviation "SEG" in s. 20.005 consist of revenues which, by law, are deposited into funds other than the general fund and are available for the purposes for which such funds are created. They shall be deposited pursuant to s. 20.906. Notwithstanding any other provision of this chapter segregated revenues shall be used to reimburse the appropriate funds for payments transferred under the appropriations made in s. 20.865 for the purposes of segregated revenue appropriations.
- (da) *Segregated fund revenues — service*. "Segregated fund revenues — service", indicated by the abbreviation "SEG-S" in s. 20.005, consist of appropriated moneys in a segregated fund derived from any revenue source that are transferred between or within state agencies or miscellaneous appropriations. These moneys are shown as expenditures in the appropriation of the state agency or program from which the moneys are transferred and also shown as segregated fund revenue in the appropriation of the agency or program to which the moneys are transferred.
- (dm) *Segregated fund revenues — local*. "Segregated fund revenues — local", indicated by the abbreviation "SEG-L" in s. 20.005, consist of revenues which are received from a local unit of government or other source for transportation purposes and are deposited in the transportation fund under s. 25.40 (1) (e).
- (e) *Federal revenues*. "Federal revenues" consist of moneys received from the federal government, except that under s. 20.437 (2) (md) "federal revenues" also include moneys treated as refunds of expenditures, and under s. 20.437 (2) (me) "federal revenues" consist only of moneys treated as received from the federal government. Federal revenues may be deposited as program revenues in the general fund or as segregated revenues in a segregated fund. In either case they are indicated in s. 20.005 by the addition of "-F" after the abbreviation assigned under pars. (b) and (d).
- (f) *Bond revenues*. "Bond revenues", indicated by the abbreviation "BR" in s. 20.005, consist of all moneys resulting from the contracting of public debt or revenue obligations in accordance with ch. 18.
- (3) **APPROPRIATION TYPES**. The following types of appropriations may be made from any of the revenue types listed above. When an appropriation varies from these basic types, it is identified as the type which most nearly fits that appropriation and the variation is specifically stated in ss. 20.115 to 20.875.
 - (a) *Annual appropriations*. Annual appropriations, indicated by the abbreviation "A" in s. 20.005, are appropriations which are expendable only up to the amount shown in the schedule and only for the fiscal year for which made. At the end of the fiscal year the

unencumbered balances shall revert to the fund from which appropriated unless the appropriation is a program revenue or program revenue — service appropriation and indicates the moneys are to be credited to the account for that appropriation, in which case all unencumbered balances shall be retained in that appropriation account. In ss. 20.115 to 20.875, all appropriations are annual unless otherwise indicated and the introductory phrase “annually” is used only when necessary to avoid confusion with other appropriation types.

- (b) *Biennial appropriations.* Biennial appropriations, indicated by the abbreviation “B” in s. 20.005, are appropriations which are expendable only for the biennium for which made. Dollar amounts shown in the schedule under s. 20.005 represent the most reliable estimates of the amounts which will be expended in each fiscal year, the total for both years being the biennial appropriation. For accounting purposes and for the administration of s. 20.002 (1), the appropriation for the first year of a biennium shall be the sum of the expenditures for such year plus the outstanding encumbrances at the close of such year; the unencumbered balance at the close of the first year shall constitute the appropriation for the 2nd year of the biennium. At the end of the biennium the unencumbered balances shall revert to the fund from which appropriated unless the appropriation is a program revenue or program revenue — service appropriation and indicates the moneys are to be credited to the account for that appropriation, in which case all unencumbered balances shall be retained in that appropriation account. Biennial appropriations are indicated in ss. 20.115 to 20.875 by the introductory phrase “biennially”.
- (c) *Continuing appropriations.* Continuing appropriations, indicated by the abbreviation “C” in s. 20.005, are appropriations which are expendable until fully depleted or repealed by subsequent action of the legislature. The amount of a sum certain continuing appropriation for a given fiscal year consists of the unencumbered balance in the appropriation account at the end of the previous fiscal year, if any, together with any moneys appropriated under s. 20.005 for that fiscal year. The amount of a continuing appropriation other than a sum certain appropriation consists of the unencumbered balance in the appropriation account at the end of the previous fiscal year, if any, together with any revenues received during the fiscal year that are directed by law to be credited to the appropriation account. Dollar amounts shown in the schedule under s. 20.005 for a continuing appropriation other than a sum certain appropriation represent the most reliable estimates of the amounts which will be expended during any fiscal year. Except as provided in ss. 20.002 (11) and 20.903 (2), expenditures made in accordance with ch. 16 under a continuing appropriation other than a sum certain appropriation are limited only by the available revenues from which the appropriation is made. Continuing appropriations are indicated in ss. 20.115 to 20.875 by the introductory phrase, “as a continuing appropriation,” “all moneys received from,” or “all moneys transferred from.”
- (d) *Sum sufficient appropriations.* Sum sufficient appropriations, indicated by the abbreviation “S” in s. 20.005, are appropriations which are expendable from the indicated source in the amounts necessary to accomplish the purpose specified. Dollar amounts shown under s. 20.005 represent the most reliable estimate of the amounts which will be needed. Sum sufficient appropriations are indicated in ss. 20.115 to 20.875 by the introductory phrase “a sum sufficient”.
- (e) *Capital improvement authorizations.* The appropriations in s. 20.866 (2) are authorizations to contract public debt in accordance with ch. 18. The amount of debt repaid under each authorization shall not be construed to represent new or additional authority even though the authority is not reduced by the amount of repayment. The limiting dollar amount contained in the language of any appropriation under s. 20.866 (2) is the cumulative total authorization carried over from previous biennia plus any new authorization contained in the schedule.

- (4) GENERAL PURPOSE REVENUE — EARNED. Revenue which is received by a state agency

incidentally in connection with general purpose revenue appropriations in the course of accomplishing program objectives, which is not designated as a refund of an expenditure by the secretary of administration under sub. (5) and for which no program revenue appropriation is made shall be designated as general purpose revenue (GPR) — earned. This revenue shall be treated as a nonappropriated receipt and is not available for expenditure.

(5) REFUNDS OF EXPENDITURES. Any amount not otherwise appropriated under this chapter that is received by a state agency as a result of an adjustment made to a previously recorded expenditure from a sum certain appropriation to that agency due to activities that are of a temporary nature or activities that could not be anticipated during budget development and which serves to reduce or eliminate the previously recorded expenditure in the same fiscal year in which the previously recorded expenditure was made, except as provided in ss. 20.435 (4) (gm) and 20.437 (2) (md), may, upon request of the agency, be designated by the secretary of administration as a refund of an expenditure. Except as otherwise provided in this subsection, the secretary of administration may designate an amount received by a state agency as a refund of an expenditure only if the agency submits to the secretary a written explanation of the circumstances under which the amount was received that includes a specific reference in a statutory or nonstatutory law to a function of the agency under which the amount was received and the appropriation from which the previously recorded expenditure was made. A refund of an expenditure shall be deposited by the receiving state agency in the appropriation account from which the previously recorded expenditure was made. Except as otherwise provided in this subsection, a state agency which proposes to make an expenditure from moneys designated as a refund of an expenditure shall submit to the secretary of administration a written explanation of the purpose of the expenditure, including a specific reference in a statutory or nonstatutory law to a function of the agency under which the expenditure is to be made and the appropriation from which the expenditure is to be made. After submission and approval of an estimate of the amount proposed to be expended under s. 16.50 (2), a state agency may expend the moneys received from the refund of the expenditure. The secretary of administration may waive submission of any explanation required by this subsection for categories of refunds of expenditures or proposed refunds of expenditures.

(6) APPLIED RECEIPTS.

(a) Except as provided in par. (b), applied receipts are program or segregated revenue the appropriation of which reduces the amounts appropriated under another appropriation. The reduction is indicated in the other appropriation by the phrase “less the amounts appropriated as applied receipts under”. Applied receipts shall be expended and deposited in the same manner as other program or segregated revenue.

(b) If the other appropriation under par. (a) is a sum sufficient appropriation, the reduction reduces the estimate under s. 20.005 of the dollar amounts that will be needed.

History: 1973 c. 333; 1977 c. 29, 418; 1979 c. 34; 1981 c. 20; 1983 a. 27, 538; 1985 a. 135 s. 85; 1985 a. 332 s. 253; 1987 a. 4; 1989 a. 31; 1993 a. 16; 1995 a. 27; 2001 a. 16; 2005 a. 25; 2007 a. 20; 2011 a. 32; 2013 a. 168 s. 21.

CHAPTER 36

UNIVERSITY OF WISCONSIN SYSTEM

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Cross-reference: See also UWS, Wis. adm. code.

36.01 Statement of purpose and mission.

- (1) The legislature finds it in the public interest to provide a system of higher education which enables students of all ages, backgrounds and levels of income to participate in the search for knowledge and individual development; which stresses undergraduate teaching as its main priority; which offers selected professional graduate and research programs with emphasis on state and national needs; which fosters diversity of educational opportunity; which promotes service to the public; which makes effective and efficient use of human and physical resources; which functions cooperatively with other educational institutions and systems; and which promotes internal coordination and the wisest possible use of resources.
- (2) The mission of the system is to develop human resources, to discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of its campuses and to serve and stimulate society by developing in students heightened intellectual, cultural and humane sensitivities, scientific, professional and technological expertise and a sense of purpose. Inherent in this broad mission are methods of instruction, research, extended training and public service designed to educate people and improve the human condition. Basic to every purpose of the system is the search for truth.

History: 1973 c. 335.

36.03 System. There is created in this state a system of institutions of learning to be known as the University of Wisconsin System. The principal office and one university of the system shall be located at or near the seat of state government.

History: 1973 c. 335.

36.05 Definitions. In this chapter:

- (1) "Academic staff" means professional and administrative personnel with duties, and subject to types of appointments, that are primarily associated with higher education institutions or their administration.
- (2) "Board of regents" or "board" means the board of regents of the University of Wisconsin System.
- (3) "Campus" means the publicly owned or leased buildings and grounds which comprise all or part of an institution or the extension.
- (5) "Chancellor" means the chief executive of an institution.
- (6m) "College campus" means any one of the 2-year collegiate campuses of the system.
- (7) "Extension" means the community outreach, public service and extension services of the system.

- (8) "Faculty" means persons who hold the rank of professor, associate professor, assistant professor or instructor in an academic department or its functional equivalent in an institution and such academic staff as may be designated by the chancellor and faculty of the institution.
- (9) "Institution" means any university or an organizational equivalent designated by the board and the University of Wisconsin colleges.
- (9m) "Instructional academic staff" means academic staff members with teaching responsibilities.
- (9s) "Mainframe" means a large scale, central computer maintained by the board for multipurpose functions.
- (10) "President" means the chief executive of the system.
- (11) "Student" means any person who is registered for study in any institution for the current academic period. For the purpose of administering particular programs or functions involving students, the board shall promulgate rules defining continuation or termination of student status during periods between academic periods.
- (12) "System" means the University of Wisconsin System.
- (13) "University" means any baccalaureate or graduate degree granting institution.
- (14) "University of Wisconsin Colleges" means the college campuses as a whole.
- (15) "University staff" means all employees of the system other than faculty, academic staff, persons whose employment is a necessary part of their training, student assistants, and student hourly help.

History: 1973 c. 335; 1985 a. 332 s. 251 (3); 1989 a. 31, 67; 1991 a. 39; 1995 a. 27; 1997 a. 237; 2015 a. 55, 199.

36.07 Corporate title, officers, meetings, records.

- (1) CORPORATE STATUS AND TITLE. The board and their successors in office shall constitute a body corporate by the name of "Board of Regents of the University of Wisconsin System".
- (2) SECRETARY. The board shall appoint a secretary of the board who shall keep a faithful record of all its transactions.
- (4) MEETINGS, TIMES, NOTICE. The times for holding the regular annual meeting and such other meetings as are required, and the manner of providing notice for such meetings, shall be determined by the board's bylaws.
- (5) ACCESS TO THE BOARD. The board shall provide in its operating policies for access to the board by the public, faculty, students and chancellors.
- (6) MEETINGS AND RECORDS PUBLIC. The board meetings shall be open and all records of such meetings and of all proceedings of the board shall be open to inspection in accordance with subchs. II and V of ch. 19.

History: 1973 c. 335; 1975 c. 426 s. 3; 1981 c. 335 s. 26; 1991 a. 39; 2015 a. 55.

36.09 Responsibilities.

- (1) THE BOARD OF REGENTS.
 - (a) The primary responsibility for governance of the system shall be vested in the board which shall enact policies and promulgate rules for governing the system, plan for the future needs of the state for university education, ensure the diversity of quality undergraduate programs while preserving the strength of the state's graduate training and research centers and promote the widest degree of institutional autonomy within the controlling limits of system-wide policies and priorities established by the board.

Cross-reference: See also UWS, Wis. adm. code.

- (am) The board, in consultation with the Wisconsin Economic Development Corporation,

shall do all of the following for each economic development program, as defined in s. 36.11 (29r) (a), administered by the board:

1. Establish clear and measurable goals for the program that are tied to statutory policy objectives.
 2. Establish at least one quantifiable benchmark for each program goal described in subd. 1.
 3. Require that each recipient of a grant or loan under the program submit a report to the board. Each contract with a recipient of a grant or loan under the program shall specify the frequency and format of the report to be submitted to the board and the performance measures to be included in the report.
 4. Establish a method for evaluating the projected results of the program with actual outcomes as determined by evaluating the information described in subds. 1. and 2.
 5. Annually and independently verify, from a sample of grants and loans, the accuracy of the information required to be reported under subd. 3.
 6. Establish by rule a requirement that the recipient of a grant or loan under the program of at least \$100,000 submit to the board a verified statement signed by both an independent certified public accountant licensed or certified under ch. 442 and the director or principal officer of the recipient to attest to the accuracy of the verified statement, and make available for inspection the documents supporting the verified statement. The board shall include the requirement established by rule under this subdivision in the contract entered into by a grant or loan recipient.
 7. Establish by rule policies and procedures permitting the board to do all of the following if a recipient of a grant or loan or tax benefits under the program submits false or misleading information to the board or fails to comply with the terms of a contract entered into with the board under the program and fails to provide to the satisfaction of the board an explanation for the noncompliance:
 - a. Recoup payments made to the recipient.
 - b. Withhold payments to be made to the recipient.
 - c. Impose a forfeiture on the recipient.
- (b) The board, after public hearing at each institution, shall establish for each institution a mission statement delineating specific program responsibilities and types of degrees to be granted.
- (c) The board shall determine the educational programs to be offered in the system and may discontinue educational programs as it deems necessary.
- (d) The board shall establish policies to guide program activities to ensure that they will be compatible with the missions of the institutions of the system. To this end, the board shall make all reasonable effort to provide night courses.
- (e) Subject to par. (em), the board shall appoint a president of the system; a chancellor for each institution; a dean for each college campus; the state geologist; the director of the laboratory of hygiene; the director of the psychiatric institute; the state cartographer; and the requisite number of officers, other than the vice presidents, associate vice presidents, and assistant vice presidents of the system; faculty; academic staff; and other employees and fix the salaries, subject to the limitations under par. (j) and s. 230.12 (3) (e), the duties and the term of office for each. The board shall fix the salaries, subject to the limitations under par. (j) and s. 230.12 (3) (e), and the duties for each chancellor, vice president, associate vice president, and assistant vice president of the system. No sectarian or partisan tests or any tests based upon race, religion, national origin, or sex shall ever be allowed or exercised in the appointment of the employees of the system.
- (em) Neither the board nor any institution may adopt any policy or promulgate any rule that requires the board to consider for appointment as president of the system, chancellor, or vice chancellor only those individuals who are faculty members of the system or

another institution of higher education, who have been granted tenure within the system or another institution of higher education, or who hold the highest level of academic degree in a field of study or profession.

- (f) The board shall delegate to each chancellor the necessary authority for the administration and operation of the institution within the policies and guidelines established by the board. The board may also delegate or rescind other authority to chancellors, committees of the board, administrative officers, members of the faculty and students or such other groups as it deems appropriate.
- (gm) The board shall not create, except as specifically authorized by the legislature in each instance, any new college, school or its functional equivalent if such college, school or functional equivalent has academic programs at the graduate or professional, post-baccalaureate level.
 - 1. For the purposes of this paragraph, college or school means an academic unit below the institutional level but above the departmental level, including but not limited to a graduate school, law school, medical school, social work school, architecture school, business school and a public administration school.
 - 2. For the purposes of this paragraph, a new college or school shall be deemed to have been created if an administrative position of dean or its functional equivalent is established and if a new instructional program, separate and distinct from the programs currently available at that institution, is established.
 - 3. This paragraph does not apply to the redesignation or reorganization of existing colleges or schools if accomplished through the reclassification of existing positions or the restructuring of existing organizational entities.
- (h) The board shall allocate funds and adopt budgets for the respective institutions giving consideration to the principles of comparable budgetary support for similar programs and equitable compensation for faculty and academic staff with comparable training, experience and responsibilities and recognizing competitive ability to recruit and retain qualified faculty and academic staff. If the board ceases or suspends operation of any institution or college campus, the appropriations to the board for operation of the institution or college campus may be utilized by the board for any other purpose authorized by the appropriations within the period for which the appropriations are made.
- (hm) The board shall develop policies for the purpose of specifically identifying the general purpose revenue and nongeneral purpose revenue funding sources used for noninstructional student activities and for the purpose of governing the allocation of funds to those noninstructional student activities supported by both general purpose and nongeneral purpose revenue.
- (j) Except where such matters are a subject of bargaining with a certified representative of a collective bargaining unit under s. 111.91, the board shall establish salaries for persons prior to July 1 of each year for the next fiscal year, and shall designate the effective dates for payment of the new salaries. In the first year of the biennium, payments of the salaries established for the preceding year shall be continued until the biennial budget bill is enacted. If the budget is enacted after July 1, payments shall be made following enactment of the budget to satisfy the obligations incurred on the effective dates, as designated by the board, for the new salaries, subject only to the appropriation of funds by the legislature and s. 20.928 (3). This paragraph does not limit the authority of the board to establish salaries for new appointments. The board may not increase the salaries of employees under this paragraph unless the salary increase conforms to the proposal as approved under s. 230.12 (3) (e) or the board authorizes the salary increase to recognize merit, to correct salary inequities under par. (h), to fund job reclassifications or promotions, or to recognize competitive factors. The granting of salary increases to recognize competitive factors does not obligate inclusion of the annualized amount of the increases in the appropriations under s. 20.285 (1) for

subsequent fiscal bienniums. No later than October 1 of each year, the board shall report to the joint committee on finance and the secretary of administration and administrator of the division of personnel management in the department of administration concerning the amounts of any salary increases granted to recognize competitive factors, and the institutions at which they are granted, for the 12-month period ending on the preceding June 30.

(L) The board shall possess all powers necessary or convenient for the operation of the system except as limited in this chapter and ss. 13.48 (14) (am) and 16.848 (1).

(2) THE PRESIDENT.

- (a) The president shall be president of all the faculties and shall be vested with the responsibility of administering the system under board policies and shall direct a central administration which shall assist the board and the president in establishing system-wide policies in monitoring, reviewing and evaluating these policies, in coordinating program development and operation among institutions, in planning the programmatic, financial and physical development of the system, in maintaining fiscal control and compiling and recommending educational programs, operating budgets and building programs for the board. Subject to par. (b), the president shall appoint each senior vice president, vice president, associate vice president and assistant vice president of the system. The president shall fix the term of office for each senior vice president, vice president, associate vice president and assistant vice president of the system.
- (b) The sum of the number of senior vice presidents and vice presidents of the system that the president may appoint under par. (a) may not exceed 4.
- (c) The president shall appoint a special assistant to the president to serve as the director of the office of educational opportunity under s. 36.64. The special assistant serves at the pleasure of the president.

(3) THE CHANCELLORS.

- (a) The chancellors shall be the executive heads of their respective faculties and institutions and shall be vested with the responsibility of administering board policies under the coordinating direction of the president and be accountable and report to the president and the board on the operation and administration of their institutions. Subject to board policy the chancellors of the institutions in consultation with their faculties shall be responsible for designing curricula and setting degree requirements; determining academic standards and establishing grading systems; defining and administering institutional standards for faculty peer evaluation and screening candidates for appointment, promotion and tenure; recommending individual merit increases; administering associated auxiliary services; and administering all funds, from whatever source, allocated, generated or intended for use of their institutions.
- (b) The chancellor may designate a person as provost, to act as chief executive officer of the institution in the chancellor's absence, if the person currently holds a limited appointment as vice chancellor, associate chancellor, assistant chancellor, associate vice chancellor or assistant vice chancellor. The chancellor may not create an additional administrative position for the purpose of this paragraph.

(3m) MEANING OF "SUBJECT TO" IN CERTAIN PROVISIONS. In subs. (4) to (5), "subject to the responsibilities and powers" means subordinate to the responsibilities and powers.

(4) FACULTY. The faculty of each institution, subject to the responsibilities and powers of the board, the president, and the chancellor of such institution, shall have the primary responsibility for advising the chancellor regarding academic and educational activities and faculty personnel matters. The faculty of each institution shall have the right to determine their own faculty organizational structure and to select representatives to participate in institutional governance, except that the faculty of each institution shall ensure that faculty in academic disciplines related to science, technology, engineering, and mathematics are adequately represented in the faculty organizational structure.

- (4m) **ACADEMIC STAFF.** The academic staff members of each institution, subject to the responsibilities and powers of the board, the president, the chancellor, and the faculty of the institution, shall have the primary responsibility for advising the chancellor regarding the formulation and review, and shall be represented in the development, of all policies and procedures concerning academic staff members, including academic staff personnel matters. The academic staff members of each institution shall have the right to organize themselves in a manner they determine and to select their representatives to participate in institutional governance.
- (5) **STUDENTS.** The students of each institution or campus subject to the responsibilities and powers of the board, the president, the chancellor, and the faculty shall have primary responsibility for advising the chancellor regarding the formulation and review of policies concerning student life, services, and interests. Students in consultation with the chancellor and subject to the final confirmation of the board shall have the responsibility for the disposition of those student fees which constitute substantial support for campus student activities. The students of each institution or campus shall have the right to organize themselves in a manner they determine and to select their representatives to participate in institutional governance.

History: 1973 c. 335; 1975 c. 39, 224; 1977 c. 196 ss. 130 (1), (2), 131; 1977 c. 418; 1979 c. 34 s. 2102 (29) (a); 1981 c. 20 s. 2202 (1) (a); 1983 a. 27 s. 2200 (15); 1983 a. 366; 1985 a. 29, 42, 45, 332; 1987 a. 4, 27, 340; 1989 a. 31, 336, 359; 1991 a. 39; 1997 a. 27 ss. 1156ad, 9456 (3m); 1997 a. 35, 237, 307; 1999 a. 42; 2001 a. 16, 104; 2003 a. 33 ss. 930, 931, 2811, 9160; 2003 a. 48 ss. 10, 11; 2003 a. 206 s. 23; 2003 a. 320; 2005 a. 25 ss. 695, 2493; 2007 a. 125; 2009 a. 28; 2011 a. 10, 32; 2013 a. 20 ss. 578, 2365m, 9448; 2013 a. 166; 2015 a. 55; 2017 a. 59.

Sub. (5) gives student organizations, rather than the student body, the right to select representatives to participate in institutional governance. *Student Association of U.W.-Milwaukee v. Baum*, 74 Wis. 2d 283, 246 N.W.2d 622 (1976).

Student and faculty voting participation on the Board of Regents is limited to duly appointed members, but that does not preclude the board or any committee thereof from utilizing groups of nonmembers in advisory capacities. 60 Atty. Gen. 395.

The Board of Regents has no authority to provide a deferred salary plan for employees other than through the state teachers retirement system or the Wisconsin retirement fund. 61 Atty. Gen. 6.

A ruling by the chancellor of the University of Wisconsin-Eau Claire denying a request to conduct door-to-door solicitation in residence halls did not violate constitutional rights. 61 Atty. Gen. 373.

The leasing of university buildings to a religious congregation during nonschool days and hours on a temporary basis while the congregation's existing facility is being renovated and leasing convention space to a church conference would not violate the separation of church and state provisions of the 1st amendment and Art. I, s. 18. 63 Atty. Gen. 374.

Regents should identify how compulsory fees will be used to necessarily and conveniently further the objects of the university before approving a segregated fee. Regent's duties are unchanged under sub. (5). 63 Atty. Gen. 385.

The financing of student organizations through mandatory student fees does not violate the 1st amendment if viewpoint neutrality is the operational principal. *Board of Regents v. Southworth*, 529 U.S. 217, 146 L. Ed. 2d 193 (2000).

With one exception, the university's system, as required by *Southworth*, for distributing compelled fees collected from university students to student groups that delegates funding decisions to the student government was subject to sufficient limits. *Southworth v. Board of Regents of the University of Wisconsin System*, 307 F.3d 566 (2002).

Although the 1st amendment establishment clause of the U.S. constitution neither compels nor authorizes the University to categorically exclude funding of activities related to worship, proselytizing, and sectarian religious instruction with segregated fees, the University may nevertheless be able to exclude some or all of the activities to which it objects. The University is free to enact viewpoint neutral rules restricting access to segregated fees, for it may create what is tantamount to a limited public forum if the principles of viewpoint neutrality are respected. However, before excluding an activity from the segregated fee forum pursuant to a content-based distinction, the University must explain specifically why that particular activity, viewed as a whole, is outside the forum's purposes. *Roman Catholic Foundation v. The Regents of the University of Wisconsin System*, 578 F. Supp. 2d 1121. Affirmed. 620 F.3d 775 (2010).

36.11 Powers and duties of the board of regents.

(1) PROTECTION OF PEOPLE; CUSTODY AND MANAGEMENT OF PROPERTY.

- (a) The board may promulgate rules under ch. 227 to protect the lives, health and safety of persons on property under its jurisdiction and to protect such property and to prevent obstruction of the functions of the system. Any person who violates any rule promulgated under this paragraph may be fined not more than \$500 or imprisoned not more than 90 days or both.
- (b) Except as provided in this paragraph and ss. 13.48 (14) (am) and 16.848 (1), the board may purchase, have custody of, hold, control, possess, lease, grant easements and enjoy any lands, buildings, books, records and all other property of any nature which may be necessary and required for the purposes, objects and uses of the system authorized by law. Any lease by the board is subject to the powers of the University of Wisconsin Hospitals and Clinics Authority under s. 233.03 (13) and the rights of the authority under any lease agreement, as defined in s. 233.01 (6). The board shall not permit a facility that would be privately owned or operated to be constructed on state-owned land without obtaining prior approval of the building commission under s. 13.48 (12). Subject to prior action under s. 13.48 (14) (am) or 16.848 (1), the board may sell or dispose of such property as provided by law, or any part thereof when in its judgment it is for the best interests of the system and the state. All purchases of real property shall be subject to the approval of the building commission. The provision of all leases of real property to be occupied by the board for use other than for student housing shall be the responsibility of the board. The provision of all leases of real property to be occupied by the board for use as student housing shall be the responsibility of the department of administration under s. 16.84 (5), except for leases in effect on July 14, 2015, regardless of any subsequent extension, modification, or renewal, which shall be the responsibility of the board.
- (c) The board may promulgate rules under ch. 227 for the management of all property under its jurisdiction, for the care and preservation thereof and for the promotion and preservation of the orderly operation of the system in any or all of its authorized activities and in any or all of its institutions with forfeitures for their violation, which may be sued for and collected in the name of the board before any court having jurisdiction of such action. Forfeitures shall not exceed \$500.
- (cm) The board shall promulgate rules under ch. 227 prescribing the times, places, and manner in which political literature may be distributed and political campaigning may be conducted in state-owned residence halls. No such rule may authorize any activity prohibited under s. 11.1207 (3) or (4).
- (d) All fines imposed and collected under this subsection shall be transmitted to the county treasurer for disposition in accordance with s. 59.25 (3) (f) and (j). All forfeitures, including forfeitures of posted bail if any, imposed and collected under this subsection shall be transmitted to the county treasurer for disposition in accordance with ss. 778.13 and 778.17.
- (e) Subject to prior action under s. 13.48 (14) (am) or 16.848 (1), the board, with the approval of the building commission, may sell or lease state-owned residence halls to another state agency or nonstate nonprofit agency for purposes of alternate use.

Cross-reference: See also chs. UWS 18 and 21, Wis. adm. code.

(2) POLICE AUTHORITY.

- (a) The board shall have concurrent police power, with other authorized peace officers, over all property subject to its jurisdiction, and all property contiguous to such property at the University of Wisconsin-Parkside if owned by a nonprofit corporation the primary purpose of which, as determined by the board, is to benefit the system. Such concurrent police authority shall not be construed to reduce or lessen the authority of the police power of the community or communities in which a campus may be located. All campus police officers shall cooperate with and be responsive to the local police authorities as they meet and exercise their statutory responsibilities. The designated

agents of the board may arrest, with or without warrant, any person on such property who they have reasonable grounds to believe has violated a state law or any rule promulgated under this chapter and deliver such person to any court having jurisdiction over the violation and execute a complaint charging such person with the violation. This subsection does not impair the duty of any other peace officers within their jurisdictions to arrest and take before the proper court persons found violating any state law on such property.

- (b)** The board may employ police for the institutions and chiefs to head such police, or contract for police, all of whom shall be deemed peace officers under s. 939.22 (22) under the supervision and control of the appropriate chancellor or the chancellor's designees. Such police officers shall meet the minimum standards established for other police officers by the law enforcement standards board or a comparable agency. Such police shall preserve the peace on all property described under par. (a), enforce all rules promulgated under this chapter and all other laws, and for that purpose the chancellor or the chancellor's designee may call for aid from such other persons as is deemed necessary.

[Menu](#) » [Statutes Related](#) » [Statutes](#) » [Chapter 36](#)

Regent Policy Document 5-1 (formerly 92-7)

Academic Quality Program Assessment

1. The University of Wisconsin System Institutions shall continue to implement the Academic Quality Program (AQP), with special emphasis on meeting the North Central Association's accreditation guidelines for assessment.
2. The University of Wisconsin System Administration shall continue to implement AQP system wide with a focus on quantitative measurements, including annual publications of the Statistical Profile and regular surveys of students and/or alumni, business and/or industry, the general Wisconsin public, and University of Wisconsin System faculty members.
3. The University of Wisconsin System Institutions shall provide increased institutional accountability for assessment of academic programs and student outcomes through each chancellor's annual report.
4. The University of Wisconsin System Administration shall provide increased system wide accountability for statewide assessment through the President's annual report. Each University of Wisconsin System Institution shall continue the assessment of students' verbal and quantitative skills, refine the techniques, and report annually on the use of assessment results in the improvement of teaching and learning.
5. The University of Wisconsin System shall administer the ACT -CAAP Writing Skills and Mathematics tests to a system wide sample of sophomores at the earliest possible date that value added testing is available, and System Administration shall report the results, along with national norms, to the Board of Regents. These tests will be administered periodically to cohorts of students.

History: Res. 6215 adopted 9/11/92.

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Regent Policy Document 14-6 (formerly 88-12)

Discrimination, Harassment, and Retaliation

Scope

This policy applies to all areas of the System and institution programs and activities, employment practices and operations, including the conduct of all students and employees that arises out of their employment, educational or academic status, as well as to the conduct of all guests, visitors, vendors, contractors, subcontractors and others who do business with the System or its institutions.

Purpose

The purpose of this policy is to express the Board of Regents' commitment to providing an educational, program, activity, and workplace environment free of discrimination, harassment, and retaliation.

Policy Statement

It is the policy of the Board of Regents of the University of Wisconsin System to maintain an academic and work environment free of discrimination, discriminatory harassment, or retaliation for all students and employees. Discrimination is inconsistent with the efforts of the University of Wisconsin System to foster an environment of respect for the dignity and worth of all members of the university community and to eliminate all manifestations of discrimination within the university. The Board is also committed to the protection of individual rights under the First Amendment (and related principles of academic freedom) and in preserving the widest possible dialogue within its educational environment.

Discrimination or discriminatory harassment that is based upon an individual's characteristics which are protected under institution policy, state law or federal law ("protected status") is prohibited. Harassment is a form of discrimination and is prohibited. In addition, any form of retaliation against students or employees will not be tolerated. Any person who believes they have been subject to this type of prohibited activity should immediately report it to the appropriate institution official or office.

The following protections shall apply to this policy in regard to an individual's characteristics ("protected status"):

Students

No student may be denied admission to, or participation in or the benefits of, or be discriminated against in any service, program, course or facility of the system or its institutions on the basis of race, color, creed, religion, age, sex, sexual orientation, gender identity or expression, national origin, ancestry, disability, pregnancy, marital or parental status, or any other category protected by law, including physical condition or developmental disability as defined in Wisconsin Statutes §51.01(5).

Employees

No employee may be discriminated against on the basis of race, color, creed, religion, age, sex, sexual orientation, gender identity or expression, national origin, ancestry, disability, pregnancy, marital or parental status, genetic information, arrest record, conviction record, military service, veteran status, use or nonuse of lawful products off the employer's premises during nonworking hours, declining to attend a meeting or participate in any communication about religious matters or political matters, or any other category protected by law. This provision includes employment-related actions, such as recruitment, interviewing, testing, screening, selection, placement, classification, evaluation, transfer, promotion, training, compensation, fringe benefits, layoffs, and /or dismissal.

Definitions

The following definitions shall be used in determining whether a particular course of conduct constitutes discrimination or discriminatory harassment under this policy:

- A. **Discrimination** is conduct that adversely affects any aspect of an individual's employment, education, or participation in an institution's activities or programs, or has the effect of denying equal privileges or treatment to an individual on the basis of one or more characteristics of that individual's protected status or category as defined herein.
- B. **Discriminatory Harassment** is a form of discrimination consisting of unwelcome verbal, written, graphic or physical conduct that:
 - 1. Is directed at an individual or group of individuals on the basis of the individual or group of individuals' actual or perceived protected status, or affiliation or association with person(s) within a protected status (as defined herein above); and
 - 2. is sufficiently severe or pervasive so as to interfere with an individual's employment, education or academic environment or participation in institution programs or activities and creates a working, learning, program or activity environment that a

reasonable person would find intimidating, offensive or hostile.

To constitute prohibited harassment, the conduct must be both objectively and subjectively harassing in nature. Harassment may include but is not limited to verbal or physical attacks, threats, slurs or derogatory or offensive comments that meet the definition set forth herein. Harassment does not have to be targeted at a particular individual in order to create a harassing environment, nor must the conduct result in a tangible injury to be considered a violation of this policy. Whether the alleged conduct constitutes prohibited harassment depends on the totality of the particular circumstances, including the nature, frequency and duration of the conduct in question, the location and context in which it occurs and the status of the individuals involved.

Sexual harassment is defined under Regent Policy 14-2 and is regulated through existing institutional policies and procedures.

- C. **Retaliation** is defined as adverse action taken against an individual in response to, motivated by or in connection with an individual's complaint of discrimination or discriminatory harassment, participation in an investigation of such complaint and/or opposition of discrimination or discriminatory harassment in the educational or workplace setting.

Institutional Policies and Procedures

University of Wisconsin System institutions shall have: (1) policies and procedures consistent with this Board policy for the prevention and prohibition of discrimination, harassment and retaliation against students or employees; and (2) procedures in place to ensure prompt corrective action whenever discrimination, harassment or retaliation may occur.

- A. Institutional policies and procedures shall, at a minimum, contain the following provisions:

1. A clear statement of the institution's commitment to the elimination of discrimination and discriminatory harassment toward students or employees. This statement may be presented in an existing policy statement concerning general principles of nondiscrimination or anti-harassment, or articulated in a separate institutional policy.
2. A definition of what constitutes discrimination, discriminatory harassment and retaliation that is consistent with this policy and a statement that such conduct is prohibited.
3. A prohibition against using institution technology (computers, e-mail systems, voice mail system, and webpages) in any manner that would violate this policy.
4. A statement that specific incidents of alleged discrimination or discriminatory harassment will be reviewed on a case-by-case basis in accordance with the procedures developed by each institution. Due consideration will be given to the protection of individual First Amendment rights to freedom of speech, expression, and academic freedom.
5. A process under which an informal or formal complaint may be filed with the appropriate identifiable university office or department. The process shall set forth the manner and timeline in which complaints will be received, investigated, and resolved through either voluntary action on the part of the parties involved or through university action in the form of sanctions, disciplinary action, or other appropriate remedies or redress.
6. A statement indicating that retaliation against an individual for filing a complaint of discrimination or discriminatory harassment or participating in the process is prohibited. In developing these processes, existing grievance and disciplinary procedures applicable to students, student organizations, and employees will be incorporated by reference.

- B. Each institution shall develop a process to notify prospective and current students, student organizations, job applicants and employees of its institutional policies and procedures regarding discrimination, discriminatory harassment, and retaliation.

Oversight, Roles, and Responsibilities

Each chancellor or his or her designee shall be responsible for implementing institutional policies consistent with this policy.

Related Regent Policies and Applicable Laws

RPD 14-2: Sexual Harassment Policy Statement and Implementation
RPD 14-3: Equal Opportunities in Education: Elimination of Discrimination Based on Gender
RPD 14-4: Reserve Officers Training Corps
RPD 14-5: Measures to Alleviate Racism
RPD 14-7: Implementation of Statute on Discrimination Against Students
RPD 14-10: Nondiscrimination on Basis of Disability: Policy Statement

History: 5063, adopted 10/07/1988, created Regent Policy Document 88-12. Res. 6193, adopted 09/11/1992; Res. 6278, adopted 12/11/1992; and Res. 8963, adopted 02/11/2005 amended Regent Policy Document 88-12. Regent Policy Document 88-12 was renumbered 14-6. Res. 10272, adopted 10/11/2013, amended Regent Policy Document 14-6 and deleted Regent Policy Document 14-9.

SEE ALSO:

UPS Operational Policy EEO 5, Discrimination, Harassment, and Retaliation (<https://www.wisconsin.edu/ohrwd/download/policies/ops/eeo5.pdf>)

[UW System Administrative policies are included for reference and are separate from Regent Policy Documents adopted by the Board.]

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Regent Policy Document 20-7 (formerly 91-5)

Outside Activity Reporting

Whereas, the Board of Regents recognizes the importance of accountability to the people of Wisconsin and believes it is in the interest of both the public and the University of Wisconsin System to assure public confidence in the integrity of the University of Wisconsin System faculty and staff, and

Whereas, the University of Wisconsin System policies regarding public reporting of outside interests and activities required by UWS 8 of the Wisconsin Administrative Code are among the most extensive among universities in the nation, and

Whereas, the Regents wish to continue to support and encourage University of Wisconsin faculty and staff to share their expertise and talents with agriculture, business, industry, and the state's communities,

Therefore, the Board of Regents approves the "University of Wisconsin System Guidelines and Form for Reporting Outside Activities as required by UWS 8.025, Wisconsin Administrative Code," and directs the University of Wisconsin System President to implement these revised procedures at all University of Wisconsin Institutions effective for the reporting period ending April 30, 1992.

(The Guidelines and Reporting form may be obtained from the Office of the Secretary of the Board of Regents.)

History: Res. 5785 adopted 5/10/91; replaces 73-6(a).

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Regent Policy Document 20-22**Code of Ethics**

Scope

This Board of Regents Code of Ethics policy applies to all University of Wisconsin System (UW System) employees. The policy recognizes that faculty, academic staff, and limited appointees (other than state public officials) are subject to Chapter UWS 8 of the Wisconsin Administrative Code, and that university employees who are state public officials will remain subject to Subchapter III of Wis. Stat. Chapter 19. University Staff are subject to the University Staff Code of Ethics set forth in section III below which was closely modeled after Chapter ER-MRS 24 of the Wisconsin Administrative Code, the Code of Ethics for classified state employees.

Purpose

This code of ethics policy is created under the directive of Wis. Stat. § 19.45(11)(b), for the guidance of all UW System employees, to avoid activities which cause, or tend to cause, conflicts between their personal interests and their public responsibilities, and to improve standards of public service. Under 2011 Wisconsin Act 32, the Board of Regents was required to establish a code of ethics for UW System personnel who are not state public officials subject to Wis. Stat. Chapter 19.

Policy Statement

I. Faculty, academic staff, and limited appointees (other than state public officials) are subject to Chapter UWS 8.

II. State public officials will remain subject to subchapter III of Wis. Stat. Chapter 19.

Individuals holding the following positions are state public officials: chancellors, vice chancellors, UWSA president, senior vice presidents, vice presidents, associate vice presidents, and assistant vice presidents.

III. University Staff Code of Ethics

A. INTRODUCTION

This code of ethics is created for the guidance of employees designated as University Staff to avoid activities which cause, or tend to cause, conflicts between their personal interests and their public responsibilities as UW System employees.

The observance of high moral and ethical standards by University Staff employees is essential. Each employee holds his or her position as a public trust, and any effort to realize personal gain through official conduct is a violation of that trust.

The Board of Regents policy recognizes that:

1. University Staff have personal and economic interests in the decisions and policies of national, state and local government.
2. University Staff retain their rights as citizens to interests of a personal or economic nature.
3. The standards of ethical conduct for University Staff must distinguish between those minor and inconsequential conflicts which are unavoidable in a free society and those conflicts which are substantial and material.
4. University Staff may need to engage in employment other than official duties, or may need to maintain investments, but no employee shall engage in any employment or maintain any investment if the employment or investment conflicts with the specific provisions of this code of ethics.

In adopting the standards of conduct set forth in the University Staff code of ethics, it is the Board's purpose to prohibit only those activities which will result in a conflict between the personal interests of a University Staff member and that employee's public responsibilities to the UW System. It is not the Board's purpose to prohibit University Staff from freely pursuing activities that will not result in such a conflict.

B. DEFINITIONS

1. "Anything of value" means any money or property, favor, service, payment, advance, forbearance, loan, or promise of future employment, but does not include:

- a. Any salary, expenses or other compensation paid by the state;
 - b. Any compensation or expenses derived from outside activities permitted under this code of ethics;
 - c. Political contributions which are reported under Wis. Stat. Chapter 11; or
 - d. Hospitality (e.g., meals or lodging) extended for a purpose unrelated to university business. When it could be concluded that the hospitality would be extended if the guest or a member of the guest's immediate family was not a UW System employee, that hospitality is extended for a purpose unrelated to university business.
2. "Associated," when used with reference to an organization, means that a person or a member of a person's immediate family is a director, officer or trustee or owns or controls, directly or indirectly, and severally or in the aggregate, at least 10% of the outstanding equity.
 3. "Board" means the Board of Regents of the University of Wisconsin System.
 4. "Chancellor" means the chief executive officer of a university, the University of Wisconsin Colleges or University of Wisconsin-Extension.
 5. "Domestic partner" is a person with whom a University Staff member has a domestic partnership.
 6. "Domestic partnership" means a relationship between two individuals that satisfies all of the following:
 - a. Each individual is at least 18 years old and otherwise competent to enter into a contract.
 - b. Neither individual is married to, or in a domestic partnership with, another individual.
 - c. The two individuals are not related by blood in any way that would prohibit marriage under Wis. Stat. § 765.03.
 - d. The two individuals consider themselves to be members of each other's immediate family.
 - e. The two individuals agree to be responsible for each other's basic living expenses.
 - f. The two individuals share a common residence. Two individuals may share a common residence even if any of the following applies:
 - i. Only one of the individuals has legal ownership of the residence.
 - ii. One or both of the individuals have one or more additional residences not shared with the other individual.
 - iii. One of the individuals leaves the common residence with the intent to return.
 7. "University Staff" means members of the university workforce who contribute in a broad array of positions in support of the University's mission and are not exempt (hourly¹) from the overtime provisions of the Fair Labor Standards Act. [1Note: All FLSA exempt employees holding positions in the State of Wisconsin "classified" service as of June 30, 2013 are given the choice to remain in the University Staff for as long as they retain their existing positions, or to move to Academic Staff or Limited Appointment positions].
 8. "Hospitality" includes, but is not limited to, meals, beverages, and lodging which a host other than an organization offers a guest on premises owned or occupied by the host or his or her immediate family as the host's principal or seasonal residence.
 9. "Immediate family" means an employee's spouse or domestic partner; an employee's relatives by marriage, consanguinity or adoption; and any other person who receives, directly or indirectly, more than one half of his or her support from an employee or from whom an employee receives, directly or indirectly, more than one half his or her support.
 10. "Institution" means any university or organizational equivalent designated by the Board of Regents.
 11. "Organization" means any corporation, partnership, proprietorship, firm, enterprise, franchise, association, self-employed individual, trust or any other legal entity other than an individual or body politic.
 12. "President" means the President of the University of Wisconsin System.
 13. "University property" includes, but is not limited to, facilities, vehicles, supplies, equipment, communications equipment and services, information technology equipment and services, stenographic assistance, reproduction services, and research.

C. STANDARDS OF CONDUCT

This code of ethics shall not prevent a University Staff member from accepting outside employment or following a pursuit which in no way interferes with the full and faithful discharge of his or her duties to the UW System, subject to the following:

1. A conflict of interest on the part of the University Staff member exists whenever the University Staff member's action or failure to act propitiously could reasonably be expected to directly or indirectly produce or assist in producing a private benefit for the University Staff member or the University Staff member's immediate family or an organization with which the University Staff member is associated.
2. It is the policy of the Board of Regents to prohibit those activities that will cause a conflict of interest. Therefore:
 - a. No University Staff member may use or attempt to use his or her position or University property, or use the prestige or influence of his or her position for financial gain or other benefits, advantages or privileges for the private benefit of the University Staff member, the University Staff member's immediate family or an organization with which the University Staff member is associated.
 - i. Any UW System salary or other compensation received by the University Staff member from the state for his or her services does not constitute "financial gain" as the term is used in this rule.
 - ii. Incidental personal use of University property within the limits prescribed by UW System and institutional policies and use of University issued or purchased parking permits for non-work events or activities does not constitute a "private benefit" as the term is used in this policy.
 - b. No University Staff member may solicit or accept from any person or organization, directly or indirectly, anything of value if it

could reasonably be expected to influence such University Staff member's official actions or judgment, or could reasonably be considered as a reward for any official action or inaction on the part of such University Staff member.

- i. No University Staff member who is assigned or acts as an official representative of a UW System institution in the presentation of papers, talks, demonstrations or making appearances shall solicit or accept fees, honoraria or reimbursement of expenses for personal gain. Any fees, honoraria, or reimbursement of expenses which may be offered in connection therewith shall be paid to the University Staff member's institution.
 - ii. Acceptance of fees and honoraria paid for papers, talks, demonstrations or appearances made by a University Staff member on the University Staff member's own time, and not directly part of official duties, shall not be a violation of this rule. University Staff members shall notify their supervisor or other appropriate administrator prior to accepting fees and honoraria for papers, talks, demonstrations, or appearances to ensure that no conflict of interest exists.
 - iii. When a University Staff member is offered an unsolicited award or reward for an exceptional accomplishment or outstanding performance, the appropriate administrator shall determine whether or not it may be accepted by the University Staff member after considering whether acceptance of the award or reward would conflict with the purposes of this policy. University Staff members shall notify their supervisor or other appropriate administrator prior to accepting unsolicited awards or rewards, who in turn shall seek a determination regarding whether acceptance or refusal of the award or reward is appropriate.
- c. No University Staff member may intentionally use or disclose information gained in the course of or by reason of the University Staff member's official position or activities in any way that could result in the receipt of anything of value for himself or herself, for his or her immediate family, or for any other person or organization, if the information has not been communicated to the public or is not public information. However, no reprisal may be taken against a University Staff member for the lawful disclosure of information which the University Staff member reasonably believes evidences:
- i. A violation of any law, rule, or regulation, or
 - ii. Mismanagement, a gross waste of funds, an abuse of authority, enforcement of unreasonable university work rules, or a substantial and specific danger to public health or safety.
- d. No University Staff member, member of the University Staff's immediate family, nor any organization with which the University Staff member or a member of his or her immediate family is associated may enter into any contract or lease involving payment or payments of more than \$3,000 within a 12-month period, in whole or in part derived from University or state funds unless the University Staff member has first made written disclosure of the nature and extent of such relationship or interest to his or her supervisor or other appropriate administrator and obtained the supervisor's or other administrator's written approval. The University Staff member's supervisor or other appropriate administrator shall approve a University Staff member's interest in a lease or contract unless he or she determines that the University Staff member's personal interest in the agreement will conflict substantially and materially with the University Staff member's discharge of his or her public responsibilities. This paragraph does not affect the application of Wis. Stat. § 946.13, which prohibits private interests in public contracts.
- e. No University Staff member may participate, formally or informally, in the decision to hire, retain, promote or determine the salary of a member of his or her immediate family. No University Staff member may, in the supervision or management of another employee who is a member of his or her immediate family, give preferential or favored treatment.
3. The President or a Chancellor may, upon written request and by action within a reasonable time of receipt thereof, waive any provision of this section whenever its literal application would be adverse to the best interests of the institution or would work an unreasonable hardship on an employee.
4. Nothing in this section prohibits a University Staff member from making decisions concerning salaries, salary-related benefits or reimbursement of actual and necessary expenses when the action does not result in preferential or favored treatment of a member of the University Staff member's immediate family.

D. ACTION TO AVOID POSSIBLE CONFLICT

When it appears that a material conflict may arise between the personal interests of a University Staff member and his or her public responsibilities, the University Staff member shall notify his or her supervisor or other appropriate administrator by submitting a written statement describing the nature of the possible conflict. Within 15 days after receipt of the statement, the supervisor or other appropriate administrator shall advise the University Staff member in writing that:

1. There is no conflict prohibited by this code of ethics, and the University Staff member may proceed; or
2. There may be a conflict, and further consultation is necessary prior to reaching a determination; or
3. There is a conflict which must be resolved.

If the University Staff member is advised that he or she cannot proceed with institutional duties or with personal interests, the employee, within 15 days after notice of the decision of the supervisor or other appropriate administrator, may appeal the decision under the applicable grievance procedures.

E. SANCTIONS

The President or appropriate Chancellor may investigate possible code of ethics violations whenever the circumstances warrant.

Oversight, Roles & Responsibilities

In addition to oversight by the President and the appropriate Chancellor's Office, compliance with this code of ethics will be monitored periodically.

Related Regent Policies and Applicable Laws

- Wis. Stat. § 19.41, et seq., Code of Ethics for Public Officials and Employees
- Wis. Stat. § 36.23, Conflict of Interest
- Chapter UWS 8, Wis. Admin. Code, Code of Ethics
- RPD 13-4, University of Wisconsin System Policy on Institutional and Employee Relationships with Educational Loan Lenders
- RPD 20-7, Outside Activity Reporting
- RPD 25-3, Use of University Information Technology Resources
- U.S. Department of Health and Human Services requirements on reporting conflicts of interest.

History: Res. 10151, adopted 12/07/2012, created Regent Policy Document 20-22.

SEE ALSO:

UPS Operational Policy WE 1, Code of Ethics (<https://www.wisconsin.edu/ohrwd/download/policies/ops/we1.pdf>)

[UW System Administrative policies are included for reference and are separate from Regent Policy Documents adopted by the Board.]

OFFICE OF THE BOARD OF REGENTS

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State of Wisconsin Constitution

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Board Members:

Douglas La Follette, *Secretary of State*
Matt Adamczyk, *State Treasurer*
Brad D. Schimel, *Attorney General*

ARTICLE X.

EDUCATION

Superintendent of public instruction. SECTION 1. [As amended Nov. 1902 and Nov. 1982] The supervision of public instruction shall be vested in a state superintendent and such other officers as the legislature shall direct; and their qualifications, powers, duties and compensation shall be prescribed by law. The state superintendent shall be chosen by the qualified electors of the state at the same time and in the same manner as members of the supreme court, and shall hold office for 4 years from the succeeding first Monday in July. The term of office, time and manner of electing or appointing all officers of supervision of public instruction shall be fixed by law. [1899 J.R. 16, 1901 J.R. 3, 1901 c. 258, vote Nov. 1902; 1979 J.R. 36, 1981 J.R. 29, vote Nov. 1982]

School fund created; income applied. SECTION 2. [As amended Nov. 1982] The proceeds of all lands that have been or hereafter may be granted by the United States to this state for educational purposes (except the lands heretofore granted for the purposes of a university) and all moneys and the clear proceeds of all property that may accrue to the state by forfeiture or escheat; and the clear proceeds of all fines collected in the several counties for any breach of the penal laws, and all moneys arising from any grant to the state where the purposes of such grant are not specified, and the 500,000 acres of land to which the state is entitled by the provisions of an act of congress, entitled "An act to appropriate the proceeds of the sales of the public lands and to grant pre-emption rights," approved September 4, 1841; and also the 5 percent of the net proceeds of the public lands to which the state shall become entitled on admission into the union (if congress shall consent to such appropriation of the 2 grants last mentioned) shall be set apart as a separate fund to be called "the school fund," the interest of which and all other revenues derived from the school lands shall be exclusively applied to the following objects, to wit: (1) To the support and maintenance of common schools, in each school district, and the purchase of suitable libraries and apparatus therefor.

(2) The residue shall be appropriated to the support and maintenance of academies and normal schools, and suitable libraries and apparatus therefor. [1979 J.R. 36, 1981 J.R. 29, vote Nov. 1982]

District schools; tuition; sectarian instruction; released time. SECTION 3. [As amended April 1972] The legislature shall provide by law for the establishment of district schools, which shall be as nearly uniform as practicable; and such schools shall be free and without charge for tuition to all children between the ages of 4 and 20 years; and no sectarian instruction shall be allowed therein; but the legislature by law may, for the purpose of religious instruction outside the district schools, authorize the release of students during regular school hours. [1969 J.R. 37, 1971 J.R. 28, vote April 1972]

Annual school tax. SECTION 4. Each town and city shall be required to raise by tax, annually, for the support of common schools therein, a sum not less than one-half the amount received by such town or city respectively for school purposes from the income of the school fund.

Income of school fund. SECTION 5. Provision shall be made by law for the distribution of the income of the school fund among the several towns and cities of the state for the support of common schools therein, in some just proportion to the number of children and youth resident therein between the ages of four and twenty years, and no appropriation shall be made from the school fund to any city or town for the year in which said city or town shall fail to raise such tax; nor to any school district for the year in which a school shall not be maintained at least three months.

State university; support. SECTION 6. Provision shall be made by law for the establishment of a state university at or near the seat of state government, and for connecting with the same, from time to time, such colleges in different parts of the state as the interests of education may require. The proceeds of all lands that have been or may hereafter be granted by the United States to the state for the support of a university shall be and remain a perpetual fund to be called "the university fund," the interest of which shall be appropriated to the support of the state university, and no sectarian instruction shall be allowed in such university.

Commissioners of public lands. SECTION 7. The secretary of state, treasurer and attorney general, shall constitute a board of commissioners for the sale of the school and university lands and for the investment of the funds arising therefrom. Any two of said commissioners shall be a quorum for the transaction of all business pertaining to the duties of their office.

Sale of public lands. SECTION 8. Provision shall be made by law for the sale of all school and university lands after they shall have been appraised; and when any portion of such lands shall be sold and the purchase money shall not be paid at the time of the sale, the commissioners shall take security by mortgage upon the lands sold for the sum remaining unpaid, with seven per cent interest thereon, payable annually at the office of the treasurer. The commissioners shall be authorized to execute a good and sufficient conveyance to all purchasers of such lands, and to discharge any mortgages taken as security, when the sum due thereon shall have been paid. The commissioners shall have power to withhold from sale any portion of such lands when they shall deem it expedient, and shall invest all moneys arising from the sale of such lands, as well as all other university and school funds, in such manner as the legislature shall provide, and shall give such security for the faithful performance of their duties as may be required by law.

UW System Administrative Policy 102 (formerly ACIS 1.0)

Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting

This document is a statement of the University of Wisconsin System (UW System) Policy on Array Management: Program Planning, Delivery, Review, and Reporting in the UW System. This document provides guidance on academic degree program array management actions, including approvals of new programs, review of program suspensions and eliminations, individual and lateral program reviews, as well as other required reporting and approval items at the Board of Regents or UW System level. Such items may include, but are not limited to, revisions to institutional missions, establishment of new schools or colleges, and the extension of programs to other sites, including international sites.

Overview of Academic Program Actions Reporting

This table describes the various academic program actions that require approval or reporting to UW System. All submissions should be directed to Academic Programs and Educational Innovation at afgp@uwsa.edu (<mailto:afgp@uwsa.edu>). All items will be reported to the Board of Regents upon request.

	Institutional Action	System Admin Action	Board of Regents Action	Notice Period	Required Documentation
1. Establish New Academic Degree Program					
a. Approval to Plan	A	I			Notice of Intent memo, see Section 2.2
b. Degree Authorization	A	A		8+ weeks	Authorization documents. See Section 2.3 . See also Section 2.5 for Associate Degrees; Section 4 for Professional Doctorates; and Section 5 for Collaborative Degrees
c. Degree	I	I		4+	Implementation memo, see Section 2.4

Implementation				weeks	(https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/policy-on-university-of-wisconsin-system-array-management-program-planning-delivery-review-and-reporting/#2.4DegreeImplementation)
2.	Eliminate an Academic Degree Type	I	I	4+ weeks	Written notification, see Section 3.1
3.	Rename an Academic Degree Program	I	I	4+ weeks	Written notification, see Section 3.2
4.	Redirect an Academic Degree Program	I	I	4+ weeks	Written notification, see Section 3.2
5.	Suspend Admissions to an Academic Degree Program	I	I	4+ weeks	Written notification, see Section 3.3
6.	Eliminate an Academic Degree Program	I	I	4+ weeks	Written notification, see Section 3.4
7.	Distance Delivery				
	a. Offer an Academic Degree Program via 100% Distance Delivery	I/A*	I	12+ weeks	Written notification, see Section 3.5.2
	b. Add Distance Delivery to an Academic Degree Program	I	I	4+ weeks	Written notification, see Section 3.5.3
	c. Add Face-to-Face to a 100% Distance Delivery Program	I	I	4+ weeks	Written notification, see Section 3.5.4
8.	Add Direct Assessment Competency-Based	I/A*	I	12+ weeks	Written notification, see Section 3.6

Delivery to an
Academic Degree
Program

9. Extend an Academic
Degree Program to
an Additional
Location

a. In Wisconsin	I/A*	I	12+ weeks	Written notification, see Section 3.7.1
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b. Outside of Wisconsin, including International	I	I	4+ weeks	Written notification, see Section 3.7.2
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10. Create, Change, or Eliminate a Cooperative or a Dual Consortial Degree Program	I	I	4+ weeks	Written notification, see Section 5
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11. Collaborative
(Consortial)
Academic Degree
Programs

a. Dissolve Collaborative Program and Reauthorize as Independent Programs	A	A	12+ weeks	Written request, see Section 5
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b. Dissolve and Eliminate Collaborative Program	I	I	4+ weeks	Written notification, see Section 5
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c. Withdrawal of One or More, But Not All, Partners	I/A*	I	12+ weeks	Written notification, see Section 5
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12. Reviews

a. First Review of an Academic Degree Program	I	I	20 working days	Written reports, see Section 6.1
b. Regular Review of Academic Degree Programs	I	I		Information requested as part of annual reporting, see Section 6.1.2 and Section 7.1
c. External Accreditation	I	I		Information requested as part of annual reporting, see Section 6.1.3 and Section 7.1
d. General Education Programs	I	I	20 working days	Posted on institutional website and written notification, see Section 6.1.4
e. Systemwide Reviews	I	I		Conducted as necessary, see Section 6.2
f. Low-Degree-Producing Academic Degree Programs	I	I		Information requested every five years or as necessary, see Section 6.3
13. Reporting				
a. Annual Program Planning, Review, and Array Management Report	I	I		Information requested annually, see Section 7.1
b. Credit Certificates and Submajors	N/A	N/A	N/A	Institutions are encouraged to enter these in MajorMania (http://majormania.uwex.edu/) , see Section 7.2
14. Schools and Colleges				
a. Establish a School or College [1]	A	A	12+ weeks	Written request, see Section 8.2
b. Rename or Eliminate a School or College	A	I/A*	12+ weeks	Written request, see Section 8.3
15. Establish or Alter an Institutional Mission	A	A		Written request, see Section 9

A=Approval Required

I=Information Only

I/A*=Information Only; however, if there are concerns expressed by UW institutions and/or systemwide issues and/or Board of Regents approval is required, then Approval Required

[1]=Chapter 36.09 (1)(gm), Wis. Stats. (<https://docs.legis.wisconsin.gov/statutes/statutes/36/09/1/gm>) applies to creation of some schools and colleges

Table of Contents

1. Introduction

1.1 Scope

UW System Administrative Policy 102 (SYS 102), *Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting* provides detailed guidance on academic degree program array management actions, including approvals of new programs, review of program suspensions and eliminations, individual and lateral program reviews, as well as other required reporting and approval items at the Board of Regents (BOR) or University of Wisconsin System (UW System) level. Such items may include, but are not limited to, revisions to institutional missions, establishment of new schools or colleges, and the extension of programs to other sites, including international sites.

The goals of systemwide array management include the provision of appropriate academic degree programs (program) to meet student, community, state, and employer demand; minimizing unnecessary duplication of programs; and offering programs effectively and cost-efficiently.

Chapter 36, Wis.Stats. (<https://docs.legis.wisconsin.gov/statutes/statutes/36>), codifies responsibilities for systemwide array management, such as monitoring academic quality, and establishing and maintaining access to educational programs.

Regent Policy Document (RPD) 4-12 (<https://www.wisconsin.edu/regents/policies/academic-program-planning-review-and-approval-in-the-university-of-wisconsin-system/>), Academic Program Planning, Review, and Approval in the UW System, delineates the program planning framework.

SYS 102, *Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting* elaborates on RPD 4-12 (<https://www.wisconsin.edu/regents/policies/academic-program-planning-review-and-approval-in-the-university-of-wisconsin-system/>) and represents the principal policy guiding the University of Wisconsin System Administration (UWSA) and the University of Wisconsin institutions (UW institutions) in operationalizing all activities related to systemwide array management.

1.2 Managing the Array: Participants and Roles

Within the scope of Chapter 36, Wis. Stats. (<https://docs.legis.wisconsin.gov/statutes/statutes/36>), the BOR, the UWSA, and the UW institutions have specific roles in program planning, approval, delivery, implementation, reporting, and review.

1.2.1 THE BOARD OF REGENTS

Chapter 36, Wis. Stats. (<https://docs.legis.wisconsin.gov/statutes/statutes/36>), gives the BOR the authority to “ensure the diversity of quality undergraduate programs.” In fulfilling this statutory role, the BOR has oversight over the UWSA and the UW institutions “to ensure that these entities meet their respective roles and responsibilities.” As a steward of the UW System’s overall resources, the BOR is also responsible for ensuring a balance between access to education and cost-effectiveness in the development and maintenance of programs. The BOR requires the UWSA and the UW institutions to follow the specific principles, guidelines, and practices described in RPD 4-12 (<https://www.wisconsin.edu/regents/policies/academic-program-planning-review-and-approval-in-the-university-of-wisconsin-system/>). *SYS 102, Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting* operationalizes these principles, guidelines, and practices. New academic degree program proposals must be submitted, at the recommendation of the President of the UW System, to the BOR for approval and must be approved by the BOR prior to implementation.

1.2.2 THE UW SYSTEM ADMINISTRATION

The UWSA is responsible for managing the UW System’s academic degree program array in alignment with BOR policy. Management of the array entails: consulting with the UW institutions in the planning of new programs; monitoring and analyzing the current array, including degree productivity, distance education offerings, and modes of delivery; working with the UW institutions in identifying gaps in the current array to address changing and emerging workforce and societal needs; and supporting the BOR and the UW institutions in bringing new programs to the BOR for approval. The President currently delegates this work to the Office for Academic and Student Affairs (ASA). Specifically, the Associate Vice President for Academic Programs and Educational Innovation (APEI) and System staff work collaboratively with the UW institutions to ensure the development and implementation of high-quality degree offerings. APEI develops and implements broad guidelines and specific criteria, priorities, analyses, and procedures for comprehensive planning and program review decisions.

1.2.3 THE UW INSTITUTIONS

Chapter 36 Wis. Stats. (<https://docs.legis.wisconsin.gov/statutes/statutes/36>), also delineates specific roles for Chancellors and faculty in academic program planning. The Chancellors of the UW institutions, in consultation with their faculties, are responsible for designing curricula congruent with their distinct missions, setting degree requirements, determining academic standards, instituting criteria for eliminating and suspending programs, and establishing grading procedures. Specifically, the faculty of each institution, subject to the responsibilities and powers of the BOR, the President, and the Chancellor, has primary responsibility for academic and educational activities.

Each institution appoints a program planning liaison in the institution’s Provost’s Office, who is typically an Associate Provost and who is broadly familiar with program planning and review processes. This liaison is responsible for communicating all UWSA and BOR rules and policies to the institution’s constituents, for screening and finalizing all

written and supporting materials in accordance with UWSA and BOR policies and formats, and for acting as the main contact for all actions regarding SYS 102, *Policy on University of Wisconsin System Array Management: Program Planning, Delivery, Review, and Reporting*.

2. Approval Process for New Academic Degree Types/Programs

2.1 Overview of Approval Process

The policies outlined in this section are intended to guide academic degree program (program) approval as determined by the University of Wisconsin System Administration (UWSA) and the Board of Regents (BOR). Each University of Wisconsin institution (UW institution) has its own internal processes for developing, approving, and reviewing new programs. It is recommended that the institutional capital planning staff be consulted as part of the process. Good practice dictates that UW institutional leaders informally update Academic Programs and Educational Innovation (APEI) via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) about nascent and emerging ideas for new programs to allow for consultation and exchange of information that may be relevant to the early planning process.

2.1.1 DEFINITION OF A NEW ACADEMIC DEGREE PROGRAM (MAJOR)

New programs are defined as:

1. Any program that will conclude with the conferral of a degree at the bachelor degree level or above in any field or major not previously offered; generally speaking, new programs are also majors. Included within this definition are existing submajors (also called minor, concentration, track, or emphasis) that a university or college wishes to elevate to a stand-alone degree program.
 - a. Associate Degrees do not require BOR approval but do require approval by the Associate Vice President (AVP) of APEI. Associate Degrees can only be conferred as an Associate of Arts, an Associate of Science(s), or an Associate of Arts and Science (see [Section 2.5](#)).
2. Any existing program that is altered to such an extent that a change in the first two digits of the Classification of Instructional Programs (CIP) code or any change to the major code is required.
3. Any program authorized at one degree level that will be offered at another level, either in addition to, or in place of, the existing program.
4. Any program authorized at one degree type of BA/BS or MA/MS that is adding another type within the same degree level if curricular changes made to the program will impact more than 50% of the degree requirements (see [Section 3.2](#) for Redirecting).

Notes:

- Special conditions apply to doctoral degrees, particularly professional practice or clinical doctorates at comprehensive institutions (see [Section 4](#)).
- Additional considerations apply to collaborative degrees (see [Section 5](#)).

- The degree name and type on the student's diploma and transcript should match the approved program name and type.

2.1.2 OUTLINE OF THE APPROVAL PROCESS

The approval process for a new program has three steps as described below:

Step 1: Approval to Plan

The first step involves requesting approval to plan a new program. During this step, the institution submits a Notice of Intent that serves as a request to start the pre-Board planning process at its institution. The AVP of APEI must authorize the request to plan in order for the process to continue to the next step.

Step 2: Degree Authorization

If the request to plan is approved by the AVP, the institution moves to the authorization step, which can last as little as a week or as long as three years, depending on the readiness of the institution. During this period, the institution is authorized to prepare the appropriate documents which include the [Request for Authorization to Implement a Degree](https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) , a [Letter of Commitment](https://www.wisconsin.edu/uw-policies/download/related_documents/102/Letter-of-Commitment.pdf) (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Letter-of-Commitment.pdf) from the proposing institution's Provost, and a [Cost and Revenue Projections for Newly Proposed Program](https://www.wisconsin.edu/uw-policies/download/related_documents/102/Copy-of-Cost-and-Revenue-Projections-for-Newly-Proposed-Program.xlsx) (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Copy-of-Cost-and-Revenue-Projections-for-Newly-Proposed-Program.xlsx) spreadsheet.

Step 3: Degree Implementation

If the BOR authorizes the new program, the institution moves to the final implementation step of the process.

2.2 Approval to Plan

2.2.1 THE NOTICE OF INTENT DOCUMENT

The intended audience for the Notice of Intent is UW Chancellors, Provosts, and their staff members, as well as UWSA administrators and staff. Once formally submitted to APEI, the Notice of Intent becomes a public document.

The Notice of Intent should be up to three pages in length and include the following information:

- The name of the proposed program, the institutional setting, the mode of delivery, and institutional contact information;
- A description of the new program that includes anticipated program and learning outcomes;
- Sufficient information about content and program level so that reviewers can understand how the program may relate to other offerings;
- Existing or anticipated resources required to deliver the program;
- Information on other required approvals to offer the program beyond the BOR (such as accreditation bodies, including the Higher Learning Commission [HLC]) should be included;

- Evidence of how the new program aligns with the institutional mission, strategic plan, and existing academic degree program array and a link to the institution's academic strategic plan; and
- A rationale that clearly defines the need for the new program, including market and student demand in the context of local, regional, and systemwide programs. The rationale should include evidence that the program will not produce unnecessary program duplication. Unnecessary is defined as the addition of an academic degree program that is already offered by 50% or more of the UW institutions when there is a lack of convincing evidence that student demand exists to financially support and sustain its addition.

2.2.2 PROCESS FOR APPROVING THE NOTICE OF INTENT

2.2.2.1 Distribution of the Notice of Intent

After completing preliminary institutional planning processes, the proposing institution's Provost sends the Notice of Intent to APEI and to the Provosts at all University of Wisconsin System (UW System) institutions via pnrnoticeofintent@maillist.uwsa.edu (<mailto:pnrnoticeofintent@maillist.uwsa.edu>).

2.2.2.2 Comment Period

- Institutions have 10 working days to review the Notice of Intent and respond to the proposing institution's Provost with the following:
- Opportunities for potential collaboration;
- Concerns, including questions of duplication; and/or
- General comments regarding other aspects, such as the compatibility of the proposed program with the institution's mission.

Institutions may request from the proposing institution's Provost additional time to respond, typically no longer than 10 working days. Concurrent with the institutional review, the AVP of APEI conducts a review of the Notice of Intent, focusing on overall systemwide array and other matters in accordance with BOR and UWSA policy.

2.2.2.3 Review of Comments

Within five working days of the end of the comment period, the proposing institution's Provost compiles all responses and forwards them to APEI and to the Provosts at all the UW institutions via pnrnoticeofintent@maillist.uwsa.edu (<mailto:pnrnoticeofintent@maillist.uwsa.edu>). If an institution has not responded with comments or concerns by the end of the comment period, this is interpreted to mean that it has no serious concerns or issues with the program being proposed.

2.2.2.4 Addressing Concerns

Within 20 working days after the end of the comment period, if there are concerns, issues, or opportunities for collaboration, the proposing institution's Provost must consult with those institutions raising them. By the end of the 20 working day period, the Provost at the proposing institution and the Provost(s) at the institution(s) raising the concerns, issues, or opportunities for collaboration must submit separate statements to APEI and to the other Provosts via pnrnoticeofintent@maillist.uwsa.edu (<mailto:pnrnoticeofintent@maillist.uwsa.edu>) that outline how the concerns, issues, or opportunities for collaboration will be addressed.

If facilitated resolution is requested by one or more of the Provosts, the AVP will determine the appropriate manner in which to proceed with the request(s).

As part of the decision-making process, APEI may request additional data from the UW institutions regarding the proposed program and existing programs in similar areas.

2.2.2.5 Notification of Approval/Denial of Request

If no concerns, issues, or opportunities for collaboration have been raised by the institutions or upon completion of facilitated resolution or upon receipt of institutional data, the AVP will, as expeditiously as possible, approve or deny the request to plan the new program. In their role as the staff to the BOR, the AVP will take into account systemwide concerns in making its decision.

If approved, the institution enters into the Degree Authorization period. The Degree Authorization automatically expires three years after the date of the APEI memo.

If the request for approval to plan a new program is denied, the institution may appeal to the Vice President (VP) of the UWSA Office for Academic and Student Affairs. The decision of the VP is final.

2.3 Degree Authorization

2.3.1 THE REQUEST FOR AUTHORIZATION TO IMPLEMENT A DEGREE DOCUMENT

The intended audience for the Request for Authorization to Implement a Degree document includes the members of the BOR, administrators, and other interested parties. The Request for Authorization to Implement a Degree is a public document. The Request for Authorization to Implement a Degree (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) document **must follow the UW System BOR format**.

The Request for Authorization to Implement document should be eight to 10 pages in length and must address foundational elements: who, what, where, when, and why. The use of technical jargon should be minimized and acronyms should be clearly defined. The document should be written to convey the purpose and need for the proposed program; the benefits of the program to the institution; the ability of the institution to carry out the program; and the likely value to, and impact on, students and the residents of Wisconsin. The BOR template with format, requirements, and details can be found by downloading the Request for Authorization to Implement a Degree (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) form.

2.3.2 THE INSTITUTIONAL LETTER OF COMMITMENT

The Letter of Commitment (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Letter-of-Commitment.pdf) is submitted by the institution's Provost. The letter should be addressed to the President of the UW System (copied to the AVP of APEI) and affirm that:

- The program has been designed to meet the institution's definition and standards of quality and will

make a meaningful contribution to the institution's select mission, overall academic plan, and academic degree program array;

- There is institution-wide support for the program, including institutional governance approval;
- The necessary financial and human resources are in place and/or have been committed to implement and sustain the program; and
- Program evaluations are in place.

2.3.3 THE COST AND REVENUE PROJECTIONS FOR NEWLY PROPOSED PROGRAM SPREADSHEET

The purpose of the Cost and Revenue Projections for Newly Proposed Program (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Copy-of-Cost-and-Revenue-Projections-for-Newly-Proposed-Program.xlsx) spreadsheet is to document the financial sustainability of the program. The spreadsheet shows projected revenues and indicates how new or existing resources will be (re)allocated to offset the program costs. The projection will cover a five-year period.

2.3.4 PROCESS FOR DEGREE AUTHORIZATION

The proposing institution's Provost (or institutions' Provosts in the case of a collaborative program) submits all authorization materials, including the Request for Authorization to Implement a Degree (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) , the Letter of Commitment (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Letter-of-Commitment.pdf) , and the Cost and Revenue Projections for Newly Proposed Program (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Copy-of-Cost-and-Revenue-Projections-for-Newly-Proposed-Program.xlsx) spreadsheet as described above to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) at least eight weeks in advance of the BOR meeting at which the institution requests that the proposal be considered. APEI will work closely and extensively with the institution on finalizing the documents to prepare them for submission to the President and the BOR.

The President decides whether or not to recommend the proposed program to the BOR for approval. The BOR decides whether or not to authorize the program. The BOR's policies can be found here (<https://www.wisconsin.edu/regents/policies/>).

The AVP of APEI notifies the institution of the BOR's decision and provides instructions about implementation. Authorizations that are not implemented three years after the date of BOR approval will automatically expire. APEI will send a reminder six months prior to the expiration date. If an institution wants to request an extension, the Provost sends a formal request to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) no later than three months before the expiration date. Extensions may be granted for a period of no more than one year.

2.4 Degree Implementation

At least four weeks in advance of the desired implementation term, the proposing institution's Provost notifies APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) of the following:

- The implementation year and term for the approved program;
- The academic year in which the first review of the program will occur and the date by which the institution will submit the results of the first review to APEI; and
- If HLC or other accrediting agency approval of the new program is required. If accreditation(s) and/or approval(s) are required, upon approval, a copy of the notification letter(s) is sent to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>).

Once all of the above information is received, APEI sends a memo acknowledging the start date of the program, the date the program will be reviewed, and the CIP and major codes assigned to the program. Policy Analysis and Research provides information to the UW Higher Education Location Program (UW HELP) for posting on the UW System Majors and Other Academic Programs Database ([MajorMania \(http://majormania.uwex.edu/\)](http://majormania.uwex.edu/)).

2.5 Associate Degrees

Adding an Associate Degree at a UW institution that is not currently approved to offer an Associate Degree requires approval by APEI. Once an institution is approved to offer an Associate Degree, it may offer the Associate of Arts, the Associate of Science(s), and/or the Associate of Arts and Science degrees.

At least 12 weeks before the desired effective date when the institution wants to offer an Associate Degree, the Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- A clear description of the Associate Degree the institution wishes to add;
- A brief rationale for the action;
- Confirmation of the approval of the appropriate institutional governance body or bodies;
- If HLC approval will be needed; and
- The desired effective date.

APEI will contact the institution regarding any questions or clarifications. The AVP of APEI approves or denies the request as expeditiously as possible.

If the addition of an Associate Degree requires HLC action, APEI should be notified via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>).

2.6 Institutional Quality Control

The UW faculty, with oversight by Deans, Provosts, Chancellors, and higher education accreditation agencies, are responsible for developing, implementing, and reviewing high-quality program offerings in ways that leverage academic strengths and respond to emerging workplace and societal needs. See [Section 6](#) for information on Reviews.

3. Existing Academic Degree Types/Programs

Changes and updates will be recorded in the Central Data Request (CDR) (<https://www.wisconsin.edu/education-reports-statistics/data-management/central-data-request/cdr-manual/>) database, maintained by Policy Analysis and Research, using the date stated in the memo issued by Academic Programs and Educational Innovation (APEI). The functionality of the CDR does not permit retroactive entry of data.

3.1 Eliminating an Academic Degree Type

Eliminating an existing academic degree type of B.A., B.S., M.A. or M.S. requires written notification at least four weeks prior to the desired effective date. The elimination of other degree types usually represents the elimination of an entire academic degree program (see Section 3.4).

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- A clear description of the action to be taken;
- A brief rationale for the action;
- The potential impact on students currently enrolled;
- The potential impact on faculty and academic staff;
 - Confirmation of the approval of the appropriate institutional governance body or bodies; and
 - The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

3.2 Renaming or Redirecting an Academic Degree Program

3.2.1 RENAMING AN ACADEMIC DEGREE PROGRAM

Renaming a program requires written notification at least four weeks prior to the desired effective date.

Curricular changes may not exceed 30% of the requirements for the program and the entire major code must remain the same. It is assumed that no changes will be made to the CIP code. If there will be a change to the Classification of Instructional Programs (CIP) code, the institution should consult with their APEI Program Planning, Review, and Array Management liaison via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>).

The Provost provides the following information to APEI via afpg@uwsa.edu (<mailto:afpg@uwsa.edu>):

- The name change;
- A brief rationale for the change;
- Confirmation that the above renaming criteria have been met;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

3.2.2 REDIRECTING AN ACADEMIC DEGREE PROGRAM

Redirecting a program requires written notification at least four weeks prior to the desired effective date.

Curricular changes to the program's degree requirements may not exceed 50%; the entire major code must remain the same; and the first two digits of the CIP code must remain the same. Generally, such revisions are reflective of a change in market demand for new or shifting career paths.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- The nature of the redirection;
- Confirmation that the above redirection criteria have been met;
- A rationale for any change to the CIP code and/or change in curriculum;
- The potential impact on students currently enrolled;
- The potential impact on faculty and academic staff;
 - Confirmation of the approval of the appropriate institutional governance body or bodies; and
 - The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

3.3 Suspending Admissions to an Academic Degree Program

3.3.1 BACKGROUND

Suspending admissions allows an institution to temporarily remove a program from the systemwide academic degree program array and, if appropriate at a later date, reinstate the program when demand and resources justify the continued operation of the program without Board of Regents (BOR) approval.

While in suspension, the program in question is not included in the systemwide array or listed in the University of Wisconsin System Majors and Other Academic Programs Database ([MajorMania \(http://majormania.uwex.edu/\)](http://majormania.uwex.edu/)). Institutions should not “unpublish” a program in MajorMania or the institution's catalogue without also submitting notification of program suspension.

Continuing students will count as a part of institutional degree productivity.

3.3.2 PROCESS TO SUSPEND ADMISSIONS

Suspending admissions to a program requires written notification at least four weeks prior to the desired effective date.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- The rationale for the program suspension;
- The potential impact on students currently enrolled;

- The potential impact on faculty and academic staff;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information

3.3.3 REINSTATEMENT OF ADMISSIONS TO A SUSPENDED PROGRAM

Officially suspended programs can be reinstated at any time during a period of five years.

Reinstating admissions to a suspended program requires written notification at least four weeks prior to the desired effective date.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- The rationale for reinstatement;
- The resources available to support faculty, staff, labs, equipment, etc.;
- Projected enrollments and student demand;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

3.3.4 ELIMINATION OF SUSPENDED PROGRAMS

Programs suspended for a period of five years will be automatically closed and eliminated from the CDR database. At any time during this five-year period, a UW institution can send written notification to permanently eliminate the program (see [Section 3.4](#)). The period of five years begins on the date of the APEI notification memo that is issued per [Section 3.3.2](#). APEI will notify institutions six months prior to the elimination date. Upon closure, the institution may not enroll new students.

3.4 Eliminating an Academic Degree Program

3.4.1 PRINCIPLES FOR EVALUATING ACADEMIC DEGREE PROGRAM ELIMINATION

In evaluating programs for possible elimination, consideration should be given to the following:

- The quality of the program in the areas of teaching and learning, and the contributions of its faculty in research, creative activity, and service;
- The contribution of the program to the mission and strategic plan of the institution, the overall quality of academic offerings, and the strategic plan of the institution;
- Student demand for the program as measured by student enrollment, retention, graduation trends,

and applicable variables;

- The resource implications of retaining or eliminating the program;
- The uniqueness/redundancy of the program within the institution and across the UW System;
- Opportunities for collaboration with other programs within the institution or at other UW institutions; and
- The impact of program elimination on systemwide array and student access to programs.

3.4.2 PROCESS FOR ELIMINATION

Eliminating a program requires written notification at least four weeks prior to the desired effective date.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- A brief description of the program elimination;
- A brief rationale for the change;
- The potential impact on currently enrolled students;
- The potential impact on faculty and academic staff;
 - Confirmation of the approval of the appropriate institutional governance body or bodies; and
 - The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information

3.5 Distance Delivery of an Academic Degree Program

3.5.1 BACKGROUND

For **new** programs, UW System Administration (UWSA) and BOR approval are required. UW institutions must follow the process detailed in [Section 2](#).

UWSA adopts the [Higher Learning Commission's \(HLC\)](http://ncahlc.org/) (<http://ncahlc.org/>) current definition for distance delivery and correspondence delivery. If a student can earn the degree by taking 50% or more of the work in distance courses as defined by the HLC, the program is considered a distance delivery degree program.

The UWSA's primary roles in distance delivery matters are to minimize unnecessary duplication of, and competition between, programs (systemwide array management); to maintain accurate records of distance delivery degree programs throughout the UW System; to review opportunities for the efficient use of resources systemwide; and to ensure that requirements for delivering programs to citizens of other states are met. Information about state authorization requirements can be found at <http://wcet.wiche.edu/> (<http://wcet.wiche.edu/>).

3.5.2 OFFER 100% ONLINE DELIVERY

Offering an existing face-to-face degree program via 100% distance delivery (whether or not the face-to-face delivery is being eliminated) requires written notification at least 12 weeks prior to the desired effective date.

The Provost provides the following information to APEI and all Provosts via pprnoticeofintent@maillist.uwsa.edu (<mailto:pprnoticeofintent@maillist.uwsa.edu>):

- A brief description of the existing program that will be offered via 100% distance delivery;
- Whether the program will continue to be offered via face-to-face delivery, and the percentage that will be offered via face-to-face delivery;
- A brief rationale for the change, including opportunities that will be made available to students;
- The potential impact on students, including an assessment of any changes in costs;
- The potential impact on faculty and staff;
- Information on how any lab courses required for the degree will be handled;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

Provosts have 10 working days to review the information and respond via pprnoticeofintent@maillist.uwsa.edu (<mailto:pprnoticeofintent@maillist.uwsa.edu>) if there are concerns.

If no institutional concerns are raised, and if there are no systemwide concerns, APEI will issue the notification memo within 15 working days after the end of the Provosts' review. If there are institutional or systemwide concerns, the AVP of APEI will determine the appropriate manner in which to proceed and will issue an approval or denial memo in an expeditious manner.

3.5.3 OFFERING 50% OR MORE, BUT LESS THAN 100%, OF AN EXISTING ACADEMIC DEGREE PROGRAM VIA DISTANCE DELIVERY

Offering 50% or more, but less than 100%, of an existing academic degree program via distance delivery requires written notification at least four weeks prior to the desired effective date. It is assumed that face-to-face delivery will continue.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- A brief description of action(s) to be taken;
- The percentage of the program that will be offered via distance delivery and the percentage of the program that will continue to be offered via face-to-face delivery;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

3.5.4 ADD FACE-TO-FACE DELIVERY TO AN EXISTING 100% DISTANCE

DELIVERY PROGRAM

Adding face-to-face delivery to an existing 100% distance delivery program requires written notification at least four weeks prior to the desired effective date.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- A description of the action to be taken;
- The percentage of the program that will be offered via face-to-face delivery and the percentage of the program that will continue to be offered via distance delivery;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
 - The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

3.6 Direct Assessment Competency-Based Delivery of an Academic Degree Program

3.6.1 BACKGROUND

For **new** programs, UWSA and BOR approval are required. Institutions must follow the process detailed in [Section 2](#).

UWSA adopts the [Higher Learning Commission's \(HLC\)](http://ncahlc.org/) (<http://ncahlc.org/>) definition for direct assessment, competency-based delivery. A complete list of the characteristics of programs requiring HLC approval, along with the screening form and substantive change application, may be found [here](https://www.hlcommission.org/Monitoring/institutional-change.html?highlight=WyJkaXJlY3QlLCJhc3Nlc3NtZW50liwiZGlyZWNoIGFzc2Vzc21lbnQiXQ==) (<https://www.hlcommission.org/Monitoring/institutional-change.html?highlight=WyJkaXJlY3QlLCJhc3Nlc3NtZW50liwiZGlyZWNoIGFzc2Vzc21lbnQiXQ==>).

UW institutions that seek to offer Direct Assessment Competency-Based programs should refer to the guidelines specified in the U.S. Department of Education's [Dear Colleague Letter](https://ifap.ed.gov/dpccletters/GEN1423.html) (<https://ifap.ed.gov/dpccletters/GEN1423.html>).

3.6.2 PROCESS FOR DIRECT ASSESSMENT COMPETENCY-BASED DELIVERY

Offering an existing academic degree program where 100% of the degree can be obtained via direct assessment competency-based delivery (such as the [UW Flexible Option](http://flex.wisconsin.edu/) (<http://flex.wisconsin.edu/>)) requires written notification at least 12 weeks prior to the desired effective date.

The Provost provides the following information to APEI and all Provosts via pnrnoticeofintent@maillist.uwsa.edu (<mailto:pnrnoticeofintent@maillist.uwsa.edu>):

- A brief description of the program;
- A description of how the intended learning outcomes for the major or degree are equivalent to those in the existing program;

- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

Provosts have 10 working days to review the information and respond via pprnoticeofintent@maillist.uwsa.edu (<mailto:pprnoticeofintent@maillist.uwsa.edu>) if there are concerns.

If no institutional concerns are raised, and if there are no systemwide concerns, APEI will issue the notification memo within 15 working days after the end of the Provosts' review. If there are institutional or systemwide concerns, the AVP of APEI will determine the appropriate manner in which to proceed and will issue an approval or denial memo in an expeditious manner.

APEI should be notified via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) when HLC approval has been obtained.

3.7 Extending an Academic Degree Program to an Additional Location

3.7.1 EXTENDING AN ACADEMIC DEGREE PROGRAM TO AN ADDITIONAL LOCATION IN WISCONSIN

Extending an academic degree program to another UW institution/campus, or to another county in Wisconsin, requires written notification at least 12 weeks prior to the desired effective date.

The Provost provides the following information to APEI and all Provosts via pprnoticeofintent@maillist.uwsa.edu (<mailto:pprnoticeofintent@maillist.uwsa.edu>):

- The details of the program extension;
- A brief rationale for the planned extension;
- The degree name(s) and type(s), and the address(es) of the additional location(s);
- For programs that will operate within a county in which another UW institution/campus is located, the notice must include details about any cooperative or collaborative arrangements;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

Provosts have 10 working days to review the information and respond via pprnoticeofintent@maillist.uwsa.edu (<mailto:pprnoticeofintent@maillist.uwsa.edu>) if there are concerns.

If no institutional concerns are raised, and if there are no systemwide concerns, APEI will issue the notification memo within 15 working days after the end of the Provosts' review. If there are institutional or systemwide concerns, the AVP of APEI will determine the appropriate manner in which to proceed and will issue an approval or denial memo in an expeditious manner.

APEI should be notified via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) when HLC approval has been obtained.

3.7.2 EXTENDING AN ACADEMIC DEGREE PROGRAM TO AN ADDITIONAL PHYSICAL LOCATION BEYOND WISCONSIN, INCLUDING INTERNATIONAL LOCATIONS

Extending a program to an additional physical location beyond Wisconsin requires written notification at least four weeks prior to the desired effective date. UW System Administrative Policy 120 (SYS 120), *Regarding Offering On-Site Undergraduate and Graduate and Other Instruction Programs* (<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-policy-regarding-offering-on-site-undergraduate-and-graduate-and-other-instruction-programs/>) may apply.

The Provost provides the following information to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- The details of the program extension;
- A brief rationale for the planned extension;
- The degree name(s) and type(s), and the location of the additional location(s);
- Confirmation of the approval of the appropriate institutional governance body or bodies;
- If authorization to operate is required by the jurisdiction in which the additional site is located; and
- The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

APEI should be notified via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) when HLC approval has been obtained.

3.7.3 CLOSING THE DELIVERY OF AN ACADEMIC DEGREE PROGRAM AT AN ADDITIONAL PHYSICAL LOCATION

Closing the delivery of an academic degree program at an additional physical location requires written notification at least four weeks prior to the desired effective date.

The Provost provides the following information to APEI via apgp@uwsa.edu (<mailto:apgp@uwsa.edu>):

- A brief rationale for closing the additional location;
- The potential impact on students;
- The potential impact on faculty and staff; and
- The desired effective date.

APEI will issue the notification memo within 15 working days after receipt of the information.

4. Establishing Professional Doctoral Programs at Comprehensive Institutions

These principles and guidelines are in addition to all other established requirements and guidelines for the approval of a new academic degree program (program) (see [Section 2](#)). These guidelines apply to University of Wisconsin (UW System) institutions within the comprehensive mission cluster. For institutions within the doctoral cluster, UW-Madison and UW-Milwaukee, these guidelines do not apply.

4.1 Principles

4.1.1 ENHANCE ACCESS TO PROFESSIONAL DEGREES

The goal of offering professional doctorates at the comprehensive institutions is to provide high-quality professional doctoral degrees in fields where there are clearly defined market needs. Professional doctorates should be offered as a response to the evolution in a field such that a professional doctorate is necessary to continue to serve a population of students that may have previously been served at the master's level.

The development of professional doctorates may also respond to the needs of place-bound students, regional employer needs, space limitations in UW-Madison or UW-Milwaukee programs, or a clear demonstration that UW-Madison and/or UW-Milwaukee cannot fulfill the identified need.

Professional doctorate programs do not include Ph.D.s. Only UW institutions within the doctoral cluster can offer Ph.D. programs.

For new and emerging fields of study that do not exist at the master's level within the UW System, the professional doctorate will be offered through UW-Madison and/or UW-Milwaukee.

4.1.2 ENHANCE EFFICIENCIES AND AVOID UNNECESSARY DUPLICATION

Collaboration with other institutions will remain a key consideration in the development of new professional doctorates. In the case of collaborative programs, the proposal should demonstrate that the institutions have the capacity and logistical ability to jointly offer the program. The proposal should also include evidence that the professional degree does not unnecessarily duplicate already existing or similar degrees at other UW institutions. Unnecessary is defined as the addition of a doctoral academic degree program that is already offered by 50% or more of the UW institutions when there is a lack of convincing evidence that student demand exists to financially support and sustain its addition.

4.2 Criteria and Process for Establishing Professional Doctorates

A request to establish a professional doctorate must follow the approval processes outlined in [Section 2](#).

Upon approval to plan, the [Request for Authorization to Implement a Degree](https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Request-for-Authorization-to-Implement-a-Degree.pdf) document must also address how the proposal meets the following criteria:

- Professional doctorates should be offered at institutions that have pre-existing infrastructure, and faculty capacity and expertise to support the doctoral level program.

- The proposal should demonstrate that the proposed professional doctorate is high-quality in terms of the rigor of its curriculum, program objectives, and its available resources, including faculty and facilities;
- Delivery of programs should ensure that the state's workforce needs are addressed and that students have reasonable access to the education necessary to meet those needs;
- The degree should prepare students for professional practice in a specific field. The proposal should demonstrate that the degree is necessary based on new practice requirements, accreditation requirements, or for licensure in the professional field of study;
- The proposal should demonstrate that the doctoral degree does not reduce the integrity of the institution's undergraduate mission, does not take away resources devoted to undergraduate education, and does not undermine the strength of undergraduate academic degree program array offerings;
- The proposal should assure that offering a professional doctorate will not result in the significant shifting of undergraduate teaching load from faculty to adjuncts and/or instructional academic staff;
- The proposed professional doctorate should be carefully targeted to align with the goals, select mission, and strategic plan or direction of the specific institution. The program should also align with the UW System's mission and strategic plan;
- Professional doctorate proposals should demonstrate national, regional, and local market needs in specific professional fields; and
- Program pricing for a professional doctorate at an institution should be competitive with peer institutions and aligned with market demand.

4.3 Mission Modification

The request to offer a professional doctorate in an institution's academic degree program array may result in a review by Academic Programs and Educational Innovation of the institution's select mission prior to authorization by the Board of Regents.

5. Academic Degree Program Partnerships Offered through a Consortial Agreement

5.1 Background

Academic degree program (program) partnerships, including those with international institutions or organizations, support efforts to manage competition for resources and avoid unnecessary duplication of programs. (Unnecessary is defined as the addition of an academic degree program that is already offered by 50% or more of the University of Wisconsin institutions (UW institutions) when there is a lack of convincing evidence that student demand exists to

financially support and sustain its addition.) Such programs are offered through a consortial agreement between institutions. Staff members at partner institutions work together on the development, implementation, administration, and/or delivery of the curriculum and program.

Institutions must comply with accrediting standards and federal regulations relative to the provision of contractual or consortial agreements. Definitions of contractual and consortial agreements, core components, and criteria for programs offered through such an agreement may be found in the Higher Learning Commission's (HLC) *Criteria for Accreditation* standards (CRRT.B.10.010) (<http://policy.ncahlc.org/Policies/criteria-for-accreditation.html>). Conditions governing written agreements to provide educational programs administered by the U.S. Department of Education (CFR Section 668.5) may be found in the Department of Education policy (<https://www.gpo.gov/fdsys/granule/CFR-2011-title34-vol3/CFR-2011-title34-vol3-sec668-5>).

For the purposes of University of Wisconsin System (UW System) program planning, consortial program partnerships involve two accredited institutions of higher education and fall into three categories.

1. A **collaborative academic degree program** is a program that is authorized by the Board of Regents (BOR) to be jointly offered by more than one UW institution. Each degree-granting institution involved in the collaboration has the authority to grant the degree. The institutions establish a consortial agreement to administer the degrees and provide a proportion of the educational program.
2. A **cooperative degree program** is an academic partnership in which one or each institution is independently authorized to grant the degree. The degree that was authorized by the BOR was not contingent on the partnership. Two or more institutions or organizations establish a consortial agreement to provide a proportion of the educational program.
3. A **dual degree program** is one that involves two or more programs offered by two or more institutions that the student pursues concurrently. Each of the institutions offers a proportion of the educational degree program that is common to both degrees.

5.2 Key Factors to Consider in Planning an Academic Degree Program Partnership through a Consortial Agreement

When planning a program partnership that will be offered through a consortial arrangement, in addition to HLC and Federal Department of Education requirements, institutions are encouraged to consider the following key questions.

A. Program Faculty

Instructional

- What will the curriculum be for this program?
- Which faculty will teach in this program?
- What delivery methods will be used?
- If the institutions' practice differs, what grading system, etc., will be used?
- How will student learning outcomes be assessed and how will this program be evaluated?

Academic Administration

- How will student recruitment and advising be administered?
- What are the admission criteria for students seeking to enter this program?
- How will the scheduling, timetable, cross-listing, etc., in various program locations be accomplished?
- How will faculty, staff, and student assistants be hired and promoted?

B. Administrative Staff

Financial Administration

- What funding model will be used and how will tuition be set to support that funding model?
- How will students in the program be counted (full-time equivalency and headcount)?
- How will segregated fees and, if applicable, United Council fees, be determined for students in the programs?
- How will program costs and revenues be distributed?

Financial Aid

- Which institution is the “providing” institution for financial aid purposes?
- If the institutions have different term lengths, what impact will that have on financial aid?

Admissions/Registration/Transfer

- What will be the institutional admission criteria/prerequisites?
- How will admissions to the program be handled?
- How will student data from the program be reported to UW System and others?
- How will the program resolve calendar differences?
- How will the program resolve enrollment and registration issues?
- How will the program conduct marketing and recruitment?

Student Support Services

- Academic and Career Advising
- How will students in the program receive advising?
- How will advisors be trained to serve students in the program?
- Disability Services
- How will students in the program receive or access disability services?
- How will disability services for students in the program be funded and reported?
- Student Conduct

Which institution will pursue disciplinary action when students are involved in academic or non-academic misconduct allegations? (e.g., location of incident? faculty institutional affiliation?)

- Health Services

How and where will students in the program have access to student health and counseling services?

- Information Technology

Will students obtain a university ID, an ID number, and associated rights at each institution?

- Library Services

How will students use the library resources at each institution?

- Recreational Sports/Athletics/Unions

How and where will students access these services?

C. Conflict, Mediation, and Dissolution Planning

- How will the institutions manage academic and administrative program disputes that arise due to disagreements over curricula or program administration?

5.3 Cooperative or Dual Degree Consortial Programs

If a new program partnership results in a new cooperative or dual degree program but does not comprise a new program, the institution reports the new partnership to afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) at least four weeks prior to the effective date. Institutions also report updates, such as changes and eliminations, to afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) at least four weeks prior to the effective date.

5.4 Collaborative (Consortial) Academic Degree Programs

5.4.1 COLLABORATIVE ACADEMIC DEGREE PROGRAMS OR JOINING AN EXISTING COLLABORATIVE PROGRAM

If a program partnership comprises a new program, or in cases where a UW institution seeks authorization to grant a degree as part of an existing collaborative program, the institution(s) must follow the approval process for a new program (see [Section 2](#)).

5.4.2 DISSOLUTION OF A COLLABORATIVE ACADEMIC DEGREE PROGRAM

5.4.2.1 Dissolution in Conjunction with Authorization of One or More New, Independent Programs

The dissolution of a collaborative program and the simultaneous re-authorization of one or more of the degrees as independent programs require the approval of the University of Wisconsin System Administration (UWSA) and the Board of Regents (BOR). The dissolution and authorization(s) are accomplished through a single resolution by the BOR.

See [Section 5.4.3](#) if the collaborative is to be dissolved with no reauthorization(s). See [Section 5.4.4](#) if one or more, but not all, institutions wish to withdraw from the collaboration.

5.4.2.2 Process for Dissolving a Collaborative Program and the Simultaneous Re-Authorization of One or More as Independent Programs

Dissolving a collaborative program and the simultaneous re-authorization of one or more of the degrees as independent programs requires written notification at least 12 weeks prior to the BOR meeting at which the institution(s) requests that the proposal be considered.

The Provosts at the UW institutions involved in the collaboration jointly provide the following information to Academic Programs and Educational Innovation (APEI) and all Provosts via ppnoticeofintent@maillist.uwsa.edu (<mailto:ppnoticeofintent@maillist.uwsa.edu>):

- A brief rationale for the change;
- The potential impact on currently enrolled students;
- The potential impact on faculty and academic staff;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

Provosts have 10 working days to review the information and respond via ppnoticeofintent@maillist.uwsa.edu (<mailto:ppnoticeofintent@maillist.uwsa.edu>) if there are concerns.

APEI will issue the notification memo within 15 working days after the end of the Provosts' review. If there are institutional or systemwide array concerns, the Associate Vice President (AVP) of APEI will determine the appropriate manner in which to proceed and will issue an approval or denial memo in an expeditious manner.

5.4.2.3 Dissolution Documents

If approved to move forward, the Provosts at the UW institutions involved in the collaborative program are jointly responsible for assembling the documents listed below and submitting them at least eight weeks in advance of the desired BOR meeting to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) for review and approval by officials at the UWSA and the BOR.

The documents that are reviewed and approved by the UWSA for submission to the BOR are listed below:

1. A request for dissolution and authorization of independent programs.

The request must be a single document that is co-written and jointly submitted by the Provosts of all institutions involved in the collaborative program. The request must clearly outline:

- the background information regarding the current partnership, including enrollment, and graduation data over the past 10 years, or life of the program if the program has been active for fewer than 10 years;
- the justification for the dissolution;
- confirmation that the dissolution of the collaborative program and the establishment of an independent program have been approved by the appropriate institutional governance body or bodies at all institutions involved in the collaborative program;
- verification from the appropriate professional accrediting bodies (if applicable) of the process to re-accredit independent programs;
- a detailed plan as to how students currently enrolled in the program would be transitioned to

independent accredited programs, without loss of credit or time to degree; and

- convincing evidence of:
 - sufficient student and market demand to support one or more independent programs;
 - the capacity of each institution to sustain an independent program, in terms of faculty and staff, facilities, technology, etc.; and
 - sufficient existing resources at each institution in the collaborative program requesting authorization to offer the program independently.
- 2. A letter from the Provost at each institution involved in the collaborative program affirming support for the dissolution and the authorization of independent programs.
- 3. A Cost and Revenue Projections for Newly Proposed Program (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Copy-of-Cost-and-Revenue-Projections-for-Newly-Proposed-Program.xlsx) spreadsheet for the independent programs.

5.4.3 DISSOLUTION WITHOUT AUTHORIZATION OF NEW, INDEPENDENT PROGRAMS

The dissolution of a collaborative program without the subsequent authorization of any degrees as independent programs is treated as an elimination of the programs (see Section 3.4). The notification must be jointly submitted.

5.4.4 WITHDRAWAL OF ONE OR MORE, BUT NOT ALL, PARTNERS

The withdrawal of one or more, but not all, of the partners in a collaborative program requires written notification at least 12 weeks prior to the desired effective date. If more than one institution wishes to withdraw, the notification must be jointly submitted.

The institution(s) withdrawing from the collaborative will no longer be authorized to offer the program and it will be treated as eliminated at this institution(s) (see Section 3.4). The remaining institution(s) will continue to be authorized to collaboratively or independently offer the program. If the withdrawing institution(s) wishes to independently offer the program, but is not currently authorized to do so, the institution(s) must follow the approval process for a new program (see Section 2).

The Provost(s) provides the following information to all of the institutions in the collaboration, and APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>):

- A brief rationale for the change;
- A detailed plan as to how students currently enrolled in the program would be transitioned into another institution within the collaborative without loss of credit or time to degree;
- The potential impact on faculty and academic staff;
- Confirmation of the approval of the appropriate institutional governance body or bodies; and
- The desired effective date.

If there are no concerns from the other institutions in the collaborative, APEI will issue the notification memo within 15 working days after receipt of the information. If there are concerns from the other institutions in the collaborative, the AVP of APEI will engage in facilitated discussion with the institutions involved.

5.4.5 CONFLICT AND DISSOLUTION PLANNING

UW institutions will work collegially through any conflicts or disagreements regarding the dissolution of, or withdrawal from, a collaborative program. If a mutually satisfactory resolution is not reached, an institution(s) can request facilitated resolution by the AVP of APEI by sending a written request to afgp@uwsa.edu (<mailto:afgp@uwsa.edu>).

5.5 Transfer Agreements

5.5.1 BACKGROUND

There are two types of articulations: course-to-course and program-to-program. UW System Administrative Policy 135 (SYS 135), UW System Undergraduate Transfer Policy (<https://www.wisconsin.edu/uw-policies/docs/uw-system-undergraduate-transfer-policy/>), contains policies that govern course-to-course articulation agreements and UW System Administrative Policy 140 (SYS 140), UW System Guidelines for Articulation Agreements between UW System Institutions and WTCS Districts (<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/>) contains policies that govern program-to-program articulation agreements. In the UW System, transfer information is available on the Transfer website (<https://www.wisconsin.edu/transfer/>).

1. Course-to-Course

Typically, a receiving institution agrees to accept a course (or set of courses) from another institution as a course (or set of courses) or for elective credit at the receiving institution. These credit equivalencies are recorded and maintained in the institution's Student Information System and in the UW System Transfer Information System (<https://www.wisconsin.edu/transfer/wizards/>).

2. Program-to-Program

More often, articulation agreements reference formal agreements between institutions that allow credits earned in a specific program to be applied to a specific program at the receiving institution. These program-to-program transfer agreements allow a student to earn credits in a program (or earn an associate degree) at one institution and transfer at an advanced level to the receiving institution. These agreements may be between two institutions or may encompass multiple institutions. See SYS 140 (<https://www.wisconsin.edu/uw-policies/docs/uw-system-undergraduate-transfer-policy/>), UW System Guidelines for Articulation Agreements between UW System Institutions and WTCS Districts for guidelines and here (<https://www.wisconsin.edu/transfer/agreements-campus/>) for a listing of articulation agreements.

6. Review

6.1 Types of Institutional Review

University of Wisconsin institutions (UW institutions) conduct or undergo a number of academic degree program reviews. These include first reviews, recurring reviews, external accreditation, and general education program revisions.

6.1.1 FIRST REVIEW OF AN ACADEMIC DEGREE PROGRAM

In its implementation notification, the UW institution informs Academic Programs and Educational Innovation (APEI) when it anticipates completing the first review of the new program. Within 20 working days of the completion of the first institutional review of a new academic degree program (program), institutions submit a one-page narrative to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) summarizing the results of the review. If the external or institutional review bodies identify areas of concern, the Associate Vice President (AVP) of APEI will follow up with the institution about its action plan for addressing the concerns.

6.1.2 REGULAR (RECURRING) REVIEW OF EXISTING ACADEMIC DEGREE PROGRAMS

Each institution is responsible for comprehensive and intensive re-examination of all academic programs. The review should lead to recommendations that a program be:

- Continued in its present form;
- Changed in form or direction, meaning a redirection of a program (see [Section 3.2](#));
- Consolidated with other programs, meaning a redirection of a program (see [Section 3.2](#)); or
- Suspended or eliminated (see [Section 3.3](#) and [Section 3.4](#)).

6.1.3 EXTERNAL ACCREDITATION

As a means of demonstrating that educational quality has met standards external to the institution, UW System institutions must be accredited by a regional accrediting agency. In addition, some programs (e.g., social work and engineering) must be accredited by a professional accrediting agency or association. Accreditations are reported APEI as part of the Annual Program Planning, Review, and Array Management Report (see [Section 7.1](#)).

6.1.4 GENERAL EDUCATION PROGRAMS

Information regarding general education program requirements should be posted on the institutional website. When revisions are made to the requirements, the UW institution should immediately post the revisions on the institution's website. Within 20 working days of substantive revisions to the requirements, the UW institution notifies all and APEI via pprnoticeofintent@maillist.uwsa.edu (<mailto:pprnoticeofintent@maillist.uwsa.edu>). The notice should include a link to the webpage where the information is posted.

6.2 Systemwide Reviews

The Board of Regents (BOR) may periodically request institutions to provide information about program evaluation, metrics of quality, and outcomes. If necessary, an external reviewer might be charged with conducting a lateral review of one or more programs across the UW System.

6.3 Monitoring Low-Degree-Producing Academic Degree Programs

6.3.1 BACKGROUND

Undergraduate programs offered by *more than* 50% of all UW institutions are those that are reviewed for degree productivity. The degree productivity expectation is no less than 25 graduates over a five-year period, excluding all world language programs and individually designed programs. The review period for new programs in this category begins six years after the program's implementation.

6.3.2 PROCESS FOR LOW PRODUCING PROGRAMS

6.3.2.1 Institutional Review

UW institutions review and address low-degree-producing programs, based on mission and resources.

For all low-degree-producing programs, institutions may establish and follow more stringent policies or guidelines than those outlined in this section.

6.3.2.2 UW System Review

APEI conducts a review of all undergraduate majors in the UW System for degree productivity at least every five years as part of its responsibility for systemwide academic degree program array management. This review may be conducted separately or in conjunction with other UW System reviews of programs.

Programs that do not meet the degree productivity minimum expectations as described above are provided to UW institutions. Institutional responses are due to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) within 20 working days upon receipt of the information.

If an institution wants to retain a low-degree-producing program, the Provost provides a brief justification for continuing the program. The justification should include plans to increase enrollment, combine the program with another program, or offer the program in partnership with another institution. In addition, low-degree-producing programs that were previously identified as low-degree-producing and continue to be low-degree-producing must also provide a description of the strategies that were employed to increase enrollment and provide a Cost and Revenue Projections for Newly Proposed Program (https://www.wisconsin.edu/uw-policies/download/related_documents/102/Copy-of-Cost-and-Revenue-Projections-for-Newly-Proposed-Program.xlsx) document for the most recent academic year.

APEI will respond after a review of the information. The response will be included in the University of Wisconsin System Annual Program Planning, Review, and Array Management Report to the BOR (see [Section 7.1](#)).

If the institutional response is to suspend or eliminate a low-degree-producing program, no justification is necessary (see [Section 3.3](#) and [Section 3.4](#) for information on suspension and elimination).

7. Reporting

7.1 University of Wisconsin System Annual Program Planning, Review, and Array Management Report

At the end of the academic year, Academic Programs and Educational Innovation (APEI) validates, collects, and collates data for the previous academic year from each University of Wisconsin institution (UW institution). The data may be submitted to the Board of Regents.

Each UW institution confirms that APEI has accurately recorded the information provided by the institution and submits any additional required information not previously reported. The data requested from each institution include institutional recurring program review activity; accreditations; program changes; current program collaborations; and any new programs in the planning stage.

All data are submitted electronically to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) on the forms provided.

7.2 Credit Certificates and Submajor Information

The University of Wisconsin System Administration recognizes the approval requirements set forth by the Higher Learning Commission (<http://ncahlc.org/>).

Institutions are encouraged to publish current submajor and certificate program information within the UW System Majors and Other Academic Programs Database (MajorMania (<http://majormania.uwex.edu/>)) in order to provide a complete picture of what UW System has to offer.

8. Schools and Colleges

8.1 Background

Chapter 36.09(1)(gm)1. Wis. Stats. ([http://docs.legis.wi.gov/document/statutes/36.09\(1\)\(gm\)1.](http://docs.legis.wi.gov/document/statutes/36.09(1)(gm)1.)) “The board shall not create, except as specifically authorized by the legislature in each instance, any new college, school or its functional equivalent if such college, school or functional equivalent has academic programs at the graduate or professional, post-baccalaureate level.”

Chapter 36.09(1)(gm)1. Wis. Stats. ([http://docs.legis.wi.gov/document/statutes/36.09\(1\)\(gm\)1.](http://docs.legis.wi.gov/document/statutes/36.09(1)(gm)1.)) “For the purposes of this paragraph, college or school means an academic unit below the institutional level but above the departmental level, including but not limited to a graduate school, law school, medical school, social work school, architecture school, business school and a public administration school.”

Chapter 36.09(1)(gm)2. Wis. Stats. ([http://docs.legis.wi.gov/document/statutes/36.09\(1\)\(gm\)2.](http://docs.legis.wi.gov/document/statutes/36.09(1)(gm)2.)) “For the purposes of this paragraph, a new college or school shall be deemed to have been created if an administrative position of dean or its functional equivalent is established and if a new instructional program, separate and distinct from the programs currently available at that institution, is established.”

Chapter 36.09(1)(gm)3. Wis. Stats. (<http://docs.legis.wisconsin.gov/statutes/statutes/36/09/1/gm/3>) “This paragraph does not apply to the redesignation or reorganization of existing colleges or schools if accomplished through the reclassification of existing positions or the restructuring of existing organizational entities.”

8.2 Establishing a School or College

In all cases, establishing a college or school requires approval by the UW System Administration (UWSA) and the Board of Regents (BOR). UWSA staff work with the institution to determine if the state statute applies in its particular case.

The Provost sends a memo to Academic Programs and Educational Innovation (APEI) via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) at least 12 weeks prior to the desired effective date that includes the following information:

- The rationale for establishing the college or school;
- The administrative structure of the college or school;
- The redirection of campus resources to establish the college or school;
- Confirmation of the approval by the appropriate institutional governance body or bodies; and
- The desired effective date.

The Associate Vice President (AVP) of APEI responds with a memo copied to the Provosts and program planning liaisons.

8.3 Renaming or Eliminate a School or College

Renaming or eliminating a school or college requires approval by the UWSA.

The Provost sends a memo to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) at least 12 weeks prior to the desired effective date that includes the following information:

- The rationale for renaming or eliminating the college or school;
- Confirmation of the approval by the appropriate institutional governance body or bodies; and
- The desired effective date.

The AVP of APEI responds with a memo approving or denying the request, copied to the Provosts and program planning liaisons. In some instances, the BOR needs to approve the renaming of a school or college.

9. Establishing or Altering Institutional Missions

9.1 Background

The University of Wisconsin System (UW System) Board of Regents (BOR) establishes and oversees UW System and institutional missions for each of the System's 15 institutions. The following policies and statutes are of relevance:

Chapter 36.01(2), Wis. Stats. (<https://docs.legis.wisconsin.gov/misc/scr/36/01/2>) This establishes the mission for the UW System. The BOR is directed to establish a mission statement for each UW institution (Chapter 36.09(1)(b), Wis. Stats. ([https://docs.legis.wisconsin.gov/document/statutes/36.09\(1\)\(b\)\)](https://docs.legis.wisconsin.gov/document/statutes/36.09(1)(b)))). The statute directs the BOR to establish a mission that specifically defines the types of academic program each institution will offer and to establish policies and practices to implement institutional mission and programming.

Chapter 36.09(1)(b), Wis. Stats. ([https://docs.legis.wisconsin.gov/document/statutes/36.09\(1\)\(b\)](https://docs.legis.wisconsin.gov/document/statutes/36.09(1)(b)))) "The board, after public hearing at each institution, shall establish for each institution a mission statement delineating specific program responsibilities and types of degrees to be granted."

Chapter 36.09(1)(d), Wis. Stats. ([https://docs.legis.wisconsin.gov/document/statutes/36.09\(1\)\(d\)](https://docs.legis.wisconsin.gov/document/statutes/36.09(1)(d)))) "The board shall establish policies to guide program activities to ensure that they will be compatible with the missions of the institutions of the system. To this end, the board shall make all reasonable effort to provide night courses."

Regents Policy Document (RPD) 1-1 (<https://www.wisconsin.edu/regents/policies/the-university-of-wisconsin-system-mission/>) adopts the statutory UW System mission language indicated in Chapter 36 (<http://docs.legis.wisconsin.gov/statutes/statutes/36>). RPD 1-2 (<https://www.wisconsin.edu/regents/policies/approval-of-mission-statements/>) contains the approved mission for the University of Wisconsin System Administration (UWSA) and core mission statements for the doctoral institution cluster and the university institution cluster.

Within the framework of mission statements, the BOR delegates responsibilities to the institutions and the UWSA, respectively. Institutional program planning cannot deviate from nor expand upon an institutional mission statement without BOR approval.

9.2 Process for Establishing or Altering Institutional Missions

1. The institution notifies Academic Programs and Educational Innovation (APEI) at afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) of its intent to establish or alter its mission statement. The rationale and an analysis of the impact on the UW System must be included.
2. The institution develops the mission statement with wide institutional input and appropriate institutional governance approvals. The institution's Provost regularly updates APEI during this process.
3. The institution notifies the Higher Learning Commission (HLC) of its intent to alter its mission statement.
4. Prior to formal submission, it is recommended that the Chancellor or Provost forward a copy of the draft select mission statement to APEI at afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) for consultation. The Associate Vice President (AVP) of APEI examines whether the language and format of the revised mission meet the statutory requirements. The AVP provides feedback and works with the institution to prepare the materials needed for formal submission to the UW System President and the BOR.
5. The Chancellor sends the mission statement, marked with the date at which it was approved by institutional governance, to APEI at afgp@uwsa.edu (<mailto:afgp@uwsa.edu>), the President, and the Vice President (VP)

for Academic and Student Affairs (ASA) at least 12 weeks in advance of the desired BOR meeting for the first reading. The AVP will assess the functionality of the mission and whether the statement contains the statutorily required components, including a listing of the general degrees offered by the institution and a general description of academic programs or areas of focus of the institution. After receiving all materials, the AVP works with the institution to prepare the materials needed for submission to the BOR. Materials submitted must include:

- A Microsoft Word (not PDF) copy of the current or original mission statement;
- The revisions to the current mission as a document with tracked changes or strikeouts;
- A clean copy of the revised mission statement with the date at which it was approved by institutional governance; and
- A cover letter from the Chancellor addressed to the UW System President, explaining the rationale for the changes, the scope and the impact of the changes, and a request to place the mission revision on the BOR's agenda.

Upon formal submission of a request to alter a select mission, the AVP of APEI, the Office of General Counsel, and the VP of ASA review the request. The AVP reports summative findings and recommendations to the UW System President.

If approved by the UW System President, the AVP works with the institution to prepare the background materials for submission to the BOR.

6. The Chancellor or the Provost presents the mission statement at a meeting of the BOR for initial review (first reading). No action is taken at this time.
7. The institution conducts a public hearing on campus with a member of the BOR presiding. The Executive Director of the BOR should be contacted about organizational details and Regent selection for this task. This meeting should be widely publicized, including publication in the *Wisconsin State Journal*, and allow input from any individual who requests to be heard, including members of the institutional administration, faculty, staff, students, and the general public.
8. The Chancellor submits a memo to the Office of the President (copied to the AVP of APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) and the VP of ASA) summarizing the outcomes of the public hearing.
9. Upon approval of the UW System President, the institution presents the final mission statement to the BOR for a second reading and final approval. Materials must be submitted to APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) at least eight weeks in advance of the desired BOR meeting. Materials submitted must include:
 - A cover letter from the Chancellor;
 - A Microsoft Word (not PDF) copy of the current or existing mission;
 - A copy with tracked changes; and
 - A clean copy of the proposed new mission.

10. Upon approval by the BOR, the institution secures approval from the HLC to alter its mission statement, and notifies APEI via afgp@uwsa.edu (<mailto:afgp@uwsa.edu>) of the effective date.
11. The Office of the Board of Regents maintains the official record of all UW System mission statements.

10. Reference

10.1 Reference Materials

The following materials can be found at <https://www.wisconsin.edu/program-planning/> (<https://www.wisconsin.edu/program-planning/>):

- Template – Request for Authorization to Implement a Degree
- Template – Cost and Revenue Projections for Newly Proposed Program
- Pricing Policies
- Annual Program Planning, Review, and Array Management Report
- Academic Information Series (ACIS)
- Academic Planning Statements (ACPS)
- Link to the Wisconsin Educational Approval Board (EAB)

10.2 Document Revision History

- ACIS-1 August 1984
- ACIS-1.1 October 1987
- ACIS-1 September 1992
- ACIS-1 November 10, 1995
- ACIS-1 December 1998
- ACIS-1 May 2000
- ACIS-1 August 2002
- ACIS-1 July 2003
- ACIS-1 June 2006
- ACIS-1 May 2008
- ACIS-1 June 2009
- ACIS-1 December 2009
- ACIS-1 April 2010
- ACIS 1.0 September 2012
- ACIS 1.0 July 01, 2016
- ACIS 1.0 renamed SYS 102: *Policy on University of Wisconsin System Array Management:*

This document replaces ACIS 1.0., revised September 2012. This document also replaces:

- ACIS 1.1 and ACIS 4
- ACPS 1 and 1.1
- Approval for Distance Delivery, November 2013
- Establishing Professional Doctorates, March 2014
- Guidelines for Academic Program Suspension, November 2009
- Monitoring Low-Degree-Producing Programs, July 2010
- Planning Collaborative Programs, December 2012
- Principles for Academic Program Consolidation and Elimination, April 2003

10. 3 Related documents:

- Regent Policy Document 4-12, *Academic Program Planning, Review, and Approval in the University of Wisconsin System* (<https://www.wisconsin.edu/regents/policies/academic-program-planning-review-and-approval-in-the-university-of-wisconsin-system/>)
- UW System Administrative Policy 110, *UW System Board Of Regents Criteria For Approval Of Wisconsin Technical College System Collegiate Transfer Programs* (<https://www.wisconsin.edu/uw-policies/docs/uw-system-board-of-regents-criteria-for-approval-of-wisconsin-technical-college-system-collegiate-transfer-programs/>)
- UW System Administrative Policy 120, *UW System Policy Regarding Offering On-Site Undergraduate and Graduate and Other Instruction Programs* (<https://www.wisconsin.edu/uw-policies/docs/uw-system-policy-regarding-offering-on-site-undergraduate-and-graduate-and-other-instruction-programs/>)
- UW System Administrative Policy 135, *UW System Undergraduate Transfer Policy* (<https://www.wisconsin.edu/uw-policies/docs/uw-system-board-of-regents-criteria-for-approval-of-wisconsin-technical-college-system-collegiate-transfer-programs/>)
- UW System Administrative Policy 140, *UW System Guidelines For Articulation Agreements Between UW System Institutions And WTCS Districts* (<https://www.wisconsin.edu/uw-policies/docs/uw-system-board-of-regents-criteria-for-approval-of-wisconsin-technical-college-system-collegiate-transfer-programs/>)

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UW System Transfer Policy

UW System Administrative Policy 135 (SYS 135) [University of Wisconsin System Undergraduate Transfer Policy](https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-undergraduate-transfer-policy/) (<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-undergraduate-transfer-policy/>) (Formerly ACIS 6.0) sets general transfer policy for all UW System campuses. Key aspects of the policy, as well as other general transfer information, are summarized here:

Principles of Accommodation for UW Students

Principles established by the policy include:

- Academic policies should apply to students transferring from another UW campus in the same way they apply to students who are continuing at the same UW campus. For example, the same requirements for admission to majors and programs should apply to both groups of students.
- A course that fulfills a general education requirement (e.g., humanities) or an ethnic studies requirement at one UW campus should count as general education requirements or ethnic studies at the transfer campus.
- Students who transfer with a UW Associate Degree will have satisfied university wide, college or school general education at their transfer campus. Consult an advisor regarding additional proficiency, college, school, or program requirements not covered by this policy.

Residency Requirements

Most campuses require all students to complete a specific number of credits "in residence" that is, at that campus, in order to obtain a degree. Transfer students are responsible for fulfilling any such residency requirements.

Transferring from a Two-Year Campus

UW Colleges:

- Students may generally transfer up to 72 credits from the UW Colleges. Some UW campuses may accept additional credits, where appropriate.
- UW Colleges Guaranteed Transfer Program:
Students who: (1) begin college at a UW Colleges campus, (2) earn the necessary credits for junior status at the UW campus they wish to attend, and (3) have a 2.0 GPA [2.80 to UW-Madison for current students] are guaranteed admission to the UW transfer institution. Students must complete the Guaranteed Transfer Forms prior to earning 30 credits. More information on the UW Colleges Guaranteed Transfer Program can be found [here \(http://uwc.edu/admissions/transfer/guaranteed-](http://uwc.edu/admissions/transfer/guaranteed-)

transfer).

Wisconsin Technical College System (WTCS):

- Students may generally transfer up to 72 credits from a non-baccalaureate institution. This includes transfer credits from programs at Wisconsin Technical Colleges. Some UW campuses may accept additional credits, where appropriate.
- Courses from WTCS associate degree occupational programs may be accepted by UW campuses in two ways:
 - Approved WTCS general education courses in communications, social sciences, behavioral sciences, mathematics, and natural science may transfer. Use the Transfer Course Wizard to learn how specific courses transfer.
 - In some cases, UW campuses will accept in transfer occupational/ technical courses from WTCS applied associate degree programs. You may find this information using the Transfer Course Wizard.
 - UW and WTCS campuses have over 500 transfer (or articulation) agreements that permit WTCS students enrolled in specific associate degree programs to transfer additional occupational credit. These agreements are found in the articulation agreements (<https://www.wisconsin.edu/transfer/agreements-campus/>) section.

Transfer Credit Appeal Process

Upon being admitted, you will receive a credit evaluation showing how transferred courses equate to courses at your new campus. You will also receive a “degree audit” that shows how your courses apply toward particular program and degree requirements. (This degree audit may be a part of the credit evaluation or may be a separate document that you receive later.)

Review this information very carefully. If you believe there has been an error in the credits granted in transfer, or if you think a transfer course should count toward a particular requirement and it is not reflected on the degree audit, take action!

Students have the right to appeal credit evaluations. Generally, the first step is to ask the individual or office that provided the evaluation to reconsider. If you are not satisfied with the resolution to your concern, you may file a formal appeal. Consult the individual listed as the transfer contact (<https://www.wisconsin.edu/transfer/contacts-advocates/>) for your campus to discuss the appeal process. The Office of the Vice Chancellor can also provide you with campus policies regarding transfer, appeal procedures, and other academic matters.

For unresolved transfer concerns, contact:

Diane Treis Rusk, Director of Undergraduate Education

608-261-1115

dtreisrusk@uwsa.edu

Students' Responsibilities

Plan Ahead

- Consult academic advisors at both your campus and intended transfer campus as you plan your coursework each semester.
- Know the graduation requirements that will apply to you.
- Learn the admission requirements for the transfer campus and the college or school and program you wish to enter.
- Apply Early! Transfer students who have been admitted and whose credit evaluations are completed are permitted to register for classes with continuing students.

File Forms on Time

- Transfer students must complete an application for admission and submit transcripts from all schools previously attended. Unless a student is transferring from a UW Colleges campus, an application fee is required.
- Financial aid does not automatically transfer to another institution. Students applying for financial aid must complete the Free Application for Federal Student Aid (FAFSA) and have it sent to the transfer campus. Some campuses also require an institutional financial aid application and a Financial Aid Transcript (FAT) that indicates what aid, if any, students received at their previous school(s).
- Contact the appropriate offices (Admissions, Financial Aid, Housing) at the transfer campus regarding necessary forms and deadlines: Transfer Websites (<https://www.wisconsin.edu/transfer/uw-wtcs-transfer-sites/>) and Transfer Contacts (<https://www.wisconsin.edu/transfer/contacts-advocates/>).
- Ask Questions! If you experience any difficulty with transfer, let the people (<https://www.wisconsin.edu/transfer/contacts-advocates/>) who can help know of your concerns!

Relevant Documents for SYS 135

- UW System Administrative Policy 110 (SYS 110) UW System Guidelines For Articulation Agreements Between UW System Institutions And WTCS Districts (<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/>) (Formerly ACIS 6.2)
- UW System Administrative Policy 140 (SYS 140) UW System Board of Regents Criteria for Approval of Wisconsin Technical College System Collegiate Transfer Programs (<https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/>) (Formerly ACIS 1.2)
- Board of Regents 7.1 (<https://www.wisconsin.edu/regents/policies/university-of-wisconsin-system-undergraduate-transfer-policy/>)
- Wisconsin Statutes, § 36.11(3b, 3c, 3cm) – Transfer Information System (<http://docs.legis.wisconsin.gov/statutes/statutes/36>)
- Wisconsin Statutes, § 36.31(2m) – 30-Credit Transfer

<http://docs.legis.wisconsin.gov/statutes/statutes/36>

■ UW-WTCS Universal Credit Transfer Agreement (UCTA)

<https://www.wisconsin.edu/transfer/download/ucta/UW-WTCS-Universal-Credit-Agreement.pdf>

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SYS 135 Appendix A: Principles and Guidelines for Quality Prior Learning Assessment

As with the assessment of classroom learning, the objective of prior learning assessment is to identify student competency on a specific set of learning outcomes. To support that objective, the faculty-based Prior Learning Assessment Academic Planning and Policy Task Force (2011) developed a number of principles and guidelines that institutions use in the development of quality prior learning assessment practices. These principles and guidelines were informed by Prior Learning Assessment (PLA) practices and procedures in place at University of Wisconsin (UW) System institutions, peer systems and institutions and, in part, on the standards established by the Council for Adult and Experiential Learning (CAEL). Additionally, they were developed in alignment with criteria for accreditation and assumed practices established by the Higher Learning Commission and the joint transfer principles established by the American Council for Education (ACE), the American Association of College Registrars and Admissions Officers (AACRAO), and the Council for Higher Education Accreditation (CHEA).

These principles of quality prior learning assessment include:

1. Establish and articulate clear basic principles regarding credit for prior learning.
2. Credit for prior learning is awarded based on assessed learning outcomes, not for experience.
3. Credit for prior learning is documented and represents college-level achievement and competency of learning outcomes that are equitable to those assessed within a conventional college-level course.
4. Credit for prior learning assessment is based on standards and criteria that measure appropriate levels of learning and uses established practices and methodologies.
5. Credit for prior learning assessment is conducted by appropriate academic subject matter or credentialing experts.
6. Institutions articulate to students their credit for prior learning options and processes and advise students as to how credit earned through prior learning assessment will be applied to a student's academic program.

Prior Learning Assessment Academic Guidelines

Guided by these PLA academic principles, the PLA Task Force recommended that each UW System institution establish and implement guidelines and develop policies and procedures regarding awarding credit for prior learning. The following reflects the Task Force's recommended guidelines for the major categories of PLA – nationally recognized exams, course-specific examinations designed by an institution's faculty, and credit by portfolio review.

- A. *Nationally Recognized Standardized Exams.* Each UW System institution provides opportunities for admitted students to demonstrate college-level learning through nationally recognized standardized examinations.

Guidelines to support this practice include:

1. UW System institution policies specify the type of standardized credit by standardized examination opportunities that are available to an admitted student.
2. Recognized exams may include, but are not be limited to the following options –
 - Advanced Placement (AP) examinations;
 - International Baccalaureate (IB) examinations;
 - College Level Examination Program (CLEP) examinations;
 - Excelsior/UExcel examinations (f.k.a. Regents College Exams);
 - DSST (f.k.a. DANTES).
3. Minimum scores required to earn credit be established and published by individual UW System institutions and are easily accessible and available to students.
4. Information specifying how specific exams and scores will apply to the student's academic program is easily accessible and available to students.

B. *ACE Credit Recommendations.* Each UW System institution may provide opportunities for an admitted student to demonstrate college-level learning through the review of previously completed military and non-military training reviewed by the American Council on Education (ACE).

1. UW System institutions specify which courses are available for credit utilizing the ACE Credit Recommendations, and those that may require supplemental assessments.
2. UW System institutions develop a process for students to initiate a request that a course be considered for PLA using ACE credit recommendations and any supplemental assessments.
3. Credit may be awarded following an evaluation of the ACE credit recommendations and supplemental assessment by an individual faculty member or by a team of faculty members and/or other selected personnel with expertise in the subject matter to be evaluated.
4. Information specifying how credit earned through ACE credit recommendations that will be applied to a student's academic program is easily assessable and available to the student.

C. *Course-specific Examinations Designed by Institution's Faculty.* Each UW System institution may provide opportunities for an admitted student to demonstrate college-level learning through course-specific examinations designed by an institution's faculty. Guidelines to support this practice include:

1. UW System institutions specify which courses are available for credit by faculty-designed examination.
2. UW System institutions develop a process for students to initiate a request that a course be considered for PLA by faculty-designed exam.
3. Evaluation of the examinations will be carried out by the appropriate content area expert.
4. Minimum standards required to earn credit by course-specific examinations be set by individual UW System institutions and their faculty and are easily accessible and available to students.
5. Information specifying how specific exams and scores will apply to the student's academic program is easily accessible and available to students.

D. *Credit by Portfolio Review.* UW System institutions may elect to offer a student the opportunity to earn college credit through portfolio review. If a UW System institution or program provides this option, the following

guidelines are recommended:

1. Specify which courses or programs qualify for credit by portfolio review and in what degree program areas the credit may be applied.
2. Offer a course or other form of instruction designed to teach a student how to prepare an effective portfolio.
3. Credit may be awarded for completion of a portfolio development course independent of the outcome of the assessment of the portfolio.
4. Credit awarded that is based upon portfolio review meets the following criteria:
 - Credit is granted for college-level learning obtained during work or other experience, not for the experience itself.
 - The learning is documented and represents college-level achievement.
 - Under most circumstances, credit is awarded without grades.
 - If the assignment of a grade is deemed necessary or appropriate, the grade reflects the quality of the prior learning and not the quality of the portfolio design.
5. Credit may be awarded following an evaluation of the portfolio by an individual faculty member or by a team of faculty members and/or other selected personnel with expertise in the subject matter to be evaluated.
6. Information specifying how credit earned through portfolio assessment that will be applied to a student's academic program is easily assessable and available to the student.

Additional PLA Guidelines

In addition to these PLA academic guidelines, the PLA Task Force recommended that the following guidelines are followed by all UW System institutions. These guidelines apply to both academic planning and non-academic planning areas.

Academic Planning

1. Personnel involved in prior learning assessment pursue and receive adequate training and continuing professional development for the functions they perform.
2. Ensure PLA transfer policy and practices are consistent with the UW System Administrative Policy 135 (SYS 135), UW System Undergraduate Transfer Policy (<https://www.wisconsin.edu/uw-policies/docs/uw-system-undergraduate-transfer-policy/>).
3. Transcription of PLA conform to standards to be established by UW System policy.
4. UW System institutions consider if and how prior learning assessment will be incorporated within new academic program proposals.
5. The UW System establish and maintain a system-wide repository of UW System institution course-specific exams.

Non-Academic Planning

1. UW System institutions develop and set PLA fee guidelines to support institutional development of fee policies that are consistent and equitable across the System.

2. UW System and institutions identify and assess the impact that PLA award and fee structures will have on student financial aid planning and aid eligibility.
3. UW System institution practices recognize, support, and encourage the contribution of faculty/staff involved in PLA.
4. Opportunities and policies related to PLA be widely disseminated to students.
5. Advising practices include processes to ensure policies, procedures, and criteria applied to PLA, including provision for appeal, are fully disclosed and prominently available to all parties involved in PLA.
6. UW System institutions collect information to recognize, assess, and create market demand for PLA programs.

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UW System Administrative Policy 135 (formerly ACIS 6.0)

UW System Undergraduate Transfer Policy

I. Introduction

The University of Wisconsin System (UW System) welcomes transfer students from accredited colleges and universities both within and outside Wisconsin. The UW System Undergraduate Transfer Policy endorses a student-centered transfer process which fosters educational attainment, accommodates student mobility, and provides equitable treatment of transfer and continuing students. At the same time, this transfer policy recognizes legitimate differences among educational institutions, their missions and academic programs, and acknowledges institutional autonomy and program integrity. In order to maintain our commitment to transfer students, this policy should be reviewed periodically and updated as needed.

II. Admission of Transfer Students

Transfer students will be evaluated for admission through a comprehensive, individualized review process. This process allows institutions to admit students whose academic preparation, background and personal experience suggest that the student will succeed at the institution, benefit from that educational experience, and contribute to the educational environment. This review process is similar to the practice for the admission of the freshmen to UW institutions. (See Regent Policy 7-3, *University of Wisconsin System Freshman Admissions Policy*)

- A. Transfer applicants must demonstrate that they are prepared to do satisfactory academic work at the institution to which they are applying, and that, as members of the campus community, they will benefit from and enrich the educational environment and enhance the quality of the institution. Each applicant's file will be given a comprehensive review. Academic information considered will include the student's postsecondary academic records, and may also include high school records, standardized test scores, and/or other relevant academic information.
- B. While academic factors are the most important consideration, other factors may also be considered. These factors include, but are not limited to, student experiences, work experience, leadership qualities, motivation, community service, special talents, status as a non-traditional or returning adult, status as a veteran of the U.S. military, whether the applicant is socioeconomically disadvantaged, and whether the applicant is a member of an historically underrepresented racial or ethnic group.
- C. Transfer students who do not qualify under the provisions above may appeal through the appropriate institutional appeal procedures. Institutions should publish appeal procedures in the catalog or another official institution publication.
- D. Admission requirements into schools/colleges, academic programs or majors may exceed those for admission to the institution. Such requirements for entry shall apply equally to continuing and transfer students.

- E. Admission requirements for non-resident transfer students will be the same as those for other transfer students except that an institution may adopt special requirements for international student applicants. (Note: for purposes of this policy, Minnesota students eligible for reciprocity are considered as residents.)
- F. Regent enrollment planning policy establishes limits on non-resident enrollment (Regent Policy 7-3. University of Wisconsin System Freshman Admissions Policy). Each UW institution may limit the admission of non-residents to ensure that the total non-resident undergraduate enrollment does not exceed the Regent limit.
 - 1. If the number of qualified non-resident transfer students exceeds the ability of the institution to accommodate them, or if the institution needs to ensure that priority is granted to students transferring from UW institutions are specified in II.F. below, the institution shall determine the criteria for selection from among qualified applicants.
- G. For enrollment management purposes, the number of transfer students admitted may be controlled. In such cases, institutional policy will determine the criteria by which limitations of access shall be applied, but preference for admission of transfer students shall be given to students transferring from the UW Colleges, and from other UW institutions where the student's desired major or program is not offered, subject to the limits of an institution's enrollment target.

III. Transfer Credit Principles

The UW System endorses the *Joint Statement on the Transfer and Award of Credit* developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO), the American Council on Education (ACE), and the Council for Higher Education Accreditation (CHEA). This document sets forth a number of basic assumptions regarding the transfer of credit between institutions, be they similar or dissimilar, as well as recommended best practices for developing institution-specific policies and procedures.

Following the principles set forth in the *Joint Statement*, each UW institution should award transfer credit based on the combination of the quality, comparability, and applicability of the sending institution's academic program.

- A. Quality of the Academic Program. The legitimacy and quality of the sending institution can be evaluated in part by its accreditation status. Both institutional and programmatic accreditation should be considered when assessing the potential for transfer credit.
 - 1. Institutional Accreditation. Credit is generally awarded for college level coursework completed at institutions accredited by a regional or national accrediting organization recognized by the Council for Higher Education Accreditation (CHEA). Foreign institutions must be recognized by the Ministry of Education (or equivalent) in that country.
 - 2. Programmatic Accreditation. If the sending institution is accredited by a programmatic accrediting association recognized by CHEA, credit may be granted in the specialty of accreditation (e.g., art, music, etc.) if recommended by the appropriate academic department or equivalent.
 - 3. Not Accredited. Credit earned in institutions of higher education not accredited as outlined in A.1. or A.2. above, is generally not accepted for transfer. However, credit may be granted for postsecondary work from non-accredited institutions by examination and/or upon departmental evaluation of course syllabi and other program information.
- B. Comparability of the Academic Program. Credit is generally awarded when the sending institution's mission,

type of education (occupational, liberal arts, professional), and level of degree (certificate, associate, baccalaureate, graduate) are comparable to that of the UW institution.

- C. Applicability of the Academic Program. Credit is generally awarded when the academic program, level of study, and course content are similar in nature and applicable to the academic program of the UW institution.

IV. Principles of Accommodation

This policy endorses a student-centered transfer process designed to foster educational attainment, meet the needs of transfer students, and provide equitable treatment of transfer and continuing students. To achieve these goals, UW institutions are encouraged to apply the principles of accommodation detailed here.

A. For All Transfer Students

The following principles of accommodation apply to all students transferring into a UW System institution:

1. Institutions should apply transfer credits to degree requirements where appropriate.
2. Institutions should recognize general education/liberal arts requirements in terms of broad academic areas (social sciences, humanities, natural sciences, etc.) as well as specific courses.
3. Institutions may award transfer credit for courses for which they do not have a comparable department or curricular area, or for which they do not have direct course equivalent. Where appropriate, these credits should apply toward satisfying general education and other degree requirements. When applying a course toward general education/breadth requirements, the receiving institution generally applies it in the same category as similar courses at that institution. However, if the course fulfills a different category at the sending institution and the student requests that the original designation be applied, the request should be approved where appropriate.
4. In granting a direct equivalent to courses taken at other institutions, the attributes of the equivalent course should apply. However, in determining whether to award upper level credit for courses completed by transfer students, institutions may apply the same practice used for their own freshmen and sophomores.
5. UW institutions should apply academic policies and procedures to continuing and transfer students in a similar manner.
6. Students may generally transfer up to 72 degree credits earned at non-baccalaureate institutions. UW institutions may accept additional credits toward the degree where appropriate. This does not alter policies concerning credits to be earned in residence at an institution.
7. UW institutions should apply the same criteria for admission to a major or program, or for applying a course toward a degree, to both transfer students and continuing students.
8. Student course grades may be used as a factor to determine if, and how, transfer credit is applied, but the same principles should be applied to both transfer and continuing students.
9. If a student changes his/her academic major or program, all transfer credits may be reevaluated to determine if, and how, they apply to the new major or program.
10. All students will receive an evaluation of transfer credits. Institutions should make every effort to provide this evaluation prior to enrollment.
11. When a student transfers, the receiving institution will do its own evaluation of the transfer work based on

official transcript(s) from each institution the student attended. The student is responsible for submitting official transcript(s) from each sending institution to the receiving institution for transfer evaluation.

12. Transfer credits that have been awarded should be evaluated to determine which will apply to major requirements, general education/breadth requirements, competency requirements, or the graduation requirements of the specific program the student intends to pursue. Credits which are not applicable to the requirements of the specific program should be noted on an official campus document.
13. UW institutions should make every effort to provide admitted transfer students the opportunity to register with similar access to courses as continuing students.
14. Students should be informed in writing of the opportunity and procedures for appealing any course transfer determination.

B. For Students Transferring Within the UW System

The following additional principles of accommodation apply to students transferring within the UW System:

1. A course designated as fulfilling a general education/breadth requirement at one UW institution should transfer as general education/breadth at the receiving UW institution. This principle should apply whether or not the receiving institution has a direct course equivalent.
2. A course designated as fulfilling an ethnic studies requirement at one UW institution should apply toward the ethnic studies requirement at the receiving UW institution.
3. UW institutions should permit courses completed by UW System transfer students to transfer in accordance with the course equivalency in effect when the courses were taken.
4. UW institutions that permit continuing students to graduate using the catalog requirements in effect at the time of their matriculation should employ the same policy for UW System transfers using their date of matriculation at their first UW institution.
5. When a student transfers within the UW System, the record of all successfully completed undergraduate credit courses taken by the student at UW institutions previously attended should be reported on the transcript or another official campus document.
6. University level courses offered through UW-Extension will transfer on the same basis as equivalent courses taken at UW institutions.
7. Credit for prior learning that is internally assessed and transcribed as a course equivalent by one UW institution will be evaluated for transfer by the receiving UW institution on the same basis as courses taken at UW institutions.
8. Reverse transfer is intended for students who transfer from one associate degree granting UW institution to another UW System institution without completing the associate's degree. The reverse transfer of credit is intended to add accumulated credits for the awarding of an associate's degree at the sending UW institution.
 - a. UW Colleges may enter into cooperating agreements for reverse transfer with other UW institutions. Participating institutions will maintain the integrity of their separate requirements and enter into an agreement as cooperating institutions that includes processes for student consent and sharing student academic information.
 - i. Students must have earned at least 36 credits at UW Colleges.

- ii. Advising to complete the associate's degree will be done by UW Colleges.
 - iii. The associate's degree will be awarded by UW Colleges.
- b. UW comprehensive institutions with the authority to grant associate's degree may enter into cooperating agreements for reverse transfer with other UW institutions. Participating institutions will maintain the integrity of their separate requirements and enter into an agreement as cooperating institutions that includes processes for student consent and sharing student academic information.

C. For Students Transferring with a UW Institution Associate Degree

For purposes of facilitating transfer between UW institutions, Associate Degrees awarded by UW institutions should include the minimum general education/breadth requirements defined by UW System policy. In recognition of these common requirements, the following principles apply:

1. UW baccalaureate-granting institutions shall consider transfer students holding such an Associate Degree to have satisfied the university-wide general education/breadth requirements of the receiving institution.
2. Colleges and schools may require transfer students to complete additional general education/breadth requirements beyond the university-wide total if also required of continuing students.
3. The following may not necessarily be satisfied by the Associate Degree:
 - a. Competency requirements or levels of proficiency (e.g., English composition, speech, foreign language, math, quantitative reasoning) established by the receiving institution for continuing students.
 - b. Upper division general education courses normally required of continuing junior and senior students.
 - c. General education courses that are prerequisites to a particular program or major and are required of continuing students (e.g., micro and macro economics for business majors).
 - d. Requirements mandated by external professional accrediting associations or program approving agencies (e.g., Department of Public Instruction, Accreditation Board for Engineering and Technology, American Assembly of Collegiate Schools of Business).
4. Students who transfer with an Associate Degree awarded by a UW institution which includes an ethnic studies (cultural diversity) component will be considered to have satisfied the ethnic studies requirement at any other UW institution. Transfer credits will be evaluated by the receiving institution on a course-by-course basis to determine if and whether credits will apply beyond the satisfaction of general education breadth requirements.
5. Transfer credits will be evaluated by the receiving institution on a course-by-course basis to determine if and whether credits will apply beyond the satisfaction of general education breadth requirements.

D. For Students Transferring From the Wisconsin Technical College System

Credit transfer between the Wisconsin Technical College System (WTCS) and the UW System is based upon the following principles:

1. Students transferring from the WTCS accredited liberal arts/collegiate transfer programs, to UW baccalaureate-granting institutions may generally transfer up to 72 credits earned at non-baccalaureate institutions. UW institutions may accept additional credits toward the degree where appropriate. This does not alter policies concerning credits to be earned in residence at an institution.

2. In cases where WTCS liberal arts/collegiate transfer programs award associate of arts/associate of science degrees that specifically align with the associate degrees awarded by UW institutions, the UW baccalaureate-granting institutions shall consider students holding such a degree to have satisfied the university-wide general education/breadth requirements at the receiving institution.
3. Colleges and schools may require transfer students to complete additional general education/breadth requirements beyond the university-wide total if also required of continuing students.
4. The following may not necessarily be satisfied by the WTCS associate of arts/associate of science (liberal arts) degrees:
 - a. Competency requirements or levels of proficiency (e.g., English composition, speech, foreign language, math, quantitative reasoning) established by the receiving institution for continuing students.
 - b. Upper division general education courses normally required of continuing junior and senior students.
 - c. General education courses that are prerequisites integral to a particular program or major and are required of continuing students (e.g., micro and macro-economics for business majors).
 - d. Requirements mandated by external professional accrediting associations or program approving agencies (e.g., Department of Public Instruction, Accreditation Board for Engineering and Technology, Association to Advance Collegiate Schools of Business).
 - e. Ethnic studies/cultural diversity requirements.
5. UW institutions may grant transfer credit for general education (i.e., in communications, behavioral sciences, social sciences, mathematics, and natural science) offered within a WTCS applied associate degree program. In determining transferability of these courses, each UW institution will take into account the quality and comparability of the coursework and its applicability to degree requirements.
6. UW institutions may grant transfer credit on a course-by-course basis, for occupational and technical coursework leading to an applied associate degree from WTCS programs. In determining transferability of these courses, each UW institution will take into account the quality and comparability of the coursework and its applicability to degree requirements.
7. UW institutions should permit courses completed by WTCS transfer students to transfer in accordance with the course equivalency in effect when the courses were taken.
8. UW institutions should work with WTCS districts to identify areas where programs leading to an applied associate degree have direct relationships with baccalaureate degree programs. Where program relationships are found to exist, transfer articulation agreements, are encouraged. All such credit transfer and articulation agreements should conform to the "University of Wisconsin System Guidelines for Articulation Agreements between UW Institutions and WTCS Districts" ([UW System Administrative Policy 140 \(SYS 140\)](https://www.wisconsin.edu/uw-policies/docs/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/), [UW System Guidelines For Articulation Agreements Between UW System Institutions And WTCS Districts](https://www.wisconsin.edu/uw-policies/docs/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/) (<https://www.wisconsin.edu/uw-policies/docs/uw-system-guidelines-for-articulation-agreements-between-uw-system-institutions-and-wtcs-districts/>)).
9. If an articulation agreement is in place, students in certain WTCS applied associate degree programs that subsequently enroll in a related UW baccalaureate degree program may be able to transfer related occupational and technical credits that may not transfer on a course-by-course basis. These credits may transfer to other programs at that institution or to other UW institutions only if a similar credit transfer or articulation agreement exists.

10. Reverse transfer is intended for students who transfer from a WTCS Liberal Arts program to a UW institution without completing the associate's degree. The reverse transfer of credit is intended to add accumulated credits for the awarding of an associate's degree by the WTCS institution. Participating institutions will maintain the integrity and authority of their separate requirements. Participating institutions will enter into an agreement that includes processes for student consent and sharing student academic information.

E. For Students Transferring between Wisconsin institutions participating in Universal Credit Transfer Agreement (UCTA)

The *Universal Undergraduate Credit Transfer Agreement (UCTA) between the University of Wisconsin System and Wisconsin Technical College System (WTCS)* satisfies the requirement expressed in the 30-credit transfer rule (*Wisconsin Statutes, § 36.31(2m)* ([http://docs.legis.wisconsin.gov/document/statutes/36.31\(2m\)](http://docs.legis.wisconsin.gov/document/statutes/36.31(2m)))). UW institutions will collaborate to review and maintain the agreement and meet the statutory requirement. The agreement is posted at <https://www.wisconsin.edu/transfer/universal-transfer/> (<https://www.wisconsin.edu/transfer/universal-transfer/>).

V. Credit for Prior Learning

- A. As with the assessment of classroom learning, the objective of prior learning assessment is to identify student competency related to a specific set of learning outcomes. To support that objective, the faculty-based Prior Learning Assessment Academic Planning and Policy Task Force (2011) developed a number of principles that institutions should use to guide development of quality prior learning assessment practices. These principles are outlined in *Appendix A* (<https://www.wisconsin.edu/uw-policies/135-appendix-a-principles-and-guidelines-for-quality-prior-learning-assessment/>).
- B. Each UW institution should provide transfer students the same opportunities as continuing students to demonstrate their competence through the use of internally and/or externally developed tests, ACE credit recommendations for military and non-military training, portfolio assessment procedures and/or other competency-based alternatives.
- C. UW institutions may grant credit for educational accomplishment attained in extra- institutional settings (e.g., military, professional development, work-place training, etc.) on the basis of an internally developed assessment such as department exams and portfolio review; internal review of recommendations from organizations such as ACE's Center for Adult Learning and Educational Credentials or the Council for Adult and Experiential Learning (CAEL) through the National College Credit Recommendation Service (NCCRS); or externally assessed standardized exams such as Advanced Placement (AP) or College Level Examination Program (CLEP). All credits awarded by the institution based on extra-institutional accomplishment must be clearly indicated on the student transcript.
- D. Notwithstanding Board of Regents Policy Document (RPD) 4-11, 4-17, and 7-2, each institution will retain the prerogative to establish proficiency score levels, courses for which credit by examination is deemed appropriate, limitations of credit allowed, policies regarding testing fees, and other related policies that are consistent with the characteristics, ability and achievement of the particular student body at the institution.
- E. Transfer of Credit for Prior Learning
 1. Undergraduate credit for prior learning that is internally reviewed, assessed, and transcribed as a course equivalent by one UW institution will be evaluated for transfer credit by all UW institutions in

accordance with the Transfer Credit Principles found in Section III and the Principles of Accommodation found in Section IV of this policy.

- a. The receiving institution will determine the course equivalent credits they will grant to the student and how the credit will apply to the degree, guided by existing institutional policies.
 - b. UW institutions will advise students that the receiving institution will review credits transferred and determine how the credit will apply to the degree.
2. Students who are awarded credit on the basis of external standardized assessment should be informed that in the event of transfer, they should expect the receiving institution to reevaluate the original exam score transcript. The receiving institution will determine if, and how, such credit will be applied to the degree in accordance with applicable institutional and UW System policy.

F. Transcription of Credit for Prior Learning

1. Internal Assessment and Reviews

When a UW System institution grants credit for prior learning on an internal assessment conducted by their faculty or instructional staff, the institution will:

- a. Record the credit awarded as a course equivalent, except in instances when the competencies assessed and credit awarded cannot be linked to a specific course equivalency. In such instances, UW System institutions may determine how the credits awarded will be articulated on the transcript.
- b. Utilize a recognizable transcription category that will serve to identify credits awarded for an internal prior learning assessment by portfolio review, department exam, or review of ACE credit recommendations for military and non-military training.
- c. List credit awarded by internal prior learning assessment at the top of the transcript.
- d. Establish methodologies to collect aggregate and student-level data that will aid institutional and System-wide prior learning assessment evaluation efforts.

2. External Standardized Examinations

When an UW System institution grants credit for prior learning based on an external standardized exam (e.g., AP, CLEP, etc.), the credit should be indicated on the student transcript and the equivalencies clearly articulated. (See RPD 4-11, 4-17, and 7-2.)

VI. Institutional Responsibilities Regarding Transfer Information

- A. The Transfer Information System (TIS) is a source for official UW System institutional undergraduate course and program information. Institutions will provide information and data necessary to keep TIS current and accurate.
- B. UW institutions should provide timely information to UW System Administration about all new programs and curricular changes. The institution initiating curricular action should consider the effects of program development or modification on potential transfer students.

- C. UW institution transfer information should be explicitly stated on the institution's website and in other appropriate sources. Changes in admission and/or program requirements should be announced and well publicized prior to implementation.
- D. Copies of new and updated transfer articulation agreements should be sent to the UW System Office of Academic and Student Affairs.
- E. The UW System Office of Academic and Student Affairs will coordinate system-wide transfer policy and procedures. Questions about interpretation of transfer policy and procedures should be referred to that office.
- F. UW institutions will work with UW System Administration annually to maintain the Universal Credit Transfer Agreement (UCTA) and transfer equivalency data maintained in TIS.

VII. Glossary of Terms

Terms included in this glossary are defined for purposes of this policy and may not be consistent with definitions used in other settings.

30-Credit Transfer Rule

Wisconsin Statutes, § 36.31(2m) ([http://docs.legis.wisconsin.gov/document/statutes/36.31\(2m\)](http://docs.legis.wisconsin.gov/document/statutes/36.31(2m))) went into effect July 1, 2014, requiring the UW System and Wisconsin Technical College System (WTCS) to “implement an agreement that identifies core general education courses totaling not fewer than 30 credits” that are “transferable and would satisfy general education requirements at the receiving institution or college, between and within each institution, college campus and technical college.”

Academic Program

A specifically designed curriculum leading to the attainment of a degree, area of specialization, or certificate.

Accreditation

A process of external quality review created and used by higher education to scrutinize colleges, universities and programs for quality assurance and quality improvement.

Institutional Accreditation – The review and certification of an institution by a regional or national accrediting body.

Programmatic Accreditation – The review of a specific program (e.g., art, music), profession (e.g., engineering, nursing), or freestanding school (e.g., law, medicine) by a professional organization that accredits programs in a particular field.

Applied Associate Degree

A degree awarded by WTCS and other technical institutions upon completion of a program that combines general education and occupational/technical courses and requirements, designed to lead directly to employment in a specific field.

Articulation Agreement

An agreement that is generally between WTCS and UW institutions allowing for transfer of credit, either as course-by-course and/or as a block of credits. These agreements are usually program to program and designed to grant advanced standing in a specific major.

Attribute

A designation assigned to courses offered at an institution. An attribute may designate a course as meeting a requirement, such as breadth, general education, or ethnic studies, may denote the level at which the course is offered, or may in some other way describe the characteristics of a course.

Baccalaureate institution

A four-year, bachelor degree granting institution.

College/School/Graduation Requirements (see Requirements)

Competency/Proficiency Requirements (see Requirements)

Continuing Student

A student who maintains continuous enrollment at the same institution, while working towards program/degree completion (as distinct from a transfer student.).

Course-by-course

The evaluation of transfer courses one-by-one rather than as part of a block of credits.

Credit by Examination

Credit awarded as the result of learning demonstrated through the successful completion of an external standardized exam (e.g., CLEP, AP, IB, etc.) or internal department exam.

Credit for Prior Learning

Credit awarded for college-level knowledge and skills acquired through extra- institutional settings.

Credits

Semester hour units (distinct from quarter or trimester).

Cultural Diversity Requirements (see Requirements)

Degree Requirements (see Requirements)

Department Exam

Exams developed by an academic department program that awards credit for prior learning through the assessment of learning outcomes associated with a particular course or academic program curriculum.

Ethnic Studies Requirement (see Requirements)

General Education/Breadth Requirements (see Requirements)

Institutional Accreditation (see Accreditation)

Liberal Arts/Collegiate Transfer

A term defining the WTCS programs that offer an associate of arts or associate of science degree and/or prepare the student for transfer to a baccalaureate program (previously referred to as a WTCS College Parallel program).

Major

A field of specialization in undergraduate studies, with specific course requirements that may be fulfilled by transfer coursework.

Non-Baccalaureate Institution

Two year, associate degree or certificate granting institutions.

Non-Resident Student

A student who does not meet the requirements for paying in-state tuition rates as defined by state statute.

Occupational/Technical Coursework

Courses associated with a program offered at a technical college or institution where the program has a specific focus on job related topics.

Official Campus Document

Summaries, transcripts, degree audits, or other documents displaying transfer credit, either as an electronic or hard copy version.

Portfolio

An organized collection of materials developed by a learner that describes, records, and verifies learning achievements as well as personal goals.

Prior Learning Assessment (PLA)

A process to evaluate learner competencies acquired by a student through formal and non-formal learning experiences that occurred outside of the college classroom. Within the setting of an institution of higher education, the assessment evaluates whether the demonstrated learning outcomes are comparable to those required as part of a college-level course or academic program.

Common formats of PLA may fall into the following categories:

1. *External assessment by exam* – An external organization assesses prior learning through the administration of a standardized exam (e.g., AP, IB, Project Lead the Way, CLEP, Excelsior, or DSST).
2. *External assessment and credit recommendations* – The primary example of such external credit recommendations are those completed by the American Council on Education (ACE) that assesses military and corporate training experiences.
3. *External assessment by portfolio assessment* – The assessment of college-level learning that is conducted by an external organization such as the Council on Adult and Experiential Learning's (CAEL) Learning Counts program.

4. *Internal assessment by exam or portfolio assessment* – The assessment of college-level learning that took place external to the institution that is assessed and credit awarded internally by the institution.

Programmatic Accreditation (see Accreditation)

Receiving Institution

The institution to which the student is transferring.

Resident Student

A student who meets requirements for paying in-state tuition rates as defined by state statute.

Requirements

General Education/Breadth

A category of requirements within a degree program that seeks to instill in students a “breadth” or range of knowledge in several disciplines (e.g. humanities, natural sciences, social sciences).

NOTE: The term “general education” can be used in a wide variety of ways and UW institutions do not use the term identically. It may be used very broadly to encompass several kinds of requirements, or narrowly to include only very specific requirements.

College/School/Graduation

A set of requirements that may be university-wide and/or determined by a college/school or program for completion of a degree by students enrolled in that college/school.

Competency/Proficiency

A category of requirements, within a program, that seeks to establish a minimum level of student proficiency in certain disciplines (e.g., English composition, speech, foreign language, math, quantitative reasoning).

Cultural Diversity

Similar in nature to Ethnic Studies requirement, but may also include coursework covering other international or national immigrant groups.

Degree

The combination of requirements necessary to be awarded a degree.

Ethnic Studies

UW System graduation or general education requirement for coursework centered on African-American, Hispanic/Latino, Asian-American, or American Indian populations in the U.S.

University-wide

Requirement(s) that must be completed by all undergraduate degree students enrolled at the institution.

Reverse Transfer

The post-transfer recognition of college credits, earned at the receiving baccalaureate institution, for which the sending associate degree granting institution accepts in transfer and grants credit toward conferral of an associate degree, after a student transfers from an associate degree granting institution to the baccalaureate granting institution.

Sending Institution

The institution from which the student is transferring.

Transfer Credit

Credit earned at one institution accepted in transfer at another institution.

Transfer Student

A designation given to a degree-seeking student who transfers credit from another institution of higher education, other than credits earned solely during summer session or while enrolled in high school.

University-wide Requirements (see Requirements)

Universal Undergraduate Credit Transfer Agreement (UCTA)

The annually reviewed and renewed agreement between UW System and Wisconsin Technical Colleges System (WTCS) that describes the history, process and course sets to meet the requirements of the 30-Credit Transfer Rule (Wisconsin Statutes, § 36.31(2m) ([http://docs.legis.wisconsin.gov/document/statutes/36.31\(2m\)](http://docs.legis.wisconsin.gov/document/statutes/36.31(2m)))).

UW Institution Associate Degree

An associate of arts and science degree awarded by UW institutions which meets the minimum requirements approved by the UW Board of Regents.

Appendix A: Principles and Guidelines for Quality Prior Learning Assessment **(<https://www.wisconsin.edu/uw-policies/135-appendix-a-principles-and-guidelines-for-quality-prior-learning-assessment/>)**

This document is a revision of the UW System Undergraduate Transfer Policy, replacing the document last revised on June 9, 2011, and all other prior versions. These provisions establish procedures and guidelines for UW institutions to facilitate the overall transfer process for all students.

Other Relevant Policy Documents:

Board of Regents Policy Document 4-11: Advanced Placement

Board of Regents Policy Document 4-16: Criteria for Approval of Wisconsin Technical College System Collegiate Transfer Programs

Board of Regents Policy Document 4-17: Advanced Standing Credit Project Lead the Way

Board of Regents Policy Document 7-1: UW System Undergraduate Transfer Policy

Board of Regents Policy Document 7-2: Recognition of International Baccalaureate Program

Academic Information Series (ACIS) 6.2: Guidelines for Articulation Agreements Between UW System Institutions

and WTCS Districts

Wisconsin Statutes (<http://docs.legis.wisconsin.gov/statutes/prefaces/toc>), § 36.11

(<http://docs.legis.wisconsin.gov/document/statutes/36.11>)([3b](http://docs.legis.wisconsin.gov/document/statutes/36.11(3)(b))) ([http://docs.legis.wisconsin.gov/document/statutes/36.11\(3\)\(b\)\)](http://docs.legis.wisconsin.gov/document/statutes/36.11(3)(b)))),

[3c](http://docs.legis.wisconsin.gov/document/statutes/36.11(3)(c))) ([http://docs.legis.wisconsin.gov/document/statutes/36.11\(3\)\(c\)\)](http://docs.legis.wisconsin.gov/document/statutes/36.11(3)(c)))), [3cm](http://docs.legis.wisconsin.gov/document/statutes/36.11(3)(cm)))

([http://docs.legis.wisconsin.gov/document/statutes/36.11\(3\)\(cm\)\)](http://docs.legis.wisconsin.gov/document/statutes/36.11(3)(cm)))))

Wisconsin Statutes (<http://docs.legis.wisconsin.gov/statutes/prefaces/toc>), § 36.31(2m)

([http://docs.legis.wisconsin.gov/document/statutes/36.31\(2m\)\)](http://docs.legis.wisconsin.gov/document/statutes/36.31(2m))))

Universal Credit Transfer Agreement

Higher Learning Commission FDCR.A.10.040

Historical Documents:

UW System Planning the Future (12-1986)

Undergraduate Transfer Policy Memorandum (12-1982)

ACIS 6.1 (4-2001)

UWS Transfer Working Group Final Report (6-1995)

UWS General Education Transfer Working Group Final Report (9-1997)

Statement of Principles on Student Transfer from WTCS to UWS (4-7-2000)

Board of Regents Resolution # 8107 (4-7-2000)

Board of Regents Resolution # 8759 (11-7-2003)

Board of Regents Resolution # 8775 (12-5-2003)

Board of Regent Resolution #9927 (6-2011)

Board of Regents Resolution #10383 (6-2014)

Last Revised: June 01, 2015

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Effective Fall 2017

UW System Administrative Policy 185 (*formerly G36*)

College Credit in High School

Original Issuance Date: September 01, 1988

Last Revision Date: September 16, 2016 (Effective Fall 2017)

1. Policy Purpose

This policy sets forth the expectations of the UW System related to the offering of college credit courses in Wisconsin high schools by university-authorized high school faculty.

2. Responsible UW System Officer

Vice President for Academic and Student Affairs

Vice President for Finance

3. Scope

This policy establishes academic and financial parameters for the UW System institution and participating high schools when offering college credit courses taught by high school faculty that have been authorized to do so by a UW System institution.

4. Background

High school to college transition programs demonstrate the UW System's commitment to maintaining access and affordability in higher education and advancing the Wisconsin Idea through collaborative efforts with Wisconsin high schools. UW System courses offered for credit at Wisconsin high schools provide an opportunity for academically-qualified high school students to engage in a special college-level learning experience. High school and college faculty forge strong working relationships as they cooperate to develop curricula and assessment instruments, infuse technology into instruction, and create a better understanding of the respective disciplines and pedagogy; such working relationships benefit both faculties, their institutions, and their students. These programs provide an opportunity for students to pursue rigorous advanced subjects sometimes available only at the college level and assist school districts in supporting gifted and talented education programs. Students may benefit from accelerating completion of a college degree reducing the cost of their college education, and entering the work force sooner.

This policy addresses college credit courses offered in Wisconsin high schools by university-approved high school faculty. It is important to establish standard policies and guidelines for such courses to help ensure that college credit is being awarded on the same basis across participating institutions.

5. Definitions

No definitions listed

6. Policy Statement

A. Quality Assurance

I. COURSES

Courses must meet the standards for instruction, content, student work expectations and evaluation that exist for the same course work offered within the UW System institution's on-campus degree programs. University departments are primarily responsible for assuring equivalent quality for these courses. Implementation of course standards should include at least the following:

- a. Course Syllabus. The appropriate academic department, or its designee, will approve the syllabus for each course prepared by the adjunct instructor each semester.
- b. Examinations. The appropriate academic department, or its designee, will review in- term examinations and grading criteria each semester. Final examinations, or an equivalent assessment instrument, shall be developed in close consultation with the appropriate academic department, or its designee, and a copy of each final examination shall be placed on file in the department.

II. FACULTY AND PROFESSIONAL DEVELOPMENT

High school faculty who teach UW courses at participating high schools must have at least a master's degree in the discipline in which the course is offered and shall have the specific approval of the appropriate university academic department. The UW System institution's academic department responsible for the course may make an exception if the high school faculty member's master's degree is in another related discipline. High school faculty selected shall meet all institutional and appropriate university departmental standards to qualify as an adjunct instructor.

UW System institutions should encourage regular professional interaction between university faculty and high school faculty involved in offering college courses in the high school. Such interactions may include:

- a. (1) regular, on-site visits by university faculty to review student work and ensure comparability of course work and grading standards;
- b. professional development seminars for university and high school faculty in the content area;
- c. training and preparation of high school faculty prior to the initial offering of a college-level course; and

- d. encouraging high school faculty to enhance their academic preparation by, for example, taking additional graduate course work and joining professional organizations.

III. STUDENTS

Enrollment in college courses offered in high school should be limited to students seeking college credit. Student eligibility criteria for participation in college credit courses will be determined by the UW System institution in collaboration with the participating high school. Examples of such eligibility criteria include passing a proficiency exam within the content area, having earned a particular grade point average, successfully completing prerequisite courses, demonstrating exceptional talent in the content area, or submitting validation from a high school faculty member that the student is qualified to take college course work in a content area.

Students who have completed UW courses taught in their high school will be considered for admission to UW System institutions on the basis of the same criteria as other high school students.

IV. EVALUATION

UW System institutions offering college courses in high schools are expected to evaluate the effectiveness of those courses. Such evaluation may include gathering various types of data, including whether the credits earned by students participating in the program are accepted by other colleges and universities, and whether students who successfully complete those courses are successful in the next level of college course work in that content area. In addition, those institutions that offer an extensive array of college courses in high schools should conduct periodic program reviews, including evaluation by external reviewers.

B. Student Records

All student enrollments should be reported in the UW System Central Data Request (CDR) and reported in such a way that they may be uniquely identified (for more detail refer to CDR reporting guidelines in the [CDR Manual, vol. 1, pg. 1410](https://www.wisconsin.edu/education-reports-statistics/data-management/central-data-request/cdr-manual/) (<https://www.wisconsin.edu/education-reports-statistics/data-management/central-data-request/cdr-manual/>)).

C. Tuition

UW System institutions will assess the full per credit, resident, undergraduate tuition rate for college credits in high schools less a reimbursement to the school districts for costs incurred by the districts in providing instruction for these courses. After this reimbursement, at UW System four-year institutions students will pay no less than 50% of the full per credit resident undergraduate tuition rate of the lowest UW System institution and no more than 50% of the full per credit resident undergraduate tuition rate of the UW System four-year institution offering the course. For UW Colleges, students will pay no less than 50% of its full per credit resident undergraduate tuition rate and no more than 50% of the lowest full per credit resident undergraduate tuition rate of UW System comprehensive institutions. This policy does not pertain to dual enrollment programs taught by UW faculty or staff members in high schools.

D. Transfer of Credit

Credit received for UW courses taught in the high school will be subject to the UW System Undergraduate Transfer Policy.

E. Coordination with the Local School District

System provisions must be made. Each UW System institution with a College Credit in High Schools program should develop specific procedures and programs in conjunction with local high school districts and in compliance with the policies, procedures and contractual arrangements of the districts.

The UW System institution will work with participating high schools to provide in-service training of teachers before the program begins, and for instructional materials and laboratory resources.

7. Related Documents

Section 118.52, Wis. Stats., *Course Options* (<https://docs.legis.wisconsin.gov/statutes/statutes/118/52>)

8. Policy History

Revision 4: 09/16/2016

Revision 3: 06/13/1998

Revision 2: 09/01/1988

First approved: 01/01/1986

9. Scheduled Review

May 2021

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