Board of Regents of the University of Wisconsin System
Office of the Secretary

1860 Van Hise Hall
1220 Linden Drive
Madison, Wisconsin 53706
(608)262-2324

DATE: November 30, 2010

TO: Each Regent

FROM: Jane S. Radue 𝒥𝒮ℛ

PUBLIC MEETING NOTICE
Meetings of the UW System Board of Regents and Committees
to be held at UW-Madison Memorial Union, 800 Langdon Street,
Madison, Wisconsin 53706 on December 9 and 10, 2010

Thursday, December 9, 2010

10:00 a.m. All Regents – Memorial Union, Main Lounge, 2nd Floor Central

1. Calling of the Roll

2. UW-Madison presentation by Chancellor Carolyn "Biddy" Martin:
   "*UW-Madison in China*"

3. Report of the President of the Board
   a. Wisconsin Technical College System Board report
   b. Additional items that the President of the Board may report or present to the
      Board

4. Report of the President of the System

5. University of Wisconsin System *eCampus*

12:00 p.m. Lunch – Memorial Union, Great Hall, 4th Floor Central

1:00 p.m.   Education Committee
Memorial Union, Main Lounge, 2nd Floor Central

1:00 p.m.   Business, Finance & Audit Committee
Memorial Union, Beefeaters Room, 3rd Floor East

1:00 p.m.   Capital Planning & Budget Committee
Memorial Union, Inn Wisconsin, 2nd Floor, East

Universities: Madison, Milwaukee, Eau Claire, Green Bay, La Crosse, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, Superior, Whitewater,
Colleges: Baraboo/Sauk County, Barron County, Fond du Lac, Fox Valley, Manitowoc, Marathon County, Marinette, Marshfield/Wood County, Richland,
Rock County, Sheboygan, Washington County, Waukesha, Extension: Statewide

<u>Friday, December 10, 2010</u>

9:00 a.m. All Regents – Memorial Union, Main Lounge, 2nd Floor Central

Persons wishing to comment on specific agenda items may request permission to speak at Regent Committee meetings. Requests to speak at the full Board meeting are granted only on a selective basis and should be made in advance of the meeting, to the Secretary of the Board at 1220 Linden Drive, 1860 Van Hise Hall, Madison, WI 53706.

Persons with disabilities requesting an accommodation to attend are asked to contact Jane Radue in advance of the meeting at (608)262-2324.

Information about agenda items can be found at http://www.uwsa.edu/bor/meetings.htm or may be obtained from the Office of the Secretary, 1860 Van Hise Hall, Madison, WI 53706, (608)262-2324.

The meeting will be webcast at http://www.uwex.edu/ics/stream/regents/meetings/ on Thursday, December 9, 2010 at 10:00 a.m. until approximately 12:00 p.m., and Friday, December 10, 2010 at 9:00 a.m. until approximately 12:00 p.m.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1.   Education Committee -   December 9, 2010
                                                           Main Lounge, 2nd Floor Central
                                                           UW-Madison Memorial Union
                                                           800 Langdon Street
                                                           Madison, Wisconsin

10:00 a.m.   <u>All Regents – Memorial Union, Main Lounge, 2nd Floor Central</u>

- UW-Madison Presentation by Chancellor Carolyn "Biddy" Martin: "UW-Madison in China"

- Report of the President of the Board

- Report of the President of the System

- *University of Wisconsin System eCampus*

12:00 p.m.   <u>Lunch – Memorial Union, Great Hall, 4th Floor Central</u>

1:00 p.m.   <u>Education Committee – Memorial Union, Main Lounge, 2nd Floor Central</u>

    a. Consent Agenda:

        1. Approval of the Minutes of the October 8, 2010, Meeting of the Education Committee;
        2. UW- Oshkosh: Revised Faculty Personnel Rules.
            [Resolution I.1.a.(2)]

    b. UW-Madison Presentation: "Benefits of the Madison Initiative and Transdisciplinary Crosscuts Taking Us in New Directions."

    c. Presentation on Student Success Programs for Populations of Opportunity through High-Impact Practices.

    d. Annual Program Planning and Review Report.

    e. Reports from the Office of Operations Review and Audit:
        1. Student Evaluation of Instruction;
        2. Credit for Prior Learning.

    f. Report of the Senior Vice President:
        1. Review of Sabbatical Guidelines;
        2. Summary of 2011-12 Sabbatical Assignments.

    g. Additional items may be presented to the Education Committee with its approval.

EDUCATION COMMITTEE

Resolution I.1.a.(2):

That, upon recommendation of the Chancellor of the
University of Wisconsin-Oshkosh and the President of the
University of Wisconsin System, the Board of Regents approves
the amendments to the UW-Oshkosh Faculty Personnel Rules.

**FACULTY PERSONNEL RULES
UNIVERSITY OF WISCONSIN-OSHKOSH
EXECUTIVE SUMMARY**

BACKGROUND

Section UWS 2.02, Wisconsin Administrative Code ("Faculty Rules: Coverage and Delegation") requires that rules, policies, and procedures developed by each institution in the System pursuant to Chapters UWS 3, 4, 5, 6 and 8 must be approved by the Board of Regents before they take effect.

The proposed revisions to the UW-Oshkosh Faculty Policies and Procedures concern changes to Chapter 3.2.B. on "Stopping or Suspending the Tenure Clock." The proposed revisions were approved by the UW-Oshkosh Faculty Senate on October 5, 2010, and by Chancellor Richard Wells on October 12, 2010. They have been reviewed by the UW System Office of General Counsel, which has determined that the changes are consistent with State law and Regent and UW System policy.

Following are three versions of the relevant section of the UW-Oshkosh Faculty Policies and Procedures: (A) the original version before changes; (B) a version with proposed changes tracked; and (C) a clean copy of the rules as these sections would read subsequent to Board approval.

REQUESTED ACTION

Approval of Resolution I.1.a.(2), approving the revisions to the UW-Oshkosh Faculty Policies and Procedures Rules.

DISCUSSION

The proposed revisions to Chapter 3.2.B. change the set of procedures by which probationary faculty may request a discontinuation or suspension of the tenure clock for reasons set forth in section UWS 3.04(3) of the Wisconsin Administrative Code. The proposed revisions specify that the request would first be submitted for approval to the appropriate Dean, prior to being forwarded to the Provost and Chancellor.

RECOMMENDATION

UW System recommends approval of Resolution I.1.a.(2), approving the revisions to Chapter 3.2.B. of the UW-Oshkosh Faculty Policies and Procedures.

(A)

UW-OSHKOSH Faculty Policies and Procedures on the discontinuation or suspension of the tenure clock for Probationary Faculty -- ORIGINAL VERSION BEFORE CHANGES

Policy Statement in September 2010 *UW Oshkosh Faculty and Academic Staff Handbook*, page 239

FAC 3.2.B. Stopping or Suspending the Tenure Clock.

It is the policy of the University of Wisconsin Oshkosh that these procedures should be implemented in a fair, reasonable, and accommodating manner. Interest in accommodating the special needs of probationary faculty must be considered and evaluated in light of avoiding an undue prolongation or extension in the length of the probationary period. For this reason, the process of making decisions on these requests must ensure that actions are taken in a timely and appropriate manner.

Probationary faculty may present a request for stopping the tenure clock for the reasons set forth in section UWS 3.04(3). Requests should be filed as soon as the probationary faculty becomes aware of the circumstances or conditions that necessitate this special treatment. In order to ensure that the review of the request is completed prior to the timeline for the submission of materials for renewal or tenure, the request should be filed no later than forty (40) working days prior to the date scheduled for the initial review. (In emergency or other extenuating circumstances, the Provost and Vice Chancellor may accept and act upon a request in an expeditious manner, provided that reasonable efforts are made to confer with the following individuals and offices (or their equivalents): the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action.)

If accepted, a request to "suspend the clock" shall not constitute a break in continuous service nor shall it be included in the probationary period.

(1) The Provost and Vice Chancellor will serve as the "designated administrative officer" for making decisions on all requests to stop or suspend the tenure clock.

(2) Probationary faculty initiate a request in writing filed with the Provost and Vice Chancellor's Office. Duplicate copies of this material must also be simultaneously filed with the following individuals and offices (or their equivalents): the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action.

(3) Any comments on the request from the offices designated above must be filed with the Provost and Vice Chancellor's Office within ten working days.

(4) No later than ten working days after the close of the period for receipt of comments, the Provost and Vice Chancellor shall make a final decision on the request. Copies of the decision shall be sent to the following individuals and offices (or their equivalents): the concerned faculty, the Chancellor, the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action. This decision is not subject to review or appeal.

(a) If the Provost and Vice Chancellor denies the request, it must be based upon clear and convincing reasons that are presented in writing to the probationary faculty member at the time that this decision is made.

(b) If the Provost and Vice Chancellor accepts the request, the notification of that decision shall specify the duration of the period covered by the decision and the timeline for the next personnel action pertaining to the probationary faculty member.

(B)

UW-OSHKOSH Faculty Policies and Procedures on the discontinuation or suspension of the tenure clock for Probationary Faculty – WITH CHANGES TRACKED.

FAC 3.2.B. Stopping or Suspending the Tenure Clock.

It is the policy of the University of Wisconsin Oshkosh that these procedures should be implemented in a fair, reasonable, and accommodating manner. Interest in accommodating the special needs of probationary faculty must be considered and evaluated in light of avoiding an undue prolongation or extension in the length of the probationary period. For this reason, the process of making decisions on these requests must ensure that actions are taken in a timely and appropriate manner.

Probationary faculty may present a request for stopping the tenure clock for the reasons set forth in section UWS 3.04(3). Requests should be filed as soon as the probationary faculty becomes aware of the circumstances or conditions that necessitate this special treatment. In order to ensure that the review of the request is completed prior to the timeline for the submission of materials for renewal or tenure, the request should be filed no later than forty (40) working days prior to the date scheduled for the initial review. (In emergency or other extenuating circumstances, the Provost and Vice Chancellor may accept and act upon a request in an expeditious manner, provided that reasonable efforts are made to confer with the following individuals and offices (or their equivalents): the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action.)

If accepted, a request to "suspend the clock" shall not constitute a break in continuous service nor shall it be included in the probationary period.

(1) The Provost and Vice Chancellor will serve as the "designated administrative officer" for making decisions on all requests to stop or suspend the tenure clock.

(2) Probationary faculty initiate a request in writing filed with the appropriate dean. ~~Provost and Vice Chancellor's Office~~. Duplicate copies of this material must also be simultaneously filed with the following individuals and offices (or their equivalents): ~~the college Dean,~~ the department chair, the department personnel committee, and the Director of Equity and Affirmative Action. The dean will then forward the request, with his/her recommendation, to the Provost and Vice Chancellor

(3) Any comments on the request from the offices designated above must be filed with the Provost and Vice Chancellor's Office within ten working days.

(4) No later than ten working days after the close of the period for receipt of comments, the Provost and Vice Chancellor shall make a final decision on the request. Copies of the decision shall be sent to the following individuals and offices (or their equivalents): the concerned faculty, the Chancellor, the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action. This decision is not subject to review or appeal.

  (a) If the Provost and Vice Chancellor denies the request, it must be based upon clear and convincing reasons that are presented in writing to the probationary faculty member at the time that this decision is made.

  (b) If the Provost and Vice Chancellor accepts the request, the notification of that decision shall specify the duration of the period covered by the decision and the timeline for the next personnel action pertaining to the probationary faculty member.

(C)

UW-OSHKOSH Faculty Policies and Procedures on the discontinuation or suspension of the tenure clock for Probationary Faculty – CLEAN COPY WITH CHANGES ACCEPTED.

FAC 3.2.B. Stopping or Suspending the Tenure Clock.

It is the policy of the University of Wisconsin Oshkosh that these procedures should be implemented in a fair, reasonable, and accommodating manner. Interest in accommodating the special needs of probationary faculty must be considered and evaluated in light of avoiding an undue prolongation or extension in the length of the probationary period. For this reason, the process of making decisions on these requests must ensure that actions are taken in a timely and appropriate manner.

Probationary faculty may present a request for stopping the tenure clock for the reasons set forth in section UWS 3.04(3). Requests should be filed as soon as the probationary faculty becomes aware of the circumstances or conditions that necessitate this special treatment. In order to ensure that the review of the request is completed prior to the timeline for the submission of materials for renewal or tenure, the request should be filed no later than forty (40) working days prior to the date scheduled for the initial review. (In emergency or other extenuating circumstances, the Provost and Vice Chancellor may accept and act upon a request in an expeditious manner, provided that reasonable efforts are made to confer with the following individuals and offices (or their equivalents): the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action.)

If accepted, a request to "suspend the clock" shall not constitute a break in continuous service nor shall it be included in the probationary period.

(1) The Provost and Vice Chancellor will serve as the "designated administrative officer" for making decisions on all requests to stop or suspend the tenure clock.

(2) Probationary faculty initiate a request in writing filed with the appropriate dean.. Duplicate copies of this material must also be simultaneously filed with the following individuals and offices (or their equivalents):the department chair, the department personnel committee, and the Director of Equity and Affirmative Action. The dean will then forward the request, with his/her recommendation, to the Provost and Vice Chancellor

(3) Any comments on the request from the offices designated above must be filed with the Provost and Vice Chancellor's Office within ten working days.

(4) No later than ten working days after the close of the period for receipt of comments, the Provost and Vice Chancellor shall make a final decision on the request. Copies of the decision shall be sent to the following individuals and offices (or their equivalents): the concerned faculty, the Chancellor, the college Dean, the department chair, the department personnel committee, and the Director of Equity and Affirmative Action. This decision is not subject to review or appeal.

   (a) If the Provost and Vice Chancellor denies the request, it must be based upon clear and convincing reasons that are presented in writing to the probationary faculty member at the time that this decision is made.

   (b) If the Provost and Vice Chancellor accepts the request, the notification of that decision shall specify the duration of the period covered by the decision and the timeline for the next personnel action pertaining to the probationary faculty member.

STUDENT SUCCESS PROGRAMS FOR
POPULATIONS OF OPPORTUNITY
THROUGH HIGH-IMPACT PRACTICES

EXECUTIVE SUMMARY

BACKGROUND

One of the priorities adopted by the Board of Regents Education Committee for the academic year 2010-11 is "Student Success Programs for Populations of Opportunity through High-Impact Practices." In its engagement with the core goal of "More Graduates," the Committee will spend meeting time looking at programs that have been proven to work best for populations of students historically underserved by higher education. Such programs will be crucial to meeting the System's long-range plan to increase the number of college degree-holders in the state by 30 percent (80,000 additional graduates) over the next 15 years.

In October, the Board of Regents heard a presentation on a national initiative in which the UW System is participating called *Access to Success*. *Access to Success* has adopted two, interrelated goals: 1) to increase the number of college graduates in their states; and 2) to ensure that those graduates are more broadly representative of their states' high school graduates, in particular in terms of race and income. These goals render the *Access to Success* initiative a key player in the System's *More Graduates* work and the System has developed a dynamic process by which to deliver on its commitment to *Access to Success* and its *More Graduates* goals. This process involves dialogue between the System and UW institutions, the collection of baseline data, specific goals developed in concert with each UW institution, and detailed plans by which to achieve those goals according to the metrics established through the initiative.

Many of these institutional plans include the development and expansion of high-impact educational practices (known as HIPs), those educational practices which have been shown to be especially successful in retaining students and deepening student learning. Recent research conducted by George Kuh, in conjunction with the Association of Colleges and Universities (AAC&U),[1] shows that high-impact teaching practices or HIPs are especially effective at helping students reach those learning outcomes most essential for life and livelihood in the 21st-century global society. Moreover, the research has shown that HIPs prove even more effective for historically underserved students: the learning gains made by underserved students who participate in HIPs are dramatic, with significantly increased rates of student retention and engagement. The research also shows, however, that underserved students are least likely to participate in HIPs. It is for this reason that the *More Graduates* work is focusing heavily on providing greater access to HIPs for "populations of opportunity," as an effective means of ensuring their success.

---

[1] *High-Impact Educational Practices: What They Are, Who Has Access to Them, and Why They Matter*, by George D. Kuh (AAC&U, 2008)

In the parlance of the *More Graduates* initiative, "populations of opportunity" comprise a number of populations historically underserved by higher education (hence the opportunity): underrepresented minorities, including African American, Latino, Native American, and Southeast Asian; adult students; first-generation students; and low-income students, defined as those students eligible for a Pell grant. Wisconsin's—and the nation's—changing demographics also point to the opportunity represented by these populations in the effort to provide quality post-secondary education to a wider and deeper cut of Wisconsin residents.

At its December 2010 meeting, the Education Committee will engage in discussion of *More Graduates* work at UW institutions that is focusing on engaging populations of opportunity through high-impact practices.

REQUESTED ACTION

For information only; no action is required.

DISCUSSION

All UW institutions offer high-impact educational practices as a part of both the academic and co-curricular programs they offer to students. HIPs comprise a range of intellectually engaging and educationally purposeful practices, including: first-year seminars and experiences; common intellectual experiences; learning communities; writing-intensive courses; collaborative assignments and projects; undergraduate research; diversity/global learning; service and community-based learning; internships; and capstone courses and projects. More detailed descriptions of these practices can be found at: http://www.aacu.org/leap/hip.cfm.

In recent years, and for a variety of reasons, efforts to incorporate HIPs into general education and the majors have been increasing. These reasons include not only the recent research cited above, but also the UW System's renewed focus on the equity and diversity of educational opportunity through *Inclusive Excellence*, a variety of curricular reform efforts taking place at the institutions, the shift towards a more student-centered learning paradigm, and the System's partnership with AAC&U on the *Liberal Education and America's Promise* or LEAP Campaign.

One of the System's signature programs in its collaboration with AAC&U on LEAP is the *Give Students a Compass* grant project. The goals of the Compass project are to redesign general education for the 21st-century; ensure that curricular redesign better addresses the needs and raises the achievement levels of underserved students; and expand the content and institutional offerings of high-impact educational practices (HIPs), in particular for underserved students. Three UW institutions are official participants in the Compass grant, UW-Eau Claire, UW-Milwaukee, and UW-Oshkosh, and they are each focusing on particular HIPs and student populations in the effort to meet the goals of the project.

Every other UW institution is also engaged in Compass-like work. In November, the System convened over 110 UW educators at the Compass Institute. The Institute was designed to feature, celebrate, and advance the good work in which UW System institutions are engaged

on: Curricular Redesign; Inclusive Excellence; High-Impact Practices; Underserved Student Success. Each participating UW institution submitted proposals for a team and a project working towards Compass goals. Embedded in the Institute schedule for the two-plus days was dedicated team time, during which campus teams worked on their projects, including the development of action plans towards implementation upon return to their home institutions. Every one of these plans involved enhancing access to high-impact practices for underserved students. And these projects represent just a fraction of the good work taking place at UW institutions.

The recognition that HIPs, when done well, have the potential to help more students, especially those from underserved populations, succeed is growing throughout the UW System. UW institutions are tracking student access to and participation in HIPs as a part of their annual accountability reports. Within the next few months, a newly developed System website will collect and disseminate those HIPs offered at UW institutions which have been proven to be especially effective (http://www.uwsa.edu/vpacad/hips/). It should be acknowledged that high-impact practices are resource-intensive and the UW System is working to provide budgetary support towards their expansion. The System's 2011-13 Biennial Budget proposal included as a part of its *Growth Agenda/More Graduates* request funding for strategies like high-impact practices that would address retention and student success. Two System-sponsored grant programs, *Closing the Achievement Gap* and *Supporting the Growth Agenda*, are also working to fund institutional initiatives focused on HIPs and underserved student success.

**UNIVERSITY OF WISCONSIN SYSTEM
PROGRAM PLANNING AND REVIEW
2009-10 ANNUAL REPORT**

EXECUTIVE SUMMARY

BACKGROUND

Chapter 36 of the Wisconsin State Statutes places authority to "determine the educational programs offered in the system…" with the Board of Regents. Chapter 36 further provides that UW System Administration (UWSA) has oversight over program array and is responsible for recommending educational programs to the Board. Academic Information Series 1 (ACIS-1) sets forth the Board-approved process for various academic program actions, which is designed to enable UW institutions to maintain high quality academic programs through efficient and effective use of available resources.

The University of Wisconsin System (UWS) Office of Academic, Faculty, and Global Programs (AFGP) prepares an annual report summarizing activity related to the UW System program array including the planning, authorization, implementation, review, discontinuation, and suspension of academic programs across the UW System. The Annual Report serves to strengthen the knowledge base and the context in which the Board of Regents exercises its stewardship over the UW System's academic program array.

This year's report covers the period June 1, 2009, through May 31, 2010, and includes the following:

- Guiding Principles and UWS Program Planning and Review Process;
- Five-Year Summary of Program Planning & Review (PP&R) Activity Systemwide;
- Institutional PP&R Activity for 2009-10 and plans for the near future;
- UWS Program Array Including Frequency of Programs;
- Selected Outcomes of the 2009 Realignment Initiative;
- Appendix A: Academic Program Planning Process;
- Appendix B: The Academic Program Planning "Pipeline";
- Appendix C: Academic Program Suspension: An Alternative to Program Closure and Associated Guidelines.

At the December, 2010, meeting of the Board of Regents, the Education Committee will be presented with the 2009-2010 Annual Report.

REQUESTED ACTION

For information only; no action is required.

RELATED REGENT POLICIES

University of Wisconsin System Academic Planning and Program Review (November 10, 1995), Academic Informational Series #1 (ACIS-1.0, Revised April 2010).

UNIVERSITY OF WISCONSIN SYSTEM
PROGRAM PLANNING AND REVIEW
2009-10 ANNUAL REPORT

I.   Introduction

The University of Wisconsin System (UWS) Office of Academic, Faculty, and Global Programs (AFGP) prepares an annual report summarizing activity related to the UW System program array including the planning, authorization, implementation, review, discontinuation, and suspension of academic programs across the UW System.

Chapter 36 of the Wisconsin State Statutes places authority to "determine the educational programs offered in the system…" with the Board of Regents. Chapter 36 further provides that UW System Administration (UWSA) has oversight over program array and is responsible for recommending educational programs to the Board. Academic Information Series 1 (ACIS-1) sets forth the Board-approved process for various academic program actions, which is designed to enable UW institutions to maintain high quality academic programs through efficient and effective use of available resources.

This year's report covers the period June 1, 2009, through May 31, 2010, and includes the following:

- Guiding Principles and UWS Program Planning and Review Process;
- Five-Year Summary of Program Planning & Review (PP&R) Activity Systemwide;
- Institutional PP&R Activity for 2009-10 and plans for the near future;
- UWS Program Array Including Frequency of Programs;
- Selected Outcomes of the 2009 Realignment Initiative;
- Appendix A: Academic Program Planning Process;
- Appendix B: The Academic Program Planning "Pipeline";
- Appendix C: Academic Program Suspension: An Alternative to Program Closure and Associated Guidelines.

II.   Guiding Principles and UWS Program Planning and Review Process

Academic Information Series I (ACIS 1.0) is the statement of Regent policy on academic planning and program review. ACIS 1.0 delineates clear principles for considering new program proposals at the institutional, System, and Board levels. The principles include:

- using resources effectively to develop and maintain high quality programs;
- providing the most cost-effective university system for the citizens of Wisconsin;
- ensuring that academic programs are consistent with UW System and institutional missions;
- reducing unnecessary program duplication; and
- maintaining excellent undergraduate basic arts, humanities, social science, and science programs at each institution.

Program planning and review in the UW System is a collaborative process that involves the participation of campus faculty and administration along with UW System Administration. There are four major steps in the program planning and review process: the request from the institution for **entitlement to plan** a new academic program; **authorization to implement** the new program; **implementation** by the institution following Board approval; and a comprehensive **joint review** of the academic program approximately five years after its implementation. If the program is approved for continuation after the joint review, it is placed into the institution's regular program review cycle. For more details on the program planning process, please see Appendix A.

III. Five-Year Summary of Program Planning & Review (PP&R) Activity Systemwide

Changes in the program array occur as a result of long-range planning aimed at being responsive to changes in the educational landscape, which includes supply and demand for certain programs and the needs of the state. Institutional missions guide all changes.

Table 1 shows summary data for the last five academic years (from June 1, 2005, to May 31, 2010) on the number of programs receiving entitlement to plan, those authorized for implementation, and programs implemented. During this period, 75 programs received entitlement to plan, including 45 programs at the baccalaureate level, 19 at the master's level, and 11 at the doctoral level.

Table 1. PP&R Activity over the Past Five Years Systemwide

	2005-06	2006-07	2007-08	2008-09	2009-10	Total
Entitled	14	9	23	14	15	75
Authorized	10	15	9	23	14	71
Implemented	7	10	9	16	19	61
Discontinued	3	3	3	5	4	18
Suspended	0	0	0	0	5	5

IV. Institutional PP&R Activity for 2009-10 and Plans for the Near Future

Table 2 summarizes program-planning activity by institution during the 2009-10 academic year. During the year under review, 15 new programs were granted entitlement to plan, 14 were authorized for implementation, and 19 were implemented throughout the UW System. In addition, four programs were discontinued and five were suspended.

Tables 3-16 provide a breakdown of 2009-10 program-planning activities by institution, including plans for the near future. Entitlements included the Bachelor of Applied Arts and Sciences (B.A.A.S.) degree at the UW Colleges, and implementations included a collaborative, online Bachelor of Science Degree Completion Program in Sustainable Management offered by UW-Parkside, UW-River Falls, UW-Stout and UW-Superior, with administrative and financial support from UW-Extension.

Of the degrees implemented, baccalaureate degrees outnumber graduate degrees. Within the baccalaureate category, B.S. degrees outnumber B.A. and other baccalaureate degrees. Among the graduate degree implementations, master's-level programs outnumber

doctoral programs, with Master's of Science and Master's of Arts degrees reaching equal numbers. A doctoral/research and a comprehensive UW System institution implemented Doctor of Nursing Practice (D.N.P.) degrees, whereas Ph.D.s were implemented only by doctoral/research institutions, as appropriate to their missions. Thirteen of the 19 newly implemented programs are in health-related areas, demonstrating a significant growth in allied/applied health/medical programming in the UW System.

Table 2. PP&R Activity 2009-10 by Campus

	Entitled	Authorized	Implemented	Discontinued	Suspended
UW Colleges	1				
UW-Eau Claire			2		
UW-Extension					
UW-Green Bay	1				
UW-La Crosse		1	1		
UW-Madison	1	1	3	3	
UW-Milwaukee	4	4	3		
UW-Oshkosh	1	2	2		1
UW-Parkside	1				
UW-Platteville	4	1			4
UW-River Falls				1	
UW-Stevens Point		1			
UW-Stout	2	3	6		
UW-Superior					
UW-Whitewater		1	1		
Collaborative Programs			1 (PKS, RVF, STO, SUP, EXT)		
TOTALS	15	14	19	4	5

Table 3. UW Colleges

Program Name	Degree	Action	Date
Applied Arts & Sciences	B.A.A.S.	Entitled	2/3/2010

Table 4. UW-Eau Claire

Program Name	Degree	Action	Date
International Business	Bachelor's	Approved for "Expedited Review" Track Toward Authorization	4/21/2010
Liberal Studies	Bachelor's	Implemented	Fall 2009
Materials Science	B.S.	Implemented	Fall 2009
Higher Learning Commission (HLC) of the		Fully Accredited	2009-10

North Central Association of Colleges and Schools – Institutional Accreditation Review			
New academic programs in the initial planning stage or under consideration for the future:			
a) International Business Major			
b) M.S. in Leadership Studies			
c) Online Degree Completion Program			

Table 5. UW-Green Bay

Program Name	Degree	Action	Date
Nursing - Clinical Nurse Leader	M.S.	Entitled	3/26/2010

Table 6. UW-La Crosse

Program Name	Degree	Action	Date
Medical Dosimetry	M.S.	Authorized	12/11/2009
Medical Dosimetry	M.S.	Implemented	Fall 2010
Women's Studies	B.A./B.S.	Implemented	Fall 2009
New academic programs in the initial planning stage or under consideration for the future:			
a) Statistics Major			
b) Bachelor of Fine Arts in the Art Department (Entitled 4/22/2008 - revising proposal)			
c) Master of Science in Education – Professional Development (M.E.-P.D.) Online Learning Community			

Table 7. UW-Madison

Program Name	Degree	Action	Date
Environmental Studies	Bachelor's	Entitled	5/18/2010
Nursing Practice, Doctor of	D.N.P.	Authorized	9/11/2009
Nursing Practice, Doctor of	D.N.P.	Implemented	Fall 2010
Clinical Investigation	Ph.D.	Implemented	Fall 2009
Community and Nonprofit Leadership	B.S.	Implemented	Fall 2009
Physician Assistant Studies	Master's	Implemented	Fall 2009
Environmental Monitoring	Master's	*Discontinued*	2009-10
Environmental Monitoring	Ph.D.	*Discontinued*	2009-10
Clinical Laboratory Science	Bachelor's	*Discontinued*	2009-10
New academic programs in the initial planning stage or under consideration for the future:			
a) B.S. - Athletic Training			
b) M.S./Ph.D. Epidemiology			

Table 8. UW-Milwaukee

Program Name	Degree	Action	Date
Linguistics	M.A. & Ph.D.	Entitled	4/23/2010
Linguistics	M.A. & Ph.D.	Authorized	8/20/2010
Linguistics	M.A. & Ph.D.	Implemented	Fall 2010
Nutritional Sciences	B.S.	Entitled	7/9/2009
Public Health	Master's	Entitled	4/23/2010
Freshwater Science	M.S. & Ph.D.	Authorized	6/11/2010
Freshwater Science	M.S. & Ph.D.	Implemented	Fall 2010
Latin American, Caribbean and US Latino Studies	B.A.	Authorized	10/15/2009
Sociology	Ph.D.	Authorized	6/11/2010
Athletic Training	B.S.	Implemented	Summer 2009
Environmental & Occupational Health	Ph.D.	Implemented	Fall 2009
Nursing Practice, Doctor of	D.N.P.	Implemented	Fall 2009
New academic programs in the initial planning stage or under consideration for the future:			
a) Bachelor of Arts in American Indian Studies			
b) Bachelor of Arts in Ancient Mediterranean Studies			
c) B.S. in Applied Math, Business and Economics			
d) B.S. in Software Engineering			
e) Master of Science in Microbial Biotechnology			
f) Master of Science in Architecture			
g) Master of Science and/or Doctor of Philosophy degree in Neuropsychology			
h) Medical Diagnostic Science (MMDS)			
i) Medical Laboratory Sciences (MMLS)			
j) Doctor of Philosophy in Epidemiology			
k) Doctor of Philosophy in Public Health Administration and Policy			
l) Doctor of Philosophy in Social Sciences and Community Health			

Table 9. UW-Oshkosh

Program Name	Degree	Action	Date
Radiologic Sciences	B.S.	Entitled	10/27/2009
Environmental Health	B.S.	Authorized	2/4/2010
Environmental Health	B.S.	Implemented	Fall 2010
Kinesiology	B.S.	Authorized	9/10/2009
Kinesiology	B.S.	Implemented	Fall 2009
Women's Studies	B.A./B.S.	Implemented	Fall 2009
Music Therapy	Bachelor's	*Suspended*	Spring 2010
New academic programs in the initial planning stage or under consideration for the future:			
a) B.B.A. in Interactive Media Design			
b) M.S.E. in Human Services and Nonprofit Leadership			
c) M.S.E. in Childhood Studies			

Table 10. UW-Parkside

Program Name	Degree	Action	Date
Environmental Studies	B.S.	Entitled	5/18/2010
Sustainable Management (PKS, RVF, STO, SUP, EXT)	B.S. completion	Implemented	Fall 2009
New academic programs in the initial planning stage or under consideration for the future:			
a) M.S. Physician's Assistant			

Table 11. UW-Platteville

Program Name	Degree	Action	Date
Distance Education Leadership - Online	M.S.	Entitled	5/12/2010
Integrated Supply Chain Management – Online	M.S.	Entitled	5/12/2010
Organizational Change Management - Online	M.S.	Entitled	5/12/2010
Sustainable & Renewable Energy Systems	B.S.	Entitled	7/15/2009
Forensic Investigation	B.A./B.S.	Authorized	6/11/2010
Forensic Investigation	B.A./B.S.	Implemented	Fall 2010
Agricultural Industries	Master's	*Suspended*	Spring 2010
Economics	Bachelor's	*Suspended*	Spring 2010
Industrial Technology Management	Master's	*Suspended*	Spring 2010
Speech	Bachelor's	*Suspended*	Spring 2010

Table 12. UW-River Falls

Program Name	Degree	Action	Date
Sustainable Management (PKS, RVF, STO, SUP, EXT)	B.S. completion	Implemented	Fall 2009
Music	Bachelor's	*Discontinued*	2009-10
New academic programs in the initial planning stage or under consideration for the future:			
a) M.S. in Sustainable Community Development			
b) M.S. in Biomedicine in collaboration with UW-Stout and the Marshfield Clinic, River's Cancer Center at River Falls Hospital in conjunction with University of Minnesota.			

Table 13. UW-Stevens Point

Program Name	Degree	Action	Date
Interior Architecture	B.F.A.	Authorized	4/9/2010
Interior Architecture	B.F.A.	Implemented	Fall 2010
New academic programs in the initial planning stage or under consideration for the future:			
a) B.S. in Ethnobotany			
b) B.S. in Urban and Regional Planning			
c) Master's in Natural Resources (replacing several existing M.S. in Natural Resource degrees)			

Table 14. UW-Stout

Program Name	Degree	Action	Date
Gerontology	M.S.	Entitled	9/3/2009
Health, Wellness & Fitness	B.S.	Entitled	2/17/2010
Applied Social Science	B.S.	Authorized	10/15/2009
Applied Social Science	B.S.	Implemented	Fall 2010
Cognitive Science	B.S.	Authorized	2/4/2010
Cognitive Science	B.S.	Implemented	Fall 2010
Supply Chain Management	B.S.	Authorized	12/10/2009
Supply Chain Management	B.S.	Implemented	Spring 2010
Sustainable Management (PKS, RVF, STO, SUP, EXT)	B.S. completion	Implemented	Fall 2009
Game Design & Development	B.S.	Implemented	Fall 2009
Property Management	B.S.	Implemented	Fall 2009
Science Education	B.S.	Implemented	Fall 2009
Technical & Professional Communication	M.S.	Implemented	Fall 2009
Technology & Science Education	B.S.	Implemented	Fall 2009
New academic programs in the initial planning stage or under consideration for the future:			
a) Professional Science Master's (P.S.M.) in Industrial and Applied Mathematics (entitled 9/28/2010 and will appear in report of 2010-11 PP&R activity)			
b) M.S. in Biomedical Sciences			
c) M.S. in Homeland Security			
d) M.S. in Sustainability			

Table 15. UW-Superior

Program Name	Degree	Action	Date
Sustainable Management (PKS, RVF, STO, SUP, EXT)	B.S. completion	Implemented	Fall 2009

Table 16. UW-Whitewater

Program Name	Degree	Action	Date
Entrepreneurship	B.B.A.	Authorized	9/10/2009
Entrepreneurship	B.B.A.	Implemented	Fall 2009
New academic programs in the initial planning stage or under consideration for the future:			
a) Major in Computer Science (currently offering a minor in Computer Science)			
b) Major in Environmental Sciences/Environmental Studies			
c) B.F.A. in Art (currently offering B.A./B.S. in Art)			
d) Major in Advertising, Electronic Media, and Public Relations (currently offered as emphasis)			
e) Pre-Physician's Assistant (pre-professional program)			
f) Pre-Physical Therapy (pre-professional program)			
g) Pre-K-3 M.S.E. or M.S. emphasis			
h) M.S. in Health Administration			

V.   UWS Program Array Including Frequency of Programs

The following chart shows the total number of degree program offerings in the UW System over the past 30 years. The number of degree programs declined from 1,207 in 1981-82, to 1,100 in 1998-99, and then increased to 1,168 in 2009-10.

UW System Program Array
Bachelors/Masters/Doctoral/Professional Programs
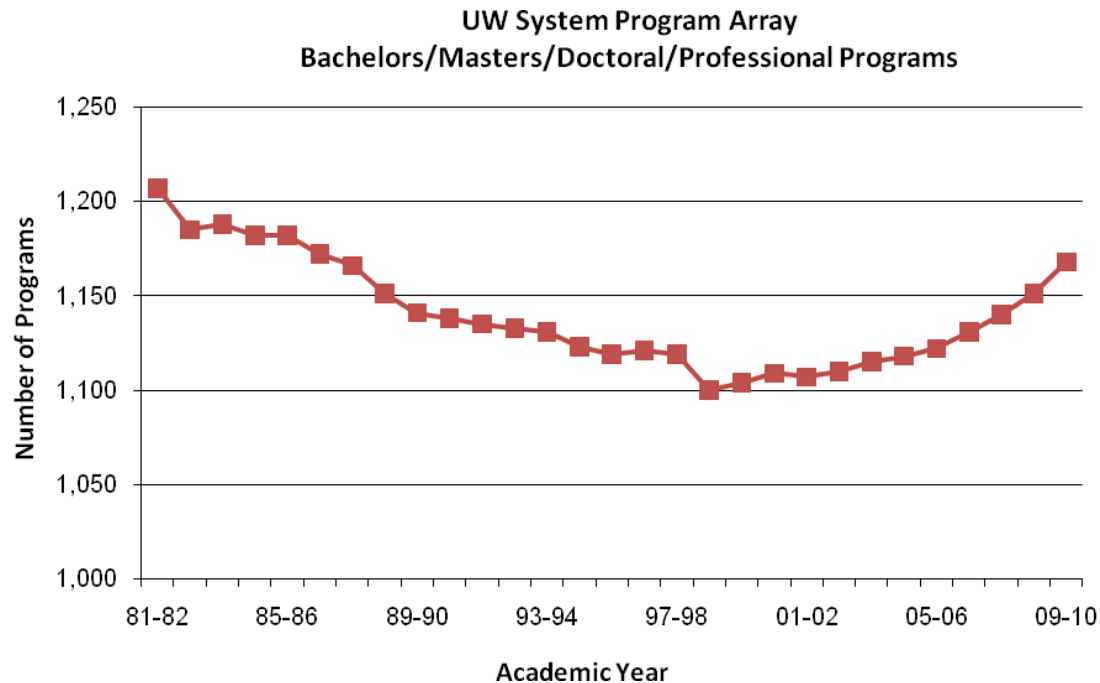
The number of Bachelor's degree programs had a similar pattern, declining from the 1980's to 1990's, and then increasing in the 2000's. However, the number of Bachelor's degree programs systemwide in 2009-10 (696) was still slightly lower than that in 1981-82 (703).

UW System Program Array
Bachelors Level Programs
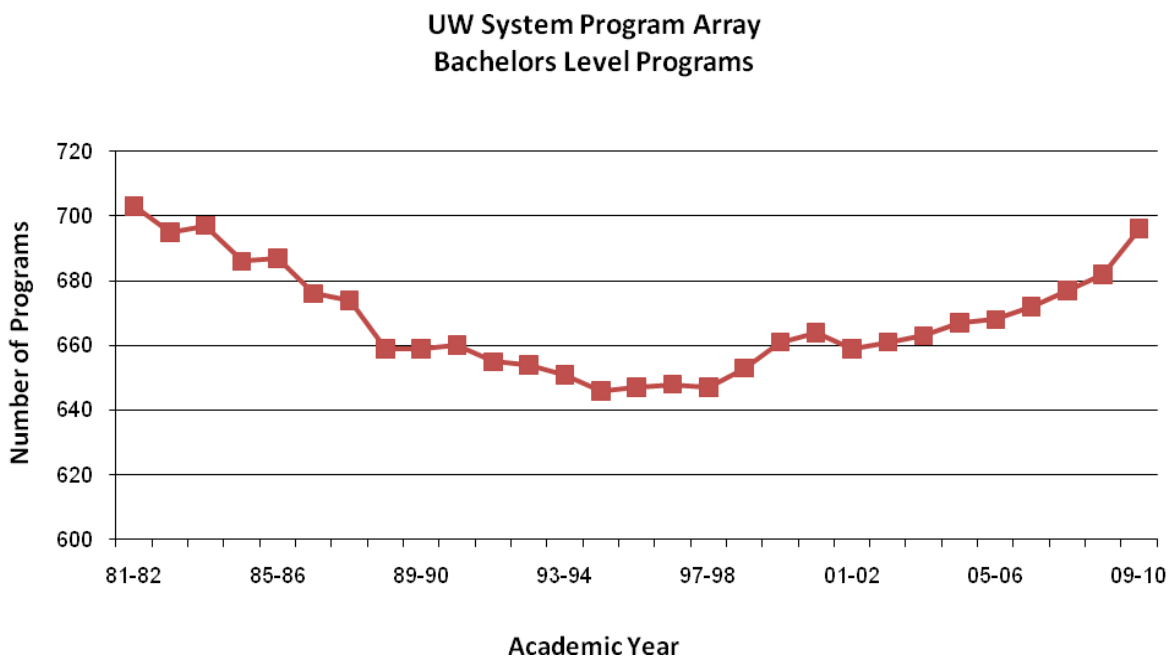
The number of graduate degree programs, including Master's, Doctoral, and Professional degree programs, decreased from 504 in 1981-82, to 443 in 1999-00, and then started to increase gradually to 472 in 2009-10.

UW System Program Array
Masters/Doctoral/Professional Programs
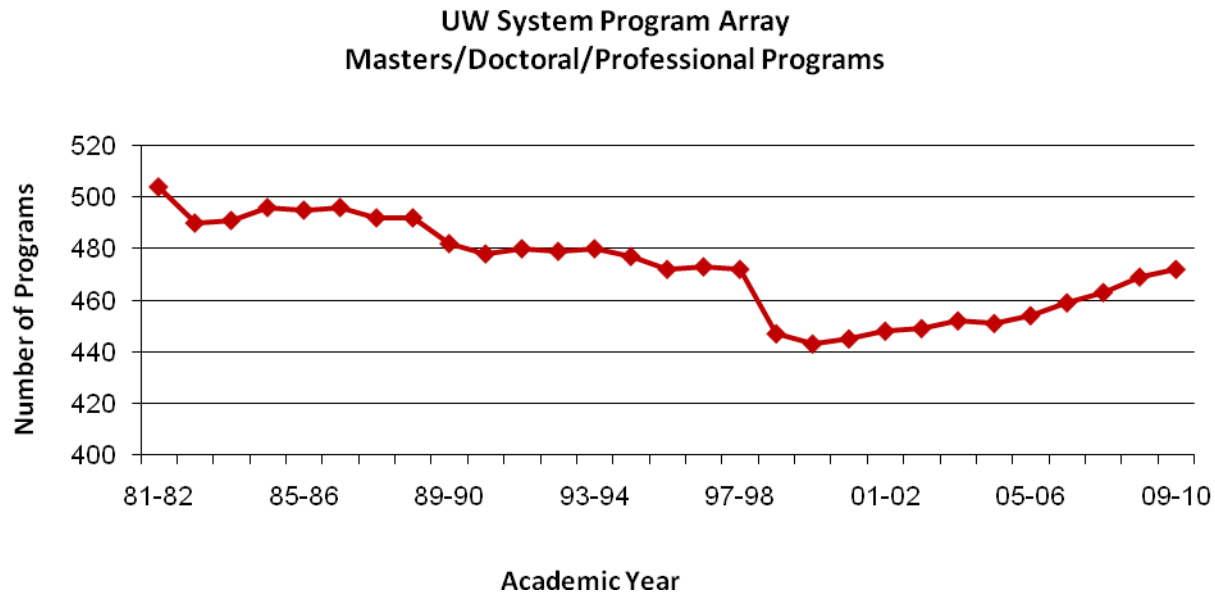
Table 17 shows the program frequency or number of institutions offering each program across the UW System. For example, line one of the table shows that in academic year 1994-95, 148 of the 251 bachelor degree programs offered systemwide were offered at only one UW institution. The percentage of programs offered at only one UW institution has remained at about 60% since 1994-95. The percentage of programs offered at one to four UW institutions has remained at 85% since 1994-95. Only one program (psychology) is offered at all UW institutions.

Table 17. Frequency of UW System Bachelor's Degree Programs

	# of Programs Systemwide		
Program Frequency	**1994-95**	**2001-02**	**2009-10**
1	148	154	165
2	44	44	49
3	14	18	18
4	7	4	6
5	4	8	8
6	6	3	5
7	4	6	6
8	4	2	1
9	4	6	7
10	1	2	3
11	6	3	2
12	8	9	9
13	1	1	1
Total	251	260	280

VI. Selected Outcomes of the 2009 Realignment Initiative

In 2009, the UW System undertook an extensive review of its undergraduate degree program array. This review was referred to as the "UW System 2009 Program Realignment Initiative." The goals of this initiative were to assess the following across the System: 1) enrollment in various degree programs; 2) duplication and frequency of degree programs; and 3) degree production. Another goal of the initiative was to develop guiding principles for program discontinuations or eliminations, while taking into consideration the capacity of the system as a whole to provide certain programs to the citizens of Wisconsin. In February 2010, the report on the initiative was presented to the Education Committee of the UW System Board of Regents.

The Education Committee received the report with great interest. The Committee was particularly interested in programs that produced an average of no more than five degrees a year over the ten-year period the study covered, especially when these programs were offered by 50 percent or more of the UW institutions. The Committee requested that the UW System Office of Academic Affairs find ways to address:

1. Degree programs producing fewer than an average of five degrees a year over a given period;

2. Degree programs producing fewer than an average of five degrees a year over a given period <u>and</u> offered by 50 percent or more of the UW institutions.

After extensive discussion with the UW System Provosts and Faculty Representatives, the Office of Academic Affairs developed an approach for monitoring low-degree-producing academic programs. The approach provides guiding principles that seek to uphold institutional autonomy in determining program array, while also ensuring that the UW System continues to provide the citizens of Wisconsin with a broad range of high-quality academic programs and makes the best use of limited resources. The guiding principles became a part of ACIS-1, the UW System's statement of the Regent Policy on Academic Planning and Program Review, and were presented to the Education Committee at its June 2010 meeting.

The University of Wisconsin System instituted the following guidelines, effective July 1, 2010, to address the concerns of the Education Committee regarding low-degree-producing programs:

1. The office of the Associate Vice President for Academic, Faculty, and Global Programs will conduct a review of all undergraduate majors in the UW System for degree productivity every five years. This review may be conducted separately or in conjunction with other UW System required reviews of academic programs. This review will commence with low-degree-producing programs identified in the 2009 Program Realignment Initiative.

2. For undergraduate degree programs offered by *less than* 50 percent of the UW institutions, including individually designed majors and very specialized programs that are not expected to produce large number of graduates, degree productivity expectations will be addressed by individual campuses based on their mission and resources.

3. For undergraduate degree programs offered by *more than* 50 percent of the UW institutions, the degree productivity expectation is 25 graduates over a five-year period or an average of five per year. The review period for new programs in this category will begin six years after the degree program's implementation.

4. For each program or major not meeting the degree productivity expectation, the provost will submit a brief justification and request for continuation. If approved, the program will remain in the regular or normal program review cycle.

5. A program or major where the degree productivity expectation is not met, and substantive questions remain, will enter a monitoring phase for a period up to five years. If, at the end of the monitoring period, the program has still not achieved the degree productivity expectation, the institution will be encouraged to pursue any of the following options:
   a. Combining the program with another program;
   b. Offering the program in collaboration with another institution where there may be interest;
   c. Suspension of new enrollment into the program;
   d. Closing the program.

6. Institutions may establish and follow policies or guidelines that require more stringent expectations than these proposed guidelines. At institutions where such policies/guidelines already exist and require more stringent expectations, those campus policies/guidelines will take precedence over the ACIS-1 guidelines.

7. Justification and request for continuation should be submitted to the Office of the Associate Vice President for Academic, Faculty, and Global Programs along with the annual report on program review. In addition, this information will be added to the request for the annual report on program review.

Program Suspension

The economic recession that began in 2008 and continues to this day, along with ensuing state budgetary restrictions, have generated discussion among UW System and institutional leadership concerning the maintaining of both funding and quality of new and existing academic degree programs. Reallocation of resources often causes hardship on campuses that must close existing low-enrollment programs in order to start new ones. One response to this situation has been development by the UW System of an alternative to academic program closure, referred to as "Program Suspension." "Program Suspension" allows an institution to temporarily remove an academic program from the systemwide array and, if appropriate, later reinstate the program when demand and resources are again present. Guidelines for approval of program suspension are included in this report as Appendix C.

During academic year 2009-10, and with the addition of the program suspension option, four degree programs were discontinued (three Master's and one Ph.D.), and five degree programs were suspended (three Bachelor's and two Master's).

VII. Conclusion

Despite budgetary constraints, UW System institutions creatively expanded their program arrays in 2009-10 by tailoring the implementation of new programs to the changing economic climate, shifts in student demand, and emerging market niches in the higher education sector. Serving the people of Wisconsin, the UW System pursued its Growth Agenda—a vital part of which is the expansion of baccalaureate degree holders—by increasing access for all students, regardless of their background and circumstances. This was accomplished in part through the addition of on-line degree options for students who are place-bound; programs scheduled for weekend and evening delivery to serve the needs of working adults; and degree-completion programs that reach out primarily to transfer students who have already accumulated a number of credit hours towards a degree. Articulation agreements with two-year institutions within the state, region, or nation also provide greater access. The Wisconsin Technical College System, in particular, has partnered with the UW System in this effort.

Collaborative program development and the extension of programs to off-campus (including international) sites also contributed to the growth and variety of the current program array, and will continue to expand the range of choices and opportunities available to UW System students in the future.

The creation of new academic programs represents only a small part of institutional program activity. New minors, concentrations, and certificate programs were also added and deleted during 2009-10, driven by the changing needs of institutions, students, and Wisconsin employers. A number of low-degree-producing programs, no longer sufficiently serving students and/or employers, have been suspended or discontinued by UW System institutions, thus showing responsible use of resources and adaptability to changed circumstances. In adapting to challenges with creativity and careful strategic planning, as well as by utilizing resources in a responsible and forward-looking manner, the UW System's 15 institutions have been proactive in designing innovative programs and expanding both their program arrays and delivery options, and in alignment with both their individual missions and that of the UW System as a whole.

Appendix A
ACADEMIC PROGRAM PLANNING PROCESS

1. Entitlement to Plan

The first step in the new program planning process is for an institution to request from the UWSA Office of Academic, Faculty, and Global Programs (AFGP) an entitlement to plan a new academic program leading to a degree. The request includes a proposal identifying the program and explaining how the program relates to planning issues, including:

- need for the program and market demand;
- a description of the curriculum and student learning outcomes;
- relation to institutional mission and academic plan;
- relation to other programs in the UW System and in the region; and
- resources needed and projected source of resources.

AFGP reviews the proposal and, unless an expedited review is approved, circulates the request to the UW System's other institutional Provosts for comment. These comments may lead to further consultation with the requesting institution and other institutions to explore more deeply how the program fits into the systemwide program array and whether or not collaboration is appropriate. The request for entitlement to plan is then either granted, deferred for further development, or denied.

2. Authorization to Implement

Once an entitlement to plan has been granted, the institution then develops a more comprehensive proposal for authorization to implement the new program. The request for authorization to implement must address the following:

- Context, including history of the program, relationship to existing programs, relationship to campus mission and strategic plan, and campus program array history;
- State, regional, and national need, including comparable programs within and outside the state, student and market demand for graduates of the program, and possible collaboration or alternative program delivery possibilities;
- Program description and evaluation, including objectives, curriculum, diversity infusion, relationship to other curricula, method of assessment, and use of information technology/distance education;
- Personnel, including what steps will be taken to recruit and retain students, faculty, and staff from diverse populations and perspectives;
- Academic support services including library and advising;
- Facilities and equipment; and
- Budget and finance.

The program proposal undergoes several levels of review, including review by: external consultants; appropriate governance bodies; and a Program Review Committee that consists of a representative of UW System Administration and representatives of the proposing institution(s). If the program proposal receives positive reviews from the governance groups and the Program Review Committee, the committee recommends that the Provost of the institution

seek authorization to implement the program. The Provost submits the authorization proposal and related materials to AFGP where a decision is made as to whether the program warrants submission to the Board of Regents. Following a positive decision, the program is presented to the Education Committee and the Board of Regents for approval.

3.   Implementation by the Institution

Once authorized to implement the program, the institution sets an implementation date. Campuses sometimes choose to delay implementation, and on occasion, a campus makes a decision not to go forward with an authorized program because of changed circumstances.

4.   Joint Program Review

The final step in the approval of new academic programs is a joint program review conducted approximately five years after the program is implemented. The review is designed to determine how well the program has met its goals and objectives, and whether it has achieved these goals with the resources anticipated.

When the joint program review is completed, the report is submitted to Academic, Faculty, and Global Programs for formal action on whether to continue the program. If the program is approved for continuation, it is then placed into the institution's regular program review cycle.

Appendix B
ACADEMIC PROGRAM PLANNING PIPELINE

The "pipeline" is a list of the programs that have been submitted for entitlement for planning but not yet authorized and/or scheduled for implementation. Institutions have five years from the date entitlement to plan is granted to submit a proposal to the Board for authorization to implement.

Program Name	Institution	Degree	Status	Date Entitled or Denied
Applied Arts & Sciences	COL	BAAS	Entitled	2/3/2010
Architecture	MIL	MS	Entitled	11/16/2010
Biomedical Sciences	STO	MS	Anticipated	
Distance Education Leadership - Online	PLT	MS	Entitled	5/12/2010
Educational Foundations and Cultural Studies	OSH	M	Entitled	11/12/2008
Environmental Sciences	MSN	Major	Entitled	10/3/2008
Environmental Studies	MSN	Major	Entitled	5/18/2010
Environmental Studies	PKS	BS	Entitled	5/18/2010
Fine Arts	LAX	BFA	Entitled	4/22/2008
Fine Arts / Design	STO	MFA	Entitled	11/30/2007
Gerontology	STO	MS	Entitled	9/3/2009
Health, Wellness & Fitness	STO	BS	Entitled	2/17/2010
Homeland Security	STO	MS	Anticipated	
Industrial & Applied Mathematics	STO	PSM	Entitled	9/28/2010
Informatics	STP	MS	Entitled	5/29/2007
Integrated Supply Chain Management - Online	PLT	MS	Entitled	5/12/2010
International Business	EAU	Major	Expedited Review Approved	4/21/2010
Japanese Studies (OSH & WTW)	JNT	BA	Entitled	1/11/2008
Leadership	STP	MS	Entitled	8/8/2008
Medical Diagnostic Science (MMDS)	MIL	MMDS	Out for Comment	
Medical Laboratory Sciences (MMLS)	MIL	MMLS	Out for Comment	
Nursing - Clinical Nurse Leader	GBY	MS	Entitled	3/26/2010
Nutritional Sciences	MIL	BS	Entitled	7/9/2009
Organizational Change Management - Online	PLT	MS	Entitled	5/12/2010
Public Health	MIL	M	Entitled	4/23/2010
Radiologic Sciences	OSH	BS	Entitled	10/27/2009
Sustainable & Renewable Energy Systems	PLT	BS	Entitled	7/15/2009
Teaching the Arts	MIL	MA	Entitled	3/19/2008

Appendix C
ACADEMIC PROGRAM SUSPENSION: AN ALTERNATIVE TO
PROGRAM CLOSURE AND ASSOCIATED GUIDELINES

Background
In recent years UW institutions seeking to offer new academic programs have needed to reallocate existing resources or find alternative sources of funding. One means for reallocating funds is to close existing low-enrollment programs. This has prompted discussions with a system-wide committee to consider the decision-making process and the factors considered prior to closing a program. As part of these discussions, academic leaders at the institutions expressed concerns about the finality of program closures. As a result, the UW System has developed an option to academic program closure which gives the institutions an alternative to closing a program. This alternative will be referred to as "Program Suspension." Institutions will not be required to go through this step before closing a program. An institution may choose to close a program without taking this step.

Definition
"Program Suspension" will allow an institution to temporarily remove an academic program from the system-wide array and, if appropriate at a later date, eventually reinstate the program when demand and resources are again present. While in suspension, the program in question will not be included in the UW System Program array or listed in MajorMania. However, continuing students will count as a part of institutional degree productivity. Information regarding degrees programs in this category will be included as part of the Academic Program Planning Annual Report.

Process & Criteria
1. The provost's office should submit a written request for approval of Program Suspension to the Associate Vice President of Academic and Faculty Programs, UW System.

2. The request must be made well in advance or at least 12 weeks of the intended date of suspending admission.

3. The written request should briefly address the following factors:
   - the rationale for the program suspension;
   - the potential impact of suspension on students (e.g. where will students interested in the major go? Are there other campuses offering similar programs, etc.);
   - the potential impact on faculty and academic staff;
   - consultation with governance, as appropriately determined by campus by-laws;
   - the transition period (e.g. what steps will be taken to lessen the impact on students, faculty and academic staff during the transition? Allotted time for those finishing the major);

4. The Associate Vice President will notify the institution if the suspension is approved.

5. Officially suspended programs can be reinstated at any time during a period of seven years with a written notification to the Associate Vice President of Academic Affairs.

6. Programs that remain suspended for more than seven years will require <u>approval</u> by the Associate Vice President of Academic Affairs for reinstatement. The written request should address the following:
   - Resources available to support faculty, staff, labs, equipment etc.;
   - Projected enrollments and student demand;
   - Rationale for reinstatement.

   Programs suspended for a period of twelve years will be permanently closed and need to go through the full Authorization process as would any other new program.

REPORTS FROM THE OFFICE OF OPERATIONS RVIEW AND AUDIT

EXECUTIVE SUMMARY

BACKGROUND

The Office of Operations Review and Audit is responsible for providing objective review and analysis to assure that University of Wisconsin programs, policies, and practices are conducted in accordance with state law and Board of Regents policy. The Office helps ensure that UW System operations are proper, efficient, and effective.

In Fall 2010, the Office of Operations Review and Audit completed two reviews on: 1) Student Evaluation of Instruction; and 2) Credit for Prior Learning. At its December 9, 2010, meeting, the Education Committee will be presented with the findings of these two reviews.

REQUESTED ACTION

For information only; no action is required.

DISCUSSION

In the *Student Evaluation of Instruction* report, the Office of Operations Review and Audit reviewed UW institutions' implementation of formalized student evaluation of instruction (SEI). The objectives of the review were to identify: 1) the various types of SEI policies and procedures; 2) UW institution practices and methods for implementing SEI; 3) uses of results; and 4) best practices in this area. A total of 33 UW departments were visited and surveyed for the review. Results indicate that there is a wide range of practices in place for the administration of SEI.

In 1974, the UW System Board of Regents adopted *Regent Policy Document* (RPD) 20-2, "Student Evaluation of Instruction." RPD 20-2 requires UW institutions to administer SEI and delineates the purposes for which SEI results should be used, including the improvement of instruction; in actions on promotion, retention, or the awarding of tenure; and in actions on merit salary increases. While the review found that SEI practices varied both across and within UW institutions, it determined that all UW System institutions administered SEI and used SEI results for purposes consistent with RPD 20-2. It also acknowledged some of the challenges inherent in conducting SEI, including workload and cost challenges in processing paper SEI results, and participation, and potential unauthorized disclosure challenges for administering online SEI.

Student evaluation of instruction has been a regular part of higher education institutions for decades and, throughout that history, there has been concern whether student feedback and opinions are valid measures of teaching effectiveness. In keeping with Regent policy, all UW institutions recognize both the importance of conducting formalized SEI, and limitations on its use as only one of many sources of information on teacher performance in the classroom.

The Office of Operations Review and Audit report concluded with several recommendations for improving the SEI process systemwide.

In the second report under discussion, *Credit for Prior Learning*, the Office of Operations Review and Audit reviewed UW institutions' practices related to evaluating and providing credit for non-traditional students' prior learning outside the classroom, known as prior learning assessment (PLA). PLA can be used to meet various objectives for both students and UW institutions. PLA can reduce the time and cost for students to earn a degree, provide an incentive for adult and other non-traditional students to begin or finish a degree, and provide more flexibility and control to students. At the same time, PLA can serve as a tool for institutions to attract students consistent with their academic missions and help institutions meet enrollment goals. To that end, PLA has been identified as a strategy for the UW System's *More Graduates for Wisconsin* Initiative. In September 2010, the UW System was awarded $800,000 from the Lumina Foundation to develop stronger and more consistent PLA programming for students and UW institutions.

The PLA review covered: (1) objectives of prior learning assessment in the UW System; (2) PLA methods used at UW System institutions; and (3) administrative and programmatic challenges in the development and delivery of PLA, including possible strategies for coordination and collaboration throughout the UW System. The report includes a set of recommendations for the UW System and institutions. The Lumina funding will allow the UW System to address some of these recommendations, in collaboration with the institutions.

RELATED REGENT POLICIES

Regent Policy Document 7-1, "University of Wisconsin Undergraduate Transfer Policy," Adopted 5/11/84, Amended 5/7/04.
Regent Policy Document 20-2, "Student Evaluation of Instruction," Adopted 10/4/74.

Office of Operations Review and Audit

Program Review

STUDENT EVALUATION OF INSTRUCTION

November 2010

Table of Contents

EXECUTIVE SUMMARY

Student evaluation of instruction (SEI), also referred to as student evaluation of faculty or student evaluation of teaching, is widely used in higher education. Regent Policy Document (RPD) 20-2, "Student Evaluation of Instruction," adopted in 1974, recognizes the importance of formalized SEI. The UW System Office of Operations Review and Audit reviewed UW institutions' implementation of SEI, including policies and procedures, practices and methods for SEI implementation, and uses of results.

Policies and Practices

All UW institutions have established policies, procedures, or guidelines on SEI. Institutional policies and procedures vary in detail regarding what courses are subject to SEI, the frequency of SEI, and its timing. Some UW departments have also established more detailed departmental procedures on SEI.

UW institutions administer formal SEI in three categories: mid-semester evaluation, standard end-of-semester evaluation, and supplemental evaluation. Only results from the standard end-of-semester evaluation are typically used during consideration of promotion, tenure, and merit salary increases. The common practice is to administer the standard end-of-semester evaluation during the last week or the last two weeks of the semester.

The 33 UW departments we visited and surveyed for this review reported varying schedules for SEI. Twenty-one departments administered SEI in every course section every semester. The schedule adopted by other departments ranged from once every two semesters to once every five years, with the most common period being once every three years. Several departments also exclude certain courses, such as graduate seminar courses, summer courses, or courses taught as an overload. Because RPD 20-2 encourages each UW System institution to "develop policy supporting the widest possible use of student evaluation for improvement of instruction," the report recommends that UW institutions and departments review their policies and practices to ensure that SEI results are used as widely as possible for this purpose.

Collecting Student Feedback

Six UW institutions have adopted standardized SEI instruments or questions. At the remaining UW institutions, each academic department developed its own instrument or used a national instrument developed specifically for its discipline. For institutions with standardized SEI instruments, the instruments were developed by a campus-wide committee and approved by the campus faculty senate. Department instruments were developed and approved by the department faculty members.

The majority of the 19 SEI instruments we reviewed had been in use for more than ten years. The number of questions and the areas covered in these instruments ranged from two to more than 30 questions. The instruments generally covered questions about the student, the course, and the instructor. Most instruments contained rating questions and either open-ended questions

or written comments. UW institutions and departments have taken a number of steps to ensure student anonymity, especially when written responses were involved.

While 12 of the 19 SEI instruments stated in some fashion the purposes of SEI, only two included both instructional improvement and personnel decisions as stated purposes. Some instruments omitted the purposes entirely. The report recommends that UW institutions and departments review their SEI instructions to ensure that the instructions include an assurance of anonymity and a clear statement regarding all of the purposes of SEI.

Twenty-two of the 33 UW departments visited and surveyed for this review used paper-based evaluations. Eight departments used a combination of paper-based and online evaluations. Only three used online evaluations exclusively. The paper-based evaluation process involves a number of university offices or staff members, is more labor intensive, and costs more to administer than online evaluation, as shown by cost analyses. Department chairs at two UW institutions also reported delays in processing paper-based SEI forms. Concerns about online SEI include a lower response rate and an increased risk for potential unauthorized disclosure of confidential data, especially where online SEI is decentralized.

While few UW departments have adopted online SEI, an increasing number are moving to or exploring that option. This will need to be done in a coordinated manner to achieve efficiency and potential cost savings. The report recommends that UW institutions considering online SEI provide guidance and leadership to their departments in order to maximize and leverage resources and to ensure that departments secure their confidential SEI data.

Use of Student Evaluation Results

RPD 20-2 establishes policy on the use of SEI results for instructional improvement and personnel decisions. UW department chairs interviewed and faculty members surveyed reported using SEI results to make some changes in courses related to course offering times, exams, textbooks, use of digital media, assignments, class activities, and presentations.

The UW departments visited for this review required faculty members requesting promotion, tenure, or merit increases to include results from SEI as part of the evidence for effective teaching. Some departments have assigned specific weight to SEI.

RPD 20-2 does not include the use of SEI results by students for course selection as a stated purpose, although UW students have expressed interest in using SEI results for this purpose. According to UW student leaders, summary SEI reports were not helpful in selecting courses because they were too general or not available when needed. If the Board of Regents and UW institutions are interested in fostering a limited use of SEI for course selection, improvements could be made to the questions asked and information available.

SCOPE

The University of Wisconsin (UW) System Office of Operations Review and Audit reviewed UW institutions' implementation of formalized student evaluation of instruction (SEI). The objectives of the review were to identify: 1) the various types of SEI policies and procedures; 2) UW institution practices and methods for implementing SEI; 3) uses of results; and 4) best practices in this area.

In performing this review, we conducted a survey of UW institutions to identify the various policies and procedures on SEI and to determine the point of responsibility for implementation at each UW institution. We visited 20 academic departments at seven UW institutions—Green Bay, Madison, Milwaukee, Oshkosh, Stevens Point, UW Colleges, and UW-Extension. At these institutions, we conducted in-person or phone interviews with department chairs, faculty senate representatives, and administrators overseeing SEI. We surveyed faculty and instructional academic staff members at the 20 departments we visited, as well as 13 department chairs at five other UW institutions we did not visit. The department chairs we interviewed and surveyed represent a cross-section of department sizes and disciplines.

We also received input from student government leaders at five UW institutions. Finally, we reviewed UW institution policies, procedures, and SEI instruments, as well as researched policies and practices at other institutions of higher education, including universities and university systems in the Midwestern states.

BACKGROUND

SEI, also referred to as student evaluation of faculty or student evaluation of teaching, was first used in the early 1920s and has been the subject of intense study.[1, 2] More than a thousand articles and books have been published dealing with research on student ratings of teaching.[3] A study that tracked the use of SEI at 600 colleges between 1973 and 1993 revealed that the number of institutions using SEI increased from 29 percent to 86 percent.[4] According to others, virtually every university in the United States regularly conducts some type of SEI.[5]

From the beginning, SEI has been a controversial subject. Beyond the central question of whether teaching can be effectively defined and measured, other points of debate have included whether students can consistently judge instructors and instruction, whether student ratings are

---

[1] Haskell, Robert E. "Academic Freedom, Tenure, and Student Evaluation of Faculty: Galloping Polls in the 21st Century." *Education Policy Analysis Archives*, Volume 5, Number 6, February 12, 1997.

[2] Dilts, David A., Lawrence J. Haber, and Donna Bialik. *Assessing What Professors Do: An Introduction to Academic Performance Appraisal in Higher Education*. Westport: Greenwood Press, 1994.

[3] Cashin, William E. "Student Ratings of Teaching: A Summary of the Research." *iDEA Paper No. 20*. Center for Faculty Evaluation and Development, September 1988.

[4] Emery, Charles R., Tracy R. Kramer, and Robert G. Tian. "Return to Academic Standards: A Critique of Student Evaluations of Teaching Effectiveness." *Quality Assurance in Education*, Volume 11, Number 1, 2003.

[5] Dommeyer, Curt J., Paul Baum, Robert W. Hanna, and Kenneth S. Chapman. "Gathering Faculty Teaching Evaluation by In-class and Online Surveys: Their Effects on Response Rates and Evaluations." *Assessment and Evaluation in Higher Education*, Volume 29, Number 5, October 2004.

more than just a "popularity contest," whether student rating forms are reliable and valid, and whether SEI is the appropriate tool to improve instruction since it does not measure student learning. Even though views on the use of SEI are mixed, there is general agreement that SEI is an important component of a comprehensive assessment of teaching. However, there is also agreement that SEI is not, and must not be, the only method for evaluating instructors.

The UW Board of Regents recognized the importance of and controversy surrounding SEI in Regent Policy Document (RPD) 20-2, "Student Evaluation of Instruction," adopted in 1974. In this document, the Board of Regents takes the position that "student evaluation of teaching is an important source of information on classroom performance," but it "must not be a substitute for direct peer judgment of teaching effectiveness…."

Several other universities, including the University of Iowa, University of Michigan, University of Kentucky, University of Tennessee, Rutgers University, Georgia Institute of Technology, Virginia Polytechnic Institute and State University, and State University of New York at New Paltz, have conducted reviews of SEI at their respective institutions. The results of these studies confirmed the accepted role of SEI in higher education; rather than recommending that SEI be eliminated or the purposes for which it is used be changed, recommendations from these studies focused on improving the administration and usefulness of SEI. Areas addressed included administrative and procedural issues.

DISCUSSION AND RECOMMENDATIONS

There are multiple methods to the evaluation of teaching, such as accreditation review, alumni survey, peer review, self evaluation, and SEI. Even within SEI, methods range from less formal classroom assessment techniques to more formal SEI. This review focuses on the formalized SEI addressed in RPD 20-2 and discusses: 1) SEI policies and practices; 2) the process of collecting student feedback; and 3) uses of SEI results.

RPD 20-2 requires UW institutions to administer SEI and delineates the purposes for which SEI results should be used, including for the improvement of instruction; in actions on promotion, retention, or the awarding of tenure; and in actions on merit salary increases. In summary, all UW System institutions administered SEI and used SEI results for purposes consistent with RPD 20-2. SEI practices varied both across and within UW institutions.

POLICIES AND PRACTICES

RPD 20-2 encourages each UW institution to "develop policy supporting the widest possible use of student evaluation for improvement of instruction" and requires UW institutions to develop "systematic and firm procedure(s) for the manner and form of presenting student evaluation material for administrative purposes." Governing boards of other universities and university systems, including some in the Midwestern states, also have policies on SEI. In general, the tenets of these policies are not significantly different from RPD 20-2. We reviewed UW institution policies and procedures regarding SEI and how frequently students evaluate their instructors.

Institutional and Departmental Policy Discretion

Policies and procedures serve as important guides for program operation and implementation. UW institutions have established policies, procedures, or guidelines on SEI in different ways:

- Ten UW institutions have stand-alone SEI policies or distinct sections of a collection of policies, such as faculty handbooks and manuals.

- Four UW institutions incorporate SEI guidelines in other policies and procedures, mainly those on faculty retention and promotion.

- UW-Extension does not have an institutional policy on SEI. However, its policies and procedures on faculty appointments require that the granting of tenure be "based on a consistent and high level of scholarship," and UW-Extension uses the value its participants place on UW-Extension instruction as a criterion to evaluate scholarship. Furthermore, UW-Extension faculty teaching continuing education courses at other UW institutions follow the respective campus SEI policies.

The policies at four UW institutions explicitly state that SEI results are to be used for both personnel decisions and for the improvement of instruction, consistent with RPD 20-2. The policies at seven UW institutions only specify that SEI results are to be used for personnel decisions, while three UW institutions' policies omit the purposes of SEI entirely. Even though some do not specify the use of SEI results for both purposes, the department chairs we interviewed and surveyed, and the department policies and procedures we reviewed, affirmed that those departments do, in fact, use SEI results for both purposes. Institution policies and procedures are less specific and show greater variation than those at the department level regarding what courses are subject to SEI, the frequency of SEI, and the timing of SEI. Appendix 1 provides a summary of the UW institution policies and procedures pertaining to these topics.

Some UW departments have also adopted more detailed policies and procedures on SEI. Department procedures that address SEI often provide additional information, such as what evaluation instrument to use, how often SEI is to be administered, when SEI is to be administered, or how much weight is to be placed on SEI results.

Timing and Frequency of Student Evaluation

Chapter UWS 3, Wis. Admin. Code, governs faculty appointment and promotion in the UW System. This rule directs the faculty and chancellor at each UW institution to periodically review faculty performance. RPD 20-2 establishes a minimum frequency for conducting formal SEI of at least once every three years for faculty being considered for merit increases, and requires that SEI be undertaken for each faculty member being considered for promotion or tenure. Beyond these broad parameters, the timing and frequency of SEI are generally left to the discretion of the institution, department, and faculty.

Timing

UW institutions administer formal SEI in three categories: mid-semester evaluation, standard end-of-semester evaluation, and supplemental evaluation. Supplemental evaluations, which faculty members typically administer at the same time as end-of-semester evaluations, contain additional questions that are not included on another evaluation tool. Results from mid-semester and supplemental evaluations are not typically used in the faculty evaluation process for promotion, tenure, and merit salary increases. Mid-semester and supplemental evaluations are not required by any UW institution. However, individual departments have the discretion of requiring them for some faculty members, and several department chairs we interviewed and almost half of the 20 faculty and instructional academic staff members who responded to our survey reported using them. These department chairs and faculty members indicated that the mid-semester and supplemental evaluations are more useful for the purposes of improving instruction. They noted that mid-semester evaluations allow them to make adjustments during the semester, while supplemental evaluations allow them to include areas that are not covered in the standard end-of-semester evaluations.

According to the department chairs we interviewed and surveyed, the most common practice is to administer the end-of-semester evaluation during the last week or the last two weeks of the semester. While their departments had discouraged instructors from administering SEI during final exam weeks, some department chairs we interviewed acknowledged that instructors have occasionally done so. Student government leaders we spoke with at one campus also indicated faculty members have administered SEI during final exam week. Only two UW institutions— UW-La Crosse and UW Colleges—have adopted formal policy statements prohibiting the administration of SEI during final exams.

Frequency

Among the 33 UW departments we visited and surveyed, 21 reported that their departments require SEI to be administered in every course section every semester, including the summer sessions. The remaining 12 departments adopted numerous exceptions to this schedule:

- Nine departments require SEI in every course section every semester only if taught by untenured or probationary faculty members or instructional academic staff. The schedule for tenured faculty members ranges from once every two semesters to once every five years, with the most common period being once every three years.

- One department requires SEI in every third semester, excluding the summer session.

- One department requires SEI in undergraduate courses only.

- One department exempts courses taught as an overload.

The common practice has been to include on-campus, off-campus, and distance education courses in SEI. However, the administrator overseeing SEI at one institution reported that some of the institution's distance education courses are not currently being evaluated by students. A

number of departments also exempt seminar courses because of the typically low student enrollment.

RPD 20-2 encourages the "widest possible use" of SEI for the improvement of instruction. Yet some courses are not evaluated by students at all, and others infrequently. While less frequent evaluation may meet the need for promotion and merit, students in these courses do not have opportunities to evaluate the course or the instructor for the purposes of improving instruction. Furthermore, a number of department chairs we interviewed indicated that faculty members may forget to administer SEI and that they do not have a mechanism for ensuring that SEI is done as required. ***We recommend that UW institutions and departments review their policies and practices to ensure the "widest possible use" of SEI for the improvement of instruction.*** Options may include: 1) increasing the use of mid-semester or supplemental evaluation if the required end-of-semester SEI tool is not useful to the instructor; 2) revisiting policies of allowing evaluation to be conducted less frequently for certain courses or faculty members; 3) extending SEI to cover all types of courses, including distance education courses, summer courses, and graduate or seminar courses with multiple students; or 4) implementing a mechanism for ensuring that SEI is done as required. Although student rating remains a frequently used SEI method and is required in many instances, other less formal methods can also be used to supplement student rating.

COLLECTING STUDENT FEEDBACK

How SEI is administered can affect the quantity and quality of student feedback. We reviewed SEI instrument development, content, instructions, anonymity, and format.

Instrument Development and Content

RPD 20-2 recognizes that individual academic departments and the faculties in these departments have primary responsibility for SEI content. The faculties at six UW institutions have adopted standardized SEI instruments or questions. At three of these UW institutions—River Falls, Stevens Point, and UW Colleges—a standardized SEI instrument is used across the entire institution. Three other UW institutions—Green Bay, La Crosse, and Oshkosh—have adopted standardized instruments or questions, but allow individual academic departments to choose whether to use the standardized instruments, add questions to the standardized instruments, or develop their own department instruments. At the remaining UW institutions, each academic department has developed its own instrument or uses a national instrument developed specifically for its discipline.

The process for developing and adopting an instrument varies. For institutions with standardized SEI instruments, the instruments were developed by a campus-wide committee and approved by the campus faculty senate. Department instruments were developed by department faculty committees and approved by the department faculty members.

Department chairs and members of the faculty senate who were involved in developing their institution's SEI instrument reported that their institutions and departments did not conduct

formal testing of the instruments before they were put into use. However, they also indicated that formal testing was not necessary because the development process allowed for extensive input and feedback from the affected faculty members. Furthermore, they indicated their departments have used the SEI instruments for a significant period of time, with the majority of instruments at the 20 departments we visited in use for more than ten years. A few departments reported reviewing their instruments within the last few years. According to these departments, the revisions, if any, were minimal.

The number of questions and the areas covered in these SEI instruments vary widely, ranging from two to more than 30 questions. Fifteen of the 19 SEI instruments used at the 20 UW departments we visited contained rating questions and either open-ended questions or written comments. Four instruments contained only rating questions.

The questions generally fall into three categories: about the student, about the course, and about the instructor. The student-related questions include the students' background information, interest in the course, efforts in the course, and whether they would recommend the course or the instructor to other students. The questions related to the course include the extent to which the course broadened students' knowledge and stimulated students' creativity; how well the course was organized; the extent to which the classes focused on course objectives; the pace and level of difficulty of the course; whether exams and assignments were representative of the subjects; and whether the course objectives were clearly stated.

As expected, questions related to the instructor accounted for the bulk of the evaluation questions. These questions included the instructor's availability, communication, helpfulness, teaching effectiveness, knowledge of the subject, enthusiasm, grading system, organization and planning, interaction with students, and respect for diverse student opinions. Appendix 2 provides a summary of the student evaluation instruments adopted by the UW institutions and departments we visited.

Instructions and Anonymity

The thoughtfulness of student responses and the rate of response may hinge in part on students' understanding of the purposes of SEI and steps UW institutions take to ensure student anonymity. Twelve of the 19 instruments used at the 20 UW departments we visited stated in some fashion the purposes of SEI. However, only two instruments' instructions included both instructional improvement and personnel decisions as stated purposes, whereas seven instruments' instructions omitted the purposes entirely. Student government leaders we interviewed and surveyed understood that the results from SEI are used for faculty personnel decisions, but some were not aware that the results are also to be used for improving instruction.

Fourteen of the 19 SEI instruments we reviewed contained assurances of student anonymity. UW administrators and department chairs we interviewed reported that their departments took anonymity issues seriously. Research suggests that many of the actions taken by UW institutions and departments to preserve student anonymity are considered best practices in the field. [6]

---

[6] Cashin, William E. "Student Ratings of Teaching: Recommendations for Use." *iDEA Paper No. 22*. Center for Faculty Evaluation and Development, January 1990.

These steps have included having the instructor leave the room when the evaluation is administered, asking students not to sign their names or to provide personally identifiable information on the responses, and making the results of student evaluation available to the instructors only after the grades have been submitted. Another step has included eliminating open-ended questions or written comments entirely to avoid the identification of student handwriting. One department took the exceptional step of typing all written comments; however, this action also added significant workload to the staff.

Due to the importance of anonymity, it is imperative that students receive continuing assurances of anonymity, as well as have a clear understanding of the purposes of SEI. *We recommend that UW institutions and departments review their SEI instructions to ensure that the instructions include assurances of anonymity and a clear statement regarding all SEI purposes*. In order to convey a consistent message across the campus, UW institutions may want to develop standard instructions for their departments. For example, UW Colleges' policy on SEI contains a statement for the person administering the evaluation to read before the forms are distributed.

Format and Associated Workload

Formal SEI is collected through both paper-based forms and online. Among the 33 UW departments we visited and surveyed, 22 used paper-based evaluations, eight used a combination of paper-based and online evaluations, and three used online evaluations exclusively. The format chosen can have significant workload, cost, and response rate implications.

Paper-based and Online Forms

All but one of the departments that administered paper-based SEI used machine-readable forms. This process typically involves a number of offices and staff members at the campus level. Either university testing services staff or the individual department administrative staff are responsible for preparing the evaluation packets for each course section to be evaluated. On the day of the evaluation, the instructor generally picks a student from the class to read the instructions, collect the completed evaluations, and return the completed evaluations in a sealed envelope to university testing services or the department office. Some class time is set aside for the evaluation, and the instructor generally leaves the room while students are completing the evaluation.

After the responses are turned in, university testing services staff members scan the forms, tabulate the responses to the rating questions, and generate a summary report for each course section. University testing services then sends the summarized report along with the student responses back to the instructor or the department chair after final grades are submitted. At one UW institution, the staff members type the written comments verbatim and send the typed comments to the instructor or the chair instead of the actual hand-written student responses.

The process for online evaluation is different from paper-based evaluation. Students typically receive an email containing instructions, including a deadline and a secured website to which they should log in to complete the evaluation. The system tabulates the results electronically. Depending on how the online SEI system is set up, the instructor can view the results as soon as

the deadline for the evaluation has passed. The instructor may also be able to analyze the responses in different ways, such as analyzing the ratings of a subset of questions or the ratings of the same course over time.

UW institutions have used online SEI systems for distance education courses for many years. However, an increasing number of UW departments are using online SEI for on-campus courses as well. For example, nine of the 11 departments we visited and surveyed that have implemented online SEI use it for their on-campus courses, and all but one of these nine departments implemented online SEI within the last two years. In addition, other UW departments reported using online SEI. UW-Milwaukee piloted online SEI using Qualtrics, an online survey tool, in six departments during the 2009-10 academic year and expanded the pilot to more than 20 departments in the 2010-2011 Fall semester. UW-Stout has hired a part-time position whose responsibilities include encouraging the use of online Qualtrics surveys on campus for multiple purposes as well as providing technical assistance to faculty members who choose to implement online SEI in their courses. At the time of our review, only two UW institutions—UW-La Crosse and UW Colleges—were exploring campus-wide implementation of online SEI.

Research indicates that online SEI has also gained increased use and popularity nationally. For instance, a Kansas State University study of nearly 300 institutions between 2002 and 2009 showed the number of instructors using online surveys increased from one percent in 2002 to 23 percent in 2008.[7] Various surveys of students who have used both online and paper-based evaluations revealed that students generally prefer online evaluation.[8] Furthermore, online SEI is consistent with many students' and institutions' desire to reduce the use of paper for environmental reasons.

The major concern with online SEI is the low response rate. Studies comparing online and paper-based evaluations consistently show online evaluation having a lower response rate. UW departments that were piloting or have recently switched to online SEI reported a response rate ranging from 25 percent to 70 percent in comparison to the 70 percent to close to 100 percent they typically experienced with paper-based SEI. Other universities that have used online SEI reported a significant drop in the response rate as well. However, some of these universities have reportedly been able to boost the online response rates at their institutions, although these methods may not be appropriate for all institutions. For example:

- Harvard University's online response rate rose from 65 percent to 96 percent after the university allowed undergraduates who completed a student evaluation survey to view their grades a few weeks earlier than those who did not complete a survey;

- Columbia University increased its online response rate to as high as 85 percent using a combination of targeted e-mails, incentives, and internal marketing strategies; and

---

[7] Miller, Mary Helen. "Online Evaluations Show Same Results, Lower Response Rate." *The Chronicle of Higher Education*, May 6, 2010.
[8] Dommeyer, Curt J., Paul Baum, Robert W. Hanna, and Kenneth S. Chapman. "Gathering Faculty Teaching Evaluations by In-class and Online Surveys: Their Effects on Response Rates and Evaluations." *Assessment and Evaluation in Higher Education*, Volume 29, Number 5, October 2004.

- the University of California-Los Angeles Medical School experienced a 100 percent response rate by making online evaluations mandatory. Students are given an incomplete grade if evaluations are not submitted.

Another concern of online SEI is the potential unauthorized disclosure of SEI responses and the anonymity of students. The common practices with online SEI systems are to grant access only to students with proper identification, to limit student access to the courses in which they officially enroll, and to delink or detach the student identification information from the responses. For example, UW-Madison Testing and Evaluation Services, which currently provides online evaluation for some UW-Madison departments, requires students to use their UW-Madison computer network identification (NetID) to access the system and stores the students' identification information separately from the responses.

Workload Implications

Even though not all students turn in an evaluation, staff who prepare the paper-based evaluation packets and process the forms often have to contend with hundreds of course sections and thousands of forms each semester. For example, 13 of the departments we visited administer paper-based SEI in all or most of their courses every semester. Table 1 shows the number of course sections offered and the number of students officially enrolled in these course sections during the 2009-10 Fall semester.

Table 1: Course Sections Offered and Official Student Enrollment at Selected UW Departments (2009-10 Fall Semester)

UW Institution	Department	Number of Course Sections Offered	Official Student Enrollment
Green Bay	Art and Visual Design	135	1,915
	Humanistic Studies	110	3,372
	Social Work	32	505
Madison	Curriculum and Instruction	202	2,291
	Marketing	58	2,385
	Mechanical Engineering	255	3,408
Milwaukee	Criminal Justice	38	1,960
	Electrical Engineering and Computer Science	183	2,992
	English	407	7,436
	Music	477	3,998
Oshkosh	Professional Counseling	37	575
Stevens Point	Business and Economics	60	2,314
	Foreign Languages	40	838

Source: Office of Policy Analysis and Research, Central Data Request

The SEI workload can be further intensified by the short period between semesters during which staff members have to process the evaluation forms. At the UW institutions we visited, department and testing services staff members work toward processing all the forms and

generating summary reports between the last week of the semester and the first few weeks of the next semester.

Eight department chairs at two UW institutions we visited reported delays in processing SEI forms. At the time of our visits in February and March 2010, the department chairs we interviewed at one institution reported that they had yet to receive reports from the previous semester and were not sure when they would get them. The department chairs at the second institution reported receiving the course evaluation reports six weeks or more after the responses had been turned in, when the typical turn-around time should be two weeks. Delays in providing course evaluation reports to instructors in a timely fashion can affect their preparation for courses in the following semester. This had prompted one department to begin to explore online SEI.

In 2009, the UW-Madison School of Business evaluated the labor and expenses involved in administering SEI. The School estimated that its staff members spent about 240 hours each semester to process the paper-based course evaluation forms. Including the cost of labor, evaluation forms, and other supplies, the review estimated that the paper-based process incurred an annual expense of $13,225. The School estimated that the labor hours associated with an online SEI would be reduced from 240 hours to 91 hours per semester, and the annual cost would be approximately $4,575. In addition to the cost savings, the School anticipated that online SEI would make the data more reliable, improve processing time, and eliminate class time allocated for paper evaluations. The School of Business began piloting online evaluation in the 2009-2010 Spring semester and anticipates full implementation sometime in the 2010-11 academic year.

The UW-Madison School of Business analysis confirms a similar analysis by Brigham Young University, one of the first major universities to implement an online SEI system. In 2002, Brigham Young calculated that the total annual cost of the online system was $187,617, or $0.47 per evaluation form, compared to an annual cost of a paper-based system of $436,838, or $1.09 per evaluation form.[9]

While literature indicates that online SEI generally costs less than paper-based SEI, little information is available about the actual cost for developing online SEI systems at UW institutions. At the time of our visits and survey, UW departments that have implemented online SEI either modified an off-the-shelf survey software package, such as Qualtrics, or used internal institution resources to develop online SEI as an add-on feature to their course management systems. Various third-party vendors also are available to contract for the development of online SEI products. The actual cost of an online SEI system may vary based on a number of factors, including software used, interface with student enrollment systems, and technical support arrangements. Furthermore, the benefits of any long-term savings are also complicated by the potential difficulty in identifying the resources to make an up-front investment in the technology.

Even though few UW departments have adopted online SEI, an increasing number are moving to or exploring online SEI because of the efficiency and potential cost savings. At one UW institution, we identified three different online SEI systems being used by three separate departments. While the decision to implement online SEI is largely at the discretion of each

---

[9] The University of Michigan. *Online Course Evaluations: Report #1 of the Task Force on Online Evaluations and Placement Examinations.* March 28, 2007, <http://www.umich.edu/~eande/tq/online_course_evaluations.pdf>.

department and faculty, the efficiency and potential cost savings may not materialize without a coordinated approach at each institution. In addition, increasing the use of online SEI may also increase the risk of potential unauthorized disclosure of confidential data, especially where online SEI is decentralized. As an increasing number of UW departments begin to use online SEI, *we recommend that UW institutions considering online SEI provide guidance and leadership to departments in order to maximize and leverage resources and to ensure that departments adequately secure their confidential data.*

USE OF STUDENT EVALUATION RESULTS

Historically, end-of-semester student ratings began as mechanisms for students to provide feedback to faculty for the improvement of instruction. They were later increasingly used for personnel decisions.[10] According to the literature, a long-standing concern with using SEI results for these purposes is whether student feedback and opinions are valid measures of teaching effectiveness.[11] Although the topic of rating validity has been the subject of much research, this research diminished noticeably after the 1980s. Some have concluded that the steep decline in research on validity implies that research contributions have resolved the validity concern.[12]

Our review of the use of SEI results focused on how UW institutions and departments account for student feedback for the improvement of instruction and personnel decisions. We did not review the discretion UW faculty and administrators exercise regarding student feedback or the appointment, promotion, tenure, or merit increase processes.

Improving Instruction

The department chairs we interviewed reported that SEI is just one of the many sources of information used to improve teaching. Other sources include peer reviews, self evaluations, student ratings, alumni surveys, and accreditation reviews.

Some department chairs and faculty members recognized the limitation of end-of-semester SEI for improving instruction because of the particular instruments or procedures their departments or institutions adopted. To address this, department chairs have encouraged, and faculty members we surveyed reported they have used, mid-semester or supplemental end-of-semester evaluations.

The UW departments we visited used student feedback for the purposes of improving instruction at two levels: the individual faculty level and the department chair level. Faculty members review SEI results and together with information from other sources determine what changes they need to make. We did not verify the changes, but the department chairs and faculty

---

[10] Central, J. A. Reflective Faculty Evaluation: Enhancing Teaching and Determining Faculty Effectiveness, San Francisco, CA: Jossey-Bass, 1993.

[11] McKeachie, Wilbert J. "Student Ratings of Faculty: A Reprise." *Academe*, October 1979.

[12] Greenwald, Anthony. "Validity Concerns and Usefulness of Student Ratings of Instruction." *American Psychologist*, Volume 52, Number 11, 1997.

members reported making some changes related to course offering times, exams, textbooks, use of digital media, assignments, class activities, and presentations.

Most of the department chairs we interviewed indicated that they review student evaluations of faculty members in their departments. Several faculty members surveyed also reported that they discuss student feedback with their department chairs periodically. These chairs used a combination of indicators to address teaching improvement with the individual faculty members. The indicators included:

- the faculty member's student rating in comparison to the expected rating, department average, or average for faculty teaching similar courses;

- multiple negative student comments; and

- the faculty member's rating trends over multiple years.

The department promotion or tenure review committees also consider SEI during the promotion or tenure review process and will sometimes identify certain areas of teaching that a faculty member may want to improve.

Personnel Decisions

Chapter UWS 3.06, Wis. Admin. Code, specifies the general criteria to be used for appointment renewal and tenure. The criteria include "teaching, research, and professional and public services and contribution to the institution." This chapter also allows the faculty at each institution, school, college, and department to determine the relative importance of these criteria. Some departments we visited have adopted their own policies and procedures for promotion, retention, tenure, and merit increases. A number of departments followed their respective college's or faculty division's policies and procedures instead of developing their own.

All UW department chairs we interviewed indicated that faculty members requesting promotion, tenure, or merit increases must include results from SEI as part of the evidence for effective teaching. While most of the departments we visited did not place specific weight on SEI, a few departments did. For example, one department allocated up to 15 percent of the total possible points for merit to SEI. For tenure decisions, another department allocated 50 percent of the total possible points on teaching to SEI, with peer review and self-evaluations accounting for the other 50 percent. Two other departments allocated 50 percent of the total possible points for tenure to teaching, which includes SEI, peer review, and self-evaluation.

Course Selection

Using SEI for course selection is not a purpose stated in RPD 20-2. Higher education generally favors using SEI results only for improving instruction and personnel decisions. The only universities in our research that include the use of SEI for course selection as a stated purpose are the University of Minnesota and Stanford University. However, UW student government leaders we talked to indicated that students have expressed a desire to use SEI results for this purpose.

These student government leaders also reported that the SEI summary reports they have received in the past have not been useful for the purposes of course selection because the summary reports were too general or not always available when needed. As a result, their student government associations do not typically request SEI results, which the Wisconsin Attorney General's Office has ruled are subject to the Wisconsin public records law. The operating policy that the UW System follows is that UW institutions and departments can provide summary quantitative results, but written comments have to be reviewed by the institution's records custodian before they can be released.

Even though SEI instruments adopted by the departments we visited and surveyed were not intended for the purposes of course selection, we found that some instruments did include specific questions that students may find useful in selecting courses. For example, a number of instruments included questions about the amount of work outside of class and whether the student would recommend the course to other students. Questions about the instructor's teaching skills, enthusiasm, and grading policy could also be useful for course selection.

While course selection is not an intended use of SEI results, SEI results could be useful where there are multiple sections of a course that are taught by different instructors and where students are required to choose from a pool of elective courses. In these instances, providing information that is useful to students might discourage UW students from going to outside sources, such as internet sites dedicated to rating instructors, which may be less reliable. As of September 2010, one commonly used internet site for rating instructors included information for all 26 UW campuses. Among the four-year UW institutions, UW-Madison had the most rated instructors with 2,391, while UW-Superior had the fewest with 137.

If the Board of Regents and UW institutions are interested in fostering a limited use of SEI for course selection, students' desire to use SEI data could be met by including certain questions relevant to students on the evaluation instruments, if such information is not currently collected, and by making certain SEI information readily available to students. For example, Stanford University regularly provides summary results of the quantitative portion of the evaluation to authorized student groups. In addition to the typical questions about the instructor's teaching skills, knowledge, and course organization, Stanford University includes questions about the instructor's interaction with students, such as his or her availability for consultation outside of the class. For departments that use paper-based evaluations, adding questions would involve revising and printing the evaluation forms and may increase processing workload. Adding questions could be more easily done with online SEI systems.

CONCLUSION

RPD 20-2 recognizes the importance of formalized SEI, encourages UW institutions to develop policy supporting the "widest possible use" of SEI for instructional improvement, and requires UW institutions to develop procedures for presenting SEI material for administrative purposes. UW institutions have developed policies and procedures for the implementation of SEI and for the use of SEI results. Implementation practices varied both across and within UW institutions.

However, policies and practices at UW institutions were consistent with other university practices and the literature.

Based on our assessment of current SEI practices at UW institutions, including the format for collecting and processes for utilizing student feedback, we recommended that:

- ***UW institutions and departments review their policies and practices to ensure the "widest possible use" of student evaluation of instruction for the improvement of instruction;***

- ***UW institutions and departments review their SEI instructions to ensure that the instructions include assurances of anonymity and a clear statement regarding all purposes of SEI; and***

- ***UW institutions considering online SEI provide guidance and leadership to departments in order to maximize and leverage resources and to ensure that departments secure their SEI confidential data.***

Appendix 1

UW Institution Policies and Procedures on Student Evaluation of Instruction

UW Institution	Policy/Procedure	Policy/Procedure Summary on Courses Subject to Evaluation and Frequency of Evaluation	Policy/Procedure Summary on Timing of Evaluation	Policy/Procedure Summary on Use of Student Evaluation Results
Eau Claire	Faculty and Academic Staff Handbook, UWEC 3.05 – Purpose. (The Bill of Student Rights and Responsibilities also specifies that students should expect to participate in SEI.)	This policy establishes the frequency for faculty reviews, ranging from annually for salary reviews to every seventh year for tenure reviews.	Not specified	Student evaluations shall be considered in periodic review of faculty performance.
Green Bay	Policy on Student Feedback on Instruction	Student feedback on teaching should be obtained in every course.	Not specified	The executive committee of each department should establish guidelines for the use of a student feedback process, in conformity with the Board of Regents policy. The guidelines should ensure that student evaluation results are reviewed annually for all untenured and teaching academic staff and at least biennially for all tenured faculty.
La Crosse	Unclassified Personnel Rule, UWL 3.05 – Periodic Review; Departmental Bylaw Template and the Student Evaluation of Instruction Items and Administration and Reporting Procedures	Performance of faculty members shall be reviewed annually. The method of review of teaching shall include both peer and student evaluation.	Evaluations shall not be administered during the final exam period. It is recommended that evaluations be administered during weeks 12 and 13.	Results will be used for personnel decisions. Instructors and departments are encouraged to include additional question items to provide information for teaching improvement.

UW Institution	Policy/Procedure	Policy/Procedure Summary on Courses Subject to Evaluation and Frequency of Evaluation	Policy/Procedure Summary on Timing of Evaluation	Policy/Procedure Summary on Use of Student Evaluation Results
Madison	Report and Recommendations of the UW Committee on Faculty Policy for Student Evaluation of Instruction	Departments may find it useful for each faculty to be evaluated by students each year.	Course evaluation should be conducted near the end of the semester.	Student evaluation of instruction shall be considered in all tenure decisions and in decisions involving faculty retention, promotion, and merit increases.
Milwaukee	Teaching Evaluation Policies	All departments/instructional units will conduct end-of-the-semester student evaluations in every section of every course, including summer session courses.	Not specified	The policy recommends that the results of SEI be incorporated into a faculty member's ongoing professional development, used to increase teaching effectiveness, and summarized for distribution to the Student Association.
Oshkosh	Teaching Effectiveness (Faculty Handbook, Section 5.B.3); Faculty Performance Review (Faculty Handbook, Section 6.4)	Each department is required to establish procedures that address the form(s) for student evaluation data collection, data collection process, and the frequency of data collection.	Each department is required to establish procedures.	Faculty evaluation for renewal, tenure, post-tenure review, and merit will be based on documentation of teaching performance from four categories, one of which is evaluation of student learning and feedback. To be eligible for consideration for merit increases, promotion, or reappointment, faculty members must include evidence of students' opinion of instruction.
Parkside	UW-Parkside Faculty Policies and Procedures Chapter 6 – Faculty Personnel	Reviews of faculty performance shall be conducted annually or on a two-year cycle. The review shall be based on written reports of the faculty members' activities, including results of student evaluations of faculty conducted at least annually.	Not specified, but SEI packets specify that SEI forms are due in the department no later than the date of the final exam period.	Evidence of teaching effectiveness, which includes student course evaluations, is a criterion for personnel decisions.

UW Institution	Policy/Procedure	Policy/Procedure Summary on Courses Subject to Evaluation and Frequency of Evaluation	Policy/Procedure Summary on Timing of Evaluation	Policy/Procedure Summary on Use of Student Evaluation Results
Platteville	University Rank, Salary, and Tenure Procedures	Student evaluations must be conducted each semester for all faculty during their first three years of service. All other faculty must be evaluated in all classes they teach at least once every three years.	Not specified	Student evaluations are required for rank, salary, and tenure purposes and are also used for self-improvement.
River Falls	Faculty and Academic Staff Handbook, Section 4.5.5 – Student Evaluation of Instruction	Student evaluation is to be administered in all on-campus and off-campus offerings, including lecture, laboratory, discussions, and seminars. Probationary faculty and instructional academic staff are evaluated in all courses every semester. One-third of tenured faculty members are evaluated in all courses every semester.	The uniform student evaluations will be conducted within the last three weeks of the semester.	Information from student evaluations is used to arrive at broad comparisons of faculty and instructional academic staff members and can be used for personnel decisions.
Stevens Point	UW-Stevens Point Handbook, Section 3.05 – Periodic Student Evaluation of Teaching	Every faculty member shall be evaluated at least once each year in all sections and courses taught.	Not specified	Results from student evaluation surveys will be used in personnel decisions.
Stout	Student Evaluation/Observation of Instruction	Within a three-year period, all teaching faculty will have an appropriate sample of student observations.	Not specified	Each department must develop a written policy which specifies the use of student observations in the evaluation process. The data collected are to be considered for personnel performance evaluation and to aid in the improvement of instruction.

UW Institution	Policy/Procedure	Policy/Procedure Summary on Courses Subject to Evaluation and Frequency of Evaluation	Policy/Procedure Summary on Timing of Evaluation	Policy/Procedure Summary on Use of Student Evaluation Results
Superior	UW-Superior Handbook, Chapter 6.13 – Student Evaluation of Instruction; Chapter 7 – Personnel Policies.	Students are expected to give faculty evaluations in each of their courses. Procedures are to be established by each department.	Not specified	The process or procedure for annual performance review is determined by each department, but the review includes student evaluation.
Whitewater	Faculty Rules, Chapter III – Rules Governing Faculty Appointments under UWS 3, Wisconsin Administrative Code	Not specified	Not specified	A decision about reappointment, tenure and/or promotion shall be made only after the department has evaluated the faculty member's performance, which includes student evaluations.
UW Colleges	UW College Senate Policy #301.01 – Administering the Student Survey of Instruction	All faculty classes are to be evaluated every third semester.	Instructors must inform students at least two days or one class period before the evaluation is to be done. The instructor shall not schedule the evaluation on the day a major exam is given or returned or a major assignment is returned.	Information obtained from student evaluation will be considered when making decisions regarding salary, promotion, or tenure, and will be helpful in improving teaching and course content.
UW-Extension	No policy	Not applicable	Not applicable	Not applicable

Source: UW System institutions

Appendix 2

Student Evaluation Instruments Adopted at UW Institutions and Departments Visited

UW Institution	Department	Student Evaluation Instrument Used	Year or Time Since Adopted or Last Reviewed (Approximate)	Number of Questions	Type of Questions
Green Bay	Art and Visual Design	Campus' standard instrument	Middle of 1990's	7	Rating and written comments
	Humanistic Studies	Department specific	2008	2	Rating and open-ended
	Social Work	Department specific	A competency review is done once every 5 to 8 years.	27	Rating and written comments
Madison	Biochemistry	Department specific	At least 15 years	12	Rating and written comments
	Curriculum and Instruction	Department specific; teaching assistants and probationary faculty members are also required to administer a mid-semester evaluation.	At least 20 years	The end-of-semester instrument has eight questions. The mid-semester instrument has five questions.	Both instruments have rating and written comments
	Marketing	School of Business standard instrument	At least 15 years	33	Rating and open-ended
	Mathematics	Department specific	1995	12	Rating and written comments
	Mechanical Engineering	College of Engineering standard instrument	About 20 years	27	Rating and written comments

UW Institution	Department	Student Evaluation Instrument Used	Year or Time Since Adopted or Last Reviewed (Approximate)	Number of Questions	Type of Questions
Milwaukee	Criminal Justice	School of Social Welfare standard instrument	At least 10 years	6	Rating and written comments
	Electrical Engineering and Computer Science	Department specific	Program is studied for certification every 6 years. The SEI is reviewed as part of the study. No change since last study (2008).	19	Rating and written comments
	English	Department specific. Three different forms are used for different groups of courses.	At least 22 years	The mid-semester instrument has 13 questions. The end-of-semester instrument for first-year composition courses has 11 questions. The regular end-of-semester instrument has two questions.	The mid-semester and end-of-semester for first-year composition courses have rating and open-ended questions. The regular end-of-semester instrument has open-ended questions only.
	Music	Different instruments are used for academic music classes, performance music lessons, and ensemble.	At least 20 years	The instrument for academic music class has 24 questions.	Rating

UW Institution	Department	Student Evaluation Instrument Used	Year or Time Since Adopted or Last Reviewed (Approximate)	Number of Questions	Type of Questions
Oshkosh	Finance and Business Law	Modified campus' Student Opinion Survey. Evaluations for the online MBA program are administered through UW-Eau Claire.	2007	17	Rating
	Mathematics	Modified campus' Student Opinion Survey	1999	17	Rating and written comments
	Nursing	On-campus classes use the campus' Student Opinion Survey. The accelerated nursing program is administered online.	2005	Both instruments have 11 questions.	Rating
	Professional Counseling	Department specific. Used campus' Student Opinion Survey prior to 2008.	2008	14	Rating and open-ended
Stevens Point	Business and Economics	All departments use the campus' standard instrument. Individual faculty members may elect to use a supplemental evaluation form for his or her own uses.	2004	18	Rating
	Foreign Languages				
UW Colleges	Art	All UW Colleges campuses use the campus' standard instrument.	1997 or 1998	20	Rating and open-ended
UW-Extension	Continuing Education	The instrument is customized to each training program.	The evaluation instrument is customized to each training program.	Varied	Rating and open-ended

Sources: UW Department Chairs and Administrators

Office of Operations Review and Audit

Program Review

CREDIT FOR PRIOR LEARNING

November 2010

Table of Contents

EXECUTIVE SUMMARY

The University of Wisconsin (UW) System Office of Operations Review and Audit reviewed UW institutions' practices related to evaluating and providing credit for non-traditional students' prior learning outside the classroom, known as prior learning assessment (PLA). Formal programs for evaluating prior learning began in the United States during World War II and have grown such that national research indicates that approximately 50 percent of all colleges and universities now offer some form of PLA. As part of UW System's strategic framework, Advantage Wisconsin, a cross-campus team known as "Think Tank #2" recommended in March 2008 that UW institutions "adopt uniform policies that encourage the awarding of credit for prior experience for older returning students" as a way of increasing the number of graduates and expanding educational opportunities.

Objectives of Prior Learning Assessment in the UW System

PLA can be used to meet various objectives for both students and UW institutions. PLA can reduce the time and cost for students to earn a degree, provide an incentive for non-traditional students to begin or finish a degree, and provide more flexibility and control to students. At the same time, PLA can serve as a tool for institutions to attract students consistent with their academic missions and help institutions meet enrollment goals. Whereas the number of high school graduates in Wisconsin is expected to decrease by 12 percent between 2008 and 2015, the number of adults ages 22 through 65 in Wisconsin is expected to grow over the next five years by approximately 100,000. Offering PLA is seen as a way to increase enrollment among this growing segment of the population.

Prior Learning Assessment Methods

Although we requested data on the extent to which PLA options were used at UW institutions, it was difficult to make comparisons among the institutions that responded due to differing definitions of the different types of PLA, inconsistent record keeping or a lack of reporting to the registrar, an inability to track PLA usage at all levels of the institution, and a general lack of prioritization of tracking PLA usage due to its limited use at many institutions.

PLA methods generally fall into three categories: credit by examination, portfolio-based assessment, and other non-examination options. Credit by examination includes tests created and offered by individual academic departments, as well as nationally recognized examinations offered by third parties, such as the College Level Examination Program (CLEP). Students who score at or above a minimum level on these tests are deemed to have already obtained academic knowledge in the subject area and receive credit.

Through portfolio-based assessment, students document evidence of prior learning in order to make a convincing case to faculty that knowledge intended to be imparted through certain course requirements and/or electives has already been gained. Faculty then has full discretion to decide whether to award credit for the prior learning demonstrated through the portfolio. Eight UW institutions currently allow some form of portfolio-based assessment, and UW Colleges is

considering the use of portfolios as a model for assessing prior learning at its 13 campuses. Before the use of portfolio-based assessment can be expanded, faculty and student perceptions and potential accreditation issues will need to be taken into consideration. For example, faculty may perceive that portfolios lack academic rigor, whereas students may perceive that the effort to compile a portfolio is too significant without a guarantee of receiving credit.

Other non-examination options include such things as the evaluation of military transcripts and informal assessment of a student's work experience or professional certifications.

Administrative and Programmatic Challenges

Several factors influence the successful implementation of PLA at UW institutions. First, students may have difficulty transferring PLA credits among UW institutions. UW-Superior is the only UW institution that accepts transfer credit for prior learning earned through portfolio-based assessment. Likewise, credits received from a standardized examination may not transfer among UW institutions as each sets its own minimum score requirements. Transferability is also affected by the lack of consistent transcript notation standards for PLA, which may vary even within an institution.

If PLA activities increase at UW institutions, the cost of implementing them may become an issue as both faculty and administrative staff devote effort to evaluating or facilitating requests for PLA. Although some institutions charge students fees, such as for evaluating portfolios, these fees may not reflect the amount of time involved in processing PLA requests. In addition to these implementation costs, training for faculty in PLA methods may also be necessary if institutions desire to increase the use and acceptance of PLA.

Finally, promoting PLA among students and prospective students would be necessary to increase its utilization. Targeting special populations, such as veterans, minorities, or adults working in local businesses, may be the best use of limited promotional resources. All administrative and programmatic challenges will need to be considered in the context of the UW System faculty governance structure, funding constraints, and each institution's unique mission and demographics.

SCOPE

The University of Wisconsin (UW) System Office of Operations Review and Audit reviewed UW institutions' practices related to evaluating and providing credit for students' prior learning outside the classroom, known as prior learning assessment (PLA). As part of UW System's strategic framework, Advantage Wisconsin, a cross-campus team known as "Think Tank #2" recommended in March 2008 that UW institutions "adopt uniform policies that encourage the awarding of credit for prior experience for older returning students" as a way of increasing the number of graduates and expanding educational opportunities.[1] In 2009, the statewide Making Opportunity Affordable initiative also identified credit for prior learning as a strategy for non-traditional students to reduce the amount of time for degree completion as well as increase the number of students who receive degrees.[2]

Consistent with these recommendations, the primary scope of this review focused on PLA for non-traditional students. Consequently, PLA methods that typically apply to traditional or high school students—such as Advanced Placement (AP) exams, International Baccalaureate (IB) exams, and retroactive credits at the high school level—were considered beyond the scope of this review. These methods were the subject of a previous report issued by our office in March 2002 entitled *High School Special Programs*.

In completing this review, we worked with the UW System Office of Academic Affairs to identify system-wide issues related to PLA; reviewed UW System and institution PLA policies; and interviewed faculty, department chairs, staff in admissions offices, students who were awarded credit through PLA, and representatives of other institutions of higher learning. We also spoke with representatives from the Council for Adult and Experiential Learning (CAEL) and other national non-profit organizations involved in the research or implementation of PLA programs.

BACKGROUND

CAEL defines PLA as "the evaluation for college credit of the knowledge and skills one gains from life experiences (or from non-college instructional programs) including employment, travel, hobbies, civic activities and volunteer service."[3] Although definitional differences regarding PLA may exist within academia, the definition provided by CAEL is the most commonly accepted among institutions of higher education and within the research literature. While traditional students are not precluded from using PLA methods, the nature of PLA results in it primarily impacting non-traditional students.

---

[1] University of Wisconsin System Administration. "Think Tank #2: More Graduates Report." The UW System's Strategic Framework to Advantage Wisconsin. Madison: University of Wisconsin System, 2008.

[2] University of Wisconsin System Administration. *Making Opportunity Affordable-Wisconsin: Planning Year Update*. Madison: University of Wisconsin System, 2009. <http://moawisconsin.org/docs/MOA-WI_Spring_09_Summary.pdf>

[3] Wertheim, Judith. *Advancing towards a College Degree through Prior Learning Assessment*. Council on Adult and Experiential Learning, 2007. <http://www.cael.org/powerpoints/CAEL%20PLA%20Webinar%20112707.ppt>

PLA is not typically characterized by one method but rather consists of an array of methods that fall into three broad categories:

- *Credit by Examination*: This includes exams created and offered by individual academic departments, as well as nationally recognized exams offered by third parties.

- *Portfolio-based Assessment*: This method allows students to develop summaries of their out-of-classroom experience that can then be assessed to determine if academic knowledge has been acquired.

- *Other Non-examination Options*: These include both formal and informal assessment of a student's military, work, and other life experience.

The use of these tools has changed over time in accordance with the needs of students and institutions of higher learning.

History and Development of Prior Learning Assessment

In the United States, formal programs for assessing prior learning began during World War II. During this time, the General Educational Development (GED) examination was introduced to assess and recognize learning equivalent to a high school degree. Following the war, the federal government significantly increased educational assistance to veterans resulting in a dramatic increase in adult learners at institutions of higher learning. In response, the American Council on Education (ACE) provided guidelines and recommendations to higher education institutions on how to assess prior learning that students had acquired through their military service.

As the number of non-traditional students continues to expand, institutions have responded by offering new degree programs targeted to this population and developing testing options and other forms of assessment to determine academic equivalencies. In March 2010, CAEL estimated that approximately 50 percent of all colleges and universities offered some form of PLA. However, CAEL also noted that many students were not aware of these options due to the extent to which their availability was communicated.[4]

As students become more aware of PLA options, interest is expected to increase. For example, a survey conducted by the College Board indicated that non-traditional students rated credit for prior learning as more important than small class sizes or the availability of financial aid.[5] In addition, recent market research shows that students are more likely to choose an institution if it offers PLA.[6]

CAEL research also indicates that use of PLA may be an indicator of future academic success. After controlling for a number of demographic and institutional factors, 56 percent of students in CAEL's study who earned credit through PLA received a postsecondary degree as compared to

---

[4] Lederman, Doug. "The Prior Learning Edge." *Inside Higher Ed*. March 1, 2010.
[5] Tate, Pamela. *Recognizing Prior Learning in the Commonwealth of Pennsylvania*. Chicago: Council on Adult and Experiential Learning, 2000.
[6] Harms, Brenda. *2009 Stamats Adult StudentsTALK Study*. Cedar Rapids: Stamats, 2009.

21 percent of students who did not receive PLA credit. CAEL found that students who received credits through PLA needed less time to earn their degrees than students without PLA credits.[7]

Standards for Guiding Prior Learning Assessment

In 1989, adult learning educator Urban Whitaker established 10 quality standards that dealt with academic policies and administrative procedures for institutions involved in PLA activities. These standards were modified by CAEL in 2006 and are now used as benchmarks for PLA programs nationally.[8] The first five standards focus on academic policies:

1. Credit or its equivalent should be awarded only for learning, and not for experience.
2. Assessment should be based on standards and criteria for the level of acceptable learning that are both agreed upon and made public.
3. Assessment should be treated as an integral part of learning, not separate from it, and should be based on an understanding of learning processes.
4. The determination of credit awards and competence levels must be made by appropriate subject matter and academic or credentialing experts.
5. Credit or other credentialing should be appropriate to the context in which it is awarded and accepted.

The last five standards address administrative procedures intended to ensure quality in granting credit for PLA:

6. If awards are for credit, transcript entries should clearly describe what learning is being recognized and should be monitored to avoid giving credit twice for the same learning.
7. Policies, procedures, and criteria applied to assessment, including provision for appeal, should be fully disclosed and prominently available to all parties involved in the assessment process.
8. Fees charged for assessment should be based on the services performed in the process and not determined by the amount of credit awarded.
9. All personnel involved in the assessment of learning should pursue and receive adequate training and continuing professional development for the functions they perform.
10. Assessment programs should be regularly monitored, reviewed, evaluated, and revised as needed to reflect changes in the needs being served, the purposes being met, and the state of the assessment arts.

While these standards are non-binding on the UW System, they are frequently cited as guiding principles for implementing and evaluating PLA within the adult learning community at UW institutions.

---

[7] Klein-Collins, Rebecca. *Fueling the Race to Postsecondary Success: A 48 Institution Study of Prior Learning Assessment and Adult Student Outcomes*. Chicago: Council on Adult and Experiential Learning, 2010.
[8] Whitaker, Urban. *Assessing Learning: Standards, Principles and Procedures for Good Practice*. Philadelphia: Council on Adult and Experiential Learning, 1989.

DISCUSSION AND RECOMMENDATIONS

Specific issues identified and discussed in this review include: (1) objectives of prior learning assessment in the UW System; (2) PLA methods used at UW System institutions; and (3) administrative and programmatic challenges in the development and delivery of PLA, including possible strategies for coordination and collaboration throughout the UW System.

OBJECTIVES OF PRIOR LEARNING ASSESSMENT IN THE UW SYSTEM

Earning credit for prior learning is not a new concept in the UW System. Recent research conducted for UW-Whitewater indicates that different forms of PLA have been available to students at some UW institutions since at least the 1970s.[9] Institutions that have a higher proportion of non-traditional students tend to emphasize the prominence of credit for prior learning as compared to institutions that primarily serve traditional students. Officials at UW institutions indicated that providing credits to non-traditional students to recognize their prior learning gives them an incentive to begin or finish a degree. In addition, campus officials noted that PLA can help to reduce time and cost for the student by eliminating the need to take a lower division course, meet certain professional credentials for advancement in a profession, free up classroom space for other students, and give more flexibility and control to the student.

Depending upon the institution's use of PLA, credit can be used to meet elective requirements, program/major requirements, and course prerequisites, as well as to qualify students for advanced standing. To a lesser extent, PLA is also used as a prerequisite for graduate or other special academic programs.

In terms of broader, strategic objectives, UW officials noted that PLA can be used to attract students based on the institution's overall academic mission. For example, at UW-Superior, PLA is used as a tool to attract students from Minnesota to the university. At UW-Stout, PLA is intended to help attract students and support the institution's focus on technical disciplines by awarding credit in the computer sciences, engineering, and other technology-oriented areas.

PLA can also be used to help stabilize or meet enrollment goals. As part of the UW System's strategic framework, Advantage Wisconsin, credit for prior learning was identified in March 2008 among the methods to address enrollment concerns related to the decreasing numbers of high school graduates in Wisconsin, which could have an impact on enrollment at UW institutions. The number of high school graduates is expected to decrease by 12 percent between 2008 and 2015.[10] In contrast to this trend, the number of adults ages 22 through 65 in Wisconsin is expected to grow over the next five years by approximately 100,000, representing an enrollment opportunity for this segment of the population. After 2015, this cohort is expected to remain stable through year 2020 with a total population of 3.5 million people.[11]

---

[9] Smith, Lauren. *Credit for Prior Learning: Approaches and Best Practices to Portfolio Assessment*. Whitewater: 2009.
[10] Applied Population Laboratory. *Wisconsin High School Graduate Projections 2008-2019*. Madison: University of Wisconsin-Madison, 2008.
[11] Egan-Robertson, David. *State Age-Sex Population Projections by Single Years, 2005-2020*. State of Wisconsin, Department of Administration, Demographic Services Center, 2008. <http://www.doa.state.wi.us/docview.asp?docid=7436&locid=9>

The number of non-traditional students throughout the UW System currently represents about 18.7 percent of the total student population. Although this percentage has remained fairly constant throughout the previous ten years, it has fluctuated within each institution. Appendix A provides more detail on this trend by UW institution.

PRIOR LEARNING ASSESSMENT METHODS

The assessment tools used within the UW System are reflective of longstanding methods used by institutions of higher learning throughout the United States. These methods can be separated into three categories: (1) credit by examination, (2) portfolio-based assessment, and (3) other non-examination options. Appendix B summarizes the current use of PLA at each UW institution.

As part of our review, we requested data from each UW institution on the number of students awarded credit, including the number of credits awarded, by assessment method, from 2006-07 through 2008-09. Nine institutions responded to our request by providing data that was readily available to them. However, it was difficult to make comparisons among the institutions due to the ways they categorized the different types of PLA, inconsistent record keeping or a lack of reporting to the registrar, an inability to track PLA usage at all levels of the institution, and a general lack of prioritization of tracking PLA usage due to its limited use at many institutions. Officials noted that there was no purpose in tracking the information unless it would be used with some well-defined end in mind.

However, several registrars noted that because of the increased interest in PLA within the UW System, they would be reexamining the need to collect and document PLA activity by method over time. Institutions may also need to collect this data due to new federal rules that require institutions to demonstrate to accrediting organizations how PLA activity meets the definition of credit hour. [12] ***We recommend that all UW institutions document the awarding of credit by PLA method, and that a uniform process and format be developed by the UW System Office of Academic Affairs for collecting, recording, and reporting this data.*** As interest in using PLA increases, the success of any new initiatives cannot be measured, nor program modifications made, without basic data collection procedures in place.

Credit by Examination

Testing options are typically considered the most straightforward method of assessing prior learning, and all UW System degree-granting institutions award college credit through some form of examination. Table 1 summarizes the various characteristics of PLA examination programs offered within the UW System. The four examination options are all intended to assess learning and knowledge gained outside the classroom. Three of these options are national examinations, and one is developed at each institution's departmental level.

---

[12] "Program Integrity Issues, Final Rule." *Federal Register* 75:209 (October 29, 2010): pp. 66832-66975.

Table 1: **Credit by Examination Options at UW System Institutions**

PROGRAM	College Level Examination Program (CLEP)	DANTES* Subject Standardized Tests (DSST)	Excelsior Exams	Departmental Exams
Content	33 examinations in 5 subject areas, including composition and literature, foreign languages, history and the social sciences, natural sciences and math, and business	37 examinations in social science, business, mathematics, applied technology, humanities, and physical science	51 examinations in arts and sciences, business, nursing, and education	Specific to an individual department or course within a department
Prevalence	Offered at more than 2,900 colleges and universities nationwide. Credits accepted at all UW degree-granting institutions.	Offered at more than 1,900 colleges and universities nationwide. Credits accepted at six UW institutions.	Limited use at UW institutions. Utilized primarily by nursing programs.	Occurs, but usage has not been consistently documented by UW institutions.
Cost per Exam	$77	$80	$235 to $335	Typically very minimal or no cost

* Defense Activity for Non-Traditional Education Support (DANTES)

These examination options are used to varying degrees within the UW System:

- *College Level Examination Program (CLEP)*: Within the UW System, each institution decides which CLEP tests it will allow to substitute for which of its courses, as well as the score needed to receive the credits. Each institution also specifies when the credits may be earned, such as within the first 16 credits of college coursework, and the maximum number of credits that can be granted. Some institutions, such as UW-Milwaukee, do not restrict when credits can be earned or the maximum number of credits. The use of CLEP among UW institutions varies significantly. For example, UW-Oshkosh reported awarding 180 credits under CLEP to 45 non-traditional students in 2008-09. By contrast, UW-Madison reported awarding 7 CLEP credits to 2 students.

- *DANTES Subject Standardized Tests (DSST)*: DSST examinations were developed by an organization within the Department of Defense known as Defense Activity for Non-

Traditional Education and Support (DANTES), which supports off-duty educational achievement among military personnel. Although these tests are mostly targeted toward military personnel, anyone may take these examinations. According to the DANTES website, six UW campuses currently award credit to students under the DSST program. These campuses include UW-Eau Claire, Green Bay, Parkside, Platteville, Superior, and Whitewater. Each campus sets its own policies on the acceptance of these credits.

- *Excelsior Exams*: Excelsior Exams are offered through Excelsior College, a private, non-profit higher education institution in Albany, New York (formerly Regents College). The College offers 51 exams in the arts and sciences, business, nursing, and education, many offering upper-level credit. However, UW institution officials report use of the exams is limited with most exams taken in nursing.

- *Departmental Exams*: Departmental exams allow students to obtain credit for a course at the departmental level with a minimum score that is set by the academic department or instructor. These exams typically represent, or mirror, the final exam that the student would ordinarily take at the end of the course. At some campuses, they are also known as "challenge exams" or "experiential exams."

  According to a recent national study by CAEL, 57 percent of the surveyed institutions reported utilizing some form of departmental exams.[13] Due to record keeping issues, information on the extent to which departmental exams are utilized within the UW System is not readily available. However, data did exist at some UW institutions. For example, UW-Stout awarded 332 credits to 97 students in the four academic years ending in 2008-2009.

  Our review of institutions outside of the UW System yielded several examples of websites at the college or departmental level that make students aware of specific courses that can be challenged through exam. Within the UW System, one example of such a website was found at UW-Milwaukee. This website included exams for the College of Health Sciences and the Biological Sciences Department within the College of Letters and Science. Typically, at institutions throughout the UW System, students who are interested in finding out about departmental exam opportunities likely contact the department directly because the awarding of credits occurs at the instructor's discretion.

Portfolio-based Assessment

Through portfolio-based assessment, students develop a portfolio either in hard copy or digital format (known as an "e-portfolio") documenting evidence of prior learning in order to make a convincing case to faculty that knowledge intended to be imparted through certain course requirements and/or electives has already been gained. Faculty then has full discretion to decide whether to award credit for the prior learning demonstrated through the portfolio.

---

[13] Klein-Collins, Rebecca. *Fueling the Race to Postsecondary Success: A 48 Institution Study of Prior Learning Assessment and Adult Student Outcomes*. Chicago: Council on Adult and Experiential Learning, 2010.

A report developed for UW-Whitewater in 2009 noted that portfolio-based assessment has been used in the UW System since at least the 1970s.[14] The report suggested that since this PLA method is more relevant to non-traditional students, institutions having a higher proportion of adult-learners will tend to use the method more. For example, many of the eight UW institutions currently offering portfolio-based assessments—UW-Green Bay, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, and Superior—have a higher proportion of non-traditional students and/or distance learners than other UW institutions. Some UW institutions having a higher proportion of traditional students, such as UW-Eau Claire, La Crosse, and Madison, do not currently use this method.

UW Colleges, which has the highest proportion of non-traditional students within the UW System, is currently considering the use of portfolio-based assessment as a model for assessing prior learning at its 13 campuses. As a result, a UW Colleges task force met in 2010 to consider ways to improve the use of PLA on its campuses and establish a consistent policy.

The variation in the use of portfolio-based assessment is consistent with CAEL's research, which indicates that it may be more appropriate for some institutions or certain academic departments while being less relevant for others. For example, it may be easier to demonstrate prior learning through a portfolio for art, business, mathematics, and more technical disciplines as compared to disciplines that are based more in theory or require a practicum such as psychology, sociology, or medicine. Likewise, some institutions and academic departments, such as those that teach social work, need to determine whether restrictions from accrediting organizations exist before considering utilization of portfolio-based assessment.

Although portfolio-based assessment has been used infrequently system-wide, its use is increasing at certain UW institutions. For example, UW-Stout reported that 15 students had been awarded a total of 246 credits in 2008-09 through portfolio-based assessment, compared to 4 students earning a total of 66 credits in 2006-07.

Portfolio Development Process

A portfolio can be developed in consultation with faculty and advising staff or as part of a class dedicated to portfolio development. At UW-Parkside, officials indicated students work directly with faculty and spend between three and six months developing a portfolio. Three UW institutions—UW-Oshkosh, Platteville, and Superior—require a formalized course in portfolio development for students who wish to utilize this option. At UW-Superior, students register for a one-credit, semester-long online course that provides step-by-step guidance in developing a portfolio by the end of the semester and includes numerous objectives, including:

- to prepare and document a portfolio;

- to identify all prior learning experiences;

---

[14] Smith, Lauren. *Credit for Prior Learning: Approaches and Best Practices to Portfolio Assessment*. Whitewater: 2009.

- to review, analyze, and evaluate prior learning experiences in the context of academic requirements and goals;

- to list learning outcomes derived from experiences that relate to courses;

- to write a resume;

- to write a brief autobiography with a chronological history of life-long learning;

- to formulate a request for a specific amount of credit; and

- to gather documentation necessary to support the request, including transcripts.

These courses, which strengthen academic learning and faculty involvement, are intended to increase the likelihood that students will be successful in creating a portfolio that results in the awarding of credit for the prior learning demonstrated therein, which is considered on its merits regardless of the process used to create the portfolio. However, providing academic credit for the development of the portfolio itself is a good practice that recognizes the significant effort involved in creating a portfolio and provides an incentive for students to undertake the process. *We recommend that all UW institutions offering portfolio-based assessment consider offering a course for credit through which students can develop a portfolio. We further recommend that institutions collaborate to allow those courses that have already been created to be utilized by other UW institutions*. Even with the addition of such a course, which could be taken as an elective, the multiple credits that could be gained through portfolio assessment would likely reduce a student's total time to degree.

Once the portfolio has been completed, the student submits the portfolio to the appropriate faculty member, department chair, or program director. The portfolio is usually assessed by the faculty member for whose course the portfolio purports to show prior learning. The decision of whether to grant credit is typically made by the individual faculty member. The exception is at UW-Stout, where the decision is made by a team of faculty with the support of staff. UW-Stout is also unique in that documented learning is considered as a whole and can be applied to several different courses rather than matching up equivalencies on a course-by-course basis. This provides flexibility to students in applying their knowledge to a broad array of courses.

Faculty Perceptions of Portfolio-based Assessment

Several UW institutions indicated that some faculty are skeptical of portfolio-based assessment because they perceive it as subjective and lacking in academic rigor. Faculty members may hold an opinion that is a common barrier to the increased use of PLA: that course material should be taught first and then assessed. Research from CAEL confirms that some faculty nationally are concerned about the quality of PLA, particularly when PLA is administered without well-defined policies or standards.[15] However, faculty perceptions within the UW System tend to vary. For

---

[15] Klein-Collins, Rebecca. *Fueling the Race to Postsecondary Success: A 48 Institution Study of Prior Learning Assessment and Adult Student Outcomes*. Chicago: Council on Adult and Experiential Learning, 2010.

example, officials at UW institutions with higher numbers of non-traditional students noted that because their faculty is familiar with portfolio-based assessment, primarily due to their exposure to or training in PLA methods, they tend to be more open to and comfortable with the use of portfolios.

Because decisions for granting credit for portfolios are made at the faculty level, some faculty have expressed a concern that proposed policies or standardized practices on an institution or system-wide basis may limit their discretion. Administrators at several campuses confirmed this sentiment, indicating that faculty must retain discretion on awarding credit if the use of portfolio-based assessment, and PLA in general, is to succeed. Therefore, PLA policies need to take into consideration the central role of faculty in the decisions to grant credit for prior learning.

Student Perceptions of Portfolio-based Assessment

One common student misperception noted by campus officials is the view that credits for prior learning are earned for simply developing the portfolio, rather than through demonstrating that knowledge from their previous experiences has been acquired and is equivalent to academic coursework. Campus officials explain that non-traditional students sometimes have difficulty seeing that experience itself does not always translate into academic achievement, such as a salesperson who feels that the work experience can substitute for a course in marketing theory. Therefore, at times there is a need to educate students that there is broader, theoretical knowledge that must be demonstrated if academic credit is to be granted.

Due to the fact that credit may not be granted once a portfolio is reviewed, and because the process of developing a portfolio can be challenging, adult learning staff noted that students may decide that taking a class instead of developing a portfolio is less risky. In this way, students feel that they are assured of obtaining credit. Similarly, students may perceive that taking a standardized exam like CLEP is a more expedient route. Although some UW students interviewed as part of this review indicated that the portfolio development process was a more suitable method for evaluating their prior learning experiences as compared to standardized testing, others noted their initial apprehension to the idea of developing a portfolio because of its labor-intensive nature. This may partially explain why, anecdotally, there are relatively few students at UW institutions being awarded credit for prior learning through portfolio-based assessment.

One student advisor who counsels students in portfolio-based assessment indicated that because of these perceived risks, she often steers students away from developing a portfolio and toward other options, such as CLEP or taking the class, unless the possibility exists that more than just three credits for a single course can be obtained through the portfolio method. Another administrator noted that it would be helpful for institutions to review perceived administrative barriers in order to develop a more student-friendly process. This idea is consistent with the recommendation from Think Tank #2 to not create unnecessary procedural or bureaucratic barriers for students.

Other Non-examination Options

In addition to portfolio-based assessment, there are other PLA methods used at UW institutions that are not examination-based. While these other non-examination options may be incorporated into a portfolio, they also may be considered independently.

- *Evaluation of Military Service*: Credit for prior military experience is available at all UW institutions through review of a student's military transcripts. Military transcripts are generated by the federal government and combine details of military education, training, and experience with descriptions and credit recommendations developed by ACE. Each institution or academic department determines the number of credits that they will accept and how the credits will be applied.

  Students may earn advanced placement credit for military science courses if they previously completed the ROTC Basic Camp, Officer Candidate School, basic training for enlisted military personnel, or advanced individual training. Credit for vocational/technical training or in a military occupational specialty can be awarded if it is demonstrated that the training is equivalent to coursework taken at the institution. Credits can also be applied to electives that are not tied to specific departmental or major requirements.

  Of the six UW institutions that provided data on the number of students who received academic credit for military service, four institutions experienced an increase in the previous three years. For example, in 2006-07, 16 non-traditional students received 235 credits for military service at UW-Green Bay. By 2008-09, the number of students receiving academic credit for military service had risen to 49 students for a total of 711 credits.

- *Informal Student Assessment*: Non-traditional students may receive credit for their professional work experience without the use of examinations or a portfolio development process. For example, the Robert M. La Follette Institute of Public Affairs at UW-Madison has developed policies for their Master of Public Affairs and Master of International Public Affairs programs. A maximum of six credits may be awarded for relevant work experience that was gained prior to admission. To be eligible for work experience credits, students must establish that they have worked continuously and full-time in a professional policy-related position for at least five years. Students must petition the Associate Director, in writing, to determine whether such credits will be granted. In addition, students can also petition to waive a one credit professional development seminar if they have five years of full-time relevant experience.

  Registrars indicated that this type of written departmental policy does not always exist. They noted the possibility that instructors may grant credit for a course or several courses after a convincing case has been made by the student that knowledge was acquired in the subject area from other prior experience or through a professional certification they hold in areas such as computer science, engineering, or business. These situations may go

undocumented, as transcripts often do not differentiate between this and other types of credit. For example, in 2008-09, UW-Madison reported that 110 students were awarded 2,939 credits at the discretion of departments. However, UW-Madison officials noted that the exact assessment method that was used by departments (whether by exam, through student interviews, or by some other category) could not be determined.

Reporting these occurrences and documenting the reasons why the student was awarded credit would be consistent with CAEL's standard #2, which states that "assessment should be based on standards and criteria for the level of acceptable learning that are both agreed upon and made public." *We recommend that institutions or departments ensure transparency regarding the academic principles and administrative process under which students may be awarded credit for prior learning when examinations or portfolios are not used.* Institutions may wish to consider documenting the reasoning behind the award of credit, obtaining approval of the department chair or dean, and notifying the registrar. These additional steps could help institutions comply with new federal rules on the definition of the credit hour that may require institutions to document PLA activity as part of the review process by accrediting organizations.[16]

ADMINISTRATIVE AND PROGRAMMATIC CHALLENGES

Our review identified administrative and programmatic challenges influencing the success and implementation of PLA on each campus, as well as at the UW System level. These challenges include: (1) transfer issues, in terms of how credits for prior learning are evaluated and accepted at each institution; (2) how PLA credits appear on the student's transcript at different institutions; (3) implementation costs; (4) training of faculty and staff on PLA methods and institutional process; and (5) promotion of PLA opportunities targeting non-traditional students. These challenges will need to be considered in the context of the UW System faculty governance structure, funding constraints, and each institution's unique mission and demographics.

Transfer Issues

UW-Superior is the only four-year UW institution that accepts credit earned through portfolio-based assessment at another UW institution. The underlying reasons for not accepting credits gained through portfolios upon transfer are generally that some faculty view portfolio-based assessment as subjective; credit earned may be tailored to a particular department or program at one institution, making it difficult to prove equivalency at another institution; and modifying computer programs to allow for the transfer of credits specifically designated as earned through PLA may be cost-prohibitive.

Furthermore, each UW institution typically sets its own testing and grading policies that govern when credit can be awarded. Regent Policy Document (RPD) 7-1, "University of Wisconsin System Undergraduate Transfer Policy," addresses this with regard to credits earned by examination or through prior learning at another institution. RPD 7-1 states that UW institutions

---

[16] "Program Integrity Issues, Final Rule." *Federal Register* 75:209 (October 29, 2010): pp. 66832-66975.

should "re-evaluate if, and how, [credit by examination] will be applied to the degree," and that credits earned for prior learning at one institution "should be evaluated for possible transfer at the UW receiving institution."

Institutions have implemented this policy in different ways. For departmental exams, each department determines what scores to accept and credit to provide. For the national exams, minimum standards are set by each UW institution based on recommendations developed by the national testing agencies that created the tests. Because each institution sets its own standards with regard to the minimum test score that will be accepted for credit to be granted, different institutions have differing standards for the same test. For example, UW-La Crosse requires a minimum score of 50 for the CLEP biology subject test, whereas UW-Parkside requires a minimum score of 65. These differing standards may create problems for students who wish to transfer between UW institutions, as credit granted for the test at one institution may not be accepted by another.

Articulation agreements and partnerships between institutions of higher learning can help to make transfer of credits possible. For example, transfer of PLA credits occurs between academic departments at different institutions within the University of Minnesota System where specific articulation agreements have been established.[17] In addition, in 2009 Empire State College in New York entered into a memorandum of understanding with the Vermont State College System, which is a system of two-year institutions.[18] The memorandum provides that all credits evaluated by the Vermont State College Office of External Programs through their PLA process will be accepted by Empire State College. The credits are recorded on the transcript at Empire State College as "credit by evaluation." Before the agreement was finalized, faculty representatives from both Empire State and the Vermont State College System worked together to ensure that academic standards were maintained.

In the 2010-11 academic year, the UW System Office of Academic Affairs will be convening a committee of faculty and other staff with the goal of developing a system-wide policy and process for transfer of credits earned through PLA. As this committee considers how to address credit transfer issues, it may wish to consider two sets of data collected by the UW System Office of Policy Analysis and Research. One set of data identifies UW Colleges as the UW institution having the largest percentage of non-traditional students. The second data set indicates that within the UW System, UW Colleges produces the largest number of transfer students to four-year institutions. Consequently, policies promoting the transfer of PLA credits from the UW Colleges to four-year institutions will be an important consideration. Institutions receiving a large number of these transfer students may also be good candidates to participate in pilot programs addressing this issue.

---

[17] *Articulation Agreements*. Minnesota State Colleges and Universities System. Web. July 23, 2010. <http://www.mntransfer.org/students/plan/s_agreements.php>.
[18] Empire State College. *Memorandum of Understanding for the Awarding of Prior Learning Credit Awarded by the Vermont State College System into the Bachelor's and Associate Degree Programs at State University of New York Empire State College*. Saratoga Springs, New York: Empire State College, January 2010.

Transcripts

RPD 7-1 indicates that credit earned by examination "should be clearly indicated" on a transcript, while credit earned through an evaluation of military service or other experience "must be so designated." However, documentation of prior learning credits on student transcripts is inconsistent and varies widely among UW institutions, further complicating the transfer of these credits. For example, in cases where portfolio-based assessment, CLEP, and credit for military service are used, the standard procedure at some institutions is that student transcripts use some form of designation (e.g., "earned through prior learning assessment") showing how the credit was earned. Conversely, registrars noted it is possible that PLA credits awarded at the departmental level are not labeled as such on transcripts. For example, "credit by examination" may be noted on some transcripts, whereas other transcripts may simply list the course for which the student received credit by taking the exam.

Officials note that because PLA tends to be decentralized on many campuses, different approaches and methods are utilized depending upon the department and institution, and not all credit for prior learning experiences are consistently documented. Furthermore, the act of documenting PLA credits as such on a transcript may inhibit the transfer of credits, as it highlights the transfer issues noted above. This inconsistency may lead to a fairness issue for students transferring among UW institutions, as certain PLA credits might be accepted for some students but not for others, even at the same institution. ***We recommend that a standard method or practice of transcript notation for credit earned through PLA be developed and adopted on a system-wide basis to create consistency across the UW System and to help facilitate transfer of PLA-earned credits between institutions.***

Implementation Costs

In general terms, the primary cost of implementing PLA at each institution represents the salary of staff devoted to the consideration of a student's request for credits through PLA. This includes the time of faculty to evaluate the request and administrative staff to process the request and any resulting credit. However, there is typically no separate budget allocation to cover these costs.

In order to defray these costs, institutions may charge the student a fee for evaluating a portfolio or other prior learning experiences. The fee structure can vary in complexity depending upon how many programs or offices are involved and other factors. Some institutions also charge a fee once the credit is earned to defray administrative costs. For example, UW-Superior charges a $100 administrative fee plus $75 to assess up to three credits. However, at all UW institutions, the fees tend to be nominal when compared to the cost of tuition which is avoided if the student is successful in earning credit through PLA.

CAEL's standard #8 notes that fees charged should be based on the services performed in the process of assessing prior learning. Some institutions noted that they were investigating raising fees to cover administrative costs and to pay faculty for assessing portfolios. At some UW institutions these fees have not changed in a significant amount of time, such as at UW-Green Bay where the fees have been the same since the 1970s. If the use of PLA increases at UW

institutions, resulting in an increase in staff and faculty workload, institutions may choose to review their current fee policies for PLA activities to assess whether the costs of implementing PLA are being covered to the extent possible.

Training

The PLA training model used by most campuses is typically informal mentoring of faculty on an as-needed basis, such as when new faculty members are hired. Administrators, such as adult education or experiential learning directors, have also conducted training on an individual basis, as well as within some departments. Staff members from admissions offices, registrar's offices, and academic advising offices at some institutions have also attended workshops on PLA conducted by CAEL. For example, CAEL has developed an online PLA certification program in conjunction with DePaul University to educate faculty and staff on the history, philosophy, and value of PLA and how a PLA program can be developed and implemented.

To help reach faculty and expose them to PLA philosophy and practices, the New South Wales (Australia) Department of Education and Training conducted an innovative teaching colloquium in 2007 utilizing keynote speakers and break-out sessions to encourage dialogue about PLA among faculty and adult learning educators. A series of essays was also developed on issues surrounding the nature and implementation of PLA that could be posted on each institution's website and shared with faculty for further dialogue and discussion.[19]

Although each UW institution will be responsible for determining the type and amount of training appropriate for its faculty and staff, continued exposure to PLA concepts, goals, assessment methods, and processes will be necessary to increase the use and acceptance of PLA at each institution. In order to assist institutions, *we recommend that the UW System Office of Academic Affairs develop a strategy to increase awareness of PLA and encourage ongoing dialogue among faculty and the adult learning community.* Approaches could vary, but utilization of online training and resource sharing could effectively distribute information to a wide audience.

Promotion of PLA Opportunities

Some information on PLA is typically made available on campus websites and in course catalogs, email, and brochures. Academic advisors may discuss PLA with students, typically in the freshman year or if a student transfers to the institution. Adult education staff can also be a critical point of contact in promoting and facilitating PLA to those students who may be interested in taking advantage of PLA opportunities. Because PLA involves many different institution staff, including adult learning educators, faculty, department chairs, and registrars, PLA is frequently viewed as being implemented on a decentralized basis. Many institutions noted that promotion of PLA opportunities for non-traditional students could be improved on their campus.

---

[19] *Recognition of Prior Learning.* The New South Wales Department of Education and Training. Web. July 6, 2010. <http://www.icvet.tafensw.edu.au/focus/recognition.htm>

Beyond the current general methods of communicating with students and prospective students about PLA, institutions could also consider targeting special student populations. For example, while the U.S. Latino population has more than doubled from 1980, the number of Latinos participating in college has only grown by 5 percent, which is less than the growth experienced by other ethnic groups over the same time period.[20] In a more recent study, CAEL noted that Latino students had the lowest participation rate in PLA when compared to other ethnic groups, suggesting an opportunity to target PLA to this segment of the higher education student population.[21]

Other groups that could be targeted include military veterans and students who have college credits but who are having difficulties completing their degrees. Promotion of PLA could be folded into ongoing efforts to communicate with these groups. For example:

- UW-Eau Claire developed a "You Served – We Care" theme to help highlight its outreach to veterans, which included providing a Veterans Center in a central and convenient campus location, incorporating a veterans' session into their Adult Student Welcome, and reactivating the campus Vet's Club.

- UW-Oshkosh's Center for New Learning advocates for adult students to participate on campus committees, as well as for services and initiatives that address student needs from recruitment to graduation. The campus also developed an Adult Non-Traditional Student Guidebook.

- UW-Oshkosh and UW-Whitewater have been active in recruiting and assisting students who started but did not complete an undergraduate degree. Approaches to assist these former students include a website, brochures and counseling; a campus-wide committee focused on adult students; specialized orientation and counseling; and establishment of an Adult Student Connection group, providing a forum and support for peers.

In addition, businesses and other organizations which may have adult learners receptive to completing a degree can also be targeted in order to form strategic relationships in the local community. Both UW-Platteville and UW-Stout have performed outreach to local businesses to attract working adults to their institution and to grow partnerships within the local community that they serve.

UW-Oshkosh has taken steps to improve promotion by employing a part-time staff member to work with students on promoting PLA opportunities. This staff member also works with faculty and students to facilitate the process of evaluating portfolios and other PLA options.

In order to increase the usage of PLA, UW institutions will need to increase their efforts at making students aware of the PLA opportunities they offer, as well as identify which student populations to target. ***We recommend that UW institutions that intend to increase PLA usage***

---

[20] Harvey, W.B. *Minorities in Higher Education 2002-2003: Twentieth Annual Status Report*. Washington, D.C.: American Council on Education, 2003.
[21] Klein-Collins, Rebecca. *Fueling the Race to Postsecondary Success: A 48 Institution Study of Prior Learning Assessment and Adult Student Outcomes*. Chicago: Council on Adult and Experiential Learning, 2010.

identify a student population that provides a good match with their institutional objectives and target their limited resources accordingly. This could include veterans, minority populations, adults working in local businesses, or other populations.

CONCLUSION

PLA can be used to meet various objectives, including reducing the time and cost for students to earn a degree, providing an incentive for non-traditional students to begin or finish a degree, and helping to meet institution enrollment goals. Although the use of PLA at UW institutions varies and is not consistently documented, UW institutions utilize three general methods of PLA: credit by examination, portfolio-based assessment, and other non-examination options. More than half of UW institutions allow some form of portfolio-based assessment, and UW Colleges is currently considering the use of portfolios as a model for assessing prior learning at its 13 campuses. However, faculty and student perceptions and potential accreditation issues will need to be considered before the use of portfolios can be expanded.

A number of administrative and programmatic challenges influence the successful implementation of PLA within the UW System. These include transferring PLA credits among institutions; documenting PLA credits on transcripts; funding implementation costs; training faculty on PLA methods and philosophy; and promoting PLA opportunities to non-traditional students. This review recommends that:

- *UW institutions document the awarding of credit by PLA method, and that a uniform process and format be developed by the UW System Office of Academic Affairs for collecting, recording, and reporting this data;*

- *UW institutions offering portfolio-based assessment consider offering a course for credit through which students can develop a portfolio, and that institutions collaborate to allow those courses that have already been created to be utilized by other UW institutions*;

- *UW institutions or departments ensure transparency regarding the academic and administrative criteria under which students may be awarded credit for prior learning when examinations or portfolios are not used;*

- *a standard method or practice of transcript notation for credit earned through PLA be developed and adopted on a system-wide basis to create consistency across the UW System and to help facilitate transfer of PLA-earned credits between institutions;*

- *the UW System Office of Academic Affairs develop a strategy to introduce PLA and encourage ongoing dialogue among faculty and the adult learning community; and*

- *UW institutions that intend to increase PLA usage identify a student population that provides a good match with their institutional objectives and target their limited resources accordingly.*

Appendix A

Percentage Non-Traditional* Enrollment by Institution
(Selected Years, 1998-2009)

Institution	1998	2000	2002	2004	2006	2008	2009**
UW-Eau Claire	12.0	10.0	10.6	10.8	10.0	10.5	10.1
UW-Green Bay	26.8	23.5	23.3	19.4	16.4	21.7	23.8
UW-La Crosse	12.0	11.1	13.2	11.3	10.8	9.1	9.9
UW-Madison	17.9	16.2	15.1	14.7	14.9	14.4	14.0
UW-Milwaukee	34.4	30.7	27.4	25.9	24.1	24.1	25.1
UW-Oshkosh	21.9	19.7	19.6	19.5	19.5	19.5	21.0
UW-Parkside	29.4	28.5	27.0	24.2	24.3	24.9	26.6
UW-Platteville	11.6	14.0	16.5	14.9	15.4	17.2	16.7
UW-River Falls	13.4	12.2	12.1	12.1	12.3	11.7	12.4
UW-Stevens Point	17.6	14.6	15.4	14.0	12.8	13.0	12.5
UW-Stout	18.1	15.0	17.0	15.9	16.1	17.9	19.4
UW-Superior	36.9	34.2	31.8	30.7	34.6	32.2	32.5
UW-Whitewater	16.6	15.8	15.4	15.4	14.2	13.3	13.8
UW Colleges	31.9	30.8	32.6	30.7	32.7	33.1	33.4
UW System Total	21.3	19.5	19.2	18.4	18.0	18.1	18.7

Source: *Investing in Wisconsin's Future: UW System's Accountability Report, 2009-10*

* UW System Office of Policy Analysis and Research definition of "non-traditional student" includes students at the graduate/professional level age 30 and older, undergraduate students age 25 and older at the doctoral and comprehensive universities, and undergraduates age 22 and older at the UW Colleges.

** 2010 data was not yet available at the time of this report.

Appendix B

Use of Prior Learning Assessment for Non-Traditional Students at UW System Institutions

All UW institutions offer the College Level Examination Program (CLEP) and evaluations of military transcripts and service. In addition, credit can be earned at the discretion of the academic department using various exam and non-exam methods. The following table describes only those PLA methods that are not common to all UW institutions. Furthermore, there may be PLA practices, such as informal assessment, used at certain departments within institutions that were not identified as part of this review and are therefore not reflected here.

Institution	Characteristics/Current Use Summary
Colleges	Degree-seeking students may earn advanced standing credit for specific UW Colleges courses. UW Colleges is currently considering the development of a standardized portfolio process.
Eau Claire	Students may take the DANTES Subject Standardized Tests (DSST). A maximum of one-fourth of the credits required for graduation in a degree program, and no more than one-half of the requirements for a major or minor, may be earned by any type of credit by exam.
Green Bay	Students may take the DSST. The Credit for Prior Learning (CPL) process requires prior learning to be related to courses or programs. Faculty members use the portfolio process and individual assessment to decide whether and how much credit a student should receive.
La Crosse	Students may take the DSST Exam.
Madison	Students may earn up to six credits for prior learning using military transcripts. The La Follette Institute, possibly among others, awards credit for relevant prior work experience.
Milwaukee	Credit for prior learning is limited to certain programs. The Prior Professional Educational Experience (PPEE) program offered through the School of Education allows students to earn credits for prior learning based on in-class writing assignments that are evaluated by departmental faculty. In some cases, credit may be earned by participating in certain types of volunteer service. Specifics vary on terms of assessment, fees, etc.
Oshkosh	Students may earn up to six credits for prior learning using military transcripts. UW-Oshkosh also awards credit through portfolio assessment.
Parkside	Students may take the DSST. The Credit for Experiential Learning (CEL) process requires that the learning be related to specific courses or areas of study at UW-Parkside, and that it be based on experience in employment, volunteer activities, workshop/seminar participation, and/or publications. Faculty members use the portfolio process to decide whether and how much credit a student should receive.
Platteville	Students may take the DSST. Students earning a Bachelor of Science in Business Administration may also earn credit for prior business-related work and life experience by enrolling in a portfolio development course.
River Falls	Portfolio development and individual course review are offered at the discretion of the department.
Stevens Point	The Experiential Learning Program requires that the learning be equivalent to that which would be gained through UW-Stevens Point course work. Faculty members use interviews, demonstrations, portfolio assessment, or other methods to decide whether and how much credit a student should receive. Students may earn a maximum of 32 credits through PLA.
Stout	Distance Education majors can earn up to 48 credits if they have a 40-credit technical component. These students are required to develop a portfolio.
Superior	Students may take the DSST or earn credit by presenting a portfolio.
Whitewater	Students may take the DSST.

Source: UW institutions and UW Extension summary of credit for prior learning programs found at
https://uwin.wisconsin.edu/applyingtocollege/creditpriorlearn.aspx

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.2. Business, Finance, and Audit Committee   Thursday, December 9, 2010
                                                      Beefeaters Room, 3rd Floor East
                                                      UW-Madison Memorial Union
                                                      Madison, Wisconsin

10:00 a.m.   All Regents – Main Lounge, 2nd Floor Central

   ● UW-Madison presentation by Chancellor Carolyn "Biddy" Martin: "*UW-Madison in China*"

   ● Report of the President of the Board
       a. Wisconsin Technical College System Board report
       b. Additional items that the President of the Board may report or present to the Board

   ● Report of the President of the System

   ● University of Wisconsin System *eCampus*

12:00   Lunch – Great Hall, 4th Floor Central

1:00 p.m.   Business, Finance, and Audit Committee – Beefeaters Room, 3rd Floor East

       a. UW-Madison Presentation: *"The Case for Flexibility: New Badger Partnership"*

       b. Competitive University Workforce: 2011-13 Unclassified Pay Plan Recommendations and Distribution Plan and Guidelines
               [Resolution I.2.b.]

       c. Operations Review and Audit: Quarterly Status Update

       d. Trust Funds
           1. Acceptance of New Bequests Over $50,000
                   [Resolution I.2.d.1.]
           2. Investment Policy Statement Review/Affirmation
                   [Resolution I.2.d.2.]

       e. Status Update on the Human Resource System

f. Committee Business
    1. Approval of the Minutes of the October 7, 2010 meeting of the Business, Finance, and Audit Committee
    2. Report on Quarterly Gifts, Grants, and Contracts (1st Quarter)
    3. UW System Tax Sheltered Annuity Program – Annual Program Participant Fee
        [Resolution I.2.f.3.]
    4. Authorization to Recruit a Limited Appointee at UW-Madison at a Salary above 75% of the UW System President's Salary
        [Resolution I.2.f.4.]

g. Report of the Senior Vice President
    1. Budget Update
    2. Update on Committee Priorities
    3. Changes to the Auxiliary Reporting Threshold

h. Other items which may be presented to the Committee with its approval

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.b.

Whereas, pursuant to s.230.12(3)(e) *Wis. Stats*., the Board of Regents is charged with the responsibility to recommend to the Director of the Office of State Employment Relations (OSER) a proposal for adjusting compensation and employee benefits for faculty, academic staff, and academic and administrative leaders (limited appointees) for the 2011-13 biennium, and,

Whereas, the UW System Board of Regents adopts the Competitive University Workforce Commission's recommendation for a UW System total compensation philosophy that the average salaries of faculty, academic staff, and academic and administrative leaders (limited appointees) should reach their respective peer median salary levels, while retaining/attaining competitive benefits, by no later than the end of the 2015-17 biennium, and

Whereas, since salaries represent approximately 73% of total compensation, peer salary analyses will be the principal determinant in setting the target compensation levels for faculty, academic staff, and academic and administrative leaders (limited appointees) in the System, and

Whereas, the Board of Regents requested in the 2011-13 budget: (1) the restoration of the rescinded pay plan which was to have been paid to unclassified staff in June of 2009, (2) additional recruitment and retention base funding, and (3) the base funding which was removed from the 2009-11 budget that resulted in mandatory furloughs for all staff, and

Whereas, in addition, the Board of Regents requested flexibilities in the 2011-13 budget that would provide additional funding and greater latitude in the use of base funds by Chancellors further the goal of closing the gaps between peer median salaries and our average salaries by no later than the end of the 2015-17 biennium, and

Whereas, the Consumer Price Index for All Urban Consumers (CPI-U) is projected to increase on average by 1.8% each year of the biennium, and

Whereas, average salary increases at peer institutions are estimated to increase on average by 2.0% each year of the biennium;

Now, therefore be it resolved;

That the Board of Regents supports the pay plan recommendation of the UW System President providing for a 2% increase each year of the 2011-13 biennium so that average salaries will not fall farther behind peer salaries for faculty, academic staff, and academic and administrative leaders (limited appointees). Whether or not there will be a compensation adjustment for faculty at UW-Eau Claire and UW-Superior, who have elected to be union represented and any other

unclassified bargaining unit electing to be union represented before a pay plan is approved by the Joint Committee on Employment Relations (JCOER), will be determined as the result of collective bargaining; and

Further, pursuant to 230.12(3)(e) *Wis. Stats.*, the Board directs the UW System President to transmit to the Director of the Office of State Employment Relations currently available information on unclassified salaries for UW System peer institutions and related economic indices, and the Board's request that the Director recommend to the JCOER a salary increase for each year of the biennium of 2.0% and the necessary related increase for unclassified salary ranges and salary minima; and

Further, to reiterate the Board of Regents 2011-13 budget requests for authorization to increase and redistribute resources to address competitive compensation gaps at each institution in the UW System. These include: (1) the authority to approve compensation levels and salary ranges for employees serving as Vice Presidents or comprehensive institution Provosts; (2) the ability to determine pay plan increases for faculty, academic staff, and academic and administrative leaders (limited appointees), while taking into consideration state funding and the availability of resources; (3) the ability to make base adjustments for salary increases associated with performance; and (4) to consider compensation needs within the UW System as part of the tuition authority provided under Section 36.27, Wis. Stats.; and

Further, the Board of Regents adopts the attached pay plan distribution guidelines for 2011-13.

2011-13 GENERAL DISTRIBUTION PAY PLAN GUIDELINES FOR UNCLASSIFIED STAFF

That upon the recommendation of the President of the University of Wisconsin System, the 2011-13 General Distribution Pay Plan Guidelines for unclassified staff [faculty, academic staff, and academic and administrative leaders (limited appointees)] be approved as follows;

(1)   Each chancellor is directed to proceed with faculty and academic staff salary evaluations using a suitable evaluation system to access meritorious performance and solid performance, the results of which can be converted to a salary, once the pay plan is known. The salary review should be conducted in accordance with the performance standards outlined in Recommendation #9 of the 1992 Report of the Governor's Commission on University of Wisconsin Compensation. A record of the evaluation judgments shall be made before July 1, as provided in s. 36.09 (1)(j), Wis. Stats.

(2)   The 2011-13 compensation adjustments for faculty, academic staff, and academic and administrative leaders (limited appointees) shall be distributed on the basis of merit and on the basis of solid performance. Chancellors are authorized to earmark up to 10 percent of the total pay plan each year for the chancellors' discretionary use to meet special compensation needs such as: faculty and/or academic staff internal pay problems; to reward faculty and academic staff innovative and/or collaborative program delivery, and/or exceptional performance in support of institution goals; and/or to correct gender pay inequities in the faculty and academic staff, and academic and administrative leaders (limited appointees.)

Assessment of meritorious performance and solid performance for faculty shall be based on a systematic performance evaluation program, which identifies positive contributions by the faculty member to teaching, research, public service and/or the support functions inherent in the institution's mission. Assessment of teaching faculty shall include consideration of student evaluations (Regent Policy Document 20-2, formerly 74-13, October 4, 1974).

Assessment of meritorious performance and solid performance for academic, limited and other unclassified staff shall be based on a systematic performance evaluation program which allows supervisory assessment of meritorious performance in their areas of assigned responsibility.

(3)   Market determinations for faculty, academic staff, limited and other unclassified staff are not to be considered in the distribution of pay plan funds.

(4)   Any and all compensation adjustments must be based on performance; across-the-board compensation adjustments not based on merit are prohibited. At a minimum, continuing staff who have performed at a satisfactory level shall be entitled to a compensation adjustment from funds set aside to recognize solid performance, except when an employment contract or administrative practice holds to the contrary.

(5)   Each institution will be required to submit its plans for distribution of the compensation adjustments to System Administration for approval before

implementation can be accomplished. System Administration is directed to return any institution's distribution plan not in compliance with the Board guidelines to the involved chancellor for corrective action by the appropriate governance body. Implementation of pay plan adjustments shall be deferred until a distribution plan meets the Board's guidelines.

(6) Unless otherwise specified by executive/legislative action, the effective dates for the payment of the 2011-13 pay plan rates will be July 1 each year for annual basis employees, the start of the academic year for those on academic year appointments, and other dates as set by the chancellors for persons with appointment periods commencing at times other than July 1 and the beginning of the academic year.

(7) The President is authorized each year to increase the systemwide faculty salary minima by up to the full amount of the pay plan and rounded to the nearest hundred dollars. For Category B research and instructional academic staff, the Board authorizes the continuation of the current policy linking titles to the faculty salary minima based on percentage relationships approved in the 1994 Gender and Race Equity Study. UW System salary ranges and salary minima will be established in accordance with the pay plan approved by the Joint Committee on Employment Relations.

(8) Base salaries shall not be less than the salary minima or pay range minimum. The salary increase shall not move the base salary above the UW System salary range maximum. Unclassified staff who are currently paid above the maximum shall be eligible for a salary increase of up to half of the amount by which the salary ranges have been adjusted.

(9) Salary adjustments for promotion in faculty rank shall, on an academic year basis, be no less than $1,500 for promotion to assistant professor, $1,750 for promotion to associate professor, and $2,000 for promotion to professor. Institutions may set policies on adjustments for promotions on an annual basis appointment, consistent with these minima.

(10) The pay plan funding allocation shall be distributed as soon as possible after final approval of the pay plan by executive/legislative action and after the distribution plan is approved by System Administration as being in compliance with these guidelines.

(11) Each institution shall complete its actions on stipend schedules for non-represented graduate assistants prior to July 1 and shall establish a factor for adjustments, which can be applied expeditiously to determine stipend increases. Stipend schedules for each graduate assistant category shall be separately established.

(12) If the Regent's meeting schedule does not afford an opportunity for timely action by the full Board on salary adjustments, the Board authorizes the Executive Committee of the Board, in consultation with the System President, to approve any discretionary salary adjustments effective for 2011-12. Appropriate information shall be provided to all members of the Board.

(13) Compensation actions related to the unclassified pay plan and delegated to the chancellors shall be completed in accordance with statutory requirements, legislative intent, Regent's policy, and shall be reported to System Administration to make possible the preparation of payrolls and reporting to the Board of Regents.

If changes are required to these guidelines as a result of either the Joint Committee on Employment Relations or legislation, the Executive Committee, in consultation with the System President, is authorized to act to modify the guidelines to be consistent with those actions.

2011-13 UNCLASSIFIED PAY PLAN RECOMMENDATIONS AND DISTRIBUTION PLAN AND GUIDELINES

EXECUTIVE SUMMARY

BACKGROUND

Funding for biennial pay plan awards for faculty, academic staff, and academic and administrative leaders (limited appointees) is budgeted along with salary increases for all classified state employees in the "compensation reserve" appropriation contained in the state biennial budget. In order to advise the Governor and the Legislature of the projected salary increases needed to competitively recruit and retain faculty, academic staff, and academic and administrative leaders (limited appointees), the Board of Regents is expected to make known its pay plan request in time for biennial budget deliberations. Moreover, pursuant to s. 230.12(3)(e) *Wis. Stats.,* the Board is required to convey faculty, academic staff, and academic and administrative leader (limited appointee) salary recommendations to the Director of the Office of State Employment Relations (OSER) so that the Director may make a pay plan recommendation to the Legislature's Joint Committee on Employment Relations (JCOER). JCOER possesses the final authority to approve pay plan recommendations except for those matters which require legislative action for implementation. The UW System President will transmit the Board's 2011-13 unclassified pay plan recommendation to the OSER Director immediately following Board action.

The UW System President, in February 2010, established and charged a Competitive University Workforce Commission (CUWC) to measure current compensation and benefit levels of System employees against their counterparts in institutions with which we most actively compete for talent, i.e., our peer institutions; and to make recommendations on how best to close any 2010 competitive gap in compensation and/or benefits, along with a timeline for doing so.

The general Mission of the University of Wisconsin System (UWS) is to provide education and services that make real the goals of the state regarding the personal growth of its students, economic development and job creation, enhancement of job opportunities, expanded citizen awareness of and participation in society, global awareness, and more.

The Growth Agenda for Wisconsin is a more specific, UWS priority-based blueprint for action. Its goals are more well-prepared college graduates, more well-paying jobs, and more vibrant, thriving communities across the state. The Agenda is based on a vision and related goals that focus on the priorities and needs of the state, and the role of the UW System in meeting them. The priorities emphasize increasing degree production; expanding basic and applied research, outreach, and entrepreneurship in support of economic development and job creation; and connecting to the needs of local communities. Success in achieving our Growth Agenda goals is dependent on securing ongoing funding support from state appropriations, student tuition, and extramural funding, as well as continuing improvements in cost efficiency in university operations.

High quality, diverse faculty, staff, and administrative leadership are essential to realization of both the UW System Mission and the Growth Agenda for Wisconsin. The recruitment and retention of a university workforce that can deliver on these goals is directly related to its compensation and benefits. Recruitment and retention of the most productive faculty and staff requires competitive levels of compensation and benefits.

Competitive compensation is informed by market comparisons with those regional and national university systems that value academic disciplines, programs, and services. Ultimately, the ability of a university or college to maximize the productivity of its faculty and staff requires a reasonable match between the quality of its programs and services with the compensation of those who create and deliver them.

REQUESTED ACTION

Approval of Resolution I.2.b.

The resolution directs the UW System President to transmit to the Director of the Office of State Employment Relations (OSER) the Board of Regents recommendations regarding unclassified compensation and employee benefits that require action by the Joint Committee on Employment Relations. The resolution also provides a general compensation distribution plan and guidelines for the UW System institutions.

DISCUSSION AND RECOMMENDATIONS

The System President has received the advice and counsel of the Competitive University Workforce Commission (CUWC) (see http://www.uwsa.edu/bor/agenda/2010/june.pdf, page 364, for the final report); the systemwide Compensation Advisory Committee (CAC), composed of faculty and academic staff representatives of each institution; and the nine-member Fringe Benefits Advisory Committee (FBAC). The CUWC and CAC reviewed salary data from established peer groups and national reports on faculty, academic staff, and academic and administrative leader (limited appointees) salaries. Projections of several economic indicators obtained from the U.S. Bureau of Labor Statistics, Wisconsin Economic Outlook, and the Wisconsin Department of Revenue were also considered. The FBAC reviewed information concerning the number and availability of group health insurance plans to university faculty and staff and their families, the competitive impact of employee premium cost sharing, and peer institution employee retirement benefits and employee and family tuition remission provisions.

The CUWC found that the current compensation system and the level of compensation for UW System faculty, academic staff, and academic and administrative leaders (limited appointees) are not adequate and that a number of deficiencies exist.

- Average salaries for professors are 9.3%, 28.7%, and 20% behind peer median salaries at UW-Madison, UW-Milwaukee, and the UW Comprehensive institutions, respectively. For associate professors, the average salary at UW-Madison exceeds the median peer salaries, while average salaries are 20.9% and 17.4% behind the median peer salaries for UW-Milwaukee and the UW Comprehensive institutions, respectively. At UW-Madison, assistant professors' average salary exceeds the peer median, while at UW-Milwaukee the average salary is 13.4% behind the peer median, and 10.6% behind the peer median at the

UW Comprehensive institutions. (*See Attachment B1-B4 of CUWC Final Report**)

- Among academic staff/limited appointees average salaries are 4.5%, 3%, and 14.1% behind peer median salaries at UW-Madison, UW-Milwaukee, and the UW Comprehensive institutions, respectively (*See Attachment C of CUWC Final Report**)
- Average salary for lecturers in the UW System is 23.7% behind peers. For researchers, average salaries are 12.2% behind comparable positions, and for scientists, average salaries are about on par with market comparisons. (*See Attachment D of CUWC Final Report**)
- Average salaries respectively for Chancellors and Provosts are 4.1% and 20.9% behind peer medians at UW-Madison, 13.9% and 18% behind peer medians at UW-Milwaukee, and 22.9% and 13.3% behind peer medians at the UW Comprehensive institutions. (*See Attachment E4-E9 of CUWC Final Report**)

If not remedied in a timely fashion, the Commission believes that these deficiencies could have a damaging effect on the UW System, the UW System's ability to achieve the goals of its *Growth Agenda for Wisconsin*, and on the quality of life in Wisconsin.

The UW System is ultimately a people business, and its success will be determined to a large extent by the quality of the human capital it attracts, employs, and retains.

The CUWC offers the following comments on the findings:
1. Wisconsin has the least position and compensation control among Big Ten institutions (*See Attachment F of CUWC Final Report**). Unlike other Big Ten institutions, UW-Madison and other UW institutions:
   - Must report all positions to the state and count them as state employees (only three other Big Ten institutions must do this);
   - Have the compensation of faculty and academic staff tied to other state employees (only true in Wisconsin);
   - Are not allowed to keep all interest earnings on tuition (only true in Wisconsin); and
   - Have statutory limits on tuition increases (only true in Wisconsin).

2. UW institutions are not allowed to use performance as a reason for adjusting salaries with anything other than state-approved pay plan resources. Base budget resources may not be used for merit pay increases.

   Per 36.09(1)(j) Wisconsin Statutes, the Board of Regents can only utilize the following reasons to authorize the use of base resources to adjust salaries:
   - Correction of salary inequities;
   - Funding job reclassifications;

   - Funding promotions;
   - Recognizing competitive factors.

3. The Board of Regents does not have the authority to adjust UW System salary ranges except as authorized by OSER, per an Opinion of the Wisconsin Attorney General.

4. The Board of Regents is not authorized to increase tuition revenues to address compensation needs. Per 36.27(1)(am)(2), the Board may not increase resident

undergraduate tuition for compensation beyond an amount sufficient to cover the approved recommendations of the Joint Committee on Employment Relations.

5. The Board of Regents has limited authority with regard to purchasing, capital project planning and expenditure, and management of other areas like utilities, telecommunications, and fringe benefits. More authority in these areas could result in increased available resources funding to offset market salary inequities.

Pay Plan Needed to Prevent Further Erosion of Average Salaries Relative to Peer Group Medians
Preliminary estimates suggested that faculty, academic staff, and academic and administrative leaders (limited appointees) at peer institutions would see pay increases on average during 2011-13 of 2.0% each year of the biennium.

Adjust Unclassified Staff Salary Ranges and Salary Minima by the Total Salary Increase Plan
The unclassified compensation plan submitted by OSER to JCOER contains the authority to adjust UW System salary ranges. Since the unclassified staff title and salary range structure was established in 1986, the Board has recommended that the salary ranges and salary minima be increased by at least the full amount of any pay plan.

Distribution Guidelines
Pay plan distribution guidelines are used by the UW System President when directing chancellors to begin faculty, academic staff, and academic and administrative leaders (limited appointees) performance evaluations, so that the results of those evaluations may be converted to compensation awards consistent with the Board of Regents' criteria for pay plan increases. Chancellors and faculty and academic staff governance bodies use the guidelines to develop merit pay distribution plans for their institution. Their distribution plans are designed to allow performance results to be converted to compensation adjustments irrespective of the specific amount of the pay plan.

RELATED REGENT POLICIES/RESOLUTIONS/REPORTS

Regent Policy 6-5 Executive Salary Structure
Regent Resolution 9802 - 2011-13 UW System GPR/Fee Biennial Operating Budget
Competitive University Workforce Commission Final Report June 2010

*Available at http://www.uwsa.edu/bor/agenda/2010/june.pdf, page 364.

OFFICE OF OPERATIONS REVIEW AND AUDIT
QUARTERLY STATUS UPDATE

BACKGROUND

This report is presented to the Board of Regents Business, Finance, and Audit Committee to provide: (1) a status report on the major projects the UW System Office of Operations Review and Audit is conducting, and (2) an update on Legislative Audit Bureau projects in the UW System.

REQUESTED ACTION

For information only.

MAJOR OFFICE OF OPERATIONS REVIEW AND AUDIT PROJECTS

(1) <u>Student Evaluation of Instruction</u> will provide information about how UW institutions implement student evaluation of instruction and the successes and challenges UW institutions have experienced in implementing Regent Policy Document 20-2, which addresses this topic. A report is included with the Education Committee materials for December.

(2) <u>Credit for Prior Learning</u> will determine the frequency with which students currently receive credit for prior learning, institution staff roles and program oversight, prior learning assessment methods and management practices, and possible policy considerations. A report is included with the Education Committee materials for December.

(3) <u>Student Assistance Funds</u> will determine the extent to which crisis or emergency loan funds have been created, the source of such funds, the number of students receiving such funds, and how institutions administer them. A report is being drafted.

(4) <u>Service Learning</u> will review significant risks, potential liabilities, and mitigating actions involved in internships and other programs that integrate community service with academic study. Review work has begun.

(5) <u>Family Educational Rights and Privacy Act (FERPA) Implementation</u> will assess administrative structures for FERPA implementation and compliance; FERPA policies and procedures; training that is offered; and practices in such areas as the release of information, directory information, and record access. Review work has begun.

(6) <u>Higher Education Location Program (HELP)</u> will determine how the program's services, including systemwide student advising and provision of academic information, are accessed by students, parents, and high school counselors and how HELP has incorporated statewide and national programs, such as the Wisconsin Covenant, into its programming. Background research has been conducted, and review work will likely begin later this month.

(7) <u>NCAA Division III Athletic Departments</u> will include an analysis of Division III UW institutions' fiscal controls and compliance with state and NCAA regulations. This is a multi-year project, with several institutions reviewed each year until all are completed.

(8) <u>Enterprise Risk Management (ERM) Pilot Project</u> is an effort to identify institutional risks, including financial, strategic, and operational; validate and rank those risks; and develop mitigation plans for selected risks. The project will continue to support three UW institutions that have already implemented ERM, while initiating the ERM process at a fourth institution later this month. The ERM Project is coordinated by a UW System Administration team of Academic Affairs, Administrative Services, General Counsel, and Operations Review and Audit staff.

LEGISLATIVE AUDIT BUREAU PROJECTS

The Legislative Audit Bureau is working on: (1) the UW System's annual financial report for fiscal year 2009-10, which will be completed in December 2010, (2) the WHA Radio and Television annual financial reports for fiscal year 2009-10, which will be completed in January 2011 and are completed to comply with requirements of the Corporation for Public Broadcasting, and (3) the annual compliance audit of federal grants and expenditures, including student financial aid, for FY 2009-10, with a report due in spring 2011.

The Audit Bureau is also conducting statewide reviews of the use of overtime in state agencies and the implementation of 2005 Wisconsin Act 410, which requires state agencies to report purchasing information to the State's Government Accountability Board.

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.d.1.

That, upon the recommendation of the President of the University of Wisconsin System and the Chancellors of the benefiting University of Wisconsin institutions, the bequests detailed on the attached list be accepted for the purposes designated by the donors, or where unrestricted by the donors, by the benefiting institution, and that the Trust Officer or Assistant Trust Officers be authorized to sign receipts and do all things necessary to effect the transfers for the benefit of the University of Wisconsin System.

Let it be herewith further resolved, that the President and Board of Regents of the University of Wisconsin System, the Chancellors of the benefiting University of Wisconsin institutions, and the Deans and Chairs of the benefiting Colleges and Departments, express their sincere thanks and appreciation to the donors and their families for their generosity and their devotion to the values and ideals represented by the University of Wisconsin System. These gifts will be used to sustain and further the quality and scholarship of the University and its students.

UW SYSTEM TRUST FUNDS
ACCEPTANCE OF NEW BEQUESTS OVER $50,000

EXECUTIVE SUMMARY

BACKGROUND

Regent policy provides that individual bequests of $50,000 or more will be brought to the Business, Finance, and Audit Committee so that they can, via resolution, be formally accepted and recognized by the President, Board, and appropriate Chancellor if to a specific campus. The resolution of acceptance, recognition, and appreciation will then be conveyed, where possible, to the donor, the donor's family, and other interested parties.

REQUESTED ACTION

Approval of Resolution I.2.d.1., accepting and recognizing new bequests of $50,000 or more.

DISCUSSION

Details of new bequests of $50,000 or more that have been or will be received by UW System Trust Funds on behalf of the Board of Regents are given in the attachment to the resolution.

RELATED REGENT POLICIES

Resolution 8559, June 7, 2002 - Process for Presenting and Reporting Bequests

1. Eberly Revocable Trust

The Eberly Revocable Trust, the original settlors of which were Dale E. Eberly and Natalie B. Eberly, states the following under ARTICLE FOUR, 4.05, 1:

> "FIFTY Thousand Dollars ($50,000) to the University of Wisconsin, if then in existence, and if not, this gift shall lapse."

According to Susan Eberly, the donors' daughter and the co-trustee of the Eberly Trust, both of her parents attended UW-Madison. She did not know of any special area of interest of her parents, in regards to the use of this unrestricted gift, and she suggested that it be used in a way the University deems most appropriate.

Per direction from Chancellor Martin, this $50,000 bequest has been deposited to the "Madison Campus General Scholarship Fund." This Fund is a designated endowment which provides undergraduate scholarships.

2. John A. Gerda Estate

The Will of John A. Gerda states the following under the Third Article, paragraph 3.1.5.:

> "One share to the University of Wisconsin Medical School in Madison, Wisconsin, for its general scholarship fund in memory of Drs. Schmidt, Hickey, Gale, Curreri, Lemmer, Young and Jaeschke."

John A. Gerda, M.D., died at the age of 86 in Stratford, Connecticut in October, 2009. His obituary in the Connecticut Post provides this biographical information about Dr. Gerda: "He was a retired physician for the U.S. Food and Drug Administration. He … attended M.I.T., Boston University, where he received his master's degree, and Cornell University Medical College, where he received his medical degree in 1957. Dr. Gerda served as a surgical intern at George Washington University Hospital.... He was in general practice in Newtown [Connecticut] from 1960 to 1962…, [and]… later moved to Washington D.C. where he served as a staff surgeon at St. Elizabeth's Hospital…. He also served as the surgical program director for the National Cancer Institute."

Approximately $172,000 has been received to date, and a smaller final distribution is expected soon. These funds will be deposited to the "Medical School Scholarship Fund," an existing multiple-donor fund which provides scholarships at the direction of the Dean or his/her designees.

3. Theodore A. George and Lillian C. George Trust and Estate

The governing document states the following under subparagraph 4.3.a of Article Four:

> "Distribution to UNIVERSITY OF WISCONSIN. The trustee shall distribute one-half (1/2) thereof, or all thereof if the disposition under the following subparagraph 4.3.b should fail in its entirety for any reason, to THE UNIVERSITY OF WISCONSIN at La Crosse, Wisconsin, to be used and applied for the benefit of the university as the Board of Directors, in its sole discretion, decides."

It was Lillian Clark George who had a direct connection to the University of Wisconsin-La Crosse. Lillian died at the age of 90 in 2003 in Napa, California, and her obituary in the Napa News states: "Lillian was born in Wisconsin and was educated to be a teacher but enlisted in the WAC [Women's Army Corps] during World War II. She was selected out of basic training and assigned immediately to Army Intelligence at the Pentagon, and remained in that occupation as a civilian for many years after the war." Lillian's husband, Theodore, also had a very interesting background. Theodore died at the age of 83 in 2010, and his obituary in the Napa Valley Register provided the following biographical information: "Dr. George received his bachelor's degree in mechanical engineering from the Catholic University of America in Washington, D.C., worked seven years for an engineering firm, then returned to George Washington University, where he earned his master's in math and a doctorate in aeronautical engineering. Thereafter, he remained almost exclusively in government employ, serving as director of Project Discoverer in the space program, and later as scientific and technical adviser to the Strategic Arms Limitation Talks (SALT) in Geneva and Russia."

Approximately $1.7 million has been received to date from these donors. Chancellor Gow is now working with his leadership team to determine specific directions for the fund which is being created with this generous bequest.

4. **Alan R. Propst Estate**

The Will of Alan R. Propst states the following under the SECOND article 1 and 16:

> "I specifically give, devise, and bequeath the following specific bequests:
>
> 1.   Twenty-Five Thousand Dollars ($25,000) to the McArdle Laboratory for Cancer Research, University of Wisconsin, Madison, Wisconsin….
>
> 16.   Twenty-Five Thousand Dollars ($25,000) to the Board of Regents of the University of Wisconsin System for Scholarships according to the following parameters:
>
> > … for one scholarship for a full-time nursing student who has graduated from any Dodge County, Wisconsin, high school, which recipient must be entering the field of nursing or, if none qualify, another health care field, have excellent attendance during high school, must have done volunteer work in the health care field, for instance as a hospital volunteer, working with or aiding the elderly, or working with an infant program. It is the intent that preference for this scholarship should be given to students exhibiting financial need. The principal of this Trust shall remain intact [sic], and only the interest shall go, on a yearly basis, to the scholarship recipient. Only one such scholarship shall be given each year, with the previously [sic] year's recipient being eligible for the subsequent year's scholarship so long as he or she continues to meet the eligibility criteria and maintains a grade point average in excess of 3.0. Said recipient, in order to be eligible, must be enrolled as a full-time student in any of the University [of] Wisconsin System Schools for nursing or, if not a nurse, a program of study in another health care field.*
>
> > * No recipient shall receive this scholarship for more than 4 years."

17.   The remainder of my estate is to go to the following charities in these percentages:

    1.   Fifty (50%) percent to the McArdle Laboratory for Cancer Research, University of Wisconsin, Madison, Wisconsin;"

Alan R. Propst of Reeseville, Wisconsin died in August, 2006. The following is excerpted from Alan's obituary in the Beaver Dam Daily Citizen: "Alan was born on Aug. 26, 1952, in Beaver Dam, to Oliver and Mildred (Schwandt) Propst. Alan graduated from Beaver Dam High School in 1970 and went on to work for Chrysler Marine in Beaver Dam for nine years. In 1979, he began working for John Deere Worldwide Commercial and Consumer Equipment Division in Horicon as a quality control special investigator. He served as a union steward for I.A.M. Local 873 Machinist Union since 1997, as well as serving on the Environmental Committee and the Quality Team for John Deere. He was a member of A Brotherhood Against Totalitarian Enactments (A.B.A.T.E.) since 1979. Al was a life member of Harley Owners Group (H.O.G.) since 1986, a member of The Waterloo Trail Twisters Snowmobile Club and a member of the Pumpkin Center Sportsman Club. Al was also a member of Trinity Church United Methodist in Beaver Dam. His love of Harley motorcycles and freedom of the open road took him on many long distance rides that sometimes lasted for several months, returning with stories to tell all, which believe it or not were all true. Al also enjoyed working in his yard and being with family and friends…. Because Al was always sad to see young people suffer with serious illness and disabilities, we ask in lieu of flowers, donations may be directed to the Shriners Hospitals for Children Chicago Unit which helped his niece Krystle, the Leukemia Society in memory of his sister Janet or to the University of Wisconsin-Madison Cancer Research or any other cancer cause."

The specific bequests totaling $50,000 have been received, and the portion of the estate residue, if any, directed to the McArdle Laboratory is expected at a later time. Amounts already received and those expected for the McArdle Laboratory will be deposited to the "McArdle Cancer Research Fund," an existing designated-endowment fund. The specifics regarding the disposition of the bequest for nursing scholarships have not yet been determined.

5. The Bernard Osher Foundation

The Bernhard Osher Foundation has awarded a gift/grant to UW-Milwaukee in the amount of $1 million. The formalized "endowment agreement" stipulates the following:

> "*Initial Purpose.*   The Gift shall be used for the sole and exclusive purpose of establishing a Fund-Functioning-as-an-Endowment that is to be used to support and grow the Osher Lifelong Learning Institute program ('OLLI'), a non-credit educational program specifically designed for people who are 50 years of age or older, and shall be known as the 'Osher Lifelong Learning Endowment' (the 'Osher Endowment')."

This $1 million gift has been used to establish the "Osher Lifelong Learning Endowment" for the benefit of UW-Milwaukee.

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.d.2.

That, upon recommendation of the President of the University of Wisconsin System, the Board of Regents approves the recommended revisions to, and otherwise reaffirms its adoption of, the *Investment Policy Statement* for the University of Wisconsin System Trust Funds.

UW SYSTEM TRUST FUNDS
INVESTMENT POLICY STATEMENT

EXECUTIVE SUMMARY

BACKGROUND

The current version of Regent Policy 31-9, the *Investment Policy Statement* ("IPS") for the UW System Trust Funds, was approved by the Board at its meeting of December 11, 2009. The preface of that document states the following under the section entitled *Review of the IPS*: "Given the centrality of the IPS itself in ensuring that the Board meets its fiduciary responsibilities and effectively oversees the management of the investment program, it is imperative that the Board review the IPS on an on-going basis. Although long-range and strategic in nature, the IPS should nevertheless be considered a living document; revisions and further refinements may be required as and when goals, constraints, or external market conditions change significantly."

Two key elements of the IPS are the strategic asset allocation targets for both the Long Term and Intermediate Term Funds, and the spending policy for the Long Term Fund (the Fund used for endowments). Historically, separate asset allocation analyses and spending policy reviews for the Long Term Fund were presented to the Board annually. As these elements have now been incorporated into the IPS, an annual review of the IPS in its entirety will provide for the periodic review of asset allocations and spending policy.

REQUESTED ACTION

Approval of Resolution I.2.d.2.

DISCUSSION

No substantive revisions to the IPS are being recommended at this time. The only revisions made to the document are updates to the current market values of the Funds.

It is anticipated that an in-depth asset allocation analysis and review will be conducted sometime during the first half of 2011. The results of this analysis and review may require revisions to the Funds' asset allocation targets and ranges, which constitute a vital element of the IPS.

RELATED REGENT POLICIES

Regent Policy 31-9: *Investment Policy Statement*
Regent Policy 31-13: *Investment and Social Responsibility*

Reporting Period: October 1-31, 2010

Project Progress on Major Deliverables:

HRS		
Key Area (See Appendix 1 for description)	**Accomplishments for October 2010**	**Status**
Business Process and Application Configuration	• Completed Iteration 1 of Integration Testing for the external to HRS applications (SFS, Budget, JEMS). • Completed Iteration 2 Smoke Test to validate the environment prior to commencement of testing. • Support and issue resolution for remaining System Test scripts that have been transitioned to Regression Test to further test functionality of system. • Continued developing test scenarios and test data seeding in preparation for Integration Testing. • Continued development of inventory for user procedures by functional team. • Continued collaborating with the Reporting, Data Collection/Conversion, Training, and Security teams in the development of their deliverables. • Continued support of development of ongoing modifications and test faults with Development Team. • In collaboration with the Data Conversion team began validation of converted data. • Completed planning for November Road Shows in Eau Claire and Oshkosh. Ongoing preparations are underway. • Collaborated with the Cutover Planning team to draft the scope and approach for Cutover Planning.	Slightly Behind (see challenges)
Technical Development	• Continued the development of modifications that are targeted for completion in October. • Supported the Regression Test and Integration Test processes through resolution of test faults • Mock 3 data conversion scorecard completed and sent out for review. • Data cleanup and collection met targets set for this period. • Mock 4 data conversion completed. • Mock 5 data conversion environment built and	Slightly Behind (see challenges)

	turned over to data conversion team. • Data conversion team continues to resolve conversion issues and address test faults discovered through Integration Testing. • Completed the migration of the Ascential DataStage (which is used for extracting, transforming and loading data between HCM and EPM) environment from Windows to Unix to provide more stability of operations. • Continued development and unit testing of the Enterprise Performance Management (EPM or data warehouse) data views and reports. • Conducted regional meetings with the Reporting Task Group members of each campus to review the status of EPM, Data Dictionary and reports. • Continued resolution of test faults discovered in Integration Testing of Release 1 reports. • Completed planning for November Road Shows in Eau Claire and Oshkosh. Ongoing preparations are underway including reporting writing workshops. • Managed and updated the consolidated plan for external applications / related projects to ensure alignment with HRS Project Plan. • Continued collection and analysis of campus requirements for identified supplemental systems.	
Technical Infrastructure	• Continue the build of data-level security profiles for roles that are common across the campuses. • Completed the draft of the EPM Oracle Accounts & Security Role Approach Change document. These documents form the basis for how access to data will be granted and governed. • Completed the build and test of row level security. • Continued the development and refinement of the batch schedule. • Continued support of team through Integration Test. • Presented an update on EndPoint Security to the CIO Council. • Environments for HRS have been created and refreshed, as required. • Continued troubleshooting and analysis of issues related to performance in the various environments. • Continued working with the interdependent project teams to confirm key deliverable milestones and	On Schedule

	plans and validate alignment with HRS key dates.	
Change Management	• October campus deliverables scorecard completed and posted to the Intranet. Updated future campus deliverables and communicated requirements to the campuses. • Continued the collection of campus readiness measurements. • Completed the analysis documents for all training courses in scope for Release 1. • Transitioned a team member from the HR team to take over the leadership of the Work Process Analysis team. • Completed planning for November Road Shows in Eau Claire and Oshkosh. Ongoing preparations are underway. • Completed development of training course catalog delivery schedule. • Continued design and development of the training courses. • Continued updates to the Intranet and Internet content and design. Continued the HRS Project story, incorporating input from selected teams on a rotating basis. • Completed the initial release of the communication toolkit which can be used by campuses in their communication of the HRS Project. Toolkit allows for customization and is tailored with logos for each campus.	On Schedule
Testing	• Continued regression testing of several complex modifications. • Completed Iteration 1 of Integration Testing for the external to HRS applications (SFS, Budget, JEMS). • Completed Iteration 2 Smoke Test to validate the environment prior to commencement of testing. • Continued Iteration 2 of Integration Testing. • Continued the development of automation test scripts (which can be run without human intervention) for use in regression testing. • Revised the start date for User Acceptance Testing (UAT) after receiving feedback from campuses regarding challenges with testing in the month of December. UAT is targeted to start in January 2011. • Communicated to the campuses the requirements for the test population required for Payroll	Slightly Behind (see challenges)

	Reconciliation testing. Representative samples from all campuses will be used to achieve target of approximately 2,000 employees for this phase of testing. • Continued development of scripts for Performance Testing.	
Project Management and Administration	• Worked with the HRS Project teams throughout Integration Testing to ensure focus on quality, goals and integrity of processes was maintained. • Analyzed the budget and progress to date and made adjustments to ensure focus remains on schedule, cost, and quality of deliverables.	On schedule

Shared Financial System (SFS) Interface		
Key Area (See Appendix 1 for Description)	Accomplishments for October 2010	Status
Business Process and Application Configuration	• Completed all planned configuration items as scheduled. Team will continue to monitor Integration Test phase results, and if new requirements are identified, the business process and/or application configuration will be changed accordingly.	On Schedule
Technical Development	• Continued development associated with modifications that were deferred from prior months and modifications that are categorized as scope deviations (see below for additional details). • Continued break-fix development associated with issues that have been identified during the first two iterations of Integration Testing.	Slightly Behind
Technical Infrastructure	• Finalized a draft version of the HRS-SFS batch process schedule and began manual execution of these processes during Integration Testing. • Continued to refine the SFS cut-over checklist by incorporating feedback received during initial discussions with HRS and breakout sessions with key SFS team members.	On Schedule

Shared Financial System (SFS) Interface		
Key Area (See Appendix 1 for Description)	**Accomplishments for October 2010**	**Status**
Change Management	• Initiated creation of a readiness assessment that will be used to gauge whether or not SFS and the end user community at the central office and campus level are prepared to go-live. • Initiated conversations with the HRS Change Management Team to determine how we should approach communications that impact both site leader groups. • Completed analysis of existing training material that is available via the SFS Financial Administration website. • Continued creation of new training material. • Continued to communicate and monitor campus scorecard progress by conducting monthly SFS Site Leaders meetings.	On Schedule
Testing	• Completed execution of Integration Test iteration 1 scenarios and facilitation of daily status meetings. • Completed Integration Test iteration 2 environment smoke test. • Initiated execution of Integration Test iteration 2 scenarios and facilitation of daily status meetings. • Continued planning for remaining Integration Test iterations 3 & 4. • Continued planning for UAT, Performance, and Payroll Reconciliation test phases.	On Schedule
Project Management	• Continued to monitor, report progress, and provide guidance to the SFS resources that are responsible for Technical Development, Testing, and Change Management. • Continued to provide guidance in order to build the appropriate Integration Test database environments and align the creation of the Performance, Payroll Reconciliation, and UAT environments with the test phase start date.	On Schedule

Challenges Encountered and Remedies to Address

- HRS
    - The HRS Business Process and Technical Development areas are tracking slightly behind schedule. Responding to test faults from the System Test Phase (the testing of each module) and the outstanding development tasks are contributors to the slightly behind status. Work continues to be reviewed and prioritized to ensure that the most critical processes are the top priority.

    - The Testing effort of the project is tracking slightly behind schedule and will likely remain that way through the end of the calendar year. The criteria to exit System Test were achieved on schedule; however, a higher degree of confidence in testing business process functionality was required. HRS project governance extended the regression testing of test faults found during System Test with the recognition that the extension will impact the overall testing schedule.

- SFS Interface
    - The SFS Interface Project continues to make progress toward completion of outstanding development tasks. Due to outstanding decisions and the complexity of the issues, the development effort associated with 1042S (International Tax) and W2 processing will continue throughout integration testing.

Project Expenditures & Projected Fiscal Year End Variance (as of October 31, 2010):

	FY11 Planned	FY11 Costs			FY11 Projected Variances
	BOR FY11 Planned (Jul 10 - Jun 11)	Actual Cost (Jul 10 - Oct 10)	Remaining Cost (Nov 10 - Jun 11)	Estimated Cost at Completion (Jul 10 - Jun 11)	Projected Variance for BOR FY11 Planned at June 30, 2011
HRS Project: Key Areas					
Business Process and Application	$ 2,637,701	$ 228,941	$ 2,109,668	$ 2,338,609	$ 299,092
Technical Development	$ 10,492,199	$ 5,265,266	$ 6,231,427	$ 11,496,692	$ (1,004,493)
Technical Infrastructure	$ 3,487,448	$ 1,295,420	$ 2,173,229	$ 3,468,649	$ 18,799
Change Management	$ 1,723,611	$ 490,907	$ 1,052,024	$ 1,542,930	$ 180,681
Testing	$ 4,566,634	$ 3,292,431	$ 2,539,192	$ 5,831,623	$ (1,264,989)
Project Management and Administration	$ 3,522,094	$ 963,730	$ 1,888,869	$ 2,852,600	$ 669,494
Non-Labor Costs	$ 1,570,759	$ 447,062	$ 1,266,321	$ 1,713,383	$ (142,624)
Sub-Total	$ 28,000,446	$ 11,983,757	$ 17,260,730	$ 29,244,487	$ (1,244,041)
Contingency	4,056,144				$ 4,056,144
Total HRS Project	**$ 32,056,590**	**$ 11,983,757**	**$ 17,260,730**	**$ 29,244,487**	**$ 2,812,103**
SFS Interface	$ 3,289,545	$ 1,197,558	$ 2,374,486	$ 3,572,044	$ (282,499)
Contingency	$ 1,089,956				$ 1,089,956
Total SFS Interface	**$ 4,379,500.96**	**$ 1,197,558**	**$ 2,374,486**	**$ 3,572,044**	**$ 807,457**
Total HRS and SFS Interface	**$ 36,436,091**	**$ 13,181,315**	**$ 19,635,216**	**$ 32,816,531**	**$ 3,619,560**

Notes on FY11 HRS Project Variance:

Business Process and Application Configuration

- Spent less time on configuration management than expected due to fewer test faults in configuration. Note that more time was spent on testing during this time frame than originally planned.

Technical Development

- Retained additional development staff (7 FTEs) on the team in anticipation of break/fix and development workload. Plan to transition off in future months.
- Spent additional time on system test break fix than originally planned largely due to extended timeframe.

Technical Infrastructure

- Transitioning migration coordinator and technical lead consultant earlier than planned.
- Reduced DBA and system engineers' estimated remaining budget due to over estimation of effort this fiscal year.

Change Management

- Transitioned change management consulting lead earlier than planned.

Testing

- System test preparation activities carried over from prior fiscal year into FY 2011.
- Spent additional effort creating and modifying test scripts for regression, system and integration testing.
- Extended duration of System Test into October.

Project Management and Administration

- Spent more time on development and testing tasks and less time on administrative tasks.

Non-Labor Costs

- Purchased additional testing software licenses and continue leasing project team space at 660 and 780 Regent Street.

SFS Interface

- Fewer business process and configuration changes were required than originally anticipated.
- Decreased the original volume of system testing scenarios and encountered less defects than originally planned.

Planned Activities – November 2010

- Continue Integration Test
- Begin Payroll Reconciliation Test
- Begin preparations for User Acceptance Test
- Continue development of performance and parallel test scenarios, scripts and data
- Complete regional project updates in Oshkosh and Eau Claire
- Continue developing training requirements documents
- Continue creating end user training content
- Continue updating Internet/Intranet content
- Continue working on development and unit testing for reports and data views for Release 4-6
- Continue to build and unit test of outstanding development items
- Continue working on talent acquisition management functional and technical detailed designs
- Continue documenting the configuration approach for talent acquisition management
- Continue development of batch schedule
- Continue to analyze query security requirements
- Execute fourth mock data conversions

Planned Activities – December 2010 and January 2011

- Complete Integration Test
- Continue Payroll Reconciliation Test
- Continue preparations for User Acceptance Test
- Begin User Acceptance Test (January 2011)
- Complete development of performance and parallel test scenarios, scripts, and data
- Conduct funding demonstration for UW-Milwaukee
- Continue developing training requirements documents
- Continue creating end user training content
- Continue updating Internet/Intranet content
- Continue working on development and unit testing for reports and data views for Release 4-6
- Continue to build and unit test of outstanding development items
- Continue working on talent acquisition management functional and technical detailed designs
- Continue documenting the configuration approach for talent acquisition management
- Continue development of batch schedule
- Continue to analyze query security requirements
- Execute fifth and sixth mock data conversions

Appendix 1: High-Level Description of Key Areas:

Key Area:	Project activities in key areas:
Business Process and Application Configuration	Update the PeopleSoft configuration and business process documentation to reflect changes as a result of testing. Develop and deploy user procedures based upon the future state business processes. Practice cutover activities to validate sequence of steps and timeframe needed to complete the transition to PeopleSoft. Deploy the PeopleSoft functionality and provide initial end user support during the transition to production.
Technical Development	Resolve issues with modifications, interfaces and reports noted during each testing cycle. Execute multiple mock conversions and validate the completeness and accuracy of converted data. Migrate tested and operational modifications, interfaces, and reports to production and perform final data conversion during the transition to production.
Technical Infrastructure	Configure and test PeopleSoft end-user security. Procure and build the testing and production hardware and infrastructure. Setup and test the batch schedule. Test and deploy the secure connections to external applications.
Change Management	Communicate project progress and inform end users of the benefits and impacts associated with the implementation of PeopleSoft. Develop and deliver end user training. Assist the campuses and the service center to revise work processes and responsibilities based upon the new PeopleSoft-enabled business processes. Help campuses, service center, and support organizations prepare for the transition to PeopleSoft.
Testing	Prepare for and conduct system, integration, performance, pay check reconciliation, shared financial systems and budget interface post confirm processing, and user acceptance testing.
Project Management	Administer the project (i.e. maintenance of plan, task tracking, and reporting, etc.). Prepare meeting materials and attend internal and external meetings.

QUARTERLY REPORT OF GIFTS, GRANTS, AND CONTRACTS
JUNE 1, 2010 THROUGH SEPTEMBER 30, 2010

EXECUTIVE SUMMARY

BACKGROUND

Prior to 1993, the Board of Regents had been presented a detailed listing of all gift, grant, and contract awards received in the previous month. This reporting protocol was deemed overly labor intensive and information presented was easily misinterpreted. Very few gifts are given directly to the University; the vast majority of gift items listed in these reports represented a pass-through of funds raised by UW Foundations. In addition, reported grant and contract awards frequently span several years, making the monthly figures reported somewhat misleading to the uninformed reader.

In February 1993, the Board adopted a plan for summary reporting on a monthly basis, delegating to the UW System Vice President for Finance acceptance of contracts with for-profit entities where the consideration involved was less than $200,000. Contracts in excess of $200,000 were required to come to the Board prior to execution. This $200,000 threshold was increased to $500,000 at the Board's September 4, 1997 meeting.

At this same September 4, 1997 meeting, it was noted that, while the monthly summary reporting from UW institutions will continue, the Vice President for Finance will present the information to the Board on a quarterly, rather than monthly, basis. These quarterly summary reports have been presented to the Business, Finance, and Audit Committee since that time and have generally been accompanied by a brief explanation of significant changes.

REQUESTED ACTION

No action is required; this item is for information only.

DISCUSSION

Attached is a summary report of gifts, grants, and contracts awarded to University of Wisconsin System institutions in the three month period June 1, 2010 through September 30, 2010. Total gifts, grants, and contracts for the period were $672.1 million; this is an increase of $87.7 million over the same period in the prior year. Federal awards increased $69.6 million while non-federal awards decreased by $18.0 million.

The large increase in federal awards was primarily driven by substantially increased funding in the Federal Direct Loan Program at UW-Oshkosh ($28.5 million), UW-Platteville ($14.1 million), and UW-Colleges ($10.7 million). Also contributing significantly to the increase was a

$30 million award to UW-Extension for Broadband Infrastructure Development through the American Recovery and Reinvestment Act (ARRA). Increases in non-federal research awards result from a significant jump in funding received by UW-Madison from the UW Foundation, the Wisconsin Alumni Research Foundation (WARF), and several other non-federal sponsors.

RELATED REGENT POLICIES

Regent Resolution Number 7548 dated September 4, 1997

UNIVERSITY OF WISCONSIN SYSTEM
GIFTS, GRANTS AND CONTRACTS AWARDED
QUARTERLY REPORT & PRIOR-YEAR COMPARISON
FISCAL YEAR 2010-2011 - First Quarter

FISCAL YEAR 2010-2011	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
Total	65,773,888	31,990,967	1,636,036	34,994,525	11,613,856	387,280,365	138,775,542	672,065,179
Federal	55,685,555	24,911,451	0	9,103,574	0	274,666,540	133,244,299	497,611,419
Nonfederal	10,088,333	7,079,515	1,636,036	25,890,951	11,613,856	112,613,826	5,531,243	174,453,760
FISCAL YEAR 2009-2010								
Total	28,249,187	31,032,464	2,735,848	40,405,582	10,676,756	392,888,014	78,406,575	584,394,427
Federal	19,404,491	25,997,352	0	8,427,384	0	297,652,941	76,507,928	427,990,096
Nonfederal	8,844,696	5,035,112	2,735,848	31,978,199	10,676,756	95,235,073	1,898,647	156,404,331
INCREASE (DECREASE)								
Total	37,524,701	958,503	(1,099,812)	(5,411,058)	937,100	(5,607,649)	60,368,967	87,670,752
Federal	36,281,064	(1,085,901)	0	676,190	0	(22,986,401)	56,736,371	69,621,323
Nonfederal	1,243,637	2,044,404	(1,099,812)	(6,087,248)	937,100	17,378,752	3,632,597	18,049,430

UNIVERSITY OF WISCONSIN SYSTEM
GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION
QUARTERLY REPORT & PRIOR-YEAR COMPARISON
FISCAL YEAR 2010-2011- First Quarter

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
FISCAL YEAR 2010-2011								
Madison	11,605,411	19,599,032	1,634,036	24,774,918	11,558,533	369,229,749	6,434,225	444,835,905
Milwaukee	4,843,531	4,255,713	2,000	901,776	0	12,659,586	15,893,517	38,556,124
Eau Claire	1,468,081	1,317,078	0	0	0	569,588	7,343,756	10,698,503
Green Bay	8,340	328,732	0	57,993	0	90,023	21,854	506,942
La Crosse	235,099	3,000	0	761,610	0	755,160	5,302,926	7,057,795
Oshkosh	2,031,413	5,245,696	0	0	0	688,456	37,039,894	45,005,459
Parkside	44,169	372,038	0	51,250	0	77,042	0	544,499
Platteville	237,458	0	0	1,060,654	0	69,772	18,376,563	19,744,446
River Falls	9,787	4,080	0	1,483,938	53,434	68,208	4,985,881	6,605,328
Stevens Point	437,234	59,303	0	57,738	0	632,641	8,050,341	9,237,257
Stout	847,041	158,024	0	1,652,273	0	19,930	6,435,873	9,113,141
Superior	0	0	0	776,692	0	2,413,588	2,888,904	6,079,184
Whitewater	2,423,932	94,372	0	1,281,553	1,889	1,794	6,946,270	10,749,810
Colleges	1,500	48,349	0	2,119,129	0	4,828	19,055,539	21,229,345
Extension	41,580,892	0	0	0	0	0	0	41,580,892
System-Wide	0	505,549	0	15,000	0	0	0	520,549
Totals	**65,773,888**	**31,990,967**	**1,636,036**	**34,994,525**	**11,613,856**	**387,280,365**	**138,775,542**	**672,065,179**
Madison	10,447,932	13,159,578	0	1,633,877	0	258,994,150	4,305,356	288,540,892
Milwaukee	4,411,807	4,168,713	0	316,026	0	11,203,792	15,866,717	35,967,055
Eau Claire	1,358,405	1,296,150	0	0	0	328,448	7,319,238	10,302,241
Green Bay	0	201,707	0	75	0	90,023	0	291,805
La Crosse	0	0	0	759,330	0	602,833	5,302,926	6,665,089
Oshkosh	1,909,413	5,008,471	0	0	0	355,498	37,039,894	44,313,276
Parkside	0	372,038	0	45,250	0	45,000	0	462,288
Platteville	164,617	0	0	992,735	0	0	18,376,563	19,533,915
River Falls	0	0	0	1,346,327	0	21,910	4,956,047	6,324,284
Stevens Point	94,490	0	0	0	0	619,471	8,050,341	8,764,302
Stout	746,356	152,513	0	1,172,302	0	0	6,437,948	8,509,119
Superior	0	0	0	0	0	2,400,588	0	2,400,588
Whitewater	2,400,621	0	0	829,141	0	0	6,919,338	10,149,100
Colleges	0	46,732	0	2,008,512	0	4,828	18,669,932	20,730,003
Extension	34,151,914	0	0	0	0	0	0	34,151,914
System-Wide	0	505,549	0	0	0	0	0	505,549
Federal Totals	**55,685,555**	**24,911,451**	**0**	**9,103,574**	**0**	**274,666,540**	**133,244,299**	**497,611,419**
Madison	1,157,480	6,439,454	1,634,036	23,141,041	11,558,533	110,235,599	2,128,869	156,295,012
Milwaukee	431,724	87,000	2,000	585,750	0	1,455,795	26,800	2,589,069
Eau Claire	109,676	20,928	0	0	0	241,140	24,518	396,262
Green Bay	8,340	127,025	0	57,918	0	0	21,854	215,137
La Crosse	235,099	3,000	0	2,280	0	152,327	0	392,706
Oshkosh	122,000	237,225	0	0	0	332,958	0	692,183
Parkside	44,169	0	0	6,000	0	32,042	0	82,211
Platteville	72,841	0	0	67,919	0	69,772	0	210,531
River Falls	9,787	4,080	0	137,611	53,434	46,298	29,834	281,044
Stevens Point	342,744	59,303	0	57,738	0	13,170	0	472,955
Stout	100,685	5,511	0	479,971	0	19,930	(2,075)	604,022
Superior	0	0	0	776,692	0	13,000	2,888,904	3,678,596
Whitewater	23,311	94,372	0	452,413	1,889	1,794	26,932	600,710
Colleges	1,500	1,618	0	110,618	0	0	385,607	499,342
Extension	7,428,978	0	0	0	0	0	0	7,428,978
System-Wide	0	0	0	15,000	0	0	0	15,000
Nonfederal Totals	**10,088,333**	**7,079,515**	**1,636,036**	**25,890,951**	**11,613,856**	**112,613,826**	**5,531,243**	**174,453,760**

UNIVERSITY OF WISCONSIN SYSTEM
GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION
QUARTERLY REPORT & PRIOR-YEAR COMPARISON
FISCAL YEAR 2010-2011- First Quarter

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
FISCAL YEAR 2009-2010								
Madison	5,262,848	19,071,918	2,069,096	28,086,413	9,331,338	368,445,388	3,942,453	436,209,454
Milwaukee	1,896,501	3,099,430	665,752	886,000	0	14,314,861	12,393,816	33,256,359
Eau Claire	797,200	785,205	0	0	1,300,000	418,871	6,766,912	10,068,188
Green Bay	301,008	660,141	0	123,092	1,500	1,293,198	4,021,127	6,400,066
La Crosse	545,905	295,029	0	922,041	0	1,259,453	4,711,627	7,734,055
Oshkosh	3,685,573	5,890,891	0	0	0	1,332,316	6,822,308	17,731,088
Parkside	1,626,924	473,168	0	0	0	87,864	3,623,314	5,811,270
Platteville	620,796	7,575	0	4,433,508	0	3,620	4,255,020	9,320,519
River Falls	2,644	4,230	0	1,390,205	0	83,113	3,921,900	5,402,092
Stevens Point	2,484,556	29,784	0	32,538	0	2,751,858	7,095,966	12,394,702
Stout	2,887,718	106,833	0	1,637,579	0	0	5,652,926	10,285,055
Superior	0	0	0	720,295	0	2,498,397	2,512,913	5,731,605
Whitewater	110,589	12,623	0	1,602,967	43,918	76,653	5,932,829	7,779,577
Colleges	2,100	70,987	1,000	357,332	0	16,977	6,753,465	7,201,861
Extension	8,024,826	0	0	0	0	0	0	8,024,826
System-Wide	0	524,651	0	213,613	0	305,445	0	1,043,709
Totals	**28,249,187**	**31,032,464**	**2,735,848**	**40,405,582**	**10,676,756**	**392,888,014**	**78,406,575**	**584,394,427**
Madison	4,369,897	14,562,878	0	1,655,378	0	277,252,717	2,395,556	300,236,425
Milwaukee	894,522	2,912,766	0	0	0	12,192,901	12,392,116	28,392,305
Eau Claire	795,911	780,419	0	0	0	382,318	6,766,912	8,725,560
Green Bay	299,408	629,916	0	17,040	0	1,113,717	4,020,627	6,080,708
La Crosse	4,365	152,851	0	911,741	0	914,613	4,711,627	6,695,197
Oshkosh	2,693,603	5,890,891	0	0	0	1,112,871	6,809,292	16,506,657
Parkside	1,497,691	391,278	0	0	0	0	3,614,304	5,503,273
Platteville	594,945	0	0	1,002,381	0	0	4,255,020	5,852,346
River Falls	0	0	0	1,296,668	0	53,637	3,919,900	5,270,205
Stevens Point	2,254,750	0	0	0	0	2,104,948	7,095,966	11,455,664
Stout	2,860,464	99,215	0	1,251,589	0	0	5,652,926	9,864,194
Superior	0	0	0	720,295	0	2,210,000	2,512,913	5,443,208
Whitewater	29,155	0	0	1,224,580	0	72,410	5,931,027	7,257,173
Colleges	0	67,487	0	197,712	0	16,977	6,429,742	6,711,918
Extension	3,109,780	0	0	0	0	0	0	3,109,780
System-Wide	0	509,651	0	150,000	0	225,832	0	885,483
Federal Totals	**19,404,491**	**25,997,352**	**0**	**8,427,384**	**0**	**297,652,941**	**76,507,928**	**427,990,096**
Madison	892,951	4,509,040	2,069,096	26,431,035	9,331,338	91,192,671	1,546,897	135,973,029
Milwaukee	1,001,979	186,664	665,752	886,000	0	2,121,960	1,700	4,864,054
Eau Claire	1,289	4,786	0	0	1,300,000	36,553	0	1,342,628
Green Bay	1,600	30,225	0	106,052	1,500	179,481	500	319,358
La Crosse	541,540	142,178	0	10,300	0	344,840	0	1,038,858
Oshkosh	991,970	0	0	0	0	219,445	13,016	1,224,431
Parkside	129,233	81,890	0	0	0	87,864	9,010	307,997
Platteville	25,851	7,575	0	3,431,127	0	3,620	0	3,468,173
River Falls	2,644	4,230	0	93,537	0	29,476	2,000	131,887
Stevens Point	229,806	29,784	0	32,538	0	646,910	0	939,038
Stout	27,254	7,618	0	385,990	0	0	0	420,861
Superior	0	0	0	0	0	288,397	0	288,397
Whitewater	81,434	12,623	0	378,386	43,918	4,243	1,802	522,405
Colleges	2,100	3,500	1,000	159,620	0	0	323,723	489,943
Extension	4,915,046	0	0	0	0	0	0	4,915,046
System-Wide	0	15,000	0	63,613	0	79,613	0	158,226
Nonfederal Totals	**8,844,696**	**5,035,112**	**2,735,848**	**31,978,199**	**10,676,756**	**95,235,073**	**1,898,647**	**156,404,331**

UNIVERSITY OF WISCONSIN SYSTEM
GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION
QUARTERLY REPORT & PRIOR-YEAR COMPARISON
FISCAL YEAR 2010-2011- First Quarter

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
INCREASE (DECREASE)								
Madison	6,342,563	527,114	(435,060)	(3,311,495)	2,227,195	784,361	2,491,772	8,626,451
Milwaukee	2,947,031	1,156,283	(663,752)	15,776	0	(1,655,274)	3,499,701	5,299,765
Eau Claire	670,881	531,873	0	0	(1,300,000)	150,717	576,844	630,315
Green Bay	(292,668)	(331,409)	0	(65,099)	(1,500)	(1,203,175)	(3,999,273)	(5,893,124)
La Crosse	(310,806)	(292,029)	0	(160,431)	0	(504,293)	591,299	(676,260)
Oshkosh	(1,654,160)	(645,195)	0	0	0	(643,860)	30,217,586	27,274,371
Parkside	(1,582,755)	(101,130)	0	51,250	0	(10,822)	(3,623,314)	(5,266,771)
Platteville	(383,339)	(7,575)	0	(3,372,855)	0	66,152	14,121,543	10,423,927
River Falls	7,143	(150)	0	93,733	53,434	(14,905)	1,063,981	1,203,236
Stevens Point	(2,047,322)	29,519	0	25,200	0	(2,119,217)	954,375	(3,157,445)
Stout	(2,040,677)	51,191	0	14,695	0	19,930	782,947	(1,171,914)
Superior	0	0	0	56,397	0	(84,809)	375,991	347,579
Whitewater	2,313,344	81,749	0	(321,413)	(42,029)	(74,859)	1,013,441	2,970,233
Colleges	(600)	(22,638)	(1,000)	1,761,797	0	(12,149)	12,302,074	14,027,484
Extension	33,556,066	0	0	0	0	0	0	33,556,066
System-Wide	0	(19,102)	0	(198,613)	0	(305,445)	0	(523,160)
Totals	**37,524,701**	**958,503**	**(1,099,812)**	**(5,411,058)**	**937,100**	**(5,607,649)**	**60,368,967**	**87,670,752**
Madison	6,078,035	(1,403,300)	0	(21,501)	0	(18,258,567)	1,909,800	(11,695,533)
Milwaukee	3,517,285	1,255,947	0	316,026	0	(989,110)	3,474,601	7,574,750
Eau Claire	562,494	515,731	0	0	0	(53,870)	552,326	1,576,681
Green Bay	(299,408)	(428,209)	0	(16,965)	0	(1,023,694)	(4,020,627)	(5,788,903)
La Crosse	(4,365)	(152,851)	0	(152,411)	0	(311,780)	591,299	(30,108)
Oshkosh	(784,190)	(882,420)	0	0	0	(757,373)	30,230,602	27,806,619
Parkside	(1,497,691)	(19,240)	0	45,250	0	45,000	(3,614,304)	(5,040,985)
Platteville	(430,328)	0	0	(9,646)	0	0	14,121,543	13,681,569
River Falls	0	0	0	49,659	0	(31,727)	1,036,147	1,054,079
Stevens Point	(2,160,260)	0	0	0	0	(1,485,477)	954,375	(2,691,362)
Stout	(2,114,108)	53,298	0	(79,287)	0	0	785,022	(1,355,075)
Superior	0	0	0	(720,295)	0	190,588	(2,512,913)	(3,042,620)
Whitewater	2,371,466	0	0	(395,440)	0	(72,410)	988,311	2,891,927
Colleges	0	(20,755)	0	1,810,800	0	(12,149)	12,240,190	14,018,085
Extension	31,042,134	0	0	0	0	0	0	31,042,134
System-Wide	0	(4,102)	0	(150,000)	0	(225,832)	0	(379,934)
Federal Totals	**36,281,064**	**(1,085,901)**	**0**	**676,190**	**0**	**(22,986,401)**	**56,736,371**	**69,621,323**
Madison	264,529	1,930,414	(435,060)	(3,289,994)	2,227,195	19,042,928	581,972	20,321,984
Milwaukee	(570,255)	(99,664)	(663,752)	(300,250)	0	(666,165)	25,100	(2,274,985)
Eau Claire	108,387	16,142	0	0	(1,300,000)	204,587	24,518	(946,366)
Green Bay	6,740	96,800	0	(48,134)	(1,500)	(179,481)	21,354	(104,221)
La Crosse	(306,441)	(139,178)	0	(8,020)	0	(192,513)	0	(646,152)
Oshkosh	(869,970)	237,225	0	0	0	113,513	(13,016)	(532,248)
Parkside	(85,064)	(81,890)	0	6,000	0	(55,822)	(9,010)	(225,786)
Platteville	46,989	(7,575)	0	(3,363,209)	0	66,152	0	(3,257,642)
River Falls	7,143	(150)	0	44,074	53,434	16,822	27,834	149,157
Stevens Point	112,938	29,519	0	25,200	0	(633,740)	0	(466,083)
Stout	73,431	(2,107)	0	93,982	0	19,930	(2,075)	183,161
Superior	0	0	0	776,692	0	(275,397)	2,888,904	3,390,199
Whitewater	(58,122)	81,749	0	74,026	(42,029)	(2,449)	25,130	78,306
Colleges	(600)	(1,882)	(1,000)	(49,002)	0	0	61,884	9,399
Extension	2,513,932	0	0	0	0	0	0	2,513,932
System-Wide	0	(15,000)	0	(48,613)	0	(79,613)	0	(143,226)
Nonfederal Totals	**1,243,637**	**2,044,404**	**(1,099,812)**	**(6,087,248)**	**937,100**	**17,378,752**	**3,632,597**	**18,049,430**

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.f.3.

That, upon recommendation of the Tax-Sheltered Annuity Review Committee and the President of the University of Wisconsin System, the Board of Regents authorizes the President of the University of Wisconsin System to assess an annual fee to each employee participating in the UW System Tax Sheltered Annuity Program to cover the costs of administering the program. This resolution supersedes 1994 Regent Resolution 6774.

UW SYSTEM TAX SHELTERED ANNUITY PROGRAM
ANNUAL PROGRAM PARTICIPANT FEE

EXECUTIVE SUMMARY

BACKGROUND

The UW Tax-Sheltered Annuity (TSA) Program is a supplemental retirement savings program authorized by section 403(b) of the Internal Revenue Code and Wis. Stats. §36.11(15) which authorizes the Board of Regents to enter into salary reduction agreements with its employees as provided by IRC §403(b). All University of Wisconsin System employees, including student hourly employees and graduate assistants, are eligible to participate and can enroll at any time. Slightly more than 31.5% of all permanent employees participated in the plan in 2009.

The Board of Regents instituted the plan in 1977 and adopted criteria as guidelines for the initial selection process for TSA participating investment companies. The Board established the Tax-Sheltered Annuity Review Committee (TSARC) to act on its behalf. The TSARC functions as an advisory resource to the University of Wisconsin System President and the Board of Regents. In this capacity, the TSARC reports to the University of Wisconsin System President, or his or her designee, on an annual basis on matters relating to the program. The UW System President has appointed the UW System Office of General Counsel to provide legal advice to the TSARC.

In the fall of 1994 through action of the Board (Resolution 6774) an annual TSA fee was initiated to pay for the administration of the program and was first implemented in 1995. The rationale for the annual fee was that the administrative costs of the program should be borne by participants. Regent resolution 6774 specified the fee to be "not more than $10." The fee was originally $6.50 per participant. In 1998 the TSARC voted to recommend that the fee be increased, and in 1999 the President of the UW System raised the fee to $9.00 where it has remained ever since.

Because the 1994 action of the Board of Regents explicitly capped the annual fee at $10.00, UW System Administration seeks the Board's approval to remove the fee cap, so that the fee can be set at an appropriate and reasonable amount to cover the cost of administration of the program, which is expected to be $15.00 per participant for calendar year 2011. By eliminating the cap rather than simply revising it, upon the recommendation of the TSARC, the UW System President will have the delegated authority to increase the fee to cover increases in administrative costs. The *University of Wisconsin Tax-Sheltered Annuity 403(b)*

Plan Document currently provides the UW System President the authority to approve changes in the TSA fee as warranted.

REQUESTED ACTION

Approval of Regent Resolution I.2.f.3.

> That, upon recommendation of the Tax-Sheltered Annuity Review Committee and the President of the University of Wisconsin System, the Board of Regents authorizes the President of the University of Wisconsin System to assess an annual fee to each employee participating in the UW System Tax Sheltered Annuity Program to cover the costs of administering the program. This resolution supersedes 1994 Regent Resolution 6774.

DISCUSSION

The TSA fee pays for administration of the program, first and foremost to ensure compliance with IRS rules and regulations, and to meet the Plan's fiduciary obligations. A significant part of the employer's fiduciary obligation to participants is education about the program. The fee supports printing and other costs for forms and educational materials, educational and outreach initiatives, the costs of conducting the TSA Review Committee meetings, and the cost of salaries and fringe benefits for TSA program staff (1.35 FTEs).

Because of the work of the TSA Program staff, there have been no excess contributions in the TSA Program in spite of a payroll system that requires hands-on monitoring and manual adjustments. In addition, the complicated IRS Final 403(b) Regulations effective January 1, 2009 have been successfully implemented, so that the plan is in full compliance with all provisions. The IRS Final 403(b) Regulations put a significant increased burden on the employer, including verifying termination dates for all participants with all plan providers and approving loans. Program staff work on an on-going basis to ensure that the Plan Document incorporates all the necessary IRS provisions, and that the program is administered according to the Plan Document. TSA program staff have been able to negotiate important concessions from UW TSA Program participating investment companies that provide a significant benefit to UW employees, including no surrender charges on annuity contracts, no account fees with the mutual fund providers, lower-priced institutional class K-shares on the top Fidelity funds based on contributions, and a significantly increased number of investment company representatives providing one-on-one counseling sessions to University of Wisconsin employees.

Despite concerted efforts to reduce expenditures by, for example, using electronic distribution of materials and reducing printing costs by increasing information available on the website, increases in the cost of fringe benefits and past salary increases along with the cost of postage and printing have depleted the program reserves. According to the Bureau of Labor Statistics' inflation calculator, $10.00 in 1994 has the same buying power as $14.73 in 2010. In

addition, with the down markets, depressed economy, and implementation of state-mandated furloughs, participation in the plan has decreased, producing even less revenue to recover the administrative cost of the program.

Although UW System TSA staff, together with the UW TSA investment companies, have been working very hard to increase participation in the TSA Program, 2010 participation is approximately 10,500. With the TSA fee at $9.00 and 10,500 participants, the plan has not been able to generate adequate revenue to cover the program's costs. Late in 2009, when it became apparent that the TSA Program fee would not generate enough revenue to pay for the administration of the program, Program staff and the TSARC Committee determined that a participant fee increase was necessary. Because there is currently a $10 cap in place on the participant fee, any increase would be limited to $1. With approximately 10,500 participants in the program, a $1.00 increase in the TSA fee in 2010 would not have generated enough revenue to substantially improve the financial position of the program. In addition, multiple fee increases over subsequent years are generally not well received and are difficult to administer. Based on these facts, the TSARC and program staff believe the best course of action would be to remove the cap and allow the UW System President to set the fee at a level which covers the costs of the program.

To put this fee in context, and demonstrate the relative efficiency of the UW System TSA Program, it should be noted that the UW TSA Program fee has been substantially less than that for the Wisconsin Deferred Compensation program, a tax-deferred 457 plan administered by the State. The fees for that program are based on the participant's account balance and range from $12.00 per year to $66.00 per year. A participant with a $25,000 account balance, for example, pays $24.00 per year.

RELATED REGENT POLICIES

Regent Resolution 6774

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.f.4.

That, upon recommendation of the Chancellor at the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents authorizes UW-Madison to recruit for a Vice Chancellor for Research and Dean of the Graduate School at a salary that may exceed 75% of the UW System President's current salary.

Further, the Board of Regents authorizes the President of the University of Wisconsin System to approve the appointment and the salary for this position.

AUTHORIZATION TO RECRUIT A LIMITED APPOINTEE AT A SALARY ABOVE 75% OF THE UW SYSTEM PRESIDENT'S SALARY

EXECUTIVE SUMMARY

BACKGROUND

The UW-Madison received approval in June, 2010 to create a Vice Chancellor for Research position which is being combined into a single position with the existing Dean of the Graduate School job. The incumbent in this position will serve as UW-Madison's Chief Research Officer and Dean of the Graduate School and will have overall leadership responsibility for UW-Madison's billion dollar research enterprise and for the graduate school comprised of over 150 programs serving more than 9,000 students. An Extraordinary Salary Range (ESR) with a minimum rate of $228,052 and a maximum rate of $342,078 was also approved in June based on supporting market data for similar positions across UW-Madison peer institutions.   (See attached documentation.)

REQUESTED ACTION

Approval of Resolution I.2.f.4.

DISCUSSION

The UW-Madison fully understands the provisions of Regent Policy Document 6-3 that require the institution to request authorization from the Board of Regents to recruit for any faculty, academic or limited staff position at a salary that may exceed 75% of the UW System President's salary. The UW-Madison has provided the necessary information for the Board of Regents to consider in their determination of authorizing recruitment for this position at a salary exceeding 75% of the UW System President's salary and/or their need to consider the appointee. Unless the Regents request that the appointee be considered by the Board, the President is authorized to approve the appointment and the salary for the appointee in consultation with the UW-Madison Chancellor, if the salary to be offered to the appointee exceeds 75% of the President's salary.

RELATED STATUTES AND REGENT POLICIES

Wisconsin Statutes Section 20.923(5)
Regent Resolution 8167
Regent Resolution 8168
Regent Policy Document 6-3

PRINCIPAL DUTIES:

This position is for a 50% Dean & 50% Vice Chancellor

The University of Wisconsin-Madison is seeking a nationally recognized leader for the position of vice chancellor for research and dean of the Graduate School. The VCR/DGS provides visionary leadership for UW-Madison's $1 billion research enterprise and the Graduate School, which serves over 9,000 students in over 150 programs.

UW-Madison ranks as one of the most prolific research universities in the world, with a reputation for excellence built on more than 150 years of pioneering discoveries. Currently, UW-Madison ranks second nationally in research expenditures, fourth in federally-funded research, second in non-federally funded research, and fifth in doctorates awarded.

UW-Madison is one of the nation's first land-grant universities and, as the flagship university for the state, is fully comprehensive, with award-winning research and graduate education in biological sciences, physical sciences, arts and humanities, and social studies. There are 120 departments in 13 schools/colleges, including: Agricultural and Life Sciences; Business; Education; Engineering; Human Ecology; Letters and Science; Nursing; Pharmacy; Law; Medicine and Public Health; and Veterinary Medicine. University Hospitals and Clinics, located on the campus, provide additional opportunities for research and graduate education. The Graduate School offers master's and doctoral degrees in almost every field of scholarship. UW-Madison takes full advantage of its comprehensiveness by fostering interdisciplinary work across traditional boundaries through centers and institutes. A vibrant University Research Park and a world renowned intellectual property arm, the Wisconsin Alumni Research Foundation (WARF), expand opportunities for research.

UW-Madison graduate students are a critical component of the institution's research and teaching missions. The institution's structure combines research and graduate education in a synergistic relationship that enhances research outcomes and prepares graduate students for successful careers. This combined structure is a hallmark of UW-Madison's approach. A renewed commitment to research and graduate education has led to recommendations for strengthening both missions through refinements in their structures and roles, which the new VCR/DGS will have responsibility for shaping and implementing.

Leadership Roles

The VCR/DGS serves as a senior officer for the institution, the chief research officer, the dean of the graduate school, and a principal advisor to the chancellor and provost.

The VCR/DGS is responsible for energizing the university's research agenda, sustaining and enhancing graduate education, fostering the synergistic relationship between research and graduate education, and stimulating research collaborations both inside and outside the university. This includes effective engagement with the UW Foundation and WARF.

Research Responsibilities

As vice chancellor for research, the VCR/DGS reports to the chancellor and is responsible for leading UW-Madison's comprehensive research enterprise. A nationally prominent leader who can energize, advocate, and grow this enterprise is desired. The VCR/DGS is responsible for being a national advocate for research directions and policy, and for leading and advancing excellence in:

• Campus, local, national and international activities, guiding the university in defining and meeting emergent research opportunities of the future.
• Research policy, including conflict of interest, human subjects, animal welfare, and responsible conduct of research.
• Research compliance, including establishment of, and adherence to, policies and practices across campus.
• Non-federal research activities, including policy setting and management of pre-award activity for industry contracted research.
• A number of multi-disciplinary centers and institutes where faculty and staff from the natural sciences, social sciences and arts and humanities collaborate to generate over $160 million in research funding.
• Campus research infrastructure, including scientific computing, to support research and coordination of shared technology resources.
• Technology transfer and commercialization, including collaboration with schools/colleges, University Research Park and WARF. The goal is to maximize the benefits of UW-Madison's research to our campus, and to local, state, national, and global communities.

In order to carry out these roles, the VCR/DGS will interact and collaborate with:

• Faculty and staff governance committees, as appropriate, to ensure success of the research and graduate education enterprise.
• The vice chancellor for administration and reporting units, including: Research and Sponsored Programs, Environmental Health and Safety, as well as with schools/colleges, and administrators across campus.

Graduate Education Responsibilities

As dean of the Graduate School, the VCR/DGS reports to the provost to advance graduate education and its integration with the research enterprise. The VCR/DGS is responsible for leading and ensuring excellence in:

• National leadership in graduate education.
• Over 150 graduate programs, and the funding system that supports graduate programs and students.
• Graduate education: ensuring admissions, time to degree, graduation rates, and programs that support and enhance diversity.
• Ensuring that WARF resources enhance graduate education.
• Advancing graduate education and research training at all levels.
• Creatively attracting and securing resources to support graduate education and training.

Table 1: UW-Madison Administrative Positions and Salaries Compared with Peer Institutions 2009-19

CUPA-HR Position Title	Code	UW-Madison	Mean	Median	% from Median	Official Salary Peer Institutions 2009-10										
						A	B	C	D	E	F	G	H	I	J	K
Chief Research Officer	1027	232,157 #1	277,863	285,065	18.6%	300,000	248,400	Vacant	200,000	285,000	315,979	253,600	258,500	285,130	302,935	329,088

Notes:

1 Individual is reported as both chief research officer (1027) and dean, graduate programs (1219).

CUPA Position description:

1027 Oversees the institution's scientific research. Responsibilities typically include research policy, sponsored-research administration (Grants and contracts), compliance with regulations pertaining to research, technology transfer and commercialization of intellectual property (patents) and research communications.

November 30, 2010

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.3. Capital Planning and Budget Committee   Thursday, December 9, 2010
                                                       Inn Wisconsin, 2nd Floor, East
                                                       UW-Madison Memorial Union
                                                       800 Langdon Street
                                                       Madison, Wisconsin

10:00 a.m.   <u>All Regents – Memorial Union, Main Lounge, 2nd Floor Central</u>

  ● UW-Madison presentation by Chancellor Carolyn "Biddy" Martin: *UW-Madison in China*

  ● Report of the President of the Board

  ● Report of the President of the System

  ● University of Wisconsin System *eCampus*

12:00 p.m.   <u>Lunch – Memorial Union, Great Hall, 4th Floor Central</u>

 1:00 p.m.   <u>Capital Planning and Budget Committee – Memorial Union, Inn Wisconsin, 2nd Floor, East</u>

  a. Approval of the Minutes of the November 4, 2010 Meeting of the Capital Planning and Budget Committee

  b. UW-Madison Presentation: "*UW-Madison Sustainability Initiative: Integrating Teaching, Research, and Operations*"

  c. UW-Extension: Authority to Lease Space at 5602 Research Park Boulevard Madison, Wisconsin, for the Division of Continuing Education
         [Resolution I.3.c.]

  d. UW-Madison: Authority to Accept Land Parcels Pursuant to the Real Property Exchange Agreement between Wisconsin Alumni Research Foundation and the Board of Regents
         [Resolution I.3.d.]

  e. UW-Madison: Authority to Plan the West Campus Cogeneration Facility Addition and Chiller Installations Project
         [Resolution I.3.e.]

  f. UW-Milwaukee: Authority to Lease Space for the School of Public Health
         [Resolution I.3.f.]

g. UW-Platteville: Authority to Seek a Waiver of Wis. Stat. § 16.855 to allow Selection of a Design-Build Entity to Design and Construct a Storage Facility Project
     [Resolution I.3.g.]

h. UW-Whitewater: Approval of the Design Report for the Multi-Sport Facility – Phase III Project and Authority to Adjust the Budget and Construct the Project
     [Resolution I.3.h.]

i. UW System: Authority to Seek Enumeration of Seven Additional Major Projects as Part of the 2011-13 Capital Budget
     [Resolution I.3.i.]

j. UW System: Authority to Construct All Agency Maintenance and Repair Projects
     [Resolution I.3.j.]

k. Report of the Associate Vice President
   1. Building Commission Actions
   2. UWSA 2011-17 Physical Development Plan

l. Additional items which may be presented to the Committee with its approval

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Extension Chancellor and the President of the
University of Wisconsin System, authority be granted for the Department of Administration to
enter into a new lease agreement for 26,704 square feet to replace three existing leases totaling
24,684 square feet on behalf of the UW-Extension.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1. Institution: The University of Wisconsin-Extension

2. Request: Authority for the Department of Administration to enter into a new lease
    agreement for 26,704 square feet to replace three existing leases totaling 24,684
    square feet on behalf of the UW-Extension. (*See below for lease specifics.*)

State Functions at Leased Location	UW-Extension: Continuing Education (CEOEL) UW Colleges Online ADL-CoLAB
Lease Location	5602 Research Park Boulevard
Type of Negotiation or Selection Process	Negotiated Lease
Lessor	University Research Park
Anticipated Occupancy Date	Approx. May 1, 2011
Lease Term	10 years
Escalation Rate	2%
Renewal Option(s)	Two (2) five (5) year renewals
Purchase Option	None
Space Type	Offices, exam rooms, and meeting space for CEOEL, UW Colleges On-Line, and ADL-CoLAB
Square Feet	26,704 RSF
Total Net Cost Per Square Foot	$12.55 Base rent 2.57 CAM/insurance 3.11 Taxes 0.93 Janitorial <u>2.54 Utilities</u> $21.70 Subtotal/RSF <u>2.11</u> Tenant Improvements (TI) $23.81 Total/RSF
Annual Cost	$635,822 with annual base rent increases, reduced by the financed TI amount after the 10th year, and annual reconciliation of pass-through costs
Funding Source	Operating Budget

3. Description and Scope of Project: This ten year lease would replace an existing
    lease at University Research Park (URP) and consolidate space for three different
    units in a single location.

The lease rate includes approximately $2.11 per square foot in tenant improvements (financed over the ten year lease, annual lease costs will be reduced after TI costs are paid in full.) UW-Extension has agreed to pay a portion of the total tenant improvement costs up front to reduce the financed lease rate. That portion of TI will be paid from a cash reserve fund that CEOEL has established for the purpose of moving to a new location (not from the operating budget).

The tenant improvements consist of a complete build out of the space which is located in a single floor of a recently constructed building at 5602 Research Park Boulevard. The improvements include enclosed and open office areas, conference, training, break, media, exam, and other enclosed support rooms; a capacity to support data and phone connections for over 100 work stations; all network and phone cabling, lighting, ceiling, and floor finishes. The improvements will also include construction of HVAC systems with multiple zones to provide uniform control throughout the space. This will result in energy savings. The space will be constructed utilizing modern office design and flexible furniture and layouts which will allow the space to be used efficiently and provide for layout changes as needed. The project also includes the use of natural light.

4. Justification: The Division of Continuing Education, Outreach, and E-Learning (CEOEL) in UW-Extension has administratively integrated with UW Colleges Online and the Academic Distributed (ADL) Co-Lab. UW-Extension's primary goal is to locate the division with the two other units together in a single building. All three units work to develop online courses. CEOEL works with all UW campuses; Colleges Online develops courses specifically within the Colleges curriculum; and the ADL Co-Lab serves primarily as a research and development unit to explore and expand the ways in which students learn in distributed environments. By co-locating, course development can proceed more efficiently and students and faculty are better served.

    CEOEL has been located at the University Research Park since the late 1990s. The initial lease expired on June 30, 2006, and UW-Extension exercised the two, two-year renewals which expired on June 30, 2010. The Division is currently on a month-to-month lease. UW Colleges Online is located at 644 West Washington Avenue and its lease expires on May 31, 2011. The ADL Co-Lab is located at 222 West Washington Avenue and its lease will expire on July 31, 2011.

    The primary reason for the integration is to realize administrative efficiencies. All three units focus heavily on online education, online course development, online student services, and related research. The current distance between the buildings creates a barrier to the fully integrated and efficient operations.

    Locating the units at URP is desirable because of the direct IT connectivity of the research park to the UW-Madison Campus. This offers the capability for rapid large information transference across the state and the nation. CEOEL has developed the University of Wisconsin System eCampus, which will serve as the

single point of entry of all online students into online academic programs across all UW campuses. This will require a highly integrated connectivity to the UW-Madison Department of Information Technology (DoIT) and to the UW-Extension data center, which is located in the Pyle Center. That highly functional connectivity already exists at URP. The research park currently has a 155 Mbps internet connection that is monitored and maintained 24 hours a day, 7 days a week. URP is in the process of upgrading the connection to 1 Gigabyte in 2011. It would be very expensive and not as reliable to engage a third party vendor for this level of connectivity if CEOEL were to not locate in the research park.

The current location at 505 South Rosa Road doesn't have the required space to accommodate the additional staff from UW Colleges Online and ADL Co-Lab. However, the proposed building at 5602 Research Park Boulevard has the space to accommodate all the units within a single floor and in a reasonable timeframe.

The current lease rate at 505 South Rosa Road is approximately $12.77 per RSF. The proposed lease rate at the new location is $12.55 per RSF with an escalation rate of 2% which is less than the 4% escalation rate in the expired lease. In addition, University Research Park has offered the network connectivity at no charge to CEOEL which will save approximately $16,600 annually if the research park location is selected. The cost for a third party vendor to provide a similar 1 GB connection is estimated at $30,000 annually and would require an additional expense to build a dark fiber connection back to the UW-Madison campus. However, the reliability and the security of the service provider is also an important concern for CEOEL operations.

Due to rapid administrative and programmatic growth, CEOEL needs to move as soon as possible to larger space within the research park. UW-Extension prefers to lease space at the proposed location as a single source vendor. Consolidation of space will allow CEOEL, UWC Online, and ADL Co-Lab to gain administrative efficiencies, proceed forward with full integration, and minimize disruptions to their operations. The timing of the lease expirations offers an excellent opportunity to relocate the units to a single building within URP.

5.   <u>Budget and Schedule</u>: N/A

6.   <u>Previous Action</u>: None.

Authority to Accept Land Parcels Pursuant to
the Real Property Exchange Agreement
between Wisconsin Alumni Research
Foundation and the Board of Regents,
UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the
University of Wisconsin System, approval be granted to accept seven parcels of land listed
below from WARF Properties, LLC pursuant to the terms of the Real Property Exchange
Agreement between Wisconsin Alumni Research Foundation (WARF) and the Board of
Regents, contingent upon the receipt of acceptable environmental audits.

Parcel	Value
924 West Dayton Street, Madison, Wisconsin	$374,000
914 West Dayton Street, Madison, Wisconsin	$403,500
1221 West Johnson Street, Madison, Wisconsin	$437,000
201 North Charter Street, Madison, Wisconsin	$450,000
210 Bernard Court, Madison, Wisconsin	$527,500
26 North Charter Street, Madison, Wisconsin	$1,000,000
305 North Charter Street, Madison, Wisconsin	$2,900,163

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1.   Institution: The University of Wisconsin-Madison

2.   Request: Approval to accept seven parcels of land listed below from WARF Properties, LLC pursuant to the terms of the Real Property Exchange Agreement between Wisconsin Alumni Research Foundation (WARF) and the Board of Regents, contingent upon the receipt of acceptable environmental audits.

Parcel	Value
924 West Dayton Street, Madison, Wisconsin	$374,000
914 West Dayton Street, Madison, Wisconsin	$403,500
1221 West Johnson Street, Madison, Wisconsin	$437,000
201 North Charter Street, Madison, Wisconsin	$450,000
210 Bernard Court, Madison, Wisconsin	$527,500
26 North Charter Street, Madison, Wisconsin	$1,000,000
305 North Charter Street, Madison, Wisconsin	$2,900,163

3.   Description and Scope of Project: All the properties are within the campus boundary and six of them are identified in the 2005 Campus Master Plan as sites for future academic, research, or support buildings. The seventh parcel, which is located at 1221 West Johnson Street, is within the campus boundary but was originally designated for private development by the 2005 Campus Master Plan. With the construction of the Wisconsin Institutes for Discovery/Morgridge Institute for Research (WID/MIR), this block will now be available for development by UW-Madison.

The parcels at 914 and 924 West Dayton Street, 210 Bernard Court, 1221 West Johnson Street, and 201 North Charter Street currently contain residential housing/commercial units. The parcel at 26 North Charter contains two block storage sheds and the 305 North Charter Street parcel contains an older wood structure and an undeveloped lot.

The value of each property was based on the average of two appraisals with the exception of the parcels at 26 North Charter Street and 1221 West Johnson Street. The parcel located at 26 North Charter Street was a strategic acquisition to allow for the expansion of the Wisconsin National Primate Research Center. The parcel located at 1221 West Johnson Street was acquired by WARF prior to the existence of the WID/MIR property exchange agreement.

Phase I environmental audits of all these properties are underway or have been recently completed. The acceptance of the land by the Board of Regents is contingent upon the completion of an environmental audit that identifies whether any environmental hazards

exist. The audits will be completed prior to seeking final approval from the State Building Commission.

4.   Justification of the Request: In 2006, both the Board of Regents and State Building Commission approved the transfer of title of a portion of Board of Regents-owned property at 1300 University Avenue on the UW-Madison campus to allow for the construction of WID/MIR. In exchange, the UW-Madison identified strategic properties within its development boundary to be acquired by WARF and credited against the value of the property that was transferred.

The parcel at 201 North Charter Street was acquired for the construction of an electrical substation as part of the Charter Street Heating Plant Renovation project. The parcel located at 305 North Charter Street will provide expansion space for the Chemistry Department and the parcel at 26 North Charter Street will provide expansion space for the Wisconsin National Primate Research Center. Although there are no immediate plans to construct on the other sites, the transference of these parcels now will allow UW-Madison to plan for future academic uses according to its master plan.

5.   Budget: Not applicable.

6.   Previous Action:

March 6, 2008 Resolution 9446	Granted authority to amend the existing land exchange agreement, related to the Wisconsin Institutes for Discovery, between the Board of Regents and the Wisconsin Alumni Research Foundation (WARF) to incorporate a portion of the 1200 block of Johnson Street on the UW-Madison campus. The Board of Regents-owned property will be exchanged for properties of equal value and of strategic importance to future UW-Madison development, which will be acquired by WARF.
April 7, 2006 Resolution 9167	Granted authority to: (a) exchange a portion of Board of Regents-owned property on the UW-Madison campus for strategic properties of equivalent value located within the UW-Madison development boundary to be acquired by the Wisconsin Alumni Research Foundation (WARF); and (b) request a waiver of s.16.855 under the provisions of s.13.48 (19) to enter into the necessary agreements with the Wisconsin Alumni Research Foundation to develop and construct the Wisconsin Institute for Discovery (WID) and the Morgridge Institute for Research, with enumerated WID funds of $19,000,000 General Fund Supported Borrowing (2005-07), $31,000,000 General Fund Supported Borrowing (2007-09), and up to $100,000,000 enumerated Gift and Grant Funds (2005-07) with the following provisions: (1) General Fund Supported Borrowing for the public research institute will not exceed the $50,000,000 enumerated in the

2005-07 Capital Budget; and, (2) WARF will be required to contract with construction manager who will bid out all of the work included in the project. (3) The State of Wisconsin, the Board of Regents, and WARF will develop and execute the necessary agreements including the following:

- Master Term Sheet detailing project costs and terms including a guaranteed maximum price specifying an amount not to exceed $50,000,000 GFSB funding for the public research institute; and
- A development agreement specifying the terms and conditions of the construction of the public institute for the university by WARF.

(4) The Board of Regents and WARF will develop a Land Use Agreement to permit WARF to construct the public institute on university property.
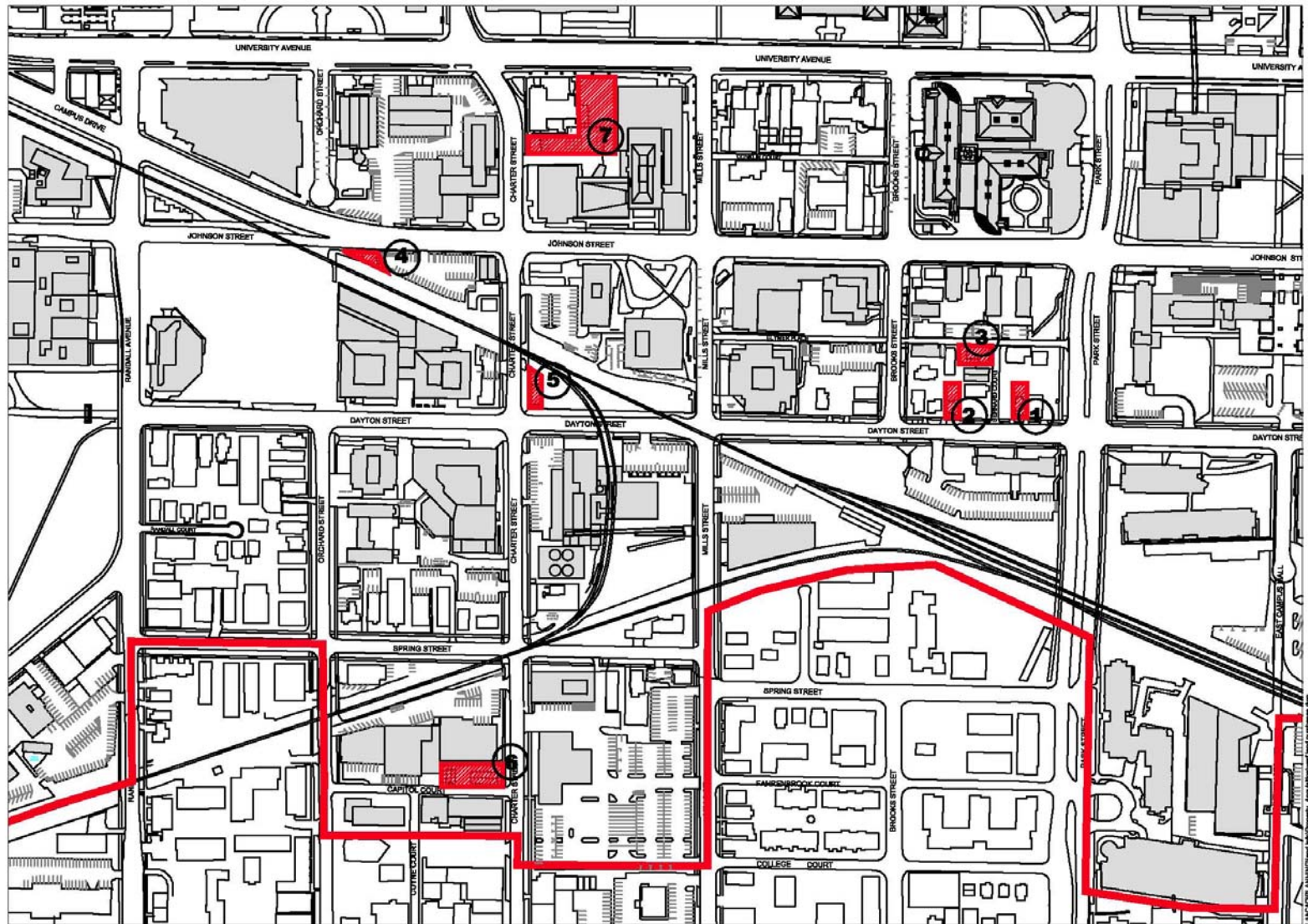
UNIVERSITY OF WISCONSIN-MADISON
FACILITIES PLANNING AND MANAGEMENT

CENTRAL CAMPUS LAND ACQUISITIONS

1. 914 West Dayton Street
2. 924 West Dayton Street
3. 210 Bernard Court
4. 1221 West Johnson Street
5. 201 North Charter Street
6. 26 North Charter Street
7. 305 North Charter Street

Proposed Land Acquisitions
Campus Plan Boundary

UNIVERSITY AVENUE
JOHNSON STREET
DAYTON STREET
SPRING STREET

CAMPUS DRIVE
RANDALL AVENUE
ORCHARD STREET
CHARTER STREET
MILLS STREET
BROOKS STREET
PARK STREET
EAST CAMPUS MALL

RANDALL COURT
CAPITOL COURT
FAHRENBROOK COURT
COLLEGE COURT

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the
University of Wisconsin System, authority be granted to request the release of $1,417,800
Building Trust Funds–Planning and the use of $140,200 Program Revenue-Cash to prepare
preliminary plans, a design report, and construction documents for the West Campus
Cogeneration Facility Addition and Chiller Installations project for an estimated total project
cost of $67,553,000 ($61,473,200 General Fund Supported Borrowing and $6,079,800 Program
Revenue Supported Borrowing).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1. Institution: The University of Wisconsin–Madison

2. Request: Authority to request the release of $1,417,800 Building Trust Funds–Planning
    and the use of $140,200 Program Revenue-Cash to prepare preliminary plans, a design
    report, and construction documents for the West Campus Cogeneration Facility (WCCF)
    Addition and Chiller Installations project for an estimated total project cost of $67,553,000
    ($61,473,200 General Fund Supported Borrowing and $6,079,800 Program Revenue
    Supported Borrowing).

3. Description and Scope of Project: This project will construct an approximate 43,500 GSF
    addition to the northwest corner of the West Campus Cogeneration Facility and install two
    5,000 ton chillers. Two 54" chilled water lines will be installed to connect the chiller plant
    addition to the campus chilled water mains in the Biotron utility corridor. The original
    WCCF design designated a site for future expansion of the plant, provided a plan to install
    additional chillers, and included provisions for connections to the existing campus chilled
    water distribution system. The installation of two 5,000 ton chillers will increase the
    WCCF chilling capacity from 20,000 tons to 30,000 tons. The maximum chilling capacity
    of the WCCF is 50,000 tons. This project will increase the campus overall chilling
    capacity from 64,000 tons to 74,000 tons.

    Two consultants will be retained: one as the owner representative who will provide review
    of current WCCF contracts, optimization of chiller operation, and assistance in the
    preparation of new contracts between the university and Madison Gas and Electric; and the
    other as the design engineer who will prepare preliminary plans, a cost estimate, a design
    report, construction documents for the complete project and provide commissioning
    services.

4. Justification of the Request: Air conditioning for critical temperature and humidity control
    in UW-Madison buildings is essential to protect costly and sensitive research and
    instructional equipment; maintain healthy conditions for research animal colonies; and
    maintain and enhance the human working environment. Use of central chilled water is more
    economical and energy efficient than individual building systems. The campus cooling load
    has steadily increased over time as new buildings are constructed and older buildings are
    renovated. The total cooling production from chillers in the Charter Street Plant, the Walnut
    Street Plant, and the West Campus Cogeneration Facility is approximately 64,000 tons. The
    campus chilled water load is projected to reach this level in July 2011. At that time, the
    campus chilled water production equipment will not be able to satisfy the demand for campus

cooling. The 10,000 tons of additional capacity supplied by this project will provide adequate capacity to meet campus chilled water load until approximately 2013.

Advance planning for the project is necessary to avoid delaying the installation of needed chilled water capacity. Release of the planning funds will enable selection of an Architect/Engineer to prepare a design report, cost estimate, and construction documents. Approval of the design report and authority to construct the project will be sought upon the release of the 2011-13 enumerated funds.

5.   Budget and Schedule:

WCCF Building Construction	$15,220,400
Chiller Systems Purchase & Installations	38,470,600
WCCF Contracts and Chiller Optimization	367,000
Project Design Engineer A/E	3,530,000
Project Contingency (14%)	7,517,000
DSF Management (4 %)	2,448,000
Total Project Budget	$67,553,000

BOR Approval	December 2010
Pre-Design & Commissioning A/E Selection	January 2011
Project Design Engineer A/E Selection	March 2011
Design Report Approval	August 2011
Bid Date	March 2012
Substantial Completion – WCCF Addition	December 2013
Substantial Completion – Chiller Installations	March 2014

6.   Previous Action:

August 22, 2008
Resolution 9529

Recommended enumeration of a West Campus Cogeneration Facility Addition and Chiller Installations project as part of the 2009-11 Capital Budget at a total cost of $67,553,000 ($61,473,200 General Fund Supported Borrowing and $6,079,800 Program Revenue Supported Borrowing). The project was subsequently enumerated at that level of funding with $23,002,600 General Fund Supported Borrowing and $6,079,800 Program Revenue Supported Borrowing available in the 2009-11 biennium and $38,470,600 GFSB available for release in the 2011-13 biennium).

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Milwaukee Chancellor and the President of the University of Wisconsin System, approval be granted for the Department of Administration to enter into a new lease of 57,460 square feet on behalf of the UW-Milwaukee for the School of Public Health.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1. Institution: The University of Wisconsin–Milwaukee

2. Request: Approval for the Department of Administration to enter into a new lease of 57,460 square feet on behalf of the UW-Milwaukee for the School of Public Health. (*See below for lease specifics.*)

State Functions at Leased Location	UW-Milwaukee School of Public Health
Lease Location	1240 North 10th Street Milwaukee, WI 53205
Type of Negotiation or Selection Process	Negotiated
Lessor	Brewer Project LLC
Anticipated Occupancy Date	June 1, 2012
Lease Term	15 years
Escalation Rate	1.25%
Renewal Option(s)	Two (2) five (5) year options
Purchase Option	Tenant shall have the option to purchase once a certificate of occupancy has been achieved and annually thereafter for three years. Terms to be outlined in the lease based on final cost.
Space Type	Classrooms, offices, and related research areas for UW-Milwaukee School of Public Health
Square Feet	57,460 GSF

Total Triple Net Cost Per Gross Square Foot	$21.32 Maximum Base Rent*
	  1.76 CAM/insurance
	  2.40 Taxes
	  1.00 Janitorial
	$26.48 Subtotal
	
	  2.25/GSF Separate Utilities
	$28.73/GSF Total cost
	 * If final build out costs are lower than $12.25 million (not including donated building) the rent will be reduced based on a 10.0% lease factor.

Annual Cost	$1,521,541 without utilities $1,650,826 Total
Funding Source	UW-Milwaukee Operating Budget and annual gift contribution

3. <u>Description and Scope of Project</u>: This lease will accomplish the creation of the initial spaces to support the new School of Public Health which will be located in downtown Milwaukee as part of the redevelopment of the historic Pabst Brewery. This location was identified by the recently completed campus master plan as an "opportunity site" for accommodating these critical space needs. The build out will renovate an existing 32,700 GSF five story building ("Building 7" as designated in the Brewery Development) as well as construct a 24,760 GSF five story addition. It will also include the development of approximately 12 surface parking stalls and all related site/landscaping improvements.

    The total 57,460 GSF facility will provide approximately 34,000 ASF to support the initial research, core facilities, collaboration, administration, teaching/instruction, and external partners' needs of the School of Public Health. The research space will provide faculty/postdoctoral/research assistant/graduate student offices and labs to address the four strategic themes of Community and Behavioral Health Promotion, Environmental and Occupational Health, Health Policy and Administration, and Epidemiology and Biostatistics. The core facilities will provide shared interview and practical rooms and collaboration spaces will include conference/seminar and community areas. The spaces to support the administration of the School of Public Health will include offices for the Dean, support academic/administrative staff, and a shared core business center. The teaching/instructional space will include classrooms. The space for external partners will accommodate the needs of the City of Milwaukee Health Department.

    The site contains 33,038 GSF or .76 acre (including the area under the existing building). The development will be subject to a routine cap maintenance plan and Graphical Information Systems (GIS) registry due to the presence of some impacted soils that will be left in place. This process is routine for urban redevelopment projects and will not increase the ongoing maintenance expense of the property.

    This project will become a component of the ongoing master planned redevelopment of the historic Pabst Brewery in downtown Milwaukee as initiated in 2006 by the purchase of the vacant complex by Joseph J. Zilber. As a model for sustainability practices, the overall development has completed the first certification requirements for platinum level in the LEED for Neighborhood Development program. Already completed renovations and newly constructed projects in the mixed use development include a 95-unit apartment building, a 908-stall parking structure (which will provide short term and monthly parking options to meet the university's needs), open spaces, and a multi-tenant office building. The Cardinal Stritch University School of Education and Leadership is a tenant in the development. Along with this proposed project, a number of additional hospitality, hotel, residential, and office developments are expected to take place during the next two years.

    The project is financially assisted by a $10 million gift from Joseph J. Zilber's Brewery Project LLC, which his estate is fulfilling by honoring his pledge to the University of Wisconsin-Milwaukee. The gift will be structured to reflect the donation of the property ($1.0 million) and then 7 annual payments of $1,285,714.30. The base rental rate will be calculated using a 10.0% factor on the final cost of the project less the initial $1.0 million land and building contribution with a maximum base rent of $21.32 per GSF. If the

building budget of $12,250,000 is exceeded, then a revised base rent number will be resubmitted to the Building Commission for review and approval. All operating expenses will be the responsibility of the university. The current conceptual development budget (excluding land, the existing building, and furniture/fittings/equipment) is $12,250,000. That amount includes the costs of site development and preparation including environmental compliance expenses, renovation and new construction costs; all utility connections, and landscaping. Using that figure would produce an annual base rental rate of $1,225,000. Annual rent escalation will be limited to 1.25%. The university will be responsible for all building operations, staffing, maintenance costs, real estate taxes, and insurance. Rent payments will be provided from a combination of annual gift payments, program revenue, and campus funds. An option to purchase the property from Brewery Project LLC will be provided. The earliest option will be tied to the receipt of the certificate of occupancy (estimated to be in June 2012) and will be based on the final cost of the development (excluding land and the existing building costs). Thereafter, annual options to purchase will be granted for a three year period with the purchase price escalating at 2% per year.

4. <u>Justification</u>: As previously mentioned, the recently completed campus master plan identifies the Brewery Development as a potential "opportunity site" for the new School of Public Health. This downtown location will serve the access, research, and outreach missions by distributing strategic university programs in the city. The site is near the downtown core, residential neighborhoods, Aurora Sinai Medical Center, Milwaukee Area Technical College, and numerous other relevant government agencies, institutions, and businesses.

The School of Public Health was founded in 2008 and has set a goal to achieve full accreditation by 2014. It offers a graduate level multi-disciplinary program that works with communities and populations on prevention. This activity brings together academia and service through community-based research and practice-based learning. The School of Public Health currently has no central location or research and office space for its new faculty hires. Creating these spaces is pivotal to fulfillment of its vision and mission. The campus master plan identified these space needs as a top priority.

Due to this priority, a pre-design effort was completed in March 2010 to develop the specific space needs for the School of Public Health. The resulting program statement document identified the short and long term physical needs of the School of Public Health and explored a test fit in a different existing structure ("Building 29") at the Brewery Development. The feasibility of that scenario has since been dismissed because the building is much larger than necessary to meet near term space needs, contains existing floor and structural configurations that are not conducive for the proposed functions, and is in extremely poor physical condition. The portability of the program statement allowed the campus to test other options at the Brewery Development, and Building 7 has since been identified as more appropriate for this project. The spaces that will be provided in this project represent the first phase needs of the School of Public Health by accommodating current faculty and the growth that is expected during the next five to seven years. This growth strategy is reality-based and grounded in the academic plan of the university. It is

simultaneously in alignment with principles that will allow the School of Public Health to support robust academic and research opportunities. The expected success of the School of Public Health will require the creation of additional space in the future. One of the advantages of the currently proposed project site is its flexibility that will allow the accommodation of future additions as needed.

5.   Budget and Schedule:

Build Out Cost $11,341,607
Transaction Cost   908,500
Total Cost $12,250,107

Authorization to Proceed	December 15, 2010
Planning, Design and Permitting Completed	July 1, 2011
Base Building Construction Completed	April 1, 2012
Tenant Improvement Construction Completed - Certificate of Occupancy Issued	June 1, 2012

6.   Previous Action: None.

Authority to Seek a Waiver of Wis. Stat. §
16.855 to allow Selection of a Design-Build
Entity to Design and Construct a Storage Facility
Project, UW-Platteville

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Platteville Chancellor and the President of the
University of Wisconsin System, authority be granted to seek a waiver of Wis. Stat. § 16.855
under provisions of Wis. Stat. § 13.48 (19) to allow a design-build entity, selected through a
Request for Proposals (RFP) process, to design and construct a Storage Facility project at a total
project cost of $1,700,000 Program Revenue-Cash.

12/10/10   I.3.g.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1. <u>Institution</u>: The University of Wisconsin-Platteville

2. <u>Request</u>:   Authority to seek a waiver of Wis. Stat. § 16.855 under provisions of Wis. Stat. §
   13.48 (19) to allow a design-build entity, selected through a Request for Proposals (RFP)
   process, to design and construct a Storage Facility project at a total project cost of
   $1,700,000 Program Revenue-Cash.

3. <u>Project Description and Scope</u>: The workshop and storage facility will be a new pre-
   engineered steel commercial-style facility (approximately 20,000 GSF) and will be located
   on the west end of campus. The building site is east of the Giese Facilities Management
   Facility with street access to Greenwood Avenue.

   This facility will contain the offices, maintenance shop space, stores, and storage
   operations to support Auxiliary Services Facilities Operations. A section of the facility will
   be used to house maintenance carts and service vehicles and to store event production
   equipment. The site work for this project will provide space for the parking of fleet and
   staff vehicles and a fenced-in marshalling yard.

4. <u>Justification</u>: Auxiliary Services Facilities Operations has outgrown its existing workshop
   and storage space in the basement of Royce Hall. This has forced the department to use
   rooms in the basements of nine residence halls that would otherwise be available for
   student use. The student housing department must recover these rooms for programmatic
   needs.

   Royce Hall was constructed in 1957 as a residence hall, not a storage facility. The storage
   and workshop space now located in the basement of Royce Hall is poorly lit, has poor air
   circulation, and provides very poor access for vehicles, materials, and personnel. The
   workshop operations are incompatible with the four faculty apartments and the other
   departments currently housed in Royce Hall, which include Housing, Counseling Services,
   Health Services, Study Abroad, International Student Services, and the Confucius Institute.
   The equipment noise and material odors resulting from the workshop activities cannot be
   confined to only the workshop space.

   The campus has worked with their on call architectural/engineering firm to develop a
   program and a Request for Proposal (RFP) to ensure that the programmatic and building
   quality requirements of Auxiliary Services Facilities Operations are met. The waiver will
   allow for the construction of a new, pre-engineered steel building which will not require the
   level of design typically involved for state facilities. The design-build process is consistent

with industry practice for this type of building. The selection process will be competitive and will use a qualification based selection system similar to that used for the selection of design consultants.

5.   Budget and Schedule: The total project cost is not to exceed $1,700,000.

Schedule	
Issue RFP	January 2011
Receive Proposals	February 2011
Selection of Proposal	March 2011
Start Construction	May 2011

Fee Impact: The construction of this facility will not impact fees.

6.   Previous Action:

August 22, 2008   Recommended that the Storage Facility Project be submitted to the
Resolution 9529   Department of Administration and the State Building Commission as
                             part of the UW System 2009-11 Capital Budget at an estimated total
                             project cost of $1,700,000 ($1,416,000 Existing Program Revenue
                             Supported Borrowing and $284,000 Program Revenue Supported
                             Borrowing). The project was subsequently enumerated at that level
                             and funding amount.

Approval of the Design Report for the
Multi-Sport Facility-Phase III Project and
Authority to Adjust the Budget and Construct the
Project, UW-Whitewater

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Whitewater Chancellor and the President of the
University of Wisconsin System, the Design Report for the Multi-Sport Facility-Phase III
project be approved and authority be granted to construct the softball building portion of the
project for $650,000 by substituting $350,000 Program Revenue Supported Borrowing for gift
funds for a total project cost of $650,000 ($350,000 Program Revenue Supported Borrowing,
$60,000 Gift Funds, and $240,000 Program Revenue-Cash).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1. Institution: The University of Wisconsin-Whitewater

2. Request: Approval of the Design Report for the Multi-Sport Facility-Phase III project and authority to construct the softball building portion of the project for $650,000 by substituting $350,000 Program Revenue Supported Borrowing for gift funds for a total project cost of $650,000 ($350,000 Program Revenue Supported Borrowing, $60,000 Gift Funds, and $240,000 Program Revenue-Cash).

3. Description and Scope of Project: This project will construct 2,145 GSF of space to support the university's softball program. The new building will be located at the existing van Steenderen Softball Complex within the university's Multi-Sport Facility. The building will contain a pressbox, a team locker and shower room, a coach's office and locker room, and public restrooms. Site work will include a new paved entrance plaza, a paved ramp, new concrete and landscape block retaining walls, and site fencing. The building and surrounding site is designed to connect with and provide access to the upper and lower levels of the existing softball grandstand seating structure. The plaza is designed to allow access to the public restrooms from Coulthart Pavilion during non-softball events. The building will be used primarily during the university's softball season, but will be used year-round for office functions, meetings, recruiting, and other related functions. The building's heating systems will be zoned to allow separate controls of occupied and unoccupied spaces during the winter months.

    The building will be a two story structure which is constructed of cast-in-place concrete, concrete masonry, and wood framing. The upper level will be accessed from the new entrance plaza and will be adjacent to the top tier of grandstand seating. The lower level will be partially below the grade of the sloping site and the exposed west facade will be accessed by a secondary circulation path below the grandstand. The exterior design will complement existing campus architecture and will incorporate dark gray cement board siding, burnished concrete block veneer, clad wood windows, and a standing seam metal roof.

4. Justification of the Request: The van Steenderen Softball Complex, which includes the women's softball practice and varsity softball fields, was originally constructed in 1976. There is a need for public restroom facilities in the West Campus Athletic Fields Complex. The closest restrooms are located in the Williams Center which is approximately 1,700 feet (one-third of a mile) away. This project will construct ADA compliant public restroom facilities located within the new Softball Support Building. Spectator services are currently non-existent within the west campus athletic area, although large crowds are often attracted

to athletic events that are held there. There are no restrooms, concession facilities, sanitary sewer, or potable water services to that area. There are no support locker facilities for athletes, coaches, officials, or the press. This project will resolve some of those deficiencies by providing a small support building for softball that will include concession areas, public restrooms, locker facilities, press boxes, and coaches' offices.

The campus enumerated the Multi-Sport Facility Phase III project in the 2007-09 biennium to construct a new Track/Soccer building and a new Softball Building with gift funds. The campus has not yet raised sufficient gift funds for the Track/Soccer Building. The students have chosen to support segregated fees to fund a majority of the softball building project.

Fee Impact: On April 26, 2006 the Segregated Fee Committee (SUFAC) approved an amount of $3,734,000 for the Multi-Sport Facility project beginning in the fall of 2009. The $350,000 softball portion of that amount required a fee of $3.32. On November 15, 2007, the Segregated Fee Committee (SUFAC) approved an additional amount $750,000 for the Turf Project. The $140,000 softball portion of that amount required a fee of $1.90. The total segregated fee for this project is $5.22 and will last for a term of ten years or until 2017. The total segregated fee for 2010-11 is $830.64.

5.   Budget and Schedule:

Budget	%	
Construction		$530,000
Contingency	5%	26,500
A/E Fee	12%	65,000
DSF Management Fee	4.0%	22,260
Equipment		4,915
Percent for Art	0.025%	1,325
Total Project Cost		$650,000

Submission of Bid Documents for Final Review	December 15, 2010
Bid Opening	March 1, 2011
Start of Construction	June 1, 2011
Substantial Completion	October 1, 2011
Occupancy	November 1, 2011

6.   Previous Action:

August 17, 2006   Recommended enumeration of the Multi-Sport Phase III project as
Resolution 9225   part of the 2007-09 Capital Budget at an estimated total cost of
                   $5,886,000 ($2,450,000 Program Revenue Supported Borrowing
                   and $3,436,000 Gift Funds). The project was subsequently
                   enumerated in the 2007-09 Capital Budget at $3,474,000 Gift
                   Funds.

October 3, 2008
Resolution 9554

Requested authority to revise the funding for the Multi-Sport Phase III project by an increase of $172,000 Program Revenue Supported Borrowing and a decrease of $172,000 Gifts Funds and construct the bleacher portion of the project for $172,000 Program Revenue Supported Borrowing. The total project cost is revised to $3,474,000 ($172,000 Program Revenue Supported Borrowing and $3,302,000 Gift Funds).

Authority to Seek Enumeration of Seven
Additional Major Projects as Part of the
2011-13 Capital Budget, UW System

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System,
authority be granted to seek enumeration of the following seven additional major projects as part of
the 2011-13 Capital Budget:

    (1)   UW-Stout: Harvey Hall Renovation – Phase II
    (2)   UW-La Crosse: Storage Facility
    (3)   UW-Madison: Materials Distribution Services GLS Storage Addition
    (4)   UW-Madison: University Ridge All Seasons Golf Practice Facility
    (5)   UW-Whitewater: Drumlin Hall Remodeling
    (6)   UW-Whitewater: Young Auditorium Dance Studio Addition
    (7)   UW-River Falls: Health and Human Performance/Recreation Building – Planning
           (2013-15 Advance Enumeration Request)

THE UNIVERSITY OF WISCONSIN SYSTEM

2011-13 CAPITAL BUDGET ADDITIONAL REQUESTS

Background

Since the 2011-13 Capital Budget recommendations were considered by the Board of Regents in August 2010, additional progress has been made on seven projects in planning that are now ready for further consideration. It is common that all projects in planning at UW System institutions cannot be fully prepared for recommendation by the August meeting in which the biennial budget is proposed. The Department of Administration's Division of State Facilities is aware of the potential modifications. The projects do not impact the previous prioritization of state funded projects adopted by the Board of Regents.

Recommendation

Approve modification the 2011-13 Capital Budget recommendation previously submitted to the Department of Administration in September 2010 with the following requests for enumeration.

2011-13 Campus & Project	Total	GFSB	PRSB	PR	Gifts/ Grants	BTF
UW-Stout: Harvey Hall Renovation	$28,200,000	$29,000,000				
LAX-Storage Facility	$1,092,000			$1,092,000		
MSN-Library Storage (MDS Addition)	$1,500,000				$1,500,000	
MSN-University Ridge Practice Facility	$2,500,000				$2,500,000	
WTW-Drumlin Dining Hall Remodel	$4,627,000		$4,627,000			
WTW-Young Auditorium Dance Studio	$940,000				$940,000	
2011-13 Total	**$38,859,000**	**$29,000,000**	**$4,627,000**	**$1,092,000**	**$4,940,000**	
2013-15 Advance Enumeration						
RVF-Health and Human Performance	$63,512,000	$50,356,000	$10,399,000		$2,056,000	$70,100

UW-Stout: Harvey Hall Renovation – Phase II
This project is the second of two projects that renovate and remodel deteriorated space in Harvey Hall. The project will upgrade the 101,200 GSF building's infrastructure and remodel space to renew the service life of the building, provide improved functionality, and restore the building's architectural character. Improvements include building envelope repairs and upgrades of all plumbing, mechanical, building automation, electrical, telecommunications, card access, and life safety systems. An additional elevator and new restrooms will be constructed to accommodate the large number of building users and provide accessibility for persons with disabilities. Remodeling work will reconfigure existing classrooms and add technology that brings them to current standards.

UW-La Crosse: Storage Facility This project designs and constructs a new 9,000 GSF pre-engineered metal storage building that will be located on the north campus, adjacent to other service buildings to alleviate the university's lack of storage space for materials and grounds/maintenance equipment. The building includes heated and non-heated space, a small amount of office space and toilet facilities.

UW-Madison: Materials Distribution Services GLS Storage Addition
This project will construct a 9,000 GSF addition to the existing Materials Distribution Services (MDS) warehouse in Verona to provide climate-controlled storage space for approximately one million volumes of library materials for the UW-Madison General Library System.

UW-Madison: University Ridge All Seasons Golf Practice Facility
This project will construct an approximately 12,000 GSF all seasons practice facility at University Ridge Golf Course that will be home for the UW-Madison men's and women's golf teams. The facility will be utilized year-round for training and practice purposes and will provide practice space for golf's short game (chipping/putting); hitting/driving stations inside the building; and appropriate locker space. When it is completed, this facility will be for the sole use of the UW-Madison golf teams and will not be open to the general public.

UW-Whitewater: Drumlin Hall Remodeling
This project will the upgrade the 45-year-old Drumlin Hall HVAC systems that are outdated, inefficient and incapable of the serving the current and proposed new dining layout. The thermally inefficient single glazed windows need to be replaced throughout the building. This project will restore the second floor balcony and change the design to allow for improved accessibility. The project will also remodel the current Drumlin Hall kitchen and seating area, adding new furnishings and equipment. The main reason for the remodeling is to restore an all-you-care-to-eat style dining facility while retaining the basic food court concept.

UW-Whitewater: Young Auditorium Dance Studio Addition
This project will construct a 4,000 GSF addition to the Young Auditorium that will provide space for a sprung wood floor dance studio with space for storage. The new dedicated dance studio will provide the university's growing dance program with classroom and rehearsal space that meets the standards of the National Association of the Schools of Dance.

2013-15 Advance Enumeration Request

UW-River Falls: Health and Human Performance/Recreation Building–Planning
This project will construct a new 162,000 GSF building for the Health and Human Performance programs, athletics, and student recreation as an addition to the existing Hunt/Knowles complex. The building will include classrooms, a human performance laboratory, a large gymnasium, dance studio, auxiliary gym, offices, locker rooms, training rooms, and other supporting spaces. The project also remodels existing program related space in the adjoining Hunt/Knowles complex and achieves the goal of program consolidation to one primary location. In addition, this project will construct a parking lot adjacent to the new building to serve the new building and address a general parking deficiency.

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System,
authority be granted to construct various maintenance and repair projects at an estimated total cost
of $18,363,500 ($11,609,500 General Fund Supported Borrowing; $4,546,200 Program Revenue
Supported Borrowing; $1,992,800 Program Revenue-Cash; and $215,000 Gifts and Grants
Funding).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
December 2010

1. <u>Institution</u>: The University of Wisconsin System

2. <u>Request</u>: Authority to construct various maintenance and repair projects at an estimated total cost of $18,363,500 ($11,609,500 General Fund Supported Borrowing; $4,546,200 Program Revenue Supported Borrowing; $1,992,800 Program Revenue Cash; and $215,000 Gifts and Grants Funding).

FACILITIES MAINTENANCE & REPAIR

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
GBY	10E3B	University Union AHU-4 Repl	$ -	$ -	$ 476,000	$ -	$ -	$ 476,000
MIL	09C3Z	Bolton Hall HVAC System Renv (Increase)	$ 1,296,000	$ -	$ 342,000	$ -	$ -	$ 1,638,000
MIL	09K2W	Sandburg North Tower Ext Window Repl (Increase)	$ -	$ 1,931,300	$ -	$ -	$ -	$ 1,931,300
WTW	10J2R	Williams Ctr FH Floor Repl	$ 771,800	$ -	$ 136,200	$ -	$ -	$ 908,000
		FM&R SUBTOTALS	$ 2,067,800	$ 1,931,300	$ 954,200	$ -	$ -	$ 4,953,300

HEALTH, SAFETY, & ENVIRONMENTAL PROTECTION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
RVF	10K1S	Multi-Bldg Fire Alarm Upgrade	$ 414,300	$ 472,700	$ -	$ -	$ -	$ 887,000
		HS&E SUBTOTALS	$ 414,300	$ 472,700	$ -	$ -	$ -	$ 887,000

PROGRAMMATIC REMODELING & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	Z450	TOTAL
MIL	10A2Y	GLRF SBA/USDA Lab Rmdl (Increase)	$ -	$ -	$ 350,000	$ 215,000	$ -	$ 565,000
		HS&E SUBTOTALS	$ -	$ -	$ 350,000	$ 215,000	$ -	$ 565,000

UTILITIES REPAIR & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
MIL	10J1Q	Htg Plnt CW Sys Strainer Repl	$ 170,500	$ -	$ 32,500	$ -	$ -	$ 203,000
MIL	10J1D	Htg Plnt CW Sys Turbine Renv	$ 921,800	$ -	$ 175,600	$ -	$ -	$ 1,097,400
MIL	10J1Z	UWMIL Multi-Bldg Steam Lateral Repl	$ 1,608,500	$ -	$ 480,500	$ -	$ -	$ 2,089,000
MSN	10K2H	Dayton St Central Utility Renv, Phase I	$ 3,724,800	$ 1,241,600	$ -	$ -	$ -	$ 4,966,400
MSN	10K2J	HC White-Sci Hall Tunnel Repl	$ 2,701,800	$ 900,600	$ -	$ -	$ -	$ 3,602,400
		UR&R SUBTOTALS	$ 9,127,400	$ 2,142,200	$ 688,600	$ -	$ -	$ 11,958,200

	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
DECEMBER 2010 TOTALS	$ 11,609,500	$ 4,546,200	$ 1,992,800	$ 215,000	$ -	$ 18,363,500

3. <u>Description and Scope of Project</u>: This request provides maintenance, repair, renovation, and upgrades through the All Agency Projects Program.

Facilities Maintenance and Repair Requests

<u>GBY - University Union Air Handling Unit 4 Replacement ($476,000):</u> This project replaces one air handling unit (AHU-4) that serves the kitchen, marketplace, and dining/club rooms. The outside air intake will be modified and the eight kitchen hood exhaust systems will be retrofitted with variable volume controls to reduce energy

consumption. Project work includes replacement of AHU-4 (31,500 CFM) on the ground floor; demolition of the air handling unit, pneumatic controls, ductwork and pipe connections; installation of the new air handling unit and direct digital control devices; and installation of new ductwork and piping connections. The air handling unit's outside air intake will be relocated from the loading dock area to a higher elevation to improve the quality of the outside air. The air handling unit will have a variable frequency drive (VFD) and VFDs will be added to all kitchen exhaust fans to modulate airflow based on occupancy and kitchen hood usage by installing optic sensors for smoke/vapor detection and temperature sensors in each kitchen hood. The project work may require minor modifications to the air distribution system including ductwork, air diffusers, and reheat coils additions/relocations.

AHU-4 is original to the 1977 construction of the University Union and serves 28,863 GSF of the total 104,913 GSF. There have been three additions to the University Union and the only modification to the unit, the installation of a VFD on the return fan, was made in 2008 during the third addition. The steam heating coil is in very poor condition, has been repaired numerous times over the years, and would require replacement if this project were not completed. The University Union has always been in a negative pressure condition to the Concourse System and thus other campus buildings connected to the Concourse System. A simple air balance calculation using record drawings indicates that there was a negative air balance of 5,300 CFM after the 1991 addition, which then increased to 13,200 CFM after the 2008 addition. This amount of required make-up air is causing air balance issues in other areas of the building and in other campus buildings connected to the University Union. The addition of VFDs on the air handling unit and kitchen exhaust fans, including providing optic and heat sensors inside the kitchen hoods, will help improve air flow throughout the kitchen, marketplace, and dining/club rooms while reducing energy consumption when food service is not at peak performance. When the building spaces are properly balanced and commissioned, overall building performance and occupant indoor air quality will improve.

<u>MIL - Bolton Hall Tower HVAC System Renovation ($1,638,000 increase for a total project cost of $3,484,000):</u> This request increases the project budget and scope to include a sprinkler system retrofit for the tower portion of the building (6 floor levels and approximately 72,000 GSF). Project work includes installing new standpipes and a new fire pump with higher pressure boost; replacing the 25kw emergency generator and automatic transfer switch with a new 130kw unit; and pressurizing the exit stairwells to limit smoke infiltration. During the design process, the HVAC system renovations were expanded beyond the perimeter offices to include the entire floor and will also implement new zoning controls for the perimeter offices. A building-wide sprinkler system retrofit was recommended by the consultant for the Bolton Hall Tall Buildings Life Safety Study. Considering the extensive disruption that the HVAC system renovations encompass, now is the appropriate time to include the tower sprinkler system retrofit work so it can be coordinated with the other tower renovations.

The project will also repaint the corridors and offices on the upper three floors. This work will be completed after the HVAC system renovations and sprinkler system retrofit are

complete and prior to campus reoccupation. The space vacated during this renovation will provide an opportune time to address some of the architectural finishes not previously included in the approved project scope.

<u>MIL - Sandburg Hall North Tower Exterior Window Replacement ($1,931,300 increase for a total project cost of $3,426,500):</u> This project replaces all exterior window assemblies with new energy efficient units, restores the exterior envelope integrity, replaces or repairs deteriorated components, and decreases the operational maintenance costs. This is the second phase of exterior window replacements for the original three Sandburg Hall towers. Project work includes replacing all 1,500 exterior windows in over 325 openings (typical size 13-feet wide by 5-feet high) in the 20-story Sandburg Hall North Tower (176,991 GSF). The existing window assemblies will be removed, salvaged, and materials recycled. The window openings will be prepared for the new window units and interior finishes will be repaired and restored. The replacement units will have commercial grade insulated glass set in thermally broken insulated aluminum frames. It is anticipated that this first phase of construction will span the next two summers.

The exterior windows are original to the building and were installed in 1970. These units have exceeded their useful life due to intensive use and wear caused by harsh weather extremes. The single glaze windows are no longer weather tight and the frames are not thermally broken. This project will provide new units with a much higher thermal performance and energy efficiency rating.

<u>WTW - Williams Center Kachel Fieldhouse Flooring Renovation ($908,000):</u> This project resurfaces 58,719 SF of synthetic athletic flooring to correct original installation discrepancies, address surface wear conditions, and improve flooring performance. Project work includes grinding off 3-5mm of existing flooring surface; preparing the surface for an additional 5-8mm lift of new material for a finished flooring thickness of 15mm throughout; repairing cracks in the existing surface; smoothing surfaces; replacing or adjusting heights of floor mounted hardware standards for the new flooring thickness; and applying new court markings for the variety of sports courts and activities. The textured running track and runways will be purple colored and the smooth interior surfaces and courts will be light gray and dark gray colored. All flooring surfaces will be half-inch spike proof at a minimum.

The Williams Center - Kachel Fieldhouse Addition (111,474 GSF) was constructed in 1999 and the flooring is original to the facility. The fieldhouse is used for academic instruction, athletics, and recreation. The flooring was designed to be 13mm thick, but due to a combination of wear and original installation discrepancies, the flooring is only 10mm thick in several areas. The flooring has lost its resilience even in the full 13mm areas, resulting in numerous injuries to student athletes. Poured urethane floors have a typical useful life of 8-10 years before significant capital reinvestment is required. This type of flooring was selected because full replacement is not required for 30 to 40 years, and it can be renewed to original performance standards every 8 to 10 years.

The running track lane 1 is worn through the wearing course down to the force reduction layer. The starting block areas of the eight straight-a-way lanes and the staggered starting

block areas of the six running lanes are worn down to the force reduction layer as well. All track event runways are worn through and all sports markings have faded or worn off. The interior court areas have lost their resilience, and the sheen on the floor causes a glare, which makes it difficult to use the courts during certain times of the day.

Health, Safety, and Environmental Protection

RVF - Multi-Building Fire Alarm and Smoke Detection System Upgrade ($887,000): This project upgrades the fire alarm systems in all 31 campus buildings (~1,796,600 GSF) to provide central alarm reporting and mass notification, provide audio alarm devices in all resident hall bedrooms, upgrade all fire alarm systems to current codes including ADA, and improve audio alarm levels and heat and smoke detection in selected locations. Project work includes installing a new fire alarm panel in the Central Heating Plant; replacing panels in Grimm Hall, Hagestad Hall, Karges Physical Education, McMillan Hall, and the Rural Development Institute; and upgrading the remaining panels for central reporting and/or mass notification. The horn/strobe alarm signal devices will be replaced by speaker/strobe devices, and additional devices will be installed in various locations. New audio alarm signal devices will be installed in each bedroom in each residence hall. Audio and visual alarm devices and other devices to wake sleeping residents will be installed in residence hall bedrooms as needed to meet ADA guidelines. Buildings not currently connected to the campus central alarm reporting/security station will be connected through the campus fiber optic backbone. Fiber interface modules with audio communication capability will be added to existing panels to allow mass notification from the central reporting/security station. A fiber optic cable enclosed in an underground PVC conduit will be installed between the Hazardous Waste Building and the Maintenance & Stores Building to allow reporting from and notification to the Hazardous Waste Building.

Most of the fire alarm panels were replaced in the early 1990s either by the campus-wide fire alarm system project or through individual enumerated building projects. As a result of those projects, some buildings received horn/strobe alarm devices and some buildings received speaker/strobe audio devices. Most, but not all buildings were connected to the campus central alarm reporting system. Current state fire alarm system design guidelines include installation of one-way audio systems to allow emergency responders to direct building occupants to safety. Typically, these building audio systems are linked to a central location for mass notification. This mass notification capability is critical to inform building occupants of emergency situations including weather alerts, hazardous chemical spills, and campus security issues. Central reporting of fire alarms is critical to building occupant safety and protection of building contents.

The fire alarm systems in residence halls have audio/video alarm devices located in public spaces and corridors. While the devices operate as designed and intended, the sound pressure level in some bedrooms is not adequate and additional signal devices are needed. Depending on the floor plan layout and acoustic properties of wall structures, the level in some bedrooms do not meet the code required level. Additional audio alarm devices need to be installed in the bedrooms to meet the code requirement and not exceed a sound pressure level that could cause loss of hearing.

Programmatic Remodeling and Renovation Requests

<u>MIL - Great Lakes Research Facility SBA/USDA Laboratory Remodeling ($565,000 increase for a total project cost of $1,165,000):</u> This request increases the project scope and budget to remodel an additional 1,200 SF of warehouse space adjacent to the previously approved project area to create a new laboratory, and to purchase and install all potential casework for the remodeled laboratory suite. The Small Business Administration (SBA) is providing additional grant funding to broaden the first phase of the Wisconsin water industries business accelerator development. UW-Milwaukee is providing campus funding to meet an immediate space demand need.

Utilities Repair and Renovation Requests

<u>MIL - Heating Plant Chilled Water System Strainer Replacement ($203,000):</u> This project replaces the condenser water strainers on two chillers to improve operations and energy efficiency and to reduce operational maintenance costs. Project work includes replacing two manually operated basket strainers with automatically operated quad basket strainers that protect the condenser tube bundles for Chillers 1 and 2. These devices enable mussels and plant material to be removed from the lake water and allow for automatic basket cleaning during chiller operation. This project also automates the strainer cleaning cycles, installs new strainer controls, repipes oil cooler and air ejector cooling water to supply the chillers with filtered water, and installs an 8-inch hot well drain.

The central heating and cooling plant provides cooling to campus buildings using three chillers. These chillers use a lake water condenser water system to condense refrigerant gas rejecting heat collected from campus buildings to Lake Michigan. Due to the invasion of a new mussel in Lake Michigan, and a subsequent increase in lake plant growth, the increased solids in lake water pumped to the plant can block the chiller refrigerant condensers. The reduction of cooling water due to plugged chiller condensers increases power consumption and the cost per ton of cooling produced, decreases chiller capacity, and causes the unscheduled shut down of chiller equipment. This project will install strainers to remove smaller particles from the lake water and will convert the manual strainer back flush cycles to automatic operation.

<u>MIL - Heating Plant Chilled Water System Turbine Renovation ($1,097,400):</u> This project rebuilds, repairs, and replaces components of the steam turbines on Chillers 1 and 2. Project work includes renovating the 2,065 HP steam turbines, including thorough inspection of all internal components, replacing normal wear parts, replacing nozzles in the steam chests, and repairing the steam valves.

The central Heating and Cooling Plant provides cooling to campus buildings through two 2,750-ton steam driven chillers and one 3,000-ton electric chiller. The steam turbines were last renovated in 1994 and 1995, and both are past due for an internal inspection and overhaul needed to assure their continued service. Nozzles will be replaced in the steam chests to maintain turbine horsepower and performance. The governor controlled steam trip

and throttle valves leak steam when the units are not in operation, which causes the corrosion of turbine internals.

<u>MIL - Multi-Building Steam and Condensate Lateral Replacement ($2,089,000):</u> This project replaces eight sections and approximately 1,342 LF of underground steam conduits serving various campus facilities, most of which were constructed within concrete box conduits. New concrete box conduits will be constructed to enclose the replacement steam and condensate piping sections, reusing the steam piping where possible.

Project work includes site excavation; removing the top of the box conduit and repairing/replacing all deteriorated supports, guides, and anchors; replacing and insulating the condensate return piping; and replacing all deteriorated steam piping insulation. The two sidewalls and floor of the concrete box conduit will be reused. A new reinforced concrete top will be installed and all sides of the box conduit will be waterproofed. Rigid insulation board will be installed to protect the waterproofing. All asbestos containing insulation material will be abated as necessary. Sections of steam piping will be replaced as determined by their condition. Temporary isolation valves or blanks will be installed in each section to allow construction activities to occur without extended steam shutdowns to other buildings served by the distribution system.

This steam and condensate return distribution piping was originally installed from the early 1960s to the early 1970s. The concrete box conduits leak, causing several local flooding issues. The age of the concrete box conduits along with the water infiltration has led to the corrosion and deterioration of the steel piping supports. The insulation has deteriorated and been washed off in several sections of the steam piping. Condensate return piping leaks have increased and sections have been valved off due to piping failures.

<u>MSN - Dayton Street Central Utility Renovation, Phase I ($4,966,400):</u> This project replaces central utilities near the intersection of Charter Street and Dayton Street and under the Wisconsin and Southern Railroad corridor to improve reliability of the distribution system sourced from the Charter Street Heating Plant (CSHP). The new compressed air, high pressure steam, low pressure steam, and pumped condensate return lines will be installed in two parallel bored utility tunnels.

Project work includes construction of two (2) parallel 10-foot diameter bored utility tunnels, two (2) steam pits, and an open utility tunnel. Steam pits 20.1/11 and 20.2/11 will be constructed north of Dayton Street and the Southern Wisconsin Railroad corridor. The bored utility tunnels will be constructed from the new steam pits to new vault structures constructed by the CSHP Rebuild Project (09A2L). The eastern bored tunnel will be 155 LF and the western bored tunnel will be 205 LF. The open utility tunnel will be constructed between steam pit 20.1/11 to steam pit 18/11 located near Charter Street and approximately 160 LF north of the Wisconsin and Southern Railroad corridor. Steam pits 20.1/1 and 20.2/11 will be cross connected by a 40 LF open utility tunnel.

This project is phase one of three, and phases two and three will be constructed through future projects. Phase II will abandon the north-south steam, condensate, and compressed

air piping in Charter Street and install a new concrete box conduit that connects to piping routed west along Dayton Street. Phase III will install a new concrete box conduit that connects to piping routed east along Dayton Street.

The steam distribution system in this area was installed when the CSHP was constructed in 1958. This is the primary service to the campus from CSHP. There have been several recent condensate leaks and upon repairing the latest leak, it was determined that the entire piping system, including the expansion joints and anchors, is in poor condition. Repairing the steam distribution system in its present location in Charter Street and under the Wisconsin and Southern Railroad corridor would be difficult and costly given the quantity of other utilities adjacent to it.

This project will provide a separate route exiting the CSHP, allowing the existing steam distribution system to be abandoned once the new utility tunnel is complete, which will reduce the utility outage required and provide a safe and reliable distribution system. The parallel utility tunnels provide better reliability, and the use of a more efficient and economic construction method compared to that requiring a significantly larger bore for a single utility tunnel under the Wisconsin and Southern Railroad corridor. Construction of a larger utility tunnel under the Wisconsin and Southern Railroad corridor may not be possible due to the constrictions of other utilities in the area.

MSN - Helen C. White Hall to Science Hall Utility Tunnel Replacement ($3,602,400): This project replaces a partially collapsed brick utility tunnel and the associated central utilities from the basement of Helen C. White Library south to Radio Hall and Science Hall. A domestic water pipe will also be replaced, and the primary and signal ductbanks will be constructed to relocate power and signal communication wiring from the brick utility tunnel before being demolished. The new compressed air (CA), high pressure steam (HPS), low pressure steam (LPS), and pumped condensate return (PCR) lines will be installed in a new concrete utility tunnel.

Mechanical utility work includes replacing the brick utility tunnel and the associated steam, condensate, and compressed air piping. A new concrete utility tunnel (130LF) will be constructed from the basement of Helen C. White Library south under Observatory Drive to the east side of Radio Hall. Three new sections of concrete box conduit will be installed, replacing piping in the same location from Radio Hall to Science Hall.

Electical and telecommunications utility work includes relocating primary power wiring from the brick utility tunnel to a new ductbank located adjacent to the new utility tunnel. The signal communication wiring will be relocated from the brick utility tunnel to a series of new ductbanks. Signal conduits will be installed from Helen C. White Library to the west end of Science Hall at the mid-section of the building to the utility tunnel at the south end of Radio Hall and from the center of Radio Hall east to Science Hall.

Plumbing utility and sitework includes relocating/replacing a domestic water line from, and adjacent to, the brick utility tunnel to a new location adjacent to the new utility tunnel. In order to keep Observatory Drive open for traffic, a temporary bridge will be constructed to

facilitate construction of the new utility tunnel. Temporary steam, condensate, compressed air, and domestic water may be required at times throughout the duration of construction. All areas disturbed by the project will be fully restored, including roadways and associated gutters, sidewalks, landscaping features, and site structures.

The brick utility tunnel in this area is more than 100 years old and has deteriorated and become a safety concern. A portion of the brick utility tunnel collapsed due to nearby construction, and due to the parking lot above the tunnel, the structural integrity of the tunnel has been compromised. The domestic water line installed in 1890 has been repaired several times. The East Campus Utility Improvements installed H-piles and lagging on both sides of the tunnel under Observatory Drive. These piles were left in place to support a temporary bridge.

4. Justification of the Request: UW System Administration and the Division of State Facilities continue to work with each institution to develop a comprehensive campus physical development plan, including infrastructure maintenance planning. After a thorough review and consideration of approximately 450 All Agency Project proposals and over 4,500 infrastructure planning issues submitted, and the UW All Agency Projects Program funding targets set by the Division of State Facilities (DSF), this request represents high priority University of Wisconsin System infrastructure maintenance, repair, renovation, and upgrade needs. This request focuses on existing facilities and utilities, targets the known maintenance needs, and addresses outstanding health and safety issues. Where possible, similar work throughout a single facility or across multiple facilities has been combined into a single request to provide more efficient project management and project execution.

5. Budget:

General Fund Supported Borrowing .... $ 11,609,500
Program Revenue Supported Borrowing 4,546,200
Program Revenue Cash.. 1,992,800
Gifts and Grants Funding.. 215,000
Total Requested Budget $ 18,363,500

6. Previous Action:

December11, 2009 Resolution 9710	The Board of Regents previously approved MIL - Sandburg Hall West Tower Exterior Window Replacement at an estimated total cost of $1,495,200 Program Revenue Cash.
February 4, 2010 Resolution 9735	The Board of Regents previously approved MIL - Great Lakes Research Facility SBA/USDA Laboratory Remodeling at an estimated total cost of $535,000 Gifts and Grants Funding.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

UW-Madison Memorial Union
800 Langdon Street, Main Lounge, 2nd Floor Central
Madison, Wisconsin
December 10, 2010, 9:00 a.m.

II.

9:00 a.m. All Regents – Memorial Union, Main Lounge, 2nd Floor Central

1. Calling of the roll

2. Approval of the minutes of the October 7 and 8, 2010 and November 4, 2010 meetings

3. National Perspectives – "*Survey of Young Alumni, UW and Nationwide*" and "*The Future of Higher Education in the Changed Political Environment*," discussion led by Terry Hartle, American Council on Education Senior Vice President, Division of Government and Public Affairs

4. Report and approval of actions taken by the Education Committee

5. Report and approval of actions taken by the Business, Finance, and Audit Committee

6. Report and approval of actions taken by the Capital Planning and Budget Committee

7. Resolution of appreciation to UW-Madison as host of the December meeting

8. Communications, petitions, and memorials

9. Unfinished and additional business

10. Move into closed session to consider UW-Milwaukee honorary degree nominations, as permitted by s. 19.85(1)(f), *Wis. Stats*.; to consider appointment of a UW Colleges and UW-Extension chancellor, as permitted by s. 19.85(1)(c), *Wis. Stats*.; to discuss the report of the Committee on Faculty and Academic Staff Collective Bargaining, as permitted by s. 19.85(1)(e), *Wis. Stats.*; to consider two student requests for review of UW-Milwaukee decisions and a student request for review of a UW-Madison decision, as permitted by s. 19.85(1)(f), *Wis. Stats*.; and to confer with legal counsel regarding pending or potential litigation, as permitted by *Wis. Stats.* 19.85(1)(g).

The closed session may be moved up for consideration during any recess in the regular meeting agenda.
The regular meeting will reconvene in open session following completion of the closed session.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM
President – Charles Pruitt
Vice President – Michael Spector

STANDING COMMITTEES

Executive Committee
Charles Pruitt (Chair)
Jeffrey Bartell
Mark Bradley
Judith Crain
Danae Davis
Michael Falbo
Brent Smith
Michael Spector

Business, Finance, and Audit Committee
Brent Smith (Chair)
Michael Falbo (Vice Chair)
Mark Bradley
David Walsh
Aaron Wingad
Betty Womack

Education Committee
Judith Crain (Chair)
José Vásquez (Vice Chair)
Danae Davis
Tony Evers
Jessica Schwalenberg

Capital Planning and Budget Committee
Jeffrey Bartell (Chair)
John Drew (Vice Chair)
Stan Davis
Tom Loftus
Ed Manydeeds

Personnel Matters Review Committee
Danae Davis (Chair)
Judith Crain
John Drew
Aaron Wingad

Committee on Student Discipline and Other Student Appeals
Brent Smith (Chair)
Stan Davis
Jessica Schwalenberg
Betty Womack

Committee on Faculty and Academic Staff Collective Bargaining
Michael Falbo (Chair)
Tom Loftus
Brent Smith
Michael Spector
Betty Womack

Danae Davis
Ed Manydeeds
Aaron Wingad
Betty Womack

Teaching Excellence Awards Committee
Betty Womack (Chair)
Jeffrey Bartell
John Drew
Ed Manydeeds
Jessica Schwalenberg

Academic Staff Excellence Awards Committee
John Drew (Chair)
Stan Davis
Brent Smith
José Vásquez
Betty Womack

Special Regent Committee for UW-Superior Chancellor Search
Mark Bradley (Chair)
Stan Davis
Ed Manydeeds
Jessica Schwalenberg
Brent Smith

Special Regent Committee for UW-Milwaukee Chancellor Search
Danae Davis (Chair)
Judith Crain
Tony Evers
Michael Spector
José Vásquez

Hospital Authority Board - Regent Members
Judith Crain
Michael Spector
David Walsh

Liaison to Association of Governing Boards
Michael Spector

Higher Educational Aids Board
Jeffrey Bartell, Regent Member

Research Park Board
David Walsh, Regent Member

Wisconsin Technical College System Board
José Vásquez, Regent Member

Wisconsin Educational Communications Board
Judith Crain, Regent Member

Wisconsin Partnership Program
Roger Axtell, Regent Liaison

OTHER COMMITTEES & APPOINTMENTS

Diversity Awards Committee
José Vásquez (Chair)
The Regents President and Vice President serve as ex-officio voting members of all Committees.

UW SYSTEM BOARD OF REGENTS
REGULAR MEETING SCHEDULE -- 2011

February 10-11, 2011 – In Madison

March 10, 2011 – In Madison

April 7-8, 2011 – Hosted by UW-Platteville

June 9-10, 2011 – Hosted by UW-Milwaukee

July 14-15, 2011 – In Madison

September 8, 2011 – In Madison

October 6-7, 2011 – Hosted by UW-Green Bay

December 8-9, 2011 – Hosted by UW-Madison