



**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: January 21, 2010 **REVISED 2/3/10**

TO: Each Regent

FROM: Jane S. Radue *JSR*

**PUBLIC MEETING NOTICE**

RE: Agendas and supporting documents for meetings of the Board of Regents and Committees, to be held at UW-Madison, Van Hise Hall, Madison, WI 53706 on February 4 & 5, 2010

Thursday, February 4, 2009

10:00 a.m. Business, Finance, and Audit Committee –Annual Trust Funds Investment Forum – Room 1920

11:00 a.m. *Growth Agenda* Planning, All Regents – Room 1820

12:00 p.m. Box Lunch

12:30 p.m. Board of Regents Standing Committee meetings:

Education Committee – Room 1920

Business, Finance, and Audit Committee – Room 1820

Capital Planning and Budget Committee meeting – Room 1418

Friday, February 5, 2009

9:00 a.m. Board of Regents meeting – Room 1820

*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 the above address.*

*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, Feb. 4, 2010 at 11:00 a.m. until approximately 12:00 p.m., and Friday, Feb. 5, 2010 at 9:00 a.m. until approximately 12:00 p.m.*

**REVISED 2/3/10**

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1. Education Committee -

Thursday, February 4, 2010  
**1920** Van Hise Hall  
1220 Linden Drive  
Madison, Wisconsin

10:00 a.m. Business, Finance, and Audit Committee – Room 1920

- Annual Trust Funds Investment Forum

11:00 a.m. All Regents – Room 1820

- *Growth Agenda* Planning

12:00 p.m. Box Lunch

12:30 p.m. Education Committee – Room **1920**

- a. Consent Agenda:
  1. Approval of the Minutes of the December 10, 2009, Meeting of the Education Committee;
  2. UW-Oshkosh: Program Authorization of the B.S. in Environmental Health;  
[Resolution I.1.a.(2)]
  3. UW-Stout: Program Authorization of the B.S. in Cognitive Science;  
[Resolution I.1.a.(3)]
  4. Approval: UW-Madison School of Medicine and Public Health Appointment to the Oversight and Advisory Committee of the Wisconsin Partnership Fund.  
[Resolution I.1.a.(4)]
- b. New Directions for Teacher Education in the UW System.
- c. UW-Milwaukee Charter Schools:
  1. Contract Approval for the Veritas School;  
[Resolution I.1.c.(1)]
  2. Charter Schools: Providing Blueprints for Successful Urban Education.
- d. Academic Program Planning and Array:
  1. Annual Report on Academic Program Planning and Review;
  2. UW System 2009 Program Realignment Initiative.
- e. Report of the Senior Vice President.
- f. Additional items may be presented to the Education Committee with its approval.

Program Authorization (Implementation)  
B.S. in Environmental Health  
University of Wisconsin-Oshkosh

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 Chancellor be authorized to implement the B.S. in Environmental Health.

**NEW PROGRAM AUTHORIZATION**  
**Bachelor of Science Degree in Environmental Health**  
**University of Wisconsin Oshkosh**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, Revised June 2009), the new program proposal for a Bachelor of Science degree in Environmental Health at UW-Oshkosh is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin five years after its implementation. The UW-Oshkosh and System Administration will conduct that review jointly, and the results will be reported to the Board.

The UW-Oshkosh Department of Biology & Microbiology was approached by individuals from the Wisconsin Environmental Health Association, the State of Wisconsin Department of Health and Family Service, and the U.S. Department of Health and Human Services and asked to develop a major in Environmental Health at UW-Oshkosh. The need for well-trained professionals in the field of environmental health is great. According to Dr. Sharunda Buchanan, Director of the Division of Emergency and Environmental Health Services at the Centers for Disease Control, more than ninety percent of the environmental public health workforce in the U.S. has no formal education in environmental health. Fifty percent of the environmental health workforce nationwide is within five years of retirement. These statistics predict that the current shortage of well-trained environmental health professionals will become severe in a few short years. This program will address these workforce needs.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(2), authorizing the implementation of the Bachelor of Science in Environmental Health at UW-Oshkosh.

**DISCUSSION**

**Program Description**

The proposed UW-Oshkosh Bachelor of Science degree in Environmental Health, offered by the Department of Biology and Microbiology, is fully aligned with the standards put forth by the National Environmental Health Science and Protection Accreditation Council (EHAC). Environmental health is the science and art of controlling environmental hazards to preserve and improve the health, safety, and well-being of people. The Bachelor of Science in Environmental Health will require students to complete 120 credits. There are 64-66 credits of required major courses. Students are also required to take 26 credits of general education courses that have been selected by the program faculty (English 318, Environmental Studies 162, Environmental Studies 261, Math 104, 106 or 108, Nursing 340, Public Administration 221, and Public

Administration 307) and an additional 30 credits of general education of their own choice that fulfill the Bachelor of Science degree general education requirements. The general education component of the major is consistent with the requirements of the College of Letters and Science at UW-Oshkosh for the Bachelor of Science degree. A supervised internship for three credits is required near the end of the student's program, in which students will work under the supervision of a public health professional or agency to gain expertise in the field of environmental health. All students in the Department of Biology and Microbiology are required to participate in a senior-year experience where the student's knowledge of the program content is assessed. Students will be required to pass an exit exam prior to graduation.

Students completing the major will be eligible to sit for a licensure exam as a Registered Sanitarian (RS) after graduation. An RS is a person who is trained and experienced in the field of sanitary science and technology and who is authorized to carry out the educational, inspection, and enforcement duties in the field of environmental health services. An RS conducts inspections of various types of businesses that provide services to the public, including but not limited to restaurants, housing and institutions, waste management services, pest control, and recreational facilities. An RS determines whether such businesses or facilities are in compliance with the state and local codes governing sanitation and environmental health. Jobs for Environmental Health majors with the RS licensure are abundant and will be expanding as the current workforce retires. Registered Sanitarians work for state, county, or city departments of health, or for institutions conducting research on environmental health.

Based upon past experience in the Department of Biology and Microbiology, it is anticipated that approximately 25% of the program's graduates will go on to receive advanced degrees in the field (e.g., Masters of Public Health, Ph.D. in Epidemiology, Ph.D. in Environmental Health,). Most of the remaining 75% are expected to pursue licensure in order to go directly into the workforce as RSs.

### **Program Goals and Objectives**

The overall goal of the major is to provide premium quality education and training of environmental health science and protection practitioners. The program's learning objectives are aligned to the Association of Environmental Health Academic Programs (AEHAP) guidelines. Students completing the program will:

- Demonstrate critical thinking.
- Complete an extended field training practicum.
- Appreciate professional obligations and become life-long learners.
- Demonstrate skills, technical knowledge and attributes necessary to function as members of a health team in the public or private sector based upon a sound foundation of instruction in core, related and technical areas.
- Demonstrate skills in basic science (biology, chemistry, and physics).
- Demonstrate skills in communication (written composition, public speaking and computers).
- Demonstrate skills in pre-calculus.
- Demonstrate knowledge in general education (humanities and social sciences).

This program will also meet the following general College of Letters and Science learning outcomes:

- To gain knowledge of human cultures and the physical and natural world.
- To gain knowledge of intellectual and practical skills, including identification and objective evaluation of theories and assumptions; critical and creative thinking; written and oral communication; quantitative literacy; technology and information literacy; teamwork; leadership; and problem solving.
- To develop responsibility, as individuals and communities, including knowledge of sustainability and its applications; civic knowledge and engagement — local and global; intercultural knowledge and competence; ethical reasoning and action; foundations and skills for lifelong learning.
- To experience learning that is integrated, synthesized, and advanced, including synthesis and advanced accomplishment across general and specialized studies demonstrated through the application of knowledge, skills, and responsibilities to new settings and complex problems.

### **Relation to Institutional Mission**

The UW-Oshkosh Mission Statement encompasses three main points: 1) Providing students access to a high-quality, affordable, comprehensive education; 2) Fostering scholarly activities of faculty, students, and staff; and 3) Sharing intellectual and specialized capabilities with individuals, organizations, and communities in the University's Wisconsin region and beyond.

This proposed new major will work toward all three of these goals. The major will provide students with access to a new and expanding discipline in the biological/environmental sciences and will work to ensure that these students will be well-prepared for careers in Environmental Health. Many students in the major will complete research-based internships that will develop their scholarly skills while also contributing to the research of faculty. Many of the Learning Objectives identified by the UW-Oshkosh Liberal Education Reform Team will be met by courses required in the curriculum. For example, "knowledge of human culture and the physical and natural world" will be obtained in most of the courses required for this new major. In addition, skills such as "critical and creative thinking," "written and oral communication," "quantitative literacy," "technology and information literacy" and "teamwork, leadership, and problem solving" will be integral to the major. Finally, development of a disposition of "responsibility as individuals and communities" will be fostered as students work on public health issues affecting communities and individuals around the country and the world.

UW-Oshkosh's commitment is that the programs and services of the university will be guided by five strategic directions: community, teaching, scholarship, partnership, and stewardship. The proposed major promotes all of these strategic directions. For example, development of an engaged student population *connected to local and global communities* is prized by the University's strategic plan. This major teaches students the skills necessary to work in local communities to protect public health and the environment. Through this major, students and faculty will *develop and expand regional outreach and domestic and international*

*partnerships* using the University's talents to help solve environmental health problems. Internships in communities throughout Wisconsin and research projects with faculty studying environmental health issues will *engage students inside and outside of the classroom*, as well as enhance a *vigorous scholarly environment for research, intellectual activity and creative expression*.

## **Program Assessment**

The program will be evaluated using the Academic Program Review process that is part of the UW-Oshkosh governance structure. This process involves a review of curriculum, faculty resources, program capacity, and enrollment on a seven-year cycle. The program also solicits feedback from an external reviewer. Additionally, the program has an assessment review through university governance bodies. This provides the program and the faculty in the major with information about alignment of outcomes, assessment instruments, assessment results, and curriculum changes based on how well students have met the identified student learning objectives. This process takes place in the major on a yearly cycle and it goes through governance every two years. The assessment process is used to review the efficacy of the program curriculum. The department will also seek accreditation of the program through the AEHAP.

The faculty use assessment results for the purpose of regular curricular review and improvement. Data is aggregated on critical program components and used by faculty as a basis for overall program review. For example, students will be assessed in their internship experiences through their own written assessments of their progress in the internship, and assessments from their internship supervisor. The Environmental Health Coordinator will meet with internship supervisors and students (face-to-face or via teleconferencing) to assess progress. In addition, all students complete a senior experience and data from the senior experience are aggregated and reviewed by faculty as a part of program assessment. This experience involves a direct assessment of student learning which requires students to answer questions based on learning objectives of each major course, including skill development in oral and written communication, quantitative skills, and analysis. A second component of the experience also asks about students' graduate/professional school plans or job search and allows the program faculty to track student achievement after graduation.

## **Need**

This program will contribute to the improvement of Wisconsin communities through improved health conditions and address the UW-Oshkosh Growth Agenda initiatives to expand enrollment and increase the number of bachelor degrees conferred, especially in existing high-demand bachelor degree programs such as biology and microbiology, and environmental studies.

As mentioned earlier, the impetus for this proposed major has come from the professional organization representing Environmental Health (EH) professionals in Wisconsin. This organization and the State of Wisconsin Bureau of Environmental and Occupational Health have identified a lack of undergraduate EH education as a threat to their workforce and the public

health workforce at-large. Additionally, due to the lack of EH programs in Wisconsin and neighboring states, there is a great opportunity for future growth of this program.

Employment opportunities exist for all graduates at the local, regional, county, state, and federal level of environmental health. Specifically, the Wisconsin Department of Workforce Development projects that there will be an increase in jobs for Environmental Scientists/Specialists/Technicians ranging from 9-25% in the next ten years in the eastern half of Wisconsin. Nationally, the Bureau of Labor Statistics projects a 20-30% increase in available jobs in Environmental Health. In addition, with the recent approval of UW-Milwaukee's Ph.D. in Environmental and Occupational Health, there is more of an opportunity for Oshkosh graduates to stay in Wisconsin and continue their education.

### **Projected Enrollment (5 years)**

<b>Year</b>	<b>1<sup>st</sup> Year</b>	<b>2<sup>nd</sup> Year</b>	<b>3<sup>rd</sup> Year</b>	<b>4<sup>th</sup> Year</b>	<b>5<sup>th</sup> Year**</b>
New Students Admitted	10	16	20	20	20
Continuing Students*	0	8	20	32	32
Total Enrollment	10	24	40	52	52
Graduating Students	0	0	8	12	16

\*Assumes an 80% retention rate (as per historical data) and addition of students from existing majors.

\*\*It is anticipated that a steady state for the major will take place in year five.

### **Comparable Programs**

The only comparable undergraduate Environmental Health program in Wisconsin is at UW-Eau Claire. It primarily serves students in western Wisconsin, while the proposed program at UW-Oshkosh would serve the eastern half of the state. Additionally, the expertise of the UW-Oshkosh faculty is somewhat different. The Environmental Health faculty members at UW-Eau Claire primarily have specialties in chemistry, while the UW-Oshkosh faculty have expertise in microbiology. Lake Superior State University in Michigan and Illinois State University are the only other accredited programs in proximity to Wisconsin. Lake Superior State University has a very small enrollment and serves the entire state of Michigan. The faculty at Lake Superior State has expertise in chemistry. Illinois State University has a larger program and is focused on Industrial Hygiene and Health.

### **Collaboration**

This program has already established connections with numerous external constituencies including the Ashland, Door, Oneida, Winnebago, Douglas, Manitowoc, Kewaunee, Bayfield, Marquette, Sheboygan, and Vilas County health departments. Furthermore, UW-Oshkosh has the only on-going, formalized collaborative relationship in Wisconsin with the American Health Education Council (AHEC) which provides access to the public health community throughout the state and internships in local health departments. Faculty members involved with Environmental Health have established research collaborations with UW-Manitowoc, Northland College, the Great Lakes Water Institute (Milwaukee), and with many counties along the Great



Lakes. These collaborations currently allow UW-Oshkosh students to participate in ongoing environmental health research. Meetings have taken place with faculty from Northland College, UW-Eau Claire, and Lake Superior State University (MI) about possible educational collaborations. Additionally, Milwaukee Area Technical College has expressed interest in developing an articulation agreement with its two-year EH Technician program. Likewise, it is anticipated that two-year campuses that are part of the NEW ERA consortium (UW-Manitowoc, UW-Fox Valley, and UW-Fond du Lac) might also want to send students into this major.

## **Diversity**

UW-Oshkosh is committed to finding ways to expand the diversity of its student body and faculty. This program will recruit students statewide, and region-wide including from the technical colleges and UW Colleges. It is also expected that regional collaborations within Wisconsin will expand relationships with tribal colleges. For example, several of the collaborative research/internship arrangements for this new major that are already in place serve Wisconsin counties with a significant Native American population (e.g. Vilas County Health Department serves Bad River and Lac de Flambeau tribes). There are faculty and students from the Department of Biology and Microbiology already working in these areas and their presence will be used to actively recruit students from diverse backgrounds to this major. Faculty will make presentations in these locations and establish formal relationships with environmental health professionals and agencies in order to further identify and recruit potential students. Likewise, the program faculty plan to open communication with the Oneida Nation to recruit Native American students from the Green Bay vicinity through presentations and affiliations with agencies and professionals. Plans are also underway to actively recruit students for the major from the McNair Scholars Program on the UW-Oshkosh campus by engaging those scholars in undergraduate research, participation in EH student organizations, and through presentations at McNair events.

Most students will participate in internships within the state of Wisconsin, though there are some internship opportunities beyond the state that can offer students a different and culturally rich opportunity. UW-Oshkosh has an articulation agreement with the Wind River Tribal College (Wyoming) and an EH faculty member has taught a course on the Wind River Reservation on Water Quality. Other course offerings at Wind River are in the planning stages. EH students may collaborate with faculty for internships or undergraduate research projects in Wyoming. Also, through the American Health Education Council (AHEC) internship program, students may complete internships in health departments that serve diverse populations within the state, including Milwaukee, Racine, Madison, and Kenosha.

Course work within the EH major emphasizes similarities in human physiologies to study effects of environmental changes on human health. A few courses, however, do look at socioeconomic and racial differences in exposure to environmental factors impacting human health. These courses allow students to investigate differential environmental health impacts on diverse populations.

Faculty recruitment in the Department of Biology and Microbiology is conducted with an interest in hiring women and under-represented minorities, wherever appropriate. Currently

approximately 40% of the faculty in the department are women. Since the courses for this program already exist as a part of the curriculum and the department has the necessary faculty to teach the courses, no new faculty are required to start this major.

### **Evaluation from External Reviewers**

The reviewers were strongly supportive of the proposed program. They noted that the proposal demonstrates how the program will meet a growing need in the field and that the program is well-positioned in a successful academic department. One reviewer focused on the ability of the proposed major to meet accreditation requirements. Her comments focused on how the program could clarify its curriculum plan and the faculty has modified some of the courses to address the issues she mentioned.

The other reviewer was equally positive about the proposed major. She had suggestions regarding the curriculum that the faculty has implemented. She also asked for clarifications regarding some components of assessment and, in response, the role of the senior experience and internship components in the overall program assessment were clarified. Based upon her suggestions, the rate of employment for Environmental Health graduates was also added as another program quality indicator.

### **Resource Needs**

This program will require 4 FTE faculty to teach the courses necessary for the major. The four faculty members are currently teaching courses in the department. One of these four faculty positions is funded by 2009-2011 Growth Agenda dollars that were provided to develop this new major. That person was hired and began employment in fall 2009. The courses for the major are all pre-existing courses that have been reconfigured for the new major. Neither faculty nor funding needs to be reallocated because the reconfigured courses and faculty to teach the courses are already funded within the department. These courses have previously been necessary for students in nursing, environmental studies, and health care sciences, and can still be used by these other programs. The proposed program will require a .8 FTE academic staff member to support faculty, provide administrative support, order supplies, and assist in reporting functions. The proposed program will require \$3,210 for supplies and equipment to cover the annual costs of lab supplies, office supplies, and some lab equipment. There are no additional budgetary requirements for implementation of this program. All faculty, staff, and supplies and equipment expenses are currently supported by GPR funding.

## Estimated Total Costs and Resources

	FIRST YEAR		SECOND YEAR		THIRD YEAR	
CURRENT COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff	4.00	\$217,420	4.00	\$223,941	4.00	\$230,680
Academic Staff	.8	\$24,631	.875	\$25,370	.875	\$26,131
Non-personnel						
Supplies & Expenses		\$3,210		\$3,306		\$3,406
Subtotal		\$245,261		\$252,617		\$260,217
ADDITIONAL COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel		0.00		0.00		0.00
Nonpersonnel		0.00		0.00		0.00
Subtotal		0.00		0.00		0.00
TOTAL COSTS		\$245,261		\$252,617		\$260,217
CURRENT RESOURCES						
General Purpose Revenue (GPR)		\$245,261		\$252,617		\$260,217
Subtotal		\$245,261		\$252,617		\$260,217
ADDITIONAL RESOURCES						
GPR Reallocation		0.00		0.00		0.00
Subtotal		0.00		0.00		0.00
TOTAL RESOURCES		\$245,261		\$252,617		\$260,217

## RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.a.(2), authorizing the implementation of the Bachelor of Science in Environmental Health at UW-Oshkosh.

## RELATED REGENT POLICIES

University of Wisconsin System Academic Planning and Program Review (November 10, 1995)  
Academic Informational Series #1 (ACIS-1.0, Revised June 2009)

Program Authorization (Implementation)  
B.S. in Cognitive Science  
University of Wisconsin-Stout

EDUCATION COMMITTEE

Resolution I.1.a.(3):

That, upon recommendation of the Chancellor of the University of Wisconsin-Stout and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.S. in Cognitive Science

**NEW PROGRAM AUTHORIZATION**  
**Bachelor of Science in Cognitive Science**  
**University of Wisconsin-Stout**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, Revised June 2009), the new program proposal for a Bachelor of Science in Cognitive Science at the University of Wisconsin-Stout is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin five years after its implementation. The University of Wisconsin and System Administration will conduct that review jointly, and the results will be reported to the Board.

Cognitive science is the study of how the human mind/brain thinks through processes such as perception, memory, and reasoning, the study of intelligent systems, and the study of the interface of these with technology. It approaches this study through experimental methods and the construction of theories and models at the computational and neural levels. In its application, cognitive science aims at the development of smart devices, for example artificial intelligence and assistive technologies, which extend and enhance human capacities. Cognitive Science originated with philosophical questions concerning the nature of mind and knowledge and with developments during the 1950's in computer science, cognitive psychology, and linguistics that provided intersecting answers to these questions. Given the multidimensional nature of the mind and intelligence, cognitive science combines a number of disciplines in its investigation: biology, computer science, linguistics, mathematics, neuroscience, philosophy, and psychology.

Graduates of the B.S. in Cognitive Science program will apply their knowledge and skills to occupational areas such as human factors engineering, human/computer interaction, artificial intelligence design, market research analysis, neurological testing and product design, robotics, and web development. In each of these areas, there is a need to understand how the human mind processes information and knowledge of information systems in general. Occupational areas such as these are projected to grow regionally (Wisconsin, Minnesota, and Illinois) from a range of 5% to 51%, and nationally from a range of 7% to above 21% for 2006-2016. UW-Stout's B.S. in Cognitive Science will be the first undergraduate cognitive science program in Wisconsin.

The B.S. in Cognitive Science grew out of the collaboration of four members of the Psychology Department and one member of the Biology Department. This collaboration succeeded in securing a National Science Foundation student learning project, C-NERVE (Cognitive Neuroscience Education and Research-Valued Experience), that led to the development of a cognitive neuroscience minor. Both C-NERVE and the cognitive neuroscience minor in the Psychology Department have attracted strong student interest with twenty students enrolled in C-NERVE and thirty students in the minor. Based on this student interest and the interest of a growing interdisciplinary faculty group that now includes seven disciplines across three colleges, the faculty group concluded that a broader B.S. in Cognitive Science, which includes neuroscience as a subfield, would best serve students' career interests by preparing them for a broad array of professions.

## **REQUESTED ACTION**

Approval of Resolution I.1.a.(3), authorizing the implementation of the B.S. in Cognitive Science at the University of Wisconsin-Stout.

### **Program Description**

The interdisciplinary Cognitive Science program is an on-campus program that provides students with knowledge of the information processing aspects of the human mind, cognitive science research methods, philosophical interpretations of differing conceptions of knowledge and of the human mind and its relation to technology, mathematical and computer modeling of the mind and information systems, the neurophysiology of the mind/brain and its interface with technology, and advanced undergraduate lab-based research focused on applied problems in cognitive science. The interdisciplinary nature of the program requires students to synthesize multiple scientific and humanistic perspectives to develop an integrated understanding of the human mind and information systems. The applied focus of the Cognitive Science curriculum is extended by relating the student's understanding of the human mind and information systems to a specific applied area through the choice of the student's minor or self-planned concentration. For example, students will apply their cognitive science skills and knowledge base to minors or self-planned concentrations in fields already offered by UW-Stout, such as computer science, disability services, bioinformatics, graphic design, human factors engineering, or marketing.

The proposed B.S. in Cognitive Science will be housed in the College of Education, Health and Human Sciences. The majority of courses will come from the Departments of Biology, Mathematics and Computer Science, Philosophy, and Psychology. A program director will be selected from the faculty in the Cognitive Science program and will be responsible for coordinating the program, including admissions and curricular planning. Other faculty involved in the program will assist as student advisors. The curriculum will consist of 120 credits: 40 credits of general education courses, 32 credits of cognitive science core course, 6 credits of psychology selectives, 12-13 credits of natural science selectives, 5-15 credits of additional cognitive science selectives, and 15-22 credits in a minor or self-planned concentration approved by the cognitive science program director.

In line with UW-Stout's applied focus, students will develop their applied research skills through a sequence of lab-based cognitive science courses that will provide hands-on, experiential learning. The lab courses will require students to apply an increasingly sophisticated and integrated understanding of the human mind and information systems, developed through the integrated sequencing of courses in the curriculum, to real-world problems. The lab courses will culminate in a capstone experience and include opportunities for internship and co-op learning experiences. The cognitive science curriculum will provide students with expertise in the information processing aspects of the mind and the interface of this with technology that will enable them to meet their career goals and prepare them for possible graduate studies.

Admission requirements for the B.S. in Cognitive Science will be the same as UW-Stout's general entrance requirements. Graduation requirements will include a grade of C or better for each course in the major and a minimum 2.5 G.P.A. overall for program courses.

### **Program Goals and Objectives**

An important aspect of the curricular objectives is that the program will be enacted within a developmental sequence that introduces students to the interdisciplinary nature of cognitive science and its methods, provides foundational courses in each of the relevant disciplines,

provides advanced course work that integrates these perspectives into a unified understanding of the mind and information systems, and culminates in applied research experiences and internship opportunities. The introductory cognitive science courses and the advanced research experience courses, in particular, will be team-taught and focus on developing an interdisciplinary and integrated understanding of cognitive science. Through this curricular approach, the program objectives will be addressed in a well-defined sequence from year to year, and where appropriate, be infused throughout the curriculum.

UW-Stout has identified the following expectations and learning outcomes for all graduates of baccalaureate degree programs. Graduates will possess:

1. The fundamental skills and knowledge defined by the University's approved goals for General Education.
2. The skills needed to perform successfully at the entry level in a career of their choice, and the ability to learn and adapt that will support their continuing career growth and development.
3. A sensitivity to and appreciation of cultural diversity and living in a global community.

Upon completion of the B.S. in Cognitive Science graduates will:

1. Be able to describe, explain, and analyze the major concepts, philosophical and theoretical perspectives, empirical findings, and historical trends in cognitive science, including findings and trends related to cultural diversity and living in a global community.
2. Be able to use cognitive science knowledge base to create their own methods for answering novel questions of either a theoretical or applied nature, and to critically evaluate the work of others in the same domain.
3. Be proficient with basic cognitive science research methods, including both theory-driven and applied research design, data collection, data analysis, and data interpretation.
4. Demonstrate the ability to integrate methodological knowledge and skills to design and execute independent research activities, in either the empirical, theoretical, or applied domains of cognitive science.
5. Be proficient in using computer-based laboratory technology to engage in cognitive science research activities.
6. Value and use critical and creative thinking, open-minded inquiry, an appreciation of diversity, and a scientific approach to analyze and solve problems in cognitive science.
7. Demonstrate effective communication skills in specific contexts and formats (formal and informal; oral, written, and online) within the cognitive science field.
8. Demonstrate an effective approach to career planning, effectively utilizing mentoring for professional advancement and for responding to progress evaluations for cognitive science.
9. Demonstrate an understanding and an ability to analyze ethical issues, including issues related to cultural diversity and living in a global community, relevant to cognitive science, and demonstrate the ability to apply this understanding to professional situations. Students will be able to identify, evaluate and communicate ethical considerations for any given disciplinary activity.

### **Relation to Institutional Mission**

The B.S. in Cognitive Science program relates directly to UW-Stout's newly approved select mission and promotes its recent designation as Wisconsin's polytechnic university.

**UW-Stout Mission Statement:** *University of Wisconsin-Stout is a career-focused, comprehensive polytechnic university where diverse students, faculty and staff integrate applied learning, scientific theory, humanistic understanding, creativity and research to solve real-world problems, grow the economy and serve a global society.*

The B.S. in Cognitive Science will help grow the Wisconsin economy and serve a global society by preparing graduates for professional careers in fields such as information technology, human factors engineering, medical imaging and analysis, neurological testing, human performance testing, education, and assistive technologies. The interdisciplinary and applied emphasis of the Cognitive Science program will combine the perspectives of biology, computer science, mathematics, neuroscience, philosophy, and psychology. This interdisciplinary approach will result in a unique blend of scientific theory, humanistic understanding, and creativity and research that is applied to solving real-world problems such as the development of effective artificial intelligence systems or effective online learning environments. The Cognitive Science program will blend theory with applied learning by combining advanced course work with applied research experiences and pairing students with faculty mentors who will help students to develop the problem-solving skills and analytic tools so important for professional advancement.

### **Program Assessment**

The B.S. in Cognitive Science program will be assessed by measuring student learning outcomes relative to the program goals and objectives. Students will create portfolios to document their work on significant projects that demonstrate their skills and knowledge in the core areas of the Cognitive Science curriculum, their self-planned concentration or minor, and their Cognitive Science selective courses. A stratified sample of portfolios from the freshman through senior years will be reviewed on an annual basis by members of the Cognitive Science faculty and industry members of the program advisory board. The assessment committee will assess the quality of the work presented in the portfolios, looking to identify increasing levels of comprehension and sophistication in the students' knowledge base and skills and an increasing ability to effectively apply these to problem-solving. Particular attention will be directed to the students' work in the Advanced Cognitive Science Studios that occur during the junior and senior years and that enable students to work on applied research projects that culminate in a capstone experience. The results of the portfolio review will serve to identify programmatic strengths and weaknesses. Faculty will connect with industry and cognitive science experts to keep the knowledge base relevant, current, and innovative.

In addition to the portfolios, the Educational Testing Service (ETS) has a Major Field Test (MFT) in psychology. Two of the four subscales load heavily onto the cognitive science curriculum, and ETS allows local sites to add fifty locally-authored questions to the exam. The Cognitive Science faculty in disciplines such as biology, computer science, and philosophy will create a test bank of questions addressing the remaining subject matter of cognitive science and will track student performance over successive graduating classes. The MFT will be administered to each student in the final semester of the program. Graduating seniors will also complete a comprehensive exit survey in which they report on various aspects of their experiences of the major.

The campus Planning and Review Committee (PRC) conducts formal reviews of degree programs every seven years. Present and past students, faculty, and program advisory committee



members are surveyed. The program director develops a self-assessment report that is reviewed in a formal hearing conducted by PRC with the final results presented to the Faculty Senate and the Provost, who then submits committee findings to UW-System. Based on the results of the PRC review, the program director will address any areas of concern that arise.

University-wide graduate and employer follow-up surveys are conducted regularly by the UW-Stout Office of Budget, Planning and Analysis to track one-year and three-year graduates and assess employer satisfaction with graduates. Analysis of the results of the surveys by the program director will provide an additional basis for improvement in the program and its curriculum. Questions related to the cognitive science program objectives will be included as a supplement to the standard survey.

## Need

Graduates of the Cognitive Science program will possess general skills in effective communication, creative thinking, hypothesis generation, analytic reasoning, experimental design, data analysis and interpretation, and the ability to synthesize skills and knowledge from multiple perspectives for effective problem-solving. The Cognitive Science curriculum will also provide graduates with specific knowledge of human behavior, neurophysiology, the interface between humans and technology, the design and operation of intelligent systems, and systems of knowledge representation. These skills and knowledge are essential to serving the increasing technological needs of industry and society in the 21<sup>st</sup> century in fields such as information technology, human factors engineering, computer interface design, and medical imaging.

During summer 2009, UW-Stout's Applied Research Center conducted a needs assessment study for graduates with a B.S. in Cognitive Science at both the regional and national levels. The study involved a regional telephone survey of employers in Wisconsin, Minnesota, and Illinois and reviews of regional and national employment projections for occupations for which a degree in cognitive science is relevant.

A total of 24 employers participated in the telephone interview. The results from the telephone survey indicated that 88% of the respondents currently employ people in areas related to cognitive science and 91% indicated that they plan to hire individuals in these areas within the next 5 years. Respondents were asked about the need for graduates entering the workforce to be trained in cognitive science. The most common response was "some need," and just over half indicated "much need" or "great need."

Based on state employment and economic development websites, the regional employment projections indicate the following. For Wisconsin, thirteen occupational areas (e.g., computer systems analyst, market research analyst, and health information technician) were identified for which a degree in cognitive science is a relevant qualification. All thirteen areas are projected to grow, ranging from 5% to 44% for 2006 to 2016. For Minnesota, five occupational areas (e.g., data communications analyst, graphic designer) were identified relevant to the cognitive science field. All five are projected to grow, ranging from 12% to 51% for 2006 to 2016. For Illinois, eleven positions (e.g., data base administrator, marketing managers) were identified relevant to the cognitive science field. All eleven areas are expected to grow, ranging from 12% to 50% for 2006 to 2016.

Based on data from O\*Net Online, the national employment projections indicated nine occupational areas (e.g., computer systems administrators, health information technicians,

information systems managers) for which a degree in cognitive science is a relevant qualification. All nine areas are projected to grow from 2006 to 2016, with the percent change ranging from 7% to above 21%. Four of the nine areas were listed with projected growth of above 21%. This is the highest projected growth ranking that O\*Net Online assigns.

### **Projected Enrollment**

Student demand for the B.S. in Cognitive Science is strong. Currently, thirty UW-Stout students have declared a Cognitive Neuroscience minor. Of these thirty students, twenty also participate in C-NERVE, (Cognitive Neuroscience Education and Research-Valued Experience project funded by a National Science Foundation grant). Although these students already have declared majors in Psychology, their involvement in cognitive neuroscience is an indication that students want to study, at a deeper level, the cognitive processing aspects of the mind and the application of these to technology. Since cognitive science involves a broader approach to studying the mind that includes cognitive neuroscience as a subfield, the current interest among students indicates that a B.S. in Cognitive Science will be an attractive major for new students.

To further assess student interest, UW-Stout's Applied Research Center conducted a survey in winter 2009 of high school juniors and seniors who had indicated an interest in attending UW-Stout. 214 students were contacted, and 30 students completed the survey. The survey results indicated that 43% of the respondents would consider a major that would allow them to study different fields, such as psychology and biology, and different topics such as the brain, emotions, and learning, and to personalize their education to apply these topics to specialized interests (the basis of the cognitive science curriculum). Forty-seven percent of the respondents were interested in the topics of brain/behavior and psychology that are the main focus of a cognitive science degree, and fifty five percent of respondents said that they had "some interest" or "much interest" in studying how the brain controls "behavior, emotions, learning, memory and decision-making." Student interest in the broad occupations for which a cognitive science degree is a relevant qualification ranged from a high of 36% (marketing) and 33% (information technology) to a low of 6.9% (education). The average was 22% for five occupational areas.

The overall results of the survey suggest not only that a B.S. in Cognitive Science would meet the interests of students considering college options, but more specifically, the way the program has been designed as career-focused, would attract students specifically to UW-Stout. Based on the survey results and the current interest of students at UW-Stout, the projections for anticipated enrollments indicated below are reasonable and sustainable. In addition to incoming high school graduates, it is anticipated that technical college students with A.A. degrees in areas such as information technology or medical imaging and diagnostic testing will transfer into this new program.

The numbers below anticipate a 75% retention rate from freshman to sophomore year. Projections include new student admits, continuing students, total enrollment, and graduating students. These numbers start with a small, first-year recruitment and build to a sustainable recruitment level of forty students per year.

Year	Implementation year	2nd year	3rd year	4th year	5th year
New students admitted	20	25	30	35	40
Continuing students	0	15	34	57	69
Total enrollment	25	40	64	92	109
Graduating students	0	0	0	15	19

### **Comparable Programs in Wisconsin**

Currently, UW-System has no undergraduate degree programs in cognitive science. The Psychology Department at UW-Madison offers course work in the cognitive sciences but does not offer an undergraduate major or minor in cognitive science. There is an undergraduate minor in neuroscience offered by the Psychology Department at UW-Oshkosh, and the Biology Department at UW-Madison offers a neurobiology concentration, but no major or minor, as part of its biology major. Although cognitive science and neuroscience do have minimal overlap in content, there are fundamental differences between these disciplines and the UW-Stout program will be distinctly different than those offered on other UW campuses, in both content and applied pedagogy.

### **Comparable Programs Outside of Wisconsin**

In a 100-mile radius of UW-Stout, only Macalester College offers a similar program in Cognitive and Neuroscience Studies. The Psychology Department at the University of Minnesota, Twin Cities, offers coursework in the cognitive sciences but does not offer an undergraduate major or minor in cognitive science. The Biology Department at the University of Minnesota, Twin Cities, offers a B.S. in Neuroscience, but neuroscience is a subfield within the broader cognitive science field. Thus, this program is narrower in focus than UW-Stout's proposed B.S. in Cognitive Science. Nationally, Indiana University and the University of California-Berkeley offer interdisciplinary undergraduate programs in cognitive science. However, these programs and the program at Macalester College are more theoretically based and lack the applied focus of UW-Stout's program.

### **Collaboration**

The Cognitive Science program will enhance UW-Stout's commitment to serve the four-year baccalaureate degree completion interests of students within the Wisconsin Technical College System. In fact, UW-Stout admits more transfers, approximately 30% more than the next highest campus, from technical colleges than any other comprehensive campus in the system. This gives UW-Stout a distinct advantage in attracting students to the new Cognitive Science major in that the campus is seen as a desirable destination for technical college students. Since the Cognitive Science program has application to a number of technical college offerings, such as information technology, marketing, medical imaging and diagnostic testing, and web design, the program will be an attractive option for technical college students who wish to pursue a bachelor's degree. Initial contacts have already been made through the Offices of the Presidents at Chippewa Valley Technical College (CVTC), Madison Area Technical College

(MATC), and Wisconsin Indianhead Technical College (WITC) to discuss the B.S. in Cognitive Science program and establish transfer agreements. CVTC, MATC, and WITC have each expressed a strong interest in the program. Pending approval of the Cognitive Science program, additional meetings are planned to work out the details of the transfer agreements.

Currently, there are no undergraduate degree programs in Cognitive Science in the UW-System. However, the UW-Madison Psychology Department offers some undergraduate courses that are part of UW-Madison's Cognitive Science Cluster. Initial contacts have been made with the UW-Madison Psychology Department to explore opportunities for making these courses available to students in the UW-Stout program. Also, the UW-Eau Claire Computer Science Department offers some courses, e.g., artificial intelligence, that would benefit students in UW-Stout's Cognitive Science program. Initial contacts have been made with the UW-Eau Claire Computer Science Department to establish collaboration opportunities.

## **Diversity**

Students enrolled in this program will be required to satisfy UW-Stout's Ethnic Studies requirement. This requirement goes beyond the UW-System requirement of three credits in ethnic studies-related content by requiring six credits of approved ethnic studies course work. In addition, the Cognitive Science faculty will infuse diversity-related content into the Cognitive Science program in courses such as Cognitive Science I and II, Philosophy of Mind, Advanced Cognitive Science Studio, Social Cognition and Behavior, Motivation and Emotion, and Cognitive Processes. For example, issues relating to the impact of cultural differences on cognitive processes (e.g., the influence of cultural bias in test design and test performance) will be embedded into the curriculum. Specific course content will be designed to ensure that the contributions of diverse practitioners are included, and inclusion of diversity-related course content will be part of the ongoing assessment of the effectiveness of the Cognitive Science program.

Students in the Cognitive Science program will be exposed to a diverse set of faculty and academic staff. The current core Cognitive Science faculty is comprised of 67% women. The Psychology Department is comprised of approximately 63% women and 5% minorities. However, it should be noted that the Cognitive Science program also includes a number of faculty from departments other than Psychology. The Cognitive Science faculty recognizes the importance of increasing diversity within its instructional ranks and is committed to doing this. To achieve this goal, the Cognitive Science faculty will follow UW-Stout hiring procedures aimed at maximizing diversity within the hiring pool.

The Psychology program at UW-Stout is the program most closely related to the proposed Cognitive Science program. In 2006, minorities comprised 2% of the B.A. in Psychology graduates (Equity Scorecard Project, Interim Retention Report, p. 15 <http://www3.uwstout.edu/provost/upload/irr.pdf>). In 2007, minorities represented 11% of the total student enrollment in the Psychology program:

- African American: 10 students (.03%)
- American Indian: 5 students (.02%)
- Southeast Asian: 11 students (.04 %)
- Asian American: 3 students (.01%)
- Hispanic/Latino: 2 students (.01%)

- White: 251 students (87%). (UW-Stout Equity Scorecard Project, Interim Report on Student Access, p. 20, <http://www3.uwstout.edu/provost/upload/stuacc.pdf>)

Initially, the Cognitive Science program will aim at a target of 10% minority representation within its student enrollment and will increase this to 15% minority representation by the end of its 5<sup>th</sup> year of implementation. Beginning in the fourth year of implementation, the graduation rate target for minorities will be 10% of the B.S. in Cognitive Science graduates.

The Cognitive Science program will achieve these targets through several means. The Cognitive Science program director will

- Participate in UW-Stout's Pre-College program aimed at introducing a diverse population of high school students to college academics and college life.
- Participate in the Stoutward Bound program that provides a bridge for students of color to arrive on campus two weeks early, begin classes, and become acclimated to the campus and the Menomonie community.
- Make recruitment visits to high schools with high minority populations.
- Work with Stout's Advisement Center to provide career exploration information about the Cognitive Science program to diverse students.
- Work directly with UW-Stout Trio advisers and administrators to attract and retain students to the Cognitive Science program.
- Work with the Admissions Office STEM recruiter to attract and retain diverse students to the Cognitive Science program.

UW-Stout has additional resources and initiatives that contribute to the retention of diverse students from across the campus: Multicultural Student Services Office promotes a campus environment of diversity and inclusiveness, D.I.A.L. Floor offers a diverse residence hall living and learning community, the Ally Center provides a place for diverse groups/individuals to gather for meetings, study, host events, and access resources, and the UW-Stout Foundation provides scholarships and grants for minority and disadvantaged students. The Cognitive Science program director will work with these different initiatives to make the Cognitive Science program more attractive to a diverse student population.

### **Evaluation from External Reviewers**

Two experts in cognitive science reviewed UW-Stout's Cognitive Science program. Both experts evaluated the program as strong in concept and design and appropriate to UW-Stout's select mission. They praised the program's solid academic team of teachers/researchers, its well-designed assessment plan, and the clearly demonstrated employer and student need at the local, regional, and national levels. Both evaluators recommended that the role of the program's capstone experience be clarified. In response to this recommendation, the sequence of advanced undergraduate research experience lab courses was clarified to emphasize the program's culmination in a senior-level capstone experience.

### **Resource Needs**

Most of the resources needed to implement the B.S. in Cognitive Science in its first year are currently in place. All but one of the courses needed for the first year of the program are already offered as courses for other programs or as General Education courses. There is

sufficient room in the current course offerings for new Cognitive Science students. In the past five years, UW-Stout and the Department of Psychology have made a major commitment of over \$200,000 to support laboratory research in psychology courses and the Cognitive Neuroscience minor. The Cognitive Science program will share these existing laboratories, equipment, and computer software with the cognitive neuroscience minor and the Psychology Department.

In the first year, 1 FTE faculty currently providing instructional support for existing courses within the Cognitive Science curriculum will be adequate to provide most of the needed courses. In years two and three, additional existing courses will be offered as part of the Cognitive Science curriculum, and the needed FTE will increase to 1.5 and 2 respectively. The Current Faculty/Instructional Staff budget line reflects a base salary of \$60,000 per FTE, plus 40.89% fringe for instruction, with 3% annual salary increases. Starting in the first year, 0.5 FTE will be needed as an Additional Faculty/Instructional Staff cost. This includes 0.25 FTE for a program director and 0.25 FTE for additional instruction resulting from new courses. In years two and three, the program will have increased instructional needs relating to additional new course offerings, and the Additional Faculty/Instructional Staff need increases to .75 FTE and 1.25 FTE, respectively. Also starting with the first year, the program will have an additional Non-instructional Academic Staff need for a 0.25 FTE laboratory coordinator. The laboratory coordinator will be responsible for managing the four laboratories used by the Cognitive Science program. The Provost and Colleges will fund the Cognitive Science program through internal reallocation.

Part-time clerical support for the program will be provided by a limited-term employee (LTE) through existing GPR. LTE support will remain at the same level for the first three years of program implementation. Fringe is calculated at 29.96%, and annual salary increases are calculated at 3%.

Minimal supplies and expenses have been budgeted for program start-up through existing GPR. Since the College of Education, Health and Human Sciences links the amount for supplies and expenses to the number of instructional FTE in a program, the increase in the supplies and expenses budget in years two and three reflects the increase in instructional FTE in the Cognitive Science program. In addition, the program director is provided with \$3000 annually for new library resources out of the library's existing GPR budget.

## **RECOMMENDATION**

The University of Wisconsin System recommends approval of Resolution I.1.a.(3), authorizing the implementation of the B.S. in Cognitive Science at the University of Wisconsin-Stout.

## **RELATED REGENT POLICIES**

University of Wisconsin System Academic Planning and Program Review (November 10, 1995), Academic Informational Series #1 (ACIS-1.0, Revised June 2009)

**BUDGET FORMAT: AUTHORIZATION TO IMPLEMENT**

	Year 1 (2010)		Year 2 (2011)		Year 3 (2012)	
<b>CURRENT COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
Faculty/Instructional Staff	1	\$84,534	1.5	\$130,605	2	\$179,364
Graduate Assistants						
Non-instructional Academic/Classified Staff (LTE)		\$5,614		\$5,782		\$5,955
<b>Non-personnel</b>						
Supplies & Expenses		\$3,825		\$5,575		\$7,325
Capital Equipment						
Library		\$3,000		\$3,000		\$3,000
Computing (GIS virtual server)						
Other (Define)						
Subtotal	1	\$96,973	1.5	\$144,962	2	\$195,644
<b>ADDITIONAL COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
Faculty/Instructional Staff	.5	\$42,267	.75	\$65,302	1.25	\$112,103
Graduate Assistants						
Non-instructional Academic/Classified Staff	.25	\$15,850	.25	\$16,326	.25	\$16,815
<b>Non-personnel</b>						
Supplies & Expenses						
Capital Equipment						
Library						
Computing						
Other (Define) (seminar room furnishings)						
Subtotal		\$58,117		\$81,628		\$128,918
<b>TOTAL COSTS</b>		\$155,090		\$226,590		\$324,562
<b>CURRENT RESOURCES</b>						
General Purpose Revenue (GPR )						
Gifts and Grants						
Fees						
Other (Define)						
Subtotal						
<b>ADDITIONAL RESOURCES</b>						
GPR Reallocation (Provost Office and Colleges)		\$155,090		\$226,590		\$324,562
Gifts and Grants						
Fees						
Other (Define) (seminar room furnishings)						
Subtotal		\$155,090		\$226,590		\$324,562
<b>TOTAL RESOURCES</b>		\$155,090		\$226,590		\$324,562

Wisconsin Partnership Program  
UW School of Medicine and Public Health  
Oversight and Advisory Committee  
Appointment

EDUCATION COMMITTEE

Resolution I.1.a.(4):

That, upon recommendation of the President of the University of Wisconsin System and the Chancellor of the University of Wisconsin-Madison, the Board of Regents approves the appointment of Katherine Marks to fill an unexpired term on the UW School of Medicine and Public Health Oversight and Advisory Committee of the Wisconsin Partnership Program beginning February 8, 2010, through October 31, 2010.



**APPOINTMENT TO THE  
UW SCHOOL OF MEDICINE AND PUBLIC HEALTH  
OVERSIGHT AND ADVISORY COMMITTEE OF  
THE WISCONSIN PARTNERSHIP PROGRAM**

**EXECUTIVE SUMMARY**

**BACKGROUND:**

The Wisconsin Insurance Commissioner's Order of March 2000 approved the conversion of Blue Cross and Blue Shield United of Wisconsin to a for-profit stock corporation, and the distribution of the proceeds from the sale of stock to the UW School of Medicine and Public Health (SMPH) and the Medical College of Wisconsin. The Order required the respective governing body of each school to create a public and community health oversight and advisory committee consisting of nine members appointed for four-year terms. The Board of Regents appointed the SMPH Oversight and Advisory Committee (OAC) in August 2002. The OAC consists of four public members (health advocates) and four SMPH representatives appointed by the UW System Board of Regents, and one member appointed by the Insurance Commissioner. In accordance with the Order, the OAC is responsible for directing and approving the use of funds for public health. The Committee also reviews, monitors, and reports to the Board of Regents on funds committed for medical education and research.

The SMPH, in collaboration with the OAC, developed the inaugural 2004-2009 Five-Year Plan describing the uses of the funds which was subsequently reviewed and approved by both the Board of Regents in April 2003, and the Wisconsin United for Health Foundation, Inc. (WUHF) in March 2004. Immediately thereafter, WUHF transferred the funds to the UW Foundation for management and investment based on the Agreement between the UW Foundation, the Board of Regents, and WUHF. Since March 2004, the OAC has been actively engaged in seeking proposals and making awards in accordance with the current Five-Year Plan and the Agreement. Information on the awards and related programmatic processes are presented to the Board of Regents annually.

After extensive planning, evaluating, and seeking information, the OAC, in conjunction with the SMPH Medical Education and Research Committee (MERC), developed the 2009-2014 Five-Year Plan. That plan, which was reviewed and approved by the Board of Regents in December 2008, provides the direction and categories of investments for the OAC and MERC going forward.

**REQUESTED ACTION:**

Approval of Resolution I.1.a.(4), appointing Katherine Marks to the UW School of Medicine and Public Health Oversight and Advisory Committee to fill an unexpired term beginning February 8, 2010, through October 31, 2010.

## **DISCUSSION:**

In accordance with the Insurance Commissioner's Order and the Bylaws of the Oversight and Advisory Committee (OAC) approved by the Board of Regents in February 2001, the Regents are being asked to appoint Katherine Marks to the OAC as one of the four public members (health advocates). Ms. Marks will serve on OAC as an urban health advocate, filling an unexpired term ending October 31, 2010. Upon conclusion of her unexpired term in October 2010, it is anticipated that her reappointment by the Board of Regents will be sought for the customary four-year term.

After a call for nominations from community organizations, the OAC chose to interview three candidates. Following the interviews, the OAC reached unanimous agreement to forward the name of Katherine Marks to the Board of Regents for consideration. The OAC enthusiastically endorses the nomination of Katherine Marks, Chief Executive Officer of United Way of Kenosha County, to fill the vacant public member position. Ms. Marks is an advocate for urban health with 30 years of experience building strong collaborations focused on the well-being of women, children, and families. These collaborations have provided cleaner and safer neighborhoods, developed affordable housing programs, created economic development opportunities, built a new school and health center, increased access to health care and reduced ethnic health disparities.

Ms. Marks has served as the Alderwoman for the 8<sup>th</sup> District in Kenosha, Wisconsin, since 1992. She was the first Alderman to develop a neighborhood plan to guide redevelopment and revitalization efforts. As part of these efforts, Ms. Marks planned and implemented an affordable housing program that added over forty new single-family homes in the 8<sup>th</sup> District. She also worked with the school district and city administration to build a new elementary school, replacing the former school with a charter school.

Ms. Marks has shared her valuable perspective and expertise as a member of OAC's Lifecourse Initiative for Healthy Families (LIHF) Steering Committee, which has been addressing infant mortality in the African American community in southeastern Wisconsin. Her leadership and experience will be important as OAC continues a strategic planning effort to implement the initiatives set-forth in the 2009-2014 Five-Year Plan.

Ms. Marks' resume follows.

## **RECOMMENDED ACTION:**

UW System recommends approval of Resolution I.1.a.(4), authorizing the appointment of Katherine Marks to the UW School of Medicine and Public Health Oversight and Advisory Committee to fill an unexpired term beginning February 8, 2010, through October 31, 2010.

## KATHERINE MARKS

1821 65<sup>TH</sup> Street  
Kenosha, WI 53143

(262) 658-2381  
kmarks2@wi.rr.com

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### FACILITATION/PROJECT MANAGEMENT/NON-PROFIT MANAGEMENT

(Continuous Improvement, Project Management, Finance, Non-Profit)

Possess strong leadership, relation, project, and non-profit management, and organizational skills along with a high level of energy and self-direction. Management and leadership styles are effectively utilized to improve operations and achieve organizational goals.

Resourceful, team player with over 30 years of progressive experience in environments of organizational change. Strong problem-solver with demonstrated management skills, and an entrepreneurial spirit. Effective in assisting with the building of organizations through opening channels of communication and establishing collaborative and cooperative relationships among management, employees, and customers.

### PROFESSIONAL AREAS OF EXPERTISE

- Non-Profit Management
- Financial Reporting
- Accounts Payable
- Building Strategic Partnerships
- Streamlining Processes to Increase Productivity
- Developing and Implementing New Programs
- Strategic Planning and Organizational Management
- LEAN Tools and Methods
- Project Management
- Team Building
- Microsoft Office Products

### PROFESSIONAL EXPERIENCE

**UNITED WAY OF KENOSHA COUNTY, Kenosha, Wisconsin** **2005 - Present**

*Major community leader, collaborator and convener focused on addressing priority community needs; leading fundraiser non-profit organization in Kenosha County*

#### ***Chief Executive Officer***

Effectively manages all United Way of Kenosha County (UWKC) operations, resource development, staff, marketing efforts, special events, programs and activities. Serves as the principle professional resource to the Board of Directors (BOD) and advises in matters of policy formulation, interpretation and implementation. Assists BOD in organizing and developing an effective network of human care services and is responsible for carrying out the programs, goals, objectives, policies and decisions formulated by BOD for the operation of UWKC. Works with internal and external individuals, groups, committees and organizations to support United Way of Kenosha County's initiatives and programs (i.e. achieving community impact, mobilizing resources and creating the brand experience, etc.) on an on-going basis to maximize contributions.

- Ensured the commitment, development, involvement and continuity of the highest quality of volunteer leadership and staff in achieving the mission and goals UWKC.
- Instituted full implementation of the community impact business model

- Implemented community impact initiatives (financial stability, infant mortality and mentoring).
- Developed appropriate and inclusive partnerships with funded partners, local non-profits organizations, other community funders, government and business community to further the mission of UWKC to improve community well being throughout Kenosha County.
- Instituted community building online software streamlining the program application and reporting process and reducing manual staff time.
- Ensured all business and financial affairs of UWKC are conducted in accordance with all acceptable standards of business and regulatory requirements in the most cost efficient matter.
- Developed United Way of Kenosha County annual operating plan and scorecard
- Created new website design and content
- Enhanced the Volunteer Center and activities
- Developed year-round communications plan

**CITY OF KENOSHA, Kenosha, Wisconsin****1992 - Present**

*A great city conveniently located on the Wisconsin and Illinois border between Chicago and Milwaukee, on the shores of beautiful Lake Michigan.*

***Alderwoman – 8<sup>th</sup> District***

Effectively works with 16 other Common Council members and the Department of Administration, headed by the Mayor and the City Administrator to provide a clean, safe, and well- managed city in which to reside. Responds to needs of the citizens in the 8<sup>th</sup> District. Establishes city policies. Adopts ordinances and resolutions. Approves the annual City budget.

- First alderman to develop a neighborhood plan to guide redevelopment and revitalization efforts
- Worked with City Administration in the planning, redevelopment and financing of two former Brownfield sites in the 8<sup>th</sup> District
- Worked with City Administration to implement a \$30+ million redevelopment plan for the Uptown Brass Center area, which includes a grocery store, bank and commercial/retail/residential area.
- Planned and implemented a affordable housing program that included building 40+ new single family homes in the 8<sup>th</sup> District
- Planned and implemented a new rehab \$2 million home loan program for owner occupied properties
- Implemented strategies to address and reduce or eliminate major problems (i.e. crime, blighted properties, problem liquor establishments, trash, health and safety issues, etc.)
- Worked with Kenosha Unified School District and City Administration in building a new elementary school in the 8<sup>th</sup> District; in addition, responsible for bringing a charter school where the former elementary school building was located.
- Worked with City Administration and Kenosha Community Health Center to build an expansion and relocate dental services; the new building will ultimately house a prenatal center
- Worked with UW-Extension to develop a neighborhood leadership program
- Worked with UW-Extension, residents, schools, non-profits and area businesses to create the Lincoln/Columbus Park Neighborhood Revitalization Strategy

**SNAP-ON INCORPORATED, Kenosha, Wisconsin**

**1979 - 2005**

*Leading global developer, manufacturer and marketer of tool and equipment solutions for professional tool users.*

***Continuous Improvement Master Facilitator - Finance Division***

Effectively established a culture of continuous improvement in the Finance Division. Used LEAN tools and methodologies to drive business process improvements and deliver solid business results. Led cross-functional business improvement teams to resolve specific business issues. Worked with functional leaders and employees to develop and maintain an effective quality management system that consists of repeatable, reliable business processes.

- Provided training in the application of continuous process improvement problem-solving techniques and team facilitation.
- Actively coached and mentored teams.
- Promoted innovative thinking and a LEAN mindset throughout the organization.
- Proved linkage of key performance indicators to business process effectiveness.
- Documented current and future processes.
- Provided internal communications on business improvement processes, initiatives and results.

***Senior Project Analyst/Project Analyst - BaaN Finance***

Provided financial systems support and trained finance personnel in using the BaaN/Triton Financial Software. Provided high level financial reporting to senior management. Managed and worked on numerous special projects as directed by Senior Finance Management.

- Liaison between the BaaN Finance Group and the Business Reporting Department.
- Helped finance personnel resolved problems and issues regarding BaaN software and financial reporting.
- As a member of the BaaN Implementation Team, used high level Hyperion Enterprise Reporting Software to set-up newly acquired companies.
- Created and maintained financial reports for management and Snap-on legal entities using Hyperion Enterprise Reporting.
- Analyzed financial processes to promote effective processes through standardization, improvement, simplification or other methods.

**EDUCATION and PROFESSIONAL DEVELOPMENT**

BA in Business Administration, Minor: Marketing, Carthage College, Kenosha, Wisconsin

Completed training programs in Leadership, Team-Building, Diversity, LEAN Continuous Improvement, Hyperion Enterprise Administration Financial Reporting, Dreamweaver Website Software, Project Management and Microsoft Office Products (Outlook, Word, Excel, PowerPoint, Access, Project, Publisher and Visio)

**CURRENT PROFESSIONAL ORGANIZATIONS/MEMBERSHIPS/COMMITTEES**

United Way of Kenosha County (CEO)

City of Kenosha (8<sup>th</sup> District Alderwoman)

City of Kenosha Finance Committee (Vice-Chair)

Community Development Block Grant (CDBG) Committee (Chairman)

Kenosha Public Museums (Trustee)

Kenosha Redevelopment Authority (Member)

Mary Lou Mahone Fund (Board Member)

Kenosha Infant Mortality Delegation (Lead Partner)

Wisconsin Partnership Program Reducing Health Disparities in Birth Outcomes Steering Committee  
(Member)

Kenosha Unified School District Long-Range Strategic Planning Committee (Member)

Center for Community Partnerships (CCP) Strengthening Communities Fund Advisory Committee

Kenosha County Emergency Management Public/Private Partnership (Member)

**AWARDS**

Susan B. Anthony Outstanding Woman Award

Mary Lou Mahone Fund Living Legend Award

Urban League of Racine and Kenosha Dr. Martin Luther King, Jr. Freedom Bell Award

Boys and Girls Club of Kenosha Mary Lou Mahone Humanitarian Award

Gateway Technical College Dr. Martin Luther King, Jr. Humanitarian Award

Kenosha Unified School District Friend of Education Award

Kenosha Realtors Association Quality of Life Award

Neighborhood Housing Services Viola Gray Leadership Award

## **NEW DIRECTIONS FOR TEACHER EDUCATION IN THE UNIVERSITY OF WISCONSIN SYSTEM**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

When Lyndon Johnson signed into law the original Elementary and Secondary Education Act in 1965, currently known as No Child Left Behind, the focal point of his policy was that the delivery of high-quality education would narrow the achievement gap between the middle class and poor and minority children. Johnson's "war on poverty" was rooted in the assertion that the attainment of social justice would result from equal opportunity of educational access.

Decades later, educational and policy leaders in the United States still hold to this assertion and, as a result of recent research, it is now known that the single most important factor in determining the efficacy of student learning and continued educational attainment, is the quality of the teacher. If there was any doubt as to this latter assertion, one need only look to the level of resources allocated nationwide to advance the initial preparation and career-long professional development of teachers.

The \$4.3 billion provided in President Obama and the U.S. Department of Education's Race to the Top program places more focus on enhancing the preparation of educators than on any other aspect of the grant application. In addition, the National Education Association (NEA) recently announced a \$6 million project to recruit teachers into high-need schools to teach high-demand subjects (e.g., mathematics, science, special education, English language acquisition).

University of Wisconsin System campuses have a long history of preparing quality educators. The System's two doctoral and 11 comprehensive institutions confer degrees and certifications for teachers, principals, school superintendents, and other school personnel such as counselors, school psychologists, and business officers. Each year, UW institutions prepare over 60% of Wisconsin's educators through traditional and alternative offerings, often in collaboration with the state's two-year and technical colleges.

Each UW institution offering an education degree and certification must be approved by the Wisconsin Department of Public Instruction in order for its graduates to be eligible for licensure in the state of Wisconsin. Program approval reviews are rigorous and conducted every five years. In addition to meeting state requirements, all programs are influenced by national trends and state needs and, in some cases, by external accrediting bodies as campuses voluntarily seek to obtain national accreditation.

Although there is great variation among the System's 13 teacher-preparation institutions, there is consensus among the professionals who prepare Wisconsin's educators that good teaching involves a deep knowledge of one's content and the ability to create learning experiences that make subject matter meaningful to a wide spectrum of learners.

This consensus reflects a significant paradigm shift in the way the System defines and documents what it means to be a quality educator. This shift occurred as a result a collaborative reform effort initiated by the Wisconsin Department of Public Instruction (DPI) in 1990. When it was promulgated in 2000, the Wisconsin Quality Educator Initiative—known as PI 34—moved educator preparation and licensure from a traditional input system (i.e., a focus on credits-to-degree), to a performance-based, output system (i.e., a focus on documentation of teacher performance and learning outcomes). This performance-based approach permeates not only initial preparation programs, but also continues throughout the career of the educator through a multi-tiered licensing system, including initial educator, professional educator, and master educator stages.

Under PI 34, all institutions of higher education have the flexibility to develop distinct preparation programs that reflect their unique missions, goals and structures. Institutions must provide evidence that their programs prepare educators who are able to meet all standards established by the State of Wisconsin in PI 34. The partners involved in the collaborative processes resulting in the creation of PI 34 realized early on that this new system of educator preparation would position Wisconsin institutions to be more responsive to the needs of the state and emerging national initiatives, such as:

- A focus on increasing the numbers of educators in STEM-related fields (science, technology, engineering, mathematics);
- Increased focus on the assessment of teacher efficacy based on evidence of student learning;
- Enhancing the availability and quality of induction and mentoring for new teachers;
- Expanding alternative routes to educator preparation; and
- Increasing recruitment efforts to attract more minorities into the profession as well as improving capacity of new and practicing teachers to work effectively in urban schools.

The following sections provide a summary of how several UW System educational preparation programs are responding to current needs and national trends. Two of the initiatives, UW-Whitewater's *Future Teacher Program* and the UW System Institute for Urban Education, will be highlighted at the February 4, 2010, meeting of the Board of Regents Education Committee.

## **REQUESTED ACTION**

For information only; no action is required.

## **DISCUSSION**

### **Overview of UW System & UW Campus Initiatives**

The **UW System Teacher Education Initiative** is a systemwide initiative, funded as part of the 2007-2009 biennium budget, for the purpose of enhancing diversity in its teacher



education programs and expanding the capacity to prepare teachers for high-demand licensure areas. In order to meet this goal, each participating campus is working collaboratively with other educational institutions and agencies in their region and across the state.

Twelve of the thirteen UW System campuses with teacher preparation programs received funding to support this effort. The thirteenth campus, UW-Green Bay, submitted its own recruitment budget request. Resources were provided for a full-time (1.0 FTE) instructional staff-person to be used to expand program capacity in high-demand subjects, a full-time (1.0 FTE) recruiter/advisor to focus on recruitment and retention efforts, and an LTE to create and maintain a relevant data base.

Each of the participating institutions are being held accountable for meeting the outcomes identified within the initiative (see table below). All campuses are also required to document how the designated resources were used to advance these outcomes (e.g., hire faculty/staff within the areas identified, use of S&E funds). The baseline for growth is the campus 2006 enrollment.

<b>Campus</b>	<b>Target for Diversity</b>	<b>Target for High Needs</b>
Madison	25	10
Milwaukee	50	30
Eau Claire	10	10
Green Bay	NA	NA
La Crosse	10	10
Oshkosh, Parkside, Platteville, River Falls, Stout	10	10
Stevens Point	20	25
Whitewater	26	26

The **UW System Office of Outreach, Extension and e-Learning** is working with UW-Parkside, -Platteville and -Stout, and Gateway Technical College to expand the articulation agreement that exists between Platteville and Gateway. This initiative will result in the creation of a collaborative offering that provides technical college graduates the ability to earn the Technology Education license for teachers. The expansion beyond the existing program will result in a common curriculum with substantial on-line offerings and is intended to be offered to all Wisconsin Technical Colleges that currently have an engineering program similar to Gateway.

**Wisconsin's Grassroots Teacher Quality Assessment Model** is a federally funded grant project (U.S. Department of Education Funds for the Improvement of Postsecondary

Education or FIPSE) of the University of Wisconsin System, in partnership with the American Association of State Colleges and Universities (AASCU). This project involves all 13 UW System institutions with teacher preparation programs and 7 private/independent colleges from across the state. This project is focused on the creation of performance assessment instruments that will document student teachers' content knowledge in mathematics and science and their proficiency in teaching content to learners. In addition, the information gathered from these assessments will be used to guide reform efforts in teacher preparation programs.

In addition to this state-wide project designed to improve the assessment of future teachers, UW-Eau Claire and UW-Madison are partners in a national assessment initiative based on California's PACT project (Performance Assessment for Classroom Teachers). Combined, these initiatives have the potential to significantly reform how the UW System's teacher preparation institutions assess the performance of new teachers and how they use the resulting evidence of teacher performance to guide on-going program reform.

**Alternative Careers in Teaching (ACT!)**, is a partnership teacher preparation program between the University of Wisconsin-Oshkosh and eight UW College campuses (UW-Fond du Lac, -Fox Valley, -Manitowoc, -Marinette, -Waukesha, -Sheboygan, -Baraboo-Sauk County, and -Richland). ACT! is an alternative teacher preparation program, approved by the Wisconsin Department of Public Instruction, designed to meet the need for highly qualified mathematics and science teachers. This program recruits from mid-career professionals with at least five years of experience in the mathematics and science fields. Students may receive credit for life experiences.

Currently, more than 500 inquiries into the program have been received since its inception in 2006. Eighty-five people have enrolled in the program, including students with B.S. or B.A. degrees and graduate degrees (M.S., M.B.A., Ph.D., J.D., and D.C.). ACT! is serving as a model alternative teacher preparation program for other high-need fields such as special education.

ACT! has received a total of \$1.5 million from the National Science Foundation to support mid-career professionals as they transition to teaching careers, and is a partner on a \$2.2 million U.S. Department of Education grant to DPI (the Support for Mid-Career Advancement and Retention through Transition-to-Teaching Project).

In addition, UW-Oshkosh also offers a post-baccalaureate add-on licensure program that is an alternative pathway to help currently licensed teachers obtain additional teaching license(s), and a Masters in Science Education Online offering for practicing teachers in the sciences.

The **University of Wisconsin-Whitewater** recently initiated a multi-phase initiative broadly gathered under the heading "**Future Teacher Program**" or **FTP**. The FTP project ties together the goals of Inclusive Excellence, the Growth Agenda, and strategic initiatives at UW-Whitewater and the College of Education to increase educational attainment of students of color who wish to become teachers, with a particular emphasis on recruiting teachers for urban centers.

The *Future Teacher Program* is designed to increase the retention rates and educational attainment of students of color by giving assistance on test-taking skills, assigning students both a faculty mentor and an urban teacher mentor, enrolling them in a learning community, and getting them involved in their professional student organization on campus (Student Wisconsin Education Association).

Secondary to this mission is the importance of getting faculty in the College of Education more involved with students during their freshman and sophomore years, diversifying the College's largest student organization, strengthening ties with urban school districts (particularly Milwaukee and Beloit), and providing cultural competency training to faculty and students involved in professional education.

The College of Education's new Future Teacher Program is divided into four phases:

Phase I – summer institute

Phase II – learning community, student & faculty mentors

Phase III – faculty & teacher mentors, undergraduate research

Phase IV – field placements, teacher mentors

Phase V – student teaching in urban centers through admission to the UW-System Institute for Urban Education Program

The **University of Wisconsin System Institute for Urban Education (IUE)** was established in 2006-07 to provide teachers with an urban teaching experience, enabling them to gain social and cultural competences and better prepare them to work in urban schools. Students from across the UW System enroll in a full-time student teaching experience in the Milwaukee Public Schools (MPS). In addition, students attend a weekly seminar and take part in a variety of planned cultural and community events.

Recently, support programs have been initiated in collaboration with MPS to help mentor students through the induction year and better prepare them for their on-going career objectives and progress through the Wisconsin licensure process.

The IUE was also funded as part of the 2007-2009 budget request. The specific outcomes of the IUE include:

1. Improve the depth and quality of the applicant pool for Wisconsin Public Schools.
2. Increase professional development opportunities for Wisconsin teachers who are working in urban settings or want to work in urban settings.
3. Create a program that facilitates the integration of science and practice in the area of urban education.
4. Increase and improve the collaborative teaching and research efforts of UW System Schools and Programs of Education.

## Conclusion

As documented by the specific programs detailed in the previous section, the UW System and its individual campus teacher preparation programs have continued their tradition of quality educator preparation by responding to the needs of the state and addressing national trends, all the while grounded in sound, research-based practices that guide the profession.

While progress continues, campuses struggle with a myriad of challenges. Diminished resources in support of existing programming, confining state and system regulations, and increasing demands to create innovative, experimental programs while simultaneously maintaining the quality of traditional programs are just a few of these challenges.

Recently, at a Wisconsin State Education convention in Milwaukee, State Superintendent Tony Evers acknowledged the need to remove barriers that serve to impede good practice. Citing the limitations of various federal and state regulations governing teacher licensure, Evers stated that, "[w]e need more flexibility in our state's licensing system so teachers and school districts can expand curriculum offerings to students." Evers went on to say, "[o]ur goal in examining state licensing regulations is to increase the talent in our classrooms, meet the demand for innovative programs and hard-to-staff subjects, and encourage mid-career professionals to share their real-world experiences as teachers in Wisconsin schools."

The Department of Public Instruction is currently reviewing licensing regulations under PI-34 to determine ways to add flexibility for those wishing to enter the teaching profession or expand their credentials. Options may include granting credit for lifetime experiences, using a portfolio process to demonstrate knowledge or expertise, adding a license or credential that facilitates cross-disciplinary teaching assignments, and working with colleges, universities, and alternative programs to offer staff development to meet specific needs.

Educational leaders across the UW System support Dr. Evers' efforts to identify and address the barriers that stand in the way of reaching the goal of a high-quality educational opportunity for all of Wisconsin's citizens. As UW campuses move forward both independently and in collaboration with other educational institutions and sectors, they look forward to strengthening their commitment to accountability and shared responsibility for educational attainment.

The University of Wisconsin-Milwaukee  
Charter School Contract  
Veritas High School

EDUCATION COMMITTEE

Resolution I.1.c.(1):

That, upon recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Board of Regents approves the charter school contract with the Seeds of Health, Inc., establishing a charter school known as the Veritas High School, effective July 1, 2010.

**UNIVERSITY OF WISCONSIN-MILWAUKEE  
OFFICE OF CHARTER SCHOOLS**

**VERITAS HIGH SCHOOL CHARTER**

**EXECUTIVE SUMMARY**

**BACKGROUND**

Charter schools are intended to offer quality education services to children through the creation of alternative public schools that are not subject to as many of the rules and regulations imposed on school districts. The charter school movement is one of the strategies used to expand the idea of public school options in Wisconsin and the rest of the nation.

In 1997, Wisconsin law was modified to allow the University of Wisconsin-Milwaukee to charter public schools in the city of Milwaukee. Since then, the Board of Regents and the Chancellor of UW-Milwaukee have approved several charter schools, involving a variety of public and private partnerships working to improve educational opportunity and achievement for Milwaukee school children.

The Office of Charter Schools at UW-Milwaukee and Chancellor Santiago recommend that the Seeds of Health, Inc., (SOH) be granted a charter to operate a public school known as the Veritas High School (VHS). The Office of Charter Schools undertook an extensive review process that began in May of 2009. The review included an in-depth analysis of the VHS Prospectus by the UW-Milwaukee Charter School Board and a three-step review of the VHS Charter School Application by the UW-Milwaukee Charter Application Review Committee. The UW-Milwaukee Charter School Advisory Committee, the UW-Milwaukee Charter Application Review Committee, and the Director of the Office of Charter Schools recommend approval of the charter school contract to allow VHS to begin operating as a UW-Milwaukee charter school in Fall 2010.

VHS is presently a charter school authorized by the Milwaukee Public Schools (MPS). This charter terminates on June 30, 2010. SOH desires to charter with UW-Milwaukee because of the high expectations for student achievement that both institutions share, the positive relationships established between the Office of Charter Schools and the charter schools authorized by UW-Milwaukee, and to consolidate SOH charter school operations with UW-Milwaukee. UW-Milwaukee presently authorizes two other SOH schools: the Seeds of Health Elementary School and Tenor High School.

**REQUESTED ACTION**

Approval of Resolution I.1.c.(1), approving the charter school contract with the Seeds of Health, Inc., to operate a public school known as Veritas High School, effective July 1, 2010.

## **DISCUSSION**

### **SCHOOL DEVELOPMENT**

The development of the VHS was initiated by the SOH, a non-sectarian, community social service provider. VHS will be located at 3025 W. Oklahoma Avenue, Milwaukee, WI 53215. SOH is a Wisconsin, non-stock, not-for-profit corporation in good standing under Chapter 181 of the Wisconsin State Statutes and 501(c)(3) of the Internal Revenue Code. SOH's goal is to meet the need of Milwaukee students and parents for high-quality, academically focused, and well-run schools that are challenging, innovative, and safe.

The mission of VHS, as a nonsectarian nonprofit, community-based school, is to prepare Milwaukee students for post-secondary education success through completion of an academically challenging, values-based curriculum in a safe and supportive environment. This mission targets seven outcomes for student learning: (1) proficiency in core academic knowledge and skills; (2) proficiency in complex thinking; (3) proficiency in applications of information technology; (4) positive sense of self and capacity; (5) social competence; (6) strong moral character; and (7) matriculation in a post-secondary education program.

VHS will serve approximately 200 to 250 students in grades nine through twelve. Enrollment in VHS will be open to all high school students living in the city of Milwaukee with an emphasis on recruitment in the neighborhood in which the school is located. The school is designed to serve the educational needs of students, with a focus on closing the achievement gap for populations that have been historically less served and successful in college preparation programs. The program is organized to promote the academic and social growth of students through a challenging, values-based college preparatory curriculum focused on literature, language, history, mathematics, science, and art.

The Wisconsin State Academic Standards will form the foundation of the VHS curriculum, as well as the assessment of student achievement within the curriculum. Instruction will be aligned with the state standards to prepare students for state assessments and with course-specific learning targets. The scope and sequence of the VHS curriculum will be further influenced by the organizational structure and culture of the school, as well as the evolving experience, expertise, and creativity of the faculty.

The formal curriculum will guide student completion of a VHS diploma. The requirements for graduation and awarding of a diploma will include two major components: (1) earning a minimum of 23 credits; and (2) completing a senior project. The grades 9-12 curriculum will be scheduled across a three-term school year that includes a four-week intersession. Students will normally earn seven credits per year, and are thus able to earn a total of 28.0 credits over four years. Toward the goal of being well-prepared for college matriculation, students will be encouraged to complete four credits of English, mathematics, and social studies, as well as three credits of science and two credits of language.

To support student learning success across the curriculum, VHS teachers will use instructional methods informed by research and theory about intelligence, teacher expectations,

knowledge construction, and other elements of effective pedagogy. Additional VHS services to promote student learning success will include structured academic and career counseling and academic support programs that address learning readiness, remediation, reinforcement, and enrichment (i.e., freshman summer institute, Intercession courses, summer school, an unsatisfactory grade prevention plan, mentoring, and a before- and after-school tutorial program). The delivery of program curriculum and instruction will be facilitated by a comprehensive operational structure and procedures developed by Veritas High School since 2001. That structure and the procedure are detailed in the school handbook for staff, students, and parents.

The VHS Strategic Plan will provide further structure and process for ongoing program development. The strategic planning process will involve all stakeholders (i.e., staff, parents, students) in discerning ongoing program development needs and actions. The design and delivery of the Veritas High School program will receive management support from the administrative structure and resources of SOH (e.g., policy, facilities, budget, and human resources).

Specific support for the health and safety of VHS students will be facilitated by policy and procedures detailed in the school handbook. The detail will include description of procedures for maintaining school discipline, including suspension and expulsion procedures. A safety and crisis handbook will also provide direction for VHS staff, and a full-time security guard will be employed at the school.

For the 2007-08 school year, VHS had a 93.3% daily attendance rate. 2007-08 Wisconsin Knowledge and Concepts Examination results for tenth graders show that 73% were proficient or advanced in reading, 75% were proficient or advanced in language, 60% were proficient or advanced in mathematics, 65% were proficient or advanced in science, and 75% were proficient or advanced in social studies.

Special education students will be supported in the regular education program so that they experience what other VHS student's experience. All staff will be fully cognizant of their professional and legal responsibility to accurately address individualized education plans through regular professional planning, conferences, and in-services. VHS will adhere to all federal laws, allocate resources as necessary, and work with the Independent Charter School Collaborative of Wisconsin to serve the needs of special education students.

## **GOVERNANCE**

VHS will have significant support through its association with SOH. Of particular importance is that SOH, Inc. provides a coordinated K-12 system administration structure and has twenty years of experience in developing effective and sustainable educational programs that are validated by ongoing external reviews, full enrollments, and waiting list subscriptions. SOH has also established a record of responsible fiscal management recognized by clean audits, compliance with contracts, and recommendations from chartering agents. This expertise is applied to a realistic plan for the fiscal and management operation of VHS.



The seven-member SOH Board of Directors serves as the school board for VHS. The SOH Board of Directors is composed of experienced people from diverse sectors of the Milwaukee community. The average tenure of SOH current board members is sixteen years. The support realized from the school board includes:

- Over twenty-three years experience managing a successful nonprofit agency;
- A demonstrated organizational disposition to proactively improve educational opportunities for urban children;
- A coordinated K-12 system administration structure that is experienced in managing multiple school sites and programs;
- Twenty years of experience in progressively developing effective and sustainable educational programs that are validated by ongoing external reviews, full enrollments, and waiting list subscriptions; and
- An established record of responsible fiscal management recognized by continuous audits, compliance with contracts, and recommendations from chartering agents.

Board members are as follows:

Name	Occupation
David Hase President	Attorney Cooke & Franke, SC
Marcia Spector Member	Executive Director Seeds Of Health
John Peterburs Secretary/Treasurer	Executive Director Quarles & Brady, LLP
David Cullin Member	State Representative Wisconsin legislature
Bruce Marne Member	Principal Eppstein Uhen Architects, Inc.
William Hughes Member	District Administrator Greendale School District
Dennis Conta Member	Public Policy consultant Conta & Associates

Marcia Spector, the Executive Director of Seeds of Health, Inc., has served in that capacity since 1986. She reports to the SOH Board of Directors. Under her auspices, the agency has grown over twenty-three years from one program with a budget of \$200,000, to a multi-program organization with a budget over \$10,000,000.

Joe Wikrent, a retired superintendent with over thirty years of educational administration experience, has served for four years as the Director of Finance for SOH. Julia Unger has worked for SOH for fifteen years as Human Resources Director. Sherry Tolkan is Principal of VHS with twenty-five years of experience in the field of education. Sherry has worked for Seeds of Health, Inc., for eighteen years as a teacher and Director of Curriculum and Instruction at VHS and, for the past three years, as the school principal. George Thimmesch is Associate Principal of VHS. George has twenty years of experience in the field of education and has worked for SOH for ten years.

The average tenure of VHS faculty members at the end of the 2009 school year was eleven years. Several members of the faculty were involved in the original design and implementation of the school program. All faculty members are licensed by the State of Wisconsin Department of Public Instruction.

An advisory board will also be operational at the school level. This seven member advisory board will be representative of all vested stakeholder interests and advise school-specific policy and operations. The seven member VHS Advisory Board will be appointed by the VHS Principal. The board will include: two students, three parents, one member of the SOH Board of Directors, and a community representative. The school advisory board will be selected by formally soliciting parent interest in serving on the local board and selection of three members by lottery to serve staggered three-year terms. Students will be selected through election by the student body to serve one-year terms so as many students as possible have the experience of serving on a board. The school advisory board's role will be to review and establish operational policies concerning the school program and to review accountability data related to program outcomes. The school advisory board will meet quarterly. VHS parents and students will be involved as representatives on the advisory board and otherwise (e.g., surveys, conferences, presentations) in providing input about: daily school operations and procedures; school program implementation; school assessment; and issue resolution and problem solving.

## **ELEMENTS OF THE CONTRACT**

The contract negotiated with the SOE meets all requirements of the UW-Milwaukee model charter school contract. The VHS is prepared to operate in accordance with all applicable state and federal requirements for charter schools. The contract follows the approved model contract and contains additional information that make the contract more complete for the purpose of granting the charter. The major elements are as follows:

1. Article One – Definitions - Key terms of the contract.
2. Article Two - Parties, Authority and Responsibilities.
3. Article Three – Obligations of the Grantee. This section is important in that it recites the requirements of the law and how the grantee will meet those requirements. This includes such topics as: school leadership, a description of the educational program, methods to attain educational goals, school governance structure, licensure of professional personnel, health and safety, admissions, financial audits, discipline, insurance standards, and other topics.
4. Article Four – Additional Obligations. This section adds additional considerations that help define the school, its practices, UW-Milwaukee administrative fees, and financial reporting.
5. Article Five – Joint Responsibilities. This section details the review of the management contracts, methods of financial payments, and performance evaluation.

6. Article Six – Notices, Reports and Inspections. This section facilitates certain aspects of UW-Milwaukee’s oversight responsibilities.
7. Article Seven – Miscellaneous Provisions. Significant in this section are the Code of Ethics provisions (7.2).
8. Article Eight – Provision Facilitating UW-Milwaukee Research. This section sets forth the guidelines that UW-Milwaukee will use to conduct research into the concept of charter schools and their impact upon educational practice.
9. Article Nine – Revocation of Agreement by UW-Milwaukee. This section establishes how the contract might be defaulted by the grantee and reasons for revocation by UW-Milwaukee. This section is critical to the idea that a charter school can be closed for not complying with the law, contract conditions, or failure to meet its educational purpose(s).
10. Article Ten – Termination by the Grantee. This is the reverse of Article 9 describing how the grantee may, under specified circumstances, terminate the contract.
11. Article Eleven – Technical Provisions. This section details standard contract language for mutual protection of the parties.

The attached contract represents the final phase of the chartering process for the VHS to be chartered under Wisconsin law by UW-Milwaukee. The Office of Charter Schools believes that the VHS has the potential to make a positive difference in the educational lives of Milwaukee's children and is worthy of UW-Milwaukee charter status. As a high school for the college-bound, VHS will add to the breadth of the UW-Milwaukee charter school program.

## **RELATED REGENT POLICIES**

Regent Resolution 7905 (May 7, 1999).

## **CHARTER SCHOOL CONTRACT**

**THE BOARD OF REGENTS  
OF THE  
UNIVERSITY OF WISCONSIN SYSTEM**  
(d/b/a the University of Wisconsin-Milwaukee)

**AND**

**SEEDS OF HEALTH, INC.**  
(a Wisconsin nonstock, nonprofit corporation)  
(Grantee)

CHARTER SCHOOL CONTRACT  
BETWEEN  
THE BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM  
(d/b/a the University of Wisconsin-Milwaukee)  
AND

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This Contract is made by and between the Board of Regents of the University of Wisconsin System (d/b/a the University of Wisconsin-Milwaukee), located at P.O. Box 413, Milwaukee, WI 53201, and Seeds of Health, Inc. (the “Grantee”), located at 1445 S. 32<sup>nd</sup> Street, Milwaukee, WI 53215.

**Whereas**, the State of Wisconsin has created a Charter School program under the provisions of § 118.40, *Wisconsin Statutes*; and

**Whereas**, the Chancellor of the University of Wisconsin-Milwaukee is authorized by § 118.40(2r)(b), *Wisconsin Statutes*, to initiate and enter into a contract with an individual or group to operate a school as a charter school, subject to the approval of the Board of Regents of the University of Wisconsin System; and

**Whereas**, on \_\_\_\_\_ the Board of Regents of the University of Wisconsin System has approved (i) the Chancellor’s grant of a charter to the Grantee and (ii) the Chancellor’s entering into this Contract with the Grantee for operation of the Charter School; and

**Whereas**, the University of Wisconsin-Milwaukee has established the Office of Charter Schools to serve as the University’s administrative unit to implement the provisions of § 118.40, *Wisconsin Statutes*, and to carry out the University’s oversight responsibilities under the statute; and

**Whereas**, it is the intention of the Chancellor of the University of Wisconsin-Milwaukee to grant charter school status to qualified non-profit organizations that can bring quality educational services to the children residing within the City of Milwaukee, pursuant to the provisions of § 118.40, *Wisconsin Statutes*; and

**Whereas**, the mission of the University of Wisconsin-Milwaukee includes research and the dissemination of knowledge that results from research, and the particular mission of its School of Education is research on reforms in urban education; and

**Whereas**, the Office of Charter Schools has been organized to cooperate with community organizations, parent groups, educators and other individuals who are committed to improving the quality of education for children in the City of Milwaukee; and

**Whereas**, the Parties (as defined below) have successfully negotiated this Contract as a charter school contract in accordance with § 118.40, *Wisconsin Statutes*, and in particular, the provisions specified under sub. (1m)(b) 1. to 14. and sub. (2r)(b), and additional provisions as authorized by sub. (2r)(b);

**NOW THEREFORE,**

- A. As contemplated under Wis. Stat. § 118.40(2r)(b), the Chancellor, on behalf of and with the approval of the Board of Regents of the University of Wisconsin System (d/b/a the University of Wisconsin-Milwaukee), hereby establishes by charter the Charter School to be known as Veritas High School and
- B. The Chancellor, on behalf of and with the approval of the Board of Regents of the University of Wisconsin System (d/b/a the University of Wisconsin-Milwaukee), hereby enters into this Contract with Seeds of Health, Inc. and thus hereby authorizes the Grantee to operate the Charter School; and
- C. In consideration of this grant, the Chancellor, on behalf of the University of Wisconsin - Milwaukee and with the approval of the Board of Regents of the University of Wisconsin System, and the Grantee (each as defined below), hereby agree as follows:

**ARTICLE ONE**

**DEFINITIONS**

Section 1.1 Certain Definitions. For purposes of this Contract, and in addition to the terms defined throughout this Contract, each of the following words or expressions, whenever initially capitalized, shall have the meaning set forth in this section:

- (1) “Applicable Law” means all federal, state, and local law now or in the future applicable to Wisconsin charter schools.
- (2) “Board” or “Board of Regents” means the Board of Regents of the University of Wisconsin System.
- (3) “Chancellor” means the Chancellor of the University of Wisconsin-Milwaukee or any designee of the Chancellor.
- (4) “Office” means the Office of Charter Schools at the University of Wisconsin-Milwaukee, and for the purposes of this contract, is a designee of the Chancellor.
- (5) “Charter School” and “School” and “Veritas” mean a school to be known as Veritas High School, which is under the control of the Grantee, a Wisconsin nonstock, nonprofit corporation.
- (6) “Day” shall mean calendar day,
  - (a) The first day shall be the day after the event, such as receipt of a notice, and

- (b) Each day after the first day shall be counted, except that a Saturday, Sunday, or legal holiday shall not be counted if it would be the final day of the period.
- (7) “Department” means the Department of Public Instruction of the State of Wisconsin.
- (8) “District” means the Milwaukee Public School District, which is a First Class City School System operating pursuant to Wis. Stat. ch. 119, as well as any successor to it that may have jurisdiction over or statutory duties with respect to the Charter School.
- (9) “Grantee” means Seeds of Health, Inc., a nonprofit, nonstock corporation duly organized and existing under the laws of the State of Wisconsin.
- (10) “Parties” means the Board (d/b/a the University of Wisconsin-Milwaukee) and the Grantee, through their designated representatives.
- (11) “School Board” means the Board of Directors of Seeds of Health, Inc.
- (12) “University” means the Board (d/b/a the University of Wisconsin-Milwaukee) and the Chancellor acting as the Board’s representative.

## ARTICLE TWO

### PARTIES, AUTHORITY AND RESPONSIBILITIES

Section 2.1 The Parties to this Contract are the University and the Grantee.

Section 2.2 The University.

- (1) Under the authority of Wis. Stat. § 118.40(2r), the University, with the approval of the Board, hereby grants to the Grantee a charter to operate a Charter School under the terms and conditions of this Contract.
- (2) On behalf of the University, the Chancellor shall exercise all oversight responsibilities as set forth in this Contract.
- (3) The Chancellor may conduct research as set forth in Article Eight and elsewhere in this Contract.

Section 2.3 The Grantee. The Grantee is responsible and accountable for performing the duties and responsibilities associated with the Charter School assigned to it under this Contract.

Section 2.4 The Parties agree that the establishment of the Charter School shall have no effect on the liability of the University other than as to those obligations specifically undertaken by the University herein. The University thus shall not be liable to

any person not a Party to this Contract on account of the establishment or operation of the Charter School. Further, the University assumes no obligation with respect to any officer, director, employee, agent, parent, guardian, student, or independent contractor of the Grantee or the Charter School, or any other persons receiving services from or doing business with the Grantee.

### ARTICLE THREE

#### OBLIGATIONS OF GRANTEE UNDER WISCONSIN STATUTES SECTION 118.40

Section 3.1 With regard to the requirements for Charter Schools set forth in Wis. Stat. § 118.40(2r)(b)1. to 14., the Grantee hereby agrees to operate the Charter School in compliance with all of the following specifications:

- (1) The name of the person who is seeking to establish the Charter School:  
  
Seeds of Health, Inc. (the Grantee)
- (2) The name of the person who will be in charge of the Charter School and the manner in which administrative services will be provided:

Marcia L. Spector currently serves as Executive Director of the Grantee, and the Executive Director is ultimately responsible for the management of all of the agency's programs, including Veritas. She reports directly to the Board of Directors of the Grantee. Sherry Tolkan is currently the Principal of Veritas and the Principal manages all aspects of Veritas' operations. She reports directly to the Executive Director. All school employees report to the Principal including such other administrators as may be appointed from time to time to ensure the coordinated operation of the School and its programs.

In the event there is a change in the Principal or Executive Director of the Charter School, or a material change in the leadership of the Charter School as described in this subsection, the Grantee agrees to notify the Office and the Department immediately of the change. The Grantee shall provide the Office with a copy of the curriculum vitae of the Executive Director.

- (3) A description of the educational program of the School:

The mission of Veritas High School is to prepare Milwaukee students for post-secondary education success through completion of an academically challenging, values-based curriculum in a safe and supportive environment, serving grades 9-12.

The Veritas High School mission targets and will continue to target seven outcomes for student learning:

1. Proficiency in core academic knowledge and skills
2. Proficiency in complex thinking



3. Proficiency in applications of information technology
4. Positive sense of self and capacity
5. Social competence
6. Strong moral character
7. Matriculation in a post-secondary education program.

The curriculum focus of Veritas High School is and will continue to be a challenging college preparatory program of study—focused on literature, language, history, mathematics, science, and art—complemented by the examination of the core values of truth, beauty, liberty, equality, goodness, and justice. The object of this focus is and will continue to be student achievement of literacy and dispositions that support matriculation and success in post-secondary education programs. Moreover, it is a focus that cultivates higher order thinking within the attainment of academic knowledge and skills.

The Wisconsin State Academic Standards inform and will continue to inform the foundation of the Veritas High School curriculum, as well the assessment of student achievement within the curriculum. Veritas will use curriculum aligned instruction to prepare students for assessments of state standards achievement in content areas, as well as achievement of course-specific learning targets. The scope and sequence of the Veritas High School curriculum is further influenced by the organizational structure and culture of the school, as well as the evolving experience, expertise and creativity of the faculty.

The formal curriculum guides student completion of a Veritas High School diploma. The requirements for graduation and awarding of a diploma include and shall continue to include two major components: earning a minimum of 23 credits and completing a Senior Project. The Senior Project requirement directs student completion of a research report and oral presentation about a career area of high personal interest.

The Charter School shall pursue and make reasonable progress toward the achievement of the academic and non-academic goals set forth in the Application and in the Annual Accountability Plan described in Section 5.3 of this Agreement.

- (4) The methods the School will use to enable pupils to attain the educational goals under Wis. Stat. § 118.01, including a description of how pupils with disabilities will be served:

The instructional philosophy of Veritas High School highly values effective instructional practices that help students successfully engage a challenging college preparatory curriculum within a supportive organizational culture. The instructional approaches employed by Veritas High School teachers to support student learning reflect established research and theory about intelligence, teacher expectations, knowledge construction, and other elements of effective pedagogy. Student learning is also facilitated by a program emphasis on contextual and project-based learning experience.

Veritas High School subscribes to the broad and continuous cultivation of teaching expertise informed by current research—as opposed to reliance on a single or fixed instructional approach. Accordingly, a variety of instructional strategies is and will continue to be used in complementary ways to support student learning. Examples of such strategies include:

- Direct instruction that integrates teacher information, modeling, and monitoring with active student construction of knowledge and skills
- Interactive instruction involving discussion and sharing among participants, often in cooperative learning groups directed at developing rational arguments
- Contextual and experiential learning that is inductive, learner-centered, and activity oriented—involving problem solving, role-playing, model building, and field trips
- Project-based learning experiences that emphasize integrated concepts and learning skills in the attainment, transfer and application of knowledge
- Indirect instruction that encourages student-centered observation, investigations, and drawing of inferences from data, texts, and media
- Essential questions and real-world problems that engage critical and creative thinking
- Independent study and research

To serve pupils with disabilities, the School will allocate resources and purchase services as needed from private consultants and the Cooperative Educational Service Agency (CESA), and coordinate special education staff services with other school programs. The School will contract with CESA I for the leadership component, testing with a contracted psychologist, and for therapy services, and will continue to contract for these services with CESA or other appropriate consultants throughout the term of this agreement.

Under the Individuals with Disability Education Act (IDEA), Veritas ensures that a free and appropriate public education is available to children with disabilities. Each child receives an individualized program of specialized instruction and support services that is appropriate to his or her unique needs. The intent of the School is to educate the student using the general education curriculum in the regular classroom. The special education teacher works with the classroom teacher to provide support and counsel regarding each student. In addition, the special education teacher helps to modify the curriculum to meet specific needs for each student. In essence, the special education student will be supported in the regular education program so that they experience what other students experience.

- (5) The method by which pupil progress in attaining the educational goals under Wis. Stat. § 118.01 will be measured:
- (a) The Charter School shall administer the examinations under Wis. Stat. §§ 118.30(1r) and 121.02(1)(r) to pupils enrolled in the Charter School and shall cause the testing data for the Charter School to be transmitted to the Office in such form as the District shall customarily transmit such data.
  - (b) With respect to examinations required under Wis. Stat. § 118.30(1r), the Parties hereby agree that, if the District's Board of School Directors shall develop or adopt any of its own examination(s) (in lieu of the Department's examination(s)) for administration to the District's pupils, the Charter School may elect to administer and transmit testing data for either the Department's or the District's examination(s). In that event, the Charter School shall provide the Office six months' notice of its plan to use such examination(s) and shall give the Chancellor a timely opportunity to comment on the intended change.
  - (c) The Charter School shall administer the Measures of Academic Progress testing program developed by the Northwest Evaluation Association ("NWEA"), or other assessment system approved by the Office, as annually designated by the Office. These assessments are designed to measure student progress and to provide information that can be used to improve teaching and learning. The Charter School shall cause such testing data to be transmitted to the Office in a timely manner. The University will contract with NWEA, or another designated provider, to make the testing program available to the Charter School. The Charter School agrees to reimburse the University for any expenses relating to such assessment including but not limited to the following: a pro rata portion of NWEA's startup costs charged to the University; NWEA's annual per student licensing fee based on the Charter School's total number of individual students assessed; a pro rata portion of NWEA's Training Workshop(s) fee(s); and any additional individualized or customized training(s) provided to the Charter School. This reimbursement is in addition to and does not supersede any of the Charter School's other contractual obligations under Section 4.6 of this Agreement.
- (6) The governance structure of the School, including the method to be followed by the School Board to ensure parental involvement:

Veritas is a program of Seeds of Health, Inc., and as such, the agency's Board of Directors is responsible for oversight and setting policy for the School. The Board of Directors shall be comprised of at least five (5) members. The School is directly managed by the Principal, reporting to the Executive Director who, in turn, reports to the Board.

To ensure the involvement of all the School's stakeholders, an Advisory Council shall be appointed annually by the Principal. Members of the Advisory Council shall include parent representatives and one student representative. Other stakeholders who may be represented include School staff and administrators and members of the community.

The Advisory Counsel shall meet as needed at the call of the Principal, but at least two times during the school year, at times and dates convenient for the members. The Advisory Council shall advise the School concerning academic and extracurricular programs and any other matters deemed appropriate by the members of the Advisory Council or as requested by the Principal.

- (7) Subject to Applicable Law, the qualifications that must be met by the individuals to be employed in the School:

All school personnel for whom licensure is required under Wis. Stat. §§ 118.19(1) and 121.02(1)(a)2 shall hold a license or permit to teach issued by the Department. Notwithstanding the foregoing, however, the Parties acknowledge and agree that the Charter School is not an instrumentality of the District, and thus that the Charter School is not subject to requirements arising in connection with Wis. Stat. §§ 118.40(7)(a) and 118.40(7)(am).

- (8) The procedures that the School will follow to ensure the health and safety of the pupils:

The School shall comply with all policies and all local, state and federal laws, codes, rules and regulations that apply to public charter schools and pertain to health and safety. To implement these, a safety and crisis handbook will be used by the School. The handbook will reflect the best practices in area schools.

In addition to the administrative and teaching staffs, personnel responsible for student health and safety include a full-time security officer employed at the School and the Director of Maintenance for the Grantee who provides regular inspections of the physical plant that focus on the safety, systems operations, hazardous materials and other health and safety factors.

- (9) The means by which the School will achieve a racial and ethnic balance among its pupils that is reflective of the District population:

Veritas will employ a marketing plan designed to reach all parents and students in the City of Milwaukee, with an emphasis on implementing recruiting practices to attract students from the surrounding neighborhood. The plan is implemented and targeted so that all racial and ethnic communities will receive information concerning Veritas and the educational opportunities it provides. In addition, appropriate student recruitment and retention strategies are employed to ensure the establishment and maintenance of a diverse pupil profile and an ethnic and racial balance within the student body.

Veritas will also continue to recruit special education students and make a good faith effort to have its special education population be reflective of the state-wide average.

(10) The requirements for admission to the School:

Veritas is open to all high school students in the City of Milwaukee who have the potential to succeed in a program designed to prepare them to successfully matriculate into a post-secondary education program. Interested students and their parents/guardians will be invited to learn about the program Veritas offers through, among other means, open houses, informational materials, outreach to parents of students attending public, private and parochial elementary schools, presentations at civic, religious and social services agencies, and inquiries to the School's staff. The Grantee agrees to notify the Office of the date and time of any open house.

Because Veritas' primary mission is to prepare students to successfully matriculate into post-secondary education programs, applicants for admission must have the potential to do so. To this end, Veritas is open to all high school age students who reside in the District and satisfy the following requirements and minimum qualifications:

- Submit an application form providing background information concerning the student and his or her prior schooling.
- Provide confidential written recommendations from current or former teachers or school administrators.
- Have not been identified as being habitually truant in the previous academic year within the meaning of Wis. Stat. § 118.16. To the extent that a prospective student does not meet this criteria, Veritas will consider any prospective student who has the potential to be successful at Veritas irrespective of prior attendance.
- Have a previous school GPA of 3.0 or its equivalent. To the extent that a prospective student does not meet this criteria, Veritas will consider any prospective student who has the potential to be successful at Veritas irrespective of prior academic performance.
- Attend a mandatory student and parent/guardian orientation.
- Attend an interview with a Veritas staff member.

The Grantee acknowledges and agrees that because the School receives funds under the federal Public Charter School Program, it must use a lottery to admit eligible applicants if the School is oversubscribed. The Grantee agrees to hold any lottery no later than 30 days prior to the start of each academic year for each

grade level that is oversubscribed. The School may set aside seats for students who have siblings in undersubscribed grades.

With respect to its admission requirements, the School will comply with all of the requirements of Section 504 of the Rehabilitation Act of 1974, 29 U.S.C. § 794, the Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213 and the Individuals with Disabilities Education Act, 20 U.S.C. §§ 1400, *et seq.*

The School's minimum enrollment shall be 120 students.

- (11) The manner in which annual audits of the financial and programmatic operations of the School will be performed:

The Grantee shall submit audited financial statements of the Charter School's operation, along with the auditor's management letters and any exceptions noted by the auditors, to the Office annually beginning after the first full school year. The audit reports shall be prepared by a certified public accountant and submitted to the Office within 120 days after the end of the Grantee's fiscal year on June 30. The audit report must contain a statement as to whether the auditor does or does not have substantial doubt as to the Grantee's ability to continue as a going concern. The Grantee shall provide the Office with the name and contact information of the certified public accountant who will be performing the audit by no later than August 1 of each year. If the audited financial statements do not utilize the list of revenues and expenditures identified in Appendix D, the Grantee will simultaneously submit a completed Appendix D, along with a written verification from the auditor that the total revenues and total expenditures are accurately stated.

The Grantee is a nonstock, nonprofit corporation that currently operates five distinct educational programs. Veritas is one of those five programs. Each of the five programs is and will continue to be operated in a financial separate manner. If Veritas has an annual loss greater than the current fund balance, the Grantee will absorb the difference.

- (12) The procedures for disciplining students:

Students need order and discipline to be successful. Learning cannot take place amid disruption. Staff members will be trained in positive ways to establish and maintain a learning climate, and students and parents/guardians will be informed of the behavior expected from students. Specific, positive expectations will be established by the staff, in conjunction with the input of parents and students. Discipline and decorum will be a part of the student responsibilities contract. While there will be a strong system support for students, students need to respect themselves, their peers, and the School. Students will be active in and responsible for their behavior.

Veritas shall not discipline pupils protected under Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794, the Individuals with Disabilities Education Act, 20 U.S.C. §§ 1400 et seq., and the American with Disabilities Act, 42 U.S.C. §§ 1210 et. seq. except in compliance with the requirements of these Acts.

Section 118.31, *Wisconsin Statutes*, which prohibits corporal punishment of pupils, shall apply to Charter School. Sections 118.32 and 948.50, which prohibit a strip search of a pupil, shall apply to the Charter School.

Discipline procedures will provide the due process to which students are entitled under law. The student handbook will outline the discipline and appeal procedures students and parents must follow. The discipline procedures will follow stated, clear behavior guidelines and rules and they will be reviewed with the students. Rule violations can result in suspension or expulsion.

Suspendable offenses include, but are not limited to: disrespectful behavior to teachers or others, fighting, graffiti or tagging, inappropriate language, harassment, possession of beepers or cell phones during the School day, smoking on the School premises, wearing inappropriate clothing (e.g. drug related shirts, hats, gang wear), and other behavior disruptive to the instructional process and operation of the School.

Expellable offenses include, but are not limited to: any conduct that endangers the property, health of safety of others including bringing weapons to school or using other objects as weapons to threaten or inflict harm to others, bringing or using other assaultive objects, possessing or using explosive devices, bringing drugs or related paraphernalia to school, using or selling drugs or other illegal substances, threatening or conveying false information concerning an attempt to damage or destroy School property, and repeated disobedience of school rules.

Teachers will be responsible, with their students, to maintain proper decorum and a positive learning environment. If teachers need assistance, then the Principal, Associate Principal, or other staff member with authority to assist the teacher will become involved. The Associate Principal or other staff member assigned by the Principal will be responsible for coordinating any disciplinary intervention plan. Weekly meetings with teachers will be held to communicate about the effectiveness of the intervention. In addition, every staff meeting will include an agenda item to discuss student behavior.

When discipline is warranted, teachers may take the following, as well as other appropriate, actions:

- Move the student to a different seat or area within the classroom;
- A conference with the student;

- Reprimand;
- Detention;
- A conference with the student's parent(s)/guardian(s).

The teacher shall refer a student to the Principal or Associate Principal when the teacher feels that the student's behavior cannot be corrected through the teacher's classroom management practices or the disciplinary measures available to the teacher. After consultation with the student and the teacher, the Principal or the Associate Principal will determine the course of action, which may include, among other appropriate actions, the following:

- A conference with the student and/or his/her parent(s)/guardian(s);
- Reprimand;
- A behavioral contract with the student;
- Detention;
- Transfer;
- Referral to outside agency;
- Suspension (up to five days unless a recommendation for expulsion is made);
- Recommend expulsion.

In cases where suspension is considered the Associate Principal, or a designated staff member, will hold a conference with the student, to verbally advise the student of the reason(s) suspension is being considered and to decide on appropriate disciplinary action. In emergencies when the student's presence in the School is considered to be an immediate danger or disruptive of the School's orderly operation, the student may be suspended without a conference. In cases of an emergency suspension, the parent(s)/guardian(s) or emergency contact person shall be notified before the student is sent home during the school day.

If a suspension is imposed, a letter will be given to the student and sent to the parent(s)/guardian(s) stating the reasons for the suspension, the dates of the suspension and any conditions applicable to the suspension. The letter shall also advise the student and his/her parent(s)/guardian(s) that any of them may request a conference with Principal to discuss the suspension. If the Principal decides the suspension was not warranted, the suspension will be expunged from the student's record and the student will be immediately allowed to return to school if the suspension has not been fully served.



When a student has been suspended and expulsion is being considered, the letter sent to the student and the parent(s)/guardian(s) notifying them of the suspension shall include a statement of the grounds for expulsion. The letter will also notify the student and parent(s)/guardian(s) of the time, date and place of the expulsion hearing which shall be held not less than five (5) calendar days from the date of the notice. The letter will also indicate that the hearing may result in the student's expulsion and advise that the hearing will be closed unless the student, or the student's parent(s)/guardian(s) requests that it be open. The letter will further advise that the student may be represented at the hearing by counsel at the expense of the student or his/her parent(s)/guardian(s).

All expulsion hearings shall be conducted before a Hearing Panel consisting of two Veritas teachers not involved in the discipline of the student, and one Veritas parent. Grantee's legal counsel shall serve as the Presiding Officer and as legal advisor to the Panel. The Presiding Officer shall not participate in the deliberations of the Hearing Panel. After hearing the evidence, the Hearing Panel will adjourn in closed session to deliberate. After the Hearing Panel has completed its deliberations, the hearing will be reconvened and the Panel will announce its decision. The decision will be reduced to writing and mailed to the students his/her parent(s)/guardian(s). The Presiding Officer shall keep minutes of the hearing and make them part of the hearing file.

If the decision of the Hearing Panel is to expel the student, the student and his/her parent(s)/guardian(s) shall be notified at the conclusion of the hearing and in the written decision of the Panel mailed to them that the student may appeal the decision of the Panel in writing to an Appeal Board within five (5) calendar days of the conclusion of the expulsion hearing. After receipt of a request to appeal a decision expelling a student, the student and his/her parent(s)/guardian(s) shall be sent written notification of the time, date and place where the appeal hearing is to take place. The Appeal Board shall be made up of a teacher and an administrator from one of Grantee's schools other than Veritas and a Veritas parent other than the parent who sat as a member of the Hearing Panel. Grantee shall engage legal counsel not affiliated with the legal counsel who served the Hearing Panel to serve as Presiding Officer and act as legal advisor to the Appeal Board. The Presiding Officer shall not deliberate with the Board. On appeal, the Appeal Board shall grant the student a *de novo* hearing of the case, following the same procedures followed by the Hearing Panel. After the Appeal Panel reaches its decision it shall announce that decision at the end of the hearing of the appeal and reduce the decision to writing. The written decision shall be mailed to the student and his/her parent(s)/guardian(s). The Presiding Officer shall keep minutes of the hearing and make them part of the appeal file.

Students with disabilities shall be disciplined in accordance with state and federal law and, as appropriate, following the same procedures outlined above for disciplining, suspending and expelling students without disabilities.

A student with disabilities may not be suspended for more than five (5) days unless expulsion is recommended in which case the suspension may be for not more than ten (10) days.

If a student with disabilities is recommended for expulsion, an IEP meeting must be held prior to the expulsion hearing to determine whether the behavior was a manifestation of the student's disability. If it is determined that the behavior was not a manifestation of the student's disability, the student may be subject to the same disciplinary actions as a student without disabilities except the School must continue to provide an appropriate education to the student and in cases where a change in placement to an appropriate interim alternative educational setting is ordered, that change in placement may not be for more than forty-five (45) school days. If it is determined that the behavior was related to the student's disability, the student may not be subject to disciplinary action for periods longer than ten (10) school days.

- (13) The public school alternatives for pupils who reside in the District and do not wish to attend or are not admitted to the Charter School: Under Wis. Stat. § 118.40(6), no pupil may be required to attend the Charter School. Students who reside in the District and do not wish to attend the Charter School remain eligible to attend the District's schools.
- (14) A description of the School's facilities and the types and limits of the liability insurance that the School will carry:

The Grantee owns the School site which is located at 3025 W. Oklahoma Avenue, Milwaukee, Wisconsin. The site is a former church building which has been converted to school use. An addition and renovation is planned for completion by September 2010 that will allow the School's enrollment increase to 250 students.

The Grantee shall provide the Office with evidence of a lease or ownership of the School premises in accordance with the provisions of Section 7.4 of this Contract.

The Grantee shall provide the following minimum liability insurance coverages with limits in respect to the Charter School as set forth below:

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Commercial General Liability (which must include coverage for sexual abuse and molestation, corporal punishment, athletic events, and use of gymnasium equipment and must not contain endorsements CG 22 94/95; CG 21 42/43; CG 21 39; CG 24 26; CG 21 45 or CG 21 04)	
Each Occurrence Limit	\$1,000,000
Personal & Advertising	\$1,000,000
Damages to Premises Rented to You	\$500,000

	General Aggregate	\$3,000,000
	Products-Completed	
	Operations Aggregate	\$3,000,000
	Medical Expense	\$5,000
B.	Auto Liability	
	Combined Single Limit	\$1,000,000 each accident
C.	Umbrella (providing excess employer's liability, general liability and auto liability coverage)	
	Each Occurrence Limit	\$5,000,000
	General Aggregate Limit	\$5,000,000
D.	Worker's Compensation	
	Worker's Compensation	Statutory Coverage
E.	School Leader's Errors & Omissions/Educator's Legal Liability	
	Aggregate Limit	\$2,000,000
F.	Fidelity Bond Coverage (covering Crime, and including employee theft, forgery, larceny and embezzlement for the employees, School Board members and management companies who are responsible for the financial decisions of the Charter School, including but not limited to the CEO)	
	Limit per Loss	\$500,000

The "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" shall be named as an additional insured under the insurance policies described in section A, B, C, E, and F above. A certificate of insurance evidencing the aforementioned insurance requirements is to be provided to the Office annually, prior to the start of each academic year; specifically, the certificate holder shall be the Board of Regents of the University of Wisconsin System, c/o UWM Office of Charter Schools, Enderis Hall Room 582, P.O. Box 413, Milwaukee, WI 53201. A specimen policy for each of the aforementioned insurance requirements shall also be provided to the Office annually. The insurer may not cancel any of the aforementioned insurance requirements prior to the expiration date thereof with less than 60 days notice, and the certificate of insurance shall reflect this requirement. Should the Grantee be unable to obtain any of the aforementioned coverages, the Grantee may seek a written waiver of the above provisions from the University's Risk Manager by directing such a

request to the Office. Under no circumstances is the Board’s right to recovery of damages limited to the fact that it is named as an additional insured under the insurance policies noted above.

The Grantee shall require subcontractors of the Charter School to be insured and provide a certificate of coverage providing for the following:

A. Workers Compensation	Statutory Coverage
B. Commercial General Liability	
Each Occurrence Limit	\$1,000,000
General Aggregate	\$1,000,000
Products-Completed	
Operations Aggregate	\$1,000,000
C. Automobile Liability	
Combined Single Limit	\$1,000,000

In addition, for high risk subcontractors providing the following services: air charter, asbestos abatement, building construction and remodeling, custodial, daycare, elevator maintenance, manual food service, medical services, recreational services/high risk entertainment, refuse transportation and disposal, security, and transportation of people, the Grantee shall require subcontractors to provide a certificate of additional coverage for the coverage and in the amounts described in the UW-System Risk Management Manual, the relevant portion of which is attached hereto at Appendix A. Should the Grantee be unable to obtain proof of insurance as required in this subsection from a particular subcontractor, the Grantee may seek a written waiver of the above provisions from the University’s Risk Manager by directing such a request to the Office.

For the purposes of this subparagraph, “subcontractor” is defined as any third party or entity with which the Grantee contracts for the provision of goods or services related to the School, whose employees or representatives will have face-to-face contact with students, staff, or the School site, and which subcontractor is not expressly covered by the Grantee’s own liability insurance coverage as described above.

- (15) The effect of the establishment of the Charter School on the liability of the University:
  - (a) The University shall not be liable to any person not a Party to this Contract on account of the establishment or operation of the Charter School. Further, the University assumes no obligation with respect to any officer, director, employee, agent, parent, guardian, student, or independent contractor of the Grantee or the Charter School, or any other persons receiving services from or doing business with the Grantee.
  - (b) The Parties agree that nothing contained in this Contract will create any association, partnership, or joint venture between the Parties, or any

employer-employee relationship between the University and the Grantee or the Charter School.

- Section 3.2 Nonsectarian Practices. The Charter School shall be nonsectarian in all its programs, admissions policies, employment practices and all other operations.
- Section 3.3 Tuition. To the extent provided in Wis. Stat. § 118.40 *et seq.*, the Charter School shall not charge tuition.
- Section 3.4 Anti-discrimination. The Charter School may not discriminate in admission or deny participation in any program or activity on the basis of a person's sex, race, religion, national origin, ancestry, pregnancy, marital or parental status, sexual orientation or physical, mental, emotional or learning disability.

## ARTICLE FOUR

### ADDITIONAL OBLIGATIONS OF THE GRANTEE

The Grantee hereby covenants to undertake the following:

- Section 4.1 Compliance with Applicable Law. The Charter School shall comply with all Applicable Law, which may change from time to time and which may include, but is not limited to, the following laws:
- (1) Title VI of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000d-2000d-7;
  - (2) Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 *et seq.*;
  - (3) Age Discrimination Act of 1985, 42 U.S.C. § 6101 *et seq.*;
  - (4) Section 504 of the Rehabilitation Act of 1974, 29 U.S.C. § 794, and the Americans with Disabilities Act, 42 U.S.C. §§ 12101-12213.
  - (5) Individuals with Disabilities Education Act, 20 U.S.C. § 1400-1485 *et seq.*
  - (6) Family Education and Privacy Rights Act, 20 U.S.C. § 1232(g);(7) Drug-Free Workplace Act, 41 U.S.C. § 701 *et seq.*;
  - (8) Asbestos Hazard Emergency Response Act, 15 U.S.C. §§ 2641-2655; and
  - (9) No Child Left Behind Act of 2001, 20 U.S.C. §§ 6301-6578, and its implementing regulations, 34 C.F.R. § 200 *et seq.*

If the Applicable Law requires the Office to take certain actions or establish requirements with respect to the Grantee, the Grantee shall cooperate with those actions and comply with those requirements. In particular, the Grantee agrees to comply with the responsibilities and obligations of the Title I, Part A accountability provisions as specified under the No Child Left Behind Act of 2001 (the "NCLB") and its implementing regulations established by the U.S. Department of Education, which currently include participating in statewide assessments, meeting the state adequate yearly progress definition, meeting public and parent reporting requirements, implementing school sanctions if the Grantee is identified for school improvement, and meeting the highly-qualified teachers and paraprofessional requirements.

- Section 4.2     Non-profit Status. The Charter School shall be created, maintained, and operated by the Grantee, a nonstock corporation created under chapter 181, Wisconsin Statutes. The Grantee shall provide to the Office documentary evidence that it is a nonstock organization in good standing under the laws of the State of Wisconsin, including a copy of its By Laws, by the date this Contract is executed. The Grantee shall remain a nonstock corporation under the laws of Wisconsin for the duration of this Contract and shall from time to time (but not more often than annually) after the date this Contract is executed, as the Chancellor requests, provide the Office documentary evidence that confirms its good standing and its nonstock status. The Grantee shall apply for and obtain tax-exempt status under section 501(c)(3) of the Internal Revenue Code of 1986.
- Section 4.3     Background Screening. The Grantee shall, at its own expense, perform or cause to be performed background screening through the State of Wisconsin Department of Justice of all full- and part-time employees, agents, contractors, and volunteers engaged at the Charter School as teachers or otherwise having access to pupils, and shall not assign any employee, agent, contractor, or volunteers to teach or otherwise to have access to pupils until the Grantee or its designee investigates and determines that there is nothing in the disclosed background of the employee, agent, contractor or volunteer which would render the him/her unfit to teach or otherwise have access to pupils of the Charter School including, but not limited to, conviction of a criminal offense or pending charges which substantially relate to the duties and responsibilities assigned to the employee, agent, contractor, or volunteer. For purposes of this Section, “volunteer” shall mean a non-paid person who serves at the Charter School and who provides services on a regular and ongoing basis for more than 5 hours per calendar week, but shall not under any circumstances include any parent of a student enrolled in the Charter School, unless the parent is employed by the Charter School.
- Section 4.4     Employment of Personnel. The Grantee or its agents or designees shall contract with personnel in accordance with all state law requirements regarding certification and qualifications of employees of public schools, including but not limited to, Wis. Stat. § 118.19 and Wis. Stat. § 121.02. The Grantee shall provide to the Office a copy of all faculty and staff certification reports filed with the Department, including but not limited to the Fall Staff Report (Report No. PI-1202), showing that such personnel are licensed as required by this section or have applied for licensure from the Department. The Grantee or its designee shall make available to the Office, upon request, all licenses, certifications, and employment contracts for personnel engaged at the Charter School.
- Section 4.5     [Omitted.]
- Section 4.6     Administrative Fee.
- (1)     The Grantee shall pay to the University annually an administrative fee to reimburse the University for the actual direct and indirect costs of administering

this Contract during each period of July 1 to June 30 during the term of this Contract, which actual costs shall include but not be limited to execution of the University's oversight responsibilities. Actual costs shall not include research fees. The administrative fee shall be determined by the University but shall not exceed 3% of the amount paid to the Grantee each year by the Department under Article Five, Section 5.2 of this Contract.

- (2) Not later than June 1 of each year during the term of this Contract, the University shall provide the Grantee with an itemized budget showing the University's best estimate of its proposed total expenditures for administering the Contract during the upcoming period of July 1 to June 30. The Grantee shall thereafter pay to the University the amount of such proposed total expenditures, doing so in four (4) equal payments, each due within ten (10) days after the Grantee shall have received from the Department a quarterly payment payable under Wis. Stat. § 118.40(2r)(e).
- (3) In addition, not later than October 1 of each year during the term of this Contract, the University shall provide the Grantee with an end of year financial statement showing the University's actual total expenditures for administering the Contract, as provided in this Section 4.6, during the period of July 1 to June 30 then just completed. Within ninety (90) days after the Grantee receives such end of year financial statement, the University shall pay to the Grantee, or the Grantee to the University, as the case may be, the difference between (i) the amount of the University's actual total expenditures during the period of July 1 to June 30 summarized in such end of year fiscal statement and (ii) the amount paid by the Grantee with respect to such period. Any reconciling payments made by Grantee pursuant to this Section 4.6(3) shall, however, remain subject to the 3% cap on aggregate administrative fees imposed by Section 4.6(1).

Section 4.7 Student Activities and Rental Fees.

- (1) The Charter School may assess reasonable pupil fees for activities such as field trips and extracurricular activities, which fees shall not exceed the actual cost to provide such activities. The Charter School may also assess reasonable rental fees for the use of such items as towels, gym clothing, and uniforms, which fees shall not exceed the actual cost to provide such items. The Charter School may not, however, prohibit an enrolled pupil from attending the Charter School, or expel or otherwise discipline such a pupil, or withhold or reduce the pupil's grades because the pupil has not paid fees permissibly charged under this Section.
- (2) The Charter School may require its pupils to purchase and wear uniforms, but no Party shall profit from the sale of uniforms to pupils.

Section 4.8 Transportation Contracts. The Grantee may enter into contracts with other school districts or persons, including municipal and county governments, for the transportation of Charter School students to and from school and for field trips.

- Section 4.9 Inspection of Charter School Facilities. The Grantee shall permit any designee(s) of the Chancellor to inspect Charter School facilities at any time during the term of this Contract, provided that such inspection shall not materially interfere with the orderly and efficient operation of the Charter School.
- Section 4.10 Access to Charter School Records. Subject to Applicable Law, the Grantee shall grant any designee(s) of the Chancellor upon reasonable notice the right to reasonably inspect and copy at cost any and all Charter School records and documents, including but not limited to pupil records and reports submitted by the Grantee to the Department, at any time within normal business hours during the term of this Contract; provided, however, that such inspection shall not materially interfere with the orderly and efficient operation of the Charter School or otherwise unduly burden the staff of said school. The Grantee shall provide the Office with a copy of any report submitted to the Department at the time of filing, including the reports identified in Appendix B. The Grantee also agrees to provide the Office with a copy of any and all Charter School records and documents within two (2) weeks of any reasonable request. To the extent that the Charter School provides any Charter School records to the University that are protected by privacy or confidentiality laws, the University agrees to abide by such laws as are applicable to the Charter School and not to disclose such records to any third party, except as required by law.
- Section 4.11 Financial Reports. As required under Section 3.1(11) of this Contract, the Grantee shall submit audited financial statements of the Charter School's operation, the auditor's management letters and any exceptions noted by the auditors, to the Office annually. The audit reports shall be prepared by a certified public accountant and submitted to the Office within 120 days after the end of the Grantee's fiscal year on June 30. Audits shall be conducted in accordance with generally accepted auditing standards and with the prevailing Government Auditing Standards issued by the Comptroller General of the United States. Audited statements shall be prepared in accordance with "Generally Accepted Accounting Principles" [GAAP]. In the case that the Grantee contracts with one or more management companies for the operation or administration of the Charter School, the report shall include a separate report of the management companies' expenditures on behalf of the Charter School. If the audited financial statements do not utilize the list of revenues and expenditures identified in Appendix D, the Grantee will simultaneously submit a completed Appendix D, along with a written verification from the auditor that the total revenues and total expenditures in Appendix D are accurately stated. The Office specifically reserves the right to request, in its sole discretion, monthly financial reports from the Grantee.
- Section 4.12 School Year Calendar. The calendar for each school year shall be submitted to the Office no later than the prior July 1 and shall be subject to the approval of the Chancellor or Chancellor's designee. If the Chancellor or Chancellor's designee does not notify the Grantee otherwise, the calendar shall be deemed approved 30 days after submission to the Office.



Section 4.13 Grant Applications. The Grantee shall submit to the Office copies of any applications for grants made on behalf of the Charter School at the time the application is submitted to the funding authority.

Section 4.14 Authorization for Release of Department Reports. The Grantee hereby authorizes the Department to disclose and/or transmit to the Office upon the Office's request any information, data, or reports filed by the Grantee with the Department. Reports submitted by the Grantee to the Department include but are not limited to the Pupil Membership Audit, the Special Education Plan (Report No. PI-3200), the Third Friday in September Pupil Count Report (Report No. PI-1567-A), the School Performance Report, the Fall Staff Report (Report No. PI-1202), the Fall Enrollment Report (Report No. PI-1290), the Federal Collection: Special Education Child Count (Report No. PI-2197-A), the Second Friday January Pupil Count Report (Report No. PI-1567-B), the Course Offerings (Report No. PI-1215), the End of the Year AODA/Tobacco Report, and the ESEA Consolidated Application: Title I, Title II, Title III, Title IV, Title V Federal Funds.

## ARTICLE FIVE

### JOINT RESPONSIBILITIES OF THE PARTIES

The Parties agree to take the following actions:

#### Section 5.1 Operation or Management Contracts and Other Sub-contracts.

- (1) The Chancellor reserves the right to review and approve beforehand any Operation or Management Contract for operation or management of the Charter School that the Grantee wishes to itself enter into with any third party not treated by the Grantee as an employee of the Grantee; provided, however, that such approval shall not be unreasonably withheld, conditioned, or delayed. An "Operation or Management Contract" is a contract (i) that relates to the creation, implementation, or operation of the academic program, instruction, supervision, administration, or business services at the Charter School and (ii) that contemplates an aggregate liability of more than \$50,000 per fiscal year.
- (2) The Grantee shall submit to the Office a copy of any proposed Operation or Management Contract and shall not enter into any such contract until the Chancellor or the Chancellor's designee shall have approved (or be deemed to have approved) the same. The Chancellor or the Chancellor's designee shall have 30 Days after receiving the proposed Operation or Management Contract to review the document and to deliver to the Grantee a written statement approving or rejecting such contract. If the Chancellor or the Chancellor's designee does not within such 30 Days object in writing to the proposed contract, the contract shall be deemed approved. If the Chancellor or the Chancellor's designee rejects the proposed contract, however, the Chancellor or the Chancellor's designee shall also within the 30 Day review period hereunder advise the Grantee in writing of its specific objections to the proposed contract. The Grantee may thereafter

modify (and remodel) the proposed contract and continue submitting the modified contract for the approval of the Chancellor or the Chancellor's designee, which approval shall not be unreasonably withheld, conditioned, or delayed.

- (3) Every Operation or Management Contract shall: (i) be written and executed by both the Grantee and the third party; (ii) contain the third party's covenant to submit to the Office any documentation material to the Office's efforts to assist the Chancellor in carrying out its oversight responsibilities; and (iii) provide that the third party shall, subject to Applicable Law, grant the Chancellor or the Chancellor's designee and the Grantee the right to inspect and copy at cost any and all records and documents directly related to the terms and conditions of this Contract, including pupil records. In addition, every Operation or Management Contract with a third-party provider of educational management services shall specify the nature and methods of compensation for such third-party provider of educational management services, and shall specify the methods and standards the Grantee shall use to evaluate the performance of the third party.

Section 5.2 Payments to Charter School. Upon execution of this Contract, the Chancellor shall notify the Department in a timely fashion of the Grantee's eligibility for funds under Wis. Stat. § 118.40(2r)(e). During the term of this Contract, the Grantee shall be paid by the Department the amount during each school year as specified by Wis. Stat. § 118.40(2r)(e) and applicable rules and policies of the Department.

Section 5.3 Performance Evaluation.

- (1) The University shall evaluate the performance of the Charter School in the areas of leadership, strategic planning, student, stakeholder, and market focus, information and analysis, process management, and organizational performance results as set forth in the Educational Criteria for Performance Excellence of the Baldrige National Quality Program. A description of the specific measures that shall be used to evaluate such areas shall be provided to the Grantee annually, no later than 60 days prior to the start of each academic year.
- (2) The Grantee shall provide to the University the following required reports, at the times described below:
  - (a) Annual School Accountability Plan. By the later of September 1 of each school year or ten (10) days following the date on which the Grantee receives written Wisconsin Knowledge Concepts Exam ("WKCE") results for the most recently completed school year, the Grantee shall submit to the Office for approval a school accountability plan which sets forth, in measurable terms, goals for school improvement in the following school year. If the Charter School has not made Adequate Yearly Progress ("AYP") under the NCLB, as determined by the State of Wisconsin, this plan shall include a detailed description of the Grantee's plans to implement any of the responsive and/or corrective requirements of the NCLB in the following school year. The

Grantee may amend its accountability plan, as appropriate, if the NCLB results are not available when it submits the plan. The Annual School Accountability Plan shall also specify the mission and vision of the School, identify the target population of students, and establish strategic goals for the development of the School, and contain a School and organization profile, which provides general information about the School and its operations.

- (b) Annual School Accountability Progress Report. By the later of August 1 of each school year or ten (10) days following the date on which the Grantee receives written WKCE results for the most recently completed school year, the Grantee shall submit a school performance report to the Office which states how the school has made progress on the goals identified in the school accountability plan established the prior year. This report shall include a description of how the Charter School is or is not meeting the State of Wisconsin's definition of AYP under the NCLB and, if the Charter School has not made AYP in the past, a detailed description of the Charter School's compliance with the responsive and/or corrective requirements of the NCLB in the prior year. The Grantee may amend its progress report, as appropriate, if the NCLB results are not available when it submits the report.

## ARTICLE SIX

### NOTICES, REPORTS AND INSPECTIONS

- Section 6.1 Notice of Annual Budget. The Grantee shall provide the Office with a copy of the proposed annual Charter School budget for the upcoming academic year no later than the June 1 immediately preceding the beginning of each such academic year.
- Section 6.2 Other Notices.
- (1) Agendas and Meetings. If the Charter School shall itself be constituted as a corporation, it shall provide to the Office agendas and notice in advance of all meetings of the Charter School's School Board.
  - (2) Governmental Agencies. The Grantee shall immediately notify the Office when either the Grantee or the Charter School receives any correspondence from the Department or the United States Department of Education that requires a formal response, except that no notice shall be required of any routine or regular, periodic mailings.
  - (3) Legal Actions. The Charter School shall immediately report to the Office any litigation or formal legal proceedings in which the Charter School is a party or alleging violation of any Applicable Law with respect to the Charter School.
- Section 6.3 Certain Reports. The Grantee shall at its expense provide such information and nonperiodic reports as the Office shall reasonably deem necessary to confirm compliance by the Grantee and the Charter School with the terms and conditions of this Contract.

Section 6.4 [Omitted.]

## ARTICLE SEVEN

### MISCELLANEOUS PROVISIONS

Section 7.1 Athletic and Other Associations. The Charter School may, but shall not be required to, join any organization, association, or league as is customary for public schools in the State of Wisconsin which has as its objective the promotion and regulation of sport and athletic, oratorical, musical, dramatic, creative arts, or other contests by or between pupils.

Section 7.2 Code of Ethics. A member of the School Board and any of the officers of the Grantee directly involved in the implementation of the terms and conditions of this Contract (together “the board members”) shall be subject to the following code of ethics:

“Anything of value” means any money or property, favor, service, payment, advance, forbearance, loan, or promise of future employment, but does not include compensation paid by the Grantee for the services of a board member, or expenses paid for services as a board member, or hospitality extended for a purpose unrelated to Charter School business.

“Immediate family” means a board member’s spouse and any person who receives, directly or indirectly, more than one half of his or her support from a board member or from whom a board member received, directly or indirectly, more than one half of his or her support.

- (1) No board member may, in a manner contrary to the interests of the Charter School, use or attempt to use his or her position or Charter School property, including property leased by the Charter School, to gain or attempt to gain anything of substantial value for the private benefit of the board member, his or her immediate family, or any organization with which the board member is associated.
- (2) No board member may solicit or accept from any person or organization anything of value pursuant to an express or implied understanding that his or her conduct of Charter School business would be influenced thereby.
- (3) No board member may intentionally use or disclose confidential information concerning the Charter School in any way that could result in the receipt of anything of value for himself or herself, for his or her immediate family, or for any other person or organization with which the board member is associated.
- (4) (a) If a board member, a member of a board member’s immediate family, or any organization with which a board member is associated proposes to enter into any contract (including a contract of employment) or lease with the Grantee that may within any 12-month period involve payments of

\$3,000 or more derived in whole or in part from payments made pursuant to Wis. Stat. § 118.40(2r)(e), such board member shall be excused from, and shall not participate in, any dealing, discussion, or other position of approval or influence with respect to the Grantee's entering into such contract or lease; provided, however, that such board member may be part of a discussion concerning such proposed contract or lease for the limited purpose of responding to board inquiries concerning such contract or lease.

- (b) Provided that the board member is not in a position to approve or influence the Grantee's decision to enter into such contract or lease and that the procedures set forth in Section 7.2 are observed, a board member may enter into a contract or lease described in Section 7.2(4)(a) if the board member shall have made written disclosure of the nature and extent of any relationship described in Section 7.2(4)(a) to the Office prior to entering into such contract or lease.

Section 7.3 Use of University Marks. Neither the Grantee nor the Charter School nor any of their sub-contractors may use the name, logo, or other mark designating the University without the expressed prior written consent of the Chancellor, nor may the name, logo, or other mark designating the Board of Regents of the University of Wisconsin System without the expressed prior written consent of the Board of Regents.

Section 7.4 Copies of Certain Documents. The Grantee shall provide to the Office at least 90 days before the start of a school year (1) copies of its lease or deed for the premises in which the Charter School shall operate and (2) copies of certificates of occupancy and safety which are required by law for the operation of a public school in the State of Wisconsin. Further, the Grantee shall provide copies of all document identified in Appendix C, the School Opening Checklist, to the Office prior to the required deadlines. The Chancellor reserves the right to review and approve the sufficiency of such documents. The Office must certify in writing that the Grantee has submitted the documents identified in Appendix C in proper form and by required deadlines before the School may commence operations of its first academic year.

Section 7.5 Public Records. The Grantee agrees to manage and oversee the Charter School in accordance with all applicable federal and state public records laws. For purposes of this Contract, the Grantee shall be deemed an "authority" as defined in Wis. Stat. § 19.32(1) and shall be subject to the public records law provisions of Wis. Stat. Ch. 19, subchapter II.

Section 7.6 Open Meetings. The Grantee specifically agrees that the following meetings shall be open to the general public:

- (1) All School admission lotteries.

- (2) The Annual Meeting of the School, which shall be held before the end of the school year at which the annual report, the budget for the following school year, and the audit for the previous school year will be presented.
- (3) The meeting(s) of the School Board at which the annual report, budget, and audit will be presented and/or approved.

The Grantee shall use its good faith efforts to provide reasonable notice of the above listed meetings to the parent/guardian of each student attending the Charter School and shall notify the public according to Wis. Stat. § 19.84(1)(b).

## ARTICLE EIGHT

### PROVISIONS FACILITATING UNIVERSITY RESEARCH

Section 8.1. Research. The Parties agree that the University may seek information from the Grantee and the Charter School for purposes of research. Prior to conducting such research, the University shall seek the Grantee's prior written approval, which will not be unreasonably withheld. Information relevant to such research shall include, but not be limited to, the following:

- (1) Surveys. The University may survey individuals and groups (including but not limited to, parents, students, teachers, board members, others involved in the governance of the Charter School, and the public) concerning the performance of the Charter School, provided that such surveying (i) shall be done at the University's sole expense and (ii) shall not materially interfere with the orderly and efficient operation of the Charter School. The Grantee agrees to cooperate with the University's efforts to conduct such surveys. Employment contracts with teachers employed at the Charter School shall specify that they shall cooperate with such surveys.
- (2) Pupil Testing. The University may seek to administer to each pupil of the Charter School (other than kindergarten pupils), in connection with the pupil's first enrolling in the Charter School, a one-time examination designated by the University. Such examination shall be administered at the University's sole expense and shall not materially interfere with the orderly and efficient operation of the Charter School. The results of any such examination shall be promptly shared with the Grantee.
- (3) Parent/Guardian Evaluation Participation. The University may ask the parent and/or legal guardian of a pupil enrolled in the Charter School to participate in an evaluation or research, which may include their participation in an interview or responding to a questionnaire, about the performance of the Charter School. The Grantee shall use its good offices to urge that the parent and/or legal guardian to participate in such evaluation or research process, subject to their consent.
- (4) Research Observers. The Grantee agrees to accept on the Charter School's premises research observers designated by the University to serve as observers of

the activities of the Charter School, provided that the activities of such research observers shall not interfere with the orderly and efficient conduct of education and business at the Charter School. Costs and expenses incurred for the evaluation activities of such observers shall be reimbursed to the University as part of the reimbursement owing under Section 4.6 of this Contract.

## ARTICLE NINE

### REVOCATION OF CONTRACT BY THE UNIVERSITY

Section 9.1 Events of Default by Grantee. This Contract may be terminated by the University under procedures in Section 9.2 if the University finds that any of the following Events of Default have occurred:

- (1) The pupils enrolled in the Charter School have failed to make sufficient progress toward attaining the educational goals under Wis. Stat. § 118.01, or have failed to achieve AYP, as determined by the State of Wisconsin, pursuant to the federal NCLB, for 3 consecutive years;
- (2) The Grantee has failed to comply with generally accepted accounting standards of fiscal management with respect to the Charter School;
- (3) The Grantee's current liabilities exceed current assets, or the Grantee is insolvent (i.e. total liabilities exceed total assets), has been adjudged bankrupt, or has received a qualified audit opinion regarding its ability to continue as a going concern;
- (4) The Grantee's directors, officers, employees, or agents provided the University false or intentionally misleading information or documentation in the performance of this Contract;
- (5) The Charter School has failed materially to comply with Applicable Law;
- (6) The Charter School has violated Wis. Stat. § 118.40 *et seq.*;
- (7) The Grantee defaults materially in any of the terms, conditions, promises or representations contained in or incorporated into this Contract; or
- (8) The Charter School, in the Chancellor's sole discretion, has insufficient enrollment to successfully operate or enrollment below the projected minimum established in paragraph 3.1(10) above;
- (9) The Grantee fails to submit the documentation required in section 7.4 of this Contract and is, therefore, unable to commence operations, or the Grantee fails to commence operation of its Charter School by September 15 following initial grant of its Charter.

Section 9.2     Procedures for the University's Revocation.

- (1)     Emergency Termination or Suspension Pending Investigation. If the Chancellor determines that any of the Events of Default set forth in Section 9.1 has occurred and that thereby the health or safety of the Charter School's students is immediately put at risk, the University shall provide the Grantee written notice of such Event(s) of Default and, upon delivering such notice, may either (i) terminate this Contract immediately or (ii) exercise superintending control of the Charter School pending investigation of the pertinent charge.
  - (a)     If the University shall elect to exercise superintending control pending investigation of the pertinent charge, the University shall give the Grantee written notice of the investigation, shall commence such investigation immediately, shall permit the Grantee fairly to address the pertinent charge, and shall thereafter complete its investigation as quickly as reasonably practicable.
  - (b)     Upon completing its investigation, the University shall promptly deliver to the Grantee in writing either (i) a notice of immediate termination on the bases set forth in this Section 9.2, (ii) a notice of an Event of Default and an opportunity to cure pursuant to Section 9.2(2), or (iii) a notice rejecting the pertinent charge and reinstating control of the Charter School to the Grantee.
- (2)     Non-Emergency Revocation and Opportunity to Cure. If the Chancellor determines that any of the Events of Default has occurred but that such occurrence does not thereby immediately put at risk the health or safety of the Charter School's students, the University shall advise the Grantee in writing of the pertinent occurrence and shall specify for the Grantee a reasonable period of time (though in no instance less than 30 days) within which the Grantee shall cure or otherwise remedy the specified Event(s) of Default to the reasonable satisfaction of the Chancellor.
  - (a)     If the Grantee shall not so cure or otherwise remedy the specified Event(s) of Default, the University may terminate this Contract by written notice delivered within 10 days after expiration of the specified period.
  - (b)     If the University shall so terminate this Contract, termination shall become effective at the end of the current academic year. If the written notice of termination under (a) above is delivered after the close of a school year but before the commencement of the next school year (i.e. during summer break), termination shall become effective immediately (i.e. prior to the start of the next academic semester scheduled for the Charter School).

Section 9.3     General Termination or Nonrenewal Procedures.

- (1)     Final Accounting. Upon termination or nonrenewal of this Contract, the Grantee shall assist the Chancellor in conducting a final accounting of the Charter School



by making available to the Chancellor all books and records that have been reviewed in preparing the Grantee's annual audits and statements under Section 3.1(11) of this Contract. The Grantee shall also submit a final audited financial statement of the Charter School's operation, including auditor's management letters and any exceptions noted by the auditors, which must be received by the Office within 120 days after the end of the Grantee's final school year.

- (2) Records Retention. Upon termination or nonrenewal of this Contract, the Grantee shall designate a records custodian who will be responsible for maintaining its records in accordance with the law and this Contract. Following the expiration of any statutory retention period and the contractual retention requirements as described below, whichever is longer, the records custodian will arrange for the destruction of records in a manner that ensures their confidentiality.
  - (a) Administrative and Personnel Records. Upon termination or nonrenewal of this Contract, the records custodian will maintain a copy of the School's administrative records, including personnel records, and will provide copies of such records to third parties as required by law or otherwise appropriately requested for a period of not less than six (6) years.
  - (b) Student Records. Upon termination or nonrenewal of this Contract, the Grantee shall provide the Office and the Department with a list of pupil names and their contact information, along with the name of the school to which each pupil is transferring, if known. The records custodian shall transfer a copy of the pupil records, as defined in Wis. Stat. § 118.125, to the school to which each pupil is transferring. The records custodian shall also maintain a copy of pupil records in accordance with Wis. Stat. § 118.125(3).
- (3) Financial Obligations/Asset Distribution. Upon notification of termination or nonrenewal of this Contract and dissolution of the Charter School, the Grantee shall designate an independent trustee who will be responsible for satisfying all outstanding financial liabilities of the Charter School and properly distributing the School's assets in compliance with the law and this Contract. The trustee shall implement a procedure for limiting all expenditures to those that are reasonable and necessary for the ongoing day-to-day operations of the Charter School, such as preauthorized payroll expenses, utilities, rent and insurance. The trustee shall return any unspent federal or state grant money or funds to the Department. The trustee shall provide the Office and the Department with an inventory of any property or equipment purchased, in whole or in part, with state or federal funds. Following any disposition required by state or federal law, and following the satisfaction of the creditors, the trustee shall distribute any remaining property and equipment purchased with state or federal funds to other University-chartered Charter Schools.

## ARTICLE TEN

### TERMINATION BY THE GRANTEE

Section 10.1 Grounds for Termination by the Grantee. This Contract may be terminated by the Grantee under procedures in Section 10.2 if Grantee finds that any of the following Events of Termination have occurred:

- (1) The Charter School has insufficient enrollment to successfully operate or enrollment below the projected minimum established in paragraph 3.1(10) above;
- (2) The Grantee's Operation or Management Contract with a third-party provider of educational management services has been terminated;
- (3) The Charter School has lost its right to occupy all or a substantial part of its physical plant and cannot occupy another suitable facility, at a cost deemed reasonable by the Grantee, before the expiration or termination of its right to occupy its existing physical plant;
- (4) The Grantee has not timely received any one of the payments contemplated under Wis. Stat. § 118.40(2r)(e);
- (5) The Grantee's current liabilities exceed current assets, or the Grantee is insolvent (i.e. total liabilities exceed total assets), has been adjudged bankrupt, or has received a qualified audit opinion regarding its ability to continue as a going concern; or
- (6) The University defaults materially in any of the terms, conditions, promises or representations contained in or incorporated into this Contract.

Section 10.2 Procedures for Grantee Termination of Contract. The Grantee may terminate this Contract according to the following procedures:

- (1) Notice. If the Grantee determines that any of the Events of Termination set forth in Section 10.1 has occurred, the Grantee shall notify the Chancellor of the pertinent Event(s) of Termination. The notice shall be in writing, shall set forth in sufficient detail the grounds for termination, and shall specify the proposed effective date of termination (which date shall, to the extent reasonably practicable, be the end of the next academic semester scheduled for the Charter School).
- (2) Discretionary Termination.
  - (a) As to the Event(s) of Termination set forth in Sections 10.1(1)-(2) and (6), the Chancellor may conduct a preliminary review of the alleged bases for termination to ensure that such bases are bona fide. Such review shall be completed promptly and, within 30 days after the Chancellor receives the Grantee's notice, the Chancellor shall deliver to the Grantee a notice (i)

approving the Grantee's requested termination or (ii) denying the same on the grounds that the asserted bases for termination are not in fact bona fide.

(b) If such results of the review and the Chancellor's determination are not delivered to the Grantee in writing within 30 days after the Chancellor receives the Grantee's notice, the Grantee's notice shall be deemed an approved basis for termination.

(3) Automatic Termination. As to the Event(s) of Termination set forth in Sections 10.1(3)-(5), termination shall be effective on the date set forth in the Grantee's notice under Section 10.2(l).

Section 10.3. [Omitted.]

Section 10.4. General Termination and Nonrenewal Procedures. The requirements set forth in Section 9.3 above shall be applicable to a termination of contract under this Article Ten.

## ARTICLE ELEVEN

### TECHNICAL PROVISIONS

Section 11.1 Term of Contract. The term of this Contract shall commence on July 1 following its execution and shall continue for a period of five years. During the third full year of this Contract the University shall conduct a review of the Charter School's performance to date. The University shall specify in writing for the Grantee the subjects of the review at least 3 months prior to the beginning of the third full year of the operation of the Charter School. The University shall complete the review and shall issue a written report by the end of the third full year of the Contract. Results of the review shall serve as the basis for the University to determine whether it will negotiate another Contract with the Grantee.

Section 11.2 Non-agency. It is understood that neither the Grantee nor the Charter School is an agent of the University.

Section 11.3 Appendices. The following documents, appended hereto, are made a part of this Contract and the Grantee and the Charter School agree to abide by all the terms and conditions included herein:

Appendix A: Part 4.D of the UW System Risk Management Manual, Vendor Certificates of Interest

Appendix B: Compliance Worksheet: Required Documentation and Due Dates

Appendix C: School Opening Checklist

Appendix D: Financial Reporting Requirements

Section 11.4 Applications of Statutes. If, after the effective date of this Contract, there is a change in Applicable Law which alters or amends the responsibilities or

obligations of any of the Parties with respect to this Contract, this Contract shall be altered or amended to conform to the change in existing law as of the effective date of such change.

- Section 11.5 Hold Harmless and Indemnification. To the extent allowed by law, the Grantee shall hold harmless and indemnify the University against any and all liability, claims, demands, and causes of action (including reasonable attorneys fees) which arise out of, occur in connection with or are in any way incident to the Grantee, its contractors, subcontractors or agents' performance of obligations under this Contract.
- Section 11.6 Amendments. This Contract may be amended only upon the written agreement of the Parties.
- Section 11.7 Severability. If any provision of this Contract is held to be invalid or unenforceable, it shall be ineffective only to the extent of the invalidity, without affecting or impairing the validity and enforceability of the remainder of the provision or the remaining provisions of this Contract. If any provision of this Contract shall be or become in violation of any federal, state, or local law, such provision shall be considered null and void, and all other provisions shall remain in full force and effect.
- Section 11.8 Successors and Assigns. The terms and provisions of this Contract are binding on and shall inure to the benefit of the Parties and their respective successors and permitted assigns.
- Section 11.9 Entire Agreement. This Contract sets forth the entire agreement among the Parties with respect to the subject matter of this Contract. All prior application materials, agreements or contracts, representations, statements, negotiations, understandings, and undertakings are superseded by this Contract.
- Section 11.10 Assignment. This Contract is not assignable by either Party without the prior written consent of the other Party.
- Section 11.11 Non-waiver. Except as provided herein, no term or provision of this Contract shall be deemed waived and no breach or default shall be deemed excused, unless such waiver or consent shall be in writing and signed by the Party claimed to have waived or consented. No consent by any Party to, or waiver of, a breach or default by the other, whether expressed or implied, shall constitute a consent to, waiver of, or excuse for any different or subsequent breach or default.
- Section 11.12 Force Majeure. If any circumstances occur which are beyond the control of a Party, which delay or render impossible the obligations of such Party, the Party's obligation to perform such services shall be postponed for an equivalent period of time or shall be canceled, if such performance has been rendered impossible by such circumstances.

Section 11.13 No Third Party Rights. This Contract is made for the sole benefit of the Parties. Except as otherwise expressly provided, nothing in this Contract shall create or be deemed to create a relationship among the Parties or any of them, and any third party, including a relationship in the nature of a third party beneficiary or fiduciary.

Section 11.14 Governing Law. This Contract shall be governed and controlled by the laws of the State of Wisconsin.

Section 11.15 Notices. Whenever this Contract provides that notice must or may be given to another Party, or whenever information must or may be provided to another Party, the Party who may or must give notice or provide information shall fulfill any such responsibility under this Contract if notice is given or information is provided to:

To Grantee: Marcia L. Spector  
Seeds of Health, Inc.  
1445 S. 32<sup>nd</sup> Street  
Milwaukee, WI 53215

with a copy to:

David J. Hase  
Cook & Franke S.C.  
660 E. Mason Street  
Milwaukee, WI 53202

To Office: Director  
UWM Office of Charter Schools  
Enderis Hall 582  
P.O. Box 413  
Milwaukee, WI 53201

with a copy to: Director  
UWM Office of Legal Affairs  
Chapman Hall 380  
P.O. Box 413  
Milwaukee, WI 53201

Notice hereunder shall be effective if made by hand delivery to the pertinent Party or by United States mail, postage prepaid, certified with return receipt requested. Notices shall be effective (i) when actually received by the addressee, if made by hand delivery, or (ii) 2 days after delivering the pertinent notice to the control of the United States Postal Service, if made by certified mail with return receipt requested.

The undersigned have read, understand, and agree to comply with and be bound by the terms and conditions as set forth in this Contract.

FOR GRANTEE:

FOR THE UNIVERSITY:

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
President  
Title

\_\_\_\_\_  
Chancellor  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## APPENDIX A

Part 4.D of the UW System Risk Management Manual on Vendor Certificates of Insurance is attached hereto.



## PART 4 Miscellaneous Liability Issues

### Subject: Vendor Certificates of Insurance

#### 1. Purpose:

When an institution contracts with a vendor for materials, equipment, supplies, or services, that vendor's activities and the goods provided create an inherent liability risk to the institution. The goal of this program is to protect the institution from loss or exposure to loss resulting from any negligence on the part of an under/uninsured vendor who furnishes services to the institution. By obtaining an appropriate certificate of insurance and maintaining a current certificate of insurance on file, for a high risk procurement, the institution has evidence that insurance has been obtained which transfers risks associated with the business relationship with the vendor from the institution to the insurer.

This document reinforces and adds to policy as established under State Procurement PRO-D-34. Due to the uniqueness of some services provided to the UW System, System Risk Management has added six additional high risk services to the ones listed in PRO-D-34. These high risk service vendors are **required** to meet the certificate requirements as specified in PRO-D-34 and in this document for the additional service vendors.

#### 2. Definitions:

**Certificate of Insurance:** A document issued by an insurer which evidences that an insurance policy exists and provides information such as insurer, insurance agency, insured, types of insurance, policy numbers, effective dates, limits, certificate holder, cancellation procedure, special Provisions, e.g., additional insured, and the name of the representative authorizing the policy.

**High Risk Services Procurement:** Means a contract or procurement that significantly increases the possibility of loss or exposure to loss to the University System from a third party.

**Additional Insured:** Affords the Board of Regents coverage under the vendor's policy including defense should the Board be sued based on the actions of the vendor.

**Minimum Limits:** Minimum specified limits must be received unless prior approval is received by the Purchasing Director. These limits may be reached by combining a commercial general liability policy limit with an umbrella policy limit. For example, a vendor may have a general/automobile liability policy with a \$500,000 limit and a \$1,000,000 umbrella. This total meets a \$1,000,000 general/automobile/umbrella requirement.

#### 3. Vendors Insurance Program:



The Standard Limits are the minimum acceptable for any vendor, but there are specific requirements for vendors of high risk services that supersede the Standard Limits. Please refer to PRO-D-34 and this document before specifying vendor coverage requirements. If commodity purchase requires installation of heavy equipment, contact Risk Management.

The following are criteria and a list of high risk services.

#### **CRITERIA OF HIGH RISK SERVICES:**

- Service presents a severe risk of injury or death to students, faculty, staff, and visitors.
- Service presents a severe risk of extensive property damage to institutionally or privately owned property.
- Service has a history of negligently causing injury or damage to property.
- Likelihood is great the service provider will have difficulty procuring and maintaining insurance because of the hazards of the work.

#### **HIGH RISK SERVICES:**

Air Charter

Ambulance Service

Asbestos Abatement Contractors

Building Remodeling and Construction

Custodial Services\*

Day Care\*

Elevator Maintenance

Manual Food Service\*

Medical Services

Recreational Services/High Risk Entertainment-Speakers\*

Refuse Transportation and Disposal

Security\*

Transportation Services (of people)

Travel Services\* (tours, agencies)

**\* Denotes High Risk Service Vendors requirement unique to the UW System.**

HIGH RISK services, other than the above, are to be evaluated on a case-by-case basis.

The following pages delineate the requirements for each class of vendor and provide a list of vendor types for each class. Judgment must be used by the contract manager when dealing with vendors that are not specified on these pages.

Attention must be paid to the various outside contractors who service the institutions with respect to their insurance protection. Failure to monitor this exposure by the contract manager may result in substantial losses for the institution.

**Certificates are required for all service vendors, however, high risk service vendors require receipt of the certificate and continued renewal of the certificate while the contract exists. Internal audit will periodically sample the service contracts to ensure compliance.**

#### 4. **Cancellation:**

If a certificate of insurance is not received prior to issuance of the Purchase Order or is incomplete, notice should be given to the vendor indicating the certificate must be received by the contract administrator, via certified mail within 15 days or the contract will be canceled. See sample letter shown in Appendix 1. Receipt of one certificate from the vendor is all that is necessary for that one year, if the institution has multiple contracts with the vendor. However, the vendor must send a renewal each year or cancellation should take place. Appendix 2 is a sample letter for noncompliance after the 15 day period.

#### 5. **Procedures:**

Specific procedures for the evaluation of vendor certificates of insurance exist at each institution and at the System level. System Risk Management considers the Additional Insured Provision an important condition to be stated on the certificate, especially with regards to our high risk service vendors. The following requirements may be used by the institutions as minimal guidelines and additional guidance may be obtained from System Risk Management as necessary.

Categories for high risk services require a certificate of insurance be in the contract administrator's possession before the purchase order is issued.

#### **Standard Limits (Non High Risk Service Vendors)**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	Statutory Limits
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO Each Occurrence	\$1,000,000 \$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000
D. Additional Insured Provision: The contractor shall add the "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.	

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

### **Limits For High Risk Service Vendors**

#### **Air Charter**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO Each Occurrence	\$1,000,000 \$1,000,000
C. Aircraft Liability	
Piston	\$5,000,000
Jet	\$25,000,000
D. Additional Insured Provision:	
The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general and aircraft liability policy.	

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

#### **Ambulance Service**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO Each Occurrence	\$1,000,000 \$1,000,000
C. Automobile Liability Combined Single Limit	\$2,000,000
D. Professional Liability Insurance	\$2,000,000
E. Additional Insured Provision:	
The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general, automobile, and professional liability policies.	

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

#### **Asbestos Abatement**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO Each Occurrence	\$1,000,000 \$1,000,000

C. Automobile Liability Combined Single Limit	\$1,000,000
D. Contractor's Pollution Liability Insurance (With one year extended reporting period.)	
Each Occurrence	\$1,000,000
Aggregate	\$2,000,000
E. Additional Insured Provision:	
The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general and contractor's pollution liability policies.	

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

### **Building Remodeling and Construction**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000
D. <i>If hazardous substance is involved:</i>	
Contractor's Pollution Liability (With one year extended reporting period.)	
Each Occurrence	\$1,000,000
Aggregate	\$2,000,000
E. Additional Insured Provision:	
The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general, automobile and contractor's pollution liability policies.	

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

### **Custodial Services**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000

D. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Day Care**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000

D. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Elevator Maintenance** - This applies to all passenger and freight elevators.

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000

D. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Manual Food Service** - All contracts

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS

- B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO \$1,000,000  
     Each Occurrence \$1,000,000  
     Fire Legal \$100,000  
 C. Liquor Liability (When applicable) \$1,000,000  
 D. Automobile Liability Combined Single Limit \$1,000,000  
 E. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Medical Services** (including optical and laboratory) - This applies to all contracted medical services including, but not limited to, assisted physician services, laboratory equipment maintenance and patient testing.

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000
D. Professional Liability Insurance (malpractice)	\$2,000,000
E. Additional Insured Provision:	

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general, automobile and professional liability policies.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Recreational Services/High Risk Entertainment-Speakers** - This applies to a broad range of contracted services including, but not limited to, golf course management, carnival activities, pyrotechnical displays, audience participation activities, third parties hosting camps and clinics at our institutions, controversial speakers, and the like.

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$2,000,000
Each Occurrence	\$1,000,000

- |   |             |
|---|-------------|
| C. Automobile Liability Combined Single Limit | \$1,000,000 |
| D. Umbrella Liability                         | \$1,000,000 |
| E. Additional Insured Provision:              |             |

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Refuse Transportation and Disposal**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability	
Combined Single Limit	\$1,000,000
D. Contractor's Pollution Liability (with 1 year extended reporting period)	
Each Occurrence	\$1,000,000
Aggregate	\$2,000,000
E. Additional Insured Provision:	

The vendor shall add the, "The State of Wisconsin, its officers, employees, and agents" as an additional insured under the commercial general and contractor's pollution liability policies.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Security**

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$1,000,000
D. Professional Liability Insurance	\$1,000,000

E. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Transportation** - *This applies primarily to the transport of people. If air transport see Air Charter.*

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	
Wisconsin Combined Single Limit	\$2,000,000
Interstate Combined Single Limit	\$5,000,000

D. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional insured under the commercial general and automobile liability policies.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

**Travel Services: Tour Operators and Agencies** - *This applies to any organization that makes travel arrangements, including travel services, tour operators, etc., on our behalf.*

<u>Coverage Type</u>	<u>Minimum Limit</u>
A. Worker's Compensation	REQ'D NO EXCEPTIONS
B. Commercial General Liability Gen. Aggr. Incl. Prdts/CO	\$1,000,000
Each Occurrence	\$1,000,000
C. Automobile Liability Combined Single Limit	\$2,000,000
D. Professional Liability Insurance	**

(\*\* not required but may be a consideration if bids are comparable and a bidder has the coverage.)

E. Additional Insured Provision:

The contractor shall add the, "Board of Regents of the University of Wisconsin System, its officers, employees, and agents" as an additional



insured under the commercial general liability policy.

In addition to these coverages the contract must contain **all** of the clauses listed under the Special Terms and Conditions for the UW System.

## **6. Special Terms and Conditions**

\* On notification of award and prior to issuance of a contract, the contractor (vendor) shall provide the University a Certificate of Insurance with the required coverage and limits of insurance issued by an insurance company that has an AM Best Rating of A-, is licensed to do business in the State of Wisconsin, and signed by an authorized agent.

\* All policies of insurance shall contain a covenant requiring sixty (60) days written notice by the insurer and sent certified mail to the contract administrator at the specific institution, before cancellation, reduction or other modifications of coverage. The insurance certificate shall be for the initial contract period of one (1) year and shall be renewed by the contractor for each subsequent renewal period of the contract.

\* In the event of non-renewal, cancellation, or expiration, the contractor shall provide the University evidence of the new source(s) of required insurance within twenty-one (21) calendar days after the University's receipt of the sixty (60) day notice. Failure to maintain the required insurance in force may be cause for contract termination.

\* In the event that the contractor fails to maintain and keep in force the insurance herein required, the University shall have the right to cancel and terminate the contract without notice.

\* The contractor agrees to indemnify, defend and hold harmless the Board of Regents of the University of Wisconsin System, its officers, employees and agents from and against any and all claims, losses, liability, costs or expenses (hereinafter collectively referred to as "claims") occurring in connection with or in any way incidental to or arising out of the occupancy, use, service, operations or performance of work in connection with this contract, but only to the extent that such claims are caused by or result from the negligence, misconduct or other fault of the contractor, its agents, employees, subcontractors or contractors.

**APPENDIX B**  
**COMPLIANCE WORKSHEET: REQUIRED DOCUMENTATION AND DUE DATES**

<b>Date Due</b>	<b>Requirement Item</b>	<b>Date Submitted</b>
07/01	School Year Calendar <b>and</b> Days and Hours of Instruction <i>(Provide again if changes are made)</i> <a href="#">CONTRACT Section 4.12 &amp; Appendix B</a>	
08/01	Annual School Accountability Progress Report <a href="#">CONTRACT Section 5.3(2)(d) &amp; Appendix B</a>	
09/01	Strategic Plan Initial <i>(Provide updates whenever plan is modified)</i> <a href="#">CONTRACT Section 5.3(2)(a) &amp; Appendix B</a>	
09/01	Annual School Accountability Plan <a href="#">CONTRACT Section 5.3(2)(c) &amp; Appendix B</a>	
09/01	List of Current Board <b>and</b> Administrative Team Members <a href="#">CONTRACT Section 3.1(2), 3.1(6) &amp; Appendix B</a>	
10/01	Letter certifying compliance with Staff Background Check Requirements <a href="#">CONTRACT Section 4.3 &amp; Appendix B</a>	
10/01	DPI FORM <b>PI1567A</b> , Third Friday in September Enrollment Report <b>and</b> Enrollment by Grade Showing Number of Students _____ and FTE _____ <a href="#">CONTRACT Section 4.4, Section 4.14 &amp; Appendix B</a>	
10/31	Annual Financial Audit <a href="#">CONTRACT Section 3.1(11), Section 4.11 &amp; Appendix B</a>	
10/31	First Quarter Administrative Fee Payment <a href="#">CONTRACT Section 4.6 &amp; Appendix B</a>	
12/01	DPI FORM <b>PI9550</b> , Highly Qualified Teacher Plan <a href="#">CONTRACT Section 4.14</a>	
12/15	DPI FORM <b>PI1202</b> , Fall Staff Report <a href="#">CONTRACT Section 4.14 &amp; Appendix B</a>	
12/31	Second Quarter Administrative Fee Payment <a href="#">CONTRACT Section 4.6 &amp; Appendix B</a>	
02/01	DPI FORM <b>PI1567B</b> Second Friday January Pupil Count Report <a href="#">CONTRACT Section 4.14 &amp; Appendix B</a>	
04/15	Third Quarter Administrative Fee Payment <a href="#">CONTRACT Section 4.6 &amp; Appendix B</a>	
05/15	Pupil Membership Audit <a href="#">CONTRACT Section 4.14 &amp; Appendix B</a>	
06/01	WKCE Test Results: Data, ID Code and ID Code Verification <a href="#">CONTRACT Section 3.1(5)(a) &amp; Appendix B</a>	
06/01	Proposed Budget for Coming Year <a href="#">CONTRACT Section 6.1 &amp; Appendix B</a>	
06/15	Fourth Quarter Administrative Fee Payment <a href="#">CONTRACT Section 4.6 &amp; Appendix B</a>	
<b>Non Dated Requirement Item</b>		
	Insurance Coverage Summary/Certificate <i>(Provide again if changes are made)</i> <a href="#">CONTRACT Section 3.1 (14) &amp; Appendix B</a>	
	Vendor Subcontracts <b>over \$5,000</b> <i>(Submit when negotiating new contracts or when existing contracts are modified)</i> <a href="#">CONTRACT Section 5.1 (Management), Section 4.8 (Transportation), Section 4.10 (Access to Records) &amp; Appendix B</a>	
	Tax Exempt Status under IRC 501(c)(3), Non-Stock Corp. Bylaws, and ALL Current Board policies/procedures <i>(Provide again if changes are made)</i> <a href="#">CONTRACT Section 4.2 &amp; Appendix B</a>	
	Copy of all Board Minutes /Agendas <b>within 45 days of publishing throughout school year – submit any remaining prior school year minutes/agendas by 6/30</b> <a href="#">CONTRACT Section 6.2 (1) &amp; Appendix B</a>	
	Copy of notices for: <i>(Provide again if changes are made)</i> <a href="#">CONTRACT Section 7.6</a> ♦ All school admission lotteries ♦ Annual Meeting Notices	
	Initial Building Title/Lease <i>(Provide again if changes are made)</i> <a href="#">CONTRACT Section 7.4 &amp; Appendix B</a>	
	Initial Building Occupancy <i>(Provide update if modified)</i> <a href="#">CONTRACT Section 7.4 &amp; Appendix B</a>	

## APPENDIX C

### **SCHOOL OPENING CHECKLIST**

The following documents must be provided to the Office by the specified dates in order for the Charter School to commence operations in its first academic year.

#### **Sixty (60) Days Prior To First Day of School For Students and No Later than July 1:**

- Documentation of the legal status under Wisconsin law
- Articles of incorporation
- Roster of school board officers and members
- School organization chart
- Name and vita of certified school administrator
- School administrator employment contract
- School site title or lease
- First year revenue and expenditure budget
- Documentation of funding required to open school
- Documentation of insurance coverage
- School calendar
- Complete school curriculum plan for students attending first year
- Marketing and recruitment plan
- Student enrollment plan
- Faculty and staff compensation plans
- Service subcontracts

#### **Thirty (30) Days Prior to First Day of School For Students and No Later than August 1:**

- Documentation of enrollment equal to or greater than contractually required number.

#### **Prior To First Day of School For Students and no later than August 1:**

- School occupancy permit
- Name and license status of all known teachers and Title 1 aides
- Background screening report for all known employees

## APPENDIX D

### **Financial Reporting Requirements**

The Grantee shall submit audited financial statements of the Charter School's operation, including an audited list of the revenues, expenditures and balances in each of the categories and subcategories:

#### Total Revenue

CATEGORY	TOTAL	PER PUPIL
State per Pupil Aid		
Special Education Aid		
Federal Funds (see (b) below)		
Grants		
Donations From Sponsor		
Other Donations		
Other Revenue		
<b>Total</b>		

#### Federal Revenue (Break Out)

CATEGORY	TOTAL	PER PUPIL
Title I		
Title II		
Title III		
Title IV		
Title V		
Title VI		
Other Federal Funds (List each source individually, for example, Safe and Sound grant)		
<b>Total</b>		

#### Total Expenditures

CATEGORY	TOTAL	PER PUPIL
Instruction		
Instructional Support		
Facilities		
Administration		
Board*		
Other Expenditures		

<b>Total</b>		

\*Report Administration Expenses and School Board Expenditures separately if the School is operated under a management contract

#### Fund Balance

	July 1 (Current Year)	June 30 (Current Year)	Difference	Cumulative Fund Balance
Fund Balance				

**In allocating expenses within the above categories, the Grantee must adhere to the following designations:**

#### Instruction

- Classroom Teaching
  - Instructional Teachers
  - Instructional Para-Professionals
  - Substitutes
  - Other Instructional Personnel
- Classroom Materials
  - Pupil-Use Technology and Software
  - Non-Employee Instructional Materials
  - Other Classroom Materials

#### Instructional Support

- Non-Instructional Pupil Support
  - Guidance and Counseling
  - Library and Media
  - Extracurricular
  - Student Health and Services
  - Other Non-Instructional Pupil Support
- Teacher Support
  - Curriculum Development
  - In-Service Staff Development
  - Other Teacher Support
- Program Support
  - Program Management
  - Therapists, Psychologists, and Social Workers
  - Other Program Support

#### Facilities Expenses

- Building Management
  - Building Operations, Utilities, and Maintenance

- Other Building Management
- Capital
  - Capital Projects and Capital Leases
  - Debt Services
  - Other Capital Expenses

### **Administrative Expenses**

- School Management
  - Executive Director, Principal, and Associate Principals
  - Other Administrative Personnel
  - School Office
- Business Management
  - Data Processing
  - Business Operations
  - Other Business Management
- School Board \* School Board Expenses must be separated from Administrative Expenses if school is operated under a management contract.
  - School Board
  - Legal
- Legal
  - Claims and Settlement

### **Other Expenditures**

- Non-Instructional Pupil Services
  - Transportation
  - Food Service
  - Safety
  - Other Non-Instructional Services

### **Fund Balance**

Changes in fund balance are calculated on an annual and cumulative basis. The difference between annual revenue and annual expenditures provides the annual change to fund balance. The sum of each year's change to fund balance is the cumulative fund balance.

**CHARTER SCHOOLS:  
PROVIDING BLUEPRINTS FOR SUCCESSFUL URBAN EDUCATION**

**EXECUTIVE SUMMARY**

**BACKGROUND**

As charter schools have become a more visible presence on the landscape of public education nationwide, additional attention has been given to assessing how the best schools among them can serve as models for others. Researchers and educators have begun to explore how to grow the charter school sector while also ensuring quality. Nationally, attention has been given to the practice of “replication.” The National Association of Charter School Authorizers calls the replication of existing quality schools as “the most rapid strategy to increase the number of new high-quality charter schools available to children.” Replication is the practice of a school management organization opening another school using the identical model already in place for an existing school managed by the organization. Replication does not allow a charter school to expand its operations beyond the authorized grade levels. The cities of Chicago, New York, and New Orleans have all embraced replication as part of a broader reform strategy. Additional information can be found at:

[http://www.qualitycharters.org/files/public/Charter\\_School\\_Replication\\_Policy\\_Guide.pdf](http://www.qualitycharters.org/files/public/Charter_School_Replication_Policy_Guide.pdf).

The University of Wisconsin-Milwaukee charter school program is in its tenth year of operation. The first charter was granted in 2001. Presently, eleven schools operate under authorization from UW-Milwaukee. Several of these schools have outstanding records for student achievement and financial management. These schools serve as models for providing successful educational programs in the urban environment.

At the February 2010 meeting of the Board of Regents, the UW-Milwaukee Office of Charter Schools will present to the Education Committee a proposed set of guidelines and criteria which would permit and guide the replication of successful UW-Milwaukee-authorized charter schools. At a future meeting, the Board will be asked to approve a policy allowing for charter school replication as specified in the guidelines.

**REQUESTED ACTION**

For information only; no action is requested at this time.

**DISCUSSION**

The University of Wisconsin-Milwaukee charter school program is in its tenth year of operation, having granted its first charter in 2001. Presently, eleven schools operate under authorization from UW-Milwaukee. Several of these schools have outstanding records for student achievement and financial management. These schools serve as models for providing successful educational programs in the urban environment.

Serving as model schools, however, has not proven to assist others to adopt and utilize the methodology of the successful schools. Too often, the success of these model schools is assumed to be the result of special circumstances that cannot be duplicated. The successful, documented replication of these schools can prove this assumption to be false and pave the way for additional schools to follow and replicate the model. Multiple replications of these successful models is crucial to overcoming the entrenched problems of urban education.

Several UW-Milwaukee-authorized charter schools have the record of success and the organizational capacity to replicate existing schools. The careful documentation of the replication can provide a blueprint for the creation of multiple successful schools. Once it can be demonstrated that a high-performing school can be replicated, the model can be adopted by other public and private school organizations to improve the educational program for students in the city of Milwaukee. Replication of these schools will be clearly documented and the resulting documentation will be shared with other educational providers in the city of Milwaukee to increase the opportunities for quality education for all of Milwaukee's students.

The Proposed Guidelines for Replication from the UW-Milwaukee Office of Charter Schools outlines the criteria and process by which a UW-Milwaukee-authorized charter school would come before the Board of Regents for replication approval. A policy allowing for charter school replication, as specified in the Guidelines, will be brought to the Education Committee at a future meeting.

## **RELATED REGENT POLICIES**

Regent Resolution 7905 (May 7, 1999).



UNIVERSITY OF WISCONSIN-MILWAUKEE  
OFFICE OF CHARTER SCHOOLS  
PROPOSED GUIDELINES

**REPLICATION**

**DEFINITION:** Replication is the practice of a school management organization opening another school using the identical model used for an existing school managed by the organization. Replication does not allow a charter school to expand its operations beyond the authorized grade levels.

**CRITERIA:** The charter school management organization must, in UWM's sole discretion, have (1) a track record of success in the school to be replicated and (2) the capacity to successfully replicate the school while sustaining results in the existing school.

Demonstration of a school management organization's potential for successful replication includes:

- (1) a sound, detailed, and well-supported growth plan; and
- (2) evidence of the ability to transfer successful practices to a potentially different context that includes reproducing critical cultural, organizational, and instructional characteristics.

**CRITERIA FOR CONSIDERATION:**

- (1) Stable leadership and teacher corps
- (2) Existence of a waiting list for school entrance
- (3) Fully implemented learning system
- (4) Secure financial resources demonstrated over a five-year period
- (5) Ability to raise sufficient funds for replication
- (6) Ability to borrow funds for building and site requirements
- (7) Ability to borrow funds for cash flow
- (8) Existence of partnerships between the school and community
- (9) Progress in attaining the educational goals under Wis. Stat. 118.01 as demonstrated by the existing school's NWEA and WKCE testing scores and whether the school has made AYP under the NCLB
- (10) The existing school's successful completion of its initial or most recent summative evaluation.

**REPLICATION PLAN ELEMENTS**

A charter school seeking authorization to replicate its educational program to an additional site must identify the following elements in a written request to UWM's Office of Charter Schools:

- (1) Elements critical to the successful replication
- (2) Administrative leaders for the replicated site
- (3) Sources of qualified teachers required to staff the replicated site
- (4) Full cost of each aspect of the model to be replicated
- (5) Whether the new site is to be purchased or leased
- (6) Source for funding for site purchase or lease
- (7) Source for funding cash flow needs
- (8) Methodology to reproduce cultural, organizational, and instructional characteristics

## PROCESS FOR REPLICATION

- (1) The charter school board submits a written application to the Office of Charter Schools to replicate a currently existing charter school. The application includes both a formal letter requesting that the school's charter be amended to allow for the replication and a detailed plan for the replication.
- (2) The replication plan is reviewed by UWM's Office of Charter School Committee Advisory Committee.
- (3) If approved, the charter school and UWM negotiate an amendment to the charter school's existing contract, allowing it to replicate the school.
- (4) The charter amendment is presented to the Board of Regents of the University of Wisconsin System for approval.

## REFERENCES

Charter School Replication: Growing a Quality School Sector, 2009, National Association of Charter School Authorizers.

Replicating High-Performing Public Schools: Lessons from the Field, 2006, Wicoff, Howard, Huggett  
Identifying and replicating the "DNA" of Successful Charter Schools, 2007, Lake, Center on Reinventing Public Education.

## **ACADEMIC PROGRAM PLANNING AND ARRAY IN THE UW SYSTEM**

### **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. All new academic programs emerge as a result of a collaborative planning process between UWSA and the proposing institution(s). UWSA recommends new programs to the Board, which has final decision-making authority over program approval.

The University of Wisconsin System Office of Academic and Faculty Programs (AFP) prepares an annual report outlining the context, guiding principles, process, and updates related to the development and review of academic programs across the UW System. At the February, 2010, meeting of the Board of Regents, the Education Committee will be presented with the 2009-2010 Annual Report.

The Education Committee will also hear an additional report addressing the UW System 2009 Program Realignment Initiative. In November of 2008, Senior Vice President for Academic Affairs Rebecca Martin appointed a Working Group to lead an effort to review the entire undergraduate program array of the UW System with the overall goal of assessing the viability and productivity of each program in terms of enrollments and degree production. This initiative was precipitated by the fiscal outlook of the state and represented an effort on the part of UW System Administration to keep the UW institutions strong and responsive to the needs of the state in what was expected to be a period of extraordinary budgetary challenges. The resulting assessment is intended to provide UW institutions with information that will assist them in making decisions regarding their program arrays in the current fiscal environment and beyond, while taking into consideration the capacity of the entire System to offer needed programs to students.

Both the Annual Report on Program Planning and Review and the Program Realignment Report strengthen the knowledge base and the context in which the Board of Regents exercises its stewardship over the UW System’s academic program array.

#### **REQUESTED ACTION**

For information only; no action is required.

## **ANNUAL REPORT: PROGRAM PLANNING & REVIEW UNIVERSITY OF WISCONSIN SYSTEM**

January 2010

### **I. Introduction**

The University of Wisconsin System Office of Academic and Faculty Programs (AFP) prepares an annual report outlining the context, guiding principles, process, and updates related to the development and review of academic programs across the UW System. The Associate Vice President has prepared a separate report addressing the UW System 2009 Program Realignment Initiative.

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. All new academic programs emerge as a result of a collaborative planning process between UWSA and the proposing campus(es). UWSA recommends new programs to the Board, which has final decision-making authority over program approval.

This year’s report gives an overview of academic program activity over the past five years and includes the following:

- Guiding Principles and New Program Approval Process;
- UWSA- and Board of Regents-Approved Policy Changes and Initiatives for 2008-09; and
- Institutional Reports (program changes, additions, and eliminations for 2008-09).

### **II. Guiding Principles and New Program Approval 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. 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, and science programs at each institution.

Following these principles, the Board of Regents and UWSA have emphasized the importance of addressing the following priorities: relation to mission; market research demonstrating need; an

assessment plan to meet outcomes; potential collaboration with other UW institutions; integration of diversity into new programs; laying out a clear and detailed budget; and the procurement of outside reviews by experts in the field.

With few exceptions, new academic programs are supported through the reallocation of resources of existing programs in an effort to respond to the changing needs of students and the state. Program suspension and discontinuation are also integral to long-range planning for the development of new fields of study.

There are four major steps in the collaborative program planning process: request from the institution for entitlement to plan a new academic program; authorization by the Board of Regents to implement the new program; implementation of the program following Board approval; and a comprehensive review of the academic program approximately five years after its implementation. It is only after this review that a program is formally approved.

#### **A. Entitlement to Plan**

The first step in the new program planning process is for an institution to request from the UWSA Office of Academic and Faculty Programs (AFP) 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:

- the need for the program;
- the description of the curriculum or student learning outcomes;
- the relation to institutional mission and strategic plan;
- the relation to other programs in the UW System and in the region; and
- the projected source of funding.

AFP 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.

Since July 1, 2004, the Office of Academic and Faculty Programs has granted 71 entitlements and returned four to the institution for further development. Eight entitlement requests either expired or were withdrawn. Two entitlement requests were extended. There were 13 entitlements to plan granted in 2008-09. Currently, there are no entitlement requests pending from 2008-09, and three pending for 2009-10. Of the 71 entitlements to plan granted in the last five years, three were for UW- Eau Claire, four for UW-Green Bay, one for UW-La Crosse, nine for UW-Madison, 14 for UW-Milwaukee (including one for both an M.S. and a Ph.D. program), seven for UW-Oshkosh, two for UW-Parkside, three for UW-Platteville, two for UW-River Falls, sixteen for UW-Stout, seven for UW-Stevens Point, and one for UW-Whitewater. In addition, there were several entitlements to plan granted for consortial or collaborative degree programs during this five-year period:

- 1) A Consortial Online M.B.A. in 2004-05 at UW-Eau Claire, UW-La Crosse, UW-Oshkosh, and UW-Parkside;
- 2) A Collaborative Major in Japanese Studies in 2007-08 at UW-Oshkosh and UW-Whitewater;
- 3) A Collaborative Doctor of Nursing Practice in 2007-08 at UW-Eau Claire and UW-Oshkosh (which had split into separate programs by the time their proposals were submitted for authorization by the Board in May 2009); and
- 4) A Collaborative, Online Bachelor of Science Degree Completion Program in Sustainable Management in 2008-09 at UW-River Falls, UW-Stout, UW-Parkside, and UW-Superior, with administrative support from UW-Extension.

## **B. 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 AFP 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. During the past five years, 66 programs were authorized for implementation by the Board.

### **C. 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. During the last five years, the Board authorized 66 programs. As of June 30, 2009, 55 of the authorized programs had been implemented.

### **D. 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 and Faculty 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. In 2008-09, 7 joint reviews were undertaken, and all were approved for continuation.

### **E. Summary**

The following table shows summary data on the number of entitlements to plan granted by AFP, authorizations to implement approved by the Board of Regents, and the number of programs implemented from 2004-05 through 2008-09. For purposes of this tally, the academic year begins on July 1 and ends on June 30.

	2004-05	2005-06	2006-07	2007-08	2008-09	Total
Entitlements	12	14	9	23	13	71
Authorizations	9	10	15	9	23	66
Implementations	13	7	10	9	16	55

From July 1, 2004, to date, 71 programs received entitlement to plan, including 42 programs at the baccalaureate level, 17 at the master's level, and 12 at the doctoral level.

## **III. UWSA and Board Approved Policy Changes and Initiatives in 2008-09**

### **A. Revisions to ACIS 1.0**

ACIS 1.0 was revised with the following minor changes:

- clarification of the "Expedited Review Process" that shortens and facilitates the cycle for establishing new qualifying academic degree programs (e.g., from track to major);
- amended language on the "Joint Review Process" to indicate that the participation of an academic planner from Academic and Faculty Programs is strongly recommended, but not required;

- addition of language on System/Regent action required for approval of “Distance Education” program offerings; and
- addition of language addressing the System/Regent action required to “Suspend Degree or Major.”

## **B. Revisions to ACIS 1.0 Guidelines**

The ACIS 1.0 Guidelines were revised to include the following:

- explanation of the approval process of new academic programming given the changes to the Regent Policy statement (ACIS 1);
- clarification and streamlining of existing attachments to facilitate the program review process; and
- addition of checklists and formats on new policy items and initiatives.

## **C. Establishment of Professional Doctorates at the Comprehensive Campuses**

Due to changing accreditation and licensure requirements in professional fields of study (e.g. medical and allied health), and in an effort to enhance access to professional degrees in the UW System, the Board of Regents approved a measure that authorizes the comprehensive campuses to offer professional doctorates. Criteria for establishing such degrees were developed and added to the ACIS 1.0 Guidelines. Priority is given in the following instances:

- there is an already established master’s degree in the same field;
- there are adequate resources to ensure rigor;
- geographical location is shown to meet workforce needs;
- the degree does not replicate similar programs in the UW System;
- the degree does not take away from resources devoted to undergraduate education or diminish the integrity of the institution’s undergraduate mission;
- the degree will not lead to adjuncts being highly utilized in undergraduate offerings;
- collaboration with other UW institutions is considered;
- cost and pricing of the degree is competitive;
- licensure and accreditation requirements are met;
- market need, student demand and all other aspects of the standard authorization process are addressed; and, finally,
- new and emerging fields of study will continue to be primarily developed at the Research I institutions (i.e., UW-Madison and UW-Milwaukee).

## **D. Realignment of Academic Programs and Program Suspension**

The economic recession of 2008-09 and the ensuing state budgetary restrictions prompted discussions amongst the UW System leadership and campus provosts concerning funding of new academic degree programs. Reallocation of resources often causes hardship on campuses that must close existing low-enrollment programs in order to start new ones. As a result, the UW System developed an alternative to academic program closure, referred to as “Program



Suspension.” “Program Suspension” will allow an institution to temporarily remove an academic program from the system-wide array and, if appropriate, eventually reinstate the program when demand and resources are again present. Guidelines for approval of program suspension are included in the attached report on the Program Realignment Initiative.

### **E. Program Planning Workshop**

The UW System Office of Academic and Faculty Programs held a systemwide workshop in June 2009 for associate provosts, academic planners and deans from the campuses to provide information on new program planning initiatives as well as on changes to current policies. The following presentations were made:

- Program planning in view of budget reductions;
- Five-year institutional academic plans;
- Approval process for new degree programs;
- Outside consultant reviews;
- Finding and using data;
- Integrating diversity;
- Remote site delivery;
- Joint Reviews;
- Articulation agreements;
- Assessment and Learning Outcomes; and
- Budget.

Presentation materials are available at:

([http://www.uwsa.edu/acss/planning/2009\\_workshop.htm](http://www.uwsa.edu/acss/planning/2009_workshop.htm)).

### **F. Campus Academic Plans**

In 2008, the Board of Regents approved a new academic programming initiative requesting each campus to provide an institutional academic plan that would lay out themes, areas of interest, and new directions for the development of academic degree programs. The guiding principles of those plans include the following:

- Plans should provide the Education Committee with an understanding of the academic program directions of the institution over a 3–5 year planning horizon, including strategic directions, anticipated program additions, deletions, and realignment.
- Plans should serve the needs of the institution.
- Plans should be coordinated and interrelated with the institution’s strategic planning, including facilities, instructional technology, and other planning processes.
- Plans should be appropriate to the size and structure of the institution.
- Plans should provide flexibility to respond to emerging needs.
- Plans are presented to the Board of Regents for information only. Individual academic program proposals will continue to follow the program approval process

(ACIS-1) and be subject to Board approval, within the framework of the institutional academic plan.

- Plans should be presented to the Education Committee in conjunction with an HLC Accreditation and General Education report, when hosting a BOR meeting, or at other times, as appropriate.

#### **IV. Institutional Reviews**

UW System Administration is responsible for reviewing and approving programs from their inception until the Joint Review, conducted approximately five years after implementation. Following the Joint Review, newly established academic programs become part of the regular institutional review. Each UW institution reviews all of its academic programs every seven to ten years. These reviews are one of the principal means by which UW System institutions ensure continued quality of their programs.

The specific protocols and procedures involved in these reviews vary from institution to institution, reflecting differences in organizational structure and forms of faculty governance. However, the process generally involves a thorough self-study by the department or program and a rigorous review by a college or institutional committee. External evaluation is often a part of the review. The results of the review, along with recommendations made, are reported to the appropriate dean, provost, and/or designated committee. The institutions also report the results of these reviews to AFP on an annual basis, along with a brief description of the outcome of each review.

During 2008-09, 65 program reviews were completed, resulting in 62 continuations, two conditional continuations with annual or interim reports responding to such issues as enrollments, assessment, and curriculum, and one suspension due to low enrollments. Of the program reviews that began in or before 2008-09, 112 are currently in progress or deferred.

Among the key substantive areas addressed in the campus program reviews undertaken were:

##### **Student learning:**

- Establishing performance standards for student progress;
- Expansion of international study abroad experiences;
- More flexible program delivery to accommodate full-time students and working adults;
- Improving time-to-degree issues;
- Assessment of learning outcomes and curricular changes;
- Enhancement of Internship programs;
- Need to address low-enrolled classes in the major.

##### **Resources (human, physical, financial):**

- Role and use of instructional academic staff;
- Need for new faculty lines to alleviate faculty overload and accommodate high student demand for additional sections of courses;

- Financial support for the development of new curriculum;
- Need for adding administrative support staff;
- Attention to faculty salaries and faculty retention;
- Need to better address faculty turnover;
- Need for more physical space, lab equipment, and technology-equipped classrooms;
- Need for more graduate assistantships to attract and retain students;
- Needed improvement in laboratory safety.

#### Communication/Outreach/Collaboration:

- Explore ways to make program strengths more visible;
- Explore more grant and budget DIN funding at the department level;
- Investigate collaboration with other institutions to maximize course offerings and delivery;
- Enhance community outreach opportunities for students;

#### Diversity

- Expand compositional diversity of faculty and students;
- Enhance recruiting initiatives;
- Integration of diversity-related content and themes in the curriculum;
- Need to address gender and race/ethnicity issues with regard to retention;
- Meeting needs of non-traditional students.

## V. Program Accreditation

UW System institutions undergo both institutional accreditation and specialized accreditation. Institutional accreditation focuses on the whole institution as it defines itself. All UW System institutions are accredited by the Higher Learning Commission (HLC) of the North Central Association of Colleges and Schools. Historically, the Education Committee received a report from each institution that has gone through institutional accreditation, as part of a report on general education. These reports are now incorporated into the Campus Academic Plans presented to the Education Committee. Specialized accreditation addresses specific programs within an institution. This form of accreditation is discipline-specific and often related to professional programs, particularly those professional programs that require graduates to seek licensure to practice.

Specialized accreditation activity at UW System institutions is consistent with national patterns. Currently, about 290 UW System programs are eligible for accreditation by recognized specialized accrediting organizations, and all doctoral and comprehensive UW System institutions hold multiple specialized accreditations.

In 2008-2009, UW System institutions reported the completion of 41 specialized accreditations and 2 institutional accreditations. In the previous three years, a total of 126 accreditation reviews were completed, including institutional accreditations. There are 44 specialized accreditations and 1 institutional accreditation scheduled to begin in 2009-2010.

## VI. Conclusion

A central goal of the UW System's *Growth Agenda for Wisconsin* is to increase the percentage of Wisconsin adults with baccalaureate degrees. An important component of that goal is to ensure access to an appropriate array of degree programs. UW System institutions continue to adapt their program array in order to provide Wisconsin citizens with academic programs that meet individual and state needs. They continue to accomplish this primarily through reallocation of existing budgets.

As is always the case, the creation of new academic programs represents only a small part of institutional program activity. New minors, concentrations, and certificate programs are added and deleted as the needs of the institution, students, and the state change. In order to serve working adults or place-bound individuals, many courses and programs are offered in alternative formats, including distance delivery and through new sites, that meet the needs of working adults and place-bound individuals.

The academic program array of the UW System will continue to undergo change as institutions strive to remain flexible and nimble in their response to the changing environment. Each new program subtly changes the institution and the System. Ongoing collaboration among the faculty and administration of the institutions, the UWSA staff, and the Board of Regents will be essential to ensure that academic programs continue to be of high quality, well-aligned with institutional and system missions, and make efficient and effective use of scarce resources.

## Appendix A INSTITUTIONAL ANNUAL REPORTS 2008-09

### A. UW-Eau Claire 2008-09 Program Changes/Additions/Eliminations

- 1) Establish, Rename, or Eliminate a Department, Center, or Institute
  - Establish Department of Education Studies (Fall 2009)
  - Eliminate Department of Curriculum and Instruction (Fall 2009)
  - Eliminate Department of Foundations of Education (Fall 2009)
  - Establish Institute for Advanced Nanoscience (Fall 2008)
  - Establish Center for Adaptive Microsystems (Fall 2008)
  - Establish Watershed Institute for Collaborative Environmental Studies (May 2009)
  
- 2) Rename or Eliminate a Degree/Major/Submajor
  - Eliminate Geography, Resource Management (Summer 2009)
  - Eliminate Geography, International Studies (Summer 2009)
  - Eliminate Geography, Physical Geography (Summer 2009)
  - Eliminate Geography, Human Geography (Summer 2009)
  - Eliminate Geography, Geographic Techniques (Summer 2009)
  - Eliminate Health and Aging Services Administration Certificate (Summer 2008)
  
- 3) Establish a Sub-major or Certification Program
  - Establish Business Administration “The Business Essentials” Certificate Program (Fall 2009)
  - Establish Entrepreneurship Minor (Fall 2009)
  - Establish Geography, Environmental (Fall 2009)
  - Establish Geography, International (Fall 2009)
  - Establish Information Systems Audit and Control Minor (Fall 2009)
  - Establish Materials Science, Physics of Materials Emphasis (Fall 2009)
  - Establish Materials Science, Chemistry of Materials Emphasis (Fall 2009)
  - Establish Materials Science, Geomaterials Emphasis (Fall 2009)
  - Establish Materials Science, Liberal Arts Emphasis (Fall 2009)
  - Establish Materials Science, Nanoscience Emphasis (Fall 2009)
  - Establish Materials Science, Applied Materials Emphasis (Fall 2009)
  - Establish Materials Science, Biomaterials Materials Emphasis (Fall 2009)
  - Establish Middle East Studies Minor (Fall 2009)

## **B. UW-Green Bay 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish, Rename or eliminate a Department, Center or Institute
  - Established Environmental Management and Business Institute (EMBI)
  - Established Institute for Entrepreneurship and Innovation (IEI)
  - Established Professional Program in Education's Center for First Nations Studies
- 2) Establish, Rename or Eliminate a Degree/Major
  - Earth Science major and minor renamed Geoscience
  - Women's Studies minor renamed Women's and Gender Studies
- 3) Establish a Sub-Major or Certification Program
  - Established a minor in Arts Management
  - Established a minor in Design Arts
- 4) Rename or Eliminate a Degree/Major/Sub-Major
  - Discontinued minor in Communication and the Arts

## **C. UW-La Crosse 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish, Rename, or Eliminate a Department, Center, or Institute
  - None
- 2) Rename or Eliminate a Degree/Major/Submajor
  - Graduate Reading Program has been closed to new students
  - Plan to suspend enrollment in the M.S. in Sport Admin (this suspension has not been implemented).
- 3) Establish a Submajor or Certification Program
  - Sports Broadcasting Minor in the Communication Studies Department

## **D. UW-Madison 2008-09 Program Changes/Additions/Eliminations**

- 1) Majors and Degrees - Phased-out
  - B.S.-Physician Assistant, Physician Assistant Program, Department of Family Medicine, School of Medicine and Public Health
- 2) Majors and Degrees - Renamed/Restructured
  - M.A.-Library and Information Studies off-campus instructional site in Illinois will be discontinued. (The UW-Madison-based and distance education version of the program will continue.) School of Library and Information Studies, College of Letters and Science
  - Master of Legal Institutions (Legal Institutions major) transferred from the Graduate School to be wholly administered by the Law School

- Master of Legal Institutions renamed to Master of Laws, to be abbreviated LL.M. Law School
  - Undergraduate and graduate programs in Rural Sociology (B.S. and M.S.) renamed Community and Environmental Sociology, Department of Community and Environmental Sociology (also being renamed), College of Agricultural and Life Sciences
  - Pre-Dietetics plan code approved for students seeking admission to the B.S.-Dietetics (Nutritional Sciences major), Department of Nutritional Sciences, College of Agricultural and Life Sciences
  - Doctor of Audiology, action to formally record extension to name as "Consortial Program with UW-Stevens Point", Department of Communicative Disorders, College of Letters and Science
  - Social Work, action to formally record extension to major name as "CSWE-Accredited", School of Social Work, College of Letters and Science
- 3) Majors and Degrees - Admissions Suspended
- B.S.-Clinical Laboratory Sciences, School of Medicine and Public Health
- 4) Options - New
- Master of Social Work part-time program options: Option- Part-time Madison; Option - Part-time Eau Claire. [The Eau Claire part-time option approval was accompanied by an approval for the off-campus program site. Approval for the off-campus program site from the Higher Learning Commission was confirmed, May 2009. School of Social Work, College of Letters and Science.]
  - Executive LL.M. (Thammasat) option, within the Master of Laws (major Legal Institutions), East Asia Legal Studies Center, Law School
  - Executive LL.M. (Doshisha) option, within the Master of Laws (major Legal Institutions), East Asia Legal Studies Center, Law School
- 5) Options - Renamed/Restructured
- Undergraduate major in International Studies. Option: Global Economy renamed Politics and Policy in the Global Economy. Option: Global Environment renamed Global Commons/Global Environment, International Studies Program, College of Letters and Science
- 6) Certificates - Established
- Certificate in Integrated Studies in Science, Engineering, and Society, at the undergraduate level, Robert F. and Jean E. Holtz Center for Science and Technology Studies, College of Letters and Science
  - Certificate in Engineering Risk, Uncertainty, and Decision Analysis, at the undergraduate level, College of Engineering
  - Certificate in Consumer Health Advocacy, at the graduate level, Law School
  - Certificate in Southeast Asian Studies, for students at the undergraduate level, Center for Southeast Asian Studies, College of Letters and Science

- Certificate in Type 2 Translational Research (capstone, graduate, and professional versions), Institute for Clinical and Translational Research, School of Medicine and Public Health
- Certificate in Cytotechnology (for special students), School of Medicine and Public Health (action corrects an administrative oversight)
- Certificate in German, at the undergraduate level, Department of German, College of Letters and Science
- CALS International Certificate, at the undergraduate level, College of Agricultural and Life Sciences
- Certificate in Engineering for Energy Sustainability, Energy Institute, College of Engineering

7) Certificates - Phased-out

- Capstone Certificate in Clinical Investigation, School of Medicine and Public Health.
- Graduate Certificate in Clinical Investigation, School of Medicine and Public Health.
- Capstone Certificate in Public Affairs, LaFollette School for Public Affairs, College of Letters and Science

8) Academic Departments - Renamed/Restructured

- Geology and Geophysics renamed Geoscience, College of Letters and Science (pending presentation to the Faculty Senate).
- Rural Sociology renamed Community and Environmental Sociology, College of Agricultural and Life Sciences

9) Subject Listings (Timetable Departments) - Established

- Dermatology, Department of Dermatology, School of Medicine and Public Health.

10) Subject Listings (Timetable Departments) - Renamed/Restructured

- Women's Studies renamed Gender and Women's Studies, Department of Women's Studies, College of Letters and Science
- Geology and Geophysics renamed Geoscience, College of Letters and Science (pending the name change of the department).
- Rural Sociology renamed Community and Environmental Sociology, Department of Community and Environmental Sociology, College of Agricultural and Life Sciences

11) Centers and Institutes - Established

- Center for Journalism Ethics, School of Journalism and Mass Communications, College of Letters and Science
- Modified Asphalt Research Center, Civil and Environmental Engineering, College of Engineering

12) Centers and Institutes - Renamed/Restructured

- Center for the Study of Cultural Diversity in Healthcare renamed Collaborative Center for Health Equity (CCHE), School of Medicine and Public Health.



## **E. UW-Milwaukee (UWM) 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish, Rename, or Eliminate a Department, Center, or Institute
  - Reinstated the Department of Linguistics  
[Foreign Languages and Linguistics were one single department within the College of Letters and Science. In May 2008, the UWM Faculty Senate, Provost, and the Chancellor approved the reinstatement of Linguistics as a separate department. This action was previously transmitted as faculty document 2660.]
- 2) Rename or Eliminate a Degree/Major/Submajor
  - Renamed the UWM Film and Film Studies degree programs to B.F.A. in Film/B.A. in Film Studies [UWM had been entitled to grant a B.A./B.F.A. in Film. It was recently discovered that since 1988, the B.A. degrees have been awarded as B.A. in Film Studies instead of B.A. in Film. After discussions with former Associate Vice President Ron Singer, the College of Letters and Science and the Peck School of the Arts, the campus Academic Programs and Curriculum Committee, and the Provost approved a name change to the entitled degree as B.F.A. in Film and B.A. in Film Studies.]
  - Renamed the undergraduate Production Operations Management major to Supply Chain and Operations Management
  - Renamed the concentration within the M.S. in Management from MIS (Management Information Systems) to IT (Information Technology Management) effective Fall 2010
  - Renamed the concentration within the M.B.A. from International Business to Global Management effective Fall 2009
  - Renamed the Inter-Arts B.F.A./DIVAS Track from Digital Imaging, Visualization, Animation, and Sound (DIVAS) to Interdisciplinary Arts and Technology (IAT)
  - Renamed the French track within the French major from French to French and Francophone
  - Eliminated the eBusiness concentration within the M.S. in Management major, effective when last student currently enrolled in the concentration has graduated
  - Eliminated the interdisciplinary specialty in Biogeochemistry within the Ph.D. programs in Chemistry, Geosciences and Biological Science effective spring 2010
- 3) Establish a Submajor or Certification Program
  - Established an undergraduate minor in Actuarial Sciences
  - Established an undergraduate minor in Global Studies
  - Established an undergraduate Certificate in American Indian Studies
  - Established an undergraduate Certificate in Hmong Diaspora Studies
  - Established an undergraduate Certificate in Investment Management
  - Established an undergraduate Electronics Instrumentation Certificate program
  - Established a Graduate Certificate in Digital Libraries
  - Established a Graduate Certificate in Enterprise Resource Planning
  - Established a Graduate Certificate in Energy Engineering

- Established a Graduate Certificate in Investment Management
- Established a Graduate Certificate in Teaching and Learning in Higher Education
- Established a new undergraduate Urban Studies Submajor within the Committee Interdisciplinary Major (CIM)
- Established a Piano Pedagogy Track within the Music Performance B.F.A. degree program
- Established a Second Track, French Translation, in the French major
- Established a joint degree program that allows students to complete the M.S.W. degree in the course of completing the Ph.D. in Social Work
- Established a concentration in Information Organization within the Master of Library and Information Science major
- Established a concentration in Energy Engineering within the Master of Science in Engineering
- Established a concentration in Rhetorical Leadership within the Ph.D. in Communication

#### **F. UW-Oshkosh 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish, Rename or Eliminate a Department, Center, or Institute
  - Established the Excel Center in the College of Education and Human Services
- 2) Rename or Eliminate a Degree/Major/Submajor
  - Eliminated Speech Elementary Education Minor in College of Letters and Science and College of Education and Human Services
  - Renamed Management Information System major as Information Systems major in the College of Business
  - Renamed M.S.E.-Counseling as M.S.E. Professional Counseling in the Department of Professional Counseling in the College of Education and Human Services
- 3) Establish a Submajor or Certification Program
  - Created a new Insurance and Financial Planning Minor in the College of Business
  - Created a new Insurance Emphasis within the Finance Major in the College of Business

#### **G. UW-Parkside 2008-09 Program Changes/Additions/Eliminations**

No changes, *except*: See Collaborative, Online BS Degree Completion Program in Sustainable Management listing under UW-River Falls.

#### **H. UW-Platteville 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish a Center:
  - Nanotechnology Collaborative Center for Research and Development
  - Renewable Energy Resource Center
- 2) Eliminate Degree/Major/Submajor:
  - Honors Program
- 3) Establish a Submajor:
  - New minor in Social and Environmental Justice

#### **I. UW-River Falls 2008-09 Program Changes/Additions/Eliminations**

No changes *except*: Approval of **Sustainable Management Degree**: this is an online Bachelor of Science Degree Completion program, offered jointly through UW-Parkside, UW-River Falls, UW-Stout, and UW-Superior with administrative support from UW-Extension.

#### **J. UW-Stevens Point 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish, Rename, or Eliminate a Department, Center, or Institute
  - The Division of Business and Economics transferred from the College of Letters and Science to the College of Professional Studies, July 2008
- 2) Establish a Submajor or Certification Program
  - New options in the Geoscience Major: Environmental Analysis Option; Earth Systems Science Option with Earth Science Teaching Certification; and Hydrogeology Option, approved March 2009.
  - New certification program in Therapeutic Lifestyle Changes (TLC) Coaching, approved March 2009
  - New Art Historical Emphasis in the Art Major (B.A.), approved March 2009

### **K. UW-Stout 2008-09 Program Changes/Additions/Eliminations**

- 1) Establish, rename, or eliminate a Department, Center, or Institute
  - *Center for Applied Ethics, established Fall 2008*
- 2) Rename or eliminate a Degree/Major/Submajor
  - Rename: *M.S. in Industrial and Technology Education to M.S. in Technology Education*
  - Eliminate: *Specialization in Organizational Quality Rehabilitation*
  - Eliminate: *Specialization in Digital Photography*
  - Eliminate: *Minor in Social Studies Teaching*
  - Eliminate: *Minor in Speech Communication*
- 3) Establish a Submajor or Certification Program
  - New Minor: *Plant Science*
  - New Minor: *Quality Engineering*
  - New concentration: *Network concentration* in the BS. in Information & Communication Technologies
  - New concentrations: *1) Quality Management concentration* and *2) Human Resource Management concentration* in the B.S. in Management
  - New graduate professional development certificate: *Evaluation Studies*
- 4) *See also:* Collaborative, Online B.S. Degree Completion Program in Sustainable Management listing under UW-River Falls.

### **L. UW-Superior 2008-09 Program Changes/Additions/Eliminations**

No changes, *except:* See Collaborative, Online B.S. Degree Completion Program in Sustainable Management listing under UW-River Falls.

**M. UW-Whitewater 2008-09 Program Changes/Additions/Eliminations**

- 1) New major
  - Entrepreneurship B.B.A.
- 2) New Submajors
  - Pre-Biomedical Professions (B.A./B.S.)
  - Biology Honors (B.A./B.S.)
  - International Economics emphasis (B.A./B.S.)
  - Integrated Science Business-Water emphasis (B.B.A.) (College of Business & Economics)
  - Integrated Science Business-Water Resources emphasis (B.A./B.S.) (College of Letters & Sciences)
  - Sociology Honors emphasis (B.A./B.S.)
- 3) New minors
  - Sociology Education emphasis minor
  - Marketing minor in Integrated Marketing Communications
- 4) Delete majors
  - Elementary Education: Early Childhood/Middle Childhood (formerly Pre K – 6)
  - Social Studies: Broadfield – Sociology emphasis Option II
- 5) Delete submajors
  - Cell Physiology – Honors (B.A./B.S.)
  - Ecology/Field – Honors (B.A./B.S.)
  - Biotechnology (B.A./B.S.)
  - Operations Management: Supply Chain emphasis
- 6) Delete minors
  - Coaching emphasis for B.B.A./L & S majors
  - History Secondary Education emphasis minor

## Appendix B

### ACADEMIC PROGRAM PLANNING PIPELINE

The “pipeline” is a list of the programs which have been entitled for planning, along with the date the entitlement to plan was granted. Institutions have five years from the time they are granted entitlement to plan to submit a proposal to the Board for authorization to implement, unless they request and are granted an extension.

Program Name	Institution	Degree	Status	Date Entitled or Denied
Radiologic Sciences	OSH	BS	Entitled	10/27/2009
Gerontology	STO	MS	Entitled	9/3/2009
Sustainable & Renewable Energy Systems	PLT	BS	Entitled	7/15/2009
Nutritional Sciences	MIL	BS	Entitled	7/9/2009
Freshwater Science	MIL	MS/PhD	Entitled	5/14/2009
Environmental Health	OSH	BS	Entitled	5/13/2009
Sociology	MIL	PhD	Entitled	4/10/2009
Interior Architecture	STP	BFA	Entitled	12/15/2008
Educational Foundations and Cultural Studies	OSH	M	Entitled	11/12/2008
Environmental Sciences	MSN	Major	Entitled	10/3/2008
Leadership	STP	MS	Entitled	8/8/2008
Cognitive Science	STO	BS	Entitled	8/8/2008
Fine Arts	LAX	BFA	Entitled	4/22/2008
Teaching the Arts	MIL	MA	Entitled	3/19/2008
Japanese Studies	JNT	BA	Entitled	1/11/2008
Fine Arts	STO	MFA	Entitled	11/30/2007
Forensic Investigations	PLT	BA/BS	Entitled	10/3/2007
Informatics	STP	MS	Entitled	5/29/2007
Performing Arts	EAU	B	Entitlement Extended	12/15/2005
Microsystems and Nanotechnology	PLT	B	Entitlement Extended	11/3/2005
Professional Studies	STO	BS	Entitled	7/29/2005
Microbial Biotechnology	MIL	MS	Entitled	1/10/2005

## **UW SYSTEM 2009 PROGRAM REALIGNMENT INITIATIVE**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

In November of 2008 University of Wisconsin System Senior Vice President for Academic Affairs Rebecca Martin appointed a Working Group to lead an effort to review the entire undergraduate program array of the UW System with the overall goal of assessing the viability and productivity of each program in terms of enrollments and degree production. This initiative was precipitated by the fiscal outlook of the state and represented an effort on the part of UW System Administration to keep the UW institutions strong and responsive to the needs of the state in what was expected to be a period of extraordinary budgetary challenges. The resulting assessment was intended to provide System institutions with information that would assist them in making decisions regarding their program arrays in such a period and beyond, while taking into consideration the capacity of the entire System to offer needed programs to students.

The Working Group appointed by Senior Vice President Martin to conduct this review consisted of provosts, faculty, and staff from System Administration. To conduct the review and provide helpful information to the campuses, the group sought to do the following:

- 1) Collect and analyze data on enrollments and degrees conferred from the program array during the period 1998-99 to 2007-08;
- 2) Produce a clear and informative picture of the current UW System program array;
- 3) Develop a set of guiding principles for program realignments/ discontinuations/ eliminations.

The data for this report was provided in large part by the UW System Administration's Office of Policy Analysis and Research (OPAR). Additional data and information were obtained from individual institutions.

#### **REQUESTED ACTION**

For information only; no action is required.

#### **DISCUSSION**

##### **Findings**

##### **Frequency of majors**

At the time of this study, the UW System baccalaureate array during the period under review consisted of some 280 different majors or fields of study, ranging from African Languages and Literature to Zoology. A total of 169 fields of study (or 60 percent of the array)

had no duplication in terms of description or total content. For example, agricultural journalism and poultry science were offered only at UW-Madison, architectural studies offered only at UW-Milwaukee, golf enterprise management offered only at UW-Stout, liberal arts for teachers offered only at UW-Parkside, and paper science offered only at UW-Stevens Point. It is important to point out that some majors among this 169 may appear, at least in name or on the surface, to be the same or duplicated at other institutions. Notwithstanding, they are treated as different majors given that they are assigned different major identification numbers indicating a difference in content. The extent or degree of difference among such majors was not measured, and was beyond the scope of this work. Examples of these include: interior design (major #2031) vs. interior architecture (major #2032) and conservation and environmental science (major #4511) vs. reclamation, environment, and conservation (major #49026).

In terms of majors offered by most institutions, only 27 majors (or 10 percent of the total baccalaureate array) were offered by more than 50 percent of the UW institutions. Ten majors were offered by more than 90 percent of the UWs and only one major (psychology) was offered by 100 percent of the UWs (Table 1).

## **Degree Production**

The program realignment review assessed the number of degrees produced at each campus during the period 1998-99 to 2007-08, and the relative contribution of each major to the total degree production by the campus' baccalaureate array. Each campus was provided the results of this particular analysis. The analysis of degree production also included an assessment of majors in the UW baccalaureate array producing relatively few graduates (50 or less) over the entire ten-year period indicated. It is important to point out that the selection of "50 degrees over a ten-year period" to measure or assess degree production was done so as a starting point for discussion. Another scenario considered by the Working Group was "30 graduates over a ten-year period." Establishing an optimum number of degrees that a major or program should produce was beyond the scope of this work.

Of the 280 different undergraduate majors or fields of study in the UW baccalaureate array, only about 27 percent or 75 majors in the entire array were found to each produce 50 or less degrees over the ten-year period covered by this study. In looking closely at these fewer-degree-producing majors (75 in total), 22 of them were unique in that each was offered by no more than a single institution within the system. Thirty (30) of these fewer-degree-producing majors were offered by at least 50 percent of UW Institutions. Table 2 provides a list of these degree programs.

It was the collective view of the Working Group that any conclusions to be drawn regarding the programs producing fewer degrees needed to take into account the campus context, as well as the capacity of the UW System as a whole to offer that major, as can be deduced from the discussion on the frequency of a major in the System's array. For example, Plant Pathology (major # 04041), Entomology (major # 4211), and Poultry Science (major # 1061) were among the 75 fewer-degree-producing majors. However, these majors were offered by only one



Table 1. Baccalaureate degree programs offered by more than 50% of UW institutions

Major ID	Name	Institutions Offering Major		Institutions
		Number	Percent	
15061	Speech	7	54%	LAC, MIL, OSH, PLT, RVF, SUP, WTW
22101	International Studies	7	54%	MIL, MSN, OSH, PLT, RVF, STP, WTW
99991	Individually Planned Major	7	54%	GBY, MIL, OSH, PLT, STP, SUP, WTW
21041	Social Work	7	54%	EAU, GBY, MIL, MSN, OSH, RVF, SUP
7021	Management Info. Systems	7	54%	EAU, GBY, LAC, MIL, MSN, OSH, PKS
5061	Management	8	62%	EAU, GBY, LAC, PLT, RVF, STO, STP, SUP
8021	Elementary Education	9	69%	EAU, LAC, MSN, OSH, PLT, RVF, STP, SUP, WTW
11021	French Studies	9	69%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, STP, WTW
11031	German Studies	9	69%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, STP, WTW
11051	Spanish	9	69%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, STP, WTW
15091	Philosophy	9	69%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, STP
19021	Physics	9	69%	EAU, LAC, MIL, MSN, OSH, PKS, RVF, STP, WTW
22061	Geography	10	77%	EAU, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, WTW
22081	Sociology	10	77%	EAU, LAC, MIL, MSN, OSH, PKS, RVF, STP, SUP, WTW
10071	Theatre Arts	10	77%	EAU, LAC, MIL, MSN, OSH, PKS, RVF, STP, SUP, WTW
10051	Music, General	11	85%	EAU, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
5021	Business: Accounting	11	85%	EAU, GBY, LAC, MIL, MSN, OSH, PLT, RVF, STP, SUP, WTW
7011	Management Computer Systems	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
15011	English	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
4011	Biology	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
17011	Mathematics	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
19051	Chemistry	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
22041	Economics	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
22071	Political Science	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
10021	Visual Arts	12	92%	EAU, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STO, STP, SUP, WTW
22051	History	12	92%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STP, SUP, WTW
20011	Psychology	13	100%	EAU, GBY, LAC, MIL, MSN, OSH, PKS, PLT, RVF, STO, STP, SUP, WTW

institution within the entire system. In addition, an analysis of the importance of having these majors available to students may also need to take into consideration the agricultural economy of Wisconsin. On the other hand, with careful coordination and planning among the institutions, there may be realignment opportunities involving the 30 fewer-degree-producing majors that can be found at about 50 percent of the UW institutions.

## Initial Outcomes

As indicated earlier, this work was undertaken to provide UW institutions with information that would assist them in making decisions regarding their program arrays, while taking into consideration the capacity of the entire System to offer needed programs to students. Consequently, each UW campus was provided a report on this work. Consistent with the intent of this work, campuses were encouraged to use the report as appropriate and to initiate discussion on realignment. Such discussions are underway.

It was anticipated that some institutions would utilize this report to make decisions about program closures or eliminations. To assist campuses with such decisions, the Working Group developed guiding principles that encourage coordination among UW System institutions as they make decisions relating to the elimination or merger of degree programs. This, in the view of the Working Group, would ensure that the same majors are not removed everywhere, and that the UW System will continue to provide the citizens of Wisconsin with a broad range of high-quality

academic programs while making the best use of limited resources. These guidelines are attached as Appendix I

Table 2. Bachelor degree programs producing no more than 50 degrees over a ten-year period (1998:99 - 2007:08). Those programs producing no more than 30 degrees over the same ten-year period are indicated in all capital letters.

Institution	Major	
UW-Eau Claire	22121/ American Indian Studies^ 19022/ PHYSICAL MATH~	3081/ Latin American Studies^ 19011/ PHYSICAL SCIENCE~
UW-Green Bay	19171/ Earth Science^ 11031/ German* 15091/ Philosophy*	11021/French* 99991/ Individual Major*
UW-La Crosse		
UW-Madison	11161/ AFRICAN LANGUAGES AND LITERATURE~ 49042/ Applied Math, Engineering and Physics~ 15041/ Classics^ 4211/ Entomology~ 4531/ Medical Science~ 18021/ Naval Science~ 11152/ POLISH~ 1061/ POULTRY SCIENCE~	8521/ AGRICULTURAL EDUCATION^ 19052/ CHEMISTRY COURSE^ 19171/ EARTH SCIENCE^ 11091/ LATIN~ 8661/ NATURAL SCIENCE~ 04041/ PLANT PATHOLOGY~ 11052/ Portuguese~
UW-Milwaukee	19541/ APPLIED MATHEMATICS AND PHYSICS~ 19052/ CHEMISTRY COURSE^ 15031/ COMPARATIVE LITERATURE^ 03091/ JEWISH STUDIES~ 12521/ MEDICAL SCIENCE~ 11061/ RUSSIAN^	19131/ Atmospheric Science^ 15041/ CLASSICS^ 11041/ ITALIAN^ 9152/ Material Engineering~ 19021/ Physics*
UW-Oshkosh	10021/ Art* 11021/ French* 99991/ INDIVIDUALLY PLANNED MAJOR* 49027/ Natural Science^	19171/ EARTH SCIENCE^ 11031/ German* 05151/ MANAGEMENT 22141/ URBAN PLANNING~
UW-Parkside	19051/ Chemistry* 19141/ Geosciences^ 11031/ GERMAN STUDIES* 49992/ International Studies~ 19021/ PHYSICS*	11021/FRENCH STUDIES* 11031/ German* 15571/ HUMANITIES~ 15091/ PHILOSOPHY*
UW-Platteville	22041/ ECONOMICS* 99991/ INDIVIDUALLY CONTRACTED MAJOR* 15091/ PHILOSOPHY* 15061/ SPEECH*	49027/ GENERAL SCIENCE^ 22101/ INTERNATIONAL STUDIES* 22071/ Political Science*
UW-River Falls	8311/ Art Education (offered by 38% of the campuses) 08324/ MUSIC EDUCATION, VOCAL^	8323/ Music Education Instrumental^ 8320/ Teaching English to Speakers of other Languages~
UW-Stevens Point	99991/ INDIVIDUALLY PLANNED MAJOR* 8324/ Music Education, Vocal^ 19021/ Physics*	10041/ Music, Applied^ 10061/ MUSIC LITERATURE~
UW-Stout		
UW-Superior	19051/ Chemistry* 10071/ THEATRE*	22041/ Economics*
UW-Whitewater	11021/ FRENCH* 99991/ INDIVIDUALLY DESIGNED MAJOR*	11031/ GERMAN* 19021/ Physics*

~ Offered only by that UW Institution

^ Less than 25% of UW Institutions offer this major/degree

\* More than 50% of UW Institutions offer this major/degree

In discussing this report with the Provosts, it was pointed out that many of the campuses would benefit from having a process by which to formally suspend programs rather than eliminate them from an institution's array. Suspension would provide the option of reactivation

within a specified period time if there was resurgence in demand. Consequently, additional guidelines were developed by the Office of Academic Affairs to facilitate program suspensions, and agreed upon by the Provosts in November of 2009. Those guidelines are attached as Appendix II.

Since the initiation and completion of the realignment work in July 2009, and development of the guidelines for program suspension in November of 2009, some campuses have indicated plans to eliminate as well as suspend some of their programs. The FY 2010 (July 1, 2009-June 30, 2010) Annual Report on Program Planning and Review will reflect those changes. It is anticipated that several majors will have been suspended, if not eliminated, by the end of fiscal year 2009. Those actions will release institutional resources that can subsequently be directed towards emerging fields with higher student demands.

### **Program Realignment Working Group Members**

The Working Group members included:

Stephen H. Kolison, Jr. – Associate Vice President for Academic and Faculty Programs UWSA  
– *Chair of Working Group*

Rita H. Cheng – Provost/Vice Chancellor, UW-Milwaukee

Yufeng Duan – Institutional Planner, Policy Analysis and Research, UWSA

Joseph W. Holland – Professor/Program Director, UW-Stout

Greg Lampe – Provost/Vice Chancellor, UW Colleges

Christopher L. Markwood – Provost/Vice Chancellor, UW-Superior

Mike Pagel – Career Specialist/Academic Staff Representative, UW-Stevens Point

Perry Rettig – Associate Vice Chancellor, Faculty & Academic Staff Affairs,  
UW-Oshkosh

Nicholas Sloboda – Professor/Chair/Faculty Representative, UW-Superior

Marty Wood – Dean, College of Arts & Sciences, UW-Eau Claire

## APPENDIX I

### University of Wisconsin System Guiding Principles for Program Realignments/Discontinuations/Eliminations July 2009

#### Preamble

In developing these guiding principles, the Program Realignment Initiative Working Group researched, discussed, and drew from various sources including: a) the previous work done within the UW System in 1986 by the (then Vice Chancellor) Wimberly Program Array Committee; b) other higher education institutions, including the University of Florida and the Tennessee Higher Education Commission, that have developed and made public procedures or criteria for program closures; and c) the work of scholars such as Peter Eckel (2002)<sup>1</sup> and Robert Dickeson (1999).<sup>2</sup> Unlike systems of higher education in some states every institution within the UW System has its own mechanism governing changes to its program array.

These guidelines were developed with the view that the interests of the citizens of Wisconsin would be best served if program closures or realignments decisions by the individual institutions of the UW System were made taking into account the need and the capacity of the System as a whole to continue to offer such programs. However, this view is in no way intended to interfere with the authority or responsibility of individual institutions to make program realignment, discontinuation, or elimination decisions in accordance with their governance structures. Rather, this set of guiding principles should be seen as an additional resource for campuses to utilize, as appropriate, in arriving at such decisions.

#### Guiding Questions

- 1) How might institutions in the UW System approach decisions regarding program realignments?

Establish criteria to be used in the assessment or review of programs. The process of establishing these criteria should include representation from as many stakeholder groups as feasible, and the established criteria of assessment should be widely known by the campus community. Examples of such criteria may include the following:

- a) Need for the program
  - Demand as may be defined by:
    - Applications, admissions, and enrollment;
    - Linkages of the program to other programs within the institution;
    - Role of the program in the UW System; and
    - Role or contributions of the program to the local, regional, state, or national economy.

- Special attributes of the program:
    - Uniqueness of the program – is it the only one of its kind in the region, state, or nation?
    - Is the program essential to the institution's mission, its academic plan, or its strategic plan?
    - How many similar programs exist in the region or state?
    - Is the program part of a political or legislative mandate?
  - b) Program cost and productivity
    - What is the cost for operating this program relative to other programs within the institution?
    - What is the cost for operating this program relative to similar programs across the system?
    - Does the institution have an established minimum average annual degree production requirement for degree programs? If so, what is the performance of the concerned program relative to this requirement?
    - Is there a significant amount of research output (if applicable)?
    - Does the program provide support services to other programs at the institution?
    - Does the program attract external funding to the institution?
  - c) Program quality
    - What is the standing of this program compared to other programs within the institution and relative to similar programs across the System in regards to:
      - Physical and financial resources?
      - Faculty?
      - Accreditation?
- 2) What are other steps that will need to be taken in order to go forward with program realignment/discontinuation/elimination efforts?
- a) Determine an appropriate and flexible measure of degree productivity (that takes into account institutional enrollments, program array, etc.).
  - b) Sort out those programs that warrant assessment due to a low level of activity, low productivity, and/or high cost as defined by the institution.
  - c) For each of these programs, conduct a self-assessment that includes consideration of the following:
    - Why was the program initially established (its history)?
    - Was it provided a reasonable level of resources to ensure its success (degree of investment)?
    - Was it provided the appropriate leadership to ensure its success?
    - Can the level of activity or productivity be raised and/or the costs lowered within a specified period of time by making some changes or by reconfiguring it (combining it with another program)?

- d) Share with other Provosts across the System the intent to shelve or suspend program, combine program with another, or eliminate program.
- 3) Before making the decision to reconfigure, discontinue, or eliminate a program, what other considerations (including political) must be taken into account?
- a) Impacts on students, faculty, and staff
    - How will students be affected and what accommodations will be made?
    - How will faculty and staff be affected and what accommodations will be made?
  - b) Political, socio and cultural impacts
    - Extent of political support for the program within the community, region, and state.
    - Extent of minority and women enrollment in the program.
    - Does the program serve equity, diversity, and inclusivity goals?
  - c) Economic impacts
    - The extent of job losses, if any.
    - The extent of impact on local business.
    - The amount of external funding that could be lost.
- 4) Who should be involved in making such decisions and to what degree?
- a) Shared governance
    - Faculty
    - Academic Staff
    - Students
    - System Administration
  - b) Consultative
    - Staff
    - Alumni
    - Other stakeholders

## References:

1. Peter Eckel, "Decision Rules Used in Academic Program Closure: Where the Rubber Meets the Road," *The Journal of Higher Education*, 73.2 (2002): 237-262.
2. Robert Dickeson, *Prioritizing Academic Programs and Services: Reallocation Resources to Achieve Strategic Balance*. Foreword by Stanley O. Ikenberry. Wiley, John & Sons, Incorporated, 1999.

## APPENDIX II

### University of Wisconsin System Academic Program Suspension: Alternative to Program Closure and Associated Guidelines November 2009

#### ***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.” 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, 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 requested and included in future Academic Program Planning Annual Reports.

#### ***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 of Academic and Faculty Programs 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 and Faculty Programs.
6. Programs that remain suspended for more than seven years will require approval by the Associate Vice President of Academic and Faculty Programs 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.



**REVISED 2/3/10**

**BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM**

I.2. Business, Finance, and Audit Committee

Thursday, February 4, 2010

1820 Van Hise Hall

1220 Linden Drive

Madison, Wisconsin

10:00 a.m. a. Annual Trust Funds Investment Forum – **Room 1920**

11:00 a.m. All Regents – Room 1820

- *Growth Agenda* Planning

12:00 p.m. Box Lunch

12:30 p.m. Business, Finance, and Audit Committee – Room 1820

b. 2009 Annual Financial Report and Auditor's Opinion

c. Discussion: 2010 Operations Review and Audit Plan

d. Differential Tuition

1. Review and Approval of Revised Differential Tuition Policy

[Resolution I.2.d.1.]

2. Review and Adjustment of Existing Differential Tuition Levels

a. UW-Eau Claire BluGold Commitment & Undergraduate Differential

[Resolution I.2.d.2.a.]

b. UW-La Crosse Academic Excellence Initiative

[Resolution I.2.d.2.b.]

c. UW-Stout Access to Learning

[Resolution I.2.d.2.c.]

d. UW-Stout Customized Instruction

[Resolution I.2.d.2.d.]

e. 2009 Annual Trust Funds Report

f. UW System Information Technology Report as required by *Wis. Stats.*  
s.13.58(5)(b)(3)

1. UW Strategic Plans for Major Information Technology Projects

2. Project Status Report for Major Information Technology Projects

g. Status Update on Human Resources System

- h. Committee Business
  - 1. Review of 2009-10 Source of Funds by UW System Institutions
  - 2. Report on Quarterly Gifts, Grants, and Contracts (2<sup>nd</sup> Quarter)
  - 3. Overview of 2011-13 Biennial Budget Timeline
- i. Report of the Senior Vice President
- j. Consent Agenda
  - 1. Approval of the Minutes from December 9, 2009 Meeting of the Business, Finance, and Audit Committee
- k. Additional items, which may be presented to the Committee with its approval
- l. Closed session to consider trust fund matters as permitted by *Wis. Stats.* s.19.85(1)(e)

## **UW SYSTEM 2009 ANNUAL FINANCIAL REPORT AND AUDITOR'S OPINION**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

The UW System publishes an Annual Financial Report that includes financial statements prepared in accordance with Generally Accepted Accounting Principles (GAAP) as prescribed by the Governmental Accounting Standards Board (GASB). The statements are audited by the Legislative Audit Bureau, and also appear, in a somewhat modified format, in the State of Wisconsin's Comprehensive Annual Financial Report (CAFR).

#### **REQUESTED ACTION**

This report is submitted for information only.

#### **DISCUSSION AND RECOMMENDATIONS**

The UW System's Annual Financial Report for fiscal year 2008-2009 includes an unqualified audit opinion from the Legislative Audit Bureau, a Statement of Net Assets, a Statement of Revenues, Expenses and Changes in Net Assets, and a Statement of Cash Flows. The accompanying Notes to the Financial Statements are an integral part of the financial statements, including both disclosures required by GAAP and explanations intended to aid the reader in understanding the statements. In addition, the Annual Financial Report includes a "Management Discussion and Analysis" (MD&A) section that is intended to provide an objective and easily readable analysis of the UW System's financial activities. The UW System's Annual Financial Report may be found at <http://www.uwsa.edu/fadmin/finrep/afr.htm>.

Preceding the MD&A, financial statements, and notes, are several graphs showing some of the ten-year trend data that have been included in prior annual financial reports. Charts 1 and 2 show the amount of revenue derived, in nominal and inflation-adjusted dollars, respectively, from state appropriations, from tuition and fees, and from all other sources. From FY08 to FY09, state support increased by \$58.5 million (6.1%), tuition revenue increased by \$49.8 million (5.6%), federal grants and contracts increased by \$102.5 million (16.2%), state, local, and private grants and contracts increased by \$46.3 million (18.4%), and gifts decreased by \$18.1 million (6.7%). State appropriations comprise less than one quarter of the total revenue (22.3%). Over a ten-year period, FY09 state support exceeded the previous high-point set in FY03 by \$41.9 million. However, in inflation-adjusted dollars, FY09 state support was \$100.8 million less than FY03 state support. Chart 3 shows the growth in university controlled endowments over the past ten-years.

Finally, FY09 total expenses from all funding sources increased by \$245.9 million (6.2%) compared to the prior year's increase of \$254.3 million (6.9%).

#### **RELATED REGENT POLICIES**

None

February 4, 2010

Agenda Item I.2.b.

## **2009 ANNUAL FINANCIAL REPORT AND AUDITOR'S OPINION**

The complete report can be viewed at <http://www.uwsa.edu/fadmin/finrep/afr.htm>

**OFFICE OF OPERATIONS REVIEW AND AUDIT  
REVIEW PLAN  
CALENDAR YEAR 2010**

**Office History**

Prior to 1996, the UW System Office of Internal Audit was responsible for conducting most audits within the UW System. These audits were primarily financial and operational in nature. As a result of a 1996 UW System reorganization, each UW institution was expected to establish at least one auditor position. Institutional auditors were given responsibility for conducting campus-based financial and operational audits. The UW System Office of Internal Audit, later renamed the Office of Operations Review and Audit, was charged with conducting program and management reviews, as well as some financial reviews, with a systemwide impact.

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 applicable laws and Board of Regents policy. The Office helps ensure University operations are proper, efficient, and effective. Specific responsibilities include:

- reviewing the status of Board of Regents policy implementation;
- reviewing the effectiveness with which the UW institutions or UW System Administration have implemented state or federal legislative requirements;
- conducting research and analysis in other operational areas of interest to the Board of Regents or the UW institutions;
- recommending any necessary changes in programs, policies, or practices at the UW System or institution level; and
- working with the audit offices at the UW institutions to provide assurances to the Board of Regents that necessary financial and management controls are present.

In 2005, the Vice Chair of the Business, Finance, and Audit Committee was designated as the audit liaison to the Board of Regents. Any Regent may submit a request for a review or audit for consideration by the Committee through the audit liaison.

The Office's staff have diverse educational and work backgrounds, including advanced degrees in such fields as public policy analysis, urban and regional planning, and business administration, as well as many years of policy analysis or auditing experience.

**Purpose of the Review Plan**

To help allocate limited resources within the Office, we have identified programs, policies, and practices to be reviewed at a System level in calendar year 2010. This review plan strives to achieve two objectives: to assure coverage of areas of risk, while at the same time assuring broad coverage of overall UW System operations over time.

The review plan is a guide that must remain flexible to accommodate review or audit requests from Regents, requests for assistance from UW institutions, and unexpected occurrences.

In addition, while the review plan identifies formal reviews that will be presented to the Board of Regents, the Office of Operations Review and Audit undertakes other projects that are not included in this plan because they are performed on an ad hoc basis or are intended for internal management purposes. Examples of such projects in the past year include the Office's research for the Ad Hoc Committee on Mental Health, whose report was presented in December 2009; involvement with the President's Advisory Committee on Health, Safety, and Security; a review of food service contract language; and co-management, with the UW System Administrative Services, of a pilot enterprise risk management project.

### **Development of the Review Plan**

The review planning process begins with an understanding of the University's activities and its risks, including operational, reputational, strategic, financial, and compliance risks. We gathered such information by (1) discussing various issues with Regents, UW System Administration management, institutional management, institutional internal auditors, and student representatives; (2) reviewing Board of Regents policies, UW System policies and procedures, state and federal laws and requirements, and changes therein; (3) considering institutional internal audits and external review activities or inquiries, such as those by the Legislative Audit Bureau and federal oversight agencies; and (4) considering areas receiving attention at other colleges and universities.

Several factors were considered to determine which UW programs, policies, or practices should be reviewed. Examples of these factors include whether there have been recent administrative, organizational, or operational changes; whether concerns have been noted in the past; the length of time since the last review; the number of impacted students or employees; external reporting requirements; and potential monetary and/or reputational losses, if issues are not addressed. Potential topics were discussed with the administrators of the affected program or policy areas.

### **Planned Major Reviews**

Several large projects identified in the 2009 review and audit plan are currently underway, including reviews of student evaluation of instruction, service learning, prior learning assessments, and division III athletic departments. Upon completion of these projects, the issues proposed for review in calendar year 2010, not listed in order of priority, are as follows:

- UW Higher Education Location Program (HELP) – HELP provides systemwide student advising and academic information primarily via the internet and telephone. In addition to identifying the services provided by HELP, a review may determine how these services are accessed by students, parents, and high school counselors, how HELP services are coordinated with those provided by individual UW institutions, and how HELP has incorporated statewide and

nationwide programs, such as the Wisconsin Covenant and the KnowHow2GO campaign, into its programming.

- Grading Systems' Security – Over the last few years, a number of higher education institutions nationwide have dealt with scandals of poor security over student information systems, resulting in grades being inappropriately awarded or altered. The potential reputational damage from such scandals can be significant. A review may determine how grades are reported, how grade changes are processed, and what security exists over related student information systems.
- Student Assistance Funds – Due to the state's economic condition, students may be in greater need of financial assistance than in prior years. Many UW institutions have established student assistance funds, which may be referred to as crisis or emergency loan funds. A review of these funds may 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.
- FERPA Implementation – Revisions to the Family Educational Rights and Privacy Act (FERPA) became effective in January 2009. Among other things, the revisions redefine personally identifiable information, require periodic FERPA training, and clarify when and with whom information may be shared. A review may determine how UW institutions have implemented these changes.
- Follow-up Review on Policies Affecting Students with Learning Disabilities – In 1999, the Office of Operations Review and Audit reviewed the UW System's responsibilities to provide services to students with disabilities and the implementation of RPD 14-10 (formerly 96-6), Nondiscrimination on Basis of Disability. A follow-up review may determine the progress toward implementation of prior-review recommendations, as well as identify new approaches, institution policies, and the related cost for providing these services.
- National Collegiate Athletic Association (NCAA) Financial Reporting at UW-Milwaukee and UW-Green Bay – The Office will perform agreed-upon procedures for the NCAA-required reports that include fiscal year 2009 revenues, expenses, and capital improvements associated with the institutions' intercollegiate athletics departments. A private CPA firm performs a similar function for UW-Madison.
- WUWM FM 89.7 Financial Statements Audit – This annual audit is conducted to meet requirements of the Corporation for Public Broadcasting.
- NCAA Division III Programs – Except for UW-Madison, Milwaukee, Green Bay, and Parkside, all UW institutions are Division III schools. A review may include an analysis of fiscal controls and compliance with state and NCAA regulations for potentially high-risk areas, such as sponsorships.

**Next Steps**

The list above identifies the topics for review in 2010. However, the specific scope of each review has not been determined. Before fieldwork for any review begins, Operations Review and Audit staff will conduct preliminary research and prepare a project overview memo, which includes (1) background data and circumstances prompting the review; (2) the specific purpose(s) and objective(s) of the review; and (3) a description of the project methodology, such as what information would be gathered and who would likely be contacted. The project overview memo would be discussed with the President, his cabinet, and appropriate UW System staff. These discussions provide assurance that the Office of Operations Review and Audit is correctly targeting the areas of interest.

In conducting its work, the Office of Operations Review and Audit has no direct authority over or responsibility for the reviewed programs, policies, or practices. As a result, review findings are communicated to the appropriate level of UW management to act upon as they choose. However, as in the past, the Office may provide technical assistance to program managers or staff workgroups charged with developing policy changes. In addition, after administrators have adequate opportunity to implement the recommendations, typically several years, the Office may follow up on implementation and report on progress.



UW System  
Review and Approval of Revised Differential Tuition Policy

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the Regent Policy Document 32-7, Student Involvement in Differential Tuition Initiatives, be repealed and recreated to read as set forth in Attachment 1.

## **REVIEW OF DIFFERENTIAL TUITION POLICY AND GUIDELINES**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

The Board of Regents of the University of Wisconsin System currently has only one policy on differential tuition and that is the policy on Student Involvement in Differential Tuition Initiatives (Regent Policy Document 32-7). This policy was established in May 1999 and provides references to guidelines regarding the type of student involvement that is prerequisite to board approval of differentials.

In 2008, the Board received a report on Tuition and Financial Aid which included some recommended policies the Board might wish to consider implementing. Since that time, the Board has been interested in providing greater structure to the process to assist institutions with developing differential initiatives and ensure that certain critical issues, such as affordability, purposes for which the funds may be used, and the level of student involvement are considered in the review.

This document reviews several of the questions that have emerged during discussions of differential tuition initiatives over the past two years, including the December 2009 meeting of the Board of Regents, provides some suggested responses, and proposes a more comprehensive differential tuition policy (Attachment 1) to replace the current RPD 32-7. The proposed policy maintains, and expands upon, student involvement requirements contained in the current Regent policy and instructs the UW System President to establish guidelines that address the magnitude of differential tuitions, financial aid components, the number of differential tuitions at a single institution, and the frequency of Board reviews.

Per the proposed policy, the document includes some suggested guidelines for campuses to use in developing differential tuition initiatives. System Administration will include guidelines in Financial and Administrative Policy (FAP) F44-Tuition and Fee Policies for Credit Instruction that incorporate the discussion of the Board surrounding the suggested items included in this document. The guidelines, to be incorporated into UW System Financial and Administrative Policy, supplement the policy and include such items as factors for institutions to consider when proposing differential tuition. Such factors are in UW System guidance, separate from the Board's policy statement, because they provide added detail on the process.

The Board will be updated on any changes to the guidelines annually when differential tuition reviews occur.

#### **REQUESTED ACTION**

Approval of Resolution I.2.d.1. to repeal and recreate Regent Policy Document 32-7, Student Involvement in Differential Tuition, as set forth in Attachment 1.

## **DISCUSSION AND RECOMMENDATIONS**

A full discussion and recommendations are included in the attached paper.

## **RELATED REGENT POLICIES**

Regent Policy Document 32-7: Student Involvement in Differential Tuition

## REVIEW OF DIFFERENTIAL TUITION POLICY AND GUIDELINES

Section 20.285(1)(im), Wis. Stats., grants revenue generating authority to the Board of Regents, but places some restrictions on the use of these funds. Section 36.27, Wis. Stats., further limits the ability of the Board of Regents to set tuition for resident undergraduate students to the amounts required to fund specific activities, including:

- The amounts enumerated and included in the state budget (section 20.285(1)(im), Wis. Stats.);
- The approved recommendations of the director of the office of state employee relations for compensation and fringe benefits for classified staff and unclassified employees;
- The projected loss in revenue caused by a change in enrollment from the previous academic year;
- State-imposed costs not covered by state-provided general purpose revenue;
- Distance education, nontraditional courses, and intersession courses; and,
- Differential tuition that is approved by the Board of Regents.

Differential tuition is additional tuition that is added to the base tuition level set by the Board of Regents to supplement services and programming for students within that institution.

Differential tuition can be assessed to undergraduate students, graduate students, or both.

Differential tuition can be implemented in a variety of ways, including within an individual program, on an institution-wide basis, or on a systemwide basis.

Differential tuition is a mechanism that allows institutions to generate revenues for improving student success and access to quality instruction. Some of these initiatives increase a student's ability to graduate in a timely fashion by adding faculty and removing bottlenecks to required courses.

Some differential tuition initiatives have included financial aid to hold a target population of students harmless for the tuition increase, thereby maintaining affordability. However, including financial aid results in tuition increases that are larger than might otherwise be needed to achieve the same programmatic goals.

At its December 2009 meeting, the Board discussed various policy options related to differential tuition and the implications of those choices. This paper addresses current Board of Regents policy, differential tuition questions that arose at the December 2009 Board meeting, proposed UW System Administration guidelines for differential tuition initiatives (Attachment 2), and a proposed Board of Regents policy on differential tuition initiatives (Attachment 1). Given the restrictions that exist, the Tuition and Financial Aid Working Group and System Administration recommend continuing to allow institutions to explore and bring to the Board of Regents for consideration, new differential tuition initiatives to increase the quality and affordability of higher education while putting in place some additional guidelines to assist the institutions in developing initiatives for the Board's consideration.

## CURRENT BOARD OF REGENTS POLICY

The Board of Regents has only one policy regarding differential tuition and that is the Policy on Student Involvement in Differential Tuition Initiatives, stating the Board-approved guidelines for student involvement in differential tuition. The policy reads:

**Board of Regents Policy 32-7, approved in May 1999, 32-7 STUDENT INVOLVEMENT IN DIFFERENTIAL TUITION INITIATIVES**

**(Formerly 99-2)**

Upon recommendation of the President of the University of Wisconsin System, [guidelines outlining student involvement in differential tuition initiatives](#) are approved.

History: Res. 7904 adopted 5/7/99

The policy, above, references a second document that outlines the following major provisions for student involvement:

- 1. Students will be advised through their student government organizations of all planned differential tuition initiatives before proposals are submitted to the Board of Regents*
- 2. To the extent possible, UW System institutions will consult with students directly affected by the proposed differential tuition initiative*
- 3. Differential tuition initiative proposals presented to the Board of Regents will include a section on the student consultation process and outcome*
- 4. The Chancellor of the UW System institution, in consultation with the President of the UW System, will make the final determination whether a differential tuition initiative is submitted to the Board of Regents for approval; student approval is not a requirement for the initiative to be forwarded to the Board of Regents*
- 5. Spending decisions related to the funds generated by the differential tuition are ultimately the responsibility of the Chancellor of the UW System institution as indicated in s. 36.09 (3) Wis. Stats.*

In order to provide additional guidance to system institutions, administrators and students, it is recommended that the Board Policy be changed from a policy on student involvement to a more inclusive policy on differential tuition. Attachment 1 is the proposed Policy on Differential Tuition Initiatives.

## REVIEW OF QUESTIONS RELATED TO DIFFERENTIAL TUITION

The following questions were included in the December 2009 Board agenda materials for the Board's consideration. Those questions, among others, will be discussed in this paper along with UW System Administration's recommendations for inclusion in new guidelines for administration of differential tuition. A draft guideline document summarizing the recommended changes is included for the Board's consideration (Attachment 2). Any changes endorsed by the Business, Finance, and Audit Committee will be added to the guidelines and included in UW System Administration's Financial and Administrative Policies (FAP), which are publicly available on the UW System web site at <http://www.uwsa.edu/fadmin/fap.htm>.

**1. Should there be greater standardization of student input in differential tuition? Currently students can provide input through their student government, through surveys, and/or through referenda. Is the current system working? Are there changes needed?**

Student input gained from surveys performed after implementation of differentials and from discussions with student leadership indicate that the current process is working. Students prefer having the flexibility to decide how to advance differentials based on the culture of their particular institution. Some prefer to have referenda while others prefer to work through their student government organizations. Ultimately, proposals are submitted to UW System Administration for review of the process and the proposal prior to being brought to the Board for consideration. UW System Administration has the responsibility to ensure that consultation has occurred. Initiatives come to the Board upon the recommendation of the UW System President. Student input is always sought by the Board, and students with differing thoughts are able to attend Board meetings and share their concerns. The Board also has the ability to ask for additional consultation to occur before deciding to move forward with a differential tuition decision. Given these considerations, UW System Administration believes continuing with the current guidelines regarding student consultation appears appropriate.

**2. Should there be a limit placed on the size of differential tuition proposals? Should the system maintain a certain distance between the tuition of doctoral and comprehensive institutions?**

Campuses currently propose differentials based upon the needs at their institution and the ability/willingness of students to pay those differentials. The size of a proposal will be assessed by the university based on existing tuition and fees including differential tuition, program-specific and institution-wide, and other factors impacting the requirements of the university programming and student access and capacity to support increased costs. Dollar limits can be difficult to manage or change, and can quickly become outdated. While a limit is not recommended, each proposed differential should specifically address cost implications for needy students.

Guidelines should be provided to establish some factors that campuses should consider in seeking to bring forward a differential tuition initiative. Some factors for consideration are:

- What is the current gap in tuition between undergraduate and graduate rates? What is the optimum level of tuition difference between the two levels? Should graduate tuition ever be lower than undergraduate tuition and, if so, why?
- How does the tuition level sought compare to other institutions within the system? Should tuition at the Colleges be the same or higher than tuition at a comprehensive university? Should tuition at a comprehensive institution be higher than tuition at a research institution?
- How will the tuition increase impact students from low-income families? How can the “sticker shock” be reduced?

In general, institutions should seek to limit differential proposals to amounts that would not increase undergraduate rates beyond graduate levels, UW Colleges rates beyond UW comprehensive rates, or UW comprehensive rates beyond UW doctoral institution rates. Institutions that are considering rate changes beyond these levels should consult with UW

System Administration staff prior to advancing proposals to their student body or to student governance groups.

**3. Should there be a hold harmless requirement for differential tuition proposals? If so, at what income level? Would this apply to all differential tuition proposals or only those above a certain dollar amount?**

Each campus should review the factors that might indicate that added financial aid would be needed, including the economic profile of the students on campus, the number of Pell grant eligible students, existing tuition and fees, and peer campus tuition and fees. A relatively small program increase would not necessarily dictate needed aid, while a larger institution-wide differential may require financial assistance. An institution could identify sources other than differential tuition to provide additional financial aid.

**4. Should the number of program-specific differentials at an institution be limited? If a campus has a number of program-specific differentials should that impact its ability to propose an institution-wide differential?**

- Institution-wide differentials: In order to preserve transparency for students, parents, and stakeholders, each UW institution would have no more than one institution-wide differential tuition program. Institutions that currently have more than one institution-wide differential would be required to reduce the number of differentials by elimination or combination. Institution-wide differentials would reflect a cohesive program to address top institutional priorities.
- Program-specific differentials: Institutions would be permitted to have no more than one program-specific differential per program of study. Program-specific differentials would *generally* be limited to programs with high instructional or support costs. The purpose of a program-specific differential would be to enhance programs and services, quality and availability to the students in those programs. Institutions with multiple program-specific differentials would still have the ability to seek an institution-wide differential.

**5. What guidelines should be considered for nonresident tuition?**

Institutions may submit proposals for nonresident tuition rates that are different from the standard Board-approved rates. Nonresident tuition would cover at least the full cost of instruction, and to the extent possible, should strive to cover a portion of the state support for a resident student. Nonresident tuition initiatives could not result in limiting resident student access to educational programs. Institutions could have no more than one institution-wide, nonresident undergraduate tuition rate. Institutions do not need to use the differential tuition guidelines when proposing tuition differentials that only impact nonresident students as the statutes do not limit the Board's authority to set nonresident rates. However, input on institution-wide proposals affecting either all undergraduate and/or graduate students (including nonresident students) will be sought from students regardless of residency.

**6. How frequently should existing differential tuition programs be reviewed?**

In order to provide the Board of Regents with a complete picture of the tuition strategy being pursued at an institution, and across the System, each institution would review all approved differentials with the Board of Regents once every five years. The review for one or more of the differentials could be sooner if requested by the Board or if institutions seek to make a substantial change to the purpose of the differential. For example, an initiative that is primarily targeted towards advising students would be substantially changed if the funding were to be used to hire additional faculty. If the campus were to propose such a change, the initiative would need to return to the Board for approval of the change.



**PROPOSED POLICY ON DIFFERENTIAL TUITION INITIATIVES**

Section 36.27(1), Wis. Stats., restricts the ability of the Board of Regents to set tuition rates for resident undergraduate students. An exception is provided, however, for differential tuition approved by the Board of Regents.

Differential tuition is tuition added to the base tuition level for the purpose of supplementing services and programming for students within an institution. Differential tuition can be assessed to undergraduate students, graduate students, or both. Differential tuition can be implemented in a variety of ways, including within an individual program, on an institution-wide basis, or on a systemwide basis.

The Board has full authority to establish tuition levels for all student groups and classes other than resident undergraduates. Accordingly, this policy describes the student involvement required for Board approval of institution-wide or program-specific differential tuition for resident undergraduate differential tuition. It further instructs the UW System President to establish guidelines that address the magnitude of differential tuitions, financial aid components, the number of differential tuitions at a single institution, and the frequency of Board reviews.

**I. Definitions**

- A. “Institution-wide differential tuition” means tuition added to an institution’s base tuition level as established by the Board of Regents, for the purpose of supplementing services and programming within the institution beyond existing institutional activities supported by General Purpose Revenue (GPR) and Program Revenue (PR) funding.
- B. “Program-specific differential tuition” means tuition added to an institution’s base tuition level as established by the Board of Regents, for the purpose of supplementing academic and other student services for a specific program beyond existing program activities supported by GPR and PR funding.

**II. Institution-wide Differential Tuition Procedures**

- A. Students shall be advised, through their student government organizations, of all planned institution-wide differential tuition initiatives before proposals are submitted to the Board of Regents.
- B. Institution-wide differential tuition proposals presented to the Board of Regents shall include a description of the student consultation process and outcome, as well as any official position taken by the student government organization, if one has been provided. Institutions shall attempt to provide adequate time for the student government organization to review the final proposal.

- C. Institution-wide differential tuition proposals must clearly state their purposes, as established by the institution in conjunction with students, when presented to the Board of Regents. An institution may change the purposes for which the funding is expended with student consultation.
- D. Institution-wide differential tuition proposals must describe any oversight, evaluation, or consultation process for the initiative. The format of this oversight, evaluation, or consultation process must be discussed with students before the proposal is presented to the Board of Regents for approval.
- E. The Chancellor of the institution, in consultation with the President of the UW System, will make the final determination whether an institution-wide differential tuition initiative is submitted to the Board of Regents for approval.
- F. Student involvement is not required for institution-wide differential tuition approved by the Board of Regents as part of a Board initiative, or as part of the biennial budget process.
- G. Spending decisions related to the funds generated by an approved institution-wide differential tuition are the responsibility of the Chancellor of the institution, in accordance with s. 36.09 (3) Wis. Stats.

### III. Program-Specific Differential Tuition Procedures for Student Involvement

- A. Students shall be advised, through their student government organizations, of all planned program-specific differential tuition initiatives before proposals are submitted to the Board of Regents.
- B. To the extent possible, an institution will consult with those students directly affected by proposed program specific differential tuition initiatives limited to that institution.
- C. Program-specific differential tuition proposals presented to the Board of Regents shall include a description of the student consultation process and outcome, as well as any official position taken by the student government organization, if one has been provided.
- D. Program-specific differential tuition proposals must clearly state their purposes, as established by the institution in conjunction with students, when presented to the Board of Regents.
- E. Program-specific differential tuition proposals must describe any oversight, evaluation, or consultation process for the initiative. The format of this oversight, evaluation, or consultation process must be discussed with students before the proposal is presented to the Board of Regents for approval.
- F. The Chancellor of the institution, in consultation with the President of the UW System, will make the final determination whether a program specific differential tuition initiative is presented to the Board of Regents for approval.

- G. Student involvement is not required for systemwide program-specific differential tuition initiatives approved by the Board of Regents.
- H. Spending decisions related to the funds generated by a program-specific differential tuition are the responsibility of the Chancellor of the institution, in accordance with s. 36.09 (3) Wis. Stats.

#### IV. General Differential Tuition Procedures -- UW System Guidance

- A. The President of the UW System shall develop System guidelines for institutions to use in developing institutional differential tuition initiatives. The guidelines shall address, at a minimum, the following:
  - 1. Factors an institution should consider when determining the magnitude of a differential tuition initiative;
  - 2. Whether the initiative should include a financial aid component and, if so, the appropriate level of that component;
  - 3. Whether the number of differential tuitions at a single institution should be limited;
  - 4. The frequency of Board review of differential tuition initiatives.
- B. Guidelines developed pursuant to this section shall be provided to the Board of Regents.

## **PROPOSED GUIDELINES FOR DIFFERENTIAL TUITION INITIATIVES**

The following proposed process changes would clarify the approval process now covered by various UW System differential tuition guidelines: *Differential Tuition Process Timeline*, *Institution-wide Differential Tuition Procedures*, and *Program-specific Differential Tuition Procedures*.

Following review by the Board of Regents' Business, Finance, and Audit Committee, these guidelines will be published in the UW System Administration Financial and Administrative Policies (FAP) at <http://www.uwsa.edu/fadmin/fap.htm>.

### **DRAFT FAP 44 Information - Differential Tuition Guidelines and Timelines**

*Institution-wide differential programs.* In order to preserve transparency for students, parents, and other stakeholders, each UW institution should have no more than one institution-wide differential tuition program. Institutions that currently have more than one institution-wide differential will be required to consolidate or reduce the number of differentials to one during the next five year review. Institutions will work with student leadership to ensure that the single differential continues to reflect current priorities.

Institution-wide differentials should reflect a cohesive program to address top institutional priorities that benefit all students. Institution-wide differentials should not support a disconnected array of services and initiatives.

Each campus shall present an analysis of the impact of the differential tuition on affordability and the need for financial aid, including the economic profile of the students on campus, the number of Pell grant eligible students, existing tuition and fees, and tuition and fees charged at peer campuses. A relatively small program increase will not necessarily dictate needed aid, while a larger institution-wide differential will require financial assistance. An institution may identify sources other than differential tuition to provide additional financial aid, along with a plan to ensure continued availability of those resources.

Some additional factors for consideration in establishing the level of an institution-wide differential are:

- How does the tuition (or cost of attendance) proposed compare to peer institutions?
- What is the current gap in tuition between undergraduate and graduate rates? What is a proper level of tuition difference between the two levels? Once the tuition differential is completely implemented, how will undergraduate level tuition compare to graduate tuition? If the proposal increases tuition up to or above the graduate level, the proposal must be discussed with UW System Administration staff prior to seeking student approval of the amount of the differential. The proposing institution should submit a rationale for why the proposed change should be considered.
- How does the tuition level sought compare to other institutions within the system? For example, would the tuition of a comprehensive institution be higher than that of a research

institution? If so, the proposal must be discussed with UW System Administration staff prior to seeking student approval of the amount of the differential, along with the rationale for why the change should be considered.

- How will the tuition increase impact students from low-income families? How can the “sticker shock” be reduced?

*Program-specific differential programs.* Institutions should have no more than one program-specific differential per each specific disciplinary area of study. Institutions may have one institution-wide differential in conjunction with program-specific differentials.

Program-specific differentials will *generally* be limited to programs with high instructional or support costs. The purpose of a program-specific differential should not be to limit enrollment in high-demand fields or to increase tuition to prevailing market rates. Differential tuition initiatives may be used to increase enrollment, but *not solely* for that purpose. Because all students in the program will be paying the fee, they should receive some additional benefits such as increases to programmatic offerings or services.

Program-specific differentials will have to make provisions to ensure access for resident, low-income students is not reduced.

*Nonresident-only tuition programs.* Institutions may pursue tuition rate proposals targeted at increasing nonresident student enrollment. These proposals are generally aimed at reducing the Board-approved nonresident tuition rate at a specific institution. Nonresident tuition would cover *at least* the full cost of instruction, and to the extent possible, should strive to cover a portion of the state support for a resident student. Nonresident tuition initiatives could not result in limiting resident student access to educational programs. Tuition proposals that only impact nonresident students are not considered to be differential tuition programs and are not required to follow the differential tuition guidelines. As such, nonresident tuition proposals do not require student consultation.

*Five-year differential reviews.* In order to provide the Board of Regents with a complete picture of the tuition strategy being pursued at an institution, each institution will review all approved differentials with the Board of Regents once every five years. This modifies the requirement that each differential should be reviewed individually every five years. Differential tuition initiatives will also come before the Board for revision when *the purpose of the differential is substantially changed*. In this instance, a substantial change to the purpose of the differential would be considered a change that would move away from the initial areas of emphasis for the differential. For example, an initiative that is primarily targeted towards advising would be substantially changed if the funding was used to support increases in faculty. Another example would be a differential that was targeted towards improvements in the library being used for undergraduate research and supporting staff. These types of changes would require Board approval.

*Differential tuition modifications.* Modifications to the pricing and purpose of differential tuition programs would generally be presented to the Board for approval during the five year differential review.

A proposed timeline will be developed by UW System Administration to assist institutions with planning differential tuition approval and review incorporating the Board’s decisions on process and policy changes.

**UW SYSTEM DIFFERENTIAL TUITION BY CAMPUS NOVEMBER 2009**

Institution	Tuition Program	Description	Pricing	Annual Increase	Next Board Review
UW-Madison	School of Business -Undergraduate	Implemented Fall 2007. Differential rate applies to all undergraduate students enrolled in the Bachelor's of Business Administration (BBA) major and Certificate in Business (CIB) program. The differential will come up for review by the campus and students after the 2011-12 academic year.	For BBA majors, tuition will increase by \$500 per semester (\$1,000 per year). CIB tuition will increase by \$150 per semester (\$300 per year).	None	2013
	School of Engineering - Undergraduate Differential Tuition	The differential applies to all undergraduate students enrolled in the Engineering Major beginning in Fall 2008. The differential must be reviewed by the Board of Regents following Spring 2011.	The differential will be phased in over three years: \$300 per semester in 2008-09, \$500 per semester in 2009-10, and \$700 per semester in 2010-11.	None beyond 2010-11	2011
	The Madison Initiative for Undergraduates	Approved in May 2009. The differential applies to all undergraduate students. The Initiative will add faculty and instructional support, improve student services, and increase need-based financial aid. The differential must be reviewed by the Board of Regents after four years (2013-2014).	The differential will be phased in over four years. For residents, the differential will be \$250 in 2009-10; \$500 in 2010-11; \$750 in 2011-12; and \$1,000 in 2012-13. For non-residents, the differential will be \$750 in 2009-10, \$1,500 in 2010-11; \$2,250 in 2011-12; and \$3,000 in 2012-13.	None beyond 2012-2013.	2014

DIFFERENTIAL TUITION (continued)

UW-Milwaukee	Peck School of the Arts - Undergraduate	Implemented Fall 2004. Differential rate applies to all undergraduate courses provided by the Peck School of the Arts, with the exception of eight 100 level General Education Requirement courses.	\$10 per credit in 2004-05, \$15 per credit in 2005-06, and \$20 per credit in 2006-07. The differential is \$20.60 per credit in 2009-10.	May increase by 3% annually through Fall 2012	2013
	College of Engineering and Applied Science - Undergraduate and Graduate	Implemented Fall 2004. Applies to all undergraduate and graduate courses provided by the college.	\$5 per credit in 2004-05, \$10 per credit in 2005-06, \$15 per credit in 2006-07, and \$20 per credit in 2007-08. The differential continues at \$20 per credit.	May increase by 4% annually through Fall 2012	2013
	School of Business Administration - Undergraduate	Implemented Fall 2004. Differential rate applies to all 200 to 600 level courses provided by the School.	\$10 per credit in 2004-05, \$15 per credit in 2005-06 and \$20 per credit in 2006-07. The differential continues at \$20 per credit.	May increase by 3% through Fall 2012	2013
	College of Nursing - Undergraduate	Implemented Fall 2004. Applies to all undergraduates enrolled in clinical major courses within the College.	Differential of \$30 per credit applied to all 300 level courses in 2004-05, and to all 300- and 400-level courses beginning in 2005-06. The differential continues at \$30 per credit.	May increase by 3% annually through Fall 2012	2013
	School of Architecture and Urban Planning (SARUP) - Undergraduate and Graduate	Implemented Fall 2006. Supports a desktop computer workstation program with enhanced support services for architecture students. Will be reviewed by the Student Senate after the third year of operation.	\$11 per credit hour for all Department of Architecture courses, and an additional \$30 (\$41 total) per credit hour for all courses at the 200-800 levels.	May increase by 5% annually	2011

DIFFERENTIAL TUITION (continued)

UW-Eau Claire	Institution-wide Undergraduate Differential	Implemented in 1997. Funds opportunities such as faculty/student collaborative research, service-learning programs, internships, and freshman seminars/capstone courses.	Began at \$50 per semester in Fall 1997, and was increased to \$55 per semester in Spring 2003, \$60 per semester in Fall 2003, and \$65 per semester in Spring 2004. The 2009-10 differential is \$81.50 per semester.	Differential will increase by 4.5%, rounded to the nearest half dollar, until the Student Senate directs otherwise.	2010
UW- La Crosse	Academic Excellence Initiatives - Undergraduate and Graduate	Implemented Fall 2003 to provide direct financial support for undergraduate research, advising, diversity and international education.	Tuition increased by \$20 per semester in Fall 2003. The 2009-10 differential is \$30.39 per semester.	Increases by 3% annually	2010
	Growth, Quality, and Access - Undergraduate	Approved by the Board of Regents in December 2007. The differential rate does not apply to currently enrolled students. The differential will be used to hire additional faculty and staff and to purchase instructional supplies and equipment.	Tuition increased by \$250 per semester for Fall 2008. In 2009-10, tuition will increase by another \$250 per semester.	Increase will be sufficient to cover salary and fringe increases and is not expected to be larger than the undergraduate tuition increase	2013
UW-Oshkosh	Oshkosh Personal Development Compact - Undergraduate	Implemented Fall 2003 to provide funding to enhance assessment, advising, co-curricular involvement and emotional adjustment and wellness. Heavy emphasis is placed on student retention, reduced time to graduation, and increased graduation rates.	The undergraduate tuition differential is \$56.65 per semester in 2008-09.	Differential increases by 3% annually	2012



DIFFERENTIAL TUITION (continued)

UW- Platteville	Regional Enrollment Plan - Undergraduate	Implemented Fall 2005. Offers differential tuition rate to entering, nonresident, undergraduate students from Illinois and Iowa who enroll in fields that address the workforce needs of both new and established Wisconsin businesses.	Eligible students will be charged the resident tuition rate plus a premium of \$4,000 per year.	Premium will increase to \$4,400 in Fall 2010. After Fall 2010, the premium may increase up to the resident undergraduate tuition rate.	2014
	Academic and Support Services - Undergraduate	Approved by the Board of Regents in April 2008. The differential expands student services (e.g. Writing Center, Tutoring Center), supports additional mental health staff, funds new career services staff, and provides financial support to students completing their senior capstone project.	Differential tuition will be 1.9% of the resident undergraduate tuition rate for all undergraduates. In 2009-10, this is \$51 per semester. The differential will be prorated for part-time undergraduates.	As a percent of tuition, the differential increases with tuition	2013
UW-River Falls	Undergraduate Differential Tuition	Implemented Fall 2007 to provide funding for enhanced library services, a testing and tutoring center, and undergraduate scholarly research and creative activities (USRC).	Tuition will increase \$36 per semester (\$72 per year). This rate will remain flat for four academic years and will then be reviewed for reauthorization by a campus oversight committee made up of an equal representation of students, faculty and staff.	None	2012
UW-Stout	Customized Instruction	Implemented Fall 1999. Provides tuition flexibility to determine and charge market rates for customized programs, certificates, and courses to meet the needs of business and industry. Courses will be typically provided in alternative time frames (i.e. summer, evenings, and/or weekends.)	Market tuition rates will vary by program. It was estimated in 1999 that market rates would typically fall into the \$600 to \$1,200 range for a two-credit course.	Variable based on market rates	2010

DIFFERENTIAL TUITION (continued)

UW-Stout (continued)	Access to Learning - Undergraduate and Graduate	Implemented Fall 1999. Differential tuition helps provide access to active learning principles which promote critical and creative thinking abilities in students.	Both residents and nonresidents pay the same differential tuition amount, which equals 5% of undergraduate and graduate tuition.	As a percent of tuition, the differential increases with tuition	2010
UW-Superior	Undergraduate Differential Tuition	Beginning in Fall 2008, the differential supports Jim Dan Hill Library operations and expands student career services. The differential will be reviewed following Spring 2011.	All undergraduate students are assessed an additional \$103.50 per semester. The differential fee is prorated for part-time students.	None	2011
UW- Whitewater	Advising and Integrated Freshman Experience Program - Undergraduate	Implemented Fall 2002 to promote continual student success through a multilevel advising model and an integrated freshman experience program.	Undergraduate tuition increases by an amount equal to 3.5% of the resident undergraduate tuition rate.	As a percent of tuition, the differential increases with tuition	2012

UW-Eau Claire Blugold Commitment and  
Undergraduate Differential Tuition

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Eau Claire and the President of the University of Wisconsin System, the Board of Regents approves the expansion of the UW-Eau Claire undergraduate differential tuition beginning in Fall 2010. The differential tuition will be phased in over four years. For full-time resident and nonresident undergraduate students, the differential will increase from \$163 per year to \$463 per year in 2010-11; \$763 per year in 2011-12; \$1,063 per year in 2012-13; and \$1,363 per year in 2013-14. The differential will be prorated for part-time students.

Up to forty percent of the increase in Blugold Commitment revenues will be available to support financial aid based on Estimated Family Contribution and Pell Grant eligibility.

The outcomes of the proposed differential will be presented to the Board of Regents for review after five years (2015-2016).

## **UW-EAU CLAIRE BLUGOLD COMMITMENT AND UNDERGRADUATE DIFFERENTIAL TUITION**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

The current undergraduate differential tuition program at UW-Eau Claire was approved by the Board of Regents in 1996 and was reviewed by the Board in 2002. The differential program infuses the undergraduate curriculum with integrated, high-impact practices that prepare students to compete in and contribute to a rapidly changing economy. In 2009-10, the differential rate is \$81.50 per semester (\$163.00 per year).

UW-Eau Claire proposes an expansion of the differential program to support the Blugold Commitment – a commitment to extraordinary learning, affordable education, and globally prepared graduates from Wisconsin.

#### **REQUESTED ACTION**

Approval of Resolution I.2.d.2.a., expanding the UW-Eau Claire undergraduate differential tuition beginning in Fall 2010. The differential tuition will be phased in over four years. For full-time resident and nonresident undergraduate students, the differential will increase from \$163 per year to \$463 per year in 2010-11; \$763 per year in 2011-12; \$1,063 per year in 2012-13; and \$1,363 per year in 2013-14. The differential will be prorated for part-time students.

Up to forty percent of the increase in Blugold Commitment revenues will be available to support financial aid based on Estimated Family Contribution and Pell Grant eligibility.

The outcomes of the proposed differential will be presented to the Board of Regents for review after five years (2015-2016).

#### **DISCUSSION AND RECOMMENDATIONS**

*Current Differential.* The current differential tuition program generates approximately \$1,650,000 to support six categories: 1) faculty/student collaborative research, 2) First Year Experience, 3) internships and practical experiences, 4) capstone experiences, 5) service learning, and 6) innovative projects.

1) Faculty/Student Collaborative Research. The Center of Excellence for Faculty and Undergraduate Student Research Collaboration was established at UW-Eau Claire in 1988 by the Board of Regents. Building on a strong tradition of engaging students in collaborative research with faculty and incorporating research into the undergraduate experience, the Center awards

competitive grants to initiate and develop collaborative research projects. These projects provide students "hands-on" experience in the research process. Students and their faculty mentors present research results at the annual Student Research Day, the UW System Symposium for Undergraduate Research and Creative Activity, and meetings of professional organizations. In 2008-09, 189 projects involving 334 students were funded by differential tuition.

2) First Year Experience. All new freshmen at UW-Eau Claire have the opportunity to take a First Year Experience (FYE) course, which is a smaller section of a regular university course that is only open to freshmen. The goals of FYE include helping students in their transition to college, enhancing skills needed for academic success, strengthening students' connection to the University, engaging students in meaningful academic and non-academic out-of-class activities, and increasing students' accountability for their own education. These smaller sections are made possible by differential funds. Approximately 85 percent of incoming freshman experience an FYE course.

3) Internships and Practical Experiences. Differential funding supports services and programs such as employer outreach, student resume and job search assistance, resume referrals to employers, development of internships, and other professional employment opportunities. Through internships, students learn about career options, network with future employers, and gain direct field experiences in their area of study. During the past three years, more than half of UW-Eau Claire graduates indicated that they had completed an internship.

4) Capstone Experiences. Each UW-Eau Claire student is required to complete a Capstone experience. The Capstone experience must relate to career or educational goals and demonstrate mastery of the major discipline by drawing together theory, practice, and policy. Differential tuition funding makes Capstone courses, experiences, and activities possible. The largest category of Capstone funding allows students to present the results of research or creative activity projects at professional conferences. In 2008-09, the differential funded travel for 134 students to present research results.

5) Service Learning. Differential tuition supports the Center for Service Learning, which assists students, faculty, staff, and community project supervisors in designing and undertaking meaningful service learning projects. These experiences enhance student appreciation, understanding, and respect for others while providing substantial benefits to the community. More than 7,600 UW-Eau Claire students contributed over 470,000 service hours to the community in 2008-09.

6) Innovative Projects. The differential provides short-term funding for new projects or programs that substantially contribute to University and student experiences. For the 2010-11 funding cycle, the projects and activities awarded funding are specifically designed to implement the goals of the University's Centennial Plan. Some examples include a new social justice living/learning community, developing a student-organized LGBT film festival, and a pilot immersive experience in Argentina.

The following table shows actual differential expenditures for each of the priority categories:

## UW-Eau Claire Differential Tuition

### Actual Expenditures

	2008-09	2007-08	2006-07	2005-06	2004-05	2003-04	2002-03	2001-02
<b>Faculty/Student Collaborative Research</b>	\$574,246 38%	\$538,360 37%	\$420,000 32%	\$394,000 30%	\$380,000 33%	\$380,000 32%	\$323,000 34%	\$332,500 35%
<b>First Year Experiences</b>	\$328,800 22%	\$323,500 22%	\$333,010 26%	\$341,150 26%	\$306,500 26%	\$296,875 25%	\$266,000 28%	\$237,500 25%
<b>Internships and Practical Experiences</b>	\$264,853 18%	\$203,020 14%	\$174,300 13%	\$174,467 13%	\$156,962 13%	\$183,029 15%	\$142,500 15%	\$142,500 15%
<b>Capstone Experiences</b>	\$181,753 12%	\$179,105 12%	\$163,780 13%	\$163,427 13%	\$127,098 11%	\$136,669 12%	\$97,850 10%	\$142,500 15%
<b>Service Learning</b>	\$143,250 10%	\$159,500 11%	\$166,450 13%	\$184,161 14%	\$168,772 15%	\$155,301 13%	\$114,000 12%	\$95,000 10%
<b>Innovative Projects</b>	\$4,750 0%	\$23,000 2%	\$28,000 2%	\$19,600 2%	\$21,160 2%	\$0 0%	\$0 0%	\$0 0%
<b>Unallocated</b>	\$2,348 0%	\$23,515 2%	\$14,460 1%	\$23,195 2%	\$0 0%	\$35,625 3%	\$6,650 1%	\$0 0%
<b>TOTAL</b>	\$1,500,000	\$1,450,000	\$1,300,000	\$1,300,000	\$1,160,492	\$1,187,499	\$950,000	\$950,000

*The Blugold Commitment.* Building on the success of the existing differential tuition and the programs that have distinguished UW-Eau Claire nationally, an expansion of the differential is proposed to support a dynamic investment in the Blugold Commitment. The Blugold Commitment is a partnership of students, faculty, staff, alumni, and friends with a shared commitment to fulfill three goals: 1) to assure affordable access for Wisconsin families; 2) to preserve and expand the distinctive, high-quality Blugold experience; and 3) to produce more globally-competitive graduates for Wisconsin. The Blugold Commitment was developed and refined through extensive consultation with students, faculty, staff, and alumni.

The Blugold Commitment calls for a \$1,200 differential tuition increase, phased in over four years to support high-impact practices, including collaborative undergraduate research, global and multicultural study beyond the campus, internships and practical experiences, community-based service learning, learning communities to link curricular and co-curricular activities, first-year experiences, and capstone experiences. The current differential of \$163 will be combined with the Blugold Commitment differential for a total differential tuition of \$1,363.

The Blugold Commitment applies to resident and nonresident undergraduate students. As the chart on the following page shows, the Blugold Commitment, when fully implemented, will generate approximately \$13 million annually based on an anticipated undergraduate enrollment of 9,718 FTE. This financial plan allows for approximately 50 faculty and staff FTE to be hired.

DESCRIPTION	2010-11	2011-12	2012-13	2013-14	FTE
<b>DIFFERENTIAL TUITION REVENUE:</b>					
Blugold Commitment Differential Tuition per Student	\$463	\$763	\$1,063	\$1,363	
<b>Total Estimated Differential Tuition Revenue</b>	<b>\$4,499,000</b>	<b>\$7,414,000</b>	<b>\$10,330,000</b>	<b>\$13,246,000</b>	
<b>PLANNED DIFFERENTIAL TUITION EXPENSES:</b>					
High-Impact Practices	\$1,935,000	\$2,715,000	\$3,933,000	\$5,325,000	25
Advising and Student Portfolios	\$820,000	\$1,196,000	\$1,744,000	\$2,006,000	10
Learning and Teaching Enhancement (includes course availability)	\$578,000	\$1,171,000	\$1,155,000	\$1,250,000	15
Financial Assistance (40% of new Blugold Commitment revenue)	\$1,166,000	\$2,332,000	\$3,498,000	\$4,665,000	
<b>Total Planned Differential Tuition Expenses</b>	<b>\$4,499,000</b>	<b>\$7,414,000</b>	<b>\$10,330,000</b>	<b>\$13,246,000</b>	

Investment in the Blugold Commitment will achieve the following 10-year goals:

- All UW-Eau Claire students, regardless of socioeconomic background, will participate in multiple high-impact educational practices before graduation, including at least one of the following: collaborative undergraduate research, global or multicultural study beyond the campus, and internships/practical experiences.
- Every freshman at UW-Eau Claire, working with faculty and staff advisors, will develop and regularly update a four-year graduation plan.
- The four-year graduation rate will increase from 23.3 percent to 40 percent.
- The University will achieve a student-to-faculty ratio of 19 to 1.
- Academic advising will achieve a 90 percent student approval rating.

*Ensuring affordable access for Wisconsin families.* The Blugold Commitment is a commitment to affordability. Encouraging students to graduate in four years and increasing access to courses will provide an accessible route for some students and families to reduce the cost of earning a four-year degree. In addition, students with practical experience and professional networks built through high-impact practices will be more competitive in the job market after graduation.

Recognizing that an additional \$1,200 in annual tuition is a significant burden for low- and middle-income Wisconsin families, up to 40 percent of new Blugold Commitment differential tuition revenue will be available for financial aid. Revenues from the existing \$163 differential will not be used for financial aid as those revenues support existing programs.

Three tiers of assistance will be offered to students based on their Estimated Family Contribution (EFC):

1. All Pell Grant-eligible students will receive a grant equal to 100 percent of the additional tuition differential (\$1,200 when fully implemented).
2. Students not eligible for a Pell Grant, but who have an EFC of \$6,000 or less will receive a 75 percent grant (\$900 when fully implemented).
3. Students who have an EFC between \$6,000 and \$7,000 will receive a 50 percent grant (\$600 when fully implemented). UW-Eau Claire research shows this group of students to be especially vulnerable to high levels of student debt and this assistance will help to mitigate that burden.

In addition, an Appeals Fund, equal to 3 percent of the new Blugold Commitment revenues, will be established to meet extraordinary needs. These funds will be used for needed institutional grants by the Office of Financial Aid to help students who submit appeals due to extraordinary circumstances or who experience significant changes in circumstances (e.g., parent's unemployment, medical expenses). Students who are from low-income families but did not qualify for the full grant based on high student earnings could also be considered. This fund will allow for up to 250 more grants for the full amount of the additional differential tuition (\$1,200 when fully implemented).

To be eligible for a Blugold Commitment assistance grant, students must file a FAFSA application by the April 15 deadline and have a complete file by June 1 of each year. For students who apply after the filing deadline, receiving the grant will be contingent on funds available. International students, because they do not file the FAFSA, will not be eligible for Blugold Commitment grants. International students typically do not qualify for need-based assistance.

If the tiered assistance program had been implemented in Fall 2009, it would have benefited 3,021 students, 2,317 of them with full, hold-harmless grants of \$1,200. With the additional 3 percent earmarked for the Appeals Fund, 31 percent of the new Blugold Commitment revenue would have been used for financial assistance.

If more students qualify than expected, aid will be awarded giving priority to the highest-need students, but not exceeding 40 percent of the expected revenue generated.

*Expand the Blugold Experience.* The Blugold Commitment will invest differential tuition dollars in up to 50 faculty and staff to provide the high-impact, individualized educational practices that students have identified as important to their success. These practices will be supported by enhanced advising and an improved, integrated curriculum.

The value of high-impact practices has been documented by the American Association of Colleges and Universities (AAC&U) in George Kuh's nationwide study. The results affirm that students who participate in two or more high-impact practices attain higher grade point averages and stay in school at higher rates. These benefits apply to all students, and are particularly effective for certain categories of students - categories that correlate with students from lower socioeconomic backgrounds and first-generation students.

*Produce globally-competitive graduates for Wisconsin.* Wisconsin's future will demand citizens ready to compete in and contribute to a rapidly changing global, technological, and knowledge-based economy. Graduates prepared for the future need more than academic preparation, however. They require experience with the world, technology, diverse ideas, and collaborative problem-solving. UW-Eau Claire is a national leader in providing these high-impact learning opportunities. To meet the needs of Wisconsin, the University seeks to expand these experiences to all its students while simultaneously improving timely graduation.



*Comparative analysis.* UW-Eau Claire recognizes the importance of providing value and quality to Wisconsin students. As the chart illustrates, when compared with UW System and regional institutions of comparable quality, UW-Eau Claire is competitive. Even with the additional increase in tuition, UW-Eau Claire still costs less than its regional peers and is only slightly higher than its sister institution, UW-La Crosse.

<b>Institution</b>	<b>Tuition &amp; Fees 2009-10</b>	<b>Room and Board 2009-10</b>	<b>Total Annual Cost 2009-10</b>
Illinois State University	\$11,182	\$8,473	\$19,655
UM-Twin Cities	\$11,466	\$7,392	\$18,858
UM-Duluth	\$11,004	\$6,176	\$17,180
UW-Madison*	\$8,310	\$7,157	\$15,467
University of Northern Iowa	\$6,636	\$6,980	\$13,616
Truman State University	\$6,458	\$6,853	\$13,311
UW-Eau Claire with <i>Blugold Commitment</i>	\$7,649	\$5,630	\$13,279
UW-La Crosse (with proposed differential increase)	\$7,400	\$5,701	\$13,030
UW-Stout**	\$7,351	\$5,336	\$12,687
UW-La Crosse	\$7,329	\$5,630	\$12,959
UW-Eau Claire without <i>Blugold Commitment</i>	\$6,449	\$5,630	\$12,079
UW-Oshkosh	\$6,349	\$5,864	\$12,213

*Figures based on published residential or Minnesota reciprocity tuition and fee rates*

*\*Includes \$250 of a projected four-year \$1,000 increase in differential tuition*

*\*\*Includes the UW-Stout laptop fee*

The 2009-10 resident tuition and fee peer midpoint for entering students, using the UW comprehensive peer comparison, is \$8,071 per year. Tuition and fees at UW-Eau Claire are currently \$6,449 per year, which rank UW-Eau Claire at 29 out of 35 institutions. An increase of \$1,200 would move UW-Eau Claire's tuition and fees to \$7,649, or 20 out of 35. With the Blugold Commitment, UW-Eau Claire continues to be below the peer median. Please see the attached table for a complete list of the UW comprehensive peers.

*Student consultation.* The Blugold Commitment was developed through a six-month process that actively engaged students in shaping the proposal. Student Senate leadership was informed of the UW-Eau Claire administration's interest in exploring the Blugold Commitment in May 2009. The Student Senate President and Vice President were involved over the summer in researching and developing the preliminary proposal.

The preliminary proposal, which included a tuition range and goals for the Blugold Commitment, was announced at the campus-wide Blugold Breakfast in August. This became the basis for ongoing conversation and debate during the fall semester. The Student Senate formed task forces to look at components of the proposal in detail and to work with the administration in refining the ideas. The task forces met weekly with the administration during October and early November and were instrumental in developing the final proposal.

At the same time, the Chancellor engaged parents, alumni, friends, faculty, and staff. He communicated directly to parents by e-mail and webcast and received significant feedback through a comment board on the Blugold Commitment website. Articles in the Spectator, the student newspaper, and in regional media provided additional opportunities to refine the proposal.

The proposal taken to the student body included a \$1,500 differential tuition increase with up to 40 percent allocated for financial assistance. Direct e-mails from the Chancellor to students were augmented with an online student video, open forums, three formal presentations to Student Senate, visits to student organizations, visits to the Residence Hall Association, informal discussions with students in the dining hall, and information tables during the noon hour at the Davies Student Center. Student Senate leaders discussed the proposal directly with more than 3,000 students during classroom presentations.

In December, the Student Senate conducted a survey of all undergraduate students, with more than 3,600 students responding. Students indicated they were aware of the proposal, but 69 percent did not support the proposal. Students who did not support the increase cited the size of the increase and the size of the financial assistance as the two major concerns.

Following the survey, the Student Senate devoted an entire session to the Blugold Commitment. The Senate unanimously supported the goals of the Blugold Commitment and, by a vote of 25 to 6 to 1, passed an amendment for a tuition level of \$1,200. Two amendments to reduce the proposed 40 percent financial assistance component were defeated. The Student Senate endorsed the Blugold Commitment at \$1,200 with up to 40 percent allocated to financial assistance on a vote of 17 to 15.

*Initiative review and oversight.* An annual call for proposals will be open to faculty and staff from all academic as well as co-curricular units. All proposals must advance student success and support expanded high-impact learning. In addition, the Provost may include initiatives that support the goals of the Blugold Commitment—such as enhanced advising or investment in specific departments that will improve student learning or improve course availability for timely graduation.

Proposals will be previewed by academic deans and the Provost's office before review by committees composed of students, faculty, and staff. The committees will prioritize the proposals for funding. Funding decisions will be made by an executive committee, composed of an equal number of students and administrators, and then presented to the Student Senate for endorsement before review and approval by the Chancellor.

Annually, the Student Senate will review the outcomes from the funded proposals with Academic Affairs, and make recommendations for any changes in future funding. If the annual assessment determines that the funded positions are not generating the desired outcomes, the respective unit or department will be advised to make changes. If the change is unsuccessful, the unit or department will be required to return the positions to the Blugold Commitment when they become available through retirement, job change, or mutual agreement.

## **RELATED REGENT POLICIES**

Study of the UW System in the 21<sup>st</sup> Century (June 1996)

Undergraduate Differential Tuition – UW-Eau Claire (December 1996)

Undergraduate Differential Tuition – UW-Eau Claire (October 2002)

Regent Policy Document (RPD) 32-7: Student Involvement in Differential Tuition Initiatives

**University of Wisconsin- Eau Claire**  
**Comparison of 2009-10 Academic Year Fees for Incoming Students**  
**Cluster Analysis Peer Group**  
**(Includes Segregated Fees)**

	RESIDENT		NON-RESIDENT	
	Undergraduate \$	Rank	Undergraduate \$	Rank
GOVERNOR'S STATE UNIVERSITY	\$12,528	1	\$27,648	1
UNIVERSITY OF MINNESOTA-DULUTH	\$11,178	2	\$13,178	27
MICHIGAN TECHNOLOGICAL UNIVERSITY	\$10,894	3	\$23,164	4
CENTRAL MICHIGAN UNIVERSITY	\$10,170	4	\$23,670	3
CHICAGO STATE UNIVERSITY	\$9,724	5	\$17,119	11
NORTHEASTERN ILLINOIS UNIVERSITY	\$9,552	6	\$16,902	12
FERRIS STATE UNIVERSITY	\$9,480	7	\$16,770	13
EASTERN ILLINOIS UNIVERSITY	\$9,429	8	\$23,769	2
UNIVERSITY OF ILLINOIS-SPRINGFIELD	\$9,110	9	\$18,260	9
UNIVERSITY OF MICHIGAN-DEARBORN	\$9,100	10	\$19,883	7
WESTERN ILLINOIS UNIVERSITY	\$8,957	11	\$12,347	33
OAKLAND UNIVERSITY	\$8,783	12	\$20,498	6
GRAND VALLEY STATE UNIVERSITY	\$8,630	13	\$12,944	29
UNIVERSITY OF AKRON	\$8,383	14	\$17,631	10
WESTERN MICHIGAN UNIVERSITY	\$8,382	15	\$19,502	8
SOUTHERN ILLINOIS UNIVERSITY-EDWARDSVILLE	\$8,336	16	\$16,760	14
EASTERN MICHIGAN UNIVERSITY	\$8,288	17	\$21,420	5
UNIVERSITY OF MICHIGAN-FLINT	\$7,854	18	\$15,326	19
WINONA STATE UNIVERSITY	\$7,809	19	\$12,639	31
UW-EAU CLAIRE <i>with Blugold Commitment</i>	\$7,649	20	\$15,221	20
WRIGHT STATE UNIVERSITY	\$7,533	21	\$14,595	23
NORTHERN MICHIGAN UNIVERSITY	\$7,454	22	\$11,828	34
INDIANA STATE UNIVERSITY	\$7,426	23	\$16,002	17
BEMIDJI STATE UNIVERSITY	\$7,189	24	\$7,189	35
YOUNGSTOWN STATE UNIVERSITY	\$6,956	25	\$12,629	32
INDIANA U.-PURDUE U.-FORT WAYNE	\$6,926	26	\$16,478	15
SAGINAW VALLEY STATE UNIVERSITY	\$6,923	27	\$16,200	16
UNIVERSITY OF NORTHERN IOWA	\$6,636	28	\$14,900	22
MOORHEAD STATE UNIVERSITY	\$6,598	29	\$6,598	36
UW-EAU CLAIRE <i>without Blugold Commitment</i>	\$6,449	30	\$14,021	26
MANKATO STATE UNIVERSITY	\$6,429	31	\$12,861	30
PURDUE UNIVERSITY-CALUMET	\$6,308	32	\$14,115	25
ST CLOUD STATE UNIVERSITY	\$6,260	33	\$13,012	28
INDIANA UNIVERSITY-SOUTH BEND	\$6,015	34	\$15,712	18
INDIANA UNIVERSITY-NORTHWEST	\$5,920	35	\$15,025	21
INDIANA UNIVERSITY-SOUTHEAST	\$5,890	36	\$14,577	24

Review and Adjustment of the UW-La Crosse  
Academic Excellence Initiatives Differential Tuition

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-La Crosse and the President of the University of Wisconsin System, the Board of Regents approves continuation of and annual adjustments to the existing UW-La Crosse Academic Excellence Initiatives undergraduate differential tuition. Beginning in Fall 2010, the differential tuition rate will increase from \$30.36 per semester to \$60 per semester (\$120 per year). The rate will increase by 10%, to \$66 per semester (\$132 per year), in 2011-2012 and will then be adjusted by six percent annually through Fall 2014.

## **REVIEW AND ADJUSTMENT OF UW-LA CROSSE ACADEMIC EXCELLENCE INITIATIVES DIFFERENTIAL TUITION**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

In its *Study of the UW System in the 21<sup>st</sup> Century*, the Board of Regents approved flexibilities for tuition setting. In June of 2003, the Board of Regents approved a differential tuition for UW-La Crosse undergraduate and graduate students. This differential is currently due for review and reauthorization by the Board of Regents. UW-La Crosse, with the approval and support of the UW-L Student Association, proposes the reauthorization of the differential tuition for the Academic Excellence Initiatives Program.

#### **REQUESTED ACTION**

Approval of Resolution I.2.d.2.b., approving the continuation of and annual adjustments to the existing UW-La Crosse Academic Excellence Initiatives undergraduate differential tuition. Beginning in Fall 2010, the differential tuition rate will increase from \$30.36 to \$60 per semester (\$120 per year). The rate will increase by 10%, to \$66 per semester (\$132 per year), in 2011-2012 and will then be adjusted by six percent annually through Fall 2014.

#### **DISCUSSION AND RECOMMENDATIONS**

The Academic Excellence Initiatives differential tuition is, and will continue to be, assessed and evaluated on an annual basis by a campus oversight committee comprised of students, faculty, and staff. Starting in Fall 2010, funding for the Academic Excellence Initiatives will be provided through a combination of revenues from the differential tuition paid by students in 2010-11 and a draw down from reserves from the differential tuition payments that have accumulated since the program was implemented. When combined with the proposed increases in the differential tuition rate, the funding from the reserves, which will be drawn down through 2013-14, will allow the total budget for the Academic Excellence Initiatives to increase by 3% per year.

#### ACADEMIC INITIATIVES BUDGET SUMMARY (ANNUAL RATES/AMOUNTS)

	2009-10	2010-11	2011-12	2012-13	2013-14 <sup>A</sup>	2014-15 <sup>A</sup>
<b>DIFFERENTIAL TUITION RATE</b>	\$60.72	\$120.00	\$132.00	\$139.92	\$148.32	\$157.21
<b>TUITION RATE INCREASE</b>		97.6%	10.0%	6.0%	6.0%	6.0%
<b>DIFFERENTIAL TUITION REVENUE</b>		\$1,070,886	\$1,204,259	\$1,303,363	\$1,379,765	\$1,468,611
<b>TRANSFER FROM RESERVE</b>		\$228,114	\$133,711	\$74,746	\$39,688	(\$6,575)
<b>ACADEMIC INITIATIVES BUDGET</b>	\$919,717	\$1,299,000	\$1,337,970	\$1,378,109	\$1,419,452	\$1,462,036
<b>BUDGET RATE INCREASE</b>		41.2%	3.0%	3.0%	3.0%	3.0%

<sup>A</sup> The differential tuition revenue increases by more than the percentage increase in the tuition rate due to anticipated enrollment increases. In addition, the figures for 2013-14 and 2014-15 are estimates, as the rates and budgets may change when the Academic Excellence Initiatives differential tuition program is consolidated with the Growth, Quality and Access differential tuition program in 2013.

In addition to the Academic Excellence Initiatives differential tuition, in December 2007 the Board of Regents approved the Growth, Quality, and Access differential tuition for UW-La Crosse students. Tuition for students who newly enrolled for the Fall 2008 semester increased by \$250 per semester and increased by a similar amount in Fall 2009, for a total differential tuition of \$1,000 per year. The Growth, Quality, and Access differential will increase annually by an amount sufficient to cover the general salary and fringe benefit increases utilized by the Board of Regents in setting general resident undergraduate tuition. The revenue generated by the Growth, Quality, and Access differential will be used to grow the undergraduate enrollment by at least 500 additional students over the next three to five years and to hire at least 75 additional faculty and 20 additional staff over the next five years.

The total differential tuition paid by a student subject to both the Academic Excellence and Growth, Quality, and Access Initiatives would be \$560 per semester (\$1,120 per year) during 2010-11. Starting with the initial five year review of the Growth, Quality, and Access differential tuition program in 2013, these two differential tuition initiatives will be consolidated into one combined institutional differential.

#### History of the Academic Excellence Initiatives Program:

In June of 2003, the Board of Regents approved a differential tuition for UW-La Crosse students that would support the Academic Excellence Initiatives Program. The differential rate was implemented at \$40 per year for 2003-04, increased to \$52 per year in 2004-05, and then began to increase by 3% per year. The Academic Initiatives differential tuition plan was established to enhance the student learning experience and provide essential student support in four core areas: research, advising, diversity, and international education.

#### ACADEMIC INITIATIVES EXPENDITURE SUMMARY

<b>Funding Description</b>	<b>2006-07</b>	<b>2007-08</b>	<b>2008-09</b>	<b>Budgeted 2009-10</b>	<b><i>Proposed</i> 2010-11</b>
<b>ADVISING</b>	\$343,035	\$361,058	\$352,815	\$449,817	<i>\$473,000</i>
<b>DIVERSITY</b>	\$215,037	\$285,164	\$265,081	\$263,500	<i>\$288,225</i>
<b>RESEARCH</b>	\$46,418	\$25,601	\$52,319	\$56,400	<i>\$355,000</i>
<b>INTERNATIONAL EDUCATION</b>	\$137,400	\$209,099	\$149,948	\$150,000	<i>\$182,775</i>
<b>Total</b>	<b>\$741,890</b>	<b>\$880,922</b>	<b>\$820,163</b>	<b>\$919,717</b>	<b><i>\$1,299,000</i></b>

The differential tuition does not appear to have had a detrimental effect on enrollment. Total enrollment has increased approximately 3%, from 9,595 students in 2003-04 to 9,880 students in

2008-09, while total undergraduate enrollment has increased by over 6% during this time period. The proportion of minority students in the undergraduate student population has also increased, from 5.6% in 2003-04 to 6.8% in 2008-09. Finally, the proportion of Wisconsin resident students has remained virtually unchanged (83% in 2003-04 versus 82% in 2008-09).

### **Academic Advising**

The Academic Advising Center was created with the Academic Initiatives differential tuition program in 2003 to address the needs for improved academic advising. The center offers academic advising by trained professionals - the differential supports 5.52 FTE advising staff - with an emphasis on undeclared students. In the 2008-09 academic year, the advising center had more than 840 advisees and served over 3,500 walk-in students for additional advising needs. In assessing the Academic Initiatives program, it was found that student needs for peer tutoring support were not being met. In response to this finding, a new learning center is being established and will be located in the Murphy Library. This student resource center will provide support for tutoring services in math, science and writing to enhance learning skills and academic performance.

### **Diversity**

The Academic Initiatives differential tuition provides support for campus efforts in recruiting and retaining a more diverse student body. The addition of a diversity recruiter (1.0 FTE) has allowed UW-La Crosse to initiate recruitment activities in more diverse Wisconsin communities. The university has also been able to increase activities for hosting students from underrepresented populations for campus visits. An Office of Campus Climate (2.10 FTE supported through the differential) was established through the Academic Initiatives to promote diversity awareness and offer programs, training, and support to the campus community. The differential also supports 0.3 FTE in Disability Resources, and a 0.5 Graduate Assistant FTE position for Violence Prevention would be added under the proposed budget.

UW-La Crosse has been successful in attracting a more diverse student body, with the number of minority students increasing by 28% from 2003-04 to 2008-09. This includes a 31% increase in African American students, a 47.5% increase in Southeast Asian students and a 5% increase in Hispanic/Latino students during this period. The number of Pell Grant recipients, however, at UW-La Crosse has decreased over time, from 1,672 students in 2002-03, before the differential tuition was implemented, to 1,461 students in 2008-09.

**Pell Grant Recipients at UW-La Crosse**

2002-03	1,672
2003-04	1,656
2004-05	1,487
2005-06	1,368
2006-07	1,352
2007-08	1,446
2008-09	1,461



## **Research**

Undergraduate students are provided the opportunity to collaborate with a faculty mentor and develop an undergraduate research or creativity grant proposal. Students who receive a grant submit their work for publication in the *UWL Journal of Undergraduate Research* and present or create a display for UW-La Crosse's *Celebration of Research and Creativity Symposium*. Graduate students may also request a graduate research grant to cover expenses and a stipend for their graduate research. Proposal requests have quadrupled since the beginning of the Academic Initiatives program.

The additional funding under the Academic Initiatives tuition differential will support a new 0.5 FTE position and a graduate assistant to coordinate the undergraduate research program. Funding for undergraduate research grants will more than triple, increasing from \$23,000 to \$70,000 each year.

In addition, a full (1.0) FTE position for the Murphy Library will be added, and library hours will be expanded. Funding will expand library hours by 10 to 14 hours per week, including Friday evenings, Saturday mornings and Saturday evenings. Library hours will also increase during final exam periods, interim, and summer sessions, as student surveys have indicated a desire for expanded library hours. In addition to increasing the number of hours for physical access to the library, the Academic Initiatives funding will provide students with access to expanded library information content including online electronic journals, library databases, and library acquisitions, which have become increasingly expensive in recent years.

## **International Education**

Students who choose to study abroad may request an Internationalization Stipend for their experience. This program has made study abroad more affordable for students through a stipend to support their international education experience. The Academic Initiatives differential tuition supports three grant programs for International Education:

1. General grants for study abroad, which have a maximum award of \$750 per semester (\$1,500 for an academic year). This funding is separate from the GPR funded Grants for Study Abroad program;
2. Scholarship grants for international students, which have a maximum award of \$750 per semester (\$1,500 per academic year);
3. International undergraduate research grants, which have a maximum award of \$2,100 and are awarded by the Undergraduate Research Committee.

Prior to the inception of the Academic Excellence Initiatives program in 2003, only 170 students participated annually in study abroad compared to over 510 students in the 2008-09 academic school year. An additional goal of the Academic Excellence Initiatives Program was to increase the number of international students attending UW-La Crosse. The program has been quite successful, with the number of international students increasing by 155% from 2003-04 to 2008-09.

The programs supported by, and funding provided through, this differential receive annual review by the Academic Initiatives Oversight Committee, which is comprised of four students, one faculty member, and two nonvoting administrative staff. The Oversight Committee convenes each fall semester to review prior year expenditures and consider new budget requests for the subsequent fiscal year. After concluding its review process, the Oversight Committee

forwards its budget recommendation to the Student Senate for final review and approval. The Oversight Committee will continue this annual review and assessment process, and make on-going recommendations to the Student Senate and Chancellor.

A comprehensive review and assessment of all programs funded by the Academic Initiatives differential tuition was conducted from Fall 2008 through Fall 2009. The university established an Academic Initiatives Task Force comprised of six students, six faculty/staff, and two nonvoting administrators to conduct a five-year review of the original program. This Task Force provided its recommendations to students and the university community during Fall 2009, which resulted in the student referendum on Academic Initiatives and final review by the Student Senate.

The student referendum to solicit the input of students for continuation of the Academic Initiatives program and expansion of existing services was conducted on November 18, 2009. Over 3,400 students participated in the referendum with 84% voting in favor of increasing the differential tuition to continue the existing programs and 77% in favor of an increase to expand the current Academic Initiatives program. Based upon the results of the student vote, the UW- La Crosse Student Senate voted unanimously, 34-0, for the reauthorization and expansion of the differential tuition program. The Student Senate is scheduled to vote on a resolution supporting the final version of the program and funding model on January 27, 2010.

## **RELATED REGENT POLICIES**

Study of the UW System in the 21<sup>st</sup> Century (June 1996)

“Academic Excellence Initiatives” Differential Tuition – UW-La Crosse (June 2003)

Review of UW-Stout Access to Learning  
Differential Tuition Program

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Stout and the President of the University of Wisconsin System, the Board of Regents approves the continuation of the Access to Learning differential tuition program at UW-Stout.

## **REVIEW OF UW-STOUT ACCESS TO LEARNING DIFFERENTIAL TUITION PROGRAM**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

In February 1999, the Board of Regents approved UW-Stout's Access to Learning differential tuition. The differential is five percent of the resident undergraduate and graduate rates. Both resident and non-resident students pay the five percent differential tuition. In 2009-10, undergraduate students paid an additional \$9.48 per credit; graduate students paid \$15.26 per credit.

The differential tuition funds active learning programs that promote critical and creative thinking abilities. The differential provides expanded access to campus laboratories including the Campus Child and Family Study Center, Writing Center, and the Math Teaching and Learning Center; cooperative education programs and other types of experiential learning; field trips; and materials for classroom, laboratory, and studio projects. The differential enhances both undergraduate and graduate programs by supporting services, supplies, equipment, and personnel. The differential also allows students to work on campus as lab assistants, tutors, and graduate assistants.

#### **REQUESTED ACTION**

Approval of Resolution I.2.d.2.c., approving continuation of the Access to Learning Differential Tuition program at UW-Stout.

## DISCUSSION AND RECOMMENDATIONS

In 2009-10, Access to Learning funds were allocated in percentages that are close to those anticipated in the original differential tuition request (see Table 1). Laboratory experience and classroom project funding has increased to support student priorities and the established principles of the differential program. The allocation percentages are expected to remain nearly the same over the next five years.

<b>Table 1: Budget Summary</b>			
	Projected Budget in 1999	2009-10 Budget	2009-10 Budgeted Expenditures
Laboratory Experiences, Classroom Projects	70%	75%	\$1,388,750
Cooperative Education Programs	18%	14%	\$253,806
Early Childhood Program Laboratory	12%	10%	\$109,272
Other	0%	<1%	\$11,231

Table 2 shows the actual differential expenditures since 2004-05:

<b>Table 2: Access to Learning Expenditures</b>										
	2004-05		2005-06		2006-07		2007-08		2008-09	
	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE
Unclassified	\$230,534	4.6	\$266,659	6.1	\$277,589	6.2	\$278,864	6.5	\$253,955	5.6
Graduate Assistant	158,604	8.2	\$185,261	9.4	\$212,235	10.8	\$232,787	12.0	\$259,663	12.6
Classified	\$187,080	5.1	\$207,085	5.3	\$247,780	6.1	\$254,473	6.0	\$247,279	6.0
LTE	\$16,900		\$73,163		\$37,283		\$45,202		\$70,985	
Student Help	\$229,307		\$273,835		\$296,455		\$291,434		\$272,202	
Fringe Benefits (budgeted)	\$292,710		\$339,286		\$371,263		\$397,151		\$414,662	
Travel, Services, and Supplies	\$131,987		\$188,046		\$276,136		\$229,604		\$289,131	
Special Course Fees	\$169,009		\$170,587		\$183,478		\$190,571		\$211,351	
<b>Total</b>	<b>\$1,416,131</b>	<b>18.0</b>	<b>\$1,703,922</b>	<b>20.9</b>	<b>\$1,902,219</b>	<b>23.0</b>	<b>\$1,920,086</b>	<b>24.5</b>	<b>\$2,019,228</b>	<b>24.2</b>

The effectiveness of these allocations are measured through 1) the Laboratory Utilization and Satisfaction Surveys, 2) Cooperative Education Reports, and 3) Child Care Surveys.

1) Laboratory Utilization and Satisfaction Surveys. UW-Stout regularly surveys students on lab use. In 2008, the surveys indicated that 94 percent “agreed” or “strongly agreed” that they were generally satisfied with the laboratories. More than two-thirds of the participants responded that the lab assistant was able to help with student questions. There were 820 responses to the surveys.<sup>1</sup>

<sup>1</sup> Students may have responded to multiple surveys; the 820 responses should not be interpreted as unique respondents.

The most recent evaluation of the Writing Center indicated that 99 percent of the respondents that use the center felt more confident about their writing assignments. In a survey of first-time clients, 95 percent said that they planned to use the writing center again.

Evaluations of the Math Teaching and Learning Center (TLC) indicate that use of the Math TLC has increased the percentage of students who successfully complete remedial and introductory math courses, especially students of color. Prior to the Math TLC program, failure/withdrawal rates for minority students in remedial math averaged 60 percent, compared to 20 percent for all other students. This 40-percent gap was reduced by more than half in the first year of the Math TLC program (16 percent) and has declined to an all-time low of less than 8 percent in Fall 2008.

Since Fall 2004, the Math TLC has served 3,094 students and logs between 150 and 200 student visits per week. Helping students to develop fundamental math skills qualifies more students for STEM majors, an important component of UW-Stout's mission as Wisconsin's Polytechnic University.

2) Cooperative Education Reports. Cooperative education (co-op) is part of a nationwide college program that integrates career-related work experience with academic course work. The co-op program supports UW-Stout's polytechnic designation by providing students the opportunity to experience an active and applied focus on learning in their professional field. Co-op students are also registered for a credit course and mentored by UW-Stout faculty during their experience.

According to the 2007-08 Cooperative Education Annual Report, 836 students were involved in co-op. Employers have shown steady support for the program, with more than 535 employers providing job sites for students. Students who participated in co-op experiences reported an average earning of \$12.85 per hour while on co-op assignments.

3) Child Care Surveys. In addition to serving as a laboratory school for UW-Stout's early childhood majors, the Child and Family Study Center also provides care to the children of student parents, faculty, staff, and community members. Student parents pay half the rate of faculty and community members for childcare services. Surveys indicate high satisfaction with the services provided.

*Financial Benefits to Students.* Since implementing the Access to Learning differential, graduate assistantships have increased from 19 to 30 FTE in 2008-09. Funding has also been used to support undergraduate student employment.

Funding has also been used to replace student course fees that are no longer directly charged to the students. Before implementing Access to Learning, \$150,378 was charged to students for special course fees and the students paid 100 percent of those costs. In 2008-09, \$441,967 was charged for special course fees, but Access to Learning covered \$211,351 of those costs. Access to Learning has also had a substantial impact on cooperative education. Differential funds allowed UW-Stout to eliminate the fee that was charged to all students enrolled in a co-op (\$225 to \$275 per student), increase the number of co-op participants from 465 in 1999-00 to 836 in 2007-08, and increase average co-op wages from \$10.65 in 1999-00 to \$12.85 in 2007-08.

*Peer-Tuition Analysis.* Appendix A shows the UW-Stout tuition rate when compared against its comprehensive peers. With the differential, UW-Stout continues to rank in the lower half of the tuition peers.

## **STUDENT INVOLVEMENT**

The Access to Learning Committee is co-chaired by the Provost and the President of the Stout Student Association. The Access to Learning Committee is composed of 8 undergraduate and graduate students and 11 non-student representatives from each of the four academic colleges, governance groups, and key administrative staff.

Decisions on the expenditure of differential tuition funds have been made through a transparent process involving requests from departments that are reviewed and prioritized by the Access to Learning Committee each fall. The committee recommends a proposed budget to the chancellor each year and attempts to fund as many top priorities as possible.

Assessments of all funding activities are conducted on an annual basis and the results are shared with the committee. This process enables committee members to review utilization and effectiveness of all Access to Learning activities.

In Fall 2009, the University Student Senate unanimously passed resolution USS 40.13.01 in support of Access to Learning. The Student Senate resolved that it is “proud to support tuition differential as it relates to Access to Learning. We firmly believe that Access to Learning is a necessary program that is designed to assist students in their educational experience and in consultation with the student body wish to see the Access to Learning differential tuition continued.”

## **FUTURE OUTCOMES**

The University of Wisconsin-Stout is a career-focused, comprehensive polytechnic university where diverse students, faculty, and staff integrate applied learning, scientific theory, humanistic understanding, creativity, and research to solve real-world problems, grow the economy, and serve a global society. The Access to Learning differential has enabled UW-Stout to innovatively support student learning and will continue to enrich the university in the future.

## **RELATED REGENT POLICIES**

Study of the UW System in the 21st Century. (June 1996)

“Access to Learning” Differential Tuition – UW-Stout (February 1999)

**Appendix A: University of Wisconsin-Stout**  
**Comparison of 2009-10 Academic Year Fees for Incoming Students**  
**Cluster Analysis Peer Group**  
**(Includes Segregated Fees)**

	RESIDENT		NON-RESIDENT	
	Undergraduate		Undergraduate	
	\$	Rank	\$	Rank
GOVERNOR'S STATE UNIVERSITY	\$12,528	1	\$27,648	1
UNIVERSITY OF MINNESOTA-DULUTH	\$11,178	2	\$13,178	26
MICHIGAN TECHNOLOGICAL UNIVERSITY	\$10,894	3	\$23,164	4
CENTRAL MICHIGAN UNIVERSITY	\$10,170	4	\$23,670	3
CHICAGO STATE UNIVERSITY	\$9,724	5	\$17,119	11
NORTHEASTERN ILLINOIS UNIVERSITY	\$9,552	6	\$16,902	12
FERRIS STATE UNIVERSITY	\$9,480	7	\$16,770	13
EASTERN ILLINOIS UNIVERSITY	\$9,429	8	\$23,769	2
UNIVERSITY OF ILLINOIS-SPRINGFIELD	\$9,110	9	\$18,260	9
UNIVERSITY OF MICHIGAN-DEARBORN	\$9,100	10	\$19,883	7
WESTERN ILLINOIS UNIVERSITY	\$8,957	11	\$12,347	32
OAKLAND UNIVERSITY	\$8,783	12	\$20,498	6
GRAND VALLEY STATE UNIVERSITY	\$8,630	13	\$12,944	28
UNIVERSITY OF AKRON	\$8,383	14	\$17,631	10
WESTERN MICHIGAN UNIVERSITY	\$8,382	15	\$19,502	8
SOUTHERN ILLINOIS UNIVERSITY-EDWARDSVILLE	\$8,336	16	\$16,760	14
EASTERN MICHIGAN UNIVERSITY	\$8,288	17	\$21,420	5
UNIVERSITY OF MICHIGAN-FLINT	\$7,854	18	\$15,326	19
WINONA STATE UNIVERSITY	\$7,809	19	\$12,639	30
WRIGHT STATE UNIVERSITY	\$7,533	20	\$14,595	23
NORTHERN MICHIGAN UNIVERSITY	\$7,454	21	\$11,828	33
INDIANA STATE UNIVERSITY	\$7,426	22	\$16,002	17
<b>UW-STOUT *</b>	<b>\$7,351</b>	<b>23</b>	<b>\$14,787</b>	<b>22</b>
BEMIDJI STATE UNIVERSITY	\$7,189	24	\$7,189	34
YOUNGSTOWN STATE UNIVERSITY	\$6,956	25	\$12,629	31
INDIANA U.-PURDUE U.-FORT WAYNE	\$6,926	26	\$16,478	15
SAGINAW VALLEY STATE UNIVERSITY	\$6,923	27	\$16,200	16
UNIVERSITY OF NORTHERN IOWA	\$6,636	28	\$14,900	21
MOORHEAD STATE UNIVERSITY	\$6,598	29	\$6,598	35
MANKATO STATE UNIVERSITY	\$6,429	30	\$12,861	29
PURDUE UNIVERSITY-CALUMET	\$6,308	31	\$14,115	25
ST CLOUD STATE UNIVERSITY	\$6,260	32	\$13,012	27
INDIANA UNIVERSITY-SOUTH BEND	\$6,015	33	\$15,712	18
INDIANA UNIVERSITY-NORTHWEST	\$5,920	34	\$15,025	20
INDIANA UNIVERSITY-SOUTHEAST	\$5,890	35	\$14,577	24

\*Includes the laptop fee



Review of UW-Stout Customized  
Instruction Differential Tuition Program

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Stout and the President of the University of Wisconsin System, the Board of Regents approves the continuation of the Customized Instruction differential tuition program at UW-Stout.

**REVIEW OF UW-STOUT  
CUSTOMIZED INSTRUCTION DIFFERENTIAL TUITION PROGRAM  
EXECUTIVE SUMMARY**

**BACKGROUND**

In February 1999, the Board of Regents approved UW-Stout's Customized Instruction program. The program grants UW-Stout the flexibility to determine and charge market rates for customized programs, certificates, and courses developed to meet market needs. These programs are driven by market demand and are delivered to professionals in the field.

Typically, the courses will be provided in alternate timeframes (i.e., summer, evenings, or weekends) and do not detract from the instruction provided to the core student population of the university. The intent is to serve business and industry by providing timely training and professional development opportunities to refresh, upgrade, or provide new skills and knowledge.

Customized Instruction provides UW-Stout the ability to establish competitive and market-responsive program pricing. Additionally, the ability to charge more than standard tuition rates for these programs allows UW-Stout to provide quality education and to customize programs to industry needs.

**REQUESTED ACTION**

Approval of Resolution I.2.d.2.d., approving continuation of the Customized Instruction differential tuition program at UW-Stout.

**DISCUSSION AND RECOMMENDATIONS**

UW-Stout currently has 25 customized instruction programs. These programs include a Quality Management Certificate, Bachelors of Science in Golf Enterprise Management, B.S. in Management, Masters of Science (M.S.) in Career and Technical Education, and an M.S. in Information and Communication Technologies.

As evidenced by the rapid growth in enrollment, customized instruction programs are meeting the needs of students. The following chart shows both the growth in full-time equivalent students (FTEs) since 1999-00 and the growth in the revenue generated by customized instruction programming. Customized instruction headcount enrollment in 2008-09 was 5,694.

<b>Year</b>	<b>Student FTEs</b>	<b>Revenue</b>
1999-00	17	\$51,174
2000-01	58	\$199,700
2001-02	98	\$313,168
2002-03	283	\$952,926
2003-04	312	\$1,130,021
2004-05	417	\$1,606,018
2005-06	542	\$2,140,400
2006-07	725	\$2,824,089
2007-08	982	\$3,876,115
2008-09	1,126	\$4,583,459

The customized instruction rates fully fund the cost of instruction, university overhead, enrollment shortfall reserves, program support, marketing, and academic support. Academic support includes funding for market research, new program development, course development, transforming courses to online delivery, faculty development, assessment of customized instruction programs, and student services. In calculating the full cost of these activities, UW-Stout includes salaries, fringe benefits, and supplies.

The table on the following page shows a list of customized instruction programs and their costs. Standard resident undergraduate tuition at UW-Stout is \$199 per credit; graduate tuition is \$322 per credit. No changes to the purpose or implementation of the differential are proposed.

## **STUDENT INVOLVEMENT**

The UW-Stout University Student Senate passed resolution USS 40.13.01 (21-1-1) in continued support of Customized Instruction. In the resolution, the Student Senate said that the student leadership “supports tuition differential as it relates to Customized Instruction. We firmly believe that Customized Instruction is an important enrollment option that students who choose to enroll at UW-Stout should be given”.

## **FUTURE OUTCOMES**

In support of the Growth Agenda, UW-Stout will continue to meet the unique needs of non-traditional and other students who seek an education offered using alternate delivery methods.

## UW-Stout Customized Instruction Programs and Courses

Program	Undergraduate Rate Per Credit	Graduate Rate Per Credit
M.S. Career, Technical Education, and Training		\$453
B.S. Career, Technical Education, and Training	\$278	
M.S. Education - Professional Development concentration		\$390
Traffic Safety Education	\$278	\$453
B.S. Engineering Technology - Mechanical Design concentration	\$400	
B.S. Golf Enterprise Management	\$278	
B.S. Human Development and Family Studies	\$278	
B.S. Information and Communication Technologies	\$278	
M.S. Information and Communication Technologies		\$453
B.S. Manufacturing Engineering	\$400	
M.S. Manufacturing Engineering		\$510
B.S. Management	\$278	
B.S. Sustainable Management	\$350	
M.S. Technology Management		\$453
M.S. Technology Education		\$390
M.S. Technical and Professional Communication		\$453
M.S. Training and Development		\$453
M.S. Vocational Rehabilitation		\$445
INMGT 416/616 - People Process Organization Cultures	\$278	\$453
Online Professional Development for Education		\$360
Quality Management minor and certificate	\$278	\$453
Cross-Categorical Special Education Certification	\$278	\$390
EC-Middle Childhood Certification		\$390
General Education courses	\$278	
Gaming Management Certificate	\$350	

### RELATED REGENT POLICIES

Study of the UW System in the 21st Century. (June 1996)

“Customized Instruction” Differential Tuition – UW-Stout (February 1999)

February 4, 2010

I.2.e.

## **2009 ANNUAL TRUST FUNDS REPORT**

**Year Ended June 30, 2009**

The complete report can be viewed at: <http://www.uwsa.edu/tfunds/inv.htm>

## **UW SYSTEM STRATEGIC PLANS FOR MAJOR INFORMATION TECHNOLOGY PROJECTS**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

As prescribed in 2007 Wisconsin Act 20, the Board of Regents is required to create a reporting format for University of Wisconsin System and each of the University of Wisconsin institutions' "strategic information technology plans." The strategic plans are to be provided to the Board by March 1 of each year.

The statute also requires the Board to create specific and detailed policies on all "large" IT projects [defined as costing over \$1 million] or projects defined as vital to the functions of the system or the institution. These policies were approved [Resolution I.2.e.5.] at the April 2008 meeting, and were submitted to the Joint Committee on Information Policy and Technology for approval.

The statute further requires the Board of Regents to provide to the Joint Committee on Information Policy and Technology on March 1 and September 1 of each year a specific and detailed "progress" report on all large and high risk projects.

#### **REQUESTED ACTION**

This report is for information only.

#### **DISCUSSION AND RECOMMENDATIONS**

The first reporting date after the passage of 2007 Wisconsin Act 20 was March 2008. Many UW institutions had insufficient time to prepare strategic IT plans and the Board did not have sufficient time to create a reporting format. Those institutions that had a strategic IT plan submitted in various formats. This is the second year that all institutions have submitted strategic IT plans in a standard format. There are two parts to each plan. Part A, *Information Technology & University Strategic Objectives*, includes nine key items: 1) plan development; 2) plan principles; 3) plan outcome measurements; 4) plan relationship to the university's strategic objectives; 5) plan format; 6) critical plan objectives with implementation plans; 7) timeline; 8) description of plan governance; and 9) major themes of the plan. Each strategic IT Plan also includes Part B, *Projects for FY10 and FY11*.

Though many of the campus projects for the coming year are very important, none cost over \$1 million. Projects range from a focus at UW-Madison on preparing students to work in a technology-enhanced world (through literacy and "boot-camp" programs) to major

improvements in the wireless infrastructure at UW-Stout to a major campus web site redesign at UW-Oshkosh. The institutional strategic IT plans may be found at:

<http://www.uwsa.edu/olit/cio/ITplans/>

The UW System IT plan, entitled *The Common Systems Roadmap*, has now been in place for three years. It is in the process of being updated for FY11. *The Common Systems Roadmap* graphically illustrates and discusses the seven major IT systems our institutions share and work on collaboratively: the Student Information System, Human Resources System, Shared Financial System, Learning Management System, Library Automation System, Wide Area Network, and a group of “middleware” systems that link all of these together. The *Roadmap* also looks ahead to other strategic technology applications the University may adopt in the next ten years to better serve students, faculty, and staff. The UW System *Common Systems Roadmap* is available at: [http://cs.uwsa.edu/documents/CommonSystemsRoadmapV1\\_2.pdf](http://cs.uwsa.edu/documents/CommonSystemsRoadmapV1_2.pdf)

2007 Wisconsin Act 20 also requires the Board of Regents to provide in March and in September each year a specific and detailed progress report on all large and high risk projects to the Joint Committee on Information Policy and Technology. The Board policy on the format of these reports was approved in April 2008 [Resolution I.2.e.5.]. There are four major projects in this report. The report is presented as a separate Business, Finance, and Audit Committee agenda item.

## **RELATED REGENT POLICIES**

25-2 Guide to plan and implement management information systems.

## **UW SYSTEM INFORMATION TECHNOLOGY REPORT PROJECT STATUS REPORT**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

2007 Wisconsin Act 20 requires the Board of Regents to provide in March and in September each year a specific and detailed progress report on all large (defined as costing over \$1 million) and high-risk projects to the Joint Committee on Information Policy and Technology. The Board policy on the format of these reports was approved in April 2008 [Resolution I.2.e.5.]. There are four major projects in this report.

#### **REQUESTED ACTION**

This report is for information only.

#### **DISCUSSION AND RECOMMENDATIONS**

Attached are progress reports on the UW System's four major information technology projects. They include the Oracle/PeopleSoft Campus Solutions (student information systems) implementation at UW-Eau Claire, the Identity and Access Management project, the Legacy Budget project, and the Oracle/PeopleSoft Human Resources System. All major projects are generally on target with respect to schedule, scope, and budget status.

#### **RELATED REGENT POLICIES**

25-2 Guide to plan and implement management information systems.



**Project:** Oracle/PeopleSoft Campus Solutions Implementation, UW-Eau Claire

**Description:** UW- Eau Claire is replacing existing mainframe-based student administrative systems with PeopleSoft Campus Solutions software, version 9. With the implementation of Campus Solutions, UW-Eau Claire will be operating the UW's "common system" for student administration.

UW-Eau Claire is implementing the following modules:

- Campus Community: Biographical and demographic information for Campus Solutions. (Went live in September 2009.)
- Admissions: Functionality to process applicants and admit students. (Went live in September 2009 for fall of 2010.)
- Financial Aid: Budgeting, packaging, awarding, disbursement, and monitoring of aid.
- Student Records: Functionality to support scheduling classes, registering students, producing transcripts, academic record maintenance, and posting degrees. (On-line catalog went live in fall 2009 for fall 2010.)
- Student Financials: Foundation for student financial data, including billing students, maintaining student accounts, tuition calculation, and processing payments.
- Campus Solutions Self-Service: Provides web access for students and faculty.

UW System Administration has contracted with CIBER, Inc. to provide project planning, and functional and technical consulting resources for the Campus Solutions project. (Contract Number: LT-07-2379).

**Project Schedule & Budget:**

Schedule: Implementation began in spring 2008; all modules are planned to be designed and developed by summer 2009. The modules will move into production over the course of the 2009-10 academic year.

Project budget for external consulting resources: \$2,761,308.

Source of funds: Common Systems (2/3) and Campus Resources (1/3)

## Campus Solutions Implementation, UW-Eau Claire Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of <b>Yellow</b> or <b>Red</b> describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		<b>STATUS COLOR INDICATORS</b>
	<b>Green</b>	<b>On target as planned</b>
	<b>Yellow</b>	<b>Encountering issues</b>
	<b>Red</b>	<b>Problems</b>

<b>Project Status Dashboard: Oracle/PeopleSoft Campus Solutions Implementation, UW-Eau Claire</b>	<b>Green</b>	<b>Yellow</b>	<b>Red</b>
<b>Schedule Status</b>	x		
<b>Scope Status</b>	x		
<b>Budget Status</b>	x		
<b>Other Issues (Staffing, Risks, etc.):</b>	x		

## Status of Project Planning and Documentation:

	<b>Status</b>
Governance structure	Established
Project Charter	Completed
Communication Plan	Completed
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Completed

**Project:** Identity and Access Management (IAM) Project

**Description:** UW-Madison Division of Information Technology (DoIT) currently operates the Identification, Authentication, and Authorization system (IAA) for the UW System. The system supports hundreds of thousands of active and inactive identity records, and is currently growing at a rate approaching 80,000 records per year.

The University of Wisconsin System needs an efficient and secure way to manage identities and access to campus resources depending on an individual's relationship to the university. In FY08, UW System acquired Oracle's suite of Identity and Access Management (IAM) products and began planning and implementation during FY09. Simply stated, the purpose of IAM is to manage user identities and their access to resources. The IAM suite will enable the UW System to manage the rights and attributes of users who access the system. Implementation of the software will provide UW Common Systems with central, reusable identity and access management services ensuring that the right people have access to the right resources at the right time. It offers the potential for significantly improved management of employee and student data, along with improved management of user credentials and access to services. It will also help address security challenges the university faces. This enhanced functionality is the basis for, and essential to, a robust, reliable infrastructure platform.

IAM Project Web Site: <http://cs.uwsa.edu/iam/>

**Expected Project Schedule & Budget:**

Schedule: Project planning began in February 2008 and was completed in fall 2008 with the conclusion of a roadmap and architecture proposal from the consultants. The project is now in Phase 3 of a 4 phase implementation plan that lasts approximately 12-18 months. During the implementation, selected target applications will migrate to the new system including HRS. Additional application migrations will occur after the fourth phase is completed. These migrations are projected to occur through FY11 and FY12.

Project budget:

FY08-FY10: \$4,700,000

Source of funds: Common Systems

## Identity and Access Management (IAM) Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of <b>Yellow</b> or <b>Red</b> describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		<b>STATUS COLOR INDICATORS</b>
	<b>Green</b>	<b>On target as planned</b>
	<b>Yellow</b>	<b>Encountering issues</b>
	<b>Red</b>	<b>Problems</b>

<b>Project Status Dashboard: Identity and Access Management (IAM) Project</b>	<b>Green</b>	<b>Yellow</b>	<b>Red</b>
<b>Schedule Status</b>	x		
<b>Scope Status</b>	x		
<b>Budget Status</b>	x		
<b>Other Issues (Staffing, Risks, etc.):</b>	x		

## Status of Planning and Documentation to Support IAM Implementation:

(See Appendix 1 for dashboard definitions):

	<b>Status</b>
Governance structure	Completed
Project Charter	Completed
Communication Plan	In Progress
Project Plan	Phase 1 Completed; Phase 2 underway Phases 3 – 4 On-going
Project Budget	Completed
Quality Assurance Plan	In Progress

## **Project: Legacy Budget System Project**

### **Background:**

The current Annual Budget Development and Position Control/October Payroll Systems are mainframe systems hosted at UW-Madison's Division of Information Technology (DoIT). The UW System has embarked on a multi-year planning and replacement process for the systems. The first phase in this replacement cycle will require rewriting the Budget System interfaces, batch programs, and data conversions to function with the new PeopleSoft-based Human Resource System (HRS). The second phase will involve development of a business case with requirements, project planning, and the implementation of a new budget system solution that does not run on the mainframe. At the end of the second phase the budget systems will be retired from the mainframe.

The Annual Budget Development System is used by all UW institutions, including System Administration to develop both salary and non-salary budgets. All institutions have various shadow budget systems to assist them in this process; these shadow systems range from spreadsheets to institutional mainframe systems. The salary information for budget development is loaded from either a recent payroll or the previous year's budget that institutions use as their starting point for budget development. Institutions then distribute the unclassified merit in the budget system by person, fund, and program, and once approved by the Board of Regents, the merit distribution and funding is then loaded back to the payroll system.

The Position Control/October payroll System is used for statutorily required quarterly reporting to the State on the number of Full-Time Equivalent employees the UW System has by funding source, and is also used in the earned October months to establish the payroll base on which the UW-System can receive funding for pay plan increases from the State. In addition, this information is used for Federal, American Association of University Professor (AAUP), Integrated Postsecondary Education Data System (IPED) and other reporting needs by offices in System Administration and at the campuses.

The current budget systems do not provide the features and functions that address contemporary business demands for integrated financial and budget planning. Preparing for the migration of these systems from the mainframe affords the UW an opportunity to review current business processes and requirements, and make improvements such as providing the ability for institutions to do long range planning and budget forecasting. There is not enough time in the HRS implementation plan to simply acquire a new budget system. Therefore, in the first phase of this project, it is necessary to build an interface between HRS and the legacy budget systems.

The interface between the two budget systems and human resource/payroll functions are numerous and it is imperative that UW incorporate these requirements into the implementation of HRS. Phase two includes development of a business case with requirements, identification of potential solution options, acquiring a new budget system with enhanced functionality, and then the implementation of the new system.

**Description – Phase 1: Legacy Budget System Interface to HRS**

Phase 1 of the project will focus on the revamping of the Budget System interfaces, batch programs, and data conversions in FY2010 and FY2011.

**Phase 1 Schedule:** The release schedule of the Budget HRS-Budget System Interface Changes will align with the building, testing, and deployment of HRS: September 2009 – June 2011

**Phase 1 Budget:** \$3.8 million (FY10-FY11)

Source of funds: Common Systems

**Phase 2: Planning the replacement of UW's Budget System.**

UW will embark on a multi-year planning effort to replace the Budget System. Activities will include analysis of current business processes and requirements, opportunities for redesigning business processes, identification of potential solution options, and cost-benefit analysis of those potential solutions. At this point and until the business case and requirements are fully understood, the cost of purchasing and implementing a new system is unknown.

**Expected project schedule and duration:** Planning will begin in FY10; the duration of phase 2 is unknown.

**Expected project budget for phase 2:** No budget is requested for FY10.

## Phase 1: Legacy Budget System Interface to HRS

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of <b>Yellow</b> or <b>Red</b> describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		<b>STATUS COLOR INDICATORS</b>
	<b>Green</b>	<b>On target as planned</b>
	<b>Yellow</b>	<b>Encountering issues</b>
	<b>Red</b>	<b>Problems</b>

<b>Project Status Dashboard: Phase 1: Legacy Budget System Interface to HRS</b>	<b>Green</b>	<b>Yellow</b>	<b>Red</b>
<b>Schedule Status</b>	<b>x</b>		
<b>Scope Status</b>	<b>x</b>		
<b>Budget Status</b>	<b>x</b>		
<b>Other Issues (Staffing, Risks, etc.):</b> The project has not been able to secure all staffing. One technical resource start date was delayed due to critical production issues and one position on the functional team needs to be filled (UW is an actively recruiting). Reassignments of work have been made based on staff availability.		<b>x</b>	

## Status of Planning and Documentation to Support Phase 1: Legacy Budget System Interface to HRS

	<b>Status</b>
Governance structure	Established
Project Charter	Completed
Communication Plan	Included with HRS Plan
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Included with HRS Plan

**Project:** Oracle/PeopleSoft Human Resources System Project (HRS): Phase 2 Implementation

**Description:**

The current University of Wisconsin Payroll System has served the University's needs since approximately 1975. More than 67,000 faculty, staff, student workers, and administrators from all UW institutions are paid through this system. Both technology and the needs of higher education have changed considerably since the legacy system was implemented. The legacy system lacks the functionality and efficiency that today's human resource environment demands and limits the UW's ability to deliver strategic human resource management capabilities and business process redesign efforts to our stakeholders. Replacing the legacy system with HRS will result in substantial benefits to the UW System by improving data integrity; increasing standardization of policies, practices, and service delivery; eliminating hundreds of redundant institutional shadow systems; and providing self-service to employees. UW System will be implementing Oracle's PeopleSoft Human Capital Management suite, version 9.0.

On September 11, 2009, the Board of Regents approved the following resolution:

That, upon recommendation of the President of the University of Wisconsin System, the Board of Regents approve: (a) the System Administration's Project Implementation Plan for the HRS Project and (b) the FY 2010 implementation budget for that project, in each case subject to the negotiation of amendments to the existing HRS system contract with Huron Consulting satisfactory to the Regent President and the System President. It is understood that the Board of Regents will annually review the Project Implementation Plan and that its Business, Finance, and Audit Committee will receive regular reports on the status of the project and the performance of Huron Consulting's contractual obligations, beginning in October 2009, and continuing at every regularly-scheduled two-day Board meeting until implementation is complete.

The Human Resource System (HRS) Project is a complex, multiyear endeavor to implement Oracle/PeopleSoft Version 9.0 Human Capital Management (HCM) software throughout the University of Wisconsin System. Environmental complexity distinguishes this project from other endeavors undertaken in the UW System and from other implementations of Enterprise Resource Planning (ERP) systems such as Oracle/PeopleSoft's HCM solution at other higher education institutions. This complexity emanates from the foundational structure of personnel operations within the UW System, which defines two separate and distinct employee systems – one for classified staff and one for unclassified staff. The classified personnel system is governed by the policies and procedures of Office of State Employee Relations (OSER). The unclassified personnel system (for faculty and academic staff members) is governed by policies and procedures provided by the Board of Regents. Within the classified personnel system there are three types of employee appointments. Within the unclassified personnel system there are seven appointment types. Each of these sub-groups of employee appointments are subject to different applications of policies and procedures of their respective governing bodies. In addition, the UW System relies on a diverse array of funding sources, and unique combinations of funding sources that vary from semester to semester, adding to the overall complexity of implementing any new payroll and benefits system.



The scope of the Human Resource System (HRS) Project encompasses the replacement of the core Human Resource, Benefit, and Payroll business processes for the thirteen four-year universities; the thirteen two-year UW-Colleges campuses; the statewide UW-Extension campuses and the University of Wisconsin System Administration. The impact of this replacement of foundational administrative functionality affects each and every current employee of the University of Wisconsin System, all retirees, and any potential employee of the System.

The overall scope of the Human Resource System (HRS) Project encompasses four primary areas: Business Process/Application, Technical, Change Management, and Testing.

**Project Schedule & Budget for HRS Phase 2 Implementation:**

The HRS Implementation will be constructed and delivered in three overlapping phases or releases. Each release follows a proven approach for implementing PeopleSoft functionality; each release includes steps to build, test, deploy, and support the functionality.

Release 1 will constitute the major portion of functionality and the implementation period is second quarter, 2011. Release 1 functionality includes Human Resources, Base Benefits, limited Benefits Administration, Payroll, Time and Labor, Absence Management, earnings statement review, benefits summary review, Time and Labor employee and manager self-service, base reporting, and Shared Financial System interface.

Release 2 functionality delivers Time and Labor and Absence Management self-service, and Enterprise Performance Management. There will be staggered roll out of self-service features and monthly deployments of reports beginning in second quarter, 2011, and concluding second quarter, 2012.

Release 3 will deliver functionality for eBenefits for graduate hires, dual choice/annual enrollment, and Talent Acquisition Management. Again, the implementation of Release 3 functionality will be staggered beginning third quarter, 2011 and concluding first quarter, 2012.

Complete "HRS: Proposed Plan for Implementation" available at:

<http://hrs.uwsa.edu/about/implementationplan.pdf>

**Project Budget for HRS Phase 2: Implementation:**

FY 10 \$33.5 million

FY11 \$30.2 million

FY12 \$ 5.8 million

**Total HRS Project: Phase 1 (Planning) and Phase 2 (Implementation)**

FY08-August 2009: \$11.9 million

FY 10 \$33.5 million

FY11 \$30.2 million

FY12 \$ 5.8 million

\$81.4 million

**Source of Funds:**

\$19 million (UW System funds set aside for HRS project)

\$12 million (Technology rebate as part of Microsoft class action settlement)

\$50.4 million (UW System reallocation)

## Human Resource System (HRS) Project - Phase 2 Implementation Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of <b>Yellow</b> or <b>Red</b> describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		<b>STATUS COLOR INDICATORS</b>
	<b>Green</b>	<b>On target as planned</b>
	<b>Yellow</b>	<b>Encountering issues</b>
	<b>Red</b>	<b>Problems</b>

<b>Project Status Dashboard: HRS Implementation</b>	<b>Green</b>	<b>Yellow</b>	<b>Red</b>
<b>Schedule Status:</b>	<b>X</b>		
<b>Scope Status:</b>	<b>X</b>		
<b>Budget Status:</b>	<b>X</b>		
<b>Other Issues (Staffing, Risks, etc.):</b> Staffing challenges remain in both the technical and functional areas of the project. The Project Management Office is working with the hiring organizations to actively fill these openings.		<b>X</b>	

### Status of Planning and Documentation to Support HRS Implementation:

	<b>Status</b>
Governance structure	Established
Project Charter	Completed
Communication Plan	Completed
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Established

## **Appendix 1: Project Dashboard Definitions:**

<b>Project Status Category Descriptions</b>
<p><b>Schedule Status</b> (refers to target implementation date of phase or project)</p> <p><b>Green</b> – Indicates that the project or phase will be completed on target or on the planned date.</p> <p><b>Yellow</b> – Indicates that the project or phase <u>may be falling behind</u> and work needs to be done to determine if the project can recover and still complete on the scheduled date or if adjustments must be made to the schedule date.</p> <p><b>Red</b> – Indicates that the project or critical tasks <u>have fallen behind</u> schedule and corrective action must be taken to make the scheduled date or the scheduled date must change.</p>
<p><b>Scope Status</b></p> <p><b>Green</b> – We have not changed the scope in any way that will keep the implementation from meeting the objectives planned for the project.</p> <p><b>Yellow</b> – The scope of the project has increased. Budget and implementation date are impacted by &lt; 10%. Or the scope of the project has decreased but objectives are not substantially impacted.</p> <p><b>Red</b> – The scope of the project is under review and changes are being requested that will mean the implementation will not meet the project objectives in some substantial way or doing them later will increase cost 10% or more above the original total cost of the project approved by the sponsors.</p>
<p><b>Budget Status</b></p> <p><b>Green</b> – Currently on target with project budget.</p> <p><b>Yellow</b> – Project is over budget by 10 – 25%.</p> <p><b>Red</b> – Project is over budget by 25% or more.</p>
<p><b>Other Issues (Staffing, Risks, etc.)</b></p> <p><b>Green</b> – No staffing, Risks, or other issues/concerns exist.</p> <p><b>Yellow</b> – Staffing concerns/issues exist that need to be monitored and possible adjustments made. Key staff departing. One or more risks or other issues may be surfacing which need to be monitored and contingency plans developed.</p> <p><b>Red</b> – Staffing concerns/issues exist and will impact project schedule, budget, deliverables, risks, etc. Key staff lost. One or more risks or other issues have surfaced and will have an impact on budget, deliverables, staffing, scope, and/or schedule. Corrective action must be taken or contingency plans executed.</p>

**Reporting Period:** December 1-31, 2009

**Project Progress on Major Deliverables for September 1, 2009-June 30, 2010:**

Key Area (See Appendix 1 for description)	Accomplishments for December 2009	Status
Business Process and Application Configuration	<ul style="list-style-type: none"> <li>Completed configuration approach documentation</li> <li>Completed configuration of the “master” database copy that will be used to support initial development</li> <li>Future-state business process documentation is being refined by the teams</li> <li>Preparations are underway for the end-to-end business process demonstrations scheduled for January and February 2010</li> <li>Workshops for the Process Advisory Groups were conducted by each of the business process and application teams</li> </ul>	On schedule
Technical Development	<ul style="list-style-type: none"> <li>The detailed designs for the modifications and interfaces continue to be refined and transitioned to the development staff for build of the objects</li> <li>Unit test plans for technical specifications are underway with collaborative reviews and revisions from the functional-team members</li> <li>The clean-up and collection strategy document for data conversion is underway</li> <li>The legacy extract programs for data conversion are being built and tested</li> </ul>	Slightly Behind (see challenges)
Technical Infrastructure	<ul style="list-style-type: none"> <li>Auxiliary system (e.g. third party vendors) security controls to ensure secure transmittal of data with HRS have been completed for all systems except those still in the RFP process</li> <li>Universal role gathering is underway for the security team</li> <li>Completed batch processing approach and associated templates</li> <li>Completed the integration coordination approach document describing the principles, scope, and roles and responsibilities</li> </ul>	On schedule

	<ul style="list-style-type: none"> <li>• The integration of address cleansing services with HRS is underway</li> <li>• Developed the configuration migration scripts to move configuration between environments</li> <li>• Drafted an environment diagram for interfaces into and out of HRS</li> </ul>	
Change Management	<ul style="list-style-type: none"> <li>• Completed the approach for analyzing the impact of changes to the business work processes, known as work process analysis</li> <li>• Completed the fourth installment in the HRS education series, HRS-104, focusing on integration and payroll</li> <li>• Revisions to the internet and intranet sites for HRS were completed and released</li> <li>• Completed the consolidated campus communication plan</li> <li>• Completed the high-level Work Process Analysis charter and communication plan</li> <li>• Completed a draft of the proposed “scorecard” for measuring campus readiness for HRS</li> <li>• Data on success factors continues to be gathered from various stakeholder groups and the data is being categorized and transformed into potential project and operational measurements for HRS</li> </ul>	On schedule
Testing	<ul style="list-style-type: none"> <li>• Completed the development of templates for test conditions and test scripts</li> <li>• Refinements to the initial set-up of the automated testing tool are underway</li> </ul>	On schedule
Project Management	<ul style="list-style-type: none"> <li>• The detailed build phase project plan is being updated with work effort and task progress provided by each team member.</li> <li>• Completed the draft of the HRS quality gate scorecard for measurement of deliverables across all tracks of work on the project</li> </ul>	On schedule

Shared Financial System (SFS) Interface		
Key Area (See Appendix 1 for description)	Accomplishments for December 2009	Status
Business Process and Application Configuration	<ul style="list-style-type: none"> <li>Completed documentation and build of required configuration modifications</li> <li>Completed business process and detailed designs for modifications</li> <li>Continue review of reporting inventory with campuses</li> <li>Developing unit test scenarios for modifications based on requirements</li> </ul>	On schedule
Technical Development	<ul style="list-style-type: none"> <li>Completed modification detailed designs</li> <li>Developing modifications based on detailed design</li> <li>Developing unit test scenarios for modifications based on requirements</li> </ul>	On schedule
Technical Infrastructure	<ul style="list-style-type: none"> <li>Developing security modifications based on requirement assessment</li> <li>Developing batch schedule based on requirements assessment</li> <li>Developing unit test scenarios for modifications based on requirements</li> </ul>	On schedule
Change Management	<ul style="list-style-type: none"> <li>Conducted monthly Site Leaders conference call to facilitate communications</li> </ul>	On schedule
Testing	<ul style="list-style-type: none"> <li>Finalized testing strategy approach document</li> <li>Collecting testing conditions and scenarios</li> </ul>	On schedule
Project Management	<ul style="list-style-type: none"> <li>Updated the detailed build phase project plan with work effort provided by each team member and task progress.</li> <li>Monitoring project progress</li> </ul>	On schedule

## Challenges Encountered and Remedies to Address

- Staffing challenges remain in both the technical and functional areas of the project. The Project Management Office (PMO) is working with the hiring organizations to actively fill these openings.
- The Project Management Office is evaluating the planned approach to testing. The planned approach called for a staggered development of test scripts by test phase. The PMO is assessing options to complete all test scripts prior to the onset of testing as a way to proactively manage the complexity of the testing effort and mitigate risk.
- In the area of Technical Development, the HRS Project is slightly behind schedule. The project team focused on completing the modification designs for the development team. Focusing the team on these deliverables put the areas of conversion and reporting slightly behind schedule. The Project has taken the following actions to address the issue:
  - Executed a change order to add two conversion developers to the project for the period January 1, 2010 through June 30, 2010 for the purpose of developing conversion load programs from legacy extracts to the new system.
  - Legacy system experts from DoIT were assigned to the development of a system to extract the required data from the legacy systems for data conversion.
  - The reporting team is assessing the impact on the interim reporting due dates.
- The available office space at UW-Madison is no longer large enough to accommodate the entire HRS project team. In December, the Department of Administration (on behalf of UW System) signed a lease for office spaces totaling 4,900 square feet.

## Project Expenditures (through December 31, 2009):

	FY08	FY09	FY10 Planned	FY10 Actual YTD	FY10 Balance YTD	FY10 Percentage Expended YTD
<b>HRS:</b>						
Consulting Resources	\$422,085.00	\$4,314,581.90	\$20,651,031.63	\$8,409,949.26	\$12,241,082.37	40.72%
UW Resources	\$484,127.00	\$2,316,520.20	\$7,986,669.63	\$3,254,069.46	\$4,732,600.17	40.74%
Non-Labor Costs	\$31,700.00	\$291,832.98	\$1,273,713.88	\$247,100.13	\$1,026,613.75	19.40%
Contingency	\$0.00	\$0.00	\$2,577,250.00	\$0.00	\$2,577,250.00	0.00%
<b>HRS Subtotal</b>	<b>\$937,912.00</b>	<b>\$6,922,935.08</b>	<b>\$32,488,665.14</b>	<b>\$11,911,118.85</b>	<b>\$20,577,546.29</b>	<b>36.66%</b>
<b>SFS Interface:</b>						
Consulting/contractor resources			\$3,111,066.00	\$848,724.91	\$2,262,341.09	27.28%
UW resources			\$1,428,579.00	\$732,606.22	\$695,972.78	51.28%
Contingency			\$453,965.00	\$0.00	\$453,965.00	0.00%
<b>SFS Interface Subtotal</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$4,993,610.00</b>	<b>\$1,581,331.13</b>	<b>\$3,412,278.87</b>	<b>31.67%</b>
<b>HRS and SFS Interface TOTAL</b>	<b>\$937,912.00</b>	<b>\$6,922,935.08</b>	<b>\$37,482,275.14</b>	<b>\$13,492,449.98</b>	<b>\$23,989,825.16</b>	<b>36.00%</b>



### **Planned Activities – January 2010**

- Complete the requirements traceability matrix for each functional team
- Complete the future state business process documents for each functional team
- Conduct an end-to-end business process walk-thru for the HRS Project team
- Complete the communication plans for campus coordination
- Complete the change management “scorecard” for measuring campus readiness
- Draft a project plan for the staffing and preparing support services
- Finalize the navigation training series
- Complete the development and unit testing of the legacy extract programs
- Continue work on the load program functional specifications
- Continue work on the build of objects for modifications and interfaces
- Continue work on the reporting and data warehouse functional specifications
- Finalize the universal security roles
- Complete the set-up of the automated testing tool
- Begin the development of the User Acceptance Test (UAT) plan

### **Planned Activities – February and March 2010**

- Conduct an end-to-end business process walk-thru for the Process Advisory Groups
- Continue to populate the “master copy” of the configuration database with setup values
- Continue work on the development of modifications and interfaces
- Begin visits with executive leadership of each campus to discuss plans, expectations, and measurements
- Complete HRS-105, the fifth module in the education series
- Complete the high-level business process curriculum diagram
- Begin the work process analysis of mapping current roles to future roles to assess impact of change on organizations
- Complete the functional specifications for the conversion load program
- Finalize the report requirements, continue working on report detailed designs
- Begin work on the preliminary batch schedule
- Continue work on the campus-specific role gathering
- Complete the User Acceptance Testing communication plan
- Continue work on the development of test conditions and scripts

### Appendix 1: High-Level Description of Key Areas:

Key Area:	Project activities in key areas:
Business Process and Application Configuration	The configuration of the PeopleSoft software application. Includes documentation of the configuration and validation for future-state business processes.
Technical Development	Development of modifications and interfaces based on functional and technical specifications. Execution of unit testing for modifications and interfaces. Includes development of data views, reports and data conversion.
Technical Infrastructure	Development of security provisions, building the hardware and infrastructure environment, and connection to external applications.
Change Management	Development of training content, analysis of UW work processes, communication support, and campus change management activities.
Testing	Development of test scripts, scenarios, data, and expected results for phases of testing (application and performance).
Project Management	Project administration (maintenance of plan, task tracking, and reporting). Preparation of materials for external and external meetings.

## **QUARTERLY REPORT OF GIFTS, GRANTS, AND CONTRACTS JULY 1, 2009 THROUGH DECEMBER 31, 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 six month period July 1, 2009 through December 31, 2009. Total gifts, grants, and contracts for the period were \$892.0 million; this is an increase of \$106.1 million over the same period in the prior year. Federal awards increased \$157.1 million while non-federal awards decreased by \$51.0 million.

The large increase in federal awards was primarily driven by substantially increased research funding opportunities associated with the American Recovery and Reinvestment Act (ARRA). While non-federal awards decreased nearly across the board, the declines result mostly from a significant jump in such funding during the prior year. Significant awards from the Wisconsin Alumni Research Foundation (WARF) and other UW Foundations which were received in the prior year were not repeated in the current year.

## **RELATED REGENT POLICIES**

Regent Resolution Number 7548 dated September 4, 1997

UNIVERSITY OF WISCONSIN SYSTEM  
GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION  
QUARTERLY REPORT & PRIOR-YEAR COMPARISON  
FISCAL YEAR 2009-2010 - Second Quarter

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
<b>FISCAL YEAR 2009-2010</b>								
Madison	11,283,008	25,776,537	2,353,346	58,821,453	19,984,121	575,906,560	7,836,918	701,961,944
Milwaukee	4,913,449	5,761,351	665,752	1,632,210	0	24,325,401	15,826,517	53,124,678
Eau Claire	904,288	1,056,672	0	0	1,300,000	908,056	6,846,544	11,015,560
Green Bay	301,008	660,141	0	123,092	1,500	1,293,198	4,021,127	6,400,067
La Crosse	595,865	295,029	0	925,708	0	1,765,085	4,819,103	8,400,790
Oshkosh	3,879,000	6,526,717	0	0	0	1,332,316	6,844,422	18,582,455
Parkside	2,817,205	544,506	0	8,835	0	99,190	3,736,470	7,206,206
Platteville	751,876	61,478	0	4,468,020	0	30,293	4,370,783	9,682,450
River Falls	58,507	4,578	0	1,787,986	0	83,113	3,949,900	5,884,083
Stevens Point	3,670,671	219,173	0	341,737	0	2,939,250	7,349,825	14,520,656
Stout	3,137,761	111,533	0	2,128,171	0	186,340	5,755,201	11,319,006
Superior	4,250	0	0	720,295	0	2,498,397	2,512,913	5,735,855
Whitewater	135,750	21,226	0	2,156,836	45,351	161,458	6,811,061	9,331,683
Colleges	8,139	221,165	1,000	762,577	0	37,135	8,496,020	9,526,035
Extension	17,391,119	0	0	0	0	0	0	17,391,119
System-Wide	140,000	1,326,142	0	213,613	0	318,286	0	1,998,041
<b>Totals</b>	<b>49,991,895</b>	<b>42,586,248</b>	<b>3,020,098</b>	<b>74,090,533</b>	<b>21,330,971</b>	<b>611,884,080</b>	<b>89,176,804</b>	<b>892,080,629</b>
Madison	9,226,504	16,649,291	0	2,237,028	0	404,785,538	3,667,012	436,565,373
Milwaukee	3,225,147	5,382,222	0	0	0	21,181,295	15,802,617	45,591,281
Eau Claire	899,931	1,047,279	0	0	0	839,580	6,845,615	9,632,405
Green Bay	311,408	1,025,787	0	17,040	0	1,210,730	4,024,626	6,589,591
La Crosse	14,865	152,851	0	911,742	0	1,184,670	4,819,103	7,083,231
Oshkosh	2,844,030	6,416,992	0	0	0	1,112,871	6,831,406	17,205,299
Parkside	2,665,622	386,338	0	0	0	10,954	3,734,690	6,797,604
Platteville	609,933	0	0	1,002,381	0	0	4,370,783	5,983,097
River Falls	51,023	0	0	1,561,236	0	53,637	3,943,900	5,609,796
Stevens Point	2,333,577	110,034	0	286,053	0	2,183,207	7,349,825	12,262,696
Stout	2,948,981	99,215	0	1,526,589	0	186,340	5,751,001	10,512,126
Superior	4,250	0	0	720,295	0	2,210,000	2,512,913	5,447,458
Whitewater	29,155	0	0	1,689,694	0	143,262	6,202,486	8,064,598
Colleges	0	153,678	0	364,294	0	35,135	7,981,340	8,534,447
Extension	4,957,769	0	0	0	0	0	0	4,957,769
System-Wide	0	1,286,142	0	150,000	0	225,832	0	1,661,974
<b>Federal Totals</b>	<b>30,122,196</b>	<b>32,709,829</b>	<b>0</b>	<b>10,466,352</b>	<b>0</b>	<b>435,363,052</b>	<b>83,837,318</b>	<b>592,498,746</b>
Madison	2,056,504	9,127,247	2,353,346	56,584,426	19,984,121	171,121,022	4,169,906	265,396,571
Milwaukee	1,688,302	379,128	665,752	1,632,210	0	3,144,106	23,900	7,533,398
Eau Claire	4,357	9,393	0	0	1,300,000	68,476	929	1,383,155
Green Bay	(10,400)	(365,646)	0	106,052	1,500	82,468	(3,499)	(189,525)
La Crosse	581,000	142,178	0	13,966	0	580,415	0	1,317,559
Oshkosh	1,034,970	109,725	0	0	0	219,445	13,016	1,377,156
Parkside	151,583	158,168	0	8,835	0	88,236	1,780	408,602
Platteville	141,943	61,478	0	3,465,639	0	30,293	0	3,699,353
River Falls	7,484	4,578	0	226,750	0	29,476	6,000	274,287
Stevens Point	1,337,094	109,139	0	55,684	0	756,043	0	2,257,960
Stout	188,780	12,318	0	601,582	0	0	4,200	806,880
Superior	0	0	0	0	0	288,397	0	288,397
Whitewater	106,595	21,226	0	467,142	45,351	18,196	608,575	1,267,085
Colleges	8,139	67,487	1,000	398,283	0	2,000	514,679	991,588
Extension	12,433,350	0	0	0	0	0	0	12,433,350
System-Wide	140,000	40,000	0	63,613	0	92,454	0	336,067
<b>Nonfederal Totals</b>	<b>19,869,699</b>	<b>9,876,419</b>	<b>3,020,098</b>	<b>63,624,181</b>	<b>21,330,971</b>	<b>176,521,028</b>	<b>5,339,486</b>	<b>299,581,883</b>

UNIVERSITY OF WISCONSIN SYSTEM  
 GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION  
 QUARTERLY REPORT & PRIOR-YEAR COMPARISON  
 FISCAL YEAR 2009-2010 - Second Quarter

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
<b>FISCAL YEAR 2008-2009</b>								
Madison	25,777,366	22,014,917	1,240,799	100,896,404	16,278,694	443,006,974	22,560,260	631,775,413
Milwaukee	5,452,863	5,077,637	41,585	1,328,450	0	17,232,524	6,174,799	35,307,857
Eau Claire	546,630	719,828	0	0	0	1,030,378	5,401,214	7,698,050
Green Bay	48,196	330,141	0	11,057	0	1,737,390	3,133,149	5,259,934
La Crosse	345,796	495,199	6,000	18,867	0	1,381,385	3,841,894	6,089,141
Oshkosh	2,641,433	6,020,812	0	0	0	440,481	4,694,490	13,797,216
Parkside	811,002	494,102	0	35,895	120,000	223,978	4,063,160	5,748,137
Platteville	584,425	56,644	0	1,111,014	0	120,417	3,086,642	4,959,141
River Falls	27,415	110,404	0	1,536,701	0	40,782	3,089,221	4,804,523
Stevens Point	4,057,888	341,780	0	386,408	0	3,496,447	5,845,499	14,128,022
Stout	3,309,900	94,703	0	2,144,312	0	51,979	4,499,035	10,099,928
Superior	0	0	0	0	160,496	4,839,041	1,857,764	6,857,301
Whitewater	101,187	14,994	0	2,709,746	44,180	202,345	4,776,009	7,848,461
Colleges	2,025	238,501	0	692,395	0	57,603	5,726,129	6,716,653
Extension	23,149,760	0	0	0	0	29,600	0	23,179,360
System-Wide	0	1,206,270	0	5,500	0	456,960	0	1,668,730
<b>Totals</b>	<b>66,855,885</b>	<b>37,215,932</b>	<b>1,288,384</b>	<b>110,876,748</b>	<b>16,603,370</b>	<b>474,348,283</b>	<b>78,749,264</b>	<b>785,937,866</b>
Madison	12,847,941	13,009,280	0	728,609	0	275,520,065	14,486,799	316,592,694
Milwaukee	3,742,434	4,807,149	6,000	0	0	14,094,477	5,453,148	28,103,208
Eau Claire	533,630	719,828	0	0	0	937,958	5,286,214	7,477,630
Green Bay	24,000	305,766	0	5,922	0	1,643,026	3,050,780	5,029,494
La Crosse	157,103	296,699	0	5,000	0	607,486	3,829,951	4,896,239
Oshkosh	1,784,492	5,604,250	0	0	0	199,187	4,694,490	12,282,419
Parkside	770,631	298,825	0	5,000	0	0	3,840,834	4,915,290
Platteville	375,403	0	0	981,731	0	72,000	3,086,642	4,515,776
River Falls	9,562	0	0	1,232,571	0	0	3,022,435	4,264,568
Stevens Point	2,368,854	117,001	0	286,053	0	2,626,245	5,845,499	11,243,652
Stout	2,956,374	90,969	0	1,618,728	0	51,979	4,476,885	9,194,934
Superior	0	0	0	0	160,496	4,750,364	1,857,764	6,768,624
Whitewater	90,817	0	0	1,355,271	0	190,994	4,202,881	5,839,963
Colleges	0	238,501	0	282,440	0	20,073	5,188,115	5,729,129
Extension	6,836,787	0	0	0	0	0	0	6,836,787
System-Wide	0	1,206,270	0	0	0	456,960	0	1,663,230
<b>Federal Totals</b>	<b>32,498,028</b>	<b>26,694,538</b>	<b>6,000</b>	<b>6,501,325</b>	<b>160,496</b>	<b>301,170,814</b>	<b>68,322,436</b>	<b>435,353,637</b>
Madison	12,929,425	9,005,638	1,240,799	100,167,795	16,278,694	167,486,908	8,073,461	315,182,720
Milwaukee	1,710,429	270,488	35,585	1,328,450	0	3,138,047	721,651	7,204,650
Eau Claire	13,000	0	0	0	0	92,420	115,000	220,420
Green Bay	24,196	24,375	0	5,135	0	94,364	82,369	230,439
La Crosse	188,693	198,500	6,000	13,867	0	773,899	11,943	1,192,902
Oshkosh	856,941	416,562	0	0	0	241,294	0	1,514,797
Parkside	40,371	195,277	0	30,895	120,000	223,978	222,326	832,847
Platteville	209,022	56,644	0	129,283	0	48,417	0	443,365
River Falls	17,853	110,404	0	304,130	0	40,782	66,786	539,955
Stevens Point	1,689,034	224,779	0	100,355	0	870,202	0	2,884,370
Stout	353,526	3,734	0	525,584	0	0	22,150	904,994
Superior	0	0	0	0	0	88,677	0	88,677
Whitewater	10,370	14,994	0	1,354,475	44,180	11,351	573,128	2,008,497
Colleges	2,025	0	0	409,955	0	37,530	538,014	987,524
Extension	16,312,973	0	0	0	0	29,600	0	16,342,573
System-Wide	0	0	0	5,500	0	0	0	5,500
<b>Nonfederal Totals</b>	<b>34,357,857</b>	<b>10,521,394</b>	<b>1,282,384</b>	<b>104,375,423</b>	<b>16,442,874</b>	<b>173,177,469</b>	<b>10,426,828</b>	<b>350,584,229</b>

UNIVERSITY OF WISCONSIN SYSTEM  
 GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION  
 QUARTERLY REPORT & PRIOR-YEAR COMPARISON  
 FISCAL YEAR 2009-2010 - Second Quarter

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
<b>INCREASE (DECREASE)</b>								
Madison	(14,494,358)	3,761,620	1,112,547	(42,074,951)	3,705,427	132,899,586	(14,723,342)	70,186,531
Milwaukee	(539,414)	683,714	624,167	303,760	0	7,092,877	9,651,718	17,816,821
Eau Claire	357,658	336,844	0	0	1,300,000	(122,322)	1,445,330	3,317,510
Green Bay	252,812	330,000	0	112,034	1,500	(444,192)	887,978	1,140,133
La Crosse	250,069	(200,170)	(6,000)	906,841	0	383,700	977,209	2,311,649
Oshkosh	1,237,567	505,906	0	0	0	891,835	2,149,932	4,785,239
Parkside	2,006,203	50,404	0	(27,060)	(120,000)	(124,788)	(326,690)	1,458,069
Platteville	167,451	4,834	0	3,357,007	0	(90,123)	1,284,141	4,723,309
River Falls	31,092	(105,826)	0	251,284	0	42,331	860,679	1,079,560
Stevens Point	(387,217)	(122,607)	0	(44,671)	0	(557,197)	1,504,326	392,634
Stout	(172,139)	16,830	0	(16,140)	0	134,361	1,256,166	1,219,078
Superior	4,250	0	0	720,295	(160,496)	(2,340,644)	655,149	(1,121,446)
Whitewater	34,563	6,233	0	(552,909)	1,170	(40,887)	2,035,052	1,483,222
Colleges	6,114	(17,337)	1,000	70,182	0	(20,467)	2,769,890	2,809,383
Extension	(5,758,641)	0	0	0	0	(29,600)	0	(5,788,241)
System-Wide	140,000	119,872	0	208,113	0	(138,674)	0	329,311
<b>Totals</b>	<b>(16,863,991)</b>	<b>5,370,316</b>	<b>1,731,714</b>	<b>(36,786,215)</b>	<b>4,727,602</b>	<b>137,535,797</b>	<b>10,427,541</b>	<b>106,142,763</b>
Madison	(3,621,437)	3,640,011	0	1,508,419	0	129,265,473	(10,819,787)	119,972,679
Milwaukee	(517,287)	575,073	(6,000)	0	0	7,086,818	10,349,469	17,488,073
Eau Claire	366,301	327,451	0	0	0	(98,378)	1,559,401	2,154,775
Green Bay	287,408	720,021	0	11,118	0	(432,296)	973,846	1,560,097
La Crosse	(142,238)	(143,848)	0	906,742	0	577,184	989,153	2,186,993
Oshkosh	1,059,538	812,742	0	0	0	913,684	2,136,916	4,922,880
Parkside	1,894,991	87,513	0	(5,000)	0	10,954	(106,144)	1,882,314
Platteville	234,530	0	0	20,650	0	(72,000)	1,284,141	1,467,321
River Falls	41,461	0	0	328,665	0	53,637	921,465	1,345,228
Stevens Point	(35,277)	(6,967)	0	0	0	(443,038)	1,504,326	1,019,044
Stout	(7,392)	8,246	0	(92,139)	0	134,361	1,274,116	1,317,192
Superior	4,250	0	0	720,295	(160,496)	(2,540,364)	655,149	(1,321,166)
Whitewater	(61,662)	0	0	334,423	0	(47,732)	1,999,605	2,224,635
Colleges	0	(84,824)	0	81,854	0	15,063	2,793,225	2,805,318
Extension	(1,879,018)	0	0	0	0	0	0	(1,879,018)
System-Wide	0	79,872	0	150,000	0	(231,128)	0	(1,256)
<b>Federal Totals</b>	<b>(2,375,832)</b>	<b>6,015,291</b>	<b>(6,000)</b>	<b>3,965,027</b>	<b>(160,496)</b>	<b>134,192,238</b>	<b>15,514,881</b>	<b>157,145,109</b>
Madison	(10,872,921)	121,609	1,112,547	(43,583,370)	3,705,427	3,634,113	(3,903,555)	(49,786,149)
Milwaukee	(22,127)	108,640	630,167	303,760	0	6,059	(697,751)	328,748
Eau Claire	(8,643)	9,393	0	0	1,300,000	(23,944)	(114,071)	1,162,735
Green Bay	(34,596)	(390,021)	0	100,917	1,500	(11,896)	(85,869)	(419,964)
La Crosse	392,307	(56,322)	(6,000)	99	0	(193,484)	(11,943)	124,657
Oshkosh	178,029	(306,837)	0	0	0	(21,849)	13,016	(137,641)
Parkside	111,212	(37,109)	0	(22,060)	(120,000)	(135,742)	(220,546)	(424,245)
Platteville	(67,079)	4,834	0	3,336,357	0	(18,123)	0	3,255,988
River Falls	(10,369)	(105,826)	0	(77,381)	0	(11,306)	(60,786)	(265,668)
Stevens Point	(351,940)	(115,640)	0	(44,671)	0	(114,159)	0	(626,410)
Stout	(164,746)	8,584	0	75,999	0	0	(17,950)	(98,113)
Superior	0	0	0	0	0	199,720	0	199,720
Whitewater	96,225	6,233	0	(887,333)	1,170	6,845	35,447	(741,412)
Colleges	6,114	67,487	1,000	(11,672)	0	(35,530)	(23,335)	4,064
Extension	(3,879,623)	0	0	0	0	(29,600)	0	(3,909,223)
System-Wide	140,000	40,000	0	58,113	0	92,454	0	330,567
<b>Nonfederal Totals</b>	<b>(14,488,159)</b>	<b>(644,975)</b>	<b>1,737,714</b>	<b>(40,751,242)</b>	<b>4,888,098</b>	<b>3,343,559</b>	<b>(5,087,342)</b>	<b>(51,002,346)</b>

## BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.3. Capital Planning and Budget Committee -

Thursday, February 4, 2010  
1418 Van Hise Hall  
1220 Linden Drive  
Madison, Wisconsin

10:00 a.m. Annual Trust Funds Investment Forum – Room 1920

11:00 a.m. All Regents – Room 1820

- *Growth Agenda* Planning

12:00 p.m. Box Lunch

12:30 p.m. Capital Planning and Budget Committee – Room 1418

- Approval of the Minutes of the December 10, 2009 Meeting of the Capital Planning and Budget Committee
- UW Colleges: UW-Sheboygan - Authority to Release Approximately 27.6 Acres to Assist a Sheboygan County River Dredging Project and Accept the Return of the Land After Project Completion  
[Resolution I.3.b.]
- UW Colleges: UW-Richland - Authority to Amend the Lease Agreement to Include an Additional 1.4 Acre Parcel of Land and Improvements  
[Resolution I.3.c.]
- UW-Madison: Authority to Seek a Waiver of s. 16.855, Wis. Stats., to Allow Selection Through a Request for Proposal Process of a Construction Manager-at-Risk for the Wisconsin Institutes for Medical Research Project  
[Resolution I.3.d.]
- UW-Madison: Authority to Adjust the Scope and Budget of the Sterling Hall Renovation Project to Construct a Plasma Dynamo Facility and to Seek a Waiver of s. 16.855, Wis. Stats., under Provisions of s. 13.48(19), Wis. Stats., to Allow Single-Prime Bidding  
[Resolution I.3.e.]



- f. UW-Oshkosh: Approval of the Design Report of the Residence Hall Project and Authority to Construct the Project  
[Resolution I.3.f.]
- g. UW-Whitewater: Approval of the Design Report of the Fisher and Wellers Halls Renovation Project and Authority to Adjust the Budget and Construct the Project  
[Resolution I.3.g.]
- h. UW-Whitewater: Authority to seek a waiver of s. 16.855, Wis. Stats., to Allow for a Request for Proposal (RFP) process and Construct the Hyland Hall Solar Photovoltaic System Project  
[Resolution I.3.h.]
- i. UW System: Authority to Construct All Agency Maintenance and Repair Projects  
[Resolution I.3.i.]
- j. Report of the Associate Vice President
  - 1. Building Commission Actions
  - 2. Other
- k. Additional items which may be presented to the Committee with its approval
- l. Closed session for purposes of considering personal histories, as permitted by s. 19.85(1)(f), Wis. Stats., related to the naming of facilities at UW-Superior and UW-Whitewater

UW-Sheboygan - Authority to Release  
Approximately 27.6 Acres to Assist a Sheboygan  
County River Dredging Project and Accept the  
Return of the Land After Project Completion,  
UW Colleges

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW Colleges Chancellor and the President of the University of Wisconsin System, authority be granted to temporarily release approximately 27.57 acres from UW-Sheboygan's lease back to Sheboygan County, for the purpose of completing a Superfund cleanup project of the Sheboygan River.

# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action February 2010

1. Institution: The University of Wisconsin Colleges: UW-Sheboygan
2. Request: Authority to temporarily release approximately 27.57 acres from UW-Sheboygan's lease back to Sheboygan County, for the purpose of completing a Superfund cleanup project of the Sheboygan River.
3. Description and Scope of the Project: Sheboygan County has requested this transfer. This project involves the temporary removal of a 27.57 acre parcel from the UW-Sheboygan lease, so that control of the parcel can be returned to Sheboygan County.

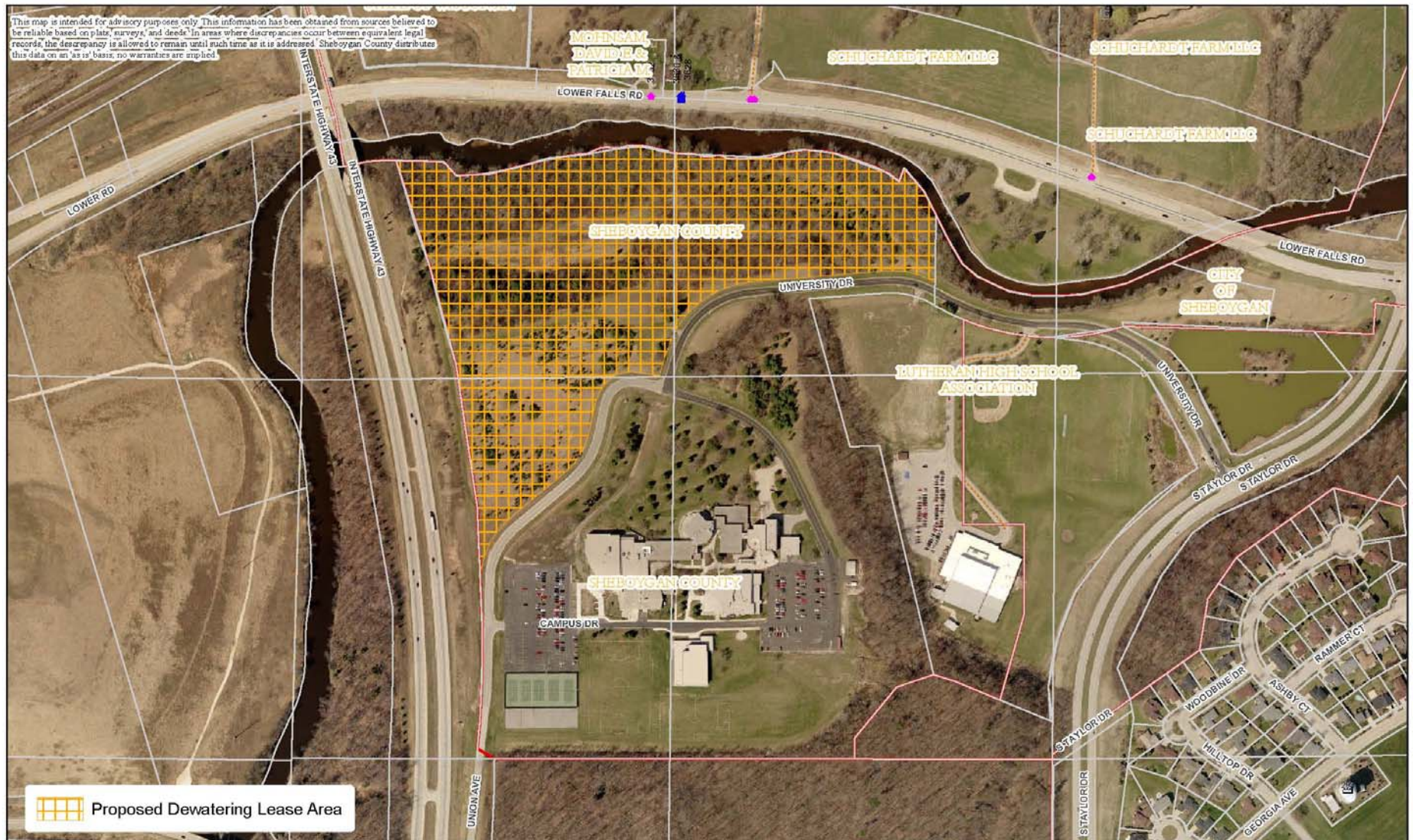
Sheboygan County is a leading partner in a Superfund project to remove polychlorinated biphenyl (PCB) contaminants from 14 miles of the Sheboygan River, the Sheboygan Harbor, and various floodplain locations along that path. PCB-containing dredge will be removed from these locations and transferred to a site where dewatering will occur. UW-Sheboygan is a very attractive location to temporarily stage a dewatering operation for this project due to its county ownership and its location as a mid-point along the 14-mile stretch of river. The dewatering process will include the use of geotubes and/or a temporary sediment pond.

UW-Sheboygan faculty and staff will be actively involved in the documentation and evaluation of the existing habitat, and in the contractor's restoration of the site to its intended condition. After the cleanup project and the land restoration of the parcel is completed, it will be returned to the university's lease.

4. Justification of the Request: The cleanup of the Sheboygan River and Sheboygan Harbor has been a goal of Sheboygan County, the city of Sheboygan, and the business and recreation community for decades. The successful completion of the project will have a profoundly positive impact on the quality recreational and economic activities in the Sheboygan County region. The UW-Sheboygan site provides the best opportunity to complete the project in a short timeframe and at the lowest cost to both the Superfund, and state and local taxpayers. Since 1962, Sheboygan County has been a valuable educational partner with the Board of Regents. Over \$8 million of county-funded facilities improvements have occurred since 2003.

The project also provides a very unique educational opportunity for UW-Sheboygan faculty and students to study and participate in an environmental cleanup project of this magnitude. Individuals from UW-Sheboygan, Sheboygan County, UW Colleges, UW System, and the contractor will work together to provide the educational opportunities, and ensure that the interests of UW-Sheboygan and the Board of Regents are met.

5. Budget: There is no university or state budget for this project. University officials will work with Sheboygan County to take traffic flow, signage, communication, and other measures necessary to minimize disruption to UW-Sheboygan operations. Funding for these measures will come from Sheboygan County and the project contractor.
6. Previous Action: None.



Prepared by the Sheboygan County Planning Department: 8/8/2009  
 G:\Department\Planning\MapDocs\County Parks\UW Sheboygan dewatering

# Proposed Dewatering Area at UW Sheboygan Section 28 - Town of Sheboygan

1" equals 300'

02/05/10

I.3.b.

UW-Richland - Authority to Amend the Lease  
Agreement to Include an Additional 1.4 Acre  
Parcel of Land and Improvements, UW Colleges

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW Colleges Chancellor and the President of the University of Wisconsin System, authority be granted to amend the lease agreement with Richland County to add approximately 1.44 acres and building improvements.

# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action February 2010

1. Institution: The University of Wisconsin Colleges: UW-Richland
2. Request: Requests authority to amend the lease agreement with Richland County to add approximately 1.44 acres and building improvements.
3. Description and Scope of the Project: This project involves the permanent addition of approximately 1.44 acres and a 4,400 GSF single-story building to the UW-Richland lease between the Board of Regents and Richland County.

This property is adjacent to the UW-Richland campus and was part of the original campus property. In 1976, the parcel was released to Richland County so it could construct and operate the Public Health Department building on the site. In 2009, Richland County acquired space in downtown Richland Center for the health department in closer proximity to other county offices. The parcel and building have been offered to UW-Richland for the university's use.

4. Justification of the Request: Richland County has no foreseeable use for the property and the building. When constructed in 1976, the building was designed to blend with the architecture of nearby campus buildings.

UW-Richland needs additional building space to serve growing enrollments. Two departments currently located on the main campus will be relocated to the newly-acquired building; the Art Department and Richland County UW Cooperative Extension. Richland County has funded approximately \$100,000 worth of building upgrades to prepare the building for a new use, including roof and window replacements, restroom renovations, remodeling, and building system upgrades. The building provides both departments with improvements that will enhance programming and access for students and other constituents.

5. Budget: There is no university or state budget for this project. UW-Richland is currently developing a request for funding moveable equipment and furnishings through the State Building Commission for the newly-acquired building.
6. Previous Action: None.

Authority to Seek a Waiver of s. 16.855, Wis. Stats., to Allow Selection Through a Request for Proposal Process of a Construction Manager-at-Risk for the Wisconsin Institutes for Medical Research Project, 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, authority be granted to waive s. 16.855, Wis. Stats., under the provisions of s. 13.48(19), Wis. Stats., to allow selection, through a Request for Proposal (RFP) process, of a Construction Manager-at-Risk for construction of the Wisconsin Institutes for Medical Research (WIMR) project, at a estimated budget of \$134,800,000 (\$67,400,000 General Fund Supported Borrowing [advance enumerated for release July 2011] and \$67,400,000 Gifts/Grant Funds).



THE UNIVERSITY OF WISCONSIN SYSTEM  
Request for  
Board of Regents Action  
February 2010

1. Institution: The University of Wisconsin–Madison
2. Request: Authority to waive s.16.855, Wis. Stats., under the provisions of s. 13.48(19), Wis. Stats., to allow selection, through a Request for Proposal (RFP) process, of a Construction Manager-at-Risk for construction of the Wisconsin Institutes for Medical Research (WIMR) project, at a estimated budget of \$134,800,000 (\$67,400,000 General Fund Supported Borrowing [advance enumerated for release July 2011] and \$67,400,000 Gifts/Grant Funds).
3. Description and Scope of Project: This facility is the completion of the second tower of the Wisconsin Institutes for Medical Research. The first phase completed was the original Interdisciplinary Research Complex which consists of five floors of wet laboratory space and two floors of imaging research facilities. The base floors for the second tower, which were also constructed during phase one, will be the structural base for an additional seven floors of wet laboratory space to be constructed in phase two. The building is located adjacent to the Clinical Sciences Center and the university's hospital, and is near the Waisman Center, which is a research center dedicated to the advancement of knowledge in human development. The heart of this new research complex will bring together unique human and technological resources in a facility in close proximity to outstanding inpatient and outpatient health care services, thereby allowing future occupants to pursue translational and interdisciplinary research.

This project will construct approximately 266,000 GSF to house the following programs and centers:

- McPherson Eye Research Institute
- Neuroscience Research Center
- The University of Wisconsin Carbone Cancer Center
- Regenerative Surgery
- Cardiovascular Research Center
- Primate Vivarium expansion

The university will seek authority to construct the project upon final determination of the budget through the design process and successful fundraising to meet the identified project scope.

4. Justification of the Request: Traditionally, general contractors were not involved with a project until the architect completed the design and the bidding occurred. However, during the past twenty years the industry's practice has changed and today a contractor frequently partners with a consulting architectural/engineering team from the early design phase through the completion of the project. These preconstruction services are of great benefit to research facility projects in particular because of the complexity and detailed mechanical and electrical requirements involved. For example, a contractor experienced in the construction

of research and advanced technology projects will be able to identify design issues that could have a negative impact on the budget, the constructability of the project, or the project schedule. Such a contractor would be able to suggest alternative design strategies or construction methods that would resolve these issues before the design phase is completed and construction begins. The first phase of construction successfully used this construction delivery method.

Design and construction of the Wisconsin Institutes for Medical Research center tower will require an unusual amount of planning and coordination. In addition, the proposed facility will be highly specialized and contain advanced technology, requiring a unique set of construction resources and knowledge. Most of its spaces will contain elaborate building systems that will require flexible spaces to easily accommodate future changes. Additionally, due to the anticipated National Institutes of Health (NIH) grant funding, a US Green Building Council Leadership in Energy and Environmental Design (USGBC LEED) certification is a design and construction requirement. Contractor expertise throughout the design process will allow these issues to be addressed. As the project moves into construction, the extent of a contractor's understanding of this project will allow for better coordination and will expedite construction.

Finally, the building site must provide a staging area for this construction project which is adjacent to the Clinical Sciences Center, the Health Sciences Learning Center, the American Family Children's Hospital, and the first tower of the Wisconsin Institutes for Medical Research (WIMR). Accommodations must be made to avoid disruptions to parking, traffic (both vehicular and pedestrian from adjacent parking lots), and ongoing operations such as animal transportation and package deliveries to the WIMR loading dock. It will be imperative to have a single point of responsibility to manage and coordinate all construction activities within this densely built and heavily utilized part of campus.

##### 5. Budget and Schedule:

Construction	\$102,700,000
Design/Fees	8,545,000
DSF Supervision	4,724,000
Contingency	15,414,000
Moveable Equipment	3,081,000
Percent for Art	<u>336,000</u>
Total	\$134,800,000

Design Report Approval	June 2010
Bid Date for Initial Packages	July 2010
Start Construction	August 2010
Substantial Completion	June 2013
Final Completion	September 2013

6. Previous Action:

August 22, 2008  
Resolution 9529

Recommended that the Wisconsin Institutes for Medical Research, Middle Tower project be submitted to the Department of Administration and the State Building Commission as part of the 2009-11 Capital Budget at a total cost of \$134,800,000 (\$67,400,000 General Fund Supported Borrowing [to be released July 2011] and \$67,400,000 Gifts/Grant Funds).

Authority to Adjust the Scope and Budget of the Sterling Hall Renovation Project to Construct a Plasma Dynamo Facility and to Seek a Waiver of s. 16.855, Wis. Stats., under Provisions of s. 13.48(19), Wis. Stats., to Allow Single-Prime Bidding, 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, authority be granted to (a) increase the scope and budget of the Sterling Hall Renovation project by \$1,246,000 Gift Funds and (b) seek a waiver of s. 16.855, Wis. Stats., under the provisions of s. 13.48(19), Wis. Stats., to allow single-prime bidding for the Plasma Dynamo Facility, for an estimated total cost of \$18,872,500 (\$16,500,000 General Fund Supported Borrowing, \$1,000,000 General Fund Supported Borrowing – All Agency UW Infrastructure, and \$1,372,500 Gift Funds).

# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action February 2010

1. Institution: The University of Wisconsin-Madison
2. Request: Authority to (a) increase the scope and budget of the Sterling Hall Renovation project by \$1,246,000 Gift Funds and (b) seek a waiver of s. 16.855, Wis. Stats., under the provisions of s. 13.48(19), Wis. Stats., to allow single-prime bidding for the Plasma Dynamo Facility, for an estimated total cost of \$18,872,500 (\$16,500,000 General Fund Supported Borrowing, \$1,000,000 General Fund Supported Borrowing – All Agency UW Infrastructure, and \$1,372,500 Gift Funds).
3. Description and Scope of Project: This request will increase the scope of the project and allow single prime bidding of this increased scope of work in order to construct a Plasma Dynamo Facility that will be used for research of magnetic fields. The lab will be constructed within existing space in the 1917 wing of Sterling Hall by removing a 21' by 24' section of floor structure between the basement and first floors to create a two-story space to house the plasma dynamo device and a power vault.

The plasma dynamo device measures 10' in diameter and will rest on an aluminum deck structure placed 8' to 9' above the basement floor level. A motorized, 5-ton capacity bridge crane will be used to place the plasma dynamo into position and assist the movement of this and other pieces of equipment within the first floor level. An aluminum stair will connect a deck level around the device to the basement floor below and to the level above occupied by the UW Physics department. A large window at the first floor level will allow observation of the high-bay space from the corridor.

The plasma dynamo and its related equipment will require a large amount of power and cooling. Upsizing the unit substation in the current Sterling Hall project from 500 KVA to 1000 KVA will meet the electrical need. Cooling will be provided by construction of a new chilled water line from the room to the campus chilled water line in Charter Street.

4. Justification of the Request: UW-Madison researchers were recently awarded a \$2,400,000 grant from the National Science Foundation to test properties of plasma gas and magnetic fields, and explore the self-generation of magnetic fields. In the cosmos, all celestial objects such as planets, stars, galaxies, and clusters of galaxies, have magnetic fields. With this grant, UW-Madison scientists will attempt to generate a magnetic field in precisely the same fashion as a planet or galaxy by building and operating a plasma dynamo to explore the self-generation of magnetic fields.

The plasma dynamo facility in Sterling Hall will house a three-meter diameter spherical stainless steel vessel that will contain the same kind of plasmas observed in space.

Plasmas, which are sometimes referred to as the fourth state of matter, are superheated gases in which the atoms that make up the gases have been stripped of all of their electrons, leaving behind a conductive, highly electrified collection of atomic nuclei and free electrons. This facility will be the first of its kind, and will contain the same type of plasmas observed in space, offering research opportunities for both graduate and undergraduate students.

Sterling Hall was chosen as a location for this project because of its proximity to Chamberlin Hall, which is located immediately south of and directly connected to Sterling Hall. This research will involve equipment and staff associated with the Madison Symmetric Torus, a device that is located in Chamberlin Hall and produces hot plasma for research in plasma physics and fusion power generation. The principal investigator of the plasma dynamo project has another research project in Chamberlin Hall and other staff, who support the plasma dynamo project, currently work in Sterling Hall.

The research requires a high bay space, and Sterling Hall provides the only suitable location in the central part of campus to create this type of space. In August 2009, \$126,500 of gift funding was administratively added to the Sterling Hall Renovation project to allow the architectural consultant for that project to prepare a budget and a design for the Plasma Dynamo project.

Although the Plasma Dynamo portion of work will be competitively bid, a waiver is requested in order to use single-prime bidding. The existing project is currently being constructed using five multiple prime contracts. Having as many as five additional contracts to administer would greatly complicate the coordination of the smaller Plasma Dynamo project with the main project and increase administrative costs. Single-prime bidding will simplify coordination between the two portions of work by adding only one additional contracting source. In addition, since the Plasma Dynamo project scope is relatively small compared to the main project, the use of a single-prime contract is more efficient for a project of that size.

5. Budget and Schedule:

	Original	Increase	Total
Construction	\$13,192,700	\$1,086,000	14,278,700
Haz. Mat. Abatement	255,000		255,000
Contingency	1,046,400	109,000	1,155,400
A/E Fees	* 2, 228,600	* N/A	2,228,600
DSF Management Fee	581,600	48,000	629,600
Plan Review/Other Fees/Testing	178,400		178,400
Movable Equipment	100,000		100,000
Percent for Art	43,800	3,000	46,800
Total Project Cost	\$17,626,500	\$1,246,000	\$18,872,500

\* \$126,500 in A/E fees for the Plasma Dynamo design work was added to the Sterling Hall Renovation project in August 2009.

Board of Regents/State Building Commission Approval	February 2010
Submission of Bid Documents for Final Review	September 2010
Bid Opening	October 2010
Start of Construction	December 2010
Substantial Completion	June 2011

6. Previous Action:

August 19, 2004 Resolution 8888	Recommended that the Sterling Hall renovation project be submitted to the Department of Administration and the State Building Commission as part of the UW System 2005-07 Capital Budget request at an estimated cost of \$34,000,000 General Fund Supported Borrowing. The project was subsequently enumerated at \$39,500,000 (\$17,500,000, 2005-07 General Fund Supported Borrowing, \$20,000,000, 2007-09 General Fund Supported Borrowing, and \$2,000,000 Gift Funds).
December 8, 2006 Resolution 9267	Granted authority to (a) reduce the project scope and budget of the Sterling Hall Renovation project from \$39,500,000 (\$17,500,000 2005-07 General Fund Supported Borrowing, \$20,000,000 2007-09 General Fund Supported Borrowing, and \$2,000,000 Gift Funds) to \$16,500,000 General Fund Supported Borrowing; (b) reallocate \$15,000,000 General Fund Supported Borrowing to the Biochemistry II project and increase the gift funding for the Biochemistry II project by \$10,000,000; and (c) reallocate \$6,000,000 General Fund Supported Borrowing to the West Campus Utility Improvements project.
February 8, 2008 Resolution 9433	Approved the Design report and granted authority to construct the Sterling Hall Renovation project at an estimated total project cost of \$17,500,000 General Fund Supported Borrowing (\$16,500,000 General Fund Supported Borrowing and \$1,000,000 General Fund Supported Borrowing – All Agency UW Infrastructure).

Approval of the Design Report of the  
Residence Hall Project and Authority to  
Construct the Project, UW-Oshkosh

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Oshkosh Chancellor and the President of the University of Wisconsin System, the Design Report of the UW-Oshkosh Residence Hall project be approved and authority be granted to construct the project at a total estimated cost of \$31,500,000 Program Revenue Supported Borrowing.



# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action February 2010

1. Institution: The University of Wisconsin-Oshkosh
2. Request: Approval of the Design Report of the UW-Oshkosh Residence Hall project and authority to construct the project at a total estimated cost of \$31,500,000 Program Revenue Supported Borrowing.
3. Description and Scope of Project: This project will demolish three residence halls (Breese, Nelson, and Clemans halls) and construct a 5-story suite style structure at a site that is located at the intersection of Algoma Boulevard and Elmwood Avenue on the UW-Oshkosh campus.

The project will provide for the construction of a 340 bed, 164,352 GSF residence hall that will house primarily sophomores and juniors. It will have five efficiency units to house community advisors, a three bedroom apartment for a hall director, and a two bedroom visitor apartment. There will be 46 suite style units that have four single occupancy bedrooms and 39 suite style units that have two double occupancy bedrooms. Both unit types will include a common living room, a kitchenette, and dedicated bathroom facilities.

Common use spaces in the building include a front desk, a lobby area, a computer lab, residence hall association offices, a residence hall government office, a group study area, a hall kitchen and dining area, a laundry, a recreation area, and meeting rooms. In addition, each residence floor will have a kitchen with a group lounge, and a gender neutral restroom. Each floor will have two lounges on each end. One floor will offer a quiet study lounge and the other floor will offer a more active lounge that will be connected with either the floor above or below to promote interaction between floors.

The building is designed to include sustainable design principles that emphasize energy efficiency, long term durability, and ease of maintenance, while still retaining a high degree of flexibility. A project goal is to obtain a minimum of a US Green Building Council Leadership in Energy and Environmental Design (LEED) Gold Certification.

4. Justification of the Request: In 2007-08, the Department of Residence Life contracted with a private consulting firm, the Scion Group, for a market study and the development of a comprehensive master plan for student housing. Their study and its recommendations were based on a thorough investigation of the surrounding available housing market and the UW-Oshkosh student housing system. The study showed that students desire a variety of housing configurations, with a focus on more privacy than the traditional residence hall room currently offers. The study also extensively evaluated how the existing residence halls could be modified and what type of living configurations could be achieved. It

determined that it was not feasible or cost effective to create suites from the existing housing stock. The addition of traditional single and double occupancy rooms in this new facility will address the needs for both variety and privacy. The new hall will serve as a tool for attracting and retaining upper division students in the residence halls.

The new residence hall is intended to replace three existing traditional, double occupancy room, residence halls that currently have a total occupancy of 632. The campus has a surplus of beds, thus allowing the new building to have a reduced capacity. Once completed, this building will be the only suite style residence hall on the campus.

The original scope of the project planned for a chiller to be included within the new building as well as additional space to add future chillers to serve expanded program revenue chilling needs in the future. It was determined that the existing chiller plant will provide adequate chilled water capacity to serve the needs of this new residence hall, therefore, the chiller and associated chiller space was eliminated. A chilled water line will be extended from Reeve Union as part of this project. The removal of the chiller and its associated space resulted in a project budget reduction.

5. Budget and Schedule:

Demolition	
Hazardous Materials Abatement	\$275,000
Deconstruction	551,000
New Construction	
Construction	23,005,000
DDC Controls	300,000
Total Construction	24,131,000
Contingency (7.5%)	1,810,000
A/E Fees	2,042,000
Other Fees	160,000
DSF Management Fee	1,038,000
Movable & Special Equipment	2,240,000
Percent for the Arts	79,000
Total Project Cost	\$31,500,000

Construction Cost/GSF            \$142  
 Project Cost/GSF                \$192

Demolition Schedule	Date
Submission of Documents for Final Review	January 2010
Bid Opening	April 2010
Start of Deconstruction	May 2010
Substantial Completion	September 2010

Construction Schedule	Date
Submission of Documents for Final Review	June 2010
Bid Opening	September 2010
Start of Construction	October 2010
Substantial Completion	May 2012
Start Commissioning	June 2012
Occupancy	July 2012

Fee Impact: Preliminary projections of academic year room rates for students living in the suites are estimated at \$3,800 per year. The existing rate for a non-improved double occupancy room on campus is \$2,500. No change in rates will occur to the remaining non-renovated residential halls

6. Previous Actions:

August 17, 2006  
Resolution 9225

Recommended that the UW-Oshkosh Residence Hall project be submitted to the Department of Administration and the State Building Commission as part of the UW System 2007-09 Capital Budget at an estimated total project cost of \$34,000,000 Program Revenue Supported Bonding. The project was subsequently enumerated at \$34,000,000 Program Revenue Supported Borrowing.

Approval of the Design Report of the Fisher and  
Wellers Halls Renovation 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 of the Fischer and Wellers Halls Renovation project be approved and authority be granted to (a) increase the budget by \$1,921,000 Program Revenue-Cash and (b) construct the project at a total cost of \$10,505,000 (\$8,584,000 Program Revenue Supported Borrowing and \$1,921,000 Program Revenue-Cash).

# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action February 2010

1. Institution: The University of Wisconsin-Whitewater
2. Request: Approval of the Design Report of the Fischer and Wellers Halls Renovation project and authority to (a) increase the budget by \$1,921,000 Program Revenue-Cash and (b) construct the project at a total cost of \$10,505,000 (\$8,584,000 Program Revenue Supported Borrowing and \$1,921,000 Program Revenue-Cash).
3. Description and Scope of Project: This project will renovate Fischer Hall, which is a 4-story plus basement (24,492 ASF/41,825 GSF) residence hall that was constructed in 1963, and Wellers Hall, which is a 4-story plus basement (33,850 ASF/53,122 GSF) residence hall that was constructed in 1966. This project will also construct building additions totaling 4,831 GSF. External shaft elevators will be added to each building. Fischer Hall will include two additions, the first of which will provide an expanded bathroom (totaling 2,450 GSF). The lower level of this addition will contain mechanical space for the heat recovery of the bathroom exhaust. The second addition for Fischer will provide a new entry and elevator (1,089 GSF). This project will provide Wellers Hall with an elevator and entry addition (1,292 GSF). The lower level of that hall will receive minor remodeling to create a more efficient use of available space.

Renovation work in both buildings will improve existing rooms, renew building finishes, and enlarge and reconfigure restrooms. It will replace the mechanical, electrical, and plumbing systems; windows; and exterior doors. The project will address deferred maintenance and health/safety code compliance issues and will add fire sprinklers throughout. Both buildings, including their main entries, resident rooms, doorways, and restroom facilities will be brought into compliance with campus accessibility and universal design standards.

Floor lounges and lower level meeting spaces will be air conditioned, and improved ventilation systems will be provided throughout both buildings. Chilled water will be brought to Fischer Hall to cool lounge spaces. This cooling method will be more energy efficient in the long term than the use of multiple, mini stand-alone rooftop cooling units. Heat recovery technology will be employed to reclaim heat from the bathroom exhaust. New energy efficient lighting will be installed.

4. Justification of the Request: The UW-Whitewater Department of Residence Life maintains 12 on-campus student residence halls. All of these buildings were constructed in 1967 or earlier and, although they were well maintained, are now in need of capital renewal. The department developed a long range plan that calls for the renovation of one existing

residence hall each year until all of these facilities have been renewed. This project will renovate the first two buildings as part of that plan.

The budget increase is due to three factors. The first will incorporate energy conservation measures such as the addition of space to the lower level of the bathrooms to house a heat recovery system for the bathroom exhaust. The second is the addition of space to accommodate the expansion of the bathrooms in Fischer Hall. The project originally requested the removal of 16 beds to facilitate an expansion of these rooms. The addition allows residence life to keep the revenue of 16 beds that would have been lost without the addition. The incremental cost amortizes with the revenue of the 16 beds. The third factor results from a Wisconsin Asbestos and Lead Abatement Management System (WALMS) survey, which was completed during the design phase and required an increase from \$100,000 to \$250,000 in the project budget for the removal of hazardous materials.

5. Budget and Schedule:

Budget	%	Cost
Construction		\$8,666,000
Hazard Material Abatement		250,000
A/E Fee	7.2%	526,000
Contingency	7.2%	624,000
DSF Management Fee	4.0%	382,000
Other Fees		31,000
Percent for Art	0.025%	26,000
Total Project Cost		\$10,505,000

Schedule:

Final Review Begins	May 2010
Bid Opening Date	July 2010
Start of Construction - Wellers	October 2010
Start of Construction - Fischer	June 2011
Substantial Completion - Wellers	June 2011
Substantial Completion - Fischer	March 2012

Fee Impact: The projected rates of the double-occupancy rooms for 2010-11 are \$3,152/year. Starting in 2011-12, it is anticipated that all room rates will increase from approximately 3.00% to 6.00% each year for 12 successive years to fund the full residence hall renovation program.

6. Previous Action:

August 22, 2008  
Resolution 9529

Recommended that the Fischer and Wellers Halls Renovation project be submitted to the 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 \$8,584,000 Program Revenue Supported Borrowing. The project was subsequently enumerated at that amount.

Authority to Seek a Waiver of s. 16.855, Wis. Stats., to Allow for a Request for Proposal (RFP) Process and Construct the Hyland Hall Solar Photovoltaic System 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, authority be granted to seek a waiver of s. 16.855, Wis. Stats., to enable the Division of State Facilities (DSF) to use the Request for Proposal (RFP) process for a Hyland Hall Solar Photovoltaic System Project and authority to construct the project for a total cost of \$296,200 (\$150,000 Grant Funds and \$146,200 Institutional Funds).



# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action February 2010

1. Institution: The University of Wisconsin–Whitewater
2. Request: Authority to seek a waiver of s. 16.855 Wis. Stats., to enable the Division of State Facilities (DSF) to use the Request for Proposal (RFP) process for a Hyland Hall Solar Photovoltaic System Project and authority to construct the project for a total cost of \$296,200 (\$150,000 Grant Funds and \$146,200 Institutional Funds).
3. Description and Scope of Project: This project installs a 30 kW photovoltaic (PV) array on the roof of Hyland Hall and connects it to the building electrical distribution system. Project work includes the purchase of equipment and a PV panel support structure, the installation of panels and ancillary equipment, the connection of electrical wiring, and the sealing of roof penetrations to satisfy the roof system warranty. Equipment to be purchased includes batteries and a charging system, inverters for conversion of DC to AC power, and metering equipment. An electronic display of real time energy use, which is commonly called an energy dashboard, will be installed in a public location in the facility. Energy metering will also provide information to the campus data network to allow publishing of real time energy data on campus web sites.
4. Justification of the Request: In April 2009, a solar site assessment was completed for the UW-Whitewater campus. The assessment indicated that the Hyland Hall roof was an appropriate site for the installation of a solar photovoltaic system. Specifically, the assessment indicated that a 1,200 square foot array could generate approximately 37,900 kilowatt-hours per year.

The Hyland Hall solar PV system will be situated in a highly visible location on the campus to demonstrate the efforts taken to achieve the goals of Executive Order 145 and to provide a showcase for WE Energies, Focus on Energy, and Conserve Wisconsin in their promotion of renewable energy initiatives and energy conservation. The solar array installation will also serve to demonstrate dedication to the American College and University Presidents' Climate Commitment, which is a network of colleges and universities that have made institutional commitments to eliminate new greenhouse gas emissions from specified campus operations. Further, the Hyland Hall solar array installation and electrical production data will be displayed on the UW-Whitewater College of Business and Economics websites. The energy dashboard will be used to highlight university sustainability efforts and raise public awareness about energy conservation. This project advances the academic mission of UW-Whitewater and supports the university's efforts to become more sustainable and environmentally conscious in regard to instruction and operations.

The Division of State Facilities has issued an RFP for PV system projects at UW-Milwaukee, UW-Parkside, and State Fair Park. DSF can complete this project in a shorter time frame and at a lower design fee than a private consultant implementing the project using the typical design-bid-build process. The campus would like the PV array to be installed by September of 2010.

Implementation of this project will result in an anticipated annual energy cost savings of approximately \$4,361 with a simple payback of the university's investment in about 28 years. This assumes that the project cost will be reduced by two grants - a Focus on Energy grant of \$50,000 and a WE Energies Grant of \$100,000 - and that the contingency funding will not be used.

5. Budget and Schedule:

Budget	%	Cost
Construction		\$250,000
Contingency	10%	25,000
A/E Fees	4%	10,200
DSF Mgmt. Fee	4%	11,000
Total Project Cost		\$296,200

Schedule	
Project Approval	February 2010
RFP Development	March 2010
RFP Opening	April 2010
Construction Start	June 2010
Substantial Completion	August 2010
Project Close	September 2010

6. Previous Action: None.

Authority to Construct All Agency Maintenance  
and Repair Projects, UW System

**REVISED**

**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 \$4,440,000 (\$1,530,500 General Fund Supported Borrowing; \$364,500 Program Revenue Supported Borrowing; \$535,000 Gifts and Grants; and \$2,010,000 Program Revenue-Cash).

## THE UNIVERSITY OF WISCONSIN SYSTEM

Request for  
Board of Regents Action  
February 2010

1. Institution: The University of Wisconsin System
2. Request: Authority to construct various maintenance and repair projects at an estimated total cost of \$4,440,000 (\$1,530,500 General Fund Supported Borrowing; \$364,500 Program Revenue Supported Borrowing; \$535,000 Gifts and Grants; and \$2,010,000 Program Revenue-Cash).

## FACILITIES MAINTENANCE &amp; REPAIR

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	Z450	TOTAL
GBY	10A1V	Univ Village Apts Roof Repl	\$ -	\$ -	\$ 306,800	\$ -	\$ -	\$ 306,800
MSN	08E2T	Adams/Tripp Hall HVAC/VAT Repl (Increase)	\$ -	\$ -	\$ 345,000	\$ -	\$ -	\$ 345,000
MSN	08C2R	HC White Concrete Membrane Repr (Increase)	\$ -	\$ -	\$ 289,500	\$ -	\$ -	\$ 289,500
STP	10A1T	DeBot Center Roof Repl	\$ -	\$ 364,500	\$ -	\$ -	\$ -	\$ 364,500
FM&R SUBTOTALS			\$ -	\$ 364,500	\$ 941,300	\$ -	\$ -	\$ 1,305,800

## PROGRAMMATIC REMODELING &amp; RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	Z450	TOTAL
MIL	10A2Y	GLRF SBA/USDA Lab Rmdl	\$ -	\$ -	\$ -	\$ 535,000	\$ -	\$ 535,000
PR&R SUBTOTALS			\$ -	\$ -	\$ -	\$ 535,000	\$ -	\$ 535,000

## UTILITIES REPAIR &amp; RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	Z450	TOTAL
GBY	10A2X	Lab Sci/Wood Hall Lot Impr	\$ -	\$ -	\$ 650,000	\$ -	\$ -	\$ 650,000
MSN	09B2S	120/10-121/10 Campus Dr Util Renv	\$ 1,321,300	\$ -	\$ 372,700	\$ -	\$ -	\$ 1,694,000
PKS	09K2B	Htg & Chill Plnt Safety Impr	\$ 209,200	\$ -	\$ 46,000	\$ -	\$ -	\$ 255,200
UR&R SUBTOTALS			\$ 1,530,500	\$ -	\$ 1,068,700	\$ -	\$ -	\$ 2,599,200

	GFSB	PRSB	CASH	GIFT/GRANT	Z450	TOTAL
FEBRUARY 2010 TOTALS	\$ 1,530,500	\$ 364,500	\$ 2,010,000	\$ 535,000	\$ -	\$ 4,440,000

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

**Facilities Maintenance and Repair Requests**

GBY - University Village Apartments Roof Replacement (\$306,800): This project replaces 72,000 SF of roof coverings and completes all other associated ancillary work to maintain the building envelope integrity and prevent damage to the eight student residential housing units and contents. This project replaces the roofing on each two-story University Village Apartment units 101 through 108. Each roof is of identical shape and size, approximately 9,000 SF/each. Project work includes removing roof shingles, felt, gutters and downspouts, fascia and soffits, and the roofing underlayments as necessary. The new roofing system will be a 30-year dimensional shingle with new aluminum fascia, soffits, and downspouts and gutters.

The roof sections are more than 26 years old. Recent site inspections by UW-Green Bay Physical Plant staff and DSF determined that these roof sections require replacement to address current leaking, weathered and worn, and/or damaged sections. The shingles and downspouts are in poor condition. These repairs will extend the life of the roof sections and prevent moisture from penetrating the building envelope.

MSN - Adams Hall/Tripp Hall HVAC System/Floor Tile Replacement (\$345,000 increase for a total project cost of \$2,956,000): This request increases the project budget to match recent bid results. The project budget increase is needed to complete the originally approved project scope and intent. The cost of the HVAC controls are significantly higher than the original estimate.

MSN - Helen C. White Library Concrete Membrane Replacement (\$289,500 increase for a total project cost of \$513,800): This project completes structural repairs and the recoating of the traffic membrane on a 9-inch concrete two-way parking slab for the north half of the parking ramp, which is located below Helen C. White Hall. This project repairs isolated spalled areas in the structural slab and at column bases that are caused by the corrosion of the reinforcing steel, the isolated delamination of the topping slab, and the underside of the lower level slab. Project work includes recoating approximately 23,100 SF of the first floor ramp; repairing 2,500 SF of concrete; repairing 350 SF of structural underside slab on the lower level; repairing seven drain pipes; and installing new bollards to protect the plumbing piping.

The structural concrete slab has numerous areas on the underside where the material has spalled or delaminated and has begun to separate. The underside of the slab shows evidence that water has leaked through cracks in the floor. Many of the spalled areas were previously patched, but it appears those repairs were not done correctly. The materials and surface areas were not prepared or treated prior to the installation of new concrete materials. Approximately 60% of the previous patches are considered defective. Repairs to the structural slab are required to prevent further corrosion and structural integrity.

Some of the storm drain piping and deck drains have significant exterior corrosion and should be replaced. Several of the cast iron drain risers are damaged, should be replaced, and should have new protective barriers installed to prevent future damage.

STP - DeBot Dining Center Roof Replacement (\$364,500): This project replaces roof coverings and completes all other associated ancillary work to maintain the building envelope integrity and prevent damage to the building and contents. This project replaces the entire 32,650 GSF built-up bituminous roofing system with a new rubber membrane system. Project work includes removing the built-up roof and gravel roofing system to expose the deck and providing a fully-adhered rubber membrane over tapered insulation with a minimum R-value of R-24. Roofing work must be coordinated around electrical conduits that run across the roofing surface, mechanical equipment curbs, and other roof penetrations.

This roof is more than 21 years old. Recent site inspections by the Physical Plant staff and core sampling performed under the direction of DSF determined that the entire roof requires replacement to address current leaking, weathered and worn, and/or damaged sections. These repairs will extend the life of the roof sections and prevent moisture from penetrating the building envelope. Additional insulation will be added to increase the energy conservation performance of the building. The DeBot Dining Center will be closed during the summer of 2010, therefore, it will be an optimum time to complete this project.

### **Programmatic Remodeling and Renovation**

MIL - Great Lakes Research Facility SBA/USDA Laboratory Remodeling (\$535,000): This project remodels approximately 1,645 SF of underutilized laboratory suite space to expand the partnerships with the Small Business Administration (SBA) and United States Department of Agriculture (USDA). Project work includes converting Laboratory 144 and Storage Room 179J into new, shared laboratory space through various interior infrastructure renovations and finish upgrades.

In Laboratory 144 (895 SF), the casework will be reconfigured, the laboratory utilities will be updated, a new sink will be provided, and additional emergency power distribution will be extended and installed. In Storage Room 179J (750 SF), the building HVAC system, electrical power and lighting, and plumbing systems will be extended to and installed in this room. The wood strip flooring and concrete subflooring will be removed and replaced with a new sloping concrete floor to provide drainage. New laboratory casework and services, fume hoods, sinks, and emergency shower and eyewash stations will be installed. All architectural finishes will be replaced and upgraded to match other building laboratory spaces.

The new laboratory spaces have similar functions and space requirements, so the required remodeling efforts have been combined to realize design and construction efficiencies. All the new laboratory spaces will be shared to maximize equipment and space utilization. The SBA provided funding to initiate the first phase of development for a Wisconsin water industries business accelerator. This space is intended to provide shared infrastructure, with dedicated facilities for early-stage enterprises and operational support that will move start-up companies through the difficult early stages of formation. Funding was received from the USDA to expand current collaborative work between the School of Freshwater Sciences and USDA scientists in the areas of aquaculture and eco-system management. Additional and improved laboratory space is required to perform this work.

### **Utilities Repair and Renovation Requests**

GBY - Lab Sciences/Wood Hall Parking Lot Improvements (\$650,000): This project redesigns and reconstructs two asphalt parking lots, which total 10.9 acres and contain 1,183 parking stalls. Project work will provide routine maintenance, improve storm water management, and improve vehicular circulation. The asphalt material will be milled and pulverized. Work also includes repairing and replacing concrete curb and gutter sections, modifying storm water inlets and catch basins, replacing pavement markings and striping,

and replacing lighting with new induction type fixtures. Several islands in the Wood Hall parking lot will be removed. Each lot will be redesigned to maximize the number of parking stalls provided without losing functionality.

The Laboratory Science parking lot (631 stalls) was constructed as part of the first campus site development plan in 1969. This parking lot was resurfaced in 1989 and was maintained with grouting and crack sealing. Lighting will be improved with new induction fixtures. The Wood Hall parking lot (552 stalls) was constructed as part of the initial campus site development in 1970. This parking lot was never resurfaced, but was maintained through grouting and crack sealing, and patching potholes and damaged sections of asphalt.

MSN - Pits 120/10 to 121/10 Campus Drive Utility Renovation (\$1,694,000): This project replaces the campus central steam and condensate piping and installs new central chilled water and compressed air piping under Campus Drive that serves the 1500 block of University Avenue. A 200 LF length of 60-inch steel casing pipe will be installed under Campus Drive and the adjacent railroad tracks next to Pit 120/10 and Pit 121/10. A 42-inch concrete carrier pipe will be inserted inside the steel casing pipe; and 8-inch steam piping, 4-inch condensate piping, and 4-inch compressed air piping will be installed inside the concrete carrier pipe to replace the existing services. The existing steam piping under Campus Drive will be abandoned in place and stabilized with engineered fill after the new piping installation has been completed to avoid any potential settlement due to a structural failure of the existing piping. Two 215 LF lengths of 24-inch steel casing pipes will be installed under Campus Drive and the adjacent railroad tracks and 250 LF of both 16-inch chilled water supply and chilled water return pipes will be installed inside the 24-inch steel casing pipe. The chilled water lines will be capped at both ends to allow for future extension to the 1500 block of University Avenue.

Project work includes constructing one new steam pit, enlarging Pit 120/10, constructing 20 LF of new concrete box conduit, insulating and waterproofing the new concrete box conduit section(s), boring a 60-inch conduit under Campus Drive and the adjacent railroad tracks, and installing support steel for the new piping. Electrical service will be extended and new electrical lighting, power, and sump pump equipment including controls will be installed in the expanded Pit 120/10. New sump pump alarms will also be provided. The compressed air piping will be connected to the services located in Pit 120/10 and extended through the concrete box conduit to the new pit on the south side of Campus Drive where it will be capped for future extension. Temporary steam and condensate piping will be installed to accommodate the proposed schedule and phasing of project work and minimize the disruption of services to campus buildings. All areas disturbed by project work will be fully restored, including roadways and associated gutters, turf, landscaping features, and site structures.

The 60-year-old steam package is deteriorating and failure is imminent. The shell of the package has rusted through on the south end. These utilities need to be replaced to provide a reliable source of steam to the buildings in this area of campus. The pipes will be sized to serve the existing buildings and the future Wisconsin Energy Institute. Inefficient maintenance-intensive unitary air-conditioning systems and chillers are now used in the

buildings along Old University Avenue. Connecting these buildings to the central campus chilled water system will result in more economical and efficient operations. Extending central compressed air services will eliminate the need to operate independent air compressors in multiple buildings, which will save operational maintenance and labor costs.

PKS - Heating & Chilling Plant Safety Improvements (\$255,200): This project improves safety conditions at the loading dock/material handling area, main plant floor, and mezzanine deck level in the Heating & Chilling Plant.

This project replaces the loading dock door and threshold assembly with units substantial enough to withstand the severe service and weather conditions and constructs a new shed roof over the loading dock platform to prevent snow accumulation and subsequent corrosion of the doors, the adjacent structural steel, the deck grating, and the grating supports that is caused by de-icing agents. Project work also includes repairing the interior metal deck grating, deck grating frame, and associated concrete structural flooring in the materials receiving and handling area and installing a new counter-balanced access hatch in the materials handling area to allow safe and efficient movement of large items between floors.

New catwalks and platforms will be constructed at the rear steam drum passageways for Boilers 1 and 2, from the Boiler 2 platform to the Boiler 3 platform, and from the Boiler 3 platform to the Boiler 4 platform, including a landing area that will be utilized for stack damper operation and stairway access. The project constructs a new quarter ton monorail, including a complete lifting apparatus, which will be used to transport equipment, materials, and tools from the second floor deaerator operating area to the mezzanine deck.

The loading dock platform does not have a roof and faces north. Substantial amounts of de-icers must be used to control snow and ice accumulation for safety purposes and to accommodate the moving of equipment and supplies across the loading dock into and out of the building. This practice has resulted in the extreme deterioration of the loading dock doors, a smaller access door, the adjacent structural assemblies, and the interior deck grating supports. The loading dock doors were replaced under Project 96184, but are of substandard construction, and most of the door hardware has fallen off. The deck grating just inside the dock door is normally removed to allow large equipment and palletized goods to be moved into the basement area. The cumbersome and heavy nature of these gratings creates a safety hazard since they must be manually removed over an unprotected opening that is 16 feet above the basement floor. Each of the 6 grates are 12-feet by 2-feet wide and weigh approximately 125 pounds.

The boiler access catwalks were installed under Project 96184, but they only provide partial access to the boilers. Access to these catwalks is by vertical ladder, and transporting equipment, personnel, tools, and repair parts to these platforms is a safety hazard. Rapid response to problems or quick evacuation resulting from equipment failures is not possible. Some of the access platforms have restricted entry points and require personnel to crawl underneath a live uninsulated steam pipe to enter and exit the platform. At the Boiler 3 and 4 stack damper area, access to damper handles is restricted and unsafe. The mezzanine



deck has limited ladder access for equipment, repair parts, tools, and plant personnel. Heavy equipment must be manually hoisted up to the area over safety handrails, which creates safety concerns due to the potential of falling and the awkward lifting practices required.

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 .....	\$ 1,530,500
Program Revenue Supported Borrowing .....	364,500
Program Revenue Cash.....	2,010,000
Gifts and Grants Funding.....	<u>535,000</u>
Total Requested Budget ..	\$ 4,440,000

6. Previous Action:

06/06/08	The Board of Regents previously approved MSN - Adams
Resolution 9513	Hall/Tripp Hall HVAC System/Floor Tile Replacement at an
	estimated total cost of \$2,611,000 Program Revenue Supported
	Borrowing.

# BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

Friday, February 5, 2010  
1820 Van Hise Hall  
1220 Linden Drive  
Madison, Wisconsin

9:00 a.m.

## II.

1. Calling of the roll
2. Approval of the minutes of the December 10 and 11, 2009 meeting
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. Report and approval of actions taken by the Education Committee
6. Report and approval of actions taken by the Business, Finance, and Audit Committee
7. Report and approval of actions taken by the Capital Planning and Budget Committee
8. Board of Regents Diversity Awards
9. Communications, petitions, and memorials
10. Unfinished or additional business
11. Move into closed session to consider appointment of a UW-Fond du Lac campus executive officer and dean, as permitted by s. 19.85(1)(c), *Wis. Stats.*; to consider UW-Milwaukee and UW-River Falls honorary degree nominations, as permitted by s. 19.85(1)(f), *Wis. Stats.*; to consider personal histories, as permitted by s.19.85(1)(f), *Wis. Stats.*, related to naming facilities at UW-Superior and UW-Whitewater; to consider salary approval for an interim chancellor for UW Colleges and UW-Extension, as permitted by s. 19.85(1)(c), *Wis. Stats.*; to consider a faculty member request for review of a UW-Stout personnel 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 s. 19.85(1)(g), *Wis. Stats.*

*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 B. Bartell  
Mark Bradley  
Eileen Connolly-Keesler  
Judith Crain  
Danae D. Davis  
Michael Falbo  
Brent Smith  
Michael J. Spector

### **Business, Finance, and Audit Committee**

Brent Smith (Chair)  
Eileen Connolly-Keesler (Vice Chair) (Audit Liaison)  
Michael J. Falbo  
David Walsh  
Aaron Wingad  
Betty Womack

### **Education Committee**

Judith Crain (Chair)  
José Vásquez (Vice Chair)  
Mark Bradley  
Danae Davis  
Tony Evers

### **Capital Planning and Budget Committee**

Jeffrey B. Bartell (Chair)  
John Drew (Vice Chair)  
Stan Davis  
Tom Loftus  
Kevin Opgenorth

### **Personnel Matters Review Committee**

Michael J. Spector (Chair)  
Judith V. Crain  
Danae D. Davis  
John Drew

### **Committee on Student Discipline and**

#### **Other Student Appeals**

Brent Smith (Chair)  
Kevin Opgenorth  
Michael J. Spector  
Betty Womack

## **OTHER COMMITTEES**

### **Liaison to Association of Governing Boards**

Eileen Connolly-Keesler

### **Hospital Authority Board - Regent Members**

Judith Crain  
Michael J. Spector  
David G. Walsh

### **Wisconsin Technical College System Board**

José F. Vásquez, Regent Member

### **Wisconsin Educational Communications Board**

Judith V. Crain, Regent Member

### **Wisconsin Partnership Program**

Roger E. Axtell, Regent Liaison

### **Higher Educational Aids Board**

Jeffrey Bartell, Regent Member

### **Research Park Board**

David G. Walsh, Regent Member

### **Teaching Excellence Awards**

Danae D. Davis (Chair)  
Jeffrey B. Bartell  
John Drew  
José F. Vásquez  
Betty Womack

### **Academic Staff Excellence Awards Committee**

Eileen Connolly-Keesler (Chair)  
John Drew  
Kevin Opgenorth  
Brent Smith  
José F. Vásquez  
Betty Womack

### **Diversity Awards Committee**

José Vásquez (Chair)  
Danae Davis  
Kevin Opgenorth  
Aaron Wingad  
Betty Womack

### **Special Regent Committee for UW-Platteville Chancellor Search**

Thomas A. Loftus (Chair)  
Michael Falbo  
Kevin Opgenorth  
Betty Womack

### **Special Regent Committee for UW-Stevens Point Chancellor Search**

Judith V. Crain (Chair)  
Mark J. Bradley  
Eileen Connolly-Keesler  
José Vásquez

## 2010 REGENT MEETING SCHEDULE

February 4 and 5, 2010: In Madison

April 8 and 9, 2010: Hosted by UW Colleges and UW-Extension at UW-Fond du Lac

May 6, 2010: One Day Meeting in Madison

June 10 and 11, 2010: At UW-Milwaukee (Annual Budget)

August 19 and 20, 2010: In Madison (Biennial Budget)

October 7 and 8, 2010: At UW-Oshkosh

November 4, 2010: One Day Meeting in Madison

December 9 and 10, 2010: Hosted by UW-Madison