



**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: March 31, 2011

TO: Each Regent

FROM: Jane S. Radue *JSR*

**PUBLIC MEETING NOTICE**

Meetings of the UW System Board of Regents and Committees to be held at Ullsvik Hall,  
University of Wisconsin-Platteville, 1 University Plaza, Platteville, WI 53818  
on April 7 and 8, 2011

**Thursday, April 7, 2011**

- 10:00 a.m. All Regents -- Harry & Laura Nohr Gallery
1. "Celebrate UW-Platteville," presented by Chancellor Dennis J. Shields
  2. 2011-13 Biennial Budget Update
    - Wisconsin Idea Partnership
    - 2011-13 Capital Budget
- 12:00 p.m. Luncheon - Robert I. Velzy Commons
- 1:00 p.m. Education Committee – Harry & Laura Nohr Gallery
- 1:00 p.m. Business, Finance & Audit Committee – Robert I. Velzy Commons North
- 1:00 p.m. Capital Planning & Budget Committee – Robert I. Velzy Commons South

**Friday, April 8, 2011**

9:00 a.m. All Regents -- Harry & Laura Nohr Gallery

*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, April 7, 2011 at 10:00 a.m. until approximately 12:00 p.m., and Friday, April 8, 2011 at 9:00 a.m. until approximately 12:00 p.m.*

*March 31, 2011*

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1. Education Committee -

April 7, 2011  
Ullsvik Hall  
University of Wisconsin-Platteville  
Platteville, Wisconsin

10:00 a.m. All Regents – Harry & Laura Nohr Gallery, Ullsvik Hall

1. “*Celebrate UW-Platteville*,” presented by Chancellor Dennis J. Shields
2. 2011-13 Biennial Budget Update
  - Wisconsin Idea Partnership
  - 2011-13 Capital Budget

12:00 p.m. Lunch - Robert I. Velzy Commons, Ullsvik Hall

1:00 p.m. Education Committee – Harry & Laura Nohr Gallery, Ullsvik Hall

a. Consent Agenda:

1. Approval of the Minutes of the December 9, 2010, and the February 10, 2011, Meetings of the Education Committee;
2. Approval of requests to Trustees of the William F. Vilas Trust Estate for support of scholarships, fellowships, professorships, and special programs in arts and humanities, social sciences and music;  
[Resolution I.1.a.(2)]
3. UW-Madison: Bachelor of Arts/Bachelor of Science in Environmental Sciences;  
[Resolution I.1.a.(3)]
4. UW-Madison: Bachelor of Arts/Bachelor of Science in Environmental Studies;  
[Resolution I.1.a.(4)]
5. UW-Platteville: Bachelor of Science and Bachelor of Arts in Microsystems and Nanotechnology Engineering;  
[Resolution I.1.a.(5)]
6. UW-Stout: Bachelor of Science in Health, Wellness and Fitness;  
[Resolution I.1.a.(6)]
7. UW-Milwaukee: Master of Science in Public Health;  
[Resolution I.1.a.(7)]
8. UW-Eau Claire: Revised Faculty Personnel Rules;  
[Resolution I.1.a.(8)]
9. UW-Madison: Revised Faculty Personnel Rules.  
[Resolution I.1.a.(9)]

b. Regent Policy Document Review:

1. RPD 17-9 Implementation Plan for *Design for Diversity*;  
[Resolution I.1.b.(1)]

2. RPD 17-10 University of Wisconsin System *Plan 2008: Educational Quality through Racial and Ethnic Diversity*;  
[Resolution I.1.b.(2)]
  3. RPD 28-1 Report of Regent Study Group on the Future of the University of Wisconsin System;  
[Resolution I.1.b.(3)]
  4. RPD 28-2 Academic Restructuring: Partners in the Process;  
[Resolution I.1.b.(4)]
  5. RPD 28-3 Report of the Study of the University of Wisconsin System in the 21<sup>st</sup> Century.  
[Resolution I.1.b.(5)]
- c. Presentation by UW-Platteville – “Education through Applied Research: Devices for Special Needs Students.”
  - d. Academic Quality in the UW System through *Liberal Education and America’s Promise* in Wisconsin.
  - e. Report of the Senior Vice President.

EDUCATION COMMITTEE

Resolution I.1.a.(2):

That, upon recommendation of the Chancellors of the University of Wisconsin-Madison and the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Board of Regents approves the request to the Trustees of the William F. Vilas Trust Estate for \$4,982,718 for fiscal year July 1, 2011, to June 30, 2012, subject to availability, as provided by the terms of the William F. Vilas Trust, for Support of Scholarships, Fellowships, Professorships, and Special Programs in Arts and Humanities, Social Sciences, Biological Sciences, Physical Sciences, and Music.

**APPROVAL OF REQUESTS TO  
TRUSTEES OF THE WILLIAM F. VILAS TRUST ESTATE  
FOR SUPPORT OF SCHOLARSHIPS, FELLOWSHIPS, PROFESSORSHIPS, AND  
SPECIAL PROGRAMS IN ARTS AND HUMANITIES, SOCIAL SCIENCES AND  
MUSIC**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The terms of the Deed of Gift and Conveyance of the estate of William F. Vilas, subsequently validated and accepted by an act of the Legislature of Wisconsin, provides in part that the trustees of the estate may proffer in writing to the Board of Regents funds for the maintenance of scholarships, fellowships, professorships, with their respective auxiliary allowances, and other like endowments specifically enumerated, defined, and provided for by the Deed.

At the beginning of each calendar year, the trustees of the William F. Vilas Trust Estate formally request that the President of the UW System ask the Chancellors of UW-Madison and UW-Milwaukee to determine from the Vilas Professors the amounts they will request for special project allowances for the ensuing academic year, and to obtain from the Chairs of the UW-Madison and UW-Milwaukee music departments their programs and requests for the next year. In addition, the Chancellor of UW-Madison is asked to determine the number of scholarships, fellowships, Vilas Associates, and any other initiatives to be requested.

The proffer is made following receipt, by the trustees, of a certificate or warrant from the Board of Regents showing how the funds will be expended. This request and Resolution I.1.a.(2) constitute that warrant.

Following approval of this resolution, President Reilly will send a formal request to the trustees, who will determine the amount of income that will be available for the various awards (particularly for music, which varies with the value of the trust) and respond with a proffer of funds. The value of the proffer will then be reported to the Board of Regents.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(2), a request to the trustees of the William F. Vilas Trust Estate for \$4,982,718 for fiscal year 2011-2012 for the support of scholarships, fellowships, professorships, and special programs in Arts and Humanities, Social Sciences, Biological Sciences, Physical Sciences, and Music.

**DISCUSSION**

The attached documents contain the responses to the trustees' request and details how the proposed funds will be expended. They have five components: (a) continuation of Trustee-approved programs, UW-Madison (\$3,020,603); (b) ; one-time program allocations, UW-Madison (\$1,808,000); (c) support for the *Expanding Our Community of Music Learners* program, UW-Milwaukee (\$91,615); (d) request to fund Kumkum Sangari, Vilas Research Professor in the Department of English, UW-Milwaukee (\$60,000); and (e) continuation of the

standard retirement benefit in support of Vilas Professor Emeritus Ihab Hassan, UW-Milwaukee (\$2,500).



March 11, 2011

President Kevin Reilly  
University of Wisconsin System  
1720 Van Hise Hall  
CAMPUS

Dear President Reilly:

In this memo, I enumerate the request for funds from the Vilas Trust Estate for fiscal year July 1, 2011 to June 30, 2012 for the University of Wisconsin-Madison.

Our request is framed in careful accordance with both the terms of the Vilas Trust and the needs we have to fulfill the strategic goals aimed at supporting the mission of the campus as a research and teaching campus of the highest rank. We are especially mindful of the gaps in our ability to attract, retain, and support the highest quality scholars to our faculty exacerbated by recent budget cuts; and the difficulty many students have in paying for undergraduate or graduate education here because of rising tuition and increasing challenges in finding need-based aid.

In this request, we are also asking for an increased annual research allocation for our Vilas Professors from \$38,000 to \$50,000. Since the one-time extra funding that was available to them in past years is now not available, to support the increased costs in research, it was necessary to ask for more.

We have been informed by Rob Stroud, the attorney for the Vilas Trust, that the income will be no less than \$4,000,000 and will probably be closer to \$5,000,000. Our total request for 2011-2012 is: **\$4,828,603.**

The programs for which we are requesting funding follow.

**A. CONTINUATION OF APPROVED PROGRAMS**

- |    |   |              |         |
|----|---|--------------|---------|
| 1. | Continuation of 10 Vilas Undergraduate Scholarships at \$400 each                                       |              | 4,000   |
| 2. | Continuation of 10 Vilas Graduate Fellowships:  |              |         |
|    | a. 5 at \$600 each  | 3,000        |         |
|    | b. 5 Traveling Fellowships at \$1,500 each  | <u>7,500</u> | 10,500  |
| 3. | Continuation of 15 Vilas Research Professors at \$10,000 salary plus \$50,000 auxiliary allowances each |              | 900,000 |

### **Vilas Professors**

Vernon Barger - Vilas Research Professor  
of Physics, College of Letters and Science

David Bethea - Vilas Research Professor  
of Slavic Languages, College of Letters and Science

William Cronon – Vilas Research Professor  
of History and Geography, College of Letters and  
Science, and Gaylord Nelson Institute for  
Environmental Studies

Richard Davidson - Vilas Research Professor  
of Psychology and Psychiatry, College of Letters and  
Science and School of Medicine and Public Health

Morton Gernsbacher – Vilas Research Professor  
of Psychology, College of Letters and Science

Judith Kimble - Vilas Research Professor  
of Biochemistry and Medical Genetics, College of  
Agricultural and Life Sciences and School of  
Medicine and Public Health

Ching Kung - Vilas Research Professor  
of Genetics, College of Agricultural and Life Sciences

Emiko Ohnuki-Tierney - Vilas Research Professor  
of Anthropology, College of Letters and Science

Elliott Sober - Vilas Research Professor  
of Philosophy, College of Letters and Science

Erik Olin Wright - Vilas Research Professor  
of Sociology, College of Letters and Science

Sau Lan Wu - Vilas Research Professor  
of Physics, College of Letters and Science

Four (4) vacant Vilas Professor spots that will be filled by July 1, 2011



4.	a. Continuation of 50 additional undergraduate scholarships at \$400 each	20,000	
	b. Continuation of 50 additional graduate fellowships at \$600 each	<u>30,000</u>	50,000
5.	Continuation of eighty (80) additional undergraduate scholarships at \$400 each under the provisions of Paragraph (3), Article 4 of the Deed of Gift and Conveyance by the Trustees of the Estate of William F. Vilas		32,000
6.	Retirement benefits for eleven (11) Vilas Professors: Berkowitz, Bird, Brock, Hauser, Hermand, Keisler, Lardy, Mueller, Rabinowitz, Vansina, and Weinbrot at \$2,500 each		27,500
7.	Continuation of support for encouragement of merit and talent or to promote appreciation of and taste for the art of music at UW-Madison for 2011-12.		23,500
8.	17 Vilas Associates in the Arts and Humanities		635,807
9.	13 Vilas Associates in the Social Sciences		560,429
10.	12 Vilas Associates in the Physical Sciences		535,543
11.	10 Vilas Associates in the Biological Sciences		241,324
<b><u>Total Continuation Request:</u></b>			<b>\$ 3,020,603</b>

#### **B. ONE-TIME PROGRAM ALLOCATIONS**

1.	Vilas Distinguished Service Professorships Sixteen (16) at \$50,000 per professorship funder over two years (\$25,000 each in 2011-12 and the other \$25,000 in 2012-13)	400,000
2.	Vilas Life Cycle Professorship Program	372,000
3.	Continuation of 1998 and 2002 Expansion of Approved Programs: a. 940 additional undergraduate scholarships at \$400 each, pursuant to Article 4, Sections A and E of the Deed of Gift and Conveyance	376,000
	b. 400 additional fellowships at the \$600 level, pursuant to Article 4, Sections A and E of the Deed of Gift and Conveyance	240,000
4.	Vilas Professor Sau Lan Wu – supplemental funding request for the Discovery of the Higgs Particle – explanation and budget attached.	350,000
5.	One-year research allocation to facilitate initial phase of retirement for Vilas Professor William Brock who is retiring August 29, 2011.	50,000

6. UW-Madison, School of Music Pro Arte Quartet Centennial Anniversary Project Book	20,000
--	--------

<b><u>Total of One-time Program Allocations:</u></b>	<b>\$1,808,000</b>
--	--------------------

<b><u>Total of Part A and Part B:</u></b>	<b><u>\$4,828,603</u></b>
---	---------------------------

Please let me know if you have any questions.

Sincerely,



Carolyn "Biddy" Martin  
Chancellor

Attachments

xc: Provost Paul M. DeLuca, Jr.  
Vice Chancellor Darrell Bazzell  
Dean Martin Cadwallader  
Asst. Vice Chancellor Tim Norris  
Vice Provost Steve Stern



**Academic Affairs**

Chapman Hall 230  
P.O. Box 413  
Milwaukee WI 53201-0413  
414-229-4503 *phone*  
414-229-4929 *fax*  
[www3.uwm.edu/dept/acad\\_aff/](http://www3.uwm.edu/dept/acad_aff/)

March 15, 2011

TO: Kevin P. Reilly, President  
The University of Wisconsin System

FROM: Johannes Britz  
Interim Provost and Vice Chancellor

RE: UW-Milwaukee 2011-12 Vilas Trust Support

Please find requests for three proposals that UW-Milwaukee is submitting for the 2011-12 Vilas Trust Funds:

1. Vilas Research Professor Kumkum Sangari, Department of English.  
Total Request: \$60,000.00 (\$50,000 for Research Support and \$10,000 for Salary Support)
2. Department of Music, Peck School of the Arts. *"Expanding Our Community of Music Learners"*. Total Request: \$91,615 (see attached proposal).
3. Continuation of the standard retirement benefit of \$2,500 in support of Vilas Emeritus Ihab Hassan.

Thank you for your continued consideration and support of these activities. Both the Departments of English and Music are appreciative of this opportunity to gain funding for both venues. The proposal from the Music Department is attached

Should you have any questions, please do not hesitate to contact me, or Associate Vice Chancellor Dev Venugopalan (229-5561).

c: Michael Lovell, Interim Chancellor  
Dev Venugopalan, Associate Vice Chancellor  
Rodney Swain, Interim Dean, College of Letters & Science  
Wade Hobgood, Dean, Peck School of the Arts



**Peck School of the Arts**  
*Department of Music*

Music Building  
PO Box 413  
Milwaukee, WI  
53201-0413  
phone 414-229-5162  
fax 414-229-2776

March 14, 2011

**MEMORANDUM**

TO: Wade Hobgood, Dean  
Peck School of the Arts

FROM: Jon Welstead, Music Department Chair  
José Rivera, Proposal Coordinator

RE: **2011-2012 Vilas Proposal -- "Expanding Our Community of Music Learners"**

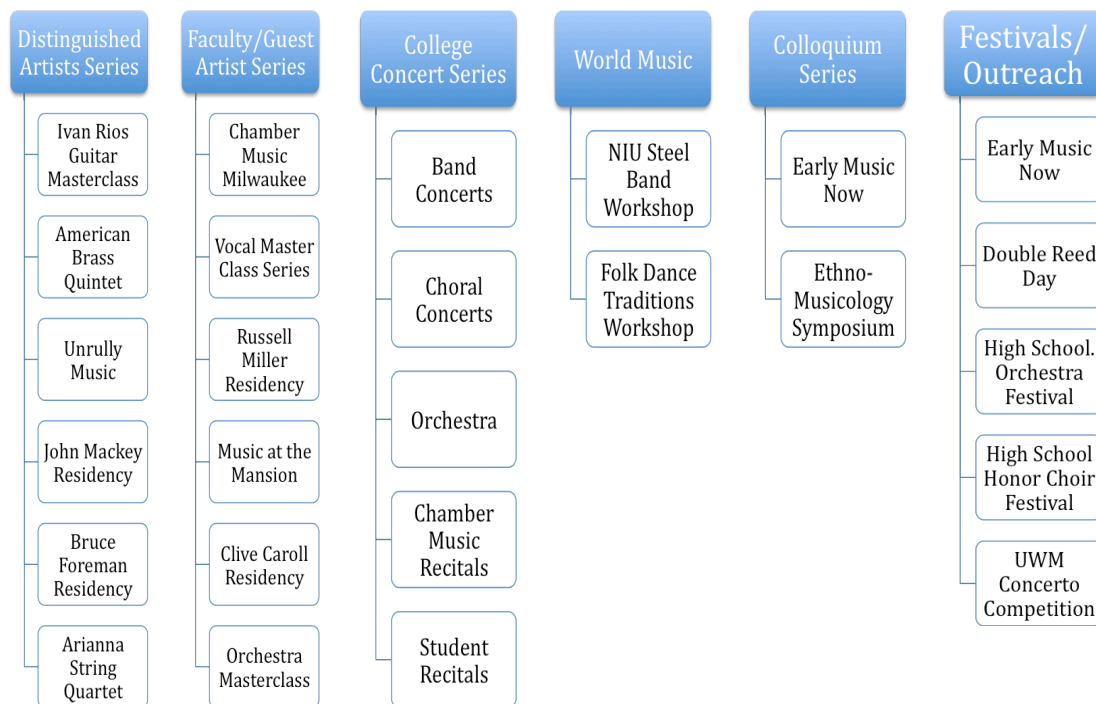
In its 2010-2011 proposal to the William F. Vilas Trust, the UWM Music Department requested funding to present a series of festivals, workshops, guest artist residencies, and master classes during the 2010-11 academic year which focused on the theme of "Building A Community of Music Learners." The planned activities with national and international professional musicians, clinicians, and scholars were designed to engage audiences and establish relationships among a number of UWM programs and various communities in Milwaukee and southeastern Wisconsin. These groups included UWM music majors and K-12 students; middle, high school, and collegiate music directors, educators, and performance ensembles; and campus and community members interested in a wide range of musical genres and styles.

The Department of Music is very pleased to report that Vilas-sponsored activities in 2010-11 did indeed encourage collaborations across several UWM academic departments as well as new initiatives with the UWM Cultures and Communities program. The interactions among the various groups featured distinguished musicians whose areas of expertise ranged from early music to world and contemporary music. Many of the 2010-11 events were organized to encourage UWM students to think about ways they might musically and culturally engage diverse communities through the exploration of new styles and genres of music as well as how they might pursue innovative approaches to programming, outreach, and education. Members of the UWM campus community, pre-college students and their parents, and residents of Milwaukee and the surrounding communities were invited to attend the various events scheduled throughout the year. The UWM Music Department also hosted over 2,000 high school students from around the state who participated in the Honors Orchestra, Honors Band, or the UWM Concerto Competition (which featured three winning high school performers).

The UWM Department of Music is submitting the enclosed proposal entitled **"Expanding Our Community of Music Learners"** and is requesting funding from the William F. Vilas Trust for the 2011-12 academic year in support of the twenty-four activities listed in the proposal. Through these planned activities, the Department of Music hopes to continue and broaden its mission of bringing the best of diverse musical experiences and master teacher-artists to UWM, the Milwaukee metropolitan area, and southeastern Wisconsin. The **"Expanding Our Community of Music Learners"** initiatives are also designed to leverage Vilas support with requests for funding from other sources such as the Greater Milwaukee Foundation's Dr. Abraham B. and Irma S. Schwartz Fund and the Bob Kames Music

Foundation. The Department of Music is also planning to request funds from the UWM Center for Latin American and Caribbean Studies, the UWM Center for 21<sup>st</sup> Century Studies, the Department of Recruitment and Outreach, and the American Musicological Society. In addition, partnerships with arts organizations such as the Cedarburg Cultural Center, the Sharon Lynne Wilson Center for the Arts, and the Early Music Now organization are being discussed in connection with some of the proposed activities.

The Department of Music has grouped its expanded instructional and performance activities proposed for 2011-2012 Vilas Trust funding under the following focus areas: Distinguished Artists Series, Faculty/Guest Artist Series, College Concert Series, World Music Series, Colloquium Series, and Festivals/Outreach.



Faculty members in the UWM Department of Music have full confidence that with 2011-12 support from the Vilas Trust and their own concerted efforts that the goals of **"Expanding our Community of Music Learners"** will be achieved. The quality and diversity of the educational experiences offered to our students and the general public will be enhanced. The Department of Music will also continue to acknowledge the sponsorship of the William F. Vilas Trust in all of the publicity for the concerts, lectures, workshops, and residencies which have received Vilas funding.

Please thank the Vilas Trust Board for their generous support in the past. The Music Department looks forward to receiving Vilas support again in 2011-12.

Attachment/2011-12 Proposal with Budget

## **2011-12 William F. Vilas Trust Proposal -- "Expanding Our Community of Music Learners"**

### **Festivals and Workshops:**

1. Woody Herman Jazz Educational Workshop  
Guest Latin jazz artists and clinicians will work and perform with middle school, high school, and collegiate jazz ensembles as well as UWM students.
2. UWM High School Honors Orchestra Festival  
During a campus residency, orchestra clinicians will lead a conducting master class and conduct a rehearsal and performance for more than 100 invited Wisconsin high school string players.
3. UWM High School Honors Choir Invitational  
Renowned clinician Keith Hampton and the UWM choral faculty will lead a two-day clinic for high school honors choirs and over 400 Wisconsin high school singers with intensive coaching sessions.
4. Folk Dance Traditions  
World dance pedagogue Sanna Longden will lead a two-day workshop on folk dance and cultural traditions in music education for students and area music educators.
5. Double Reed Day  
This all-day workshop for pre-college and college students and teachers will include master classes, lectures and sight-reading. Workshop participants will join in a final recital with the double reed ensemble.
6. Steel Band Workshop  
Cliff Alexis, a musician from Trinidad and Tobago who is currently a professor at the University of Northern Illinois, will lead UWM percussion students in a lecture, workshop, and final performance in collaboration with members of the Northern Illinois Steel Band.

### **Guest Artist and Clinician Residencies:**

7. American Brass Quintet Residency  
An acclaimed Juilliard School of Music ensemble, the American Brass Quintet's residency will include intensive coaching, a chamber music seminar in brass, a composer's seminar, and a concert recital.
8. Bruce Forman Residency  
The residency of music scholar and noted jazz guitarist Bruce Forman will include a master class/demonstration and a lecture on jazz improvisation, literature, and a history of guitar styles.
9. Either/Or Residency  
Either/Or, a New York based music and performance ensemble, will be on campus in a multi-day residency during which time the ensemble members will present a variety of lecture/demonstrations, open rehearsals, and master classes (on topics including contemporary performance practice, integration of music and theater, orchestration for percussion ensembles, and the integration of instruments and live electronics). Either/Or will also perform concerts during their residency.
10. John Mackey Residency  
Accomplished composer John Mackey will prepare the UWM band and area high school bands for a concert featuring a premiere performance of his commissioned work. The residency will include rehearsals, a lecture on the composer's influence on new music, and a final concert performance.
11. Arianna String Quartet Residency  
This nationally-recognized string quartet will lead UWM string students in master classes and coaching sessions and will conclude with a final recital.
12. Clive Carroll Residency  
British guitarist Clive Carroll will lead UWM students in a class on arranging, a master class, and a presentation on the development of guitar finger-style techniques in the British Isles. His residency will conclude with a live concert.
13. John Cohen and David Evans Residencies  
John Cohen and David Evans, eminent scholars in the field of vernacular music, will present lectures on the literary aspects of Rock and Roll, American Folk-Pop music, and the history and performance of various guitar styles.

### **Master Classes, Performances and Presentations:**

Presentations #14 to 24 below include artists from across the spectrum of music making, including: Adrienne Danrich, Corinne Ness, Paola Suozzi, and Scott Ramsay (Master Class Vocal Series); William Koehler (piano); Russell Miller (collaborative piano); Chamber Music Milwaukee and Music at the Mansion (chamber music); Stile Antico, Piffaro, Shira Kammen, Margriet Tindemans, and Peter Maund (Early Music Now series at UWM); Woodwind/Brass/Percussion Master Class; UWM Concerto Competition; Orchestra Master Class; UWM Ethnomusicology Symposium; and Ivan Rijos Master Class.

### **Vilas Funding Request:**

1. Woody Herman Jazz Educational Workshop	\$ 5,500
Project Coordinator: Curt Hanrahan	
2. UWM High School Orchestra Honor Festival	\$ 2,100
Project Coordinator: Margery Deutsch	
3. UWM High School Honor Choir Invitational	\$ 1,235
Project Coordinators: Sharon Hansen & Gloria Hansen	
4. Folk Dance Traditions	\$ 1,500
Project Coordinator: Sheila Feay-Shaw (Music Ed)	
5. Double Reed Day	\$ 3,550
Project Coordinators: Caen Thomason-Redus	
6. Steel Band Workshop	\$ 5,080
Project Coordinator: Carl Storniolo	
7. American Brass Quintet Residency	\$ 6,140
Project Coordinator: Kevin Hartman	
8. Bruce Forman Residency	\$ 3,330
Project Coordinator: Donald Linke	
9. Either/Or Residency-Unruly Music Series	\$ 5,000
Project Coordinator: Christopher Burns	
10. John Mackey Residency	\$ 3,400
Project Coordinator: John Climer, Band Area	
11. Arianna String Quartet Residency	\$ 2,475
Project Coordinators: Lewis Rosove (Strings)	
12. Clive Carroll Residency	\$ 1,200
Project Coordinator: John Stropes, Guitar Area	
13. John Cohen and David Evans Residencies	\$ 5,550
Project Coordinators: John Stropes & Martin Jack Rosenblum	
14. Vocal Master Class Series	\$13,050
Project Coordinator: Valerie Errante	
15. Bill Koehler Master Class	\$ 500
Project Coordinator: Elena Abend (piano)	
16. Russell Miller (collaborative piano)	\$ 1,600
Project Coordinator: Jeff Peterson	
17. UWM Chamber Music Milwaukee Festival	\$15,000
Project Coordinators: Gregory Flint & Todd Levy	
18. Music at the Mansion	\$ 1,300
Project Coordinator: Jeffry Peterson	
19. Early Music Now at UWM	\$ 3,950
Project Coordinator: Mitchell Brauner	
20. Woodwind /Brass/Percussion	\$ 3,000
Project Coordinator: Kevin Hartman	
21. UWM Concerto Competition	\$ 1,235
Project Coordinator: Margery Deutsch	
22. Orchestra Master Class	\$ 1,000
Project Coordinator: Margery Deutsch	
23. Ethnomusicology Symposium	\$ 1,000
Project Coordinator: Gillian Rodgers	
24. Ivan Rijos (Classical Guitar)	\$ 3,970
Project Coordinator: René Izquierdo	

**Total Vilas Request:**

**\$91,615**

Program Authorization (Implementation)  
B.A./B.S. in Environmental Sciences  
University of Wisconsin-Madison

EDUCATION COMMITTEE

Resolution I.1.a.(3):

That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.A./B.S. in Environmental Sciences.



**NEW PROGRAM AUTHORIZATION**  
**Bachelor of Arts/Bachelor of Science in Environmental Sciences**  
**University of Wisconsin-Madison**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised April 2010), the new program proposal for a Bachelor of Arts/Bachelor of Science in Environmental Sciences at the University of Wisconsin-Madison 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-Madison and System Administration will conduct that review jointly, and the results will be reported to the Board.

The Environmental Sciences major will be offered in association with the Bachelor of Science degree in the College of Agricultural and Life Sciences (CALS), and with the Bachelor of Science (B.S.) and the Bachelor of Arts (B.A.) degrees in the College of Letters and Science (L&S). The lead departments will be the Department of Soil Sciences (CALS) and the Department of Atmospheric and Oceanic Studies (L&S). A faculty program committee will be open to interested faculty from all schools and colleges. The Environmental Sciences curriculum will be built on foundational coursework in mathematics and sciences coupled with advanced coursework on and experiences with contemporary environmental issues. The program design provides pathways for students to focus on either life science or physical science aspects of the study of the environment, and provides the breadth that is essential for students to bring science-based solutions to environmental issues in the world of work or in graduate study. UW-Madison has a rich history in the scholarship of environmental issues and a widespread contemporary engagement of faculty and staff with environmental topics. Scores of existing courses and the depth of expertise of the faculty in established disciplines will provide a foundation for the Environmental Sciences program.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(3), authorizing the implementation of the B.A./B.S. in Environmental Sciences at UW-Madison.

**DISCUSSION**

**Program Description**

This major brings together campus resources to satisfy the growing demand among entry-level students for a rigorous, science-based program that promotes critical thinking and emphasizes environmental problem solving in service to society. The program is designed to prepare graduates who will be highly competitive for entry-level positions in non-profit and for-

profit sectors, and for master's programs and doctoral research programs in environmental fields. Curricular requirements:

General education requirements (GER) encompass breadth requirements and competency development in areas of quantitative reasoning, communication, and ethnic studies. GER courses may also satisfy degree and major requirements.

Degree requirements will depend on the degree selected by the student. For example, CALS B.S. students will complete a first-year seminar, math, physical sciences and biological sciences, an international requirement (CALS specific), and GER courses. L&S B.S./B.A. students will take similar courses and also meet a foreign language requirement (L&S specific).

Major requirements:

1. Introductory coursework in math, statistics, physics, chemistry, and biology, as preparation for more advanced coursework and a focused area of study.
2. A 3-credit gateway course in environmental science, selected from a series of course options that will either be modified from existing courses or developed for this purpose.
3. A total of 12 to 16 credits, taken from each of four thematic areas: Ecology; Physical Environment; Environmental Policy & Social Perspectives; and Geospatial Information Sciences. Students take at least one course in each area.
4. Up to 12 credits of intermediate or advanced electives to provide depth of study on topics where problem-solving is emphasized; life sciences path or physical sciences path.
5. A 3-credit capstone experience, which may be satisfied by certain existing environmental capstone courses, by participating in an approved internship, completion of a Senior Thesis focused on environmental science, or pursuing an undergraduate research experience with a faculty mentor. The capstone requirement reinforces the goal of the *Wisconsin Experience* that students develop collaborative and integrative thinking skills while experiencing the challenges of working on "real world" environmental problems.

## **Program Goals and Objectives**

UW-Madison has embraced the Essential Learning Outcomes for Liberal Education as noted in the American Association of American Colleges and Universities' national project, *Liberal Education and America's Promise* (<http://www.ls.wisc.edu/LEAP/>). Those learning outcomes are modified for the Environmental Sciences major:

1. Demonstrate understanding of basic science theories and concepts in biology, chemistry, mathematics, statistics, and physics.
2. Understand how human behaviors influence and are influenced by the natural environment and its systems.
3. Understand the complex interactions of natural environmental systems.
4. Understand social and political systems as they affect the environment.
5. Understand international issues and dynamics related to policy and practice in environmental science.

6. Understand fundamental concepts underlying environmental science such as sustainability, ecosystem services, environmental degradation, and global climate change.
7. Understand interdisciplinary inquiry and perspectives related to environmental dynamics.
8. Develop skills in critical thinking, and problem identification and resolution that address environmental systems.
9. Develop skills in organizing and presenting scientific information in forms and forums for professional and general audiences.
10. Develop skills in effectively engaging and communicating complex scientific problems and solutions to both lay and professional audiences.

### **Relation to Institutional Mission**

Successfully meeting environmental challenges is increasingly necessary to quality of life and human survival as environmental problems multiply in a world made smaller by population growth, consumption patterns, and limited resources. Preparing students to address such challenges is becoming an imperative for all of higher education. As a major research university with past and present strength in disciplines that address environmental issues, it is timely for UW-Madison to implement the Environmental Sciences major and the complementary Environmental Studies major. These majors are aligned with the purpose of UW-Madison to “preserve and transmit the knowledge, wisdom and values that will help ensure the survival of this and future generations and improve the quality of life for all.”

The proposed major is designed to be in keeping with the tradition of the liberal arts and sciences embodied by L&S and with the land-grant traditions of CALS. Few fields of study are as interdisciplinary as those that focus on the environment, which arguably involves the most complex systems humankind has sought to understand. UW-Madison is one of the leading universities in the world in environmental thought and research, with depth and breadth located in numerous departments across the campus. The Environmental Sciences major draws on this strength, and provides an educational opportunity to students similar to what is currently found in most major research universities.

### **Program Assessment**

The Environmental Sciences program committee has developed and will oversee an assessment plan that includes the following elements:

1. Rubrics will be developed and deployed to examine student work in the senior capstone experience.
2. Student exit interviews will provide student perspectives on learning gains.
3. A website blog for comments from alumni and employers will provide supplementary evidence of “real world” impacts.
4. To the extent feasible, placement of graduates will be monitored.
5. Annual assessment reviews will include routine monitoring of student enrollment statistics, student demographics, time to degree, wait-list statistics for the gateway course, and measures that indicate if there is sufficient capacity in the capstone experience.
6. Quality of instruction will be monitored through student course evaluations.

7. Assessment results will be reviewed annually by the program committee. The curriculum will be adjusted as needed and faculty will be provided with feedback as to how their course content might better serve program goals.
8. The program will undergo a total program review five years after implementation and at least every 10 years after that.

## Need

The demand for graduates with training in environmental sciences is expected to remain strong. In 2006, the U.S. Bureau of Labor Statistics estimated that more than 93,000 people were employed as “Environmental scientists and hydrologists” with a median annual income of \$56,100. This number was projected to increase to more than 104,000 by 2016, a 25% increase in jobs over this ten-year period. Many of these positions are with state or federal agencies (35%), but a significant proportion (36%) exist in the private sector. Job growth is expected to be particularly strong in industrial ecology and resource recovery, climate change analysis and adaptation, pollution prevention, and environmental protection. In addition to specific technical skills, experience in problem solving, consensus building, information management, communication, and critical and creative thinking will be valued by those hiring environmental scientists. Even with the economic downturn, college graduates with these combinations of skills, developed in the curriculum described above, have excellent prospects for employment and for making a positive impact on society.

The Environmental Sciences major and the complementary Environmental Studies major are expected to serve different student interests. The *Environmental Sciences* major has an emphasis on the quantitative disciplines and the physical and biological sciences. The *Environmental Studies* major emphasizes breadth across the disciplines, including the social studies, arts, and humanities disciplines, and is designed to be completed in combination with another major. Both majors are expected to fill to capacity.

## Projected Enrollment (5 years)

Year	Implementation year	2nd year	3rd year	4th year	5th year
New students admitted	15	20	20	20	20
Continuing students		13	31	49	54
Total enrollment	15	33	51	69	74
Graduating students				13	18

## Comparable Programs

Related programs exist at other UW institutions. UW-Green Bay and UW River Falls offer an undergraduate major in Environmental Science. UW-Milwaukee offers a major in Conservation and Environmental Science. UW-Oshkosh and UW-Stevens Point offer a major in Environmental Studies. Five UWs (including UW-Madison) offer certificates in environmental studies or sciences. UW-Whitewater is seeking an entitlement to plan an Environmental Studies/Science major. All of these programs have some common features, and yet each is a

distinct expression of the goals, mission, scholarly strengths, and traditions of the host university. According to College Board statistics, 686 accredited four-year universities in the US offer an environmental sciences major or similar. The need for college graduates to have sophisticated understanding of environmental challenges facing the world argues for widespread offering of courses and programs focused on the environment.

## **Collaboration**

Delivery of the Environmental Sciences major is, by design, dependent on strong collaboration across UW-Madison's schools and colleges, student service units, and academic departments. The Department of Soil Science and the Department of Atmospheric and Oceanic Sciences will collaborate to serve as the administrative home. Interested faculty from other departments in any college will participate via the program committee. Faculty from the departments of Agronomy, Community and Environmental Sociology, Forest and Wildlife Ecology, Landscape Architecture, Botany, Chemistry, Geography, Geoscience, Zoology, and Civil and Environmental Engineering have expressed keen interest in participating. The Environmental Sciences major and the Environmental Studies major have planned to collaborate by structuring their program committees to have overlapping members.

The curriculum is integrated into the undergraduate curriculum, general education, and degree requirements. The addition of two new environmental majors may make UW-Madison more attractive as a transfer destination for UW Colleges students, and for Wisconsin residents who may be transferring back to a UW institution from an out-of-state university.

## **Diversity**

Perspectives. The study of the environment (both science-based and studies-based approaches) recognizes that some environmental impacts are distributed differentially across differing socio-economic and racial segments of the population. Communities of all kinds, including socio-economically disadvantaged areas, are increasingly aware of how the environment affects their health and well-being. The curriculum will include information about pollutant burdens, food security, health services, and other issues that potentially lead to disparities in environmental impacts. It is hoped that inclusion of justice and equity issues will bolster the appeal of the program among students from all demographic and diversity groups.

Student Diversity. Promoting racial and ethnic diversity is a recognized challenge for the Environmental Sciences major, as targeted minority students are widely under-represented in science and environmental fields. Gender diversity, by contrast, may be easier to achieve given that there is already even gender representation in the natural sciences. The program will connect with campus-wide efforts to attract students of color into science programs such as: the PEOPLE program; the Summer Science Institute; the McNair Scholars program; Summer Research Opportunity Programs (SROPs); CALS efforts to connect with high school students in Milwaukee, Chicago, and Minneapolis around urban agriculture; and CALS connections with the College of the Menominee Nation and the Lac Courte Oreille Ojibwa Community College. Recruitment will include a focus on students making the transition from military into civilian life. The Academic Advancement Program and the Pathways to Excellence program in L&S

provide additional academic support to enrolled targeted minority students. L&S and CALS will work to associate the environmental sciences major with campus-wide initiatives and programs designed to promote interest in science for women through the Women in Science and Engineering (WISE) programs as well as with underrepresented minorities, in general, through the Wisconsin Alliance for Minority Participation (WiscAMP). All incoming students in the Environmental Sciences major will be assigned to advisors who are experienced at creating a mentorship relationship that supports student success.

Faculty Diversity. No new faculty will be hired specifically for the program so the diversity of the faculty is bound by the current faculty profile and will be influenced by patterns of hiring and promotion in participating departments. Currently, about 17% of UW-Madison faculty are from a racial/ethnic minority, and about 30% are women. A higher proportion of assistant professors are minorities (26%) and women (42%), which reflect the strategies that bring attention to equity in hiring. Hiring departments must file a Recruitment Efforts Plan (REP) before advertising a faculty position. Efforts to expand the pool of minority and women candidates in the sciences, in particular, have been the special focus of the Women in Science and Engineering Leadership Institute (WISELI), which has served as a campus- and nation-wide resource for teaching hiring committees how to overcome implicit bias in reviewing applications, interviewing candidates, and making hiring decisions. All chairs of L&S search committees are required to participate in WISELI workshops; chairs of CALS search committees are strongly encouraged to participate in these workshops and most do so. The Office of the Provost has Strategic Hiring Funds to help fund the initial years of high-priority faculty hires, including tenured or tenure-track minority faculty, and women faculty in areas where they are under-represented.

### **Evaluation from External Reviewers**

The external evaluators were faculty members with experience in comparable programs at other research universities and a representative of the National Council for Science and the Environment (a national advocacy group for colleges and universities having programs in these areas). The letters expressed strong support for the proposed major. All evaluators praised the depth and breadth of faculty expertise and the environmental curriculum at UW-Madison. One reviewer made comments that influenced restructuring the proposed curriculum to the current structure of a life sciences focus and physical sciences focus. The inclusion of a capstone experience drew strong praise from the evaluators from the University of California-Berkeley and Cornell University.

### **Resource Needs**

The Environmental Sciences program will be funded from reallocation by the primary participants (Atmospheric and Oceanic Sciences, Soil Sciences, L&S and CALS). It will draw on the existing breadth and depth of faculty and staff expertise. No new resources will be made available at this time. The administrative support required to maintain the program is woven into existing academic and administrative support. An estimated 5.0 FTE faculty and instructional academic staff will be associated with this program. Approximately 4.0 FTE will be associated with instruction in major courses each semester. An additional 0.25 FTE is added for the chair

of the program executive committee and an additional 0.75 FTE is allotted to support the large numbers of students who will complete their capstone course requirement through research and independent study with faculty mentors. (The estimate of 5.0FTE is similar to an estimate of 4.4 FTE faculty based on the student faculty ratio of 17:1 for a program of 74 students.) An estimated 0.5 FTE of non-instructional staff are re-allocated to the program from the home departments, and 1.5 FTE of non-instructional student and academic services support will come from a number of student service areas in CALS, Letters & Science, and Enrollment Management.

## **RECOMMENDATION**

The University of Wisconsin System recommends approval of Resolution I.1.a.(3), authorizing the implementation of the B.A./B.S. in Environmental Sciences at the University of Wisconsin-Madison.

## **RELATED REGENT POLICIES**

Regent Policy Document 4-12: Planning and Review Principles for New and Existing Academic Programs and Academic Support Programs

Academic Informational Series #1 (ACIS-1.0, revised April 2010): Statement of the Regent Policy on Academic Planning and Program Review

**University of Wisconsin-Madison, BS/BA major, Environmental Sciences**  
**BUDGET FORMAT: AUTHORIZATION TO IMPLEMENT**

	First Year (2011-12)		Second Year (2012-13)		Third Year (2013-14)	
<b>CURRENT COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
Faculty and Instructional Staff	5.0	\$500,000	5.0	\$500,000	5.0	\$515,000
Non-instructional academic/classified staff	2.0	\$ 100,000	2.0	\$100,000	2.0	\$103,000
<b>Non-personnel</b>						
Supplies & Expenses		\$5,000		\$6,000		\$7,000
Equipment						
Library						
Computing/IT support						
Other (Define)						
Subtotal		\$605,000		\$606,000		\$625,000
<b>ADDITIONAL COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
<b>Non-personnel</b>						
Subtotal		\$0		\$0		\$0
<b>TOTAL COSTS</b>		\$605,000		\$606,000		\$625,000
<b>CURRENT RESOURCES</b>						
General Purpose Revenue (GPR )		\$605,000		\$606,000		\$625,000
Gifts and Grants						
Fees						
Other (Define)						
Subtotal		\$605,000		\$606,000		\$625,000
<b>ADDITIONAL RESOURCES</b>						
Subtotal						
<b>TOTAL RESOURCES</b>		\$605,000		\$606,000		\$625,000

Faculty and Academic Staff - An estimated 5.0 FTE faculty and instructional academic staff will support this program. An estimated 8 of these courses will be taught each fall or spring semester for students in the major. At an instructional load of two sections/courses per instructor per semester, that accounts for about 4 faculty FTE. An additional 0.25 FTE is added for the chair of the program executive committee and an additional 0.75 FTE is allotted for the high fraction of students who will complete their capstone course requirement through research and independent study. In addition, Environmental Sciences majors will be advised by faculty program faculty. This is consistent with the student:faculty ratio of 17:1 for a program of 74 students (4.4 faculty).

Non-instructional staff - Includes 0.5 FTE re-allocated to the program ( 0.25 FTE from the Department of Soil Science and 0.25 FTE from the Department of Atmospheric and Oceanic Studies). Also included is an estimated 1.5 FTE of non-instructional student and academic services support from a number of student service areas in CALS, Letters & Science, and Enrollment Management.

The budget provides for 2% increases in salaries annually, although no pay plan decision has been made as of February 2011.



Program Authorization (Implementation)  
B.A./B.S. in Environmental Studies  
University of Wisconsin-Madison

EDUCATION COMMITTEE

Resolution I.1.a.(4):

That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.A./B.S. in Environmental Studies.

**NEW PROGRAM AUTHORIZATION  
B.A./B.S. in Environmental Studies  
University of Wisconsin-Madison**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised April 2010), the new program proposal for a Bachelor of Arts/Bachelor of Science in Environmental Studies at University of Wisconsin-Madison 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-Madison and System Administration will conduct that review jointly, and the results will be reported to the Board.

The Environmental Studies major will be housed in the Gaylord Nelson Institute of Environmental Studies and the College of Letters and Science (L&S). Students will have the option of pursuing either a Bachelor of Arts (B.A.) or a Bachelor of Science (B.S.) degree. The Environmental Studies major is in keeping with the longstanding intellectual tradition at UW-Madison of studying the natural environment to understand how human beings can build just and sustainable societies without harming the land on which human lives depend. Selected antecedents of this tradition include: John Muir, who helped define modern understandings of wilderness and national parks that have ever after shaped people's understandings of the American landscape; Charles Richard Van Hise, the university president who authored the first textbook on natural resource conservation in American history; Gaylord Nelson, the long-serving US senator from Wisconsin who was the founder of Earth Day; and wildlife ecologist Aldo Leopold, whose *A Sand County Almanac* remains one of the most important books about conservation and the environment ever written by an American. UW-Madison is one of the most environmentally engaged research universities in the world and well-positioned to offer an Environmental Studies major.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(4), authorizing the implementation of the B.A./B.S. in Environmental Studies at UW-Madison.

**DISCUSSION**

**Program Description**

The Environmental Studies major is designed to be completed as a second major in conjunction with any other undergraduate major at UW-Madison. This is in contrast to the proposed Environmental Sciences degree program, which will be offered to students as a stand-alone major. The Environmental Studies major is an evolution of the environmental studies certificate, which was implemented in the 1970s and has been consistently among the most

frequently awarded certificates, with 100 students on average earning it each year. At 26 credits, this certificate approaches the 30 credits required for a major. The Nelson Institute has three decades of experience working with students to combine the certificate with a wide range of disciplinary majors across the university. Strong student participation and the long experience of the Nelson Institute with the certificate is evidence of capacity within the Nelson Institute (working with many partner departments in most of UW-Madison's schools and colleges to coordinate resources campus-wide) to provide instruction and advising for a large number of students in a program such as the one being proposed.

The proposed curriculum includes the following elements:

1. Prior to declaring the major, students must complete at least two "foundation" courses with a grade of "B" or better in both courses.
2. Students must take at least one course in each of four "foundation" areas that reflect the major intellectual divisions of environmental studies (12 to 16 credits; no more than 9 as introductory courses): humanities, social science, physical science, and ecological science.
3. Students will take elective courses (at least 15 credits) at the intermediate and advanced level in one of nine thematic areas that best fits their interests and complements their other major: food and agriculture, health, energy, water, biodiversity, climate, history/culture, land use, and policy.
4. Students are expected to have significant field work in at least one of their courses for the major, or in their capstone work, or by some other means. This could include a traditional field course, study abroad, an internship, or a research project that includes a significant environmental field or community component.
5. Additionally, students will complete a 3-credit capstone experience: an integrative seminar, a senior research project, a service learning experience, or an approved internship. These experiences serve to apply both the disciplinary knowledge of their other major and their interdisciplinary training in environmental studies to real-world environmental questions.
6. Students are required to complete at least one other major at UW-Madison. Up to 15 credits of overlap will be permitted between the environmental studies major and the student's other major(s).
7. Courses taken for the first major and for the environmental studies major may be used to meet other requirements for graduation.
8. Students may meet a majority of their L&S breadth requirements with courses from the environmental studies major.
9. Advising for the major will focus on helping students choose courses in an intentional manner to encourage developmental growth and timely progress to graduation.

The requirement that students earning the Environmental Studies major also complete the requirements of a second major is an important and distinctive feature of the proposed curriculum. UW-Madison is renowned for its strengths in environmental studies, and these strengths are not housed in any single department, college, or school. Literally dozens of undergraduate majors enable students to study different facets of environmental questions, and they all teach technical skills and analytical perspectives that are relevant to answering environmental questions and solving environmental problems. Rather than competing with existing programs, the Environmental Studies major seeks to create an intellectual gathering

place where students and faculty members from disparate disciplinary backgrounds come together to explore interdisciplinary problems of the environment. The synergies students experience between their two majors will enhance what they learn in both, and will better prepare them for employment or for graduate education.

### **Program Goals and Objectives**

The broad learning outcomes of the proposed major are that a graduate should be able to:

1. Understand fundamental principles, processes, and meanings relating to humanity's key environmental challenges in the past, present, and future, including, for example, resource use, pollution abatement, population growth, sustainable food production, climate change, energy needs, biodiversity, health, and questions of social justice relating to resource access.
2. Interpret the social, cultural, and historical contexts within which human beings have interacted with and modified the environments they inhabit.
3. Demonstrate strategies for using techniques and insights drawn from the student's other major to arrive at interdisciplinary answers to environmental questions.
4. Engage environmental questions in the realm of science, policy, and cultural values.
5. Compete for top environmental jobs and positions in first-rate graduate programs relating to disciplines that address environmental questions.

### **Relation to Institutional Mission**

Successfully meeting environmental challenges is increasingly necessary to quality of life and human survival as environmental problems multiply in a world made smaller by population growth, consumption patterns, and limited resources. Preparing students to address such challenges is becoming an imperative for all of higher education. As a major research university with past and present strength in disciplines that address environmental issues, it is timely for UW-Madison to implement the Environmental Studies major and the complementary Environmental Sciences major. These majors are aligned with the purpose of UW-Madison to "preserve and transmit the knowledge, wisdom and values that will help ensure the survival of this and future generations and improve the quality of life for all."

The Environmental Studies major is designed to be in keeping with the tradition of the liberal arts and sciences embodied by L&S and with the purpose of the Nelson Institute to build and sustain UW-Madison's contributions to understanding and solving societal problems of environment and sustainability. Few fields of study are as interdisciplinary as those that focus on the environment, which arguably involve the most complex systems humankind has sought to understand. UW-Madison is one of the leading universities in the world in environmental thought and research, with depth and breadth located in numerous departments across the campus. The Environmental Studies major draws on insights from across all the sciences and humanities in order to identify problems, ask more probing questions, and arrive at better solutions in the service of communities that encompass all of humanity and all life on earth.

## Program Assessment

The Nelson Institute Academic Programs Office and Undergraduate Committee (the governing body of the Environmental Studies major), will conduct annual assessments. The primary vehicle for evaluating the program will be student learning in the capstone experience. A random sample of student papers or projects will be collected and evaluated against the stated learning goals. Student exit surveys will be used to evaluate student perception of learning gains and to learn from students if the flow of the major is conducive to student learning and to identify any roadblocks students may have encountered. An alumni survey will be used to collect post-graduation placement information and to gather perspectives from alumni. Employer surveys will provide information about programmatic success by seeing a snap-shot of students in the workforce and what they bring or are lacking regarding qualifications. Annual assessment reviews will include routine monitoring of student enrollment statistics, student demographics, time to degree, and measures that indicate if there is sufficient capacity in the capstone experience.

The assessment results will be reviewed annually by the Nelson Institute Academic Programs Office and the Undergraduate Committee. If judged necessary, revisions to the major will be proposed through the regular process and implemented if approved. The program will undergo a total program review five years after implementation and at least every 10 years after that.

## Need

The demand for graduates with training in environmental studies is strong and shows no sign of abating. As businesses make efforts to go “green,” they will seek more employees with a rich appreciation for what this does, can, and might mean for customers and for the planet. The push for new sources of clean energy and widespread efforts to address challenges associated with global climate change are all generating new employment opportunities. In July 2009, the White House Council of Economic Advisors issued a report on *Preparing the Workers of Today for the Jobs of Tomorrow* that emphasized health care and the environment as two economic sectors most likely to experience substantially higher-than-average job growth over the next decade. The report predicted that jobs in clean energy and environmental protection would grow overall by 52% from 2000-2016, compared with 14% in the economy as a whole. According to the Wisconsin Department of Workforce Development’s WORKnet site, the projected growth for various jobs relating to environmental monitoring, remediation, and management for 2006-2016 ranges from 15-25% over the course of the decade. Recent environmental studies certificate graduates have reported employment directly after graduation in fields such as environmental politics and lobbying, secondary environmental education, and in positions with the Department of Natural Resources. Environmental Studies graduates will possess the critical and integrative skills associated with interdisciplinary thinking, along with traditional disciplinary training—an ideal combination for the new jobs in energy and the environment, and potentially relevant to a wide array of employment opportunities.

The Environmental Studies major and the complementary Environmental Sciences major are expected to serve different student interests. The *Environmental Sciences* major has an

emphasis on the quantitative disciplines and the physical and biological sciences. The *Environmental Studies* major emphasizes breadth across the disciplines, including the social studies, arts, and humanities disciplines, and is designed to be completed in combination with another major. Both majors are expected to fill to capacity.

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

Year	Implementation year	2nd year	3rd year	4th year	5th year
New students admitted	25	27	30	33	33
Continuing students		20	38	54	54
Total enrollment	25	47	68	87	87
Graduating students				20	22

### **Comparable Programs**

Other institutions within the UW System offer variations on majors and minors relating to the environment and reflect the great strength in environmental studies that characterize the System, including UW-Green Bay, UW-Milwaukee, UW-Oshkosh, UW-River Falls, and UW-Stevens Point, among others. These programs range from professional training to broadly interdisciplinary liberal arts curricula. The success of these programs indicates continued and growing undergraduate interest in the field of environmental studies. Given the global importance of understanding the environment, environmental studies has become a vital feature of undergraduate education: any institution whose faculty is prepared to offer the necessary coursework and advising can make a persuasive case that this subject belongs in its core curriculum, akin to traditional subjects such as English, chemistry, biology, or history. All other Big 10 universities offer undergraduates a major in Environmental Studies.

### **Collaboration**

The double major approach is inherently collaborative: students will integrate work in this major with courses from across the entire university curriculum and coordinate with dozens of other majors. UW-Madison has a long history of collaboration and regularly partners with universities, government agencies, non-profit organizations, and community groups in myriad ways. As stated above, given widespread efforts to address challenges associated with global climate change, Environmental Studies is growing in popularity and will soon be integral to every college curriculum. At UW-Madison, robust enrollments and interest in the current Environmental Studies Certificate indicate that this major will fill to capacity with the traditional undergraduate residential population. In the interest of collaboration, the Nelson Institute hosts an annual conference which brings together educators, environmentalists, policy-makers, and students from around the state to share ideas and innovative thinking to tackle the environmental issues of the day. The addition of this major and the Environmental Sciences major may make UW-Madison more attractive as a transfer destination for UW Colleges students, and for Wisconsin residents who may be transferring back to a UW institution from an out-of-state university.

## Diversity

Students. Environmental Studies has typically been underrepresented among the fields most frequently studied by students in targeted minority groups. The Nelson Institute has made substantial investments in scholarships and program development to increase the diversity of the undergraduate populations it serves. In 2009, the Nelson Institute began receiving \$100,000 annually from Wisconsin's Normal School Trust Fund (administered by the state Board of Commissioners of Public Lands). Revenue from this source is used to support the Community Environmental Scholars Program (CESP), which is designed to enhance inclusiveness and diversity by encouraging students from targeted minority backgrounds, students with disabilities, and first-generation college students to pursue environmental studies. Recipients are chosen for their commitment to community service as well as their financial need. In addition to a scholarship, each student receives training in leadership and skills development, participates in courses built around community service, and benefits from internship opportunities. CESP has already doubled the number of minority students taking part in the environmental studies certificate program. The program has hosted events for faculty, staff, and students to foster a greater sense of community among those interested in environmental studies, and has generated a student-led effort to recruit more diverse students to environmental studies at UW-Madison. In fall 2010, the Nelson Institute also began funding financially needy students with a total of \$21,000 in additional need-based scholarships from private donors. The Nelson Institute has recently added an internship coordinator and a recruitment and retention coordinator to further enhance diversity initiatives. L&S is home to many of the campus programs that serve undergraduates in targeted minority groups, including the Academic Advancement Program and Pathways to Excellence, which coordinates many programs for targeted minority students. L&S will also work to associate the environmental studies major with campus-wide initiatives and programs designed to promote interest in science for women through the Women in Science and Engineering (WISE) programs, as well as with underrepresented minorities in general through the Wisconsin Alliance for Minority Participation (WiscAMP).

Faculty Diversity. No new faculty will be hired specifically for the program so the diversity of the faculty is bound by the current faculty profile and will be influenced by patterns of hiring and promotion in participating departments. Currently, about 17% of UW-Madison faculty are from a racial/ethnic minority, and about 30% are women. A higher proportion of assistant professors are minorities (26%) and women (42%), which reflect the strategies that bring attention to equity in hiring. Hiring departments must file a Recruitment Efforts Plan (REP) before advertising a faculty position. Efforts to expand the pool of minority and women candidates in the sciences, in particular, have been the special focus of the Women in Science and Engineering Leadership Institute (WISELI), which has served as a campus- and nation-wide resource for teaching hiring committees how to overcome implicit bias in reviewing applications, interviewing candidates, and making hiring decisions. All chairs of L&S search committees are required to participate in WISELI workshops. The Nelson Institute is attentive to the gender and race/ethnic diversity in recruiting and hiring practices. In the Nelson Institute, 32% of faculty are women, which is a significant level in a field traditionally dominated by men. The Office of the Provost has Strategic Hiring Funds to help fund the initial years of high-priority faculty hires, including tenured or tenure track minority faculty, and women faculty in areas where they are under-represented.

## **Evaluation from External Reviewers**

Evaluation letters from faculty members at Yale University, Oregon State University, and Middlebury College were uniformly very strong in their endorsement of this program and its value to UW-Madison. They confirmed that UW-Madison has the faculty strength to support the program. Several of the letters note both the advantages and the challenges inherent in creating a major that requires a dual degree. The proposal review committee considered these carefully and concluded that Nelson Institute's successful track record managing the "almost double major" nature of the existing certificate program, along with evidence of careful planning for coordination, demonstrated that these challenges would be met effectively. One external reviewer observed that the enrollment projections are likely to be exceeded by student interest. The Nelson Institute has planned for expansion and for enrollment management if demand outstrips capacity. The proposal review committee used this comment from an external reviewer to summarize their conclusions: "Given the ...exceptional quality, depth and breadth of faculty ... who already teach and research matters relating to environmental studies, the proposed major seems to me to be logical, feasible, and necessary to create Wisconsin-Madison graduates capable of taking leadership roles in understanding and managing our nation's environmental future."

## **Resource Needs**

The Environmental Studies major will be funded through reallocation from the existing Environmental Studies Certificate. The Environmental Studies Certificate will be down-sized from 26 credits, including a capstone experience, to 15 credits with no capstone experience. The new format is typical of other certificates offered at UW-Madison. In addition, the major will draw on the existing breadth and depth of faculty and staff expertise: no new resources will be made available at this time. An estimated 4.7 FTE faculty and instructional academic staff will support this program. (The estimate of 4.7 FTE is similar to an estimate of 5.1 FTE faculty based on the student faculty ratio of 17:1 for a program of 87 students.) In addition to teaching in program courses, faculty will supervise independent study and capstone experiences. Non-instructional staff levels are estimated at 1.25 FTE in the Nelson Institute as a reallocation from advising and academic support to the certificate program. A portion of an administrative support position (0.25 FTE) will be reallocated to the major program. An estimated 1.0 FTE spread across a number of student service areas in the Nelson Institute, Letters & Science, and Enrollment Management will be applied to the Environmental Studies major. In sum, the total non-instructional staff level is estimated at 2.5 FTE.

## **RECOMMENDATION**

The University of Wisconsin System recommends approval of Resolution I.1.a.(4), authorizing the implementation of the B.A./B.S. in Environmental Studies at UW-Madison.

## **RELATED REGENT POLICIES**

Regent Policy Document 4-12: Planning and Review Principles for New and Existing Academic Programs and Academic Support Programs



Academic Informational Series #1 (ACIS-1.0, revised April 2010): Statement of the Regent  
Policy on Academic Planning and Program Review

**University of Wisconsin-Madison, BS/BA additional major, Environmental Studies**  
**BUDGET FORMAT: AUTHORIZATION TO IMPLEMENT**

	First Year (2011-12)		Second Year (2012-13)		Third Year (2013-14)	
<b>CURRENT COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
Faculty and Instructional Staff	4.7	\$470,000	4.7	\$479,400	4.7	\$488,988
Non-instructional academic/classified staff	2.5	\$ 125,000	2.5	\$127,500	2.5	\$130,050
<b>Non-personnel</b>						
Supplies & Expenses		\$5,000		\$6,000		\$7,000
Equipment						
Library						
Computing/IT support						
Other (Define)						
Subtotal		\$600,000		\$612,900		\$626,038
<b>ADDITIONAL COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
<b>Non-personnel</b>						
Subtotal		\$0		\$0		\$0
<b>TOTAL COSTS</b>		\$600,000		\$612,900		\$626,038
<b>CURRENT RESOURCES</b>						
General Purpose Revenue (GPR )		\$600,000		\$612,900		\$626,038
Gifts and Grants						
Fees						
Other (Define)						
Subtotal		\$600,000		\$612,900		\$626,038
<b>ADDITIONAL RESOURCES</b>						
Subtotal						
<b>TOTAL RESOURCES</b>		\$600,000		\$612,900		\$626,038

Faculty and Academic Staff - An estimated 4.7 FTE faculty and instructional academic staff will support this program. Approximately 8 courses will serve students in the major each fall and spring semester. At an instructional load of two sections/courses per instructor per semester, that accounts for about 4 faculty FTE. A 0.7 FTE instructional academic staff position will support the capstone course. Faculty workload will also include supervision of independent study and capstone experiences for some students. This estimate is consistent with UW-Madison's student:faculty ratio of 17:1 for a program with an enrollment of an estimated 87 students (5.1 faculty).

Non-instructional academic and classified staff - Includes 1.25 FTE (of 1.7FTE total) academic staff in the Nelson Institute who currently support the certificate program in terms of advising and academic support. Because of changes in the certificate program, most of that effort can be reallocated to the major. A portion of a classified staff person's time (0.25 FTE) will be reallocated to the major program. An estimated 1.0 FTE spread across a number of student service areas in the Nelson Institute, Letters & Science, and Enrollment Management will be applied to the Environmental Studies major.

The budget provides for 2% annual increases in salaries, although no pay plan decision has been made as of February 2011.

Program Authorization (Implementation)  
B.S./B.A. in Microsystems and Nanotechnology Engineering  
University of Wisconsin-Platteville

EDUCATION COMMITTEE

Resolution I.1.a.(5):

That, upon recommendation of the Chancellor of the University of Wisconsin-Platteville and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.S./B.A. in Microsystems and Nanotechnology Engineering.

**NEW PROGRAM AUTHORIZATION**  
**Bachelor of Science and Bachelor of Arts in**  
**Microsystems and Nanotechnology Engineering**  
**University of Wisconsin-Platteville**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised April 2010), the new program proposal for a Bachelor of Science and Bachelor of Arts in Microsystems and Nanotechnology Engineering at the University of Wisconsin-Platteville 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-Platteville and System Administration will conduct that review jointly, and the results will be reported to the Board.

The proposed B.S. and B.A. in Microsystems and Nanotechnology Engineering (MSNT) is an on-campus program capitalizing on the extensive faculty expertise and facilities in existence at UW-Platteville. It will be housed in the College of Engineering, Mathematics and Science (EMS), and will be administered by the Department of Chemistry & Engineering Physics. In this calculus-based program, students progress from building solid foundations in math, chemistry, physics and biology, to advanced skills in analysis and design. The program will develop future engineers and scientists who are capable of addressing problems of a non-traditional nature and can make contributions to the application of microsystems and nanotechnology.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(5), authorizing the implementation of the B.S. and B.A. in Microsystems and Nanotechnology at the University of Wisconsin-Platteville.

**DISCUSSION**

**Program Description**

The MSNT curriculum is designed to equip students with a broad foundation in the major principles and methods used in biology, chemistry, physics and engineering. The core of Microsystems and Nanotechnology courses is supplemented by the student's choice of an additional subfield in one of the established engineering fields offered in the College of Engineering, Mathematics and Science. Depending on their interest, students majoring in MSNT enroll in either the Bachelor of Science or the Bachelor of Arts degree. The four-year B.S. curriculum is designed to satisfy the requirements of the accreditor for college and university programs in applied science, computing, engineering, and technology (ABET), as an Engineering Science program. The B.A. is designed to accommodate students who wish to pursue double-majors in combination with Chemistry, Biology, Engineering Physics, Mechanical

Engineering, and Electrical Engineering in ten semesters or less. Both the B.S. and B.A. follow the successful “hands-on” model of UW-Platteville’s existing engineering and science programs, and are designed to enable students to proceed directly into the workforce or to postgraduate programs.

Students pursuing the B.S. will complete 132 credits, with 31 credits in general education; 44 credits in fundamental mathematics and science; 32 credits in required existing engineering courses; six credits of engineering electives; and 19 credits specific to microsystems and nanotechnology. The credit load is consistent with existing UW-Platteville engineering programs in Mechanical Engineering, Electrical Engineering, and Engineering Physics. Ordinarily, students can complete the degree in four years.

Students enrolling in the B.A. option will complete at least 128 credits, with 31 credits in general education; at a minimum, 41 credits in fundamental mathematics and science; 15 credits of engineering; 16 credits specific to microsystems and nanotechnology; and 25 credits of technical electives from “emphases” chosen by the student from courses offered in chemistry, biology, engineering physics, mechanical engineering, or electrical engineering.

## **Program Goals and Objectives**

### *Objectives*

Graduates of the MSNT program are expected to have met the following educational objectives three to five years after graduation. They will:

- a) possess a solid background in science, mathematics, and engineering fundamentals with an in-depth knowledge about microsystems and nanotechnology and its applications to a variety of disciplines;
- b) be able to solve nontraditional or multidisciplinary engineering problems that involve design, fabrication, testing, and application of microsystems and nanotechnology;
- c) be employed in successful careers in the fields of engineering and/or science, or pursuing post-graduate study in related fields;
- d) exhibit strong communication and interpersonal skills, as well as professional and ethical principles, and function effectively as members and leaders of multidisciplinary teams; and
- e) engage in life-long learning in order to remain technically current in their field and to know about contemporary issues in their field.

### *Educational Outcomes*

Graduates of the Microsystems and Nanotechnology (MSNT) program must achieve the following outcomes as part of their education:

- 1) Microsystems and Nanotechnology graduates from UW-Platteville must have demonstrated:

- a) a working knowledge of fundamental science and basic engineering principles that are the foundation of microsystems & nanotechnology;
  - b) the ability to identify, define, and solve complex multidisciplinary problems;
  - c) the ability to apply the design process to engineering problems, culminating with the execution of a professional design project;
  - d) the ability to formulate, conduct, analyze, and interpret experiments including micro- and nano-scale phenomena and systems, using the appropriate specialized tools; and
  - e) the ability to independently establish procedures for original research.
- 2) Microsystems and Nanotechnology graduates from UW-Platteville must have developed professional skills that will allow them to:
- a) communicate their ideas effectively, both orally and in writing;
  - b) function effectively in multidisciplinary and diverse global teams; and
  - c) use appropriate engineering and scientific techniques and tools.
- 3) Microsystems and Nanotechnology graduates must have the educational background to be good citizens as well as good engineers, including:
- a) an understanding of their professional and ethical responsibility to society;
  - b) knowledge of the relationship between technology and society;
  - c) a desire for life-long learning to improve themselves as citizens and engineers; and
  - d) a knowledge of technical contemporary issues.

### **Relation to Institutional Mission**

As part of its select mission, the University of Wisconsin-Platteville offers baccalaureate degree programs and specialized programs in engineering as institutional areas of emphasis. The proposed program will contribute to that mission by providing students with an engineering and science education that meets the standards of excellence at the university and the college. By creating learning and service opportunities for students in the community, and by extending faculty expertise and applied research results into new directions in engineering and science, the MSNT program will also contribute to another part of UW-Platteville's mission: to "serve as an educational, cultural and economic development resource to southwestern Wisconsin."

The faculty and staff supporting the delivery of the proposed MSNT program come from diverse backgrounds and develop intensive advising relationships with students who may be underserved, among them women, minorities, disadvantaged, and non-traditional students. By incorporating diverse disciplinary perspectives and engaging diverse students, the MSNT will help the University of Wisconsin realize its vision of diversifying the student body, faculty, and staff.

Additionally, the vision of the College of Engineering, Mathematics and Science is to be "recognized as a leader in undergraduate ... education in engineering, mathematics and science." The MSNT is designed to consolidate that leadership recognition and to produce productive

engineers and scientists who will exemplify the college's mission to "meet the needs of a changing society."

### **Program Assessment**

Assessment of the program's outcomes and objectives will be a continual process involving the MSNT faculty. The governing bodies of UW-Platteville will also review the program to determine efficacy of learning and teaching. In particular, the Academic Planning Council executes a six-year rotation in which it reviews all programs on campus; additionally, the Assessment Oversight Committee assesses majors on a three-year cycle. For these reviews, the program director prepares a self-assessment report that describes the assessment process, including data derived from the feedback of students, alumni, and employers.

Further, the Accreditation Board for Engineering and Technology (ABET, Inc.) will evaluate the B.S. degree track and pertinent courses in the B.A. track once the first cohort of students graduates from the program. The time-frame for ABET accreditation will be six to eight years following implementation of the program, in conjunction with the accreditation process for all engineering programs on campus. A self-study report is prepared by the program director that includes assessment of the students' achievements of the outcomes, the alumni's attainment of the objectives, and the relevance of the objectives and outcomes to the employers of UW-Platteville graduates. The B.A. degree program will also be assessed regularly by UW-Platteville's Academic Planning Council.

### **Need**

Microsystems technology, a vital part of the proposed major in MSNT, includes both micro-electromechanical systems (MEMS) and microfluidic systems. The field of MEMS is rapidly maturing, thanks to recent standardization in design software, testing, prototyping, and packaging of MEMS devices. The total worldwide market for MEMS devices was \$68 billion in 2005, up from \$30 billion in 2000. Further, the U.S. MEMS sensors market stood at \$7 billion in 2009, with growth of \$8.5 billion to \$13 billion projected. Microsystems technology (MST) already has a presence in Wisconsin and the Platteville region. Companies utilizing MST include Honeywell Sensing and Control (pressure sensors), SSI Controls Technology (Janesville; pressure sensors), Building Automation Products, Inc. (Gays Mills, indoor climate/air quality sensors), Rockwell Collins (Cedar Rapids; communication/aviation), Hutchinson Technology (Eau Claire; disk drive components) and Motorola (Chicago; sensors), among others in the upper Midwest. Additionally, the significant number of sensor and gage manufacturers in the region will likely need to incorporate MEMS to stay competitive in the future.

Microfluidic analytic devices are beginning commercial implementation for protein research and drug screening; they can also be employed as a means of delivering sub-microliter samples to electronic MEMS devices. Wisconsin companies employing microfluidics include GenTelBiosurfaces, which produces biochips for detection, screening, and analysis in the life sciences; Invitrogen, involved in protein production and assays; and Vitae, which develops advanced technologies for assisted reproduction. In the future, the extension of microsystem sensors into agricultural applications is expected to have a large impact on an industry with an

estimated \$51.5 billion economic impact on the state. (See “Nanoscale Science and Engineering for Agriculture and Food Systems,” presented to the United States Department of Agriculture’s Cooperative State Research, Education and Extension Service’s National Planning Workshop (2002) at [www.nseafs.cornell.edu/web.roadmap.pdf](http://www.nseafs.cornell.edu/web.roadmap.pdf).)

Nanotechnology is expected to emerge throughout the national economy in improved products and new applications: the National Science Foundation has projected that \$1 trillion in products and two million jobs worldwide will be affected by nanotechnology by 2015. The U.S. Federal Government, through the National Nanotechnology Initiative, invested \$1.76 billion in nanoscale research in 2010. State governments have launched at least 25 statewide initiatives in nanotechnology, and all Fortune 500 companies in materials, electronics, and pharmaceuticals have made investments in nanotechnology since 2002. Nanotechnology companies in Wisconsin are focused on instrumentation (all are in Madison): Bruker AXS (instruments for protein crystallography and atomic force and scanning probe microscopy), Imago Scientific Instruments (nanoscale microscopy), nPoint (nanopositioning), Mad City Labs (micro- and nanopositioning), Platypus Technologies (nanotechnology for life sciences), and Novagen (nanotechnology in proteomics). However, technology development companies, such as Interfacial Solutions (River Falls, WI) and “traditional” companies such as Case (Racine, WI), Caterpillar (Peoria, IL), and Ford Motor Co., also pursue research in this area. It is expected that nanotechnology’s economic importance will continue to grow as it moves into the marketplace and affects manufacturing, having a potentially significant impact on Wisconsin and the ability of Wisconsin manufacturing to compete. UW-Platteville’s proposed MSNT program is designed to educate graduates who will meet the employment needs of this growing industry.

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

The estimated enrollment for the Microsystems and Nanotechnology Engineering program during the first five years is shown in the table below. Unlike other Nanoscience programs, the MSNT has the advantage of being able to accommodate students who initially plan to major in one of UW-Platteville’s established engineering or science fields. The projected enrollments are modeled on enrollment data from a similar, interdisciplinary, high-tech program, UW-Platteville’s Engineering Physics major. The latter’s retention rate mirrors that of the College of Engineering, Mathematics and Science engineering students. The rates assume that the small loss of advanced and senior year students will likely be offset by incoming transfer students.

<b>Year</b>	<b>Implementation year</b>	<b>2nd year</b>	<b>3rd year</b>	<b>4th year</b>	<b>5th year</b>
New students	16	16	16	16	16
Continuing students	0	9	18	27	34
Total enrollment	16	25	34	43	50
Graduating students	0	0	0	2	4

### **Comparable Programs in Wisconsin**

The UW-Madison College of Engineering offers an undergraduate degree in Engineering Physics (EP) with an emphasis in Nanoengineering as a choice among three EP emphases. The



primary focus of the Madison program is research and preparation for graduate school, whereas UW-Platteville's program prepares baccalaureate students who will become part of the workforce more immediately and in more entry-level positions.

There are no other regional four-year degrees in Microsystems and Nanotechnology offered by UW System or private institutions in the state. Chippewa Valley Technical College offers a two-year degree in Nanoscience, with an emphasis on training technicians who can operate advanced fabrication and characterization equipment. UW-Stout offers a Nanoscience Concentration in their Applied Science program, and UW-Eau Claire offers a Bachelor of Science in Materials Science, which has a different focus and serves a different population of students.

### **Comparable Programs Outside Wisconsin**

#### *Microsystems Programs, Including MEMS*

At present, there are no programs in the U.S. offering undergraduate degrees in Microsystems such as Micro-Electrical Mechanical Systems (MEMS); nation-wide, MEMS education is typically aimed at the graduate student population.

#### *Nanotechnology Programs*

Dakota County Technical College in Minnesota offers a degree in Nanoscience very similar to that of Chippewa Valley Technical College. Similar two-year and certificate programs exist across the country in twelve states, but none provide students with the strong foundation in engineering, science, and general education that the proposed baccalaureate degree offers for those who pursue employment as leaders in the industry.

Among the baccalaureate program offerings with similar curricula, Louisiana Tech implemented Nanosystems Engineering in the Fall of 2005. The University of California-San Diego offers a B.S. in Nanoengineering, and the University of Central Florida offers a Nanoscience and Nanotechnology track in Liberal Studies. The University of Albany has established the College of Nanoscale Science & Engineering, which offers a B.S. in Nanoscale Science and a B.S. in Nanoscale Engineering. Finally, the University of Waterloo, Canada's foremost engineering school, offers a degree in Nanotechnology Engineering. The above-mentioned programs do not serve place-bound Wisconsin students and do not offer the unique combination of instruction in applied Nanotechnology and various Microsystems.

### **Collaboration**

UW-Platteville already has 3+2 programs that are offered in collaboration with UW-Eau Claire and UW-La Crosse, and these will include courses relevant to the MSNT program. In a 3+2 program, students complete two degrees in five years: one degree in liberal arts and one in engineering. Students spend three years at one institution before spending the last two years completing their engineering program at UW-Platteville. Further, Nanoscience students at UW-Stout would benefit from participation in MSNT courses and a 3+2 program collaboration with

UW-Stout is in the planning stage. Chippewa Valley Technical College (CVTC) has a Nanoscience program and the College of EMS plans to establish a student pipeline by creating a 2+2+2 program with CVTC.

UW-Platteville faculty expect they will collaborate with large research institutions in the region, especially those that are part of the National Nanotechnology Infrastructure Network (NNIN). The NNIN provides educational opportunities and access to extensive facilities for users. The University of Minnesota (which collaborates with CVTC), Washington University in St. Louis, the University of Michigan, and Pennsylvania State University are the NNIN members in the Midwest. UW-Platteville students will also have unique opportunities through an educational collaboration with Argonne National Laboratory's Center for Nanophase Materials; UW-Platteville has been a collaborating university since the Center's inception.

UW-Platteville has recently joined Sandia National Laboratory's University Alliance (UA) program. This program has given the contributing departments tools for MEMS design and modeling, and faculty training. Students will benefit from this alliance through various study opportunities.

## **Diversity**

The MSNT major will contribute to the College of EMS' efforts to increase the population of underrepresented students in engineering, particularly efforts to support the recruitment and retention of women and students of color. In Fall 2010, UW-Platteville received two grants to improve the recruitment and retention of these underrepresented students: \$100,000 from the UW System's Growth Agenda Grant Program and \$600,000 from the NSF-funded STEM Scholars Program. The STEM Scholars Program builds a strong network through various group activities, several of which are specific to underrepresented populations. These initiatives will help grow the pool of prospective underserved students in the College of EMS and the proposed major. These outreach, recruiting, and retention efforts will be aided by UW-Platteville's active Society of Women Engineers chapter, which recently won a national award from the Women in Engineering ProActive Network (WEPAN).

The program's design as an interdisciplinary field of study, with significant contributions from the disciplines of chemistry and biology, has the potential to attract students from a larger, more diverse pool than other engineering programs at UW-Platteville. For example, nationwide women make up a significant portion of bachelor's degrees in Biology and Chemistry, but a much smaller proportion of degrees in Physics, Electrical, and Mechanical Engineering. However, Chemical Engineering, which unites engineering with chemistry, has the highest enrollment of women of any branch of engineering. The new MSNT degree would provide another avenue by which women can become engaged in engineering outside its traditional domains.

The five-year diversity goal of the MSNT program is to have a makeup of underrepresented students that is on par with that of the rest of the College's engineering programs.

## *Faculty and Staff*

Engineering faculty at the University of Wisconsin-Platteville are internationally diverse; several of the College's engineering and science departments engage in efforts to further diversify the faculty through recruitment and retention of faculty that bring diverse perspectives and pedagogies to the classroom. The University requires that all applicants demonstrate a commitment to fostering and increasing UW-Platteville racial and gender diversity. Additionally, open MSNT faculty positions will be advertised via targeted mailings to key constituencies serving diverse populations.

## **Evaluation from External Reviewers**

In October 2007, UW-Platteville hosted a Microsystems and Nanotechnology Advisory Board meeting, comprised of four industry representatives, one member from a national laboratory, and one from academia. The Board met to review and discuss the Minor in Microsystems and Nanotechnology. Board members praised the minor for combining Microsystems and Nanotechnology; for the strong hands-on component; and for the structure of that it built on a base of science and engineering. Further, they encouraged the development of a major in MSNT.

In early 2010, the proposal for a four-year program in MSNT was sent to regional companies identified as potential employers of MSNT graduates, nine of which provided detailed, written responses that contained encouragement to proceed with the proposed program. Reviewers found the program's educational outcomes appropriate, praised its interdisciplinary nature as a strength, and predicted that graduates would be useful in their respective industry.

Reviewers saw a need for resources to obtain key fabrication equipment, while also keeping the focus on teaching rather than putting resources into advanced and expensive equipment. Thus, input from various constituencies, including industrial employers in Wisconsin and the surrounding region, affirms a special need for the proposed program. In response to the reviewers' suggestions for upgrading technical equipment, purchases of equipment occurred and further needs are clearly identified.

## **Resource Needs**

The proposed major will make use of existing foundation courses in the sciences, engineering, and general education for which no additional staffing is needed. In order to staff the instructional requirements for the courses in the core part of the required MSNT curriculum, a total of one additional FTE engineering faculty member will need to be hired. This additional hire will occur in the third year of implementation, after phasing in several new courses and budgeting release time for the MSNT Program Coordinator. At present, 0.5 FTE are allocated to provide courses in the Minor, by way of a full-time faculty member with responsibilities split between Physics and MSNT.

Staff support for the new program, which will move beyond the Minor with more intensive use of a wider range of advanced technical equipment and will require management of

more students and faculty, will require two 0.5 FTE positions for academic staff and classified staff. The College of EMS will support this program in several ways via internal reallocation, and is prepared to continue to do so as it grows.

Based on projected enrollments, the program's specialized course offerings will be accommodated by current equipment and facilities in Chemistry, Engineering Physics, and the new Clean/Characterization Room at UW-Platteville. MSNT laboratory facilities will start from a strong position with existing equipment and will be enhanced through UW-Platteville's existing Engineering Technology DIN allocation, which provides the College \$365,000 annually for the purchase of equipment and software for engineering education. Approximately \$25,000 of this allocation has been invested in the development of the proposed MSNT program. Additionally, in order to support the MSNT efforts and in preparation for the new program, the College has expanded the 2010-2011 supplies budget of the Department of Chemistry & Engineering Physics.

For equipment that costs more than can be covered through the annual DIN allocation, it will be necessary to apply for external funding to acquire some key pieces of equipment during the first few years of the program. The recent external funding success of faculty involved in this program provides optimism that this goal will be accomplished.

## **RECOMMENDATION**

The University of Wisconsin System recommends approval of Resolution I.1.a.(5), authorizing the implementation of the B.S and B.A. in Microsystems and Nanotechnology Engineering at the University of Wisconsin-Platteville.

## **RELATED REGENT POLICIES**

Regent Policy Document 4-12: Planning and Review Principles for New and Existing Academic Programs and Academic Support Programs

Academic Informational Series #1 (ACIS-1.0, revised April 2010): Statement of the Regent Policy on Academic Planning and Program Review

## Budget Overview

	<u>First Year</u>		<u>Second Year</u>		<u>Third Year</u>	
<u>CURRENT COSTS</u>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<u>Personnel</u>						
Faculty/Instructional Staff	0.56	\$58,015	0.56	\$59,175	0.56	\$60,359
Graduate Assistants	0		0		0	
<u>Non-personnel</u>						
Supplies & Expenses		\$5,000		\$5,000		\$5,000
Capital Equipment		\$25,000		\$25,000		\$25,000
Computing		\$0		\$0		\$0
Other (from Minor)		\$587,000		\$0		\$0
<u>Subtotal</u>		\$675,015		\$89,175		\$90,359
ADDITIONAL COSTS						
<u>Personnel</u>						
Faculty/Instructional Staff	0.35	\$36,259	0.45	\$47,552	1.00	\$107,322
Non-instructional Academic/Classified Staff	1	\$76,127	1	\$77,649	1.5	\$125,968
Other (Library; marketing; equipment)		\$2,600		\$2,600		\$160,600
Subtotal		\$114,986		\$127,801		\$393,890
<u>TOTAL COSTS</u>		\$790,001		\$216,976		\$484,249
<u>CURRENT RESOURCES</u>						
General Purpose Revenue (GPR)		\$0		\$0		\$0
Gifts and Grants		\$0		\$0		\$0
Fees		\$0		\$0		\$0
University reallocation (w/TSI)		\$63,015		\$64,175		\$65,359
EMS equipment reallocation/DIN		\$612,000		\$25,000		\$25,000
Subtotal		\$675,015		\$89,175		\$90,359
ADDITIONAL RESOURCES						
GPR Reallocation		\$0		\$0		\$0
Gifts and Grants		\$0		\$0		\$158,000
Fees		\$0		\$0		\$0
Other (UWP internal reallocation: TSI/NCCRD/ College/Renewables)		\$114,986		\$127,801		\$235,890
Subtotal		\$114,986		\$127,801		\$393,890
<u>TOTAL RESOURCES</u>		<u>\$790,001</u>		<u>\$216,976</u>		<u>\$484,249</u>

Program Authorization (Implementation)  
B.S. in Health, Wellness and Fitness  
University of Wisconsin-Stout

EDUCATION COMMITTEE

Resolution I.1.a.(6):

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 Health, Wellness and Fitness.

**NEW PROGRAM AUTHORIZATION**  
**Bachelor of Science in Health, Wellness and Fitness**  
**University of Wisconsin-Stout**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, Revised April 2010), the new program proposal for a Bachelor of Science in Health, Wellness and Fitness at the University of Wisconsin-Stout (UW-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.

Recognizing the enormous social and financial cost to society associated with unhealthy lifestyles, the proposed new major is designed to prepare graduates to combat preventable diseases ranging from obesity to coronary conditions through health promotion, health psychology, and individual group motivation and behavior modification. By helping to shift health, wellness, and fitness from a costly illness response system to a preventative health-based model, graduates will promote community wellness and help fill the need for trained and competent staff to help Americans become healthier, reduce weight, and increase activity. Graduates of the proposed B.S. in Health, Wellness and Fitness will work in the health care industry, with insurance companies, hospitals, clinics, and wellness and fitness centers. They will assist community members through teaching, coaching, mentoring, and managing elements of a healthy life-style in order to combat major controllable health conditions.

UW-Stout is uniquely positioned to offer this proposed major due to the existing curriculum across the various colleges and departments that would support it. The B.S. in Health, Wellness and Fitness is based on two successful UW-Stout minors: Health and Fitness and Health Education.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(6), authorizing the implementation of the B.S. in Health, Wellness and Fitness at the University of Wisconsin-Stout.

**DISCUSSION**

**Program Description**

The proposed Health, Wellness and Fitness program, housed within the College of Education, Health and Human Sciences, will be comprised of 120 credits designed to prepare students to enter the healthcare arena as health maintenance and preventative healthcare workers. The current minors in Health and Fitness and Health Education function as components of the Physical Education Department, and the new program will also function as a major in that department, with a Program Director appointed from within the unit. The curriculum will include a general education core of 41 credits, a major studies core of 54 credits, and one of two concentrations, for a total of 120 credits. The proposed sequence of courses is designed, first, to

provide students with a firm grounding in general education and, second, to prepare students for employment in the health, wellness, and fitness industry.

The proposed major's core curriculum will build on existing courses in the Health and Fitness and Health Education minors and will include the following clusters: Human Sciences, Health and Wellness, Nutrition, Psychological/Behavior Management, Business/Management, and Experiential. The clusters were developed based upon feedback from professionals in the field, the program's Advisory Council, research in health-related occupations, and the experience of the faculty and staff in the health, wellness, fitness, business, and nutrition domains. Unlike pre-med or pre-nursing programs, the purpose of the program is to prepare students to take positions in business, industry, and the public sector as health coaches, health and wellness practitioners, community health educators, health case managers, and health and fitness organization managers.

Further, the program core will provide students with a basic understanding of community wellness through various content areas: health promotion, health psychology, and individual/group motivation and behavior modification. Students will participate in the application of learning in laboratory-based courses and co-op/internship experiences with employers in the community.

Admission to the B.S. in Health, Wellness and Fitness will require students to have graduated within the top 50% of their high school class; have a GPA of 2.75 in the event the high school does not rank; or, have a composite ACT score of 22 or greater. Transfer students will need to have an entering GPA of 2.5 or greater.

### **Program Goals and Objectives**

The proposed B.S. in Health, Wellness and Fitness integrates the professional domains of nutrition, fitness, health education, business procedures, business management, and community health to prepare health maintenance and prevention specialists. One of the program's goals is to have students become knowledgeable of the causes of the major controllable health care issues. A second goal is to develop within students the skills to assist others to develop healthier lifestyles to combat major controllable health conditions such as obesity, diabetes, and various coronary diseases and conditions. A third goal is to prepare students with foundational business management skills to aid entry into the profession.

UW-Stout has identified the following expectations for all graduates of baccalaureate degree programs. Graduates should 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; and
3. The skills and attitudes necessary to have healthy interpersonal relationships in professional, civic, and personal life. These include integrity, honesty, leadership, civility, concern for the needs of others, tolerance, and communication and conflict-resolution skills.



In addition, graduates of the B.S. in Health, Wellness and Fitness will be able to:

1. Recognize factors associated with health risks and diseases; demonstrate awareness and the application of personal fitness and social change theories regarding personal/group health, wellness, fitness, and occupations within that industry;
2. Identify common motivations and barriers to health and fitness; employ motivational strategies and behavior modification principles to assist diverse clientele in initiating and maintaining healthier lifestyle behaviors throughout the lifespan;
3. Utilize health, wellness, and fitness assessments and technologies to guide and develop healthy lifestyles and behaviors;
4. Apply knowledge of body mechanics and movement related to physiology and kinesiology in the development of wellness and fitness plans;
5. Provide basic nutritional guidance to individuals across the lifespan, utilizing technologies and referrals to other professionals when appropriate;
6. Apply management concepts to the unique aspects of health clubs, corporate fitness/wellness programs, medical wellness centers, and other health and wellness-related industries;
7. Apply legal principles and risk management concepts in the development of public, nonprofit, and for-profit programs related to health, wellness, and fitness; and
8. Understand the principles of managed care and the positive outcomes associated with improvements in health, wellness, and fitness.

The B.S in Health, Wellness and Fitness will include two concentrations: 1) a Health and Wellness Promotions Concentration, and 2) a Fitness Professional Concentration, each of which will have specialized objectives in addition to the program goals above.

### **Relation to Institutional Mission and Strategic Plans**

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 primary goal of the B.S. in Health, Wellness and Fitness, and its primary link to the University's Strategic Goals, is the need to address the societal issue associated with unhealthy lifestyles and the extraordinary health care costs these lifestyles represent. As this significant burden is realized by society, the University is reaching out to help solve real-world, community-based problems by working with business and industry as an educational partner to combat these issues in response to a changing society.

The proposed program is a part of UW-Stout's Academic Plan and will help meet the goals of the UW-System Commission on Baccalaureate Expansion by enabling more Wisconsin citizens to realize the dream of a bachelor's degree in a chosen field.

### **Program Assessment**

The assessment of the B.S. in Health, Wellness and Fitness program will include the following types of measures: assessments of experiential activities; applicable accreditation reviews; annual assessment of the major outcomes; and periodic reviews by the UW-Stout Planning and Review Committee. Both internal and external evaluations will measure student

outcomes relative to program goals and objectives. Assessments of experiential activities will be conducted by employers for students enrolled in internship/co-op and other work settings after program completion, through tools based upon valued student outcome competencies.

A student's level of knowledge related to the concepts and skills associated with particular courses will be evaluated by each course instructor through formal assessments embedded in coursework, as well as through more informal processes such as interviews with faculty and staff, in-class discussions, papers, and presentations, etc. Furthermore, the program will develop a mid-program review to determine whether the student is achieving at the level of expectation and use the review results for advisement.

Internal evaluation will also take the form of an annual mechanism entitled "Assessment in the Major" that addresses the program's ability to provide adequately for the learning objectives upon which the major is built. Also included will be employer feedback, the number of students becoming certified in professional areas, and program accreditation expectations. Additionally, UW-Stout's Planning and Review Committee (PRC) will review the new program three years after implementation and every seven years thereafter. Interviews with the Program Director and the results of University-based surveys of graduates and employers are included in the PRC review. The annual graduate and employer surveys provide an indication of the program quality and its ability to provide an education that meets program objectives. Future program accreditation by the National Wellness Institute will also provide objective assessment by evaluating the program using a set of independently established standards.

## **Need**

The world of health, wellness, and fitness is changing and requires of graduates a greater skill set in fitness assessments, club management, nutrition assessments, and fitness programs tailored to the needs of an increasingly diverse population. In developing the program, UW-Stout spoke with a number of employers, regionally and nationally, who each attested to the fact that employers in the field now prefer baccalaureate-trained staff. Fitness centers, medical centers, and corporate health and fitness programs hire staff members who have knowledge of fitness, nutrition, motivational strategies, management of injuries, legalities of injured worker systems, and risk management, all of which are covered in the proposed program.

The U.S. Department of Labor has identified that knowledge and skill demands for fitness workers and health professionals are increasing from pre-baccalaureate to bachelor's level training. Knowledge requirements include fitness techniques and college-level courses in anatomy, physiology, nutrition, and kinesiology.

Further, the Department of Labor expects employment opportunities for fitness workers, health promotion specialists, and health educators to increase much faster than the average for all related occupations; open jobs are expected to increase by 29% or higher until 2016 (Bureau of Labor Statistics 4/30/2010, <http://www.bls.gov/oco/ocos296.htm>).

Wisconsin labor statistics indicate that up to 32,000 fitness- and recreation-related jobs exist in the current economy with an average-to-above-average rate of increase expected by 2016. The number of fitness and recreation jobs further increases when health educator positions are considered. A review of the Workforce Resource database for northern and western Wisconsin and the Minneapolis and St. Paul area revealed 22,460 openings in the areas of recreation workers, fitness professionals, health educators, and health specialties.

Further, a January 2010 *Eduventures* Report cites a 2009 Integrated Benefits Institute study which forecasts that, nationwide, 68% of employers intend to increase resources to implement health and productivity measures in order to decrease costs related to health plans. The *Eduventures* report also cited the need for human resource professionals and health educators who can address issues of health and wellness within the corporate arena. Finally, an external reviewer of the proposed B.S. in Health, Wellness, and Fitness program commented that recent healthcare legislation will add a significant number of job openings. Medical centers and health insurance companies will be required to use more preventative approaches to reduce the need for medical interventions.

### **Projected Enrollment**

Given the level of interest expressed by current students and new applicants, it is projected that 24 students will enroll in the program during the first year. The UW-Stout Office of Registration and Records office reports that 67 students are currently enrolled in the Health and Fitness and Health Education minors; they form a potential pipeline for the proposed major.

The retention rate at UW-Stout has historically ranged from 69% to 74%, showing an upward trend over the past 5 years. For the purpose of estimating enrollment for the B.S. in Health, Wellness and Fitness program, a 73% retention rate will be used. The following table projects enrollment from year one to year five for new students, continuing students, total enrollment and graduating students.

Year	Implementation year	Second year	Third year	Fourth year	Fifth year
New students	24	24	24	24	24
Continuing students		17	34	39	44
Total enrollment		41	58	63	68
Graduating Students			12	12	15

### **Comparable Programs in Wisconsin**

UW System institutions offer a variety of programs related to physical education, health education, health promotion, kinesiology, exercise and fitness, and human performance. The primary focus of the UW-Stout Health, Wellness and Fitness program will be on the health promotion industry and wellness efforts in the private sector, thus differentiating itself from other programs offered within the UW System.

Whereas comparable programs within the UW System and at private universities offer students a core of Physical Education (K-12), kinesiology, pre-physical therapy, occupational therapy and a strong clinical focus, UW-Stout will provide students with an alternative to clinically focused pre-therapy areas and the K-12 Physical Education arenas. The UW-Stout program in Health, Wellness and Fitness will focus on: the business side of health and wellness promotions; corporate wellness; managing for-profit and not-for-profit health and fitness centers;

and medical cost containment through health and wellness management within the health, wellness, and fitness industry.

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

Among Minnesota universities, St. Cloud State University offers health programs in the allied disciplines of Athletic Training, Community Health, Health/Physical Education, Physical Education, and Recreation and Sports Management. These programs focus on areas closely related to kinesiology and sports science-related professions. Similarly, Minnesota State University-Mankato has programs in Physical Education, Sports Management, and Corporate as well as Community Fitness minors.

Other programs in neighboring states include DePaul University with a Personal Fitness Training program. UW-Stout will primarily serve place-bound students and provide students with a greater focus on wellness, nutrition, and human motivations for behavior change.

### **Collaboration**

The UW-Stout Health, Wellness and Fitness program will be an on-campus program and pursue articulation agreements with two-year institutions in the region. As the program develops its niche, collaboration may be explored with the degree completion program being planned by UW-Extension in concert with UW-Stevens Point, UW-La Crosse, and UW-River Falls.

### **Diversity**

Students from under-represented and minority backgrounds comprise seven percent of the current student body at UW-Stout. The current minors in Health and Fitness and Health Education, on which the proposed major builds, have an enrollment of 67, of which 6% are minority and under-represented students. One of the content area providers, UW-Stout's Athletic Department, recruits and retains higher percentages of students of color. Building upon this foundation, the program will set a goal of recruiting 10% or higher of its students from historically unrepresented populations.

Within the required courses, the B.S. in Health, Wellness and Fitness program will include themes of diversity that will address the intellectual and practical benefits of considering differences in health and wellness based on ethnicity, culture, lifestyle, gender, disability, and age. Additionally, students and faculty will study health, wellness, and fitness as a diverse and complex social system that requires correspondingly nuanced and diverse approaches to health, wellness, and fitness.

### **Evaluation from External Reviewers**

The B.S. in Health, Wellness and Fitness (HWF) was reviewed by two external consultants: Dr. Fred Hebert, Professor Emeritus from the Department of Health, Exercise Science and Athletics at UW-Stevens Point; and Mr. Brent Jeffers, Associate Professor and Department Chair of the Exercise Science Program in the Wellness and Human Performance Department at Southwest Minnesota State University. Both reviewers identified a need for the program in the region and highlighted the benefits of the program's interdisciplinary approach through its focus on nutrition and the psychosocial and business components of health, wellness,

and fitness. Both reviewers also cited the need to involve faculty from other departments in developing and delivering the courses and the program. The program was conceptualized with broad faculty support and discussions have been held with department chairs and faculty to share curricular and program-related input.

### **Resource Needs**

A set of resources has been identified to fund the B.S. in Health, Wellness and Fitness for the first three years of its operation as a major. The program will use the facilities, classrooms, and laboratories that were developed for the minors in Health and Fitness and in Health Education on which the major builds. In addition, it will also share several labs used by the programs in Food and Nutrition, Dietetics, and the Health and Fitness Center.

The current personnel requirements include .33 FTE that are now devoted to the two minors that provide the curricular base for the proposed major. Those minors will be subsumed by the Health, Wellness and Fitness program. An additional .413 FTE has been identified through the reduction of total number of credits required for graduation in some of the College of Education, Health and Human Sciences' other programs and will be reallocated to this program. Year Two will require 1.03 additional FTE; year Three will require 1.65 additional FTE. All additional FTE for years Two and Three will also be internally reallocated within the College through credit requirement reductions. Other costs include a .25 FTE graduate assistant, a .25 LTE for clerical support, as well as costs of supplies and expenses.

### **RECOMMENDATION**

The University of Wisconsin System recommends approval of Resolution I.1.a.(6), authorizing the implementation of the B.S. in Health, Wellness and Fitness at the University of Wisconsin-Stout.

### **RELATED REGENT POLICIES**

Regent Policy Document 4-12: Planning and Review Principles for New and Existing Academic Programs and Academic Support Programs

Academic Informational Series #1 (ACIS-1.0, revised April 2010): Statement of the Regent Policy on Academic Planning and Program Review

## Budget Overview

	First Year		Second Year		Third Year	
<b>CURRENT COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
Faculty/Instructional Staff	0.333	\$28,149	0.499	\$43,447	0.999	\$89,510
Graduate Assistants						
Non-instructional Acad./Classified Staff						
<b>Non-personnel</b>						
Supplies & Expenses		\$1,000		\$1,000		\$1,000
Capital Equipment						
Library		\$3,000		\$3,000		\$3,000
Computing						
Other (Define)						
Subtotal		\$32,149		\$47,447		\$93,510
<b>ADDITIONAL COSTS</b>	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>Personnel</b>						
Faculty/Instructional Staff	0.413	\$34,912	1.03	\$89,681	1.65	\$147,860
Graduate Assistants	0.25	\$5,128	0.25	\$5,128	0.25	\$5,128
Non-instructional (LTE) Academic/Classified Staff	0.25	\$5,614	0.25	\$5,782	0.25	\$5,955
<b>Non-personnel</b>						
Supplies & Expenses		\$5,000		\$5,000		\$5,000
Capital Equipment						
Library						
Computing						
Other (Define)						
Subtotal		\$50,654		\$105,591		\$163,943
<b>TOTAL COSTS</b>		\$82,803		\$153,038		\$257,453
<b>CURRENT RESOURCES</b>						
General Purpose Revenue (GPR )		\$32,149		\$47,447		\$93,510
Gifts and Grants						
Fees						
Other (Define)						
Subtotal		\$32,149		\$47,447		\$93,510
<b>ADDITIONAL RESOURCES</b>						
GPR Reallocation (list sources)		\$50,654		\$105,591		\$163,943
Gifts and Grants						
Fees						
Other (Define)						
Subtotal		\$50,654		\$105,591		\$163,943
<b>TOTAL RESOURCES</b>		\$82,803		\$153,038		\$257,453

Program Authorization (Implementation)  
Master of Public Health  
University of Wisconsin-Milwaukee

EDUCATION COMMITTEE

Resolution I.1.a.(7):

That, upon recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Chancellor be authorized to implement the Master of Public Health.

**NEW PROGRAM AUTHORIZATION  
Master of Public Health (MPH)  
University of Wisconsin - Milwaukee**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised April 2010), the new program proposal for a Master of Public Health (MPH) at the University of Wisconsin-Milwaukee 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, conducted jointly by the University of Wisconsin-Milwaukee and UW System Administration.

The proposed program will be housed in the School of Public Health at UW-Milwaukee. The MPH draws on UW-Milwaukee's existing faculty strength in the areas of environmental and occupational health, public health policy and administration, epidemiology, social and behavioral sciences, and biostatistics in the School of Public Health and in associated academic departments in other schools and colleges within UW-Milwaukee. The program also draws on collaborations with the Medical College of Wisconsin (MCW), and other UW system programs.

In June 2008, the Board of Regents approved the formation of the School of Public Health (SPH) at UW-Milwaukee with the MPH degree as an integral part of the academic programs offered by the school. The proposed program is intended to meet the needs in the state and, in particular, in Southeast Wisconsin for affordable and accessible public health graduate level education. The proposed MPH will be a key component in supporting the State Health Plan's goal of developing a sufficient and competent public health workforce.

**REQUESTED ACTION**

Approval of Resolution I.1.a.(7), authorizing the implementation of a Master of Public Health at the University of Wisconsin-Milwaukee.

**Program Description**

This degree program prepares students with a broad understanding of the subject matter and analytical methods needed for public health practice. The MPH degree program requires students to develop capacity in organizing, analyzing, interpreting, and communicating knowledge in an applied manner. The public health professionals educated in the UW-Milwaukee SPH will play major roles in addressing myriad and complex health challenges. The guiding principles undergirding this degree are social and environmental justice, health promotion/prevention/ protection, health equity, community-connected/campus partnerships, and evidence-based public health policy.



Students who meet the Graduate School admission requirements must submit GRE scores, transcripts, and letters of recommendation. These materials will be considered in a holistic admissions process, with special attention given to ensuring a diverse student body. Students will work with advisors to choose appropriate coursework and to develop a plan of study. Based on initial diagnostic exams, advisors may suggest remedial courses to best prepare students to succeed in MPH common core coursework.

The proposed MPH will require students to complete 42-45 credit hours of courses made up of a 24-credit required common core and 18-21 credits of courses in one of two tracks offered: 1) Environmental and Occupational Health; and 2) Community and Behavioral Health Promotion. The common core includes a 3-4-credit practical field experience as well as a 2-credit capstone experience.

Full-time students are expected to complete the degree requirements in two years. Part-time students are expected to complete the degree within five calendar years. It is expected that approximately one-third of the students will be part-time students. Most required courses will be offered evenings or online to enable part-time students to complete the degree in a timely fashion.

The Master of Public Health degree will be a terminable degree for the majority of its graduates. The primary audience for the program will be professionals working in non-profit organizations, and at local health departments, of which 13 are located in Milwaukee County alone. Potential students include people who currently work in a public health setting, but may not have completed formal education in public health practice. Some will be interested in the MPH degree in order to transition into a public health career. For example, it is common for nurses to return to school for their MPH. This allows them to transition from a clinical nursing practice in a hospital, homecare setting, or nursing home, into a public health setting. A secondary audience will be traditional-age students pursuing the degree directly after completing their undergraduate education.

## **Program Goals and Objectives**

The objective of the proposed program is to educate students who will become leading public health professionals serving in a variety of settings in Wisconsin and elsewhere to help address the public health needs of their respective communities. In keeping with this objective, students will receive graduate/professional level training in the five core competencies of public health (as determined by the Association of Schools of Public Health [ASPH] and accepted by the accrediting body of schools of public health, the Council on Education in Public Health [CEPH]).

The core competencies for the two tracks are as follows:

### Environmental and Occupational Health Track:

- Describe the direct and indirect human, ecological, and safety effects of major environmental and occupational agents.

- Describe genetic, physiologic, and psychosocial factors that affect susceptibility to adverse health outcomes following exposure to environmental hazards.
- Describe federal and state regulatory programs, guidelines, and authorities that control environmental health issues.
- Specify current environmental risk assessment methods.
- Specify approaches for assessing, preventing, and controlling environmental hazards that pose risks to human health and safety.
- Explain the general mechanisms of toxicity in eliciting a toxic response to various environments and exposures.
- Discuss various risk management and risk communication approaches in relation to issues of environmental justice and equity.
- Develop a testable model of environmental insult.

#### Community and Behavioral Health Promotion Track:

- Identify basic theories, concepts, and models from a range of social and behavioral disciplines that are used in public health research and practice.
- Identify the causes of social and behavioral factors that affect the health of individuals and populations.
- Identify individual, organizational, and community concerns, assets, resources, and deficits for social and behavioral science interventions.
- Identify critical stakeholders for the planning, implementation, and evaluation of public health programs, policies, and interventions.
- Describe steps and procedures for the planning, implementation, and evaluation of public health programs, policies, and interventions.
- Describe the role of social and community factors in both the onset and solution of public health problems.
- Describe the merits of social and behavioral science interventions and policies.
- Apply evidence-based approaches in the development and evaluation of social and behavioral science interventions.
- Apply ethical principles to public health program planning, implementation, and evaluation.
- Specify multiple targets and levels of intervention for social and behavioral science programs and/or policies.

#### **Relation to Institutional Mission**

The proposed MPH will support the UW-Milwaukee mission to promote the economic development of the state by preparing students able to lead in public health settings and address costly critical health needs and disparities. In alignment with UW-Milwaukee's mission to meet the diverse needs of Wisconsin's largest metropolitan area, the MPH will:

- Engage in academic activities in the recognized core disciplines of public health.
- Develop and enhance a diverse public health workforce through educational and professional development opportunities for current and future public health workers.

- Apply experiential learning in various settings to understand the determinants of health for diverse populations and learn best practices for ameliorating disparities.
- Collaborate with community, governmental, medical, and academic agencies to identify potential partnerships and research opportunities to promote the public health of Milwaukee and Wisconsin.

## **Program Assessment**

Faculty have mapped the core competencies (see section on Program Goals) for each track, based on those established by the Association of Schools of Public Health (ASPH) MPH Core Competency Model. With the assistance of the UW-Milwaukee Center for Instructional and Professional Development, program faculty will identify a set of student case studies, writing assignments, essays, and other projects, in courses within the required MPH curriculum that demonstrate select MPH core competencies.

Evidence of student work will be gathered and stored in an ongoing electronic learning competency e-portfolio. The electronic system will not be used to assess individual student progress but instead to assess the ability of the program to demonstrate satisfactory student learning in relation to the core and cross-cutting MPH competencies. The Graduate Program Committee will be responsible for reviewing these materials annually using measurement rubrics. These reviews will assess the extent to which students can demonstrate mastery of MPH core competencies. Based upon this systemic review of portfolios, recommendations for program improvement will be made and forwarded to the full faculty for consideration. Improvements may focus on such items as enhancements to program requirements, curriculum, field experiences, and capstone projects.

The School of Public Health will also conduct one-year post-graduation surveys of alumni as well as “one-year-out surveys” of employers of alumni. Surveys of alumni and employers will continue annually to evaluate the real-world strengths and weaknesses of the academic program from the perspective of student capacity to translate learning into practice.

## **Need**

The health and well being of populations depend to a great extent upon the strength of the public health infrastructure. Essential elements of public health infrastructure include a highly qualified workforce, research that examines root causes of population-level health outcomes and associated health disparities, the identification of strategies to improve overall health outcomes, and the analysis and development of policies to protect the health of the public. There is a critical need to upgrade the knowledge and skills of the current public health workforce, and to train future public health workers as their numbers decline. The city of Milwaukee and state of Wisconsin face a critical need to train new public health workers because, like in the nation as a whole, statistics indicate that more than 50% of the public health workforce is aged 50 years or older.<sup>1</sup>

---

<sup>1</sup> Institute of Medicine. (2002). *Who Will Keep the Public Healthy? Educating Public Health Professionals for the 21st Century*. Washington, D.C.: National Academy Press.

In addition to needing new workers, it is estimated that as many as four out of five public health professionals lack formal public health training.<sup>2</sup> An MPH program at UW-Milwaukee with its two concentrations, along with the current Graduate Certificate Public Health program, will be an indispensable catalyst toward a trained and responsive public health workforce. These academic programs will provide a broad conceptual overview of public health and will ultimately enhance the performance and effectiveness of these professionals.

According to the Association of Schools of Public Health, there is a great increase in demand for public health education. Between 1995 and 2006, nationwide applications for admittance to schools of public health have virtually doubled, from 1,319 to 2,506. According to the United States Bureau of Labor Statistics, “faster than average” growth is expected for Epidemiologists and Health Educators, with 15% and 18% respective increases projected from 2008-2018. The United States Bureau of Labor Statistics projects average growth for Environmental Health Specialists, with an 11% increase projected from 2008 to 2018. This demand is only partially satisfied by a commensurate increase in the number of accredited schools, which grew from 27 to 39 between 1995 and 2006.<sup>3</sup> Currently, there are 44 accredited schools in the nation.<sup>4</sup>

Within Milwaukee and throughout Wisconsin, stakeholders in the community—and public health workers, in particular—have expressed significant interest in advancing education in the field of public health. A survey of the membership of the Milwaukee/Waukesha County Consortium for Emergency Public Health Preparedness, representing more than 500 public health workers, determined that a huge gap exists in affordable and accessible public health graduate level education in Southeast Wisconsin. The survey found that 61% of respondents had only a baccalaureate education and over 80% of those responding were interested in earning an MPH. The proposed MPH will be a key component in supporting the State Health Plan’s goal of developing a sufficient and competent public health workforce.

## Projected Enrollment

As indicated by the constant and regular inquiries regarding this program that have been received by UW-Milwaukee offices during the past two years, a strong enrollment in the implementation year of the program is anticipated.

Year	1 <sup>st</sup> year	2 <sup>nd</sup> year	3 <sup>rd</sup> year	4 <sup>th</sup> year	5 <sup>th</sup> year
New students admitted	20	25	40	40	40
Continuing students	0	18	26	40	43
Total enrollment	20	43	66	80	83
Graduating students	0	14	21	32	35

---

<sup>2</sup> Centers for Disease Control and Prevention, (2001). *A National Strategy to Revitalize Environmental Public Health Services*. Washington, DC.

<sup>3</sup> Institute of Medicine. (2002). *Who Will Keep the Public Healthy? Educating Public Health Professionals for the 21st Century*. Washington, D.C.: National Academy Press.

<sup>4</sup> Current as of October 2010 (<http://www.asph.org/document.cfm?page=200>).

## **Comparable Programs In Wisconsin**

There are two accredited MPH programs available in the UW System, but they are not housed in accredited schools of public health: UW-La Crosse and UW-Madison. UW-La Crosse's MPH focuses on health education. While there is overlap among community health, health education and health promotion, health education is a more specific discipline and graduates are eligible to be CHES-certified (Certified Health Education Specialist). The UW-La Crosse MPH is focused on improving health and well-being through the use of community health education approaches. The UW-Milwaukee program proposes a broader community health and health promotion perspective to educate its students.

UW-Madison offers a generalist MPH program. It allows the student to pursue graduate work in public health without specializing. The proposed MPH, housed in a School of Public Health, will have two tracks, a thematic focus on social and environmental justice, and will afford students a broad and comprehensive public health education.

In Milwaukee, the Medical College of Wisconsin (MCW) offers an online MPH program focused on community health or occupational health/medicine. The latter focus is part of an occupational medicine residency program. The MCW program looks at community health through a medical lens, whereas the proposed UW-Milwaukee program will look at all its tracks through a public health lens.

## **Comparable Programs Outside Wisconsin**

There are schools of public health in all of the states that surround Wisconsin (Minnesota, Iowa, Michigan, and Illinois), each of which has an MPH program. For Wisconsin students interested in public health, the nearest accredited schools of public health are located at the University of Minnesota-Minneapolis and the University of Illinois-Chicago. The commute to both of these locations presents a hardship for many students, as do out-of-state tuition rates at the University of Illinois. Locating the UW-Milwaukee MPH program in Wisconsin's largest metropolitan area will be crucial for many public health learners and workers located within the state. It is clear that UW-Milwaukee's SPH location within Milwaukee will not only be advantageous to both local and regional students, but it will also be advantageous to the country's "Midwestern public health academic belt," increasing collaborative opportunities between Chicago, Milwaukee, Madison, La Crosse, and Minneapolis.

## **Collaboration**

Collaboration with a variety of academic programs within UW-Milwaukee and in other regional institutions, as well as with community agencies, is essential to the SPH and its MPH degree program. The SPH is a partner in a collaborative education program that recently received a five-year, \$3.2 million grant from the U.S. Department of Health and Human Services to establish a new Wisconsin Center for Public Health Education and Training (WiCHPHET). Participants in this program include four higher education institutions in Wisconsin that are currently or soon will be offering an MPH degree: the University of Wisconsin-Madison,

University of Wisconsin-La Crosse, University of Wisconsin-Milwaukee, and the Medical College of Wisconsin. Included within this collaborative grant program will be the development of unique, web-based courses on individual campuses that will be available to students in other MPH programs in the state. WiCHPHET is the first Public Health Training Center in Wisconsin. Field placements for MPH students will be among the projects undertaken by this initiative. The SPH has also been involved in establishing close collaborations with health departments of Milwaukee and other communities. The MPH program will involve practicing professionals working to enhance community-based participatory research and practice-based learning.

## **Diversity**

Appreciating and promoting diversity, as well as the practice of inclusion, are essential to the mission and culture of a school of public health. Such appreciation is vital to maintain the interdisciplinary underpinnings of the curriculum and benefitting from the multiplicities of cultures, ethnicities, and unique assets of the public health workforce and from the breadth of community organizations and initiatives that promote public health. The UWM SPH goes one step further. With a thematic focus of social and environmental justice, diversity and inclusion practices will be of critical emphasis in all aspects of the MPH program's teaching, recruitment, administration, and overall culture.

The MPH program will engage in actions that indicate respect for and appreciation of cultural and individual diversity, including differences based on age, disability, ethnicity, veteran status, gender, gender identity, language, national origin, race, religion, culture, sexual orientation, social economic status, as well as personal learning styles and life experiences. Respect for and understanding of student cultural and individual diversity will be reflected in the MPH program's policies for recruitment, retention, mentoring, and other support (i.e. funding for travel and data presentation). As a school, the SPH will seek funding to support programmatic initiatives to recruit more targeted minority enrollees into the MPH program. The SPH will offer field placements that reflect the cultural and individual diversity of student academic and career interests, as well as the diversity of clients students are expected to serve. The proposed MPH program is designing its courses with the themes of social and environmental justice interwoven throughout them, and, in addition, will seek opportunities to cross-list elective courses with programs focused on diversity, including Women's/Gender Studies, Ethnic Studies, Disabilities Studies, and Global Studies. The UW-Milwaukee MPH program will include a required core course which looks at population health outcomes through the lens of social and environmental justice.

The MPH program will practice inclusion throughout its policies, including adherence to nondiscriminatory policies and operating conditions of UW-Milwaukee, aligning with the university mission "to further academic and professional opportunities at all levels for women, minority, part-time, and financially or educationally disadvantaged students." To this end, all SPH faculty and staff will complete diversity training. All current and future faculty recruitments emphasize the importance of attracting and hiring highly qualified candidates of diverse backgrounds. Applications from minority candidates will be encouraged through advertising positions in appropriate targeted venues, as well as through community networking.

## **Evaluation from External Reviewers**

The proposed program was reviewed by two leaders in the field of public health. In response to the comment from one of the reviewers, the program has reaffirmed its recognition that a professional degree program, like the MPH, needs to be imbued with attention to the many dimensions of practice. The program's intention is to utilize practice-based case materials in instruction and invite public health professionals to join the instructional staff through adjunct appointments. Also, in response to the review, social justice is emphasized as a key value in each track of the program. The other reviewer recognized the need for building faculty strength in epidemiology. In fact, the SPH has just hired one epidemiologist and the recruitment for another is under way.

## **Resource Needs**

The SPH has been building its faculty and staff since its formation in 2009. The MPH program as proposed is designed to have several courses jointly listed with existing courses at UW-Milwaukee. The faculty and instructional staff needed for the program are included in "current costs" in the budget because they are already on staff or have accepted offers to begin employment in August 2011. In the implementation year of the program, there will be 2.65 FTE teaching, with 6 FTE faculty/instructional staff needed when the program is fully implemented. A full-time academic staff member will act as the advisor for the program. Another half-time academic staff person will work on marketing, admissions, and other functions, including acting as liaison with community partners. A half-time classified staff person is included to provide administrative support for the program. The supply and expense budget will cover expenses related to marketing and program administration. The program will generate tuition revenue to provide graduate assistantships (at 50% appointment levels) in proportion to enrollment in the program, funding for supplies and expenses, salaries, and also support for other efforts in SPH

## **RECOMMENDATION**

The University of Wisconsin System recommends approval of Resolution I.1.a.(7), authorizing the implementation of a Master of Public Health degree at the University of Wisconsin-Milwaukee.

## **RELATED REGENT POLICIES**

Regent Policy Document 4-12: Planning and Review Principles for New and Existing Academic Programs and Academic Support Programs

Academic Informational Series #1 (ACIS-1.0, revised April 2010): Statement of the Regent Policy on Academic Planning and Program Review

### BUDGET

	First Year (2011-12)		Second Year (2012-13)		Third Year (2013-14)	
	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
<b>CURRENT COSTS</b>						
Faculty/Instructional Staff	2.625	\$327,206	4.625	\$576,506	6	\$747,900
Graduate Assistants	1	\$27,120	2	\$54,240	2.5	\$67,800
Academic/Classified Staff	2	\$108,000	2	\$108,000	2	\$108,000
Subtotal		\$462,326		\$738,746		\$923,700
<b>ADDITIONAL COSTS</b>						
Supplies & Expenses		\$40,000		\$50,000		\$55,000
<b>TOTAL COSTS</b>	<b>5.625</b>	<b>\$502,326</b>	<b>8.625</b>	<b>\$788,746</b>	<b>10.5</b>	<b>\$978,700</b>
<b>CURRENT RESOURCES</b>						
General Purpose Revenue		\$435,206		\$684,506		\$855,900
<b>ADDITIONAL RESOURCES</b>						
Tuition Revenues		\$67,120		\$104,240		\$122,800
<b>TOTAL RESOURCES</b>		<b>\$502,326</b>		<b>\$788,746</b>		<b>\$978,700</b>

Salaries and fringes included for each category based on average salaries.



Amendments to  
Faculty Personnel Rules  
University of Wisconsin-Eau Claire

EDUCATION COMMITTEE

Resolution I.1.a.(8):

That, upon 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 amendments to the UW-Eau Claire Faculty Personnel Rules.

**FACULTY PERSONNEL RULES  
UNIVERSITY OF WISCONSIN-EAU CLAIRE**

**EXECUTIVE SUMMARY**

**BACKGROUND**

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

The proposed changes to the UW-Eau Claire Faculty and Academic Staff Rules and Procedures pertain to the “Post-Tenure Review Subcommittee of the Department Personnel Committee,” and occur in Chapter 5, pages 28-30. They were approved by the UW-Eau Claire Senate on April 13, 2010, and are recommended by Chancellor Brian Levin-Stankevich. They have been reviewed by the UW System Office of General Counsel, which has determined that the changes meet the requirements of the Wisconsin Administrative Code.

Following are three versions of the two relevant sections of the UW-Eau Claire Faculty Personnel Rules: (A) the original versions before changes; (B) versions with proposed changes highlighted and deletions crossed out; (C) clean copies as these sections would read subsequent to Board approval.

**REQUESTED ACTION**

Approval of resolution I.1.a.(8), approving revisions to the UW-Eau Claire Faculty Personnel Rules.

**DISCUSSION**

The proposed revisions to the UW-Eau Claire Faculty Personnel Rules modifies slightly the organization and the charge to the committee responsible for post-tenure review of faculty, and also contain revisions to the procedures applying to the post-tenure review of department chairs.

The proposed revisions to the organization of the Subcommittee of the Department Personnel Committee concerned with faculty post-tenure review allows a provision for a committee member to resign from the subcommittee, whereas the current rules contain no such provision. Further, whereas in the original version the minimum required number of subcommittee members was set at three before a functional equivalent subcommittee could replace the subcommittee, in the revised rules, two participating faculty members will suffice to carry out the subcommittee’s charge.

Regarding the charge to the subcommittee, the proposed revision specifies that the committee’s written evaluation shall not contain a salary recommendation. Instead, following

the post-tenure review, faculty may request the consideration of a compression salary adjustment from the department chair.

Regarding the procedures for post-tenure review of the department chair, the proposed revisions include changes to the role of the dean in the post-tenure review process of a department chair.

## **RECOMMENDATIONS**

UW System Administration recommends approval of Resolution I.1.a.(8), approving the revisions to the UW-Eau Claire Faculty Personnel Rules.

## **RELATED REGENT POLICIES**

None.

**(Version A – ORIGINAL VERSION BEFORE CHANGES)**

**UW-Eau Claire Faculty and Academic Staff Rules and Procedures on the Organization of the Post-Tenure Review Subcommittee of the Department Personnel Committee**

**Chapter 5, pages 28-30**

*Post-Tenure Review Subcommittee of the Department Personnel Committee*

**MEMBERSHIP**

Each post-tenure review subcommittee shall consist of members of the Department Personnel Committee that hold the same or higher rank as those being reviewed.

**ORGANIZATION**

Initially, and as necessary thereafter, the Department Chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the necessary post-tenure review subcommittees.

For all assistant professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Assistant Professor or higher. For all associate professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Associate Professor or higher. For all professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding the rank of Professor. In no case shall a member of the DPC serve on a post-tenure review subcommittee during the same year in which he/she is also undergoing a post-tenure review.

In order to formally organize and perform a review, a post-tenure subcommittee must have two or more members. Each eligible faculty member has a responsibility to serve on all appropriate post-tenure review subcommittees. Moreover, there is no provision for resignation from these subcommittees. An individual must decline to participate in actions of the subcommittee when there is a real or perceived conflict of interest. If the failure of an individual faculty member to participate in the subcommittee's actions reduces the number of participating members to fewer than three, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

**FUNCTIONAL EQUIVALENT**

If any of the post-tenure review subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Post-Tenure Review Subcommittee in such situations, the Department Chair in conjunction with the faculty eligible for membership on the appropriate post-tenure review subcommittee shall operate as the functional equivalent of the post-tenure review subcommittee.

The functional equivalent shall be treated as the post-tenure review subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the post-tenure review subcommittee.

In those cases where the Department Chair is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply.

### CHARGE TO THE COMMITTEE

Each post-tenure review subcommittee shall be responsible for conducting a review of those faculty members who are scheduled for post-tenure reviews and who hold a rank no higher than that of any member of the subcommittee. Each review shall be both summative and formative in nature with the express purpose of both evaluating past performance and facilitating improvement in future performance. Each subcommittee shall develop a written evaluation for its assigned faculty members. For faculty under below the rank of Professor, the evaluation must include explicit discussion of the faculty members' progress toward promotion to the next rank; subcommittee members at the same rank as the faculty member being reviewed shall be excluded from this specific discussion. For faculty at the rank of Professor, the evaluation must include explicit discussion of the faculty member's growth and professional development. The written evaluation shall not contain any recommendations as to administrative action to be taken as a result of the review.

### PROCEDURES

Each post-tenure review subcommittee shall give the faculty member at least 20 days advance written notice of the start of the post-tenure review process. This notice will inform the faculty member of his/her right to present to the committee written information related to the faculty member's performance and of his/her right to request an opportunity to appear before the committee to explain the information presented and to provide input to focus the formative portion of the evaluation. At the time the reviewing subcommittee forwards its written evaluation to the Department Chair, written notice must be given to the faculty member indicating that the review has been completed and that the written evaluation has been submitted.

This notice shall include a copy of the written report and shall inform the faculty member of his/her right to discuss the report with the Department Chair and of his/her right to submit to the Department Chair a written response to the report within 5 days of the notice. After reviewing the submitted materials, the Department Chair may attach an additional written response to the subcommittee report. The Department Chair shall then return the evaluation and any responses to the faculty member and acknowledge completion of the process to the Dean.

### POST-TENURE REVIEW OF THE DEPARTMENT CHAIR

The post-tenure review of the Department Chair shall adhere to the normal policies and procedures that govern all post-tenure reviews except that the most senior member of the post-tenure review subcommittee shall fulfill those responsibilities normally associated with the Department Chair. As with all post-tenure reviews, the evaluation of the Department Chair shall be conducted relative to the faculty performance criteria outlined in Department Evaluation Plan of the Chair's department. In particular, the Department Chair is to be evaluated against criteria for teaching, scholarship, service and advising. In those cases where there are no eligible faculty to serve on the post-tenure review subcommittee for the Department Chair, the Dean, in consultation with the Department Chair, shall select three tenured faculty at or above the rank of the Department Chair and from disciplines similar to that of the Department Chair to serve as the post-tenure review committee. This committee shall be explicitly instructed to limit their review to the policies outlined in the Department Evaluation Plan of the Chair's department. The Dean shall appoint one member of the post-tenure review committee to assume the responsibilities normally delegated to the Department Chair in the post-tenure review process.

**(Version B – VERSION with TRACKED CHANGES)**

**UW-Eau Claire Faculty and Academic Staff Rules and Procedures on the Organization of the Post-Tenure Review Subcommittee of the Department Personnel Committee**

**Chapter 5, pages 28-30**

*Post-Tenure Review Subcommittee of the Department Personnel Committee*

**MEMBERSHIP**

Each post-tenure review subcommittee shall consist of members of the Department Personnel Committee that hold the same or higher rank as those being reviewed.

**ORGANIZATION**

Initially, and as necessary thereafter, the Department Chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the necessary post-tenure review subcommittees.

For all assistant professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Assistant Professor or higher. For all associate professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Associate Professor or higher. For all professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding the rank of Professor. In no case shall a member of the DPC serve on a post-tenure review subcommittee during the same year in which he/she is also undergoing a post-tenure review.

In order to formally organize and perform a review, a post-tenure subcommittee must have two or more members. Each eligible faculty member has a responsibility to serve on all appropriate post-tenure review subcommittees. ~~Moreover, there is no provision for resignation from these subcommittees.~~ An individual must decline to participate in actions of the subcommittee when there is a real or perceived conflict of interest. If the failure of an individual faculty member to participate in the subcommittee's actions reduces the number of participating members to fewer than ~~three~~ **two**, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

**FUNCTIONAL EQUIVALENT**

If any of the post-tenure review subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Post-Tenure Review Subcommittee in such situations, the Department Chair in conjunction with the faculty eligible for membership on the appropriate post-tenure review subcommittee shall operate as the functional equivalent of the post-tenure review subcommittee.

The functional equivalent shall be treated as the post-tenure review subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the post-tenure review subcommittee.

In those cases where the Department Chair is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply.

**CHARGE TO THE COMMITTEE**

Each post-tenure review subcommittee shall be responsible for conducting a review of those faculty members who are scheduled for post-tenure reviews and who hold a rank no higher than that of any

member of the subcommittee. Each review shall be both summative and formative in nature with the express purpose of both evaluating past performance and facilitating improvement in future performance. Each subcommittee shall develop a written evaluation for its assigned faculty members. For faculty under below the rank of Professor, the evaluation must include explicit discussion of the faculty members' progress toward promotion to the next rank; subcommittee members at the same rank as the faculty member being reviewed shall be excluded from this specific discussion. For faculty at the rank of Professor, the evaluation must include explicit discussion of the faculty member's growth and professional development. The written evaluation shall not contain any recommendations as to administrative action to be taken as a result of the review, **nor any salary recommendation. Following the post-tenure review, a faculty member may request the department chair to recommend a compression salary adjustment as outlined in the Comprehensive Salary Plan approved by the University Senate.**

#### PROCEDURES

Each post-tenure review subcommittee shall give the faculty member at least 20 days advance written notice of the start of the post-tenure review process. This notice will inform the faculty member of his/her right to present to the committee written information related to the faculty member's performance and of his/her right to request an opportunity to appear before the committee to explain the information presented and to provide input to focus the formative portion of the evaluation. At the time the reviewing subcommittee forwards its written evaluation to the Department Chair, written notice must be given to the faculty member indicating that the review has been completed and that the written evaluation has been submitted.

This notice shall include a copy of the written report and shall inform the faculty member of his/her right to discuss the report with the Department Chair and of his/her right to submit to the Department Chair a written response to the report within 5 days of the notice. After reviewing the submitted materials, the Department Chair may attach an additional written response to the subcommittee report. The Department Chair shall then return the evaluation and any responses to the faculty member and acknowledge completion of the process to the Dean.

#### POST-TENURE REVIEW OF THE DEPARTMENT CHAIR

The post-tenure review of the Department Chair shall adhere to the normal policies and procedures that govern all post-tenure reviews except that the most senior member of the post-tenure review subcommittee shall fulfill those responsibilities normally associated with the Department Chair, **unless that person is the sole member of the committee, in which case the Dean will serve the role of department chair and the senior most member will constitute the review committee.** As with all post-tenure reviews, the evaluation of the Department Chair shall be conducted relative to the faculty performance criteria outlined in Department Evaluation Plan of the Chair's department. In particular, the Department Chair is to be evaluated against criteria for teaching, scholarship, service and advising. In those cases where there are no eligible faculty to serve on the post-tenure review subcommittee for the Department Chair, the Dean **shall serve the role of department chair and shall**, in consultation with the Department Chair, shall select three **up to two** tenured faculty at or above the rank of the Department Chair and from disciplines similar to that of the Department Chair to serve as the post-tenure review committee. This committee shall be explicitly instructed to limit their review to the policies outlined in the Department Evaluation Plan of the Chair's department. ~~The Dean shall appoint one member of the post-tenure review committee to assume the responsibilities normally delegated to the Department Chair in the post-tenure review process.~~

**(Version C – CLEAN VERSION AFTER CHANGES)**

**UW-Eau Claire Faculty and Academic Staff Rules and Procedures on the Organization of the Post-Tenure Review Subcommittee of the Department Personnel Committee**

**Amended language: Chapter 5, pages 28-30**

*Post-Tenure Review Subcommittee of the Department Personnel Committee*

**MEMBERSHIP**

Each post-tenure review subcommittee shall consist of members of the Department Personnel Committee that hold the same or higher rank as those being reviewed.

**ORGANIZATION**

Initially, and as necessary thereafter, the Department Chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the necessary post-tenure review subcommittees.

For all assistant professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Assistant Professor or higher. For all associate professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Associate Professor or higher. For all professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding the rank of Professor. In no case shall a member of the DPC serve on a post-tenure review subcommittee during the same year in which he/she is also undergoing a post-tenure review.

In order to formally organize and perform a review, a post-tenure subcommittee must have two or more members. Each eligible faculty member has a responsibility to serve on all appropriate post-tenure review subcommittees. An individual must decline to participate in actions of the subcommittee when there is a real or perceived conflict of interest. If the failure of an individual faculty member to participate in the subcommittee's actions reduces the number of participating members to fewer than two, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

**FUNCTIONAL EQUIVALENT**

If any of the post-tenure review subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Post-Tenure Review Subcommittee in such situations, the Department Chair in conjunction with the faculty eligible for membership on the appropriate post-tenure review subcommittee shall operate as the functional equivalent of the post-tenure review subcommittee.

The functional equivalent shall be treated as the post-tenure review subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the post-tenure review subcommittee.

In those cases where the Department Chair is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply.

**CHARGE TO THE COMMITTEE**

Each post-tenure review subcommittee shall be responsible for conducting a review of those faculty members who are scheduled for post-tenure reviews and who hold a rank no higher than that of any



member of the subcommittee. Each review shall be both summative and formative in nature with the express purpose of both evaluating past performance and facilitating improvement in future performance. Each subcommittee shall develop a written evaluation for its assigned faculty members. For faculty under below the rank of Professor, the evaluation must include explicit discussion of the faculty members' progress toward promotion to the next rank; subcommittee members at the same rank as the faculty member being reviewed shall be excluded from this specific discussion. For faculty at the rank of Professor, the evaluation must include explicit discussion of the faculty member's growth and professional development. The written evaluation shall not contain any recommendations as to administrative action to be taken as a result of the review, nor any salary recommendation. Following the post-tenure review, a faculty member may request the department chair to recommend a compression salary adjustment as outlined in the Comprehensive Salary Plan approved by the University Senate.

## PROCEDURES

Each post-tenure review subcommittee shall give the faculty member at least 20 days advance written notice of the start of the post-tenure review process. This notice will inform the faculty member of his/her right to present to the committee written information related to the faculty member's performance and of his/her right to request an opportunity to appear before the committee to explain the information presented and to provide input to focus the formative portion of the evaluation. At the time the reviewing subcommittee forwards its written evaluation to the Department Chair, written notice must be given to the faculty member indicating that the review has been completed and that the written evaluation has been submitted.

This notice shall include a copy of the written report and shall inform the faculty member of his/her right to discuss the report with the Department Chair and of his/her right to submit to the Department Chair a written response to the report within 5 days of the notice. After reviewing the submitted materials, the Department Chair may attach an additional written response to the subcommittee report. The Department Chair shall then return the evaluation and any responses to the faculty member and acknowledge completion of the process to the Dean.

## POST-TENURE REVIEW OF THE DEPARTMENT CHAIR

The post-tenure review of the Department Chair shall adhere to the normal policies and procedures that govern all post-tenure reviews except that the most senior member of the post-tenure review subcommittee shall fulfill those responsibilities normally associated with the Department Chair, unless that person is the sole member of the committee, in which case the Dean will serve the role of department chair and the senior most member will constitute the review committee. As with all post-tenure reviews, the evaluation of the Department Chair shall be conducted relative to the faculty performance criteria outlined in Department Evaluation Plan of the Chair's department. In particular, the Department Chair is to be evaluated against criteria for teaching, scholarship, service and advising. In those cases where there are no eligible faculty to serve on the post-tenure review subcommittee for the Department Chair, the Dean shall serve the role of department chair and shall, in consultation with the Department Chair, shall select three up to two tenured faculty at or above the rank of the Department Chair and from disciplines similar to that of the Department Chair to serve as the post-tenure review committee. This committee shall be explicitly instructed to limit their review to the policies outlined in the Department Evaluation Plan of the Chair's department.

Amendments to  
Faculty Personnel Rules  
University of Wisconsin-Madison

EDUCATION COMMITTEE

Resolution I.1.a.(9):

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

**FACULTY PERSONNEL RULES  
UNIVERSITY OF WISCONSIN-MADISON**

**EXECUTIVE SUMMARY**

**BACKGROUND**

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

The proposed revisions to the UW-Madison Faculty Policies and Procedures include proposed revisions to Chapter 1.02.B. relating to faculty appointments, and Chapter 8.01 relating to faculty rights. The proposed revisions were approved by the UW-Madison Faculty Senate in April 2010, and endorsed by Chancellor Carolyn “Biddy” Martin in October, 2010. They have been reviewed by the UW System Office of General Counsel, which has determined that the changes are consistent with State law and Regent and UW System policy.

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

**REQUESTED ACTION**

Approval of resolution I.1.a.(9), approving revisions to the UW-Madison Faculty Personnel Rules.

**DISCUSSION**

The proposed revision to Chapter 1.02.B. extends to UW-Madison departments the ability to recommend that researchers at the Morgridge Institute for Research who qualify for faculty appointments become members of the faculty. The UW-Madison Faculty Policies and Procedures currently allow departments to recommend that exceptional state and federal employees receive such appointments and thereby receive the same university rights as their faculty colleagues.

Chapter 8 of the UW-Madison Faculty Policies and Procedures includes general statements regarding faculty duties and rights. The proposed revision to Section 8.01 defines “academic freedom” as it is used in this chapter. The context for the proposed revisions includes the U.S. Supreme Court’s 2006 opinion in *Garcetti v. Ceballos*, and subsequent lower court decisions relating to the ability of state agencies to discipline employees for making statements pursuant to their official duties. The *Garcetti* Court held that the First Amendment does not insulate employees from discipline for such statements, but specifically declined to answer whether the same rule would apply to speech related to scholarship or teaching at a public

university. In the face of this uncertainty, the Board of Regents of the University of Minnesota amended its Policy on Academic Freedom and Responsibility in June, 2009, to incorporate the same language now proposed by the UW-Madison Faculty Senate.

## **RECOMMENDATIONS**

UW System Administration recommends approval of Resolution I.1.a.(9), approving the revisions to the UW-Madison Faculty Personnel Rules.

## **RELATED REGENT POLICIES**

None.

(Version A)

**UW-Madison Faculty Policies and Procedures on Agency Employees Being Granted the Same Rights as Faculty 1.02.B.**

**ORIGINAL VERSION BEFORE CHANGES**

1.02.

UNIVERSITY FACULTY.

- A. The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension. Use of these titles and the definition of fractional appointments are governed by Chapters 4, 5, and 7 of these rules.
- B. In exceptional cases, an employee of a state or federal agency, with at least a one-half time appointment in that agency, and whose salary is not paid by the university, but who is otherwise qualified for membership in the faculty, may be appointed to the faculty with the instructional, research, and service responsibilities of a tenure or tenure-track member. Such appointments require the affirmative recommendation of the concerned department(s) and dean(s), the approval of the University Committee, and must otherwise comply with the regulations set forth in Chapter 7 of these policies and procedures. Such appointments continue only for the duration of the individual's employment relationship with the state or federal agency while assigned in Madison. Appointments governed by this subsection convey full membership in the university faculty but do not obligate the university for salary in any event.
- C. As used throughout these rules, an "appointment" (unmodified) is a contractual agreement between an individual and a department, school, college, or other unit of the university. The elements of an appointment are (1) duties; (2) title; (3) percentage time commitment; (4) beginning and ending dates; (5) financial remuneration, if any; (6) departments or other units involved; and (7) governance rights. "Appointment" may also be modified: "Tenure appointments" and "probationary appointments" are defined in 7.01. A "joint appointment" involves more than one department. A "joint probationary appointment" or "joint tenure appointment" occurs when two or more departments share a continuing commitment to a faculty member under the provisions of 7.02 and 7.19. A "joint governance appointment" is defined in 5.12 and does not confer a continuing commitment or tenure.

(Version B)

**UW-Madison Faculty Document on Agency Employees Being Granted the Same Rights as Faculty**

**VERSION SHOWING CHANGES TRACKED**

University of Wisconsin  
2185  
Madison  
2010

Faculty Document  
  
1 March

---

**UNIVERSITY COMMITTEE RECOMMENDATION TO  
AMEND  
*FACULTY POLICIES AND PROCEDURES***

**1.02.B. Background**

*Faculty Policies and Procedures* 1.02.B. language dates back to 1978-79, when it was drafted by the University Committee. It was adopted by the Faculty Senate in September 1979 and amended in 2007. The provision was created as a mechanism to benefit and strengthen the relationship that the university enjoys with its governmental agency partners. The statute permits that exceptional agency employees may be granted the same university rights as those of their faculty colleagues, with whom they work and collaborate. Further, the appointment of agency personnel as faculty recognizes the significant value that their intellectual contributions add to the academic enterprise of the university.

**Morgridge Institute for Research**

The Morgridge Institute for Research (MIR), the privately funded research enterprise established to partner with the state-funded Wisconsin Institute for Discovery (WID), will soon be bringing to Madison as its employees outstanding researchers, some of whom may qualify for appointment to the faculty. An amendment to *FPP* 1.02.B. that would extend to departments the ability to recommend that Morgridge Institute of Research investigators become members of the UW-Madison faculty, in the same manner that state and federal employees can be appointed to the faculty, would add value to the university and the state, to WID, to MIR, and to our students.

The University Committee believes that the addition of Morgridge Institute for Research employees to the provisions of *FPP* 1.02.B. is in the best interest of the university and the state.

---

**1.02. UNIVERSITY FACULTY.**

- A. The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-

Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension. Use of these titles and the definition of fractional appointments are governed by Chapters 4, 5, and 7 of these rules.

- B. In exceptional cases, an employee of a state or federal agency, or the Morgridge Institute for Research, with at least a one-half time appointment in that agency with that employer, and whose salary is not paid by the university, but who is otherwise qualified for membership in the faculty, may be appointed to the faculty with the instructional, research, and service responsibilities of a tenure or tenure-track member. Such appointments require the affirmative recommendation of the concerned department(s) and dean(s), the approval of the University Committee, and must otherwise comply with the regulations set forth in Chapter 7 of these policies and procedures. Such appointments continue only for the duration of the individual's employment relationship with the state or federal agency above referenced employer while assigned in Madison. Appointments governed by this subsection convey full membership in the university faculty but do not obligate the university for salary in any event.
- C. As used throughout these rules, an "appointment" (unmodified) is a contractual agreement between an individual and a department, school, college, or other unit of the university. The elements of an appointment are (1) duties; (2) title; (3) percentage time commitment; (4) beginning and ending dates; (5) financial remuneration, if any; (6) departments or other units involved; and (7) governance rights. "Appointment" may also be modified: "Tenure appointments" and "probationary appointments" are defined in 7.01. A "joint appointment" involves more than one department. A "joint probationary appointment" or "joint tenure appointment" occurs when two or more departments share a continuing commitment to a faculty member under the provisions of 7.02. and 7.19. A "joint governance appointment" is defined in 5.12. and does not confer a continuing commitment or tenure.

(Version C)

**UW-Madison Faculty Document on Agency Employees Being Granted the Same Rights as Faculty  
CLEAN, ALTERED VERSION AFTER CHANGES WERE MADE**

**University of Wisconsin  
2185  
Madison**

**Faculty Document**

---

*(As adopted by the Faculty Senate at its meeting on 12 April 2010)*

**UNIVERSITY COMMITTEE RECOMMENDATION TO  
AMEND FACULTY POLICIES AND PROCEDURES 1.02.B.**

**Background**

*Faculty Policies and Procedures* 1.02.B. language dates back to 1978-79, when it was drafted by the University Committee. It was adopted by the Faculty Senate in September 1979 and amended in 2007. The provision was created as a mechanism to benefit and strengthen the relationship that the university enjoys with its governmental agency partners. The statute permits that exceptional agency employees may be granted the same university rights as those of their faculty colleagues, with whom they work and collaborate. Further, the appointment of agency personnel as faculty recognizes the significant value that their intellectual contributions add to the academic enterprise of the university.

**Morgridge Institute for Research**

The Morgridge Institute for Research (MIR), the privately funded research enterprise established to partner with the state-funded Wisconsin Institute for Discovery (WID), will soon be bringing to Madison as its employees outstanding researchers, some of whom may qualify for appointment to the faculty. An amendment to *FPP* 1.02.B. that would extend to departments the ability to recommend that Morgridge Institute of Research investigators become members of the UW-Madison faculty, in the same manner that state and federal employees can be appointed to the faculty, would add value to the university and the state, to WID, to MIR, and to our students.

The University Committee believes that the addition of Morgridge Institute for Research employees to the provisions of *FPP* 1.02.B. is in the best interest of the university and the state.

---

**1.02. UNIVERSITY FACULTY.**

- A. The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension. Use of these titles and the definition of fractional appointments are governed by Chapters 4, 5,



and 7 of these rules.

- B. In exceptional cases, an employee of a state or federal agency, or the Morgridge Institute for Research, with at least a one-half time appointment with that employer, and whose salary is not paid by the university, but who is otherwise qualified for membership in the faculty, may be appointed to the faculty with the instructional, research, and service responsibilities of a tenure or tenure-track member. Such appointments require the affirmative recommendation of the concerned department(s) and dean(s), the approval of the University Committee, and must otherwise comply with the regulations set forth in Chapter 7 of these policies and procedures. Such appointments continue only for the duration of the individual's employment relationship with the above referenced employer while assigned in Madison. Appointments governed by this subsection convey full membership in the university faculty but do not obligate the university for salary in any event.
- C. As used throughout these rules, an "appointment" (unmodified) is a contractual agreement between an individual and a department, school, college, or other unit of the university. The elements of an appointment are (1) duties; (2) title; (3) percentage time commitment; (4) beginning and ending dates; (5) financial remuneration, if any; (6) departments or other units involved; and (7) governance rights. "Appointment" may also be modified: "Tenure appointments" and "probationary appointments" are defined in 7.01. A "joint appointment" involves more than one department. A "joint probationary appointment" or "joint tenure appointment" occurs when two or more departments share a continuing commitment to a faculty member under the provisions of 7.02. and 7.19. A "joint governance appointment" is defined in 5.12. and does not confer a continuing commitment or tenure.

(Version A)

**UW-Madison Faculty Policies and Procedures on Academic Freedom– ORIGINAL VERSION BEFORE CHANGES**

**8.01. FACULTY RIGHTS.**

- A. Members of the faculty individually enjoy and exercise all rights secured to them by the Constitutions of the United States and the State of Wisconsin, and by the principles of academic freedom as they are generally understood in higher education, including professional behavior standards and the expectation of academic due process and just cause, as well as rights specifically granted to them by: regent action, University of Wisconsin System rules, these policies and procedures, and relevant practices or established custom of their colleges or schools and departments.
- B. In any consideration of matters of tenure and academic freedom, the following statement of policy is relevant. It was enunciated at the time of the previous codification of the Laws and Regulations of the University of Wisconsin by the Regents of the University of Wisconsin on January 10, 1964. “In adopting this codification of the rules and regulations of the University of Wisconsin relating to tenure, the Regents reaffirm their historic commitment to security of professorial tenure and to the academic freedom it is designed to protect. These rules and regulations are promulgated in the conviction that in serving a free society the scholar must himself be free. Only thus can he seek the truth, develop wisdom and contribute to society those expressions of the intellect that ennoble mankind. The security of the scholar protects him not only against those who would enslave the mind but also against anxieties which divert him from his role as scholar and teacher. The concept of intellectual freedom is based upon confidence in man’s capacity for growth in comprehending the universe and on faith in unshackled intelligence. The university is not partisan to any party or ideology, but it is devoted to the discovery of truth and to understanding the world in which we live. The Regents take this opportunity to rededicate themselves to maintaining in this university those conditions which are indispensable for the flowering of the human mind.”

(Version B)

**UW-Madison Faculty Document on Academic Freedom-- VERSION SHOWING CHANGES TRACKED**

**University of Wisconsin  
Madison**

**Faculty Document 2186  
1 March 2010**

---

**RECOMMENDATION TO AMEND *FACULTY POLICIES AND PROCEDURES* 8.01.**

*Sponsored by Donald Downs (District 68), Lester Hunt (District 66), Bruce Jones (District 1), Barry Orton (District 115), Jean-Pierre Rosay (District 63), Eric Schatzberg (District 82), Howard Schweber (District 68), John Sharpless (District 60), Bruce Thomadsen (District 88), Stephen Vaughn (District 61), and the University Committee*

**The Basic Issue**

We ask that the Faculty Senate consider an important issue regarding academic freedom that has arisen in the wake of a 2006 U.S. Supreme Court decision, *Garcetti v. Ceballos*. The issue has gained national attention, and many academic freedom organizations have called for appropriate remedial action. The issue pertains to the right of faculty members to criticize or question policies and actions undertaken by their respective institutions. Our intention is to amend *Faculty Policies and Procedures* in order to address this problem.

**Background**

In 2006, the U.S. Supreme Court rendered an opinion that poses a threat to the academic freedom of faculty members who make statements that challenge institutional authority and/or positions. In *Garcetti v. Ceballos*, the court held that an assistant district attorney could be punished by his office for complaining in a memorandum that the office had been submitting too many affidavits for warrants that were unsupported by probable cause.

Even though Ceballos' comments raised important questions about an important public office, the court concluded that he was not speaking as a private citizen, but rather was speaking pursuant to his official duties as an employee. Consequently, his speech did not merit First Amendment protection. In order for employee speech to be protected by the First Amendment, the person must be speaking as a "private citizen" about a "matter of public interest." Ceballos fell short because he was speaking pursuant to his official duties.

*Garcetti v. Ceballos* narrowed the First Amendment protection of public employees who make statements critical of their employers. The issue is not that Ceballos and similarly situated individuals should always prevail in their First Amendment claims, but rather that the court ruled that the First Amendment provides no protection whatsoever when it comes to speech made as part of one's official duties. In the past, the court applied a First Amendment balancing test to public employee speech that addressed a "matter of public concern." *Garcetti v. Ceballos* withdraws this protection if an employee is speaking as part of his or her official duty—a term that is broadly defined for most faculty members.

In a dissent in *Garcetti v. Ceballos*, Justice Souter worried that the new doctrine could harm the academic freedom of faculty members, whose jobs often involve vigorous debate concerning university matters. Our campus has witnessed vigorous debates in recent decades over such matters as free speech, academic freedom, the Athletic Board, the Madison Plan, sexual orientation and the military, and the Graduate School. These and other issues have often led to the formation of policy, yet such policy has seldom ended the debate.

Judicial events since *Garcetti v. Ceballos* indicate that Justice Souter's concerns were well founded. In *Renken v. Gregory* (2008), an engineering professor was punished for internally criticizing how the University of Wisconsin-Milwaukee was handling a grant he had received from the NSF; and in *Hong v. Grant* (2007), a professor at the University of California at Irvine was denied a merit raise because he had

criticized the engineering school's actions regarding hiring, promotions, and staff. And in *Gorum v. Sessoms* (2007), a professor was terminated after several public clashes with the president of Delaware State University. In each of these cases the courts refused to apply a First Amendment balancing test on the basis of the *Garcetti v. Ceballos* decision.

The impact of *Garcetti v. Ceballos* has garnered much commentary, including: reforms enacted by the Faculty Senate of the University of Minnesota; an article by Peter Schmidt in the *Chronicle of Higher Education* ("Balancing of Power: Professors' Freedoms Under Assault in the Courts," 27 February 2009: <http://chronicle.com/free/v55/i25/25a00103.htm>); and extensive coverage by the AAUP (see the AAUP's website: <http://www.aaup.org/AAUP/protectvoice/Legal/> "Legal Cases Affecting Free Speech."

### **Conclusion**

State law (Wisconsin Administrative Code UWS 4.01(2)) says that faculty members enjoy "all the rights and privileges of a United States citizen, and the rights and privileges of academic freedom as they are generally understood in the academic community. This policy shall be observed in determining whether or not just cause for dismissal exists. The burden of proof of the existence of just cause for a dismissal is on the administration."

Faculty must be free "to speak or write without institutional discipline or restraint on matters of public concern as well as on matters related to professional duties and the functioning of the university" (AAUP1994 statement "On the Relationship of Faculty Governance to Academic Freedom"). The proposed amendment to *Faculty Policies and Procedures* 8.01. would provide principled protection for faculty engaged in speech pursuant to their official duties. It would also provide a concrete definition of academic freedom that has been missing from *FPP* while also providing the university with appropriate power to punish true insubordination.

---

### **8.01. FACULTY RIGHTS.**

- A. Members of the faculty individually enjoy and exercise all rights secured to them by the Constitutions of the United States and the State of Wisconsin, and by the principles of academic freedom as they are generally understood in higher education, including professional behavior standards and the expectation of academic due process and just cause, as well as rights specifically granted to them by: regent action, University of Wisconsin System rules, these policies and procedures, and relevant practices or established custom of their colleges or schools and departments.
- B. Academic freedom is the freedom to discuss and present scholarly opinions and conclusions regarding all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to reach conclusions according to one's scholarly discernment. It also includes the right to speak or write—as a private citizen or within the context of one's activities as an employee of the university—without institutional discipline or restraint on matters of public concern as well as on matters related to professional duties, the functioning of the university, and university positions and policies.

Academic responsibility implies the faithful performance of professional duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that when one is speaking on matters of public interest or concern, one is speaking on behalf of oneself, not the institution.

- ~~B.~~ C. In any consideration of matters of tenure and academic freedom, the following statement of policy is relevant. It was enunciated at the time of the previous codification of the Laws and Regulations of the University of Wisconsin by the Regents of the University of Wisconsin on January 10, 1964. "In adopting this codification of the rules and regulations of the University of Wisconsin relating to tenure, the Regents reaffirm their historic commitment to security of professorial tenure and to the academic

(continued)

freedom it is designed to protect. These rules and regulations are promulgated in the conviction that in serving a free society the scholar must himself be free. Only thus can he seek the truth, develop wisdom and contribute to society those expressions of the intellect that ennoble mankind. The security of the scholar protects him not only against those who would enslave the mind but also against anxieties which divert him from his role as scholar and teacher. The concept of intellectual freedom is based upon confidence in man's capacity for growth in comprehending the universe and on faith in unshackled intelligence. The university is not partisan to any party or ideology, but it is devoted to the discovery of truth and to understanding the world in which we live. The Regents take this opportunity to rededicate themselves to maintaining in this university those conditions which are indispensable for the flowering of the human mind.”

(Version C)

**UW-Madison Faculty Document on Academic Freedom**

**CLEAN, ALTERED VERSION AFTER CHANGES WERE MADE**

**University of Wisconsin  
Madison**

**Faculty Document 2186**

---

*(As adopted by the Faculty Senate at its meeting on 12 April 2010)*

**RECOMMENDATION TO AMEND FACULTY POLICIES AND PROCEDURES 8.01.**

*Sponsored by Donald Downs (District 68), Lester Hunt (District 66), Bruce Jones (District 1), Barry Orton (District 115), Jean-Pierre Rosay (District 63), Eric Schatzberg (District 82), Howard Schweber (District 68), John Sharpless (District 60), Bruce Thomadsen (District 88), Stephen Vaughn (District 61), and the University Committee*

**The Basic Issue**

We ask that the Faculty Senate consider an important issue regarding academic freedom that has arisen in the wake of a 2006 U.S. Supreme Court decision, *Garcetti v. Ceballos*. The issue has gained national attention, and many academic freedom organizations have called for appropriate remedial action. The issue pertains to the right of faculty members to criticize or question policies and actions undertaken by their respective institutions. Our intention is to amend *Faculty Policies and Procedures* in order to address this problem.

**Background**

In 2006, the U.S. Supreme Court rendered an opinion that poses a threat to the academic freedom of faculty members who make statements that challenge institutional authority and/or positions. In *Garcetti v. Ceballos*, the court held that an assistant district attorney could be punished by his office for complaining in a memorandum that the office had been submitting too many affidavits for warrants that were unsupported by probable cause.

Even though Ceballos' comments raised important questions about an important public office, the court concluded that he was not speaking as a private citizen, but rather was speaking pursuant to his official duties as an employee. Consequently, his speech did not merit First Amendment protection. In order for employee speech to be protected by the First Amendment, the person must be speaking as a "private citizen" about a "matter of public interest." Ceballos fell short because he was speaking pursuant to his official duties.

*Garcetti v. Ceballos* narrowed the First Amendment protection of public employees who make statements critical of their employers. The issue is not that Ceballos and similarly situated individuals should always prevail in their First Amendment claims, but rather that the court ruled that the First Amendment provides no protection whatsoever when it comes to speech made as part of one's official duties. In the past, the court applied a First Amendment balancing test to public employee speech that addressed a "matter of public concern." *Garcetti v. Ceballos* withdraws this protection if an employee is speaking as part of his or her official duty—a term that is broadly defined for most faculty members.

In a dissent in *Garcetti v. Ceballos*, Justice Souter worried that the new doctrine could harm the academic freedom of faculty members, whose jobs often involve vigorous debate concerning university matters. Our campus has witnessed vigorous debates in recent decades over such matters as free speech, academic freedom, the Athletic Board, the Madison Plan, sexual orientation and the military, and the Graduate School. These and other issues have often led to the formation of policy, yet such policy has seldom ended the debate.

Judicial events since *Garcetti v. Ceballos* indicate that Justice Souter's concerns were well founded. In *Renken v. Gregory* (2008), an engineering professor was punished for internally criticizing how the University of Wisconsin-Milwaukee was handling a grant he had received from the NSF; and in *Hong v. Grant* (2007), a professor at the University of California at Irvine was denied a merit raise because he had criticized the engineering school's actions regarding hiring, promotions, and staff. And in *Gorum v. Sessoms* (2007), a professor was terminated after several public clashes with the president of Delaware State University. In each of these cases the courts refused to apply a First Amendment balancing test on the basis of the *Garcetti v. Ceballos* decision.

The impact of *Garcetti v. Ceballos* has garnered much commentary, including: reforms enacted by the Faculty Senate of the University of Minnesota; an article by Peter Schmidt in the *Chronicle of Higher Education* ("Balancing of Power: Professors' Freedoms Under Assault in the Courts," 27 February 2009: <http://chronicle.com/free/v55/i25/25a00103.htm>); and extensive coverage by the AAUP (see the AAUP's website: <http://www.aaup.org/AAUP/protectvoice/Legal/> "Legal Cases Affecting Free Speech."

### **Conclusion**

State law (Wisconsin Administrative Code UWS 4.01(2)) says that faculty members enjoy "all the rights and privileges of a United States citizen, and the rights and privileges of academic freedom as they are generally understood in the academic community. This policy shall be observed in determining whether or not just cause for dismissal exists. The burden of proof of the existence of just cause for a dismissal is on the administration."

Faculty must be free "to speak or write without institutional discipline or restraint on matters of public concern as well as on matters related to professional duties and the functioning of the university" (AAUP 1994 statement "On the Relationship of Faculty Governance to Academic Freedom"). The proposed amendment to *Faculty Policies and Procedures* 8.01. would provide principled protection for faculty engaged in speech pursuant to their official duties. It would also provide a concrete definition of academic freedom that has been missing from *FPP* while also providing the university with appropriate power to punish true insubordination.

---

## 8.01. FACULTY RIGHTS.

- A. Members of the faculty individually enjoy and exercise all rights secured to them by the Constitutions of the United States and the State of Wisconsin, and by the principles of academic freedom as they are generally understood in higher education, including professional behavior standards and the expectation of academic due process and just cause, as well as rights specifically granted to them by: regent action, University of Wisconsin System rules, these policies and procedures, and relevant practices or established custom of their colleges or schools and departments.
- B. Academic freedom is the freedom to discuss and present scholarly opinions and conclusions regarding all relevant matters in the classroom, to explore all avenues of scholarship, research, and creative expression, and to reach conclusions according to one's scholarly discernment. It also includes the right to speak or write—as a private citizen or within the context of one's activities as an employee of the university—without institutional discipline or restraint on matters of public concern as well as on matters related to professional duties, the functioning of the university, and university positions and policies.

Academic responsibility implies the faithful performance of professional duties and obligations, the recognition of the demands of the scholarly enterprise, and the candor to make it clear that when one is speaking on matters of public interest or concern, one is speaking on behalf of oneself, not the institution.

- C. In any consideration of matters of tenure and academic freedom, the following statement of policy is relevant. It was enunciated at the time of the previous codification of the Laws and Regulations of the University of Wisconsin by the Regents of the University of Wisconsin on January 10, 1964. "In adopting this codification of the rules and regulations of the University of Wisconsin relating to tenure, the Regents reaffirm their historic commitment to security of professorial tenure and to the academic freedom it is designed to protect. These rules and regulations are promulgated in the conviction that in serving a free society the scholar must himself be free. Only thus can he seek the truth, develop wisdom and contribute to society those expressions of the intellect that ennoble mankind. The security of the scholar protects him not only against those who would enslave the mind but also against anxieties which divert him from his role as scholar and teacher. The concept of intellectual freedom is based upon confidence in man's capacity for growth in comprehending the universe and on faith in unshackled intelligence. The university is not partisan to any party or ideology, but it is devoted to the discovery of truth and to understanding the world in which we live. The Regents take this opportunity to rededicate themselves to maintaining in this university those conditions which are indispensable for the flowering of the human mind."



Removal of Regent Policy Document 17-9  
Implementation Plan for “Design for Diversity”

EDUCATION COMMITTEE

Resolution I.1.b.(1):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Secretary of the Board to remove from the Regent Policy Documents RPD 17-9, the Implementation Plan for “Design for Diversity.”

Removal of Regent Policy Document 17-10  
“Plan 2008: Educational Quality through Racial and Ethnic Diversity”

EDUCATION COMMITTEE

Resolution I.1.b.(2):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Secretary of the Board to remove from the Regent Policy Documents RPD 17-10, “Plan 2008: Educational Quality through Racial and Ethnic Diversity.”

Removal of Regent Policy Document 28-1  
“Report of the Regent Study Group on  
the Future of the University of Wisconsin System”

EDUCATION COMMITTEE

Resolution I.1.b.(3):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Secretary of the Board to remove from the Regent Policy Documents RPD 28-1, the “Report of the Regent Study Group on the Future of the University of Wisconsin System.”

Removal of Regent Policy Document 28-2  
“Academic Restructuring: Partners in the Process”

EDUCATION COMMITTEE

Resolution I.1.b.(4):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Secretary of the Board to remove from the Regent Policy Documents RPD 28-2, “Academic Restructuring: Partners in the Process.”

Removal of Regent Policy Document 28-3  
“Report of the Study of the  
University of Wisconsin System in the 21<sup>st</sup> Century”

EDUCATION COMMITTEE

Resolution I.1.b.(5):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Secretary of the Board to remove from the Regent Policy Documents RPD 28-3, the “Report of the Study of the University of Wisconsin System in the 21<sup>st</sup> Century.”

**REGENT POLICY DOCUMENT REVIEW  
OF FIVE TIME-SPECIFIC REPORTS COMPRISING  
RPD #s 17-9, 17-10, 28-1, 28-2, and 28-3**

**BACKGROUND**

The UW System Board of Regents' policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36, Wis. Stats. The RPDs address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. The review process may result in updating and revising current policies, eliminating obsolete ones, or identifying areas in which new policies are needed. Each policy will be analyzed in light of its original purpose, whether that purpose still exists, and the likely effects of any revisions. Of paramount importance in considering changes to each RPD is the promotion of administrative flexibility and efficiency.

At its April meeting, the Education Committee will consider the removal from the RPDs of five reports that were endorsed by the Board at previous points in time that are no longer applicable or in effect. These RPDs will be archived.

**REQUESTED ACTION**

Adoption of Resolutions I.1.b.(1), I.1.b.(2), I.1.b.(3), I.1.b.(4), and I.1.b.(5), authorizing the Secretary of the Board of Regents to remove from the Regent Policy Documents RPD 17-9, RPD 17-10, RPD 28-1, RPD 28-2, and RPD 28-3.

**DISCUSSION**

The Education Committee has determined that it will start the review of RPDs within its purview by examining those policies that seem to be obsolete or no longer applicable or in effect as policy documents. Included in this first group are five RPDs which endorse time-specific reports or studies, rather than representing actual policy statements.

The Board of Regents Office has developed a set of guiding principles to direct the analysis of the Regent Policy Documents. These principles include consideration of the extent to which a policy establishes a fundamental principle, serves as an enduring statement, or communicates the Board's expectations for the UW System and/or UW institutions. As noted, the reports and studies under consideration for removal from the RPDs were time specific and have been updated or replaced by new reports and/or initiatives in the years since they were issued and adopted by the Board.

Below are the five RPDS, along with brief descriptions of their purpose and history, their status including a reason for their removal, and any ramifications of their removal.

1. 17-9 Implementation Plan for “Design for Diversity” (Adopted 5/6/88)

In May, 1988, the Board of Regents adopted then-UW System President Kenneth Shaw’s report entitled “Design for Diversity” and directed the President and UW institutions to implement the report and its recommendations. “Design for Diversity” was the UW System’s first plan focused on enabling the UW System to address more systematically and successfully the underrepresentation of minorities in higher education. The goals of “Design for Diversity” remained in place until 1998, when the System’s second diversity plan was adopted.

As a time-specific report dedicated to a time-specific initiative, there are no ramifications to removing 17-9 from the Regent Policy Documents. It will be placed in the Regent archives as an important historical document, representing critical work undertaken by the UW System in the effort to improve the access, retention, and graduation of students of color. The “Design for Diversity” report is available on the website of the UW System Office of Equity, Diversity and Inclusion.

2. 17-10 University of Wisconsin System “Plan 2008: Educational Quality through Racial and Ethnic Diversity” ( Adopted 5/8/98)

In May, 1998, the Board of Regents adopted “Plan 2008: Educational Quality through Racial and Ethnic Diversity,” and directed the UW System President and institutions to implement the report and its recommendations. “Plan 2008” was the UW System’s successor plan to “Design for Diversity” and likewise focused on enabling the UW System to address more systematically and successfully the underrepresentation of minorities in higher education. It also sought to increase the number of faculty and staff of color, infuse multicultural topics into the curriculum, improve campus climates for racial and ethnic minorities, and enhance the System’s accountability for these goals. While the formal plan was completed in 2008, the UW System remains committed to its goals and is continuing its diversity and equity work under the strategic framework *Inclusive Excellence*, a part of the *Growth Agenda for Wisconsin*.

As a time-specific report dedicated to a time-specific initiative, there are no ramifications to removing 17-10 from the Regent Policy Documents. It will be placed in the Regent archives as an important historical document, representing critical work undertaken by the UW System in pursuit of educational quality through diversity, equity, and inclusion. “Plan 2008: Educational Quality through Racial and Ethnic Diversity” is available on the website of the UW System Office of Equity, Diversity and Inclusion.

3. 28-1 Report of Regent Study Group on the Future of the University of Wisconsin System (Adopted 12/5/86)

In December, 1986, the Board of Regents adopted the “Report of the Regent Study Group on the Future of the University of Wisconsin System,” and directed the UW System and institutions to follow its recommendations and conclusions. The Report was the result of

a year-long study to guide planning for the UW System's future in the face of increasing enrollments and declining state funding. These included requests for management flexibilities from the state, as well as internal academic and operational policy changes intended to maintain quality, access, and efficiency.

As a time-specific report dedicated to a time-specific planning initiative, there are no ramifications to removing 28-1 from the Regent Policy Documents. It will be placed in the Regent archives as an important historical document,

4. 28-2 Academic Restructuring: Partners in the Process (Adopted 6/4/93)

In June, 1993, as a part of its discussion on "Academic Restructuring: Partners in the Process," the Board of Regents endorsed the concept of "Working Paper No.7 – University of Wisconsin System and University Planning for New Needs: Partners in the Process." The Working Paper was part of the *Enrollment Management III – Planning for the 1995 to 2000* initiative. It set performance parameters and advocated for increased attention to statewide and regional needs, along with regional and cooperative program possibilities, intended to guide UW institutions in their planning.

As a time-specific report dedicated to a time-specific planning initiative, there are no ramifications to removing 28-2 from the Regent Policy Documents. It will be placed in the Regent archives as an important historical document,

5. 28-3 Report of the Study of the University of Wisconsin System in the 21<sup>st</sup> Century (Adopted 5/9/96)

From August 1995 to May 1996, the Board of Regents, University of Wisconsin Chancellors, University of Wisconsin System staff, faculty, students, and community representatives engaged in a year-long study to guide planning for the UW System's future in the face of increasing enrollments and declining state funding. The final report, "A Study of the UW System in the 21<sup>st</sup> Century" resulted in a set of recommendations centered around: preserving and enhancing access to quality; keeping college affordable; creating new knowledge and fostering career and professional development; and restructuring and improving the efficiency of the University of Wisconsin System. The report's findings were meant to guide future policy development, and a number of policies were implemented or amended as a direct result of the report recommendations.

As a time-specific report dedicated to a specific planning initiative, there are no ramifications to removing 28-3 from the Regent Policy Documents. It will be placed in the Regent archives as an important historical document. Any policies implemented or amended as a result of the report remain in effect and will be reviewed separately.

## **RELEVANT REGENT POLICIES**

Regent Policy Documents 17-9, 17-10, 28-1, 28-2, and 28-3.



# Regent Policy Documents

## SECTION 17: EQUAL OPPORTUNITY POLICIES: EDUCATION AND EMPLOYMENT

### 17-9 IMPLEMENTATION PLAN FOR "DESIGN FOR DIVERSITY"

(Formerly 88-4)

The Board of Regents adopts President Kenneth A. Shaw's April 7, 1988, report entitled "[Design for Diversity](#)" and directs the President and institutions of the University of Wisconsin System to proceed with implementation of the report. The full report may be obtained from the University of Wisconsin System Office of Minority Affairs.

History: Res. 4041 adopted 5/6/88.

---

[Return to the policy index](#)

*The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents manifest significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out these policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1860 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-2324. <http://www.uwsa.edu/bor/policies/>*

# Regent Policy Documents

## SECTION 17: EQUAL OPPORTUNITY POLICIES: EDUCATION AND EMPLOYMENT

### 17-10 UNIVERSITY OF WISCONSIN SYSTEM PLAN 2008: EDUCATIONAL QUALITY THROUGH RACIAL AND ETHNIC DIVERSITY

(Formerly 98-4)

Upon recommendation of the President of the University of Wisconsin System, the Board of Regents adopts [Plan 2008: Educational Quality Through Racial and Ethnic Diversity](#) and directs the President and institutions of the University of Wisconsin System to proceed with implementation of the plan. (The plan may be obtained from the Secretary of the Board of Regents.)

History: Res. 7692 adopted 5/8/98

---

[Return to the policy index](#)

*The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents manifest significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out these policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1860 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-2324. <http://www.uwsa.edu/bor/policies/>*

# Regent Policy Documents

## SECTION 28: PLANNING

### 28-1 REPORT OF REGENT STUDY GROUP ON THE FUTURE OF THE UNIVERSITY OF WISCONSIN SYSTEM

(Formerly 86-5)

Conclusions and recommendations in the report direct academic and operational policy changes necessary to maintain quality and efficiency under future conditions. Resolutions reproduced in this document are recorded, e.g., as "86-5 Enrollment Capacity Management (SG 10)." The [full document](#) may be obtained from the Office of the Secretary of the Board of Regents.

History: Res. 3688 adopted 12/5/86.

---

[Return to the policy index](#)

*The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents manifest significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out these policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1860 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-2324. <http://www.uwsa.edu/bor/policies/>*

# Regent Policy Documents

## SECTION 28: PLANNING

### 28-2 ACADEMIC RESTRUCTURING: PARTNERS IN THE PROCESS

(Formerly 93-4)

Upon recommendation of the President of the University of Wisconsin System, the Board of Regents endorses the concept of Working Paper No.7, "University of Wisconsin System and University Planning for New Needs: Partners in the Process."

(The Paper is available from the Office of the Secretary of the Board of Regents.)

History: Res. 6442 adopted 6/4/93.

---

[Return to the policy index](#)

*The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents manifest significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out these policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1860 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-2324. <http://www.uwsa.edu/bor/policies/>*

# Regent Policy Documents

## SECTION 28: PLANNING

### 28-3 REPORT OF THE STUDY OF THE UNIVERSITY OF WISCONSIN SYSTEM IN THE 21st CENTURY

(Formerly 96-3)

From August 1995 to May 1996, the Board of Regents, University of Wisconsin Chancellors, University of Wisconsin System Staff, Faculty, Students and community representatives studied several concerns, which the coming years may hold. The report's recommendations centered around several key issues: preserving and enhancing access to quality; keeping college affordable; creating new knowledge and fostering career and professional development; and restructuring and improving the efficiency of the University of Wisconsin System. The findings of this report will guide the formation of future policy; those policies developed or affected by it will be cross-referenced here.

Policies implemented or amended through recommendations initiated by this report include: Policy 29-1, Deputizing Police Officers; Policy 19-14, Naming or Dedicating of University Facilities; Policy 28-3, Tuition Policy Guidelines; Policy 25-3, University of Wisconsin System Policy on Use of Information Technology Resources. The document ["A Study of the UW System in the 21st Century: A Final Report"](#) may be obtained from the Office of the Board of Regents.

History: Res. 7176(B) adopted 5/9/96.

---

[Return to the policy index](#)

*The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents manifest significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out these policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1860 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-2324. <http://www.uwsa.edu/bor/policies/>*

**ACADEMIC QUALITY IN THE UW SYSTEM THROUGH  
*LIBERAL EDUCATION AND AMERICA'S PROMISE* IN WISCONSIN**

**EXECUTIVE SUMMARY**

**BACKGROUND**

At its April meeting, the Education Committee will receive a midpoint evaluation of LEAP Wisconsin and its integration with Inclusive Excellence, and discuss how to sustain the System's focus on academic quality in an era of constrained resources.

In 2005, the Association of American Colleges & Universities (AAC&U) named the University of Wisconsin System its pilot partner in its newly announced campaign, *Liberal Education and America's Promise: Excellence for Everyone as a Nation Goes to College* or LEAP. Envisioned as a decade-long campaign, the mission of LEAP is to expand public and student understanding of the kinds of learning that will truly enable college students to succeed and make a difference in the 21<sup>st</sup> century. Built upon a national consensus of what learning outcomes are most essential for student success in a globally interdependent world, LEAP provides a blueprint for what academic quality means and looks like, conceptually and operationally, in the 21<sup>st</sup> century university. LEAP includes as a centerpiece to the campaign a focus on "Making Excellence Inclusive," which asks educational institutions to uncover inequities in student success and challenge the traditional practice of providing liberal education to some students and narrow training to others. Through a variety of initiatives, projects and activities, AAC&U partners with individual campuses, state systems, and K-12 educational leaders as they make these essential learning outcomes a framework for educational excellence, assessment of learning, and more meaningful alignments between school and college.

As the partnership with AAC&U has developed, the UW System has made Wisconsin a national model for other states and higher education systems to follow. More than midway through the campaign, the UW System and institutions have convened scores of discussions, meetings, forums, and conferences focused on LEAP and the role of public higher education—in Wisconsin and beyond—in the 21<sup>st</sup> century. LEAP is a shared conversation throughout the UW System and parts of Wisconsin, engaged in through a variety of coordinated strategies and focused on campus action, leadership, and public outreach and advocacy.

Through its focus on academic quality, LEAP Wisconsin has become a critical component of the UW System's *Growth Agenda for Wisconsin*. And most recently, the shared purpose between LEAP and Inclusive Excellence, another critical component of the *Growth Agenda*, have joined these two frameworks together, underscoring their integrated efforts to strengthen the *Growth Agenda's* abiding commitment that more—and more diverse—students have access to, persist through, and complete high-quality undergraduate degrees.

In establishing priority areas for its work in 2011-12, the Education Committee made explicit that its focus on the core UW System goal of "More Graduates" would be aligned with an equally important emphasis on quality and inclusion, both of which were best articulated by LEAP and Inclusive Excellence.

## **REQUESTED ACTION**

For information only; no action is required.

## **DISCUSSION**

A more descriptive account of the mid-point evaluation of the UW System's LEAP Wisconsin work can be found at: <http://www.wisconsin.edu/news/2011/04-2011/Peer-Review-LEAP-Wisconsin-article.pdf>. For more information on the range of System- and campus-led action and public advocacy work, go to: <http://liberaleducation.uwsa.edu/>.

March 30, 2011

I.2. Business, Finance, and Audit Committee

Thursday, April 7, 2011  
Robert I. Velzy Commons North  
Ullsvik Hall  
UW-Platteville  
Platteville, Wisconsin

10:00 a.m.     All Regents, Harry & Laura Nohr Gallery

- “Welcome to Platteville,” presented by Chancellor Dennis J. Shields
- 2011-13 Biennial Budget Update
  - Wisconsin Idea Partnership
  - 2011-13 Capital Budget

12:00 p.m.     Luncheon – Robert I. Velzy Commons

1:00 p.m.     Business, Finance, and Audit Committee – Robert I. Velzy Commons North

- a. UW-Platteville Presentation: The Wisconsin Idea Partnership at UW-Platteville
- b. Enterprise Risk Management in the UW System
- c. Trust Funds
  1. Peer Endowment Benchmarking Report
  2. Voting of Non-Routine Proxy Proposals  
[Resolution I.2.c.2.]
  3. Acceptance of New Bequests Over \$50,000  
[Resolution I.2.c.3.]
- d. Operations Review and Audit
  1. Program Review on Short Term Loan Programs
  2. Status Update
- e. Regent Policy Document Review
  1. RPD 20-16 Bone Marrow and Human Organ Donation Leave for Faculty and Academic Staff  
[Resolution I.2.e.1.]



2. RPD 20-18 Review of University Personnel Policies and Practices  
[Resolution I.2.e.2.]
  3. RPD 31-13 Investment and Social Responsibility  
[Resolution I.2.e.3.]
- f. Delegation of Certain Unclassified Personnel Flexibilities Permitted Under  
RPD 20-8: Academic Staff Title and Compensation Plan  
[Resolution I.2.f.]
- g. Committee Business
1. Approval of the Minutes of the February 10, 2011 meeting of the  
Business, Finance, and Audit Committee
  2. Approval of the Minutes of the March 10, 2011 meeting of the  
Business, Finance, and Audit Committee
  3. Management Response to LAB Concerns Raised in 2010 Annual  
Financial Audit
- h. Status Update on Human Resource System
- i. Report of the Senior Vice President

## **UW SYSTEM ENTERPRISE RISK MANAGEMENT INITIATIVE**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

The University of Wisconsin System institutions have complex risk profiles due to the variety of activities in which they are involved on a daily basis. The University of Wisconsin System has begun the implementation of an Enterprise Risk Management (ERM) pilot program to help institutions systematically identify their specific risks and to prioritize them in order to better manage those risks in an era of limited resources.

The origin of the UW System ERM initiative can be found in the need to align declining resources with mission-critical tasks, respond to the evolution of traditional risk management to a more cross-functional approach, and address increasing accountability standards.

To date, UW-Oshkosh, Superior, Whitewater, and Parkside have started to implement ERM following successful workshops at each institution. Discussions have begun with three additional institutions about implementing ERM. Under sponsorship by the Senior Vice President of Administration and Fiscal Affairs and Vice President for Finance, the UW System Administration Offices of Operations Review and Audit, Safety and Loss Prevention, General Counsel, and Academic Affairs have developed an ERM program designed with assistance from Core Risks Inc./A.J. Gallagher. This Core Working Group has coordinated the implementation of the ERM program at the institutional level.

#### **REQUESTED ACTION**

This item is for information only.

#### **DISCUSSION**

Enterprise Risk Management (ERM) is the UW System's comprehensive program to identify and manage – proactively and continuously – real and potential risks and opportunities that may affect operations locally, nationally, and globally. Risks include challenges that could imperil operations, as well as the failure to take advantage of opportunities that could help fulfill our mission. The goal is to develop a sustainable structure that integrates risk ownership at all levels of the organization and to expand the understanding of risk from traditional hazards to also include strategic, operational, financial, and reputational risks.

The ERM program provides a fact-based, prioritized approach to risk management, allowing UW System institutions to examine assumptions about risk and the actions needed to manage and mitigate risk. ERM is a tool that provides a common language and set of standards to identify, evaluate, prioritize, and manage

risks inherent to the UW System and its institutions through a disciplined, cross-functional process. Among the many reasons for pursuing an ERM structure are to:

- align limited resources with risks;
- respond to increased competition;
- improve strategic planning efforts;
- respond to the increasing number and diversity of higher education-related risks; and
- meet good governance and accountability standards.

ERM is designed to complement, not replace, existing strategic planning and budgeting processes. Risks identified through the ERM process will often have been previously identified at the institution through planning and assessment efforts. However, ERM allows for risks to be validated by a cross-functional representation of the institution and to place the risk within the context and resource needs of all identified risks. ERM also supports the success of the *Growth Agenda for Wisconsin* at the institutions by identifying risks to the goals of producing more degree holders, creating more well-paying jobs, and building stronger communities.

ERM efforts to date recognize that UW institution and System staff play an important role in helping to define what ERM will represent for the UW System. The program is designed to take into account the unique culture, structure, and mission of each UW institution. Once risks are identified, the institutions lead the efforts to develop an effective, sustainable program that is integrated into strategic planning, budgeting, and operational processes.

The project has accomplished the following: establishment of ERM Core Working Groups at the System and participating institution levels, creation of a UW System ERM Handbook, the completion of four campus risk validation workshops, creation of ERM summary reports for participating institutions, creation of a UW System ERM website, and presentations at regional and national conferences of Central Association of College and University Business Officers (CACUBO) and University Risk Management and Insurance Association (URMIA).

The vision and mission statements for the ERM program are provided below:

**Vision Statement:**

The University of Wisconsin System endeavors to lead higher education by integrating the principles of Enterprise Risk Management (ERM) into the culture and strategic decision making of its academic, student affairs, and business functions. ERM will promote the success and enhance the accountability of the UW System by incorporating risk assessment into the System's strategic objectives and budget development process.

**Mission Statement:**

The mission of the University of Wisconsin ERM Pilot Project is to initiate a comprehensive program that will support the identification of mission-critical risks, assess how to manage those risks, and align resources with risk management responsibilities.

**RELATED REGENT POLICIES**

None.

**UW SYSTEM TRUST FUNDS  
ANNUAL ENDOWMENT PEER BENCHMARKING REPORT  
EXECUTIVE SUMMARY**

**BACKGROUND**

The National Association of College and University Business Officers (NACUBO) and the Commonfund jointly conduct a detailed annual survey of college and university endowments (as of fiscal years ending June 30). This survey gathers data on investment and spending policies and practices, investment performance and fees, staffing, and other measures. The survey provides overall averages, as well as statistics for endowments by different size-categories. Also, Penn State University conducts a more limited annual survey of Big Ten and other peer endowments. With the data from these two surveys, UW Trust Funds compiles its “Annual Endowment Peer Benchmarking Report,” which compares data and characteristics for the UW Trust Funds endowment versus those of various peer groups. The report for fiscal year 2010 is attached.

**REQUESTED ACTION**

This item is for information only.

**DISCUSSION**

Key observations from the 2010 peer benchmarking report include the following: 1) annualized investment returns for the UW Trust Funds endowment (i.e., the Long Term Fund) have exceeded the average performance within the “all institution” peer group over 1-, 3-, 5-, and 10-year periods ended June 30, 2010; 2) furthermore, while for the 1-year period, UW Trust Funds’ endowment return placed it in the second quartile, for the 3-, 5-, and 10-year periods, top quartile performance was achieved; 3) the asset allocation of the UW Trust Funds endowment at June 30, 2010 was overweight to equities (particularly non-U.S.) and, less so, to fixed income and underweight to “alternative” asset classes, other than private capital, versus most peer groups (particularly in hedge funds, real estate, and natural resources); 4) growth from new endowment gifts was below peer levels; 5) UW’s policy spending rate of 4.0 percent was below the “all institution” average of 4.7 percent; 6) long-term investment return objectives are in line with peer group numbers; 7) investment staffing is in line with the average for similar-sized endowments; 8) UW does not use an investment consultant, while most peer institutions do; 9) UW employs fewer investment firms than do peers; and 10) UW has “some form of social investing policy,” as do roughly only one-fifth of the “all institution” group.

**RELATED REGENT POLICIES**

None.



# UNIVERSITY OF WISCONSIN SYSTEM TRUST FUNDS

**Annual Endowment Peer Benchmarking Report  
Year Ended June 30, 2010**

<p style="text-align: center;"><b>UW SYSTEM TRUST FUNDS</b> <b>Annual Endowment Peer Benchmarking Report</b> <b>Fiscal Year Ended June 30, 2010</b></p>
---

## **INTRODUCTION**

- The Annual Endowment Peer Benchmarking Report utilizes two informational sources: 1) the 2010 NACUBO–Commonfund Study of Endowments (NCSE); and 2) the informal “Peer Benchmark Survey” conducted by Penn State University (hereafter referred to as the Penn State Survey).
- The NCSE is an annual survey of college and university endowments which reports data on investment and spending policies and practices, investment performance and fees, staffing, and other measures. The 2010 study included 542 private and 308 public institutions with an average endowment size of \$407 million.
- The 2010 Penn State Survey reports data from 25 university endowments including 17 from Big Ten institutions and 8 from other “peer” universities. The survey contains data on investment performance, asset allocation, and spending policies. The institutions included had an average endowment size of \$1.7 billion. The Penn State Survey data is presented wherever possible, as this information represents a distinct subset of the larger population.
- The data presented in the report that follows falls into the following categories:
  1. Asset Allocation
  2. Investment Performance
  3. Cost of Managing Investment Programs
  4. Investment Management Practices
  5. New Gifts to Endowment
  6. Spending Policies
  7. Investment Return Objectives
  8. Underwater Funds
  9. Resources, Management, and Governance
  10. Socially Responsible Investing Practices

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

**SUMMARY DATA**

	<b>NCSE Study</b>	<b>Penn State Survey</b>
Number of Institutions Reporting – Total	850	25
Number of Institutions Reporting – Public	308	23
Number of Institutions Reporting – Private	542	2
Largest Endowment – Public	\$14.1 billion <sup>1</sup>	\$6.7 billion <sup>3</sup>
Largest Endowment – Private	\$27.6 billion <sup>2</sup>	\$5.9 billion <sup>4</sup>
Average Endowment Size	\$407.0 million	\$1.7 billion
Participating UW Institutions	UW System Trust Funds	UW System Trust Funds
	UW-Madison Foundation	UW-Madison Foundation
	UW-Eau Claire Foundation	
	UW-Oshkosh Foundation	
	UW-Superior Foundation	
<b><i>UW System Trust Funds Endowment</i></b>	<b><i>\$289 million</i></b>	

<sup>1</sup> University of Texas System

<sup>2</sup> Harvard University

<sup>3</sup> University of Michigan

<sup>4</sup> Northwestern University

**UW SYSTEM TRUST FUNDS**  
**Annual Endowment Peer Benchmarking Report**  
**Fiscal Year Ended June 30, 2010**

**ASSET ALLOCATION**

<b>Asset Class</b>	<b><i>UW Trust Funds</i><sup>1</sup></b>	<b>NCSE All Pools<sup>2</sup></b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>	<b>Penn State Survey<sup>3</sup></b>
Equities					
U.S. Equities	<b>22%</b>	30%	26%	14%	20%
Non-U.S. Equities	<b>31%</b>	16%	17%	15%	15%
Fixed Income	<b>26%</b>	21%	18%	11%	17%
Alternatives	<b>20%</b>	26%	33%	56%	44%
Private Capital <sup>4</sup>	<b>12%</b>	7%	8%	20%	15%
Hedge Funds <sup>5</sup>	<b>8%</b>	14%	19%	24%	20%
Real Estate <sup>6</sup>	<b>0%</b>	2%	2%	5%	4%
Natural Resources <sup>7</sup>	<b>0%</b>	3%	4%	7%	5%
Cash/Other	<b>1%</b>	7%	6%	4%	4%
TOTAL	<b>100%</b>	100%	100%	100%	100%

<sup>1</sup> It should be noted that UW Trust Funds employs a “global tactical asset allocation” strategy for a significant portion of the endowment fund, which involves tactical shifts in asset allocation. The numbers provided here, however, are allocations only as of the fiscal year-end.

<sup>2</sup> All NCSE figures represent equal-weighted averages.

<sup>3</sup> Penn State Survey figures represent equal-weighted averages.

<sup>4</sup> Category consists primarily of venture capital and other private equity.

<sup>5</sup> Category consists primarily of unregulated private investment partnerships investing in mostly marketable securities, but employing strategies (long/short, convertible arbitrage, leverage, etc.) designed to provide for more absolute returns with low correlation to the markets.

<sup>6</sup> Category includes both public and private real estate.

<sup>7</sup> Category includes timber, oil and gas partnerships, and commodities.



**UW SYSTEM TRUST FUNDS**  
**Annual Endowment Peer Benchmarking Report**  
**Fiscal Year Ended June 30, 2010**

**ASSET ALLOCATION**

**Changing or Considering Changing Asset Allocation Approach of Portfolio**

	<b><i>UW Trust Funds</i></b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>
Changing or considering changing?	<b>Yes</b>	26%	28%	20%
Classifications under consideration: <sup>1</sup>				
Growth assets	<b>No</b>	41%	53%	42%
Risk reduction	<b>No</b>	57%	58%	58%
Inflation protection (real assets, TIPS)	<b>Yes</b>	52%	59%	42%
Opportunistic	<b>Yes</b>	34%	44%	50%
Liquidity	<b>No</b>	23%	25%	50%
Other	<b>Yes</b>	20%	23%	8%

<sup>1</sup> Multiple responses were allowed. Figures here represent only those institutions planning to make asset allocation changes.

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

## **ASSET ALLOCATION**

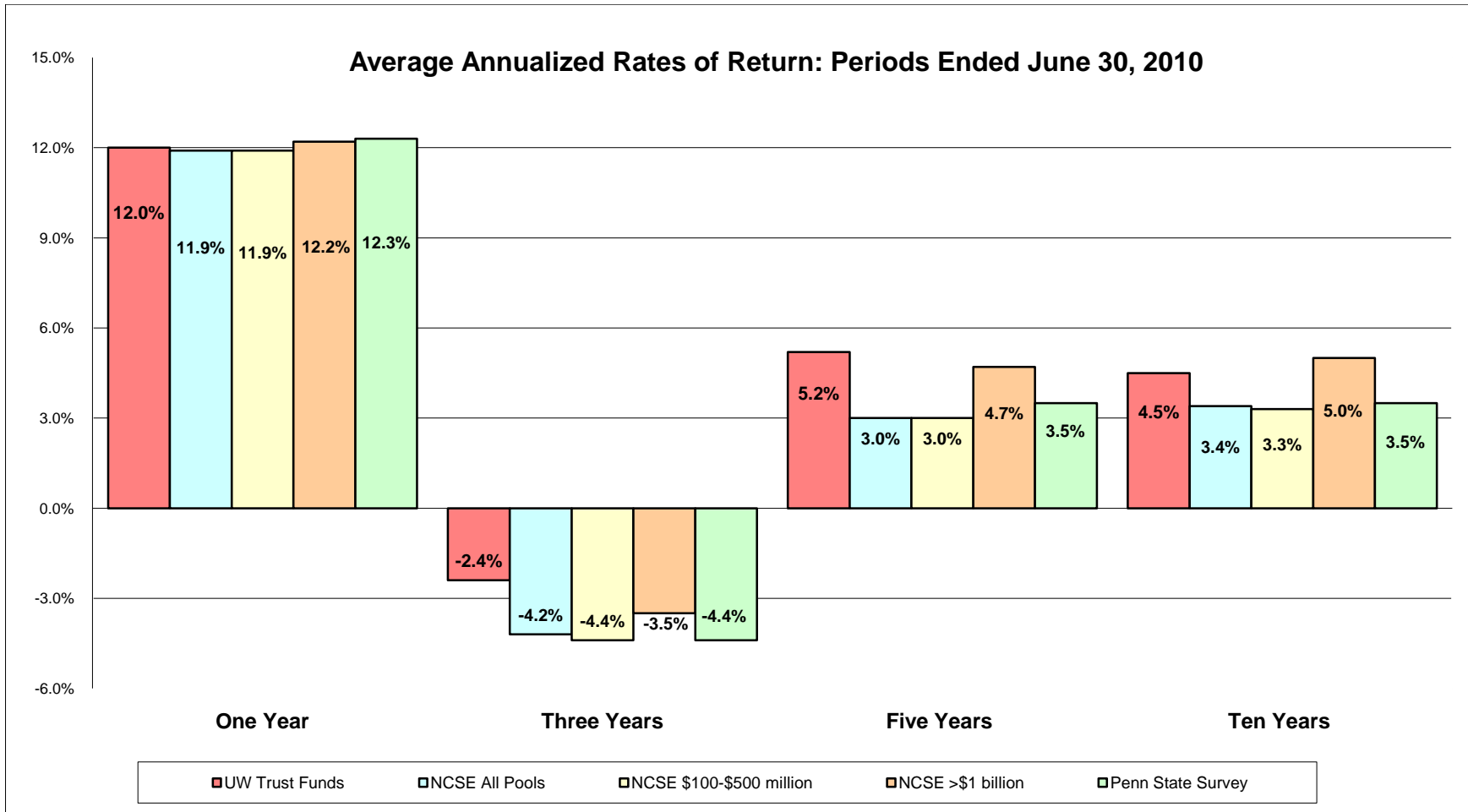
### **Percent Allocated to Liquidity Categories in Fiscal Year 2010<sup>1</sup>**

<b>Liquidity Category</b>	<b><i>UW Trust Funds</i></b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>
Daily	<b>61%</b>	42%	39%	23%
Monthly	<b>26%</b>	19%	19%	13%
Quarterly	<b>0%</b>	11%	11%	10%
Annually	<b>0%</b>	8%	9%	9%
Illiquid	<b>13%</b>	17%	17%	40%
Other	<b>0%</b>	3%	3%	5%

<sup>1</sup> Responses shown here are only for those institutions (232) that reported they use such liquidity classifications.

**UW SYSTEM TRUST FUNDS**  
**Annual Endowment Peer Benchmarking Report**  
**Fiscal Year Ended June 30, 2010**

**INVESTMENT PERFORMANCE**



<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

## **INVESTMENT PERFORMANCE**

### **Range of Returns: NCSE All Pools**

	<b>1 Year</b>	<b>3 Year</b>	<b>5 Year</b>	<b>10 Year</b>
75 <sup>th</sup> Percentile	13.7%	-2.7%	3.8%	4.4%
Average	11.9%	-4.2%	3.0%	3.4%
25 <sup>th</sup> Percentile	10.2%	-5.6%	1.9%	2.4%
<b><i>UW Trust Funds Return</i></b>	<b>12.0%</b>	<b>-2.4%</b>	<b>5.2%</b>	<b>4.5%</b>
<b><i>UW Trust Funds Rank</i></b>	<b>2<sup>nd</sup> Quartile</b>	<b>Top Quartile</b>	<b>Top Quartile</b>	<b>Top Quartile</b>

### **Range of Returns: Penn State Survey<sup>1</sup>**

	<b>1 Year</b>	<b>3 Year</b>	<b>5 Year</b>	<b>10 Year</b>
75 <sup>th</sup> Percentile	14.1%	-3.0%	4.9%	5.4%
Average	12.3%	-4.4%	3.5%	3.5%
Penn State Survey 25 <sup>th</sup> Percentile	10.5%	-6.0%	1.6%	1.5%
<b><i>UW Trust Funds Return</i></b>	<b>12.0%</b>	<b>-2.4%</b>	<b>5.2%</b>	<b>4.5%</b>
<b><i>UW Trust Funds Rank</i></b>	<b>3<sup>rd</sup> Quartile</b>	<b>Top Quartile</b>	<b>Top Quartile</b>	<b>2<sup>nd</sup> Quartile</b>

<sup>1</sup> Note that for the Penn State Survey cohort, the average endowment size is \$1.7 billion, the median endowment size is \$1.2 billion, and the UW Trust Funds endowment is the 5<sup>th</sup> smallest reporting organization among the 25 represented here.

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

**COST OF MANAGING INVESTMENT PROGRAMS<sup>1</sup>**

	<b>UW Trust Funds<sup>2</sup></b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>
Average cost (\$ thousands)	<b>\$2,420</b>	\$1,744	\$1,505	\$20,164
Average cost (basis points)	<b>87</b>	66	71	100
Median cost (basis points)	<b>N/A</b>	52	58	78

<sup>1</sup> Figures represent dollar-weighted averages. Caution must be used in interpreting these figures as the survey data suggests responding institutions experienced difficulties in accurately calculating fees, and reported fees are likely not on an "apples-to-apples" basis.

<sup>2</sup> UW Trust Funds fees include only asset management and mutual fund expenses; most (90%) of reporting institutions included these fees and some included other fees (e.g., 57% included "direct expenses", 61% included "consultant fees", 18% included "internal staff").

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

## **INVESTMENT MANAGEMENT PRACTICES<sup>1</sup>**

### **Active, Passive, Extended Markets**

<b>Asset Class/Strategy</b>	<b><i>UW Trust Funds</i></b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>
U.S. Equities				
Active	<b>85%</b>	78%	72%	85%
Passive/Enhanced Index	<b>15%</b>	22%	28%	15%
Non-U.S. Equities				
Active (EAFE)	<b>68%</b>	59%	64%	56%
Passive (EAFE)	<b>0%</b>	9%	12%	6%
Emerging Markets	<b>32%</b>	32%	24%	38%
Fixed Income				
Active	<b>12%</b>	75%	67%	83%
Passive	<b>64%</b>	10%	16%	2%
U.S. High Yield	<b>24%</b>	5%	5%	7%
Non-U.S.-Developed	<b>0%</b>	8%	10%	6%
Emerging Markets	<b>0%</b>	2%	2%	2%

<sup>1</sup> Figures represent dollar-weighted averages.

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

## **INVESTMENT MANAGEMENT PRACTICES**

### **Portfolio Rebalancing Practices<sup>1</sup>**

<b>Rebalancing Frequency</b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>
Calendar-based	46%	44%	22%
Annually	10%	13%	0%
Semi-annually	4%	3%	2%
Quarterly	23%	20%	16%
Monthly	7%	6%	4%
Other	2%	2%	2%
Market value-based	99%	100%	87%
Target- and range-based	82%	88%	80%
Response to major cash flows	17%	17%	7%
Other	3%	2%	5%
<b><i>UW Trust Funds</i></b>	<b><i>Review quarterly; target- and range-based</i></b>		

<sup>1</sup> Multiple responses were allowed.

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

**NEW GIFTS TO ENDOWMENT**

	<b>UW Trust Funds</b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500 million</b>	<b>NCSE &gt;\$1 billion</b>
Average gifts (\$ millions)	<b>\$1.3</b>	\$6.5	\$5.8	\$41.5
Median gifts (\$ millions)	<b>N/A</b>	\$1.5	\$3.5	\$28.2



<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

## **SPENDING POLICIES**

### **Spending Methodology<sup>1</sup>**

	NCSE All Pools	NCSE \$100-\$500MM	NCSE >\$1B	Penn State Survey
Percent of a moving average	75.0%	77.0%	49.0%	75.0%
Average percentage used	4.7%	4.7%	4.9%	4.6%
Decide on an appropriate rate each year	11.0%	9.0%	8.0%	0.0%
Spend a pre-specified percentage of beginning market value	4.0%	2.0%	0.0%	0.0%
Weighted average or hybrid method	7.0%	9.0%	18.0%	0.0%
Last year's spending plus inflation	4.0%	7.0%	18.0%	5.0%
Spend all current income	4.0%	4.0%	2.0%	0.0%
Grow distribution at a predetermined inflation rate	0.0%	0.0%	2.0%	0.0%
Other	9.0%	7.0%	13.0%	20.0%
<b><i>UW Trust Funds</i></b>	<b><i>4% of moving 12-quarter average</i></b>			

<sup>1</sup> Multiple responses were allowed.

**UW SYSTEM TRUST FUNDS**  
**Annual Endowment Peer Benchmarking Report**  
**Fiscal Year Ended June 30, 2010**

**SPENDING POLICIES**

**Actual Average Spending Rates<sup>1</sup>**

NCSE All Pools	4.5%
NCSE \$100-\$500 million	4.9%
NCSE >\$1 billion	5.6%
<b><i>UW Trust Funds</i></b>	<b><i>4.3%</i></b>

<sup>1</sup> Actual average spending rates are computed by dividing endowment dollars actually spent by the beginning endowment value. Figures represent equal-weighted averages.

**UW SYSTEM TRUST FUNDS**  
**Annual Endowment Peer Benchmarking Report**  
**Fiscal Year Ended June 30, 2010**

**INVESTMENT RETURN OBJECTIVES**

**Average Index-Based Return Objectives**

Consumer Price Index (CPI)	CPI Plus 5.1%
Higher Education Price Index (HEPI)	HEPI Plus 5.3%
<b><i>UW Trust Funds</i></b>	<b><i>HEPI Plus 5.0%</i></b>

**Average Absolute Return Objectives**

NCSE All Pools	7.7%
<b><i>UW Trust Funds</i></b>	<b><i>8.5%</i></b>

<p style="text-align: center;"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
---

**UNDERWATER FUNDS**<sup>1</sup>

	Percent of Endowment Underwater
NCSE All Pools	14%
NCSE \$100-\$500 million	13%
NCSE >\$1 billion	10%
<b><i>UW Trust Funds</i></b>	<b><i>2%</i></b>

<sup>1</sup> "Underwater funds" represent individual endowment accounts whose market values are below their "historic dollar value" (i.e., the original value of the gift).

<p style="text-align: center;"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
---

## **RESOURCES, MANAGEMENT, AND GOVERNANCE**

### **Committee Size and Investment Staffing**

	Average Number of Committee Members	Average Investment Staffing	Percent Using Consultants <sup>1</sup>
NCSE All Pools	8.0	1.5	80%
NCSE \$100-\$500 million	9.1	1.2	90%
NCSE >\$1 billion	9.7	10.0	64%
<b><i>UW Trust Funds</i></b>	<b>6</b>	<b>2</b>	<b>No</b>

<p align="center"><b>UW SYSTEM TRUST FUNDS</b>  <b>Annual Endowment Peer Benchmarking Report</b>  <b>Fiscal Year Ended June 30, 2010</b></p>
--

**RESOURCES, MANAGEMENT, AND GOVERNANCE**

**Average Number of Separate Investment Firms Used by Asset Class**

	<i><b>UW Trust Funds</b></i>	NCSE All Pools	NCSE \$100-\$500 mm	NCSE > \$1 billion
U.S. Equities	<b>3</b>	3.8	4.5	6.3
Non-U.S. Equities	<b>2</b>	3.0	3.4	8.4
Fixed Income	<b>3</b>	2.4	2.7	3.4
Alternative Strategies – Direct	<b>1</b>	11.4	10.7	78.9
Alternative Strategies – Fund of Funds	<b>3</b>	2.6	4.3	3.1

<p style="text-align: center;"><b>UW SYSTEM TRUST FUNDS</b> <b>Annual Endowment Peer Benchmarking Report</b> <b>Fiscal Year Ended June 30, 2010</b></p>
---

**SOCIALLY RESPONSIBLE INVESTING PRACTICES**

**Percent with Some Form of Social Investing Policy**

NCSE All Pools	19%
NCSE \$100-\$500 million	23%
NCSE >\$1 billion	38%
<b><i>UW Trust Funds</i></b>	<b>Yes<sup>1</sup></b>

<sup>1</sup> *UW Trust Funds actively votes proxies, solicits student and public comment on social issues, and may take ad hoc actions on social responsibility issues.*

**UW SYSTEM TRUST FUNDS**  
**Annual Endowment Peer Benchmarking Report**  
**Fiscal Year Ended June 30, 2010**

**SOCIALLY RESPONSIBLE INVESTING PRACTICES**

**SRI Efforts Employed<sup>1</sup>**

<b>Asset Class/Strategy</b>	<b>UW Trust Funds</b>	<b>NCSE All Pools</b>	<b>NCSE \$100-\$500MM</b>	<b>NCSE &gt;\$1B</b>
Screen all/part of portfolio	<b>Yes</b>	89%	87%	86%
Types of restrictions: <sup>2</sup>				
Alcohol	<b>No</b>	36%	29%	5%
Weapons	<b>No</b>	26%	29%	5%
Gambling	<b>No</b>	34%	24%	5%
Tobacco	<b>No</b>	57%	51%	48%
Geopolitical/location specific <sup>3</sup>	<b>Yes</b>	37%	33%	71%
Commingled funds application:				
Exempt from SRI policy	<b>No</b>	25%	22%	48%
Screen where possible	<b>Yes</b>	55%	62%	38%
Vote SRI-related proxies	<b>Yes</b>	45%	49%	48%
"Sustainability" considered	<b>Yes</b>	32%	36%	24%

<sup>1</sup> Numbers are percentages of only those institutions reporting some form of social investment policy.

<sup>2</sup> Multiple responses allowed.

<sup>3</sup> UW Trust Funds currently screens, where possible, for Sudan-related investments.



UW System  
Voting of 2011 Non-Routine  
Proxy Proposals

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon recommendation of the President of the University of Wisconsin System, the Board of Regents approves the 2011 non-routine shareholder proxy proposals for UW System Trust Funds, as presented in the attachment.

**UW SYSTEM TRUST FUNDS  
VOTING OF 2011 NON-ROUTINE PROXY PROPOSALS  
EXECUTIVE SUMMARY**

**BACKGROUND**

Regent Policy 31-10 contains the proxy voting policy for UW System Trust Funds. Non-routine shareholder proposals, particularly those dealing with “social responsibility issues” (e.g., the environment, discrimination, or substantial social injury), are to be reviewed with the Business, Finance, and Audit Committee so as to develop a voting position.

**REQUESTED ACTION**

Approval of Resolution I.2.c.2.

**DISCUSSION AND RECOMMENDATIONS**

The dominant social issues for the 2011 season are the following: the environment, global warming, and “sustainability;” human rights; equal employment opportunity; and corporate political contributions. For most of the proxies related to these dominant issues, the Trust Funds’ investment managers will be directed to vote in the affirmative, as they fall under the 26 social issues or themes that the Business, Finance, and Audit Committee has already approved for active voting.

The full report on shareholder proposals for the 2011 proxy season is attached. The report includes summaries of all pre-approved issues, as well as discussion of any new issues.

**RELATED REGENT POLICIES**

Regent Policy 31-5: Investments and the Environment  
Regent Policy 31-6: Investment of Trust Funds  
Regent Policy 31-7: Interpretation of Policy 31-6 Relating to Divestiture  
Regent Policy 31-10: Procedures and Guidelines for Voting Proxies  
Regent Policy 31-13: Investment and Social Responsibility

## **UNIVERSITY OF WISCONSIN SYSTEM TRUST FUNDS**

### **Shareholder Proposals and Recommended Votes for 2011 Proxy Season**

#### **Background**

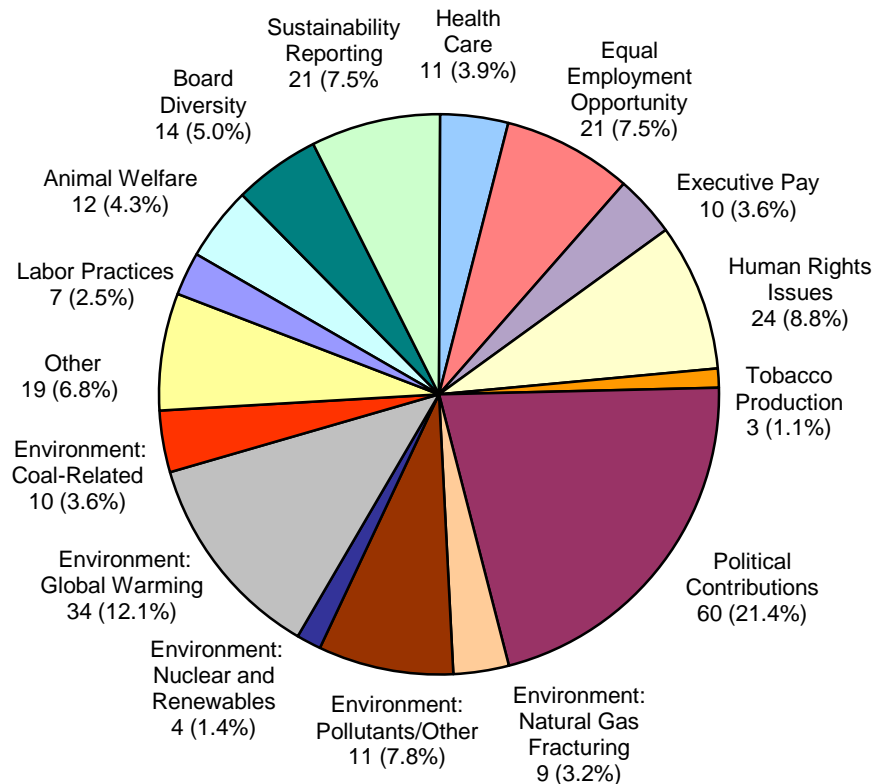
This annual report is intended to highlight significant "non-routine" proposals, from shareholders or management, which will be voted on by shareholders during the 2011 proxy season. Regent Policy 31-10, "Procedures and Guidelines for Voting Proxies," stipulates that significant non-routine issues are to be reviewed by the Business, Finance, and Audit Committee so as to develop a voting position on them. Non-routine issues are defined as the following: acquisitions and mergers; amendments to corporate charter or bylaws which might affect shareholder rights; shareholder proposals opposed by management; and "social responsibility" issues dealing with the environment, discrimination, or substantial social injury (issues addressed under Regent Policies 31-5, 31-6, and 31-13, respectively).

The majority of significant non-routine proposals are those dealing with social responsibility issues and corporate governance-related proposals which are often opposed by management. To the extent possible, similar shareholder proposals are grouped into identifiable "issues." Generally, it will be these issues (covering similar or identical proposals at various companies) that are reviewed and potentially approved for support by the Committee. On occasion, individual, company-specific proposals not falling under a broad "issue" will also be presented.

#### **The 2011 Proxy Environment**

As of January 31<sup>st</sup>, shareholders concerned with companies' management of social and environmental issues have filed approximately 327 proposals for U.S. firms' annual meetings in 2011, about the same number as of this time last year. The dominant social issues for the 2011 season are the following: the environment, global warming, and "sustainability;" human rights; equal employment opportunity; and corporate political contributions. The following chart depicts the 2011 proxy proposals by major category, in terms of both the number of proposals by category and the percentage of all proposals.

## Pending 2011 Social Issue Resolutions



Concerns about the environment have generated the largest single category of social issue proposals for the seventh straight year. In addition to a new shareholder campaign on the risks of coal reliance, the varied environmental category includes a continuation of last year's "new" issue relating to hydraulic fracturing as well as a set of proposals relating to water scarcity.

Seventy-five proposals related to the environment (shown in the chart under "Global Warming", "Coal-Related", "Nuclear and Renewables", "Natural Gas Fracturing", and "Pollutants/Other") have been filed so far in 2011, and the final category total will likely eclipse last year's all-time high of 79. Global warming, with 30 of the 75 proposals, remains the most prominent issue in the environmental category. Global warming proposals generally ask target companies whether they have undertaken sufficient strategic planning to reduce their greenhouse gas emissions, to increase their energy efficiency, or to otherwise prepare for global climate change.

Also noteworthy for the 2011 proxy season, for the first time since the beginning of social issue proxy resolutions in 1971, there are no specific proposals on military issues. Many defense companies, however, are included as target companies within the human rights category. Also missing for the first time in 25 years are resolutions on the MacBride Principles, aimed at ending religious discrimination for companies operating in Northern Ireland. The MacBride Principles campaign, which has been “winding down” for years, has been very successful in changing the business climate in Northern Ireland. [Mathiasen and Mell, Institutional Shareholder Services 2011]

For non-routine corporate governance issues, the dominant category again focuses on corporate political contributions and the rationale for them, including engagement in political activity through trade associations (generally a company funded public relations organization whose purpose is to promote a specific industry through activities such as advertising, publishing, lobbying, and political donations). Resolutions on political contributions are at an all time high, following last year’s landmark Supreme Court decision that the government may not restrict or ban spending by corporations to support or oppose political candidates in federal elections, as this would represent an infringement of First Amendment rights.

The Trust Funds proxy voting list may change as more resolutions are filed or come to light. Moreover, some proponents are likely to withdraw their resolutions if the companies agree to some or all of their requests, and other resolutions will be omitted if the Securities and Exchange Commission finds them to be in violation of its shareholder proposal rules.

### **Specific New Issues for 2011**

A new shareholder campaign builds on last year’s campaign related to coal combustion waste in water supplies, this year raising questions at electric utilities which rely heavily on coal. A typical proposal in this campaign asks for a report “on the financial risk of continued reliance on coal contrasted with increased investments in efficiency and cleaner energy, including assessment of the cost of environmental compliance for coal plants compared to alternative sources.” The resolutions are particularly relevant since new Environmental Protection Agency (EPA) regulations on the treatment of coal combustion began on January 1st.

Another new shareholder campaign addresses worker safety at oil companies. The resolutions appear to be inspired by last year’s BP oil spill in the Gulf of Mexico and the Massey Energy Upper Big Branch mine explosion. The proposals ask companies for a report on the steps they have taken to “reduce the risks of accidents.” The report must also detail the oversight process on safety management, staffing levels, inspection, and maintenance. The supporting proxy statements assert “that OSHA’s (Occupational Safety and Health Administration) National Emphasis Program for petroleum refineries has revealed an industry-wide pattern of non-compliance with safety regulations.”

Assuming that proposals related to these “new” campaigns (regarding coal combustion waste in water and worker safety) are acceptable in their demands, they would be

considered as falling under the pre-approved issue, “Report/Act on Environmental Impact of Various Practices.”

### Issues Previously Approved

Given below is a list of those issues that the Business, Finance, and Audit Committee has previously approved for support (i.e., voting in the affirmative). A brief recap of each of these issues then follows. Any company-specific proposals not falling under a pre-approved issue are given in the voting detail attachment.

#### PREVIOUSLY APPROVED ISSUES

Issue	Issue	Recommended Vote	Related Regent Policy
1	Report on/implement pharmaceutical policy/pricing	FOR	31-13
2	Report on/label genetically modified organisms (GMOs)	FOR	31-13
3	Shareholder approval for future golden parachutes	FOR	Non-routine corp. governance
4	Redeem or vote on poison pill	FOR	Non-routine corp. governance
5	Report on/implement recycling development programs	FOR	31-5
6	No consulting by auditors	FOR	Non-routine corp. governance
7	Endorse core ILO principles	FOR	31-13
8	Predatory lending prevention	FOR	31-6 and 31-13
9	Report on executive compensation as related to performance and social issues	FOR	31-13 and corp. governance
10	Report on global warming	FOR	31-5
11	Report on international lending policies	FOR	31-13
12	Global labor standards	FOR	31-13
13	Endorse CERES principles	FOR	31-5
14	Report on EEO	FOR	31-6
15	Increase and report on board diversity	FOR	31-6 and 31-13
16	Implement MacBride Principles	FOR	31-6 and 31-13
17	Adopt sexual orientation non-discrimination policy	FOR	31-6 and 31-13
18	Report on health pandemic in	FOR	31-13

	Africa		
19	Sustainability reporting	FOR	31-13
20	Review animal welfare methods	FOR	31-13
21	Report on political donations	FOR	31-13
22	Report on product toxicity	FOR	31-5
23	Report on internet privacy	FOR	31-13
24	Adopt Eurodad Charter on responsible lending	FOR	31-6
25	Adopt Health Care Reform Principles	FOR	31-13
26	Report/Act on Environmental Impact of Various Practices	FOR	31-5

### 1. Pharmaceutical Policies

Proposals to drug companies on the affordability of AIDS, tuberculosis, and malaria drugs in poor countries began in the 2002 proxy season. The resolutions ask the companies to "develop and implement a policy to provide pharmaceuticals for the prevention and treatment" of the three diseases "in ways that the majority of infected persons in poor nations can afford." Although proposals asking for reporting on the investigation, analysis and development of policies or programs to provide "affordable" drugs in Africa and other underdeveloped, pandemic-stricken areas should likely be universally supported, proposals requiring implementation of such policies or programs should be individually reviewed. Shareholders have revived the drug price restraint campaign this year after a "break" of several years.

### 2. GMOs (Genetically Modified Organisms)

Food manufacturers are not required to label products made with bioengineered ingredients, and as a result many U.S. consumers may not be aware that they are eating foods made from GMOs. GMO developers, many farmers, and the U.S. government all say that bioengineered plants are safe, but critics worry that the plants may threaten the environment, harm humans, and perhaps lead to the extinction of crops' wild cousins, an important repository of plant genetics. The majority of related resolutions ask companies to label their foods made from bioengineered ingredients or to report to shareholders on their use of bioengineered plants and food ingredients made from these plants, as well as the company's position regarding the risks to which these uses may expose it.

### 3. Golden Parachutes

Large severance compensation agreements for executives, contingent on a change in corporate control have been the subject of shareholder and management interest for many years. Particularly during the 1980s, when hostile takeovers were commonplace, both shareholders and managers came to realize the costs and potential uses of these safety

nets. Shareholder proposals typically ask for shareholder approval of future golden parachutes.

#### **4. Poison Pills**

Under a typical plan, shareholders are issued rights to buy stock at a significant discount from the market price. The rights are exercisable under certain circumstances, such as when a hostile third party buys a certain percentage of the company's stock. If triggered, the pill would dilute the value and voting power of the hostile party's holdings to such an extent that the takeover attempt presumably would never be made. Pills are not intended to be triggered, but rather serve as a tool to deter any hostile takeover and force would-be acquirers to deal with the board of directors and potentially increase their purchase bid. Boards are not required to get shareholder approval to adopt poison pills, and they rarely do so. Various academic and institutional studies have not convincingly shown that poison pills generally work to the benefit of or detriment of existing shareholders from a purely economic standpoint. The adoption of poison pills can more unambiguously serve to entrench existing boards and management. Convincingly, critics say the overriding issue is the right of shareholder/owners to decide for themselves what protections they want.

#### **5. Recycling**

Many recycling proposals ask the target company to research how they could make substantive progress in the use of recycled content for their products. Other resolutions ask for a report on the means for achieving a specified percent recovery rate within a reasonable time period. These reports should provide a cost-benefit analysis of options and an explanation of the company's position on recycling policies. In addition, reports should list all steps the company took in investigating options for the cost-effective use of recycled materials.

#### **6. Auditors**

These proposals were prompted by concern from both investors and regulators about the provision by auditors of both audit and non-audit services to their audit clients, and the effects of these services on the independence of the audit process. The provision of certain non-audit services by a company's auditor may impair the auditor's independence and impartiality.

#### **7. ILO Principles**

The proposals ask companies to endorse core standards promoted by the International Labor Organization (ILO), a multilateral agency affiliated with the United Nations that represents national employer, labor, and government bodies of 183 member states. The core standards represent commitments to uphold basic human values and worker rights.



## **8. Predatory Lending**

Predatory lending, most often associated with the sub-prime sector, is a loosely defined term that encompasses any number of unethical and illegal practices inflicted upon unsuspecting borrowers, often causing them financial distress or ruin. The proposals primarily ask that the companies develop a policy to ensure against predatory lending practices and to report to shareholders on the enforcement of such policies.

## **9. Executive Compensation**

Institutional investors have expressed interest in ensuring that executive pay levels are linked to corporate performance. In fact, increasing pressure since the late 1980s to tie executive compensation more directly to a company's success is contributing to the surge in executive pay. CEO compensation is now steeped with stocks and options, which have become popular vehicles to more closely align management's interests with shareholders' interests. Shareholder groups are asking boards of directors to study and report on executive compensation, and to consider ways to link compensation to corporate financial, environmental, and social performance. The campaign has been ongoing for the past decade.

## **10. Global Warming**

Investors continue to coordinate a large campaign on climate change. Global warming proposals are taking various different forms, however, a typical resolution on global warming asks for a report on (i) what the company is doing in research and/or in action to reduce greenhouse gas emissions, (ii) the financial exposure due to the likely costs of reducing those emissions, and (iii) actions which promote the view that climate change is exaggerated, not real, or that global warming may be beneficial.

## **11. Equal Employment Opportunity**

The shareholder resolutions generally ask companies to make available information that is gathered for and reported to the Equal Employment Opportunity Commission. The information required includes statistical information in defined job categories, summary information of affirmative action policies, and reports on any material litigation involving race, gender, or the physically challenged.

## **12. International Lending Policies**

The effect of international bank lending in developing nations has been an ongoing concern for shareholders. Proponents concerned about poverty and debt in developing countries are submitting resolutions relating to commercial bank operations and services.

The concern is that people in developing countries have not benefited from the recent increased capital flows to emerging markets. Proposals often ask for the development of a policy toward debt cancellation and provisions for new lending to heavily indebted poor countries or ask companies to develop policies which promote financial stabilization in emerging market economies.

### **13. Global Labor Standards**

Concern about conditions in third world factories that supply U.S. corporations has led to a proliferation of shareholder resolutions from a variety of proponents throughout the 1990s. Proxy proposals will ask companies to take measures to ensure their global operations, or those of their suppliers, meet minimum labor and environmental standards. Companies that adopt favorable global labor policies will be less susceptible to negative impacts.

### **14. CERES Principles**

The principles affirm that corporations have a "responsibility to the environment" and that they "must conduct all aspects of their business as responsible stewards of the environment." There are ten principle statements that address environmental protection and management commitment to the environment. A typical resolution on the environment and CERES (Coalition for Environmentally Responsible Economies principles) asks that the company endorse the CERES principles.

### **15. Board Diversity**

The shareholder resolutions relating to Board diversity ask companies to report on the following issues: a) efforts to encourage diversified representation on the board; b) criteria for board qualification; c) process of selecting board nominees; and d) commitment to a policy of board inclusiveness.

### **16. MacBride Principles**

The MacBride Principles offer a statement of equal opportunity/affirmative action principles for operations in Northern Ireland. These principle statements offer a code of conduct to combat religious discrimination in the Northern Irish workplace.

### **17. Non-Discrimination: Sexual Orientation**

These proposals typically ask target companies to "amend its equal employment opportunity policy to explicitly prohibit discrimination based on sexual orientation and gender identity".

## **18. African Health Pandemics**

The shareholder resolutions ask companies with substantial leverage in the labor markets of sub-Saharan Africa to report on the effect of deadly diseases on the company's operations as well as on any measures taken in response. In addition, resolutions ask pharmaceutical companies to "establish and implement standards of response to the health pandemic of HIV/AIDS, tuberculosis, and malaria in developing countries, particularly Africa."

## **19. Sustainability**

A typical resolution asks firms to prepare a sustainability report at a reasonable cost. The most widely used definition of sustainability is "development that meets the needs of the present without compromising the ability of future generations to meet their own needs." The sustainability issue has received strong shareholder support since it first appeared in 2002. As a result, the number of sustainability resolutions has been dropping as fewer obvious target companies remain.

## **20. Animal Welfare**

A typical resolution asks firms to review or report on animal treatment or welfare practices, including slaughter methods, with the ultimate objective being to ensure more humane treatment of animals. The number of animal welfare resolutions has been on the decline in recent years. Fifteen resolutions have been filed so far this year, down from 29 in 2010.

## **21. Report on Political Donations**

For the eighth straight year, a large shareholder effort is addressing corporate political contributions. A typical resolution on this issue asks firms to report on their corporate political contributions, with the objective of holding companies accountable for how corporate political dollars are spent.

## **22. Report on Product Toxicity**

A typical resolution on this issue asks companies to review and report on the toxicity of their products.

## **23. Report on Internet Privacy**

Implications resulting from Internet use management are at issue for the third straight year in 2011. A typical resolution on this issue asks Internet service providers for a report examining the effects of the company's internet network management practices regarding public expectations of privacy and freedom of expression. This year, the proposals focus on "net neutrality", concern about the ability of the Internet service providers to control access to information.

#### **24. Adopt Eurodad Charter on Responsible Lending**

A typical resolution on this issue asks companies to adopt the Eurodad Charter. The charter was developed by a network of non-governmental organizations from 19 countries and outlines the essential components of a responsible loan.

#### **25. Adopt Health Care Reform Principles**

A typical resolution on this issue asks companies to adopt and support the Institute of Medicine's health care reform principles.

#### **26. Report/Act on Environmental Impact of Various Practices**

Given the broad environmental concerns expressed in Regent Policy 31-5, this pre-approved issue is for environmental resolutions which do not fall under other specific pre-approved issues.

#### **Recommended Action**

Trust Funds staff requests approval to vote in the affirmative for the 38 shareholder proposals presented in the attached list. The majority of these proposals can be viewed as falling under one of the 26 pre-approved "issues." Furthermore, approval is requested to vote in the affirmative on additional proxies coming to vote in 2011 if the proposals can be viewed as falling under one of these approved "issues."

**UW TRUST FUNDS**  
**2011 Proxy Season Voting List: Proposals Under Previously Approved Issues**

<b>Company</b>	<b>Mtg Date</b>	<b>Proposal</b>	<b>Regent Policy</b>	<b>Pre-Approved Issue Number</b>
EXXON MOBIL CORP	5/26	Adopt sexual orientation anti-bias policy	31-13	14
NOBLE CORPORATION	4/1	Adopt sexual orientation anti-bias policy	31-13	14
STEEL DYNAMICS INC	5/1	Adopt sexual orientation anti-bias policy	31-13	14
BAXTER INTERNATIONAL	5/3	Report animal testing	31-13	20
MERCK & CO	5/1	Report animal testing	31-13	20
GOLDMAN SACHS	5/1	Report on global warming	31-5	10
GOLDMAN SACHS	5/1	Report on climate change business risk	31-5	10
WAL-MART STORES INC	6/1	Report on climate change business risk	31-5	10
CHEVRON	5/25	Report on climate change financial risks	31-5	10
AMAZON	6/7	Report on climate change impact	31-5/31-13	10
FIRST ENERGY CORP	5/1	Report on coal combustion waste	31-5	26
CHEVRON	5/25	Report on country selection standards	31-5	7
CHEVRON	5/25	Report on environmental impact of fracturing	31-5	26
EXXON MOBIL CORP	5/26	Report on environmental impact of fracturing	31-5	26
THE HOME DEPOT	5/1	Report on equal employment opportunity policy	31-13	14
GENERAL DYNAMICS CORP	5/1	Report on human rights policy	31-13	7
EXXON MOBIL CORP	5/26	Report on impact of oil sands operations	31-5	26
CHEVRON	5/25	Report on offshore oil wells	31-5	26
AMAZON	6/7	Report on political contributions	CG	21
CITIGROUP	4/21	Report on political contributions	CG	21
EOG RESOURCES INC	5/3	Report on political contributions	CG	21
GOLDMAN SACHS	5/1	Report on political contributions	CG	21
JP MORGAN CHASE	5/1	Report on political contributions	CG	21
LOWE'S COMPANIES	5/1	Report on political contributions	CG	21
METLIFE INC	4/1	Report on political contributions	CG	21
PEPSICO INC	5/1	Report on political contributions	CG	21
WAL-MART STORES INC	6/1	Report on political contributions	CG	21
WELLS FARGO	6/1	Report on political contributions	CG	21
EXXON MOBIL CORP	5/26	Report on political expenses	CG	21
FIRST ENERGY CORP	5/1	Report on risk of coal reliance	31-5	26
CHEVRON	5/25	Report on safety management	31-5/31-13	26
EXXON MOBIL CORP	5/26	Report on safety management	31-5/31-13	26
TIME WARNER	5/1	Report on sustainability	31-5/31-13	19
AT&T	4/29	Review political contributions and spending	CG	21
BOEING CO	5/2	Review political contributions and spending	CG	21
JP MORGAN CHASE	5/1	Review political contributions and spending	CG	21
EXXON MOBIL CORP	5/26	Set greenhouse gas emission reduction goals	31-5	10
FIRST ENERGY CORP	5/1	Set greenhouse gas emission reduction goals	31-5	10

*Note: All votes are in the affirmative. A "CG" designation represents a non-routine Corporate Governance proposal.*

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

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

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

## **UW SYSTEM TRUST FUNDS ACCEPTANCE OF BEQUESTS OVER \$50,000**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

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

#### **REQUESTED ACTION**

Approval of Resolution I.2.c.3. accepting and recognizing new bequests of \$50,000 or more.

#### **DISCUSSION**

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

#### **RELATED REGENT POLICIES**

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

## **1. Ruben L. Welder Estate**

The Will of Ruben L. Welder states the following under Article V., 2.:

“1/9<sup>th</sup> to the UNIVERSITY OF WISCONSIN FOR CANCER RESEARCH.”

From an obituary published in the Shawano Leader, we know the following about Mr. Welder: “Ruben L. Welder, age 83, Wittenberg, died on Friday, August 6, 2010 at Aspirus Wausau Hospital. He was born on July 25, 1927 in the Township of Wittenberg, the son of the late Otto and Anna (Kenitz) Welder. Ruben farmed for many years on the family farm. He was a member of St. Paul Lutheran Church, Wittenberg.”

To date, \$200,000 has been received from the Welder estate, and the total bequest will likely be in excess of \$450,000. The monies received have been used to establish a new designated endowment fund, the income from which will be made available to support cancer research at the McArdle Laboratory for Cancer Research at the discretion of the Director.

## **2. Eleanor A. Ansberry Estate**

The Will of Eleanor A. Ansberry states the following under II:

“I give, devise, and bequeath all of my estate, to the following, in equal shares, per capita:

... (d) To the University of Wisconsin in Madison, Wisconsin, as an unrestricted gift;”

From the obituary published in the Austin American Statesmen, we know the following about Ms. Ansberry: “Eleanor Ansberry, born in Oakland, California in 1933, died peacefully in her sleep on September 15, 2010. Ms. Ansberry retired to Austin in 1994 after spending 30 years teaching for the U.S. Department of Defense in elementary schools around the world, including Japan, the Philippines, Belgium, France and West Berlin.... While teaching in West Berlin, she was delighted to witness the fall of the Berlin wall. During summer vacations from teaching, Ms. Ansberry continued her education in the United States, obtaining library science degrees from Colorado Springs College and the University of Wisconsin. After retiring in Austin, Ms. Ansberry worked in the Austin public library and was active in the Episcopal Church of the Resurrection, volunteering in the thrift shop and participating in many church activities.”

Eleanor’s sister, Susan, also shared this about her sister: “I know that Eleanor would be very happy to have her gift recognized, and my siblings will also be pleased. Although it was many years since Eleanor attended Wisconsin, she was a loyal alumna who right up to her passing continued to argue the relative merits of the University of Wisconsin as compared to the other schools our family attended (UC Berkeley, UCLA, University of Washington). (She was sure that Wisconsin was going to get the top spot in the US News ratings for 2010.) Her collection of Badger t-shirts and memorabilia was quite astounding. One fact that may be of interest is that our late father, Merle



Ansberry, received a Ph.D. from the University of Wisconsin in the 1930s, and I understand that this was the first Ph.D. granted in Audiology in the U.S. This may be why Eleanor chose to attend Wisconsin.”

The total bequest from Eleanor Ansberry is expected to approximate \$132,500. Chancellor Martin is being consulted as to the disposition of this unrestricted gift.

### **3. Laurabelle S. Tullock Estate**

The Will of Laurabelle S. Tullock states the following under ITEM IV. A.:

“One-half (1/2) to THE UNIVERSITY OF WISCONSIN CHEMISTRY DEPARTMENT, of Madison, Wisconsin, in memory of my husband, CHARLES W. TULLOCK for the general uses and purposes of the Chemistry Department.”

All that we have been able to ascertain about these donors is that Charles W. Tullock received his Ph.D. in Chemistry at UW-Madison in 1938, that he worked as an experimental chemist at E.I. du Pont for many years, and that he had numerous patents to his name. The attorney and executor of the Tullock estate also mentioned that Laurabelle had told him that her husband served in the U.S. military in World War II and was “rented out” to the Chinese government (presumably, Chiang Kai-shek’s Nationalists) to help the Chinese against Japanese gas attacks.

Approximately \$1.4 million has been received from the Tullock Estate. UW-Madison and the Department of Chemistry are in the process of determining the disposition of this bequest.

### **4. Milton O. Pella Trust**

The Pella Trust document, as amended, states the following under Article Two, B., 2. g.:

“ Ten (10) shares to THE UNIVERSITY OF WISCONSIN COMPREHENSIVE CANCER CENTER, Madison, Wisconsin.”

From an obituary at Madison.com and UW-Madison’s Communications Clipsheet we know the following about Mr. Pella’s rich life and career: Milton O. Pella, age 96, died on Saturday, Aug. 21, 2010, at the University Hospital in Madison. “Milton, a retired science educator, was born on February 13, 1914, to Ida and Charles Pella in Wilmot.... He furthered his education and graduated with a B.E. from Milwaukee State Teachers College in 1936, a M.S. from the University of Wisconsin in 1940, and a Ph.D. from the University of Wisconsin in 1948.

Milton married Germaine Marie Reich on December 9, 1944. He served in the military from 1942-1946, receiving [an] Army Commendation Ribbon, Teacher of Science and Mathematics. Milton was an educator at Wyler Military Academy from 1937-1938, Delavan Elementary School from

1938-1939, a science teacher at the University of Wisconsin High School 1939-1942 [and] 1946-1948, a professor of science education [at the] University of Wisconsin 1948-1980, and professor emeritus since 1980.

The improvement of science education [in] K-16 [was] his prime concern throughout his professional career. Milton served as science education consultant to Turkey, Lebanon, Jordan, Syria, Egypt, Nigeria, Costa Rica, Mexico and India. He served as major professor to 12 Ph.D. students in science education from India, Jordan, Syria, Lebanon, Israel, Egypt and Botswana as well as 49 from the U.S..... Milton served as major professor to more than 125 M.S. students in science education from many parts of the U.S. and the world. He [also] participated in the planning of the teaching in the first National Science Foundation's Science Teacher Program. He planned and supervised a program for training K-12 science supervisors [which was] NSF funded.... [And Milton] was [also] the author of several secondary and middle school science textbooks, and published more than 16 science education research studies."

Approximately \$640,900 has been received from the Pella Trust. These funds have been deposited to an existing, multiple-donor, designated-endowment account, the "Comprehensive Cancer Center Discretionary Fund," per direction from the UW School of Medicine and Public Health. (The Pellas also directed a large gift to the University of Wisconsin Foundation to establish the "Pella Science Education Fund," for the purpose of creating graduate fellowships in the School of Education at UW-Madison to support graduate study in science education.)

## **Office of Operations Review and Audit**



### **Program Review**

## **SHORT-TERM LOAN PROGRAMS**

**April 2011**

## Table of Contents

	Page
Executive Summary	I
Scope	1
Background	1
Discussion and Recommendations	2
Characteristics of UW Institution Short-term Loan Funds	2
Loan Fund Administration and Policies	5
Eligibility and Application Process	6
Terms	6
Disbursement and Repayment	7
Overdue Loans	8
Loan Uses and Student Borrowers	9
Maximization of Funds	10
Repurposing of Short-term Loan Funds	10
Institutional Funds Management Options	11
Other Student Assistance Options	12
Conclusion	13

## **EXECUTIVE SUMMARY**

Students may experience an unexpected financial need or emergency during the course of an academic year that traditional student financial aid is not designed to address. Many institutions of higher education, including most University of Wisconsin (UW) institutions, assist students in financial need by administering short-term loan programs. The UW System Office of Operations Review and Audit reviewed short-term loan programs at UW institutions, including fund characteristics, administrative policies, student borrowers and uses of loans, and how institutions maximize their loan funds.

### **Characteristics of UW Institution Short-term Loan Funds**

All four-year UW institutions—except UW-Parkside and UW-Stevens Point—have at least one short-term loan account. Institution resources for short-term loans vary significantly, largely because private donations are required to create loan funds. Most institutions administer only one or two accounts, with cash balances ranging from \$4,000 to just over \$300,000. However, UW-Madison has 153 accounts with a total collective balance of more than \$2 million. Six of the 13 UW Colleges campuses also have short-term loans accounts, which are generally small in comparison to the four-year institutions and are typically provided or operated by a foundation affiliated with the institution.

Because of the repayment of outstanding loans during the year, several institutions or individual funds were able to use short-term loan dollars multiple times in a fiscal year, a practice known as “revolving.” However, two of the institutions with short-term loan accounts, as well as 131 of the individual funds at UW-Madison, made no loans in fiscal year (FY) 2009-10.

### **Short-Term Loan Fund Administration and Policies**

UW institution short-term loan funds are generally administered by the financial aid office and disbursed by the bursar. However, there are short-term loan funds that are controlled by academic departments. Institutions have generally established written policies that address loan application, approval, terms, disbursement, repayment, default, and collection. We recommend that those institutions or administrative units without policies establish them.

The terms for short-term loans at UW institutions are generally favorable to the student borrower, with most loans being interest-free until the loan due date. The length of short-term loans varies, but typically ranges from 30 days up to one year. Because the student usually meets with a financial aid counselor or other staff member prior to applying for a loan, most students who submit a formal loan application are approved. For students who are late in repaying a loan, institution policies may allow the use of collection agencies or small claims court but most frequently require that an administrative hold be placed on the student’s records until the loan is repaid.

## **Loan Uses and Student Borrowers**

Although students may need a short-term loan for many different reasons, most can be categorized as due to delays in financial aid, the need to purchase textbooks at the beginning of a semester, or unexpected life events. These unanticipated financial emergencies may include such things as health care costs, increased housing costs due to a roommate moving out, unplanned travel to attend to family matters, or car repairs.

Institution staff indicate that student borrowers of short-term loans do not fit any specific demographic profile, although students who have more financial commitments outside of their education or have limited family support may be more likely to face unexpected expenses. This may include students who are married, single parents, first-generation college students, veterans, or commuters, among others. According to institution staff, students who repeatedly use short-term loans to meet emergency financial needs are relatively rare.

Due to the recent recession, it is reasonable to expect that students may find themselves in greater need of short-term financial assistance as the potential for circumstances leading to unexpected expenses increases. However, institution staff indicated that the demand for short-term loans continues to be driven primarily by events that are largely independent of the overall economic picture, and data show that there has not been a significant increase in the use of short-term loans.

## **Maximization of Funds**

In order to assist as many students as possible, institutions need to ensure that available loan funds are used in the most efficient and effective manner possible. Several institutions have reviewed their loan accounts and decided to redirect a portion of unused capacity for other purposes, such as scholarships. In some cases, state law may provide criteria under which institutions can repurpose these funds.

Institutions have also maximized short-term loan funds, or provided assistance to students despite a lack of loan funds, by offering other assistance options to students. These have included financial counseling, financial aid adjustments, deferment of fees, the use of vouchers for textbook purchases, and grants from other sources, such as a foundation. We recommend that institutions consider these alternative means to assist students in meeting unexpected short-term financial needs, particularly when short-term loans are not available. The increasing use of personal credit has also displaced the need for short-term loans for some students.

The availability of these other assistance options, coupled with the existence of short-term loans at most UW institutions, provides assurance that students experiencing unexpected life events have access to some form of assistance. Institution staff indicate that these resources play an important role in the retention of students who utilize them.

## **SCOPE**

The University of Wisconsin (UW) System Office of Operations Review and Audit reviewed UW institution short-term loan funds designed to assist students in managing unexpected financial needs. The goals of the review were to identify UW institution short-term loan programs, determine the circumstances under which students may require a short-term loan, and evaluate institutional oversight of short-term loan funds. Loans used to offset the costs of attending college, such as those included in a traditional student financial aid package, were not included as part of this review.

To conduct this review, we worked with UW institution financial aid directors, bursars, and assistant deans at the UW Colleges campuses. We conducted an online survey to collect data on existing short-term loan funds at UW institutions and conducted in-person and telephone interviews with UW staff responsible for administering these funds. We also interviewed the dean of students, academic department staff, and financial aid counselors at selected UW institutions. Finally, we reviewed institutional policies and procedures, institutional funds management guidelines, and background material on federal and state student financial aid.

Our review relied upon financial aid directors or bursars to identify short-term loan accounts at their respective institutions. In some instances, academic departments may administer accounts that do not use the financial aid or bursar's office to determine eligibility, disburse loans, or assist with the processing of loans in some other manner. To the extent that such funds exist but were unknown to the institutional staff with whom we spoke, they would not be reflected in this report.

## **BACKGROUND**

State and federal financial aid are intended to make college tuition and expenses more affordable and increase access to higher education. A student's financial need is determined by the federal government through a uniform needs application, commonly known as the Free Application for Federal Student Aid (FAFSA). Institution financial aid offices use this needs analysis to package the amount of grants, loans, and other aid that a student receives. Common federal financial aid programs include Pell Grants, Stafford and Perkins Loans, and work-study opportunities. At the state level, programs such as the Wisconsin Higher Education Grant, Advanced Opportunity Program, Lawton Minority Undergraduate Grant Program, and Tuition Increase Grant offer financial assistance to help students defray the cost of going to college.

In addition to state and federal financial aid, students may receive need- or merit-based assistance supported by private funds. This type of aid is also typically aimed at making college more affordable and increasing access. The UW System has made increasing privately funded need-based aid an important component of the *Growth Agenda for Wisconsin*, which is the System's strategic framework to produce more graduates, create more jobs, and build stronger communities.

While state and federal financial aid packages can be adjusted under certain circumstances after a student's need has been calculated to account for changes such as job loss or other loss of income, neither public nor private financial aid are intended to address unexpected student needs that may arise during the course of an academic year. Because traditional financial aid is not a good source of assistance for students experiencing an emergency or short-term financial need, higher education institutions, including most UW institutions, generally make short-term loans available to help students in these situations. Short-term loans are not considered to be part of a student's financial aid package.

## **DISCUSSION AND RECOMMENDATIONS**

This report reviews: 1) the characteristics of UW institution short-term loan funds; 2) institutional administration of short-term loans; 3) reasons students may require a short-term loan; and 4) options available to UW institutions to maximize available loan funds.

Short-term loans are useful in helping students meet unplanned or emergency financial situations that their existing resources, including financial aid, are unable to address. Short term loans are often available through an institution's financial aid office, although university-affiliated foundations or academic departments may also control short-term loan funds that are intended to assist students enrolled in specific degree programs. While specific policies and practices vary, all UW institutions that offer short-term loans face similar challenges with regard to the administration and maximization of loan funds.

### **CHARACTERISTICS OF UW INSTITUTION SHORT-TERM LOAN FUNDS**

Most UW institutions offer short-term loan programs designed to assist students that are experiencing an unexpected financial crisis or need. Eleven of the 13 four-year institutions have at least one short-term loan account.

- UW-Eau Claire, Green Bay, La Crosse, Madison, Milwaukee, Oshkosh, Platteville, Stout, and Superior all have at least one active short-term loan account.
- UW-Whitewater recently established a fund but has yet to begin making loans from the account.
- UW-River Falls has a short-term loan account but is not currently issuing loans because it is rebuilding the fund balance.
- UW-Parkside and Stevens Point currently do not provide short-term loans. UW-Stevens Point previously administered a short-term loan account but decided to cease making loans because of the administrative overhead. UW-Parkside is currently discussing the creation of a fund through a possible class gift.

Institution resources for short-term loans vary significantly, largely because private donations are required to create loan funds. For example, UW-Madison has more than 150 accounts with a



total collective balance of more than \$2 million whereas UW-Whitewater has a single account with \$4,000 available for loans. As shown in Table 1, the three largest institutions in the UW System have the largest available resources to assist students with short-term loans. UW-Oshkosh recently received a gift of \$270,000 through the University of Wisconsin Oshkosh Foundation for the purposes of assisting students experiencing a financial crisis. As a result, UW-Oshkosh has actively promoted the availability of the program to students in order to maximize the use of the funds, which is reflected in the large number of loans.

**Table 1: UW Four-year Institution Short-Term Loan Activity  
Fiscal Year 2009-10**

<b>UW Institution</b>	<b>Number of Accounts</b>	<b>Fund Cash Balance*</b>	<b>Number of Loans</b>	<b>Average Loan</b>	<b>Amount Loaned</b>
Madison	153	\$2,073,421	651	\$1,122	\$730,615
Oshkosh	2	303,143	270	706	190,655
Milwaukee	1	160,860	254	432	109,728
Eau Claire	1	23,574	101	317	32,033
Platteville	1	50,000	16	765	12,246
Superior	2	12,635	13	300	3,899
La Crosse	1	25,000	8	438	3,500
Green Bay	1	42,087	6	225	1,350
Stout	4	25,506	1	1,200	1,200
River Falls	1	6,450	0	N/A	0
Whitewater	1	4,000	0	N/A	0
<b>Total</b>	<b>167</b>	<b>\$2,726,676</b>	<b>1,320</b>	<b>\$822</b>	<b>\$1,085,226</b>

\* Cash balance in the account as of July 1, 2009. The balance does not include outstanding loans.

Table 1 also shows a difference in the average loan amount at UW-Madison when compared to other UW institutions. The average loan amount at UW-Madison is more than \$1,100 while averaging approximately \$530 at the other eight institutions that made loans in FY 2009-10. One explanation for the difference is that UW-Madison is unique among the 13 four-year institutions because it has professional schools such as law, medicine, and veterinary medicine. Students in these programs utilize assistance for more expensive career development activities, such as medical residency placements that may require a student to relocate to another part of the country.

Table 2 confirms that the average loan amount is higher for funds directed to students in professional degree programs, particularly for the Medical School, at UW-Madison. The Knapp Fund, which is available to all enrolled students, is interest free, and maintains a sufficient cash balance to support student loan needs, is most often used for short-term loans.

**Table 2: UW-Madison Short-Term Loan Activity  
Fiscal Year 2009-10**

<b>UW-Madison Loan Fund</b>	<b>Fund Cash Balance</b>	<b>Number of Loans</b>	<b>Average Loan</b>	<b>Amount Loaned</b>
Kemper K. Knapp	\$125,077	401	\$1,088	\$436,340
Medical School	78,939	52	1,994	103,700
Wisconsin Law Alumni	22,378	72	1,140	82,080
Henry & Minnie Huber*	n/a	21	1,490	31,285
Dean of Students–Emergency*	n/a	59	459	27,085
Veterinary Medicine	9,405	16	838	13,400
All Other Funds	1,837,622	30	1,224	36,725
<b>Total</b>	<b>\$2,073,421</b>	<b>651</b>	<b>\$1,122</b>	<b>\$730,615</b>

\* The Huber Fund is a trust account and does not maintain a cash balance. The Dean of Students Emergency Loan Fund is a foundation-based account. For both accounts, funds are requested from UW System Office of Trust Funds or the University of Wisconsin Foundation as needed for loan purposes.

Although UW-Madison has 153 loan accounts, only 22 were used to make loans in FY 2009-10, with the six most frequently used funds accounting for approximately 95 percent of all funds and loans issued. Of the remaining 131 accounts, 115 are revolving loan accounts with a total cash balance of approximately \$1,484,130 in FY 2009-10. In some instances, these funds may have restrictive eligibility requirements or may no longer have a sufficient balance to support short-term loans. The remaining 16 unused accounts were trust fund accounts that can often be used for purposes other than loans, such as scholarships.

Tables 1 and 2 both show the ability of institutions to use short-term loan dollars multiple times in a fiscal year, known as “revolving.” As loans are repaid, the funds become available to be used by another student. For example, UW-Eau Claire made \$32,033 in loans despite having a cash balance of \$23,574, while UW-Madison used the Knapp Fund to loan funds at a loan-to-balance ratio of more than 3:1. Since 2007, both UW-Eau Claire and the Knapp Fund at UW-Madison have sustained a loan-to-balance ratio of greater than 1:1.

In addition to the 11 four-year institutions, six of the 13 UW Colleges offer students short-term loans. The accounts are generally small in comparison to the four-year institutions and are typically provided or operated by a foundation affiliated with the institution. Consequently, detailed information was not always readily available about activity at UW Colleges.

As shown in Table 3, UW-Waukesha loaned the most money among UW Colleges campuses, which was more than several four-year institutions. However, the average loan amount is generally smaller at the two-year campuses as compared to other UW institutions. Table 3 also shows that the UW Colleges short-term loan funds have many of the same characteristics as those found at the four-year institutions, including the ability to revolve funds. In fact, the three UW Colleges campuses that were able to provide financial data all leveraged available loan funds multiple times in FY 2009-10.

**Table 3: UW Colleges Short-Term Loan Activity  
Fiscal Year 2009-10**

<b>Campus</b>	<b>Number of Accounts</b>	<b>Fund Cash Balance</b>	<b>Number of Loans</b>	<b>Average Loan</b>	<b>Amount Loaned</b>
Waukesha	1	\$9,066	76	\$170	\$12,938
Barron County	1	1,400	9	311	2,800
Sheboygan	1	1,782	13	170	2,215
Richland*	1	N/A	N/A	N/A	N/A
Rock*	1	N/A	N/A	N/A	N/A
Washington County*	2	N/A	N/A	N/A	N/A
<b>Total</b>	<b>7</b>	<b>\$12,248</b>	<b>98</b>	<b>\$183</b>	<b>\$17,953</b>

\* Detailed information was not available because accounts are managed by a foundation.

### **LOAN FUND ADMINISTRATION AND POLICIES**

The financial aid or bursar's office is typically responsible for managing and overseeing short-term loan funds at UW institutions. Generally, financial aid staff approve the loan application and communicate student loan eligibility information to the bursar's office. The bursar's office processes the promissory note, issues the check, and is responsible for collecting the loan amount. Institution policies typically address the application, approval, disbursement, and collection processes for short-term loans.

An individual academic unit may also be responsible for making short-term loan decisions due to a bequest or gift that it has received. As a result, the academic department is responsible for establishing an appropriate policy and process for administering and disbursing the funds. At UW-Madison, 13 departments, including the Dean of Students, administer a total of 84 short-term loan accounts. UW-Madison staff indicate that academic units generally manage loan programs in a similar manner to the financial aid office and use the bursar's office to issue the promissory note and check. While we did not look at all the accounts managed by academic units at UW-Madison, we did review funds administered by the College of Agricultural and Life Sciences and the College of Engineering, which control 19 and 22 individual loan accounts, respectively.

While there are no Board of Regents or UW System Administration policies directly related to the administration of short-term loans, most institutions have established their own written policies. In addition, while the level of oversight varies among academic departments, some have established written procedures for their short-term loan funds. Those institutions which do not currently have a written policy for their short-term loan program generally have implemented a process that mirrors the other institutions. However, the lack of written guidance can lead to differences in implementation, and the establishment of a written policy is a sound business practice that helps ensure that short-term loan funds are administered in accordance with the intent of the original funding source. For those that have not yet done so, ***we recommend that institutions and administrative units that administer short-term loan funds establish written policies addressing loan application, approval, terms, disbursement, repayment, default, and collection.*** Further, institutions offering short-term loans are considered creditors under federal

laws such as the Gramm-Leach-Bliley Act and the Fair and Accurate Credit Transactions Act (also known as the “Red Flags Rule”) and should ensure that short-term loan programs take appropriate steps to secure program information and prevent identify theft.

### **Eligibility and Application Process**

At most institutions, all enrolled students in good academic standing who do not have an outstanding short-term loan balance are eligible to receive a short-term loan. Rarely, but more likely at institutions that administer more than one short-term loan fund, loans may have additional eligibility requirements, typically established by gift covenants. Examples include that the student must be a minority or international student, a recipient of financial aid, or have completed at least one semester of school. However, at UW-Madison, which administers 153 short-term loan funds, eligibility is more commonly restricted, most often based on a student’s major or year in school.

Despite some funds having restrictive eligibility requirements, institutions reported that most students who apply for a short-term loan are approved. All UW institutions providing short-term loans have established an application process where the student applies through the controlling administrative unit, most often the financial aid office. Because institutions typically require a student to meet with a financial aid counselor or other staff member to discuss the purpose of the loan prior to submitting a loan application, students often are aware of their eligibility for a loan in advance. The four institutions that track the number of short-term loan applications they receive indicate an approval rate of 99 percent for FY 2009-10, most likely reflecting the financial counseling a student receives prior to applying for a short-term loan.

### **Terms**

If a student is determined to be eligible for a loan and is approved, the student signs the application form and a promissory note agreeing to the loan terms. Institutions provide information on loan terms and conditions on the application form or through contact with a financial aid counselor during the application process in compliance with federal Truth in Lending Act (TILA) disclosure requirements, often referred to as Regulation Z. TILA requires loan documents to clearly show the loan amount, interest rate, total interest paid over the life of the loan, and the total amount financed. With some exceptions, loans generally:

- are interest free during the term of the loan;
- are between 30 and 90 days in length;
- require repayment within the semester the funds are borrowed or prior to receiving a new loan or enrolling in classes for the subsequent semester; and
- charge interest upon late repayment or delinquency.

Exceptions to these terms are typically found with loans that are administered by an academic unit or at institutions with multiple loan funds. For example:

- UW-Oshkosh allows for a one-year repayment term;
- the UW-Madison College of Agricultural and Life Sciences and the School of Nursing allow repayment within three years of graduation; and
- the UW-Madison School of Journalism and Mass Communications administers four loan funds that charge interest at the beginning of the loan.

Revisions to TILA, effective in February 2010, enacted additional requirements for loans with a term longer than 90 days that charge interest or that are interest-free with a term exceeding one year. These new rules require a lender to make a series of additional disclosures and delay loan disbursement until three business days after disclosure is provided. Although most UW institution short-term loans fall outside the scope of the new TILA requirements, UW-Madison administers some short-term loan funds that meet the criteria for additional disclosure. The bursar's office is responsible for complying with TILA disclosure requirements.

Although other higher education institutions offer short-term loans for purposes similar to those offered by UW institutions, terms can vary significantly, often in ways that are less favorable to student borrowers. For example:

- The Ohio State University offers short-term loans with an interest rate of 7 percent that accrues from the date of the loan disbursement.
- The University of Minnesota administers a Student Emergency Loan Fund (SELF) that charges 8 percent interest per year and a non-refundable application fee.
- The University of Houston offers short-term loans through the Dean of Students Office that charge 12 percent interest on an annual basis and include a loan origination fee.

### **Disbursement and Repayment**

The usefulness of a short-term loan to address an unexpected financial situation is dependent upon the student receiving the funds in a timely manner. Institutions reported that checks issued through the bursar's office are usually ready within three days of the loan being approved. Staff from several institutions indicated that they can often provide funds to a student on the same day the application is approved. Only one institution reported that loans require between one and two weeks to be disbursed.

UW institutions often establish maximum individual loan amount and total lifetime loan amount limits. The most common maximum limit among UW institutions for a single short-term loan is \$500. In some instances, the maximum loan amount is as little as \$50. The highest maximum loan amount is \$3,000 for a fund administered by UW-Madison's Office of Student Financial Aid for students majoring in political science. Yearly or lifetime loan limits also exist and vary, ranging from several thousand dollars for a single year up to a \$20,000 lifetime limit. More commonly, single year and lifetime limits are more modest and institutions commonly limit a student to no more than two loans. Short-term loan fund programs at other higher education

institutions also specify how often students may receive a loan and the maximum amount a student may borrow.

The bursar's office is also the administrative unit typically responsible for collecting short-term loans. In many instances, a short-term loan is simply repaid when a student's federal financial aid package arrives by deducting the amount of the loan from the aid. In instances when a short-term loan is approved without a pending financial aid package, the process involves sending out a notice prior to the loan due date notifying the student of the obligation. If the student does not repay the loan, or seek an extension, the bursar's office may initiate collection efforts as provided for by the institution's policy. At UW-Madison, short-term loans controlled and administered by academic departments also use the bursar to disburse and collect loan funds.

### **Overdue Loans**

While individual institution policies vary, the general approaches taken to address late payment and delinquency can be characterized in one of two ways.

- The institution does not distinguish between a late payment and a loan delinquency. An outstanding charge in the amount of the loan is simply maintained on the student's account and an administrative hold is placed on the student's records. The student would be required to repay the loan, and any associated interest or fees, before re-enrolling or receiving university services, such as a transcript or diploma.
- The institution more actively pursues a late payment or loan delinquency, including referral to an external collection agency or through small claims court. Interest is charged starting on the due date and accrues until the loan is repaid. A hold is placed on the student's account until the balance is repaid.

Since each institution defines a loan in default slightly differently, we found it difficult to compare institutions or to calculate a systemwide default rate. However, two institutions, UW-Eau Claire and UW-Madison, define a loan in default comparably and consistently with other lenders, making it easier to determine the number of loans that were in default. Specifically:

- UW-Eau Claire reported that 34 of 313 loans from FY 2006-07 through FY 2009-10, or 10.8 percent, were considered in default at some point in the repayment process.
- UW-Madison reported that 208 of 2,683 loans from FY 2006-07 through FY 2009-10, or 7.7 percent, were considered in default at some point in the repayment process.

In rare instances, a short-term loan may be deemed uncollectible due to repeated failures at collection or because the student has become permanently disabled or is deceased. UW System Financial and Administrative Policy F39, *Collections and Write-offs*, guides how an institution may write off a receivable, which includes short-term loans. Depending on what actions it has taken to collect a loan in default, institutions may be able to write off short-term loans up to \$1,000. Writing off loans in excess of \$1,000 requires approval of UW System Administration.

## **LOAN USES AND STUDENT BORROWERS**

Students may require short-term loans for many different reasons. However, these reasons fall into three general categories:

- *Financial Aid Delays*: Many short-term loans address a temporary shortage of funds due to filing for financial aid late or an unexpected delay in receiving aid. With the improvement in the speed with which financial aid is distributed, financial aid directors indicate that the need for a short-term loan to address this situation has declined in recent years.
- *Textbook Purchases*: Another common situation, often related to the delayed receipt of financial aid, is having insufficient funds to purchase textbooks at the beginning of a semester.
- *Unexpected Expenses*: Short-term loans are often used by students to address an unexpected life event. Situations such as health care costs, increased housing costs due to a roommate moving out, unplanned travel to attend to family matters, and car repairs are examples of short-term financial emergencies.

Due to the recent recession and the economic uncertainty that has accompanied it, it is reasonable to expect that students may find themselves in greater need of short-term financial assistance as the potential for circumstances leading to unexpected expenses increases. Problems such as the loss of parental financial support and the inability to find part-time employment, which could occur after plans for the academic year have been made, would seem to be more likely. In some cases, such difficulties may change long-term financial needs and impact the amount of financial aid for which the student is eligible. In other cases, a short-term loan may be sufficient until circumstances change or a student's application for federal student aid can be revised. However, despite the broader economic situation, institution staff indicated that the demand for short-term loans continues to be driven primarily by events that are largely independent of the overall economic picture.

Data provided by the institutions confirms that there has been no discernible trend in the number of short-term loans over the past several years, including since the recession officially began in FY 2007-08. For example, 1,315 loans were made in 2007 and 1,394 were made in 2010. While the total number of loans approved did increase by 6 percent, the total amount awarded increased by only 2.4 percent for the same time period. UW-Oshkosh largely accounts for the growth in both the number of loans and loan amount, which increased by 81 percent and 113 percent, respectively. The growth in short-term loans at UW-Oshkosh is attributable to the large bequest they received and their efforts to actively promote the use of the funds. Considering all other UW institutions, without UW-Oshkosh, the total number of loans made between 2007 and 2010 actually decreased by 6 percent, while the total dollar amount of loans decreased by approximately 8 percent.

UW institutions do not separately track the demographic information of student borrowers. While it may be possible to collect such data through linking an institution's student information

systems with its financial database, we relied instead upon the experience of financial aid directors and counselors to describe characteristics of students who utilize short-term loans.

Repeatedly, institution staff indicated that there is no typical profile of students needing short-term loans. However, several staff mentioned that students who have more financial commitments outside of their education or have limited family support may be more likely to face unexpected expenses. This may include students who are married, single parents, first-generation college students, veterans, or commuters, among others.

In addition to the benefits that short-term loans provide students, institutions also have an interest in ensuring students are able to meet their financial obligations and remain in school. Common sense would dictate that students who are able to address emergency financial needs are more likely to remain enrolled, and staff anecdotally identified situations in which short-term loans have aided in student retention. However, institutions do not maintain data regarding retention and graduation rates for those receiving short-term loans. Staff also indicated that short-term loans are beneficial to the institution by reducing student stress that may adversely affect their academic performance.

Staff from most institutions indicate that students who repeatedly use short-term loans to meet emergency financial needs are relatively rare, although most institutions do not track this but rather address the needs of repeat borrowers on a case-by-case basis. The one exception appears to be UW-Madison, where data show that 113 students, or approximately 24 percent of students who received a short-term loan in FY 2009-10, received two or more loans that year. The wider availability of short-term loans at UW-Madison may lead to students relying upon these loans more when compared to students at other UW institutions. Despite nearly one of every four short-term loans issued to a repeat borrower, UW-Madison retains a significant capacity to meet student short-term loan needs.

## **MAXIMIZATION OF FUNDS**

In order to assist as many students as possible, institutions need to ensure that available loan funds are used in the most effective and efficient manner possible. We reviewed efforts by institutions to ensure funds are used to their fullest as well as options available to manage funds with flexibility. Maximization efforts can include repurposing funds if not being fully utilized for short-term loans and using non-financial means of assistance to replace the need for or in combination with existing loan funds.

### **Repurposing of Short-term Loan Funds**

Most institutions consider whether their short-term loan funds are best used for loans or other purposes and whether their available balance is adequate. If an institution determines there is excess capacity within the loan account, they may designate a portion of the available loan funds for another purpose if permissible within the terms of the bequest. This type of evaluation tends to be an informal process. For example:



- UW-Green Bay has recently repurposed a portion of their short-term loan fund balance to support a general scholarship fund. The institution decided supporting student scholarships with these funds was a better use due to the combination of low demand for short-term loans over time and an increasing cash balance from interest payments.
- UW-Oshkosh is discussing options to repurpose a smaller short-term loan account because they no longer need the funds for those purposes in light of a larger donation for a similar purpose.
- UW-Superior has expanded the allowable uses of short-term loans for purposes other than textbooks on a case-by-case basis.

The UW-Madison Bursar's Office uses a more formal approach and attempts to review short-term loan accounts at least once every five years to verify that their records are correct concerning account rules as well as to determine if any funds are eligible for other uses such as grants or scholarships. If funds in a short-term loan account are eligible to be used for other purposes and the controlling academic department is interested, funds can be repurposed or transferred to another entity that may be able use the funds to a greater extent. To date, only the Office of Student Financial Aid and the College of Agricultural and Life Sciences have acted to repurpose funds. For example, the College of Agricultural and Life Sciences transferred control over a small fund established several decades ago by the student government back to the organization because of a determination that sufficient funds exist in other accounts to support short-term loans and that the funds could be put to better use.

### **Institutional Funds Management Options**

The federal Uniform Management of Institutional Funds Act (UMIFA), enacted in 1972, provided uniform and fundamental rules for the investment and expenditure of funds donated as endowments to charitable institutions. The rules supported two general principles: 1) that assets would be invested wisely in diversified investments, and 2) that appreciation of assets could prudently be spent for the purposes of any endowment fund held by a charitable institution. In 2006, UMIFA was updated with the approval of the Uniform Prudent Management of Institutional Funds Act (UPMIFA). UPMIFA provides even greater guidance for investment management and more exact rules for investing in a reasonable manner. Among the changes made by UPMIFA was a provision allowing modifications to funds less than \$25,000 that were established more than 20 years ago without the need to go through a potentially costly court proceeding.

UPMIFA may be applicable to some UW institutions that currently have short-term loan fund accounts that are both small and old, as defined by the Act, and include outdated or overly restrictive covenants that may prevent utilizing account funds fully. Specifically, if a bequest or gift includes a restriction that has become impractical, the institution may modify the restriction in a manner consistent with the charitable purposes expressed in any document that was part of the original gift. Several short-term loan funds at UW institutions could be limited in their ability to assist students, and therefore could possibly be considered for repurposing under UPMIFA. For example, due to restrictive covenants:

- the UW-Madison College of Engineering administers a loan fund which is restricted to undergraduates and prefers students that are from Dodgeville or Iowa County, and another which is for students that are residents of one of 21 northeastern Wisconsin counties;
- the UW-Madison School of Journalism and Mass Communication administers a fund that restricts loans to students that are members of Coranto, a professional journalism society;
- UW-Oshkosh administers a loan account where the maximum loan limit is \$50; and
- UW-Washington County and the UW-Washington County Campus Foundation share administrative responsibility for two short-term loan funds, one of which is available only to female students aged 22 or older.

While UPMIFA may be a useful tool for some institutions, the Act most likely has limited applicability to most UW institutions. However, for institutions with multiple short-term or underutilized loan accounts, institutions may wish to consider whether the provisions in UPMIFA could be used to repurpose short-term loan funds for other uses.

### **Other Student Assistance Options**

Regardless of whether they have short-term loan funds, institutions have found alternative ways to assist students experiencing an unexpected financial need. In some cases, the use of alternative approaches provides a way for institutions without loan funds to assist students in need and allows institutions that do have short-term loan funds to maximize those funds. Alternative options identified by institution staff include:

- ***Financial Counseling:*** Institutions regularly counsel students experiencing financial needs. Counseling can help students identify the source of their need, determine if it is an immediate concern, and identify options for addressing it. Counselors may be able to recommend alternatives to a short-term loan, as well as assist with personal finance and budgeting skills.
- ***Financial Aid Adjustments:*** In some instances, a student's financial need may have changed after applying for aid and the institution can assist the student in receiving an adjustment to their financial aid award.
- ***Deferments and Vouchers:*** Institutions may be able to defer fees, such as tuition, for students who may be experiencing a temporary financial emergency. Other measures to alleviate a student's short-term financial burden include payment schedules or the use of vouchers. A voucher is essentially credit extended by the institution that is backed by pending financial aid. For example, UW-Fox Valley reported that it has implemented a voucher system for textbook purchases rather than using its short-term loan fund, which became depleted over time due to poor repayment. The student purchases textbooks by providing a voucher at the bookstore and the institution reimburses the vendor once the student's financial aid arrives.

- *Other Sources of Funds:* Emergency financial assistance may be available through the office of the dean of students, a foundation affiliated with the institution, or other sources. The assistance may be in the form of a loan or grant and often is offered only in cases involving exceptional events or crisis. UW-Eau Claire students have access to a foundation-based account that provides grants for emergencies. Additionally, UW-Eau Claire has created a fund, as part of their differential tuition plan, which offers grants to students experiencing an extraordinary event, such as an illness of a parent. The grant fund augments an existing short-term loan account and is used in accordance with guidance provided by the student government.

In addition to these alternatives, the availability of personal credit options often limits the need for students to secure a short-term loan from the institution. While the accrual of credit card debt by students is a concern and can be a challenge for college-aged adults to manage properly, the use of credit cards can still assist students in meeting financial obligations, especially one-time costs, associated with school.

Institutions that have found alternatives to providing short-term loans have essentially maximized existing loan funds. In doing so, institutions help to ensure that sufficient resources will be available to support student short-term loan needs. Particularly for institutions that do not have short-term loan funds or that may find their short-term loan funds insufficient, *we recommend that institutions consider alternative means, such as vouchers or deferments, to assist students in meeting unexpected short-term financial needs.*

## **CONCLUSION**

The majority of UW institutions offer short-term loans to students experiencing an unexpected financial need. The short-term loan programs at UW institutions are diverse in both size and scope. While most institutions have a single account, UW-Madison has more than 150 short-term loan accounts. Most institutions with short-term funds have established written policies to guide the administration of the funds. The policies typically address the application, approval, disbursement, and collection processes. Financial aid and bursar's offices are generally responsible for administering short-term loans, although academic departments may also control some accounts.

Students borrow short-term loan funds for many reasons, including to cover expenses prior to the receipt of financial aid or scholarship funds, to purchase textbooks, and for unexpected personal expenses. Institutions are aware of the need to maximize the use of their loan funds and have a number of tools available to ensure that funds are available to students in need. We recommend that UW institutions:

- *establish written policies addressing loan application, approval, terms, disbursement, repayment, default, and collection; and*
- *consider alternative means, such as vouchers or deferments, to assist students in meeting unexpected short-term financial needs.*

## **OFFICE OF OPERATIONS REVIEW AND AUDIT QUARTERLY STATUS UPDATE**

### **BACKGROUND**

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

### **REQUESTED ACTION**

For information only.

### **MAJOR OFFICE OF OPERATIONS REVIEW AND AUDIT PROJECTS**

- (1) Short-term Loans has been completed; a report is included with the Business, Finance, and Audit Committee materials for April.
- (2) Family Educational Rights and Privacy Act (FERPA) Implementation will assess administrative structures for FERPA implementation and compliance; FERPA policies and procedures; training that is offered; and practices in such areas as the release of information, directory information, and record access. Review work has begun.
- (3) Higher Education Location Program (HELP) will determine how the program's services, including systemwide student advising and provision of academic information, are accessed by students, parents, and high school counselors and how HELP has incorporated statewide and national programs, such as the Wisconsin Covenant, into its programming. Review work has begun.
- (4) Service Learning will review significant risks, potential liabilities, and mitigating actions involved in internships and other programs that integrate community service with academic study. Review work has begun.
- (5) Policies Affecting Students with Disabilities is a follow-up review to a project completed in 1999 and will identify services and accommodations for disabled students, funding and institutional resources dedicated to providing disability services, and UW institution efforts to comply with previous audit recommendations and amendments to the Americans with Disabilities Act (ADA). The project scope is being finalized.
- (6) NCAA Division III Athletic Departments will include an analysis of Division III UW institutions' fiscal controls and compliance with state and NCAA regulations. This is a multi-year project, with several institutions reviewed each year until all are completed.

- (7) Enterprise Risk Management (ERM) Pilot Project is an effort to identify institutional risks, including financial, strategic, and operational; validate and rank those risks; and develop mitigation plans for selected risks. The ERM Project is coordinated by a UW System Administration team of Academic Affairs, Administrative Services, General Counsel, and Operations Review and Audit staff. A presentation on ERM is scheduled for the April meeting of the Business, Finance, and Audit Committee.

## **LEGISLATIVE AUDIT BUREAU PROJECTS**

The Legislative Audit Bureau recently completed the annual compliance audit of federal grants and expenditures, including student financial aid, for FY 2009-10 and submitted its report to the federal government. We received an unqualified opinion with no material weaknesses.

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

RPD 20-16 Bone Marrow and Human Organ Donation  
Leave for Faculty and Academic Staff

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Secretary of the Board to remove from the Regent Policy Documents RPD 20-16, “Bone Marrow and Human Organ Donation Leave for Faculty and Academic Staff”.

**REGENT POLICY REVIEW PROCESS**  
**RPD 20-16: BONE MARROW AND HUMAN ORGAN DONATION**  
**LEAVE FOR FACULTY AND ACADEMIC STAFF**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The UW System Board of Regents' policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36, Wis. Stats. The RPDs address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. The review process may result in updating and revising current policies, eliminating obsolete ones, or identifying areas in which new policies are needed. Each policy will be analyzed in light of its original purpose, whether that purpose still exists, and the likely effects of any revisions. Of paramount importance in considering changes to each RPD is the promotion of administrative flexibility and efficiency.

At its April meeting, the Business, Finance & Audit Committee will consider RPD 20-16, "Bone Marrow and Human Organ Donation Leave for Faculty and Academic Staff" (attached), which the Board of Regents adopted in 2000. This RPD will be archived.

**REQUESTED ACTION**

Approval of Resolution I.2.e.1., which would eliminate RPD 20-16: Bone Marrow and Human Organ Donation Leave for Faculty and Academic Staff.

**DISCUSSION**

In 2000, state statutes were amended to provide classified employees with up to five days without loss of pay to recuperate from donating bone marrow, and up to 30 days without loss of pay to recuperate from donating an organ. In October 2000, the Board of Regents approved resolution 8228, creating a similar benefit for faculty and academic staff. The resolution is codified in Regent Policy Document 20-16 (formerly 00-6). The RPD was also incorporated into the UW System Unclassified Personnel Guideline (UPG) #10.

In analyzing Regent Policy Documents, among the considerations is the extent to which a policy establishes a fundamental principle or makes a broad or strategic statement. RPD 20-16 does not accomplish these goals. Approval of Resolution I.2.e.1. is a small step toward making the Regent Policy Documents a more cohesive set of policies that provide broad, strategic and

enduring statements of the Board's expectations. This resolution does not alter Resolution 8228, approved October 6, 2000, which extended this benefit to faculty and academic staff, nor does it change the leave benefit currently provided to faculty and academic staff for bone marrow and human organ donation, as provided in UPG #10. Upon adoption of this resolution, UPG # 10 will be updated to reference resolution 8228 rather than RPD 20-16.

The Office of the Board of Regents has worked with UW System Administration's Office of Human Resources and Workforce Diversity to research the history of RPD 20-16.

## **RELATED REGENT POLICIES**

Resolution 8228 (approved 10/06/00).



## **20-16 BONE MARROW AND HUMAN ORGAN DONATION LEAVE FOR FACULTY AND ACADEMIC STAFF (Formerly 00-7)**

Upon recommendation of the President of the University of Wisconsin System, the Board of Regents approves a Bone Marrow and Human Organ Donations plan for faculty and academic staff, consistent with Wis. Stats. § 230.35(2d).

History: Res. 8228 adopted 10/6/00

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents amends Regent Policy Document 20-18 to allow the UW Chancellors the authority to approve limited status for unclassified appointments.

**REGENT POLICY REVIEW PROCESS  
RPD 20-18: REVIEW OF UNIVERSITY PERSONNEL  
POLICIES AND PRACTICES**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The UW System Board of Regents' policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36, Wis. Stats. The RPDs address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. The review process may result in updating and revising current policies, eliminating obsolete ones, or identifying areas in which new policies are needed. Each policy will be analyzed in light of its original purpose, whether that purpose still exists, and the likely effects of any revisions. Of paramount importance in considering changes to each RPD is the promotion of administrative flexibility and efficiency.

At its April meeting, the Business Finance and Audit Committee will consider RPD 20-18: "Review of University Personnel Policies and Practices," which the Board of Regents adopted in 2005.

**REQUESTED ACTION**

Approval of Resolution I.2.e.2.

**DISCUSSION**

On March 10, 2011, the Board of Regents passed a resolution strongly supporting an amendment to 2011 Senate Bill 27, to provide all institutions in the UW System with the management flexibilities proposed for UW-Madison, within the Board of Regents' and System's current governance and statutory framework. It was further resolved that the Board delegate the new flexibilities directly to each UW institution. In this same spirit, the President of the UW System has directed UW System Administration staff to review current policies and practices with the goal of delegating flexibilities under the existing authority of the Board of Regents and the President of the UW System.

The primary purpose of the Wisconsin Idea Partnership is to advance the Wisconsin Idea by providing the maximum flexibility to all University of Wisconsin chancellors to lead their

institutions in the most effective and efficient manner possible, for the benefit of their students, faculty, staff, and local communities. The delegated flexibility proposed in this resolution will be among the first of such recommendations that will be brought to the Board of Regents for consideration and foreshadows the much greater and even more essential flexibilities being requested through the Wisconsin Idea Partnership.

A limited appointment is a special appointment to a designated administrative position. Limited appointees serve at the pleasure of the authorized official who made the appointment. Faculty and academic staff who accept limited appointments do not lose existing rights in the faculty or academic staff appointments. The UW System President recommends changing RPD 20-18 to restore authority for the approval of “limited” status for unclassified appointments to the UW Chancellors. Sec. 36.17, Wis. Stats. lists the positions for which limited appointment status applies, and allows the Board to designate additional administrative positions as limited appointments. Section UWS 15.02, Wis. Admin. Code, provides the authority to designate other administrative positions as limited appointments to the President and Chancellors.

In November 2005, the Board of Regents passed Resolution 9091, related to UW institutions’ personnel policies and practices. The primary purpose of Resolution 9091, which became RPD 20-18, was to eliminate “back-up” or concurrent appointments for limited appointees entering the UW System from other institutions. One of the provisions included in Resolution 9091 and RPD 20-18 was to give the UW System President sole authority to designate administrative positions other than those listed in s. 36.17, Wis. Stats., as limited appointments. Since the implementation of RPD 20-18, UW institutions have demonstrated compliance with the guidelines established by the Board and UW System Administration for designating other administrative positions as limited appointments. Restoring this authority to the Chancellors creates significant efficiencies in the position review process. Restoration of this authority is not intended to change the principles described in RPD 20-18, but rather, to give Chancellors the authority allowed under s. UWS 15.02 Wis. Adm. Code, to designate positions as limited appointments. UW System institutions would continue to be expected to comply with all of the provisions of s. 36.17, Wis. Stats., Ch. UWS 15, Wis. Admin. Code, and RPD 20-18.

UW System will continue to monitor the use of limited appointments and concurrent appointments for all UW institutions. The Office of Human Resources and Workforce Diversity has responsibility for establishing the guidelines for use and monitoring compliance with this policy.

Restoring this flexibility would take place immediately upon approval of the Board and reflects the Board’s intent to provide increased flexibilities through the Wisconsin Idea Partnership.

A revised version of RPD 20-18 is attached. This revised version of RPD 20-18 has also been modified to reflect the new uniform structure for RPDs, eliminating much of the background information that was included in Resolution 9091.

## **RELATED REGENT POLICIES**

Resolution 9091 (adopted 11/11/05)

## Regent Policy Documents

### 20-18 REVIEW OF UNIVERSITY PERSONNEL POLICIES AND PRACTICES (Formerly 05-1)

#### Scope

This policy applies to all UW institutions and their use of limited status for unclassified appointments.

#### Purpose

The purpose of this policy is to promote compliance with state requirements related to the use of limited appointments for unclassified staff, provide for accountability in the recruitment and employment of administrators, and~~The effect of this resolution is to eliminate the use of “back-~~up” appointments.

#### Policy Statement

The policy of the UW System Board of Regents is to ensure ~~that limited appointments meet the following principles:~~

~~Whereas, at its September, 2005 meeting, the Board of Regents approved an eight-point resolution addressing University of Wisconsin System personnel policies and practices; and Whereas, among other items included in that resolution, the Board of Regents directed that "with input from appropriate governance groups, position titles designated as limited appointments shall be reviewed, and the practice of negotiating fixed-term contracts for administrators in lieu of limited term appointments shall be considered. A report on that assessment will be presented to the Board of Regents no later than its November, 2005 meeting;" and~~

~~Whereas, the advice of the governance groups has now been received, and it is the general consensus that fixed-term contracts for administrators should not be substituted for the current limited term appointments because of the likely additional costs associated with such a system, and the related loss of flexibility in dealing with administrators who no longer fulfill the requirements of the position; and~~

~~Whereas the governance groups have further suggested that, going forward, limited appointments should be restricted only to those identified in s. 36.17, Wis. Stats., unless otherwise authorized by the UW System President; and~~

~~Whereas, the position titles designated as limited appointments and the practice of using fixed-term contracts for administrators in lieu of limited term appointments, have also been reviewed by appropriate UW System staff;~~

~~Now therefore be it resolved:~~

~~That, upon the recommendation of the President of the UW System, the Board of Regents adopts the following principles:~~

1. As required by s. 36.17, Wis. Stats., limited appointees holding concurrent UW System faculty or academic staff appointments under ss. 36.13 and 36.15, Wis. Stats., shall not lose those faculty or academic staff appointments upon accepting a limited appointment.

2. Limited appointees entering UW System employment from other institutions and either:  
(a) holding a tenured faculty position elsewhere or (b) having been recruited to a position with a requirement or expectation of tenurability, and who have been recommended for tenure by the appropriate UW department may be granted a concurrent tenure appointment as part of the employment contract process.
3. The status or the length of the term of a concurrent appointment held by a limited appointee may not be altered while the individual is serving in the limited appointment.
4. Limited appointees entering UW System from other institutions who do not hold tenure elsewhere and were not recruited with a tenurability requirement shall not be granted concurrent appointments; however, at the discretion of the appointing authority, such employees may be granted not more than six months notice of termination as permitted under s. UWS 15.01, Wisconsin Administrative Code, at the same salary, and with possible reassignment to other duties during this period.
5. ~~From and after the date of this resolution, notwithstanding any institutional policies to the contrary, if~~ limited appointments shall be permitted only for those positions enumerated in s. 36.17, Wis. Stats., unless ~~an institution demonstrates circumstances justifying the creation of additional limited appointments and~~ the UW System President ~~or Chancellor~~ authorizes, ~~in writing,~~ the addition of such a limited appointment, as permitted by s. UWS 15.02, Wisconsin Administration Code.

### **Oversight, Roles and Responsibilities**

~~Institutional~~ UW chancellors will have responsibility for the implementation and oversight of the use of limited appointments at UW institutions and for compliance with all applicable policies and state requirements. UW System will continue to monitor the use of limited appointments and concurrent appointments for all UW institutions. Office of Human Resources and Workforce Diversity has responsibility for establishing guidelines for use and monitoring compliance with this policy.

### **Related RPDs and Applicable Laws**

Chapter 36, Wis. Stats., Chapter UWS 15, Wis. Admin. Code

### **History**

History: Res. 9091 adopted 11/11/05

**BUSINESS, FINANCE, AND AUDIT COMMITTEE**

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revised Regent Policy Document 31-13 “Investment and Social Responsibility.”

## **REGENT POLICY REVIEW PROCESS RPD 31-13 – INVESTMENT AND SOCIAL RESPONSIBILITY**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

The UW System Board of Regents' policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36, Wis. Stats. The RPDs address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. The review process may result in updating and revising current policies, eliminating obsolete ones, or identifying areas in which new policies are needed. Each policy will be analyzed in light of its original purpose, whether that purpose still exists, and the likely effects of any revisions. Of paramount importance in considering changes to each RPD is the promotion of administrative flexibility and efficiency.

At its April 2011 meeting, the Business, Finance, and Audit Committee will consider RPD 31-13: "Investment and Social Responsibility", which the Board of Regents adopted in 1997.

#### **REQUESTED ACTION**

Approval of Resolution I.2.e.2, which approves an amended RPD 31-13

#### **DISCUSSION**

The substantive amendment to the current RPD 31-13 is the elimination of the requirement to hold an annual public forum where participants can voice concerns about various policies and practices of corporations in which Trust Funds invests. In place of this mandatory requirement, it is recommended that annual forums be scheduled only upon a request by parties interested in presenting concerns to the Board. Participation in the required annual public forums has been waning for many years. For the past three years, although public notices of upcoming forums were provided via Board meeting notifications, the Trust Funds web site, and advertisements in student newspapers, there has been no one in attendance, other than Committee members, other interested Regents, and staff. Eliminating the requirement for a mandatory annual forum while still convening forums when public interest is expressed will allow for more efficient scheduling and usage of Regents' and staff time. At the same time, this will not curtail the opportunity for interested UW System constituencies to present their concerns to the Board in a public setting.



A marked-up copy of this policy highlighting requested changes is attached for your review and consideration. This revised version of RPD 31-13 has also been modified to reflect the new uniform structure for Regent Policy Documents (RPD).

#### **RELATED REGENT POLICIES**

RPD 31-2	Management and Administration of Trust Funds
RPD 31-5	Investments and the Environment
RPD 31-6	Investment of Trust Funds
RPD 31-7	Interpretation of RPD 31-6 Relating to Divestiture
RPD 31-10	Procedures and Guidelines for Voting Proxies for Trust Funds
RPD 31-16	Sudan Divestment

## Regent Policy Documents

### 31-13 INVESTMENT AND SOCIAL RESPONSIBILITY (Formerly 97-1)

#### Scope

This policy applies to the Board of Regents and to individuals interested in providing input regarding the corporate policies or practices of the companies in which university trust funds are invested.

#### Purpose

The purpose of this policy is to communicate how the Board will enhance its awareness of social concerns and corporate policies and practices, and how individuals can communicate related concerns to the Board.

#### Policy Statement

~~Upon recommendation of the Business and Finance Committee,~~ The Board of Regents of the University of Wisconsin System, in discharging its fiduciary responsibilities for the University Trust Funds, will take into account ~~its~~ concerns about corporate responsibility as outlined below.

1. The primary fiduciary responsibility of the Board of Regents is to maximize financial return on invested assets, taking into account an appropriate degree of risk.
2. However, the Board acknowledges the importance of maintaining an awareness of public concerns about corporate policies or practices that are discriminatory (as defined by Wis. Stats. § 36.29(1)) or cause substantial social injury, ~~and it will take this factor into account.~~
3. To enhance the Board's awareness of social concerns the Regents through the Business, ~~and Finance,~~ and Audit Committee ~~will~~ directs the University of Wisconsin System Administration to conduct a proxy review to highlight proxy resolutions related to discrimination and substantial social injury.\*
4. The Regents wish to solicit input from students, faculty, alumni and citizens on matters related to social concerns. To obtain this input, the Business, ~~and Finance,~~ and Audit Committee of the Board of Regents ~~will may~~ schedule ~~an annual public forum~~ at the request of parties interested in presenting such concerns to the Board of Regents, which concerns can be presented by interested parties. The purpose of this forum is to offer the broadest opportunity for System constituencies to present such information to the Board of Regents.
5. The Regents are aware that a position on social responsibility may affect potential contributors to the University System. For potential contributors who wish their donations to be invested in funds with social concerns as a high priority, the Business, ~~and Finance,~~ and Audit Committee will ask University of Wisconsin System Administration staff to explore the use of investment alternatives to meet such objectives.

\* "Substantial social injury" with regard to corporate behavior is defined as the injurious impact on employees, consumers, and/or other individuals or groups resulting directly from specific

actions or inactions by a company. Included in this category are actions that violate, subvert, or frustrate the enforcement of rules of domestic or international law intended to protect individuals and/or groups against deprivation of health, safety, basic freedoms or human rights. Only actions or inactions by companies that are proximate to and directly responsible for identifiable social injury will be regarded as falling within these guidelines. (This definition is borrowed from the Stanford University "Statement on Investment Responsibility Concerning Endowment Securities").

### Oversight, Roles and Responsibilities

UW System Administration is responsible for conducting proxy reviews and exploration of socially responsible investment alternatives. The Secretary of the Board of Regents has responsibility for scheduling requested public forums.

### Related RPD and Applicable Laws

~~222~~RPD 31-2 Management and Administration of Trust Funds

RPD 31-5 Investments and the Environment

RPD 31-6 Investments of Trust Funds

RPD 31-7 Interpretation of RPD 31-6 Relating to Divestiture

RPD 31-10 Procedures and Guidelines for Voting Proxies for Trust Funds

RPD 31-16 Sudan Divestment

Formatted: Font: Not Bold

Formatted: Font: Not Bold

Formatted: Font: Not Bold

### History

~~History:~~ Res. 7406, adopted 3/7/97; amended by Res. 9505, 6/6/08.

---

Delegation of Certain Unclassified  
Personnel Flexibilities Permitted Under  
RPD 20-8: Academic Staff Title and Compensation Plan

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents endorses the President's delegation to the UW chancellors, as permitted in RPD 20-8, the authority to approve the use of unclassified titles for the Director Unspecified, Administrative Officer, and Special Assistant series; to create new positions with the Dean (academic) title; and to approve each institution's unclassified staff pay plan distribution plan.

**DELEGATION OF CERTAIN UNCLASSIFIED  
PERSONNEL FLEXIBILITIES PERMITTED UNDER  
RPD 20-8: ACADEMIC STAFF TITLE AND COMPENSATION PLAN**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The Board of Regents on March 10, 2011 passed a resolution strongly supporting an amendment to 2011 Senate Bill 27 to provide all institutions in the UW System with the management flexibilities proposed for UW-Madison, within the Board of Regents' and System's current governance and statutory framework. It was further resolved that the Board delegate the new flexibilities directly to each UW institution. In this same spirit, the President of the UW System has directed UW System Administration staff to review current policies and practices toward the goal of providing flexibilities that can be delegated under the existing authority of the Board of Regents and the President of the UW System.

**REQUESTED ACTION**

Approval of Resolution I.2.f.

**DISCUSSION**

The primary purpose of the Wisconsin Idea Partnership is to advance the Wisconsin Idea by providing the maximum flexibility to all University of Wisconsin System Chancellors to lead their institutions in the most effective and efficient manner possible, for the benefit of their students, faculty, staff, and local communities. The delegated flexibilities proposed in this resolution will be among the first of such recommendations that will be brought to the Board of Regents for consideration and foreshadows the much greater and even more essential flexibilities being requested through the Wisconsin Idea Partnership.

RPD 20-8 extends delegation authority to the President for academic staff titling and compensation plan. President Reilly is seeking the Board's endorsement of his delegation to the UW chancellors the authority to approve the use of certain unclassified title series, Director Unspecified, Administrative Officer, and Special Assistant; create new positions with the Dean (academic) title; and approve the institution's unclassified pay plan distribution plan.

Currently, an institution must seek the approval of the UW System Office of Human Resources and Workforce Diversity (OHRWD) prior to using the three unclassified title series. In addition, an institution must seek the approval of the UW System Office of Academic Affairs prior to creating new positions with the title of Dean (academic). Formal approval for the use of the given titles simply adds an administrative step to a consultative process between UW System staff and human resources and academic affairs staff at the institutions.

This delegation does not change the guidelines established for the use of these titles. OHRWD and Office of Academic Affairs staff would still be available for consultation with institution staff, as needed. Delegating this authority to the Chancellors creates significant efficiencies in this process.

In the same way, the delegation of the approval of an institution's plan for distributing the unclassified staff pay plan also eliminates an unnecessary administrative step, saving the institutions and OHRWD staff time. The Board of Regents will continue to approve Systemwide unclassified pay plan distribution guidelines for the institutions to follow when establishing their plans.

The Office of Human Resources and Workforce Diversity will continue with its responsibility for establishing guidelines for the use of academic staff titles, its training and consulting roles, and monitoring compliance with the delegated authority outlined in this resolution.

The delegation of these flexibilities would take place immediately upon approval of the Board reflects the Board's and the System President's intent to provide increased flexibilities through the Wisconsin Idea Partnership.

#### **RELATED REGENT POLICIES**

None.

# FY 2010 Financial Statement Audit Update

April 2011

Finding	Repeat Finding	Description	Response / Update
Business Resumption	Yes	Six campuses do not have completed plans, and most have not tested existing plans; DoIT has not tested their plan; DoIT and campuses have not tested interdependencies	Eight campuses, UWSA, and Colleges have completed plans; several institutions have completed tabletop exercises with more scheduled in the coming months; DoIT has completed a plan however, the actual exercise has been delayed due to the unavailability of the UW Police Department to help drive the exercise. DoIT's exercise is expected to happen by early in calendar year 2012.
Mainframe Computer Program Change Control	Yes	Program changes are not independently reviewed and approved prior to moving to production; developers have access which allows circumvention of controls	Stronger controls will be implemented as part of HRS
Capital Asset Accounting	No	Projects meeting the criteria for capitalization were inappropriately expensed causing FY2010 expenses to be overstated by \$9.6M	We have clarified classification guidelines and implemented a review process for all new projects
Classification of Revenue	No	A processing error caused a misstatement between federal and state revenue	The error was corrected for FY2010 financial statements and the process was updated to avoid such errors in the future
Federal Indirect Cost Reimbursement Revenues	No	Indirect cost rate revenues were deposited into the incorrect appropriation	Funds were moved to the correct appropriation for FY2010 reporting and processes have been updated to avoid this issue in the future

**Reporting Period: February 1-28, 2011**

**Project Progress on Major Deliverables:**

HRS		
Key Area (See Appendix 1 for description)	Accomplishments for February 2011	Status
Business Process and Application Configuration	<ul style="list-style-type: none"> <li>Completed the final iteration of Integration Testing.</li> <li>Continued development of user procedures by functional team.</li> <li>Continued collaborating with the Reporting, Data Collection/Conversion, Training, and Security teams in the development of their deliverables.</li> <li>Continued the verification and validation of converted data in collaboration with the Data Conversion team.</li> <li>Continued support of development of ongoing modifications and test faults with Development Team.</li> <li>Continued to support the Payroll Reconciliation and Performance Test phase execution.</li> <li>Participated in User Acceptance Testing.</li> <li>Supported the training team in their campus training events.</li> <li>Completed activities for Dress Rehearsal 1 and prepared for Dress Rehearsal 2.</li> </ul>	Slightly Behind (see challenges)
Technical Development	<ul style="list-style-type: none"> <li>Continued the development of modifications that are targeted for completion in February.</li> <li>Supported the Regression Test, Payroll Reconciliation, and Performance Test processes through resolution of test faults.</li> <li>Data conversion scorecard completed and sent out for review.</li> <li>Data cleanup and collection met targets set for this period.</li> <li>Data conversion team successfully converted data as part of Dress Rehearsal 2.</li> <li>Continued preparations for manual campus validation exercises.</li> <li>Continued development and unit testing of the Enterprise Performance Management (EPM or data warehouse) data views and reports for Releases 2-13.</li> </ul>	On Schedule



	<ul style="list-style-type: none"> <li>Continued releasing enhancements and revisions to the Data Dictionary.</li> <li>Continued resolution of test faults discovered in testing of Release 1 reports.</li> <li>Managed and updated the consolidated plan for external applications/related projects to ensure alignment with HRS Project Plan.</li> <li>Completed the supplemental system master inventory for use by the campuses in for confirmation of identified supplemental systems.</li> </ul>	
Technical Infrastructure	<ul style="list-style-type: none"> <li>Continued build of production environment.</li> <li>Continued policy based provisioning security testing.</li> <li>Continued the development and test execution of batch schedule.</li> <li>Continued support of team through Integration, Performance, and Payroll Reconciliation Testing.</li> <li>Environments for HRS have been created and refreshed, as required.</li> <li>Continued troubleshooting, analysis and resolution of issues related to performance in the various environments.</li> <li>Continued working with the interdependent project teams to confirm key deliverable milestones and plans and validate alignment with HRS key dates.</li> </ul>	On Schedule
Change Management	<ul style="list-style-type: none"> <li>February campus deliverables scorecard completed and posted to the Intranet. Updated future campus deliverables and communicated requirements to the campuses.</li> <li>Continued the collection of campus and support group readiness measurements via the Institution Readiness Campus Checklist (IRCC).</li> <li>Completed the analysis and development of forms to be commonly used by all campuses with HRS.</li> <li>Continued the regional delivery of the HRS essentials courses.</li> <li>Completed the design and development of the training courses.</li> <li>Continued updates to the Intranet and Internet content and design. Continued the HRS Project story, incorporating input from selected teams on a rotating basis.</li> <li>Continued updates to the cutover communication plan.</li> <li>Continued with the development of communication</li> </ul>	On Schedule

	on the portal regarding HRS and self-service.	
Testing	<ul style="list-style-type: none"> <li>Completed Integration Testing and issued closure report.</li> <li>Continued regression testing of the outstanding complex modifications.</li> <li>Completed User Acceptance Testing with campus participants.</li> <li>Continued Payroll Reconciliation Testing with cross-campus team.</li> <li>Continued Performance Test phase execution for online and batch processes.</li> </ul>	On Schedule
Project Management and Administration	<ul style="list-style-type: none"> <li>Analyzed and made recommendations on the changes to HRS from the proposed Budget Repair Bill. Presented alternative scenarios to governance groups.</li> <li>Worked with the HRS Project teams throughout all phases of testing to ensure focus on quality, goals and integrity of processes was maintained.</li> <li>Worked with the external systems (SFS and Budget) to ensure that expectations for quality, integrity and completeness are achieved in defining exit criteria for test phases.</li> <li>Analyzed the budget and progress to date and made adjustments to ensure focus remains on schedule, cost, and quality of deliverables.</li> </ul>	On schedule

Shared Financial System (SFS) Interface		
Key Area (See Appendix 1 for Description)	Accomplishments for February 2011	Status
Business Process and Application Configuration	<ul style="list-style-type: none"> <li>Completed all planned configuration items as scheduled. Concluded Integration Test phase and no new requirements were identified.</li> </ul>	Complete
Technical Development	<ul style="list-style-type: none"> <li>Continued break-fix development associated with issues identified during the Integration, Payroll Reconciliation, Performance, and User Acceptance Test phases.</li> </ul>	On Schedule
Technical Infrastructure	<ul style="list-style-type: none"> <li>Continued to refine the cutover plan by completing dress rehearsal 1 and beginning dress rehearsal 2.</li> <li>Continued to refine the Tivoli batch schedule by manually executing select batch processing strings as part of Performance Testing and our initial cutover dress rehearsals.</li> <li>Continued to build and maintain the database environments that are required to execute the various test phases and dress rehearsals.</li> <li>Continued to refine go-live security requirements.</li> </ul>	On Schedule
Change Management	<ul style="list-style-type: none"> <li>Conducted our second readiness assessment and shared the results with the SFS Leads and other key stakeholders.</li> <li>Concluded creation of new training materials.</li> <li>Continued to monitor campus scorecard progress and communicate critical project activities by conducting monthly SFS Site Leaders meetings.</li> </ul>	On Schedule
Testing	<ul style="list-style-type: none"> <li>Concluded execution of Integration Test phase scenarios and facilitation of daily status meetings.</li> <li>Initiated execution of UAT, Performance, and Payroll Reconciliation test phases.</li> </ul>	On Schedule
Project Management	<ul style="list-style-type: none"> <li>Continued to monitor, report progress, and provide guidance to the SFS resources that are responsible for development, testing, readiness assessment, and cutover planning.</li> <li>Continued to provide guidance in regard to the creation and maintenance of the dress rehearsal and payroll preview environments.</li> </ul>	On Schedule

## Challenges Encountered and Remedies to Address

- The HRS Business Process area is tracking slightly behind schedule. User procedure development is lagging but all critical user procedures required for go-live will be completed on schedule.
- The provisions of the FY11 Budget Repair bill present challenges to HRS due to the timing of the proposed changes. While HRS can accommodate these changes (i.e. increases in WRS and health insurance contributions, and elimination of union dues), the potential introduction of these changes in the April cutover window for HRS introduces risk. The HRS team has a plan in place to make these changes in HRS upon the bill becoming law; however, the changes will have not gone through the rigorous, disciplined testing that has been executed throughout the project. Consequently, the HRS team is anticipating an increased volume of support calls and system fixes in the months following the cutover.

## Project Expenditures & Projected Fiscal Year End Variance (as of February 28, 2011):

	FY11 Planned	FY11 Costs			FY11 Projected Variances
	BOR FY11 Planned (Jul 10 - Jun 11)	Actual Cost (Jul 10 - Feb 11)	Remaining Cost (Mar 11 - Jun 11)	Estimated Cost at Completion (Jul 10 - Jun 11)	Projected Variance for BOR FY11 Planned at June 30, 2011
<b>HRS Project: Key Areas</b>					
Business Process and Application	\$ 2,637,701	\$ 777,034	\$ 1,204,344	\$ 1,981,378	\$ 656,323
Technical Development	\$ 10,492,199	\$ 9,072,940	\$ 2,246,020	\$ 11,318,960	\$ (826,761)
Technical Infrastructure	\$ 3,487,448	\$ 2,790,683	\$ 954,063	\$ 3,744,746	\$ (257,298)
Change Management	\$ 1,723,611	\$ 1,016,455	\$ 504,214	\$ 1,520,669	\$ 202,942
Testing	\$ 4,566,634	\$ 6,233,273	\$ 956,871	\$ 7,190,144	\$ (2,623,510)
Project Management and Administration	\$ 3,522,094	\$ 2,004,817	\$ 700,294	\$ 2,705,112	\$ 816,982
Non-Labor Costs	\$ 1,570,759	\$ 756,478	\$ 956,905	\$ 1,713,383	\$ (142,624)
Sub-Total	\$ 28,000,446	\$ 22,651,681	\$ 7,522,711	\$ 30,174,392	\$ (2,173,946)
Contingency	4,056,144				4,056,144
<b>Total HRS Project</b>	<b>\$ 32,056,590</b>	<b>\$ 22,651,681</b>	<b>\$ 7,522,711</b>	<b>\$ 30,174,392</b>	<b>\$ 1,882,198</b>
<b>SFS Interface</b>	<b>\$ 3,289,545</b>	<b>\$ 2,323,469</b>	<b>\$ 1,156,194</b>	<b>\$ 3,479,663</b>	<b>\$ (190,117)</b>
Contingency	\$ 1,089,956				\$ 1,089,956
<b>Total SFS Interface</b>	<b>\$ 4,379,500.96</b>	<b>\$ 2,323,469</b>	<b>\$ 1,156,194</b>	<b>\$ 3,479,663</b>	<b>\$ 899,838</b>
<b>Total HRS and SFS Interface</b>	<b>\$ 36,436,091</b>	<b>\$ 24,975,149</b>	<b>\$ 8,678,905</b>	<b>\$ 33,654,055</b>	<b>\$ 2,782,036</b>

## Notes on FY11 HRS Project Variance:

- Business Process and Application Configuration:
  - Spent less time on configuration management than expected due to less configuration related test faults.
  - Deferred start of user procedures development to dedicate more resources to testing.
- Technical Development:
  - Spent additional time on system and integration test break fix than originally planned.

- Technical Infrastructure:
  - Added some Security and Migration team members that were not in original resource plan.
- Change Management:
  - Transitioned change management consulting lead earlier than planned.
- Testing:
  - System test preparation activities carried over from prior fiscal year into FY 2011.
  - Spent additional effort creating and modifying test scripts for regression, system and integration testing.
  - Extended duration of testing phases.
- Project Management and Administration:
  - The team spent more time on development and testing tasks and less time on administrative tasks.
- Non-Labor Costs:
  - Purchased additional testing software licenses and continue leasing project team space at 660 and 780 Regent Street.
- SFS Interface
  - Decreased the original volume of System Testing scenarios and encountered fewer defects than originally planned.
  - Overall change management scope continues to be less than originally planned.

### **Planned Activities –March 2011**

- Complete Payroll Reconciliation Test
- Continue creating end user training content
- Continue updating Internet/Intranet content
- Continue working on development and unit testing for reports and data views for Release 2-13
- Continue working on talent acquisition management functional and technical detailed designs
- Continue documenting the configuration approach for talent acquisition management
- Continue refinement of batch schedule
- Execute Dress Rehearsal 2 and 3
- Continue to measure implementation readiness via the IRCC
- Complete final readiness assessment via IRCC
- Begin buddy system working with Service Center staff for transition from the project to operations

### **Planned Activities – April 2011**

- Implement HRS
- Continue end user training
- Continue updating Internet/Intranet content
- Continue working on development and unit testing for reports and data views for Release 4-6
- Continue working on talent acquisition management functional and technical detailed designs
- Continue documenting the configuration approach for talent acquisition management
- Continue refinement of batch schedule

### Appendix 1: High-Level Description of Key Areas:

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

March 30, 2011

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.3. Capital Planning and Budget Committee

Thursday, April 7, 2011  
Harry and Laura Nohr Gallery  
Ullsvik Hall  
UW-Platteville  
Platteville, Wisconsin

10:00 a.m. All Regents, Harry & Laura Nohr Gallery, Ullsvik Hall

- “Celebrate UW-Platteville,” presented by Chancellor Dennis J. Shields
- 2011-13 Biennial Budget Update
  - Wisconsin Idea Partnership
  - 2011-13 Capital Budget

12:00 p.m. Lunch - Robert I. Velzy Commons, Ullsvik Hall

1:00 p.m. Capital Planning and Budget Committee – Robert I. Velzy Commons South, Ullsvik Hall

- a. Approval of the Minutes of the February 10, 2010 Meeting of the Capital Planning and Budget Committee
- b. UW-Platteville Presentation: Master Planning and Implementation
- c. UW-Madison: Authority to Adjust the Scope and Budget of the LaBahn Arena Project  
[Resolution I.3.c.]
- d. UW-Platteville: Authority to Sell 1.6 Acres of Land to the UW-Platteville Real Estate Foundation  
[Resolution I.3.d.]
- e. UW-System: Authority to Construct All Agency Maintenance and Repair Projects  
[Resolution I.3.e.]
- f. Report of the Associate Vice President
  1. Building Commission Actions
  2. Other

Authority to Adjust the Scope and Budget of the  
LaBahn Arena 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 increase the project scope and budget of Hockey/Swim (LaBahn Arena) project by \$5,814,000 Gift Funds for a revised total project cost of \$34,096,000 (\$25,096,000 Gift Funds and \$9,000,000 Program Revenue Supported Borrowing).



# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action April 2011

1. Institution: The University of Wisconsin-Madison
2. Request: Authority to increase the project scope and budget of Hockey/Swim (LaBahn Arena) project by \$5,814,000 Gift Funds for a revised total project cost of \$34,096,000 (\$25,096,000 Gift Funds and \$9,000,000 Program Revenue Supported Borrowing).
3. Description and Scope of Project: The project will construct a three-level 66,850 ASF / 102,800 GSF addition to the Kohl Center that includes a 92-foot by 200-foot ice sheet for men's and women's hockey practice and women's hockey competition, seating for approximately 2,400 spectators, men's and women's team locker rooms, a visitors' locker room, a women's hockey office suite, and associated support spaces.

The project also includes locker and team room functions for the men's and women's swimming programs. These facilities will be connected by a skywalk to the Southeast Recreation Facility (SERF). Minor renovation occurs within the SERF to accommodate appropriate circulation between the pool and the swimming teams' new locker suites.

The Hockey/Swim facility will connect underground to the Kohl Center, which will be remodeled to accommodate the connection. The remodeling work will include relocation of the men's basketball locker suite to space vacated by the men's hockey locker suite, expansion of training room facilities, and expansion of laundry/equipment-issue facilities to accommodate the occupants of the complex.

The newly requested work includes converting the Nicholas Suites into a club seating area, constructing and furnishing a new team dining space, adding a therapy pool to the training room facilities, and remodeling the women's basketball locker suite to include a tiered team meeting room.

4. Justification of the Request: This project provides a permanent home for the men's and women's hockey program and men's and women's swimming program.

Bids for the project were opened by the construction manager in February of 2011. Before bidding, a number of alternates were identified to keep the base project within budget, but both base and alternate bids exceeded budget targets. The increase to the budget will fund the base project and four of the six alternates.

The scope increase includes additional renovation work in areas adjacent to the spaces being renovated in the Kohl Center as well as the conversion of the Nicholas Suites into a club seating area. An area south of the current lounge area out to and including the last row of seating in front of the suites (the single row of permanent structure seats behind the variable

riser rows) will be expanded to create a 3,840 GSF club area seating 80 people. This club setting will provide donors an opportunity to purchase individual seats, without committing to an entire suite. This space, if sold as expected, would pay for itself within two years.

The Kohl Center services a wide range of users year round, including hundreds of thousands of athletes, staff, and fans, therefore, only small increments of time are available to complete the identified work, especially in conjunction with the construction of the LaBahn Arena. Having a contractor, who is already mobilized, creates efficiencies and cost savings in the completion of these projects now, rather than completing them at a later date as separate projects.

The construction manager will be required to bid all work for the additional project scope in a similar manner to the bid process for the LaBahn Arena. The Athletic Department will fund all the work with gift funds.

5. Budget and Schedule:

Revised Project Budget	%	Cost
Construction		\$27,754,000
Contingency		870,000
A/E Design & Reimbursable		2,231,000
Additional Design Services		113,000
DSF Management Fee		1,145,000
Movable Equipment		643,000
Special Equipment		1,256,000
Percent for Art	0.25%	84,000
Total Project Cost		\$34,096,000

Board of Regent Approval	April 2011
State Building Commission Approval	May 2011
Construction Start	May 2011
Substantial Completion/Occupancy	October 2012

6. Previous Action:

August 21, 2008 Resolution 9529	Recommended that the Kohl Center Hockey Facility Addition 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 project cost of \$39,512,000 (\$19,756,000 PRSB and \$19,756,000 Gift/Grant Funds). The project was subsequently enumerated at \$27,787,000 Gift/Grant Funds.
June 5, 2009 Resolution 9647	Granted authority seek a waiver of Wis. Stat. § 16.855 under provisions of Wis. Stats. § 13.48 (19) to allow selection of a Construction Manager-at-Risk (CM) for construction of the Division of Intercollegiate Athletics Hockey/Swimming Facility at an estimated budget of \$27,787,000 Gift Funds.

October 8, 2010  
Resolution 9825

Granted authority to (a) substitute \$9,000,000 existing Program Revenue Supported Borrowing for \$9,000,000 previously enumerated gift funds, and (b) construct the project at a total estimated project cost of \$27,787,000 (\$18,787,000 Gift Funds and \$9,000,000 Program Revenue Supported Borrowing).

Authority to Sell Approximately 1.6 Acres  
of Land to the UW-Platteville Real Estate  
Foundation, UW-Platteville

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Platteville Chancellor and the President of the University of Wisconsin System, authority to sell approximately 1.6 acres of vacant Board of Regents-owned land to the University of Wisconsin-Platteville Real Estate Foundation, Inc. for \$110,000.

# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action April 2011

1. Institution: The University of Wisconsin-Platteville
2. Request: Authority to sell approximately 1.6 acres of vacant Board of Regents-owned land to the University of Wisconsin-Platteville Real Estate Foundation, Inc. for \$110,000.
3. Description and Scope of Project: The campus would like to sell two adjacent vacant parcels totaling approximately 1.6 acres of Board of Regents-owned land to the UW-Platteville Real Estate Foundation, Inc. (Real Estate Foundation) The acreage is located east of Markee Avenue, and is bounded by Markee Avenue, Chestnut Street, and Gridley Avenue. (See attached map.)

The land to be sold is located at the south-east boundary of the main campus, and exists as a remnant of the Chestnut Street Re-Alignment project, constructed in 2010. This street project replaced a deteriorated bridge and developed a new street and a roundabout which created a new campus entrance.

The two properties to be transferred are:

- (a) WISDOT 13, Parcel #271-02772-000. This property is also known as “820 South Chestnut St.”
  - (b) WISDOT 15 (Southern), Parcel #271-02820-0000. This parcel includes 435 Gridley Avenue.
4. Justification of the Project: To facilitate the Chestnut Street Re-Alignment project, the UW-Platteville Foundation purchased two privately-owned properties, 435 Gridley Avenue (0.24 acres) in 2005 and a property (0.67 acres) in Platteville Township in August 2008, transferring ownership of both properties to the Board of Regents in September 2009. The University purchased 820 South Chestnut Street (0.74 acres) and 840 South Chestnut Street (1.26 acres) in November 2009 to facilitate development of the street project.

The Chestnut Street Re-Alignment project resulted in remnant parcels of approximately 1.6 acres of Board of Regents-owned property. This 1.6-acre area includes the 820 South Chestnut Street property as well as the 435 Gridley Avenue property. Due to its location, the 1.6 acres has limited functionality for the campus. The remainder of the property located at 820 South Chestnut is about 0.53 acres and by engineering design is now a storm water detention basin with limited uses.

The Real Estate Foundation, established by the UW-Platteville Foundation to support the University, is working with the campus and city of Platteville to develop additional student

housing. The preferred location for the first housing development is the triangular site bounded by these new street alignments. The site is comprised of these 1.6 acres and additional land currently owned by the Real Estate Foundation.

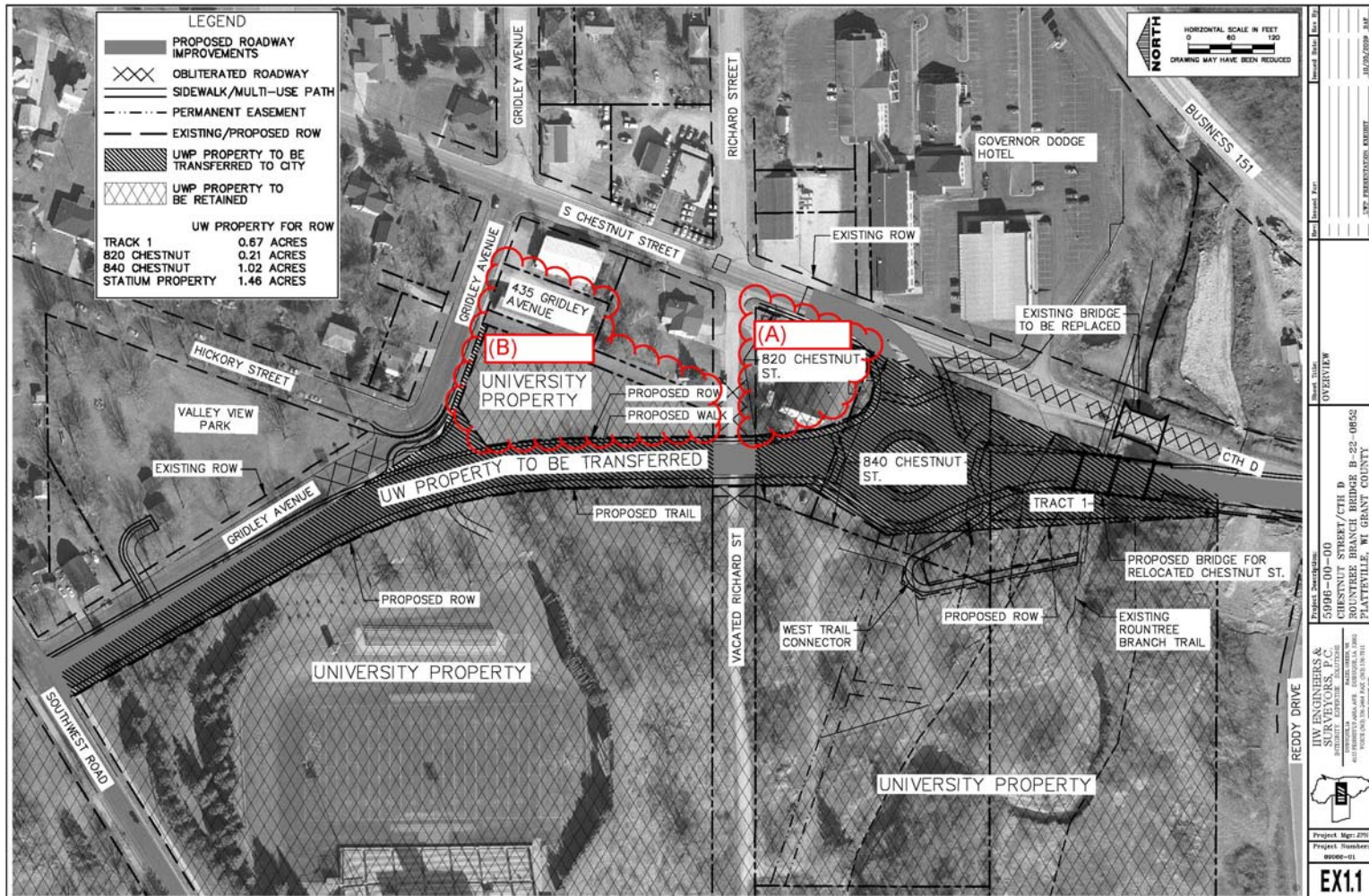
The Real Estate Foundation is seeking a development partner with the intent of opening its first housing units as soon as possible to accommodate the unmet high demand for additional student housing in the community. The university's residence halls were at 103% of capacity in Fall 2010 and applications for Fall 2011 indicate continued growth in enrollment. The foundation, university and city are working jointly to develop plans for additional student housing to provide between 5,000 and 5,400 beds for students, including on-campus and off-campus. The foundation and city are discussing downtown locations for additional housing and mixed-use developments, and the university supports these efforts.

UW-Platteville has approximately 2,700 beds available for students. Enrollment growth during the past decade has exceeded 40%, with the addition of Southwest Hall (380 beds) being the only on-campus housing added. Much of the increase in housing for students during this period has been provided through the private conversion of owner-occupied homes to rentals near campus. This is creating tension and concern in the community over plans for additional growth at the university.

The proposed selling price of \$110,000 (\$68,750 per acre) is based on the lack of improvements to the properties and the limited value of the 0.53 acre portion now engineered as a storm water detention basin.

5. Previous Action:

May 08, 2009 Resolusiton 9614	Granted authority to: (1) accept a gift-in-kind of two parcels of land, 435 Gridley Avenue and an undeveloped 0.67 acre property known as Tract 1 located along South Chestnut Street in Platteville Township, from the UW-Platteville Foundation valued at \$20,500 and \$5,000 respectively, and (2) purchase a privately-owned property, which is located at 820 South Chestnut Street, at an acquisition cost of \$141,900 Program Revenue-Cash.
October 16, 2009 Resolution 9690	Granted authority (1) purchase a property of approximately 1.26 acres, located at 840 South Chestnut Street, Platteville, Wisconsin, for a total cost of \$125,000 (\$86,000 Program Revenue-Cash and \$39,000 Gift Funds) and (2) convey land along Chestnut Street that is necessary to construct the Grant County Chestnut Street Realignment and Bridge Replacement project to the city of Platteville and grant the necessary rights-of-way.



04/08/11

I.3.d.

Authority to Construct All Agency Maintenance  
and Repair Projects, UW System

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, authority be granted to construct various maintenance and repair projects at an estimated total cost of \$6,507,300 (\$2,173,200 Gifts and Grants and \$4,334,100 Program Revenue-Cash).



# THE UNIVERSITY OF WISCONSIN SYSTEM

## Request for Board of Regents Action April 2011

1. Institution: The University of Wisconsin System
2. Request: Authority to construct various maintenance and repair projects at an estimated total cost of \$6,507,300 (\$2,173,200 Gifts and Grants and \$4,334,100 Program Revenue-Cash).

### FACILITIES MAINTENANCE & REPAIR

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
STO	10K2F	Froggatt Hall Ext Window Repl (Increase)	\$ -	\$ -	\$ 68,700	\$ -	\$ -	\$ 68,700
SUP	10K2Q	Crownhart Hall Ext Window Repl	\$ -	\$ -	\$ 370,000	\$ -	\$ -	\$ 370,000
FM&R SUBTOTALS			\$ -	\$ -	\$ 438,700	\$ -	\$ -	\$ 438,700

### PROGRAMMATIC REMODELING & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
MSN	10D1H	Rennebohm Hall 2nd Flr Rmdl	\$ -	\$ -	\$ -	\$ 1,830,200	\$ -	\$ 1,830,200
MSN	10E2X	Trout Lake Research Lab Addn	\$ -	\$ -	\$ -	\$ 343,000	\$ -	\$ 343,000
MSN	11B2W	Union South Prod Kitchen Renv	\$ -	\$ -	\$ 2,145,000	\$ -	\$ -	\$ 2,145,000
PLT	10C3W	Ctr for the Arts Lobby Rmdl	\$ -	\$ -	\$ 648,200	\$ -	\$ -	\$ 648,200
WTW	11C2I	Campus Vehicle Storage Bldg (Police/Res Life)	\$ -	\$ -	\$ 218,200	\$ -	\$ -	\$ 218,200
PR&R SUBTOTALS			\$ -	\$ -	\$ 3,011,400	\$ 2,173,200	\$ -	\$ 5,184,600

### UTILITIES REPAIR & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
LAX	11C1Q	Whitney Center Ret Wall Repl	\$ -	\$ -	\$ 352,000	\$ -	\$ -	\$ 352,000
WTW	11C2K	Perkins Stadium Lighting Repl	\$ -	\$ -	\$ 532,000	\$ -	\$ -	\$ 532,000
HS&E SUBTOTALS			\$ -	\$ -	\$ 884,000	\$ -	\$ -	\$ 884,000

	GFSB	PRSB	CASH	GIFT/GRANT	ETF	TOTAL
APRIL 2011 TOTALS	\$ -	\$ -	\$ 4,334,100	\$ 2,173,200	\$ -	\$ 6,507,300

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

STO - Froggatt Hall Exterior Window Replacement (\$68,700 increase for a total project cost of \$217,700): This request increases the project budget to match recent bid results for the project scope approved under the Small Projects Program. The project budget increase is needed to complete the originally approved project scope and intent.

SUP - Crownhart Hall Exterior Window Replacement (\$370,000): This project replaces all exterior windows in the residence hall rooms and the entryway vestibule with new energy efficient units to improve the thermal performance of the building envelope and reduce operational maintenance costs. The replacement units will have commercial grade insulated glass set in thermally broken insulated aluminum frames.

Project work includes replacing the window units in 122 openings and the front entrance vestibule. Replacement resident room units will be operable awning style with one-inch low-e insulated glass and thermally broken frames. Two new storefront units with insulated glass and thermally broken frames will replace the front entrance vestibule windows.

Crownhart Hall (37,713 GSF) is a student residence hall that was constructed in 1957. The original single-pane, slider exterior window units were installed in 1964, and these deteriorated units allow air and water infiltration during heavy rainstorms. A repair project was completed in 1992 to provide new weather stripping and window operating hardware. These units continue to be energy inefficient and are not weathertight, resulting in high energy costs and damage to building infrastructure and room contents.

### **Programmatic Remodeling and Renovation**

MSN - Rennebohm Hall Second Floor Remodeling (\$1,830,200): This project remodels ~8,800 ASF/12,500 GSF of vacated library space into new School of Pharmacy Student Service offices and student commons/study space. The remodeled project area will include the following spaces: a 4,316 SF School of Pharmacy student services office suite; a 3,239 SF student commons and study space; a 754 SF 32-station seminar classroom; and a 523 SF 24-station seminar classroom. The new office suite must be able to be secured from the classroom, study rooms, the informal student gathering area, and the adjacent building corridor. The remaining square footage will be flexible and used as an informal student gathering area with movable furniture.

The project area is a large, single room with adjacent offices along the east and north walls. The offices along the east wall will be removed, but the two rooms on the north end of the space will remain. It is anticipated that only minimal work will be required for the two rooms along the north end, which will be used for emeritus faculty and a break room. Project work includes replacing ceiling, flooring, and lighting; extending mechanical ductwork, electrical power, and telecommunications into the remodeled spaces; and relocating interior doors from the project area to the main building corridor.

This project will create a new corridor along the southern edge of the project area from the southwest corner (where the overhead pedestrian bridge connects the Health Sciences Learning Center to Rennebohm Hall) to the main building corridor to the east. The casework and interior doors along the southeast edge of the project area will be removed to facilitate the new corridor construction. The corridor will be designed to provide a visual barrier and also allow natural light to filter into the project area.

The second floor space was originally designed for the Pharmacy library. When the Health Sciences Learning Center was completed, the Pharmacy library was moved to that building. The space is currently used for student study but it is drastically underutilized. The student services offices are located on the first floor of Rennebohm Hall in space that was poorly designed and does not function as intended. Moving these offices to the second floor will provide appropriate office space and create a suite that will vastly improve the delivery of services to the students.

MSN - Trout Lake Research Laboratory Addition (\$343,000): This project constructs a 3,000 GSF addition to the Trout Lake Research Laboratory to provide a new multi-purpose room/conference room, restrooms, kitchenette, and basement for storage and mechanical equipment. Project work includes constructing two levels (full height basement and one floor above ground) connecting to the west end of the 8,900 GSF original facility, including a 900 SF multi-purpose/conference room; 175 SF entrance/lobby; a 100 SF kitchenette; two 50 SF restrooms; a 200 SF mechanical room; and a 1,075 SF storage room. The new addition will be wood frame construction with a pitched roof, matching the original building design and aesthetics, and be positioned to take advantage of the scenic lake views from the new multi-purpose room. A new 36 LF pedestrian walkway will be constructed on the west side of the addition for egress, and a new 40 LF accessible ramp leading into the basement will be constructed on the east side of the addition to facilitate equipment mobilization.

The propane tank will be upgraded to supply the new HVAC systems. A dedicated system with gas fired air handling equipment, direct expansion (DX) cooling, an energy recovery unit, and direct digital controls (DDC) will serve the multi-purpose room. Occupancy and carbon dioxide sensors will control the outside air intake for the dedicated system. A condensing gas furnace with DX coil and DDC controls will serve the remaining addition areas. A new exhaust fan will also serve the restrooms. Domestic water lines will be extended from the original building into the addition. A new sump pump with a sewage ejector will be installed in the basement, and the new wastewater piping will be connected to the cleanout along the south side of the original facility to utilize the on-site septic system. A new 400-amp main electrical service panel will be installed in the basement and fed underground from the pad-mounted transformer to serve the addition as well as the original building. The exterior lighting fixtures for the addition will be "dark sky compliant" compact fluorescent wall mounted fixtures.

The Trout Lake Station is a year-round field station operated by the Center for Limnology, located in the Northern Highland Lake District of Vilas County, Wisconsin. The station provides access to a wide variety of aquatic ecosystems and their surrounding landscapes. In addition to fostering research, the Trout Lake Station is used regularly by undergraduate and graduate courses from universities throughout Wisconsin and the Midwest.

The lack of appropriate space in the current facility limits the station's ability to host meetings, workshops, outreach events, and classes. Researchers at the station are leaders in various regional, national, and international research groups that need to meet regularly. These periodic meetings, along with outreach activities, cannot be hosted at the current facility due to a lack of space.

At a recent planning meeting, a group of more than 20 faculty and other scientists who are current or prospective users of the Trout Lake Station stressed that the station needed to address the increasing need for additional space in the main laboratory building. Specifically, the group agreed that adding appropriate meeting space was a key priority for the future growth and success of the station. Subsequent to this feedback, the Center for Limnology received a grant from the National Science Foundation to fund the construction of this building addition.

**MSN - Union South Production Kitchen Renovation (\$2,145,000):** This project completes the renovation of 3,900 ASF of shelled space, located in the northwest portion of the B1 level, to create a new production kitchen supporting the Wisconsin Union Dining Services bakery, cafes, and markets. Relocating these food services to the new Union South will improve operational efficiency and functionality. Project work includes removing the temporary two-inch mud slab, trenching and installation of new under-slab domestic water services (including waste water and vent piping), extension of the domestic water supply piping and natural gas piping already stubbed and capped in the space, and construction of a new five-inch concrete structural slab-on-grade to match adjacent structural slab. New partition walls will be constructed, new door assemblies, interior signage, and new architectural finishes for the walls, floors, and ceilings will be installed.

The new kitchen services will be connected to the building grease trap already installed and active in the loading dock area. The sprinkler system will be modified and extended as needed to match the new kitchen space layout and connected to the main building sprinkler system. All production kitchen ductwork (supply, return, and exhaust) and piping sizes and routes through existing shafts will be designed in this project and extended into the project area. New air handling equipment (including make-up air unit and associated controls, ductwork, and piping) will be installed in Mechanical Room B189 and will be connected to the central campus steam utilities. New roof mounted exhaust fans will be installed and connected to the building electrical service. All food service equipment associated with the various kitchen functions will also be installed and connected to the building services. The building fire alarm system will be extended into the project area including the installation of new fire alarm devices and controls as required. New normal and emergency power services with associated electrical panelboards, branch wiring, light fixtures, outlets, and equipment and lighting controls will be installed and connected to the main building distribution panel.

The Wisconsin Union facilities improvement plan includes the construction of a new Union South (scheduled to open in April 2011) and the historic renovation of Memorial Union, which is still in schematic design. Both buildings operate as a single organization, and the new Union South plans include shelled space for storage and/or dining services expansion. The proposed production kitchen space was taken into account when the building services were planned, designed, and sized.

The dining services operations have continued to grow since the facilities improvement plans were generated, exceeding the original program space allocations and requirements. The Memorial Union programming, which was completed in November 2010, indicated that the bakery, cafes, and markets would best support areas at the new Union South and surrounding facilities, and vacate valuable space in the Memorial Union basement.

**PLT - Center for the Arts Lobby and Restroom Remodeling (\$648,200):** This project expands the men's and women's restrooms in the Center for the Arts main lobby to meet current ADA accessibility requirements, constructs a new family/unisex restroom, and extends the main lobby area by constructing a new entrance vestibule. Renovation work requires reconfiguration of the main lobby staircase and reallocation of support spaces adjacent to the main lobby, including a custodial closet, a coat room, and a ticket office.

This project remodels the main lobby and adjacent spaces to expand the men's restroom (from 141 SF to 250 SF), relocate and expand the women's restroom (from 127 SF to 280 SF), extend the custodial closet between the two restrooms, and construct a new family/unisex restroom. The circulation corridor (110 SF), custodial closet (46 SF), coat room (278 SF), and ticket office (90 SF) are all available for space reallocation to allow the planned expansion. A new entrance vestibule will be constructed to enclose an additional 1,250 GSF under the existing canopy. The entrances from the lobby into the concert hall and theater will be modified by adding a second set of doors to serve as a noise barrier. The theater balcony staircase will be reconfigured to improve capacity and space use efficiency.

Building services (mechanical, electrical, and telecommunications) will be extended into the expanded space and reconfigured in the renovated areas to match the new space layout and type demands. Finished ceilings in select areas of the basement will be replaced to facilitate access to the plumbing infrastructure on the first floor.

The Center for Arts was constructed in 1983 and it is estimated the restrooms are approximately half the size required by current ADA accessibility guidelines. The building has two performing arts theaters with a combined seating capacity of 900. It is common for both theaters to be used simultaneously. The demand on the restrooms during intermission periods consistently results in dissatisfied patrons. The demand for a family/unisex restroom is based on the heavy public use of the facility. Primary access to the theater balcony open staircase system is located in the center of the main lobby, which renders 200 square feet of central lobby space unusable. Space use and circulation will be improved by relocating and reconfiguring the balcony access staircase system. The main lobby is too small and needs expansion to serve the concert hall and theater. The entryways into the concert hall and theater do not provide adequate noise and light barriers as people exit and enter during performances.

WTW - Campus Vehicle Storage Building (\$218,200): This project constructs a new secure vehicle storage building just east of Goodhue Hall and Fischer Hall for the University Police and Residence Life vehicles and equipment. The new storage facility will accommodate a minimum of three police cruisers and two utility vehicles for Residence Life. Project work includes construction of an unheated 3,000 GSF vehicle storage building with electrical power and lighting service and automatic overhead door openers. At least one passageway door will be provided in addition to the overhead doors. Electrical power will be distributed throughout the interior to accommodate battery charged equipment and convenience outlets. Material and colors will be selected to complement the immediate context of campus facilities and structures. Project work also includes site clearing, preparation, and restoration of turf, landscaping, exterior lighting, and asphaltic pavements as necessary to facilitate the new construction.

The University Police vehicles typically park in Lot 16 adjacent to Goodhue Hall, which houses their headquarters, and have been vandalized three times in the past two years. In addition, the unsheltered vehicles and parking stalls must be cleared of ice and snow before they can respond to campus calls and emergencies. Residence Life will store their unlicensed utility vehicles in this new facility and consolidate their storage for signage, landscaping materials, and other supplies.

## **Utilities Repair and Renovation**

LAX - Whitney Center Retaining Wall Replacement (\$352,000): This project completely replaces approximately 1,100 SF of the failed stacked limestone retaining wall with a new modular block retaining wall and reconstructs the adjacent pedestrian walkways, exterior stairway, and hand and guard railings on the east side of the Whitney Center. The retaining wall varies in height from 2 feet at its endpoints to 13 feet at its center peak. Project work includes removal and disposal of the full 160 LF of stacked limestone materials and 210 LF of hand and guard railings. The new modular block retaining wall will maintain the same dimensions, shape, and configuration as well as provide additional permanent structural support for the elevated pedestrian bridge entryway into the building.

Project work adjacent to the retaining wall includes reconstructing the 1,200 SF of pedestrian walkways and 220 SF of exterior stairs, and resurfacing and leveling 220 SF of the pedestrian bridge. The pedestrian walkway providing a first floor building entrance will be reconstructed to meet ADA slope standards and all new hand and guard rails for the pedestrian walkways and exterior stairs will be ADA compliant. Exterior lighting fixtures, foundations, and underground wiring disturbed by this project will be fully restored and/or revised to facilitate the retaining wall, pedestrian walkway, and pedestrian bridge work.

The Whitney Center (64,312 GSF) was constructed in 1966 and houses the main campus food service, the campus radio station (WLSU), and the Army Reserve Officers' Training Corps (ROTC) program. The retaining wall was originally constructed with the Whitney Center in an unreinforced, stacked stone style which also acts as an abutment for an elevated concrete bridge that provides access to one of the two main building entrances.

The retaining wall has failed and is deflecting outward at its peak, settling at its base, and showing excessive erosion in several areas. The soil originally placed between stones has all but vanished and many of the original limestone materials are loose. The elevated pedestrian bridge was designed to be supported by the retained soils only, which have also eroded. The stairs leading to the pedestrian bridge have cracked and settled. The lower pedestrian walkway slopes and none of the hand or guard railings in the loading dock area meet current ADA standards.

WTW - Perkins Stadium Field Lighting Replacement (\$532,000): This project replaces the structurally compromised field lighting system with a new system that is more energy efficient, easier to maintain, and provides adequate illumination levels on the football field. Project work includes replacing four 100-foot light poles, one-hundred twenty-eight 1,500 watt metal halide fixtures, the associated underground electrical system, and lighting controls. The existing pole bases will be removed and new pole bases constructed. The new lighting system will provide a minimum of 75 foot-candles on the playing field as recommended by the Illuminating Engineering Society of North America guidelines. Various light pole layouts, pole heights, and light fixture options will be studied to obtain an optimum system considering existing site constraints and possible stadium expansion. The new system design will provide required illumination with minimum energy demand while minimizing light trespass and light pollution.

Perkins Stadium was constructed in 1970 and the lighting system is original to the facility. A light pole at the southeast side of the football field recently fell during a storm. A structural consultant was commissioned to study the condition of the light poles. The consultant utilized visual and ultrasonic methods to assess the condition of the poles and concluded that there are cracks in welds where the pole cylinders meet the base plates, there are visual cracks in seam welds on some of the poles, and some of the anchor bolts are cracking in the area where the poles are fastened to the concrete bases. They further observed that on the failed pole, all four anchor bolts were sheered off. These poles are structurally compromised, present a significant danger, and must be replaced. These poles are scheduled for immediate removal under another contract and portable field lighting equipment will be rented for scheduled events until the new lighting system is installed.

The 41-year-old lighting system is obsolete and energy wasteful. The new lighting system will provide better quality illumination while minimizing energy use, light trespass, and light pollution. Based on similar projects the energy savings could be as much as 45%. Insurance will cover the replacement cost of the damaged pole, which is approximately 25% of the project cost.

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:

Program Revenue Cash.....	\$ 4,334,100
Gifts and Grants Funding.....	<u>2,173,200</u>
<b>Total Requested Budget</b>	<b>\$ 6,507,300</b>

6. Previous Action: None.

3/31/11

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

Friday, April 8, 2011  
UW-Platteville, Ullsvik Hall  
Platteville, Wisconsin  
9:00 a.m.

II.

9:00 a.m. All Regents -- Harry & Laura Nohr Gallery, Ullsvik Hall

1. Calling of the roll
2. Approval of the minutes of the regular February meeting
3. Report of the President of the Board
  - a. Wisconsin Technical College System Board report
  - b. Update and consideration of resolution in support of legislation regarding regional representation on the UW System Board of Regents
  - c. Additional items that the President of the Board may report or present to the Board
4. Report of the President of the System
5. UW System Accountability Report/Investing in Wisconsin's Future
6. Discussion: History of academic freedom in the UW System
7. Report and approval of actions taken by the Education Committee
8. Report and approval of actions taken by the Business, Finance, and Audit Committee
9. Report and approval of actions taken by the Capital Planning and Budget Committee
10. Resolution of appreciation to UW-Platteville for hosting the April meeting
11. Communications, petitions, and memorials
12. Move into closed session to consider UW-Oshkosh honorary degree nominations, as permitted by s. 19.85(1)(f), *Wis. Stats.*; to consider appointment of a UW-Superior chancellor, as permitted by s. 19.85(1)(c), *Wis. Stats.*; 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.*



## **Investing in Wisconsin's Future: UW System's Growth Agenda Accountability Report, 2010-11**

### **Executive Summary**

#### **BACKGROUND**

The University of Wisconsin System has annually published detailed accountability reports since 1993. These reports reflect the UW System's longstanding commitment to demonstrating its accountability to the citizens of Wisconsin. Each annual accountability report covers a broad spectrum of higher education performance measures that address diverse constituent interests. Over the years, ongoing refinements and enhancements have been made to these reports to ensure their continued relevance and value as a resource for all potential users.

The current report, *Investing in Wisconsin's Future*, builds upon two earlier publications: *Achieving Excellence*, issued annually from 2001 to 2008, and its predecessor, *Accountability for Achievement*, published from 1993 to 1998. *Accountability for Achievement* was one of the first accountability reports for a university system. The current report reflects the strategic framework for advancing the UW System's Growth Agenda for Wisconsin. *Investing in Wisconsin's Future* is available electronically on the internet at: <http://www.uwsa.edu/opar/accountability/>.

#### **REQUESTED ACTION**

This report is for information only.

#### **DISCUSSION**

*Investing in Wisconsin's Future* represents the UW System's continuing commitment to broad-based accountability to the citizens of Wisconsin. All of the measures in *Investing in Wisconsin's Future* were designed with the mission of the UW System in mind, concentrating on the many ways in which the University of Wisconsin seeks to serve its students and the State of Wisconsin. While it is not feasible to report on every possible area of university activity in a single document, *Investing in Wisconsin's Future* attempts to provide a balanced approach, representing a broad diversity of stakeholder interests. This year, a number of improvements were made to the systemwide and institutional accountability reports.

*Investing in Wisconsin's Future* includes updated information on the UW System's progress on its strategic priorities, which serve as the blueprint for the UW System's Growth Agenda for Wisconsin. The performance measures in the report include not only the traditional, widely-used indicators of access, equity and diversity, enrollments, retention, graduation, and resource management, but also indicators of the UW System's impact on Wisconsin communities through civic participation and community outreach and engagement. In this way, the report more fully reflects the ways in which the UW System is investing in Wisconsin's future.

Since 2002, each of the 15 UW institutions has produced its own annual report as a companion to the systemwide report. Since last year, these reports have the same structure and expanded framework of the systemwide report to provide common performance measures across institutions, but also to highlight the unique accomplishments of each UW campus. The institution-specific reports were developed in response to suggestions from members of the Board of Regents who felt that our accountability efforts would be enhanced by the reporting of institutional measures in a format that is consistent across all campuses. The institutional reports are designed to demonstrate accountability in light of the specific character and mission of each institution. The institutional reports are available by request and also on the web at: <http://www.uwsa.edu/opar/accountability/>.

In addition to *Investing in Wisconsin's Future*, the UW System further demonstrates its accountability to the public through participation in the Voluntary System of Accountability (VSA). The VSA is a voluntary initiative of public four-year colleges and universities to provide information to parents and students on measureable educational outcomes in an accessible, understandable, and comparable way. Each UW four-year institution provides a College Portrait as part of this initiative, available at: <http://collegeportraits.org>.

## **HISTORY OF ACADEMIC FREEDOM IN THE UW SYSTEM**

### **BACKGROUND**

The concept of academic freedom has a long history in the University of Wisconsin System. According to one definition used by higher education institutions, academic freedom encompasses the right of faculty members to full freedom in research and in the publication of results, freedom in the classroom in discussing their subject, and the right to be free from institutional censorship or discipline when they speak or write as citizens<sup>1</sup>. In response to Regent interest, a listing of laws and policies related to academic freedom in the UW System has been compiled.

### **REQUESTED ACTION**

For discussion.

### **DISCUSSION**

Materials on academic freedom in the UW System can be categorized into: (1) laws; (2) UW and Board of Regents History; and (3) UW institutional rules or policies.

#### **Laws on Academic Freedom**

- (1) Wisconsin Statutes: The Board of Regents' responsibility with respect to academic freedom is embodied in the UW System's statutory mission: "The mission of the system is to develop human resources, to discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of its campuses and to serve and stimulate society by developing in students heightened intellectual, cultural and humane sensitivities, scientific professional and technological expertise and a sense of purpose... Basic to every purpose of the system is the search for truth."<sup>2</sup>
- (2) Wisconsin Administrative Code: In the procedures for faculty dismissal for cause, the regulations state: "A faculty member is entitled to enjoy and exercise all the rights and privileges of a United States citizen, and the rights and privileges of academic freedom as they are generally understood in the academic community."<sup>3</sup>

## UW and Board of Regents History

The following table includes some of the key developments in the Board of Regents' actions related to academic freedom:

DATE	EVENT OR ACTION
August-September 1894	<p>The Board of Regents held a hearing in response to a Board member's allegation that Professor Richard Ely's "teaching and writings provided moral justification for attacks on life and property."<sup>4</sup> In exonerating Professor Ely, the Board <a href="#">affirmed its commitment to academic freedom</a>:</p> <p>"...Whatever may be the limitations which trammel inquiry elsewhere, we believe that the great state University of Wisconsin should ever encourage that continual and fearless sifting and winnowing by which alone the truth can be found."<sup>5</sup></p>
May 1922	<p>The Board of Regents formally <a href="#">amended its policies</a> to include the 1894 statement and specified that the statement applied "...to teaching in the classroom and to the use of university halls for public addresses, under the control of the president of the University with appeal to the regents."<sup>6</sup></p>
October 1949	<p>The Board of Regents adopted the following <a href="#">statement</a>:</p> <p>"In the present world-wide discussion of the future of human society, we believe that the University of Wisconsin, and all other institutions of higher learning, have a unique opportunity and responsibility. An opportunity critically to study the proposals and claims of systems alien to our own is the intellectual right of every student. And freedom to explore and discuss the issues in the field of his special competence is the right of every teacher. But to teach the foundations of 'our American way of life,' economic, political and social, and the entire cultural life it makes possible, is the inescapable obligation of the University to its students. We believe this is best done through fair-minded, scholarly teachers working in many different fields of learning, and that it is now being done in this University...."<sup>7</sup></p>
July 1962	<p>In a <a href="#">statement</a> to the Board of Regents, University Vice President Fred Harrington explained why the University of Wisconsin is a great university:</p> <p>"...[W]e at Wisconsin have not been afraid to speak out. We of the faculty, and you of the Board of Regents, have been in favor of freedom of speech and academic freedom. In fact, Wisconsin has been one of the leaders of the country in this field. We are abused for this, sometimes, but we have persevered and we have made a national contribution. Other institutions often have been praised for doing things on occasion with reference to free speech that we do routinely. This is an important part of our greatness. I am pleased that members of this Board have felt so and insisted on retention of this tradition...."</p>

DATE	EVENT OR ACTION
	<p>“... In speaking out, and saying different things, and insisting on democracy, we have made great national contributions, and in doing so, have developed a great University.”<sup>8</sup></p>
January 1964	<p>In approving faculty rules for appointment, tenure and dismissal procedures, the Board offered the following <a href="#">statement</a>:</p> <p>“...In adopting this codification of the rules and regulations of the University of Wisconsin relating to academic tenure, the Regents reaffirm their historic commitment to security of professorial tenure and to the academic freedom it is designed to protect. These rules and regulations are promulgated in the conviction that in serving a free society the scholar must himself be free. Only thus can he seek the truth, develop wisdom and contribute to society those expressions of the intellect that ennoble mankind. The security of the scholar protects him not only against those who would enslave the mind but also against anxieties which divert him from his role as scholar and teacher. The concept of intellectual freedom is based upon confidence in man’s capacity for growth in comprehending the universe and on faith in unshackled intelligence. The University is not partisan to any party or ideology, but it is devoted to the discovery of truth and to understanding the world in which we live. The Regents take this opportunity to rededicate themselves to maintaining in this University those conditions which are indispensable for the flowering of the human mind.”<sup>9</sup></p>
December 1985	<p>In preparing for the Regents’ Study Group on the Future of the UW System, President Lyall read a 1955 report from a commission on the University of Wisconsin, chaired by then-Senator Warren Knowles. The report included a recommendation that no restrictions be placed on freedom of speech or assembly, beyond those established by state or federal laws. Reflecting on threats to academic freedom in 1955 posed by McCarthyism, and present-day threats posed by the activities of Accuracy in Academia, a national group whose purpose was to monitor universities for professors with Marxist or left-leaning views, in 1985 President Lyall offered the following <a href="#">statement</a>, with which the Board of Regents concurred:</p> <p>“...Lest there be any doubt, I would like to reaffirm clearly that the University of Wisconsin System will continue in the future as it has in the past to insist on maintaining the academic freedom of students and faculty to speak, argue, debate, sift and winnow ideas and values openly and without fear of reprisal or intimidation. Disagreement and debate is the stuff of which learning is made. We do not fear it, but it should be done openly and without threat or coercion. Great universities share this common commitment to open expression.”<sup>10</sup></p>

DATE	EVENT OR ACTION
October 1994	<p>The Board of Regents, commemorating the 100-year anniversary of the Board's exoneration of Professor Ely, passed <a href="#">resolution 6787</a> reaffirming its commitment to academic freedom:</p> <p>"...Now therefore, be it resolved that the Regents of the University of Wisconsin System, meeting one hundred years after our predecessors guaranteed Professor Ely's academic freedom, reaffirm our commitment to the untrammelled search for truth.</p> <p>We call upon all members of our several academic communities -- administrators, faculty, staff, and students alike -- to guard this precious legacy, to consider differing points of view, and always to engage in 'that continual and fearless sifting and winnowing by which alone the truth can be found'".<sup>11</sup></p>

### **UW System or Institutional Policies**

The University of Wisconsin System Board of Regents and several of the individual campuses have adopted policies or other authority related to academic freedom:

#### **(1) UW Board of Regents Policies**

- a. **The University of Wisconsin System Mission (RPD 1-1)**: The UWS Mission statement was adopted by the Board of Regents on June 10, 1988. It mirrors Chapter 36, Stats., and states:

"Each institution of the University of Wisconsin System shares in the mission of the system. The mission of this system is to develop human resources; to discover and disseminate knowledge; to extend knowledge and its application beyond the boundaries of its campuses; and finally, to serve and stimulate society by developing in students heightened intellectual, cultural, and humane sensitivities, scientific, professional, and technological expertise, and a sense of value and purpose. Inherent in this mission are methods of instruction, research, extended education, and public service designed to educate people and improve the human condition. Basic to every purpose of the system is the search for truth."<sup>12</sup>

- b. **Racist and Other Discriminatory Conduct Policy (RPD 14-6)**: In prohibiting discrimination, the policy also states that not every act which may be offensive to an individual or group will be considered to be racist and discriminatory conduct and a violation of system or institutional policy, and due consideration will be given to the protection of individual First Amendment rights to freedom of expression and academic freedom.<sup>13</sup>

- c. Guidelines for Tenured Faculty Review and Development (RPD 20-9): Plans for tenured faculty review and development should include effective criteria to measure progress for accomplishments of faculty and a description of the methods for conducting the evaluation and any review methods should fully respect academic freedom.<sup>14</sup>
- (2) UW Institutional Policies (The following is not intended to be a comprehensive list but, rather, provides examples from several UW institutions.):
- a. UW-Green Bay Faculty Academic Freedom Policy: The faculty adopted the American Association of University Professors (AAUP) policy and interpretive comments<sup>15</sup> as its academic freedom policy. (See UW-Milwaukee example, below, for excerpts from the policy.) The policy provided the following reasons for doing so: (1) the statement has significant legal standing in case law; (2) any other policy adopted by the faculty could conceivably require a test in court before it would have legal standing and the protection that such standing grants to faculty, and; (3) in the absence of an academic freedom policy, a court would likely assume that the AAUP statement provides the effective principle.<sup>16</sup>
  - b. UW-Madison Faculty Policies and Procedures: The current policy on Faculty Rights (8.01) refers to “the principles of academic freedom as they are generally understood in higher education.”<sup>17</sup> The policy also references the Regents’ “commitment to security of professional tenure and the academic freedom it is designed to protect.”<sup>18</sup>
  - c. UW-Milwaukee Academic and Administrative Policies: The Public Expression of Opinion policy addresses the rights of faculty members to express opinions in both areas of professional competence and as individual citizens, and provides three principles from the American Association of University Professors’ 1940 statement, which states that: “(1) teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties...; (2) teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject...; (3) college and university teachers are citizens, members of a learned profession, and officers of an educational institution...”<sup>19</sup>
  - d. UW-Oshkosh Faculty Constitution: The faculty constitution is prefaced with a statement on the preservation of academic freedom and provides several principles to support academic freedom, such as: (1) the dependence of the common good on the “free search for truth and its free exposition;” (2) the premise that “[a]cademic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning;” and (3) that while a faculty member “should be free from institutional censorship or discipline” he or she “should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he or she is not a spokes-person for the institution.”<sup>20</sup>
  - e. UW-River Falls Faculty and Academic Staff Handbook: Faculty members are provided with full academic freedom in the classroom, in research, and elsewhere as outlined in the

American Association of University Professors statements on academic freedom.<sup>21</sup> Members of the faculty are also free from institutional censorship or discipline when acting as citizens or in matters of academic freedom, but must acknowledge and accept their responsibilities as professional people, and any public statement must clearly state whether they speak as individuals or as representatives of the University.<sup>22</sup>

## RELATED REGENT POLICIES

Regent Policy Documents 1-1, 14-6, and 20-9.

---

<sup>1</sup> American Association of University Professors (<http://www.aaup.org/AAUP/about/mission/glossary.htm>)

<sup>2</sup> Section 36.01(2), Wis. Stats.

<sup>3</sup> Wis. Adm. Code § UWS 4.01(2).

<sup>4</sup> Miller, Harry, *Sifting and Winnowing: Academic Freedom and Ely Trial*, Wisconsin Stories: School Days, ([http://www.wisconsinstories.org/2002season/school/closer\\_look.cfm](http://www.wisconsinstories.org/2002season/school/closer_look.cfm))

<sup>5</sup> Report of the Board of Regents investigating committee, September 18, 1894.

<sup>6</sup> Board of Regents minutes excerpt, p. 12, May 22, 1922, Board of Regents Collections, University of Wisconsin Digital Collections.

<sup>7</sup> Board of Regents minutes excerpt, pp. 19-20, October 15, 1949, Board of Regents Collections, University of Wisconsin Digital Collections.

<sup>8</sup> Statement by University Vice President Fred H. Harrington, Board of Regents minutes, Exhibit E, pp. 1-4, July 14, 1962, Board of Regents Collections, University of Wisconsin Digital Collections.

<sup>9</sup> Statement by Regent Jensen, Board of Regents minutes excerpt, pp. 3-4, January 10, 1964, Board of Regents Collections, University of Wisconsin Digital Collections.

<sup>10</sup> Statement by UW System President Lyall, Board of Regents minutes excerpt, pp. 13-14, December 6, 1985, Board of Regents Collections, University of Wisconsin Digital Collections.

<sup>11</sup> Excerpt of Resolution 6787, University of Wisconsin Board of Regents minutes, pp. 3-5, October 7, 1994. <http://www.wisconsin.edu/bor/minutes/bor/1994/october.htm>

<sup>12</sup> <http://www.uwsa.edu/bor/policies/rpd/rpd1-1.htm>

<sup>13</sup> <http://www.uwsa.edu/bor/policies/rpd/rpd14-6.htm>

<sup>14</sup> <http://www.uwsa.edu/bor/policies/rpd/rpd20-9.htm>

<sup>15</sup> <http://www.aaup.org/AAUP/pubsres/policydocs/contents/1940statement.htm>

<sup>16</sup> <http://www.uwgb.edu/sofas/rules/facultyhandbook.pdf>

<sup>17</sup> [http://www.secfac.wisc.edu/governance/fpp/Chapter\\_8.htm#801](http://www.secfac.wisc.edu/governance/fpp/Chapter_8.htm#801)

<sup>18</sup> *Id.*

<sup>19</sup> [http://www4.uwm.edu/secu/acad+admin\\_policies/S44.htm](http://www4.uwm.edu/secu/acad+admin_policies/S44.htm); AAUP 1940 statement, *supra* note 8.

<sup>20</sup> [http://www.uwosh.edu/faculty\\_senate/faculty-constitution](http://www.uwosh.edu/faculty_senate/faculty-constitution)

<sup>21</sup> [http://www2.uwrf.edu/faculty\\_senate/handbook/chapter3-2.htm#C32III](http://www2.uwrf.edu/faculty_senate/handbook/chapter3-2.htm#C32III); AAUP 1940 statement, *supra* n.8.

<sup>22</sup> *Id.*



**UW SYSTEM BOARD OF REGENTS  
REGULAR MEETING SCHEDULE -- 2011**

**February 10-11, 2011 – In Madison**

**March 10, 2011 – In Madison**

**April 7-8, 2011 – Hosted by UW-Platteville**

**June 9-10, 2011 – Hosted by UW-Milwaukee**

**July 14-15, 2011 – In Madison**

**September 8, 2011 – In Madison**

**October 6-7, 2011 – Hosted by UW-Green Bay**

**December 8-9, 2011 – Hosted by UW-Madison**