



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

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

DATE: November 30, 2011

TO: Each Regent

FROM: Jane S. Radue *JSR*

PUBLIC MEETING NOTICE
Meetings of the UW System Board of Regents
to be held at University of Wisconsin-Madison, Union South, 1308 W. Dayton Street,
Madison, Wisconsin 53715 on December 8 and 9, 2011

Thursday, December 8, 2011

9:00 a.m. Board of Regents Annual Group Photo – Industry A, 3rd Floor

9:30 a.m. All Regents – Varsity Hall II, 2nd Floor

1. Calling of the roll
2. Welcome to new Regents
3. UW-Madison presentation by Interim Chancellor David Ward:
“A Strategic Approach to Resource Stewardship”
4. Presentation by Terrence MacTaggart, former CEO, Minnesota State
University System and University of Maine System: “Regent Responsibilities
and Leadership Role in a Time of Change”
5. Report of the President of the Board
 - a. Educational Communications Board, Higher Educational Aids Board,
Hospital Authority Board, and Wisconsin Technical College System Board
reports
 - b. Interim report of Ad Hoc Committee on Board Responsibilities

12:00 p.m. Lunch – Varsity Hall III, 2nd Floor

- 1:00 p.m. Joint Meeting of the Business, Finance, and Audit Committee and the Education Committee – Varsity Hall II, 2nd Floor
- 1:45 p.m. Education Committee – Varsity Hall II, 2nd Floor
- 1:45 p.m. Joint Meeting of the Business, Finance, and Audit Committee and the Capital Planning and Budget Committee – Varsity Hall I, 2nd Floor
- 2:30 p.m. Business, Finance & Audit Committee, Varsity Hall I, 2nd Floor
- 2:30 p.m. Capital Planning & Budget Committee, Wisconsin Idea Room, 2nd Floor

Friday, December 9, 2011

9:00 a.m. All Regents – Varsity Hall II, 2nd Floor

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 the week of the meeting at <http://www.uwsa.edu/bor/meetings.htm>. The meeting will be webcast at <http://www.uwex.edu/ics/stream/regents/meetings/> on Thursday, December 8, 2011 at 9:30 a.m. until approximately 12:00 p.m., and Friday, December 9, 2011 at 9:00 a.m. until approximately 12:00 p.m.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1. Education Committee -

Thursday, December 8, 2011
Union South, Varsity Hall II, 2nd Floor
UW-Madison
Madison, Wisconsin

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12:00 p.m. Lunch – Varsity Hall III, 2nd Floor

1:00 p.m. Joint Meeting of the Education Committee and the Business, Finance, & Audit Committee – Varsity Hall II, 2nd Floor

- The University of Wisconsin School of Medicine and Public Health: The Wisconsin Partnership Program – Acceptance of the 2010 Annual Report.
- Operations Review and Audit: Program Review on Students with Disabilities.
- UW-Milwaukee Contractual Agreement with CERNET Education Development Co., LTD.

[Resolution I.2.c.]

1:45 p.m. Education Committee – Varsity Hall II, 2nd Floor

a. Consent Agenda:

1. Approval of the Minutes of the October 6, 2011, Meeting of the Education Committee;
2. UW-Whitewater: B.A./B.S. in Environmental Science;
 [Resolution I.1.a.(2)]
3. UW-Whitewater: B.A./B.S. in Computer Science;
 [Resolution I.1.a.(3)]
4. UW-Green Bay, UW-Parkside, and UW-Stevens Point: Collaborative Online B.S. in Health Information Management and Technology.
 [Resolution I.1.a.(4)]

b. UW-Madison Presentation: “Resource Stewardship: Educational Innovations.”

c. UW-Parkside: Establishment of UW-Parkside Colleges.
 [Resolution I.1.c.]

d. Report of the Senior Vice President:

1. Academic Affairs Integration of Initiatives;
2. Institute for Urban Education Proposal;
3. Update on Academic Affairs Advisory Committees;
4. Accountability Reporting.

Program Authorization (Implementation)
B.S./B.A. in Environmental Science
UW-Whitewater

EDUCATION COMMITTEE

Resolution I.1.a.(2):

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

NEW PROGRAM AUTHORIZATION

Bachelor of Science and Bachelor of Arts in Environmental Science University of Wisconsin-Whitewater

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in the UW System policy statement, “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 Environmental Science at the University of Wisconsin-Whitewater is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin approximately five years after its implementation. The University of Wisconsin-Whitewater and System Administration will conduct that review jointly, and the results will be reported to the Board.

Targeted faculty growth, improved facilities, access to teaching resources, and rapidly growing student interest in the discipline of Environmental Science places UW-Whitewater in an ideal position to prepare students for a successful career in this field. The program in Environmental Science will prepare knowledgeable and skillful professionals to assume leadership positions within the public and private sectors. Within organizations and companies, environmental scientists and specialists will be able to manage and administer the integration of environmental perspectives and principles for the purpose of improving productivity within a sustainability framework, and enhancing public safety while protecting the environment. Students choosing the Bachelor of Science (B.S.) option will be employed as environmental scientists who investigate potential solutions to environmental problems, whereas students choosing the Bachelor of Arts (B.A.) option will work in fields of environmental management, charged with guiding business and industry in sustainable practices.

A campus-wide survey was completed to gauge student interest in the proposed program, and the results demonstrated strong support from current UW-Whitewater students for the development of an Environmental Science major. By serving its traditional and non-traditional local students, UW-Whitewater is ideally suited both geographically and programmatically to respond to the proven national and regional demand in the field of Environmental Science, particularly in the sub-fields of environmental technology and environmental management. The program will draw strength from UW-Whitewater’s distinct array of campus facilities and resources, as well as the interdisciplinary nature of the program, which represents a joint effort between the Colleges of Letters & Sciences, Business & Economics, and Education.

An Environmental Studies minor, which forms the basis for the development of this new major, has been in place for over a decade with consistently strong enrollments. In addition, two of the high-demand majors on campus, biological sciences and geography/geology, have evinced strong student interest in Environmental Science, as evidenced by nearly half of all students in those programs focusing on the tracks most closely tied to environmental science, Ecology/Field and Physical/Environmental, respectively. The lack of an Environmental Science major as an

option for these students makes it challenging for them to compete for jobs in environmental science, as well as to gain admittance into Environmental Science graduate programs.

REQUESTED ACTION

Approval of Resolution I.1.a.(2), authorizing the implementation of the Bachelor of Science and the Bachelor of Arts in Environmental Science at the University of Wisconsin-Whitewater.

DISCUSSION

Program Description

The curriculum for the proposed major is designed to provide substantial breadth within the broad subject of Environmental Science while still requiring depth within at least one of the submajor emphases. The emphases are *Natural Sciences*, *Geosciences*, and *Environmental Resource Management*. Students achieve breadth of knowledge by taking a common set of core courses (15 credits), a capstone course (3 credits), and a minimum number of credits from each of the other areas of emphasis (6 credits each), with at least one course at the 300-level or higher. The depth is provided by giving students the opportunity to focus a majority of their credits (25) in one area of emphasis, which includes at least one experiential learning course (1-3 credits). An additional and unique requirement provides further depth by requiring students to gain expertise in at least one specific job-related skill or technique in Environmental Science. The options available include Geographic Information Systems (GIS), Ecological Field Analysis, and Environmental Writing. This expertise will not only make students more competitive for potential job opportunities or graduate school, but also will allow them a more in-depth opportunity to understand how information is collected, analyzed, and disseminated when looking for solutions to contemporary environmental problems. A minimum number of 58 credits are required for program completion for both the B.A. and the B.S. degree options, with the program designed to minimize the number of prerequisite courses or unique requirements students will have to fulfill the credit requirement.

Beyond the breadth requirement, students within a particular submajor emphasis will have numerous opportunities to interact with and learn from students and teachers in the other two areas of emphasis throughout their coursework, particularly in the skills/techniques and capstone courses. In the capstone course, students will work in teams made up of individuals from each of the other areas of emphasis to investigate contemporary environmental problems and bring their knowledge and skills together to identify potential solutions. These opportunities will enable students to not only learn from instructors and their experiences, but also from each other while simulating the type of scenarios that are likely to occur in environmentally focused jobs.

The experiential learning requirement must be fulfilled within a student's area of emphasis within the major and be approved as one of three types of experiential learning. These are: (1) completion of an undergraduate research project in environmental science that extends across a minimum of one academic year; (2) participation in a travel study course with an

environmental focus, or study abroad to an environmentally sensitive region of the world; and/or (3) completion of an internship focused on some aspect of environmental science. Students can take advantage of numerous internships and travel study opportunities already established at Yellowstone National Park, domestically, and several locations abroad, e.g., in Jamaica, Mexico, and Australia, among other countries.

The program will be housed in Upham Hall, the primary science building on campus, and coordinated by faculty from the primary departments contributing to the program. A total of thirteen departments will contribute faculty, facilities, and resources to the new major, although a majority will come from the Departments of Biological Sciences and Geography & Geology.

Program Goals and Objectives

The proposed major is designed to properly prepare students for success in the 21st Century following the AAC&U's *Liberal Education and America's Promise* (LEAP) essential learning outcomes. In addition, there are two broad-based learning objectives for the major that apply to both the B.A. and B.S. options:

1. Students will have knowledge of significant current and historical environmental issues at the regional, national, and global scales, and be able to describe the origins, drivers, and implications of each from both scientific and social perspectives.
2. Students will be proficient at a broad range of skills and techniques needed to collect, analyze, and disseminate information related to contemporary environmental problems. Students will be able to demonstrate an advanced understanding of research techniques in their chosen specialty area of environmental science.

Each submajor has additional specific learning objectives and requirements that are tailored to that area of concentration and differentiate the expectations for the B.A. and B.S. degrees:

B.S. Degree:

- Students will gain an understanding of how humans and their behavior have impacted biodiversity and availability of natural resources through biological, chemical, and physical changes to aquatic and terrestrial environments.
- Students will understand the complexity and interconnectedness of earth systems, including the atmosphere, biosphere, hydrosphere, and lithosphere and how they influence the source, geographical distribution, and abundance of natural resources.

B.A. Degree:

- Students will recognize the vulnerability of natural resources to human activity and the need to nurture and manage them in a way that provides opportunity for sustainable development without compromising their long-term abundance and renewability.

- Students will understand major environmental governance theory and approaches to solving environmental problems, including technical solutions, market approaches, regulation, and behavior modification. In addition, they will be able to demonstrate knowledge of the organizations that address environmental issues at various scales.

High Impact Practices

It is well documented that the best high-impact practices for teaching Environmental Science are to provide opportunities for students to directly experience the environmental problems that they are studying. This allows them to appreciate the magnitude of impact of the problem, the cultural and political implications, and the science behind the cause as well as potential solutions. The proposed program provides numerous opportunities for this type of experiential learning, including travel study, field-based courses, undergraduate research, internships, and outreach opportunities. In addition, a freshman learning community for Environmental Science majors is planned. This will provide enhanced support for these new majors during that crucial first year.

Program Assessment

The assessment of learning outcomes for the proposed program will be extensive, ongoing, and regularly reviewed by a core group of faculty contributing to the program and with training in assessment. Table 1 summarizes the assessment instruments that will be used at various times in the students' progression through the program and beyond.

Table 1: Assessment Instruments and Timetable

Year of Program Sequence	Type of Assessment	Learning Outcomes (LO's) Assessed
Freshman	Pre-Analysis (for paired comparisons later); Portfolio Initiation	Broad Program LO's; General Education; LEAP
Sophomore	Embedded questions; Pre-post Comparisons; Portfolio Development	Primarily Course-specific LO's of Knowledge/Skills; Initial Submajor LO's
Junior	Embedded Questions; Pre-post Comparisons; Portfolio Development; Mid-program Post-Analysis (for comparisons to pre-analysis);	Knowledge and Skills within Submajors; Professional Development
Senior	Portfolio completion; Senior exit survey	Broad Program LO's; Program Effectiveness; Student Satisfaction with Experience
Post-Graduate	Career Progress Tracking Survey; Qualitative Analysis	Program Effectiveness; Career Preparation and Satisfaction

Relation to Institutional Mission

The proposed major has many features designed to support student success and which relate directly to the mission of UW-Whitewater, including: its interdisciplinary approach, opportunities for enhanced scholarly research, service-learning and regional outreach, and out-of-class “experiential learning,” all with a focus towards developing and maintaining a high level of personal and professional integrity in students and graduates. These all relate directly to the mission of UW-Whitewater.

Need

During the spring of 2010, a campus-wide survey was completed to gauge student interest in the proposed major. The results demonstrated strong support from current UW-Whitewater students for the new major. Most noteworthy was that 74% of students either “agreed” or “strongly agreed” that there would be interest among current and future students in a new major focused on Environmental Science.

Strong evidence exists for growth in job opportunities and demand for graduates with training in Environmental Science and related areas. For example, the most recent *Occupational Outlook Handbook* (Dept. of Labor, 2010) states: “Employment of environmental scientists...is expected to grow much faster than the average for all occupations.” Job growth is expected to be greatest in private-sector consulting firms as well as governmental jobs. Furthermore, the *Bureau of Labor Statistics* indicates that “job opportunities for environmental managers and environmental technology specialists will expand much more quickly than similar engineering jobs in other specialties . . . Businesses and government agencies have started aggressively recruiting the best environmental management graduates.” It is noteworthy that two key areas of job growth mentioned are integral specializations, i.e., emphases, of the proposed major.

Projected Enrollment (5 years)

Table 2 shows a projection of enrollment in the proposed major during the first five years of the program. These numbers are based on growth rates of the Environmental Studies minor when it was first established, as well as similar programs at UW-Whitewater. In addition, the National Council for Science and the Environment (NCSE) was consulted on typical growth rates of new programs in the United States similar to that proposed here. The attrition rate is estimated based on typical retention rates for UW-Whitewater students at each level of their degree progression, as well as the percentage of students who normally switch majors at some point in their degree pursuit.

Table 2: Enrollment Projections

Year	Implementation year	2nd year	3 rd year	4th year	5th year
New students admitted	20	25	30	35	40
Continuing students		15	30	45	40
Total enrollment	20	40	60	80	100

Graduating students		5	10	15	20
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Comparable Programs

The proposed new major at UW-Whitewater will provide distinctive characteristics in curriculum, faculty expertise, campus resources, and access to natural resources, all of which will give students from Wisconsin and other states an alternative that is not duplicated at other UW System schools or universities in neighboring states. Numerous institutions within the UW System have successful programs in Environmental Science or related fields (e.g. Natural Resources) with healthy enrollments. Although all of these programs have common themes focusing on environmental issues and/or natural resource management, each has a unique emphasis that utilizes the expertise of their faculty and/or the natural resources in their local areas. An inspection of related programs in surrounding states also indicates over 30 programs in Environmental Science or similarly named majors. However, no program in Wisconsin or the surrounding states has the particular attributes of the program proposed here.

Collaboration (inter-institutional)

The new major relies heavily upon collaboration within the various departments at UW-Whitewater that are contributing to the program. However, there are no clearly established inter-institutional agreements between UW-Whitewater and other UW System schools at this time for the new major. It is likely that inter-institutional collaborations will be sought once the program is established and common interests are clearly defined.

Diversity

Each of the faculty members contributing to the new major comes from programs committed to Inclusive Excellence. This commitment includes providing equal opportunities and access for students of all races, sex, gender identity or expression, religion, color, creed, disability, sexual orientation, national origin, ancestry, socioeconomic status and age. These principles all fall within the strategic mission of the University of Wisconsin-Whitewater and thus, are imbedded within any curriculum or program on campus.

The proposed program will help students better understand that the magnitude of human threats to the environment across diverse populations is heavily influenced by cultural characteristics such as race, religion, and socioeconomic status. For instance, the course, *Environmental Racism*, highlights the importance of these influences and will be among those available for students in the new major. As with all majors on campus, students will also be required to take at least one course designated for “diversity” credits. The *Environmental Racism* course, as well as the course, *Gender, Ethnicity, and the Environment*, are two examples.

The faculty who will contribute courses to the proposed major are quite diverse in gender and nationality. This is also reflected in the current make-up of students in the two programs that will contribute most to the new major—Biological Sciences and Geography/Geology—as well as those pursuing the Environmental Studies minor. In each of these areas, the percentage of female students is close to or above 50%, which is higher than the national average for STEM

fields. It is anticipated that this higher-than-average proportion of females would likely be reflected in the proposed major as well.

The departments that will be contributing courses and other resources to the new major have been charged with identifying specific recruiting strategies from within their disciplines that would improve the racial diversity of both faculty and students within their programs. Some of the efforts underway have included organizing visits from nearby urban middle and high schools (primarily Milwaukee), increasing the racial diversity of guest speakers brought into classes to speak to prospective student majors, and more aggressively targeting publication outlets aimed at recruiting minority faculty in the STEM fields. Similar strategies will be employed here.

Evaluation from External Reviewers

The full *Authorization to Implement* document and related appendices were sent to three external reviewers to provide expertise and perspective on the appropriateness of design and need for the proposed major. The reviews provided excellent guidance on ways to better blend the curriculum of the core and capstone courses to that within each of the submajor emphases. In addition, suggestions were made on how to better link the undergraduate research and service-learning components to the major. Finally, one reviewer provided excellent feedback on how to strengthen the internship and experiential learning opportunities for students. All of the reviewers' suggestions were accommodated and made the proposed program stronger.

Resource Needs

UW-Whitewater currently has 24 faculty from thirteen different academic departments who are teaching courses that will contribute to the new major. This contribution totals 9.0 full-time equivalent (FTE) positions. Since this is already part of the teaching load for these faculty, and very few additional sections will be needed early on, the initial budgetary impact of the new major will be minimal. As the program grows it will be necessary to offer additional sections in certain areas. However, this added cost will be partially offset by the reduced number of sections needed in other areas where more student majors previously resided (e.g., Biological Sciences, Geography and Geology). An additional 0.5 FTE has been allocated to account for this potential need. This will also be used to cover the small number of new courses developed exclusively for the major (e.g., the Capstone course) and to backfill for instructors that are given partial release time to coordinate the new major. An additional 0.5 FTE has also been allocated to provide administrative support. Modest amounts are also included in the estimated budget to allow for coordinator stipends, small equipment needs, computing, and library resources. Increased instructional FTE is provided in years two and three to account for anticipated student growth.

Other start-up costs to support the needs of the new major are minimal since the majority of resources are already in place. This includes a recently renovated science building with state-of-the-art instrumentation for teaching and conducting research in Environmental Science, a 40-acre Nature Preserve where students can study ecosystems and habitats, one of the largest GIS facilities in the state, a recently upgraded campus weather station, and access to numerous local and regional field-site locations for students to actively study Environmental Science.

BUDGET: Estimated Total Costs and Resources

	FIRST YEAR		SECOND YEAR		THIRD YEAR	
CURRENT COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff	9.0	\$522,000	9.0	\$537,660	9.0	\$553,790
Non-instructional Academic/Classified Staff	0.5	\$15,500	0.5	\$16,480	0.5	\$16,974
Non-personnel						
Supplies & Expenses		\$5,000		\$5,500		\$6,000
Capital Equipment		\$1,000		\$1,500		\$2,000
Library		\$500		\$500		\$500
Computing		\$1,000		\$1,000		\$1,000
Subtotal		\$545,000		\$562,640		\$580,264
ADDITIONAL COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel	0.5	\$22,727	0.75	\$34,091	1.0	\$45,455
Stipends for Coordinators		\$5,000		\$5,000		\$5,000
Other (online course development and delivery)		\$1,000		\$1,500		\$2,000
Subtotal		\$28,727		\$40,591		\$52,455
TOTAL COSTS		\$573,727		\$603,231		\$632,719
CURRENT RESOURCES						
General Purpose Revenue (GPR)		\$545,000		\$562,640		\$580,264
ADDITIONAL RESOURCES						
GPR Reallocation		\$28,727 (internal reallocation)		\$40,591 (internal reallocation)		\$52,455 (internal reallocation)
TOTAL RESOURCES		\$573,727		\$603,231		\$632,719

RECOMMENDATION

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

RELATED POLICIES

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

Academic Information Series #1 (ACIS 1.0 Revised April 2010): Statement of the UW System Policy on Academic Planning and Program Review.

Program Authorization (Implementation)
B.A./B.S. in Computer Science
UW-Whitewater

EDUCATION COMMITTEE

Resolution I.1.a.(3):

That, upon the recommendation of the Chancellor of the University of Wisconsin-Whitewater and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.A./B.S. in Computer Science.

NEW PROGRAM AUTHORIZATION
Bachelor of Arts and Bachelor of Science in Computer Science
University of Wisconsin-Whitewater

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in the UW System policy statement, “Academic Planning and Program Review” (ACIS-1.0 Revised April 2010), the new program proposal for a Bachelor of Arts and a Bachelor of Science in Computer Science at UW-Whitewater is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin approximately five years after its implementation. UW-Whitewater and System Administration will conduct that review jointly, and the results will be reported to the Board.

The Department of Mathematical and Computer Sciences at UW-Whitewater has offered a minor in Computer Science since the 1970’s. In addition, the department has supported the interdisciplinary major in Management Computer Systems (MCS), in collaboration with the Department of Management. MCS graduates have a very high placement rate, averaging the highest starting salary of any major offered at UW-Whitewater. The Association of Information Technology Professionals chose the MCS program eight times as the best four-year Information Technology program in North America. Currently, the MCS major continues as an interdisciplinary program between the Department of Mathematical and Computer Sciences and the Department of Information Technology and Business Education.

The proposed Computer Science major, which expands the minor and builds on faculty expertise in the MCS program, will prepare students for a wide range of careers using computer technology. Graduates will be prepared to use modern technology and mathematical theory to engineer solutions that affect people’s daily lives. Depending on a student’s choice of concentrations within the major, a graduate could be prepared to work for a company needing, among other things, a specialist in commercial software development, computer security, and operation of a wide range of computer and computer-controlled equipment. Some students will enter graduate programs in Computer Science or Computer Engineering.

There continue to be a large number of jobs available for graduates trained in Computer Science, and it is predicted that over the next decade the US economy will fall far short of filling the anticipated openings in computer technology careers. The Bureau of Labor Statistics lists the ten occupations with the largest number of new job openings in the years 2002-2012, and six of those ten are jobs available to graduates of a Computer Science baccalaureate program. Half of the fastest growing occupations for college graduates for the period 2004-2014 will be filled by Computer Science graduates.

In the past six years, the Department of Mathematical and Computer Sciences has hired four faculty with Ph.D.’s, thus improving the faculty qualification profile. Having recently

implemented courses in support of the minor in Web Site Development and the new major in Media Arts and Game Development, the Department of Mathematical and Computer Sciences is particularly well-positioned to implement and deliver a major in Computer Science with minimal additional cost and maximum optimization of resources.

REQUESTED ACTION

Approval of Resolution I.1.a.(3), authorizing the implementation of the Bachelor of Arts and the Bachelor of Science in Computer Science at the University of Wisconsin-Whitewater.

DISCUSSION

Program Description

The proposed program in Computer Science will consist of 36 credits, of which 18 credits are in Core Courses that will be required of all majors. Students will choose two nine-credit areas of specialization from four concentration areas: 1) Systems Programming; 2) Conceptual Computer Science Specialization; 3) Web Techniques Specialization; and 4) Applied Computing Specializations. The Core Courses cover traditional computer programming techniques, the basics of computer software and hardware organization, and include a capstone course that teaches students techniques to tackle large-scale programming projects. The Systems Programming Specialization is appropriate for students preparing for a career in commercial software development. The Conceptual Computer Science Specialization is appropriate for students interested in graduate work or eventually doing Computer Science research. The Web Techniques Specialization is appropriate for students preparing to implement advanced World Wide Web applications. The Applied Computing Specialization is appropriate for students interested in a career in the sciences or in industrial computer applications.

Introductory programming courses will require one mathematics course beyond mathematics proficiency as a prerequisite, and, for students with no previous experience, one beginning programming course. Students can complete the core courses in four semesters. Each of the areas of specialization can be completed in no more than three successive semesters. Students obtaining a Bachelor of Arts and a Bachelor of Science in the College of Letters and Sciences are required to complete 32 credits of Proficiency and General Education requirements and complete an approved minor consisting of 18 to 24 credits. Whereas there will be no special entrance requirements, all students in the major will be required to have an overall, combined GPA of 2.0 and a GPA of 2.0 in the major in order to graduate. Students will receive academic advising from faculty in the Department of Mathematical and Computer Sciences.

Program Goals and Objectives

The Computer Science major is designed to give students a strong start in a career related to Computer Science with substantial skills and knowledge in computer programming and computing machinery, and the theoretical background to allow them to grow as the field changes. Students will:

- display proficiency in designing, implementing, and testing complex computer programs in at least two different programming languages while working both individually and within a development team;
- gain knowledge of computing machinery and computer networks to an extent that will allow them to pursue specialized training in a wide variety of machine design, operation, or repair careers;
- understand the theoretical potential and the limitations of machine computation; and
- obtain special expertise and perform advanced relevant tasks in areas of specializations such as web development, Computer Science research, scientific computation applications, and/or computer hardware.

High Impact Practices

The proposed major will feature a number of high-impact practices, which the research shows engage students more effectively in their learning and contribute to successful student outcomes. In their capstone course, students will be working in groups to complete sophisticated and practical software projects incorporating cutting-edge techniques. Computer Science faculty already engage undergraduates in successful research projects, and some of these students have published research papers and delivered their research results at Computer Science conferences. The addition of a major in Computer Science will increase the number of interested students.

UW-Whitewater's technology programs are planning to set up a freshman seminar that would expose students to a wide range of career options in technology and help to ensure that all students take full advantage of the available technology programs on campus. This Freshman Seminar would serve as an excellent springboard for the establishment of learning communities for each of the technology programs.

Relation to Institutional Mission

The proposed major in Computer Science is compatible with UW-Whitewater's goal "[t]o provide a range of undergraduate programs and degrees, including interdisciplinary programs, in letters, sciences, and the arts, as well as programs and degrees leading to professional specialization." Faculty in Computer Science also fully support the established university-community environment and enhance UW-Whitewater's Scholar-Educator Community by contributing to disciplinary and interdisciplinary research activities.

In alignment with the university's strategic plan, the major in Computer Science will "provide dynamic and accessible educational and co-curricular programs." UW-Whitewater's mission is to focus on "attracting and supporting academically motivated and involved students who demonstrate a strong work ethic and passion for success." The new major in Computer Science is well-aligned with that mission and will attract many academically motivated students as it provides a door to excellent career opportunities in an expanding world of technology applications.

In support of the UW-Whitewater Strategic Plan's focus on regional engagement that "strengthen[s] mutually beneficial partnerships within the University, within the UW System and

with external constituents,” the skills developed by the students and faculty in a Computer Science major will provide significant partnership opportunities with regional businesses and secondary schools, as well as with other UW System schools. The need for Computer Science expertise will continue to exist in the foreseeable future, and the new major at UW-Whitewater will allow for many joint ventures.

Program Assessment

The new major in Computer Science will be assessed using a five-point strategy:

- Student evaluations of each Computer Science course and each instructor will be conducted at the end of each semester.
- In courses numbered 300 and above, each student, as well as the course instructor, will be asked to complete an evaluation of the learning objectives of the course and the extent to which these objectives were covered by the course.
- Students in the advanced programming courses (MCS 231 and COMPSCI 223) and students in the capstone Software Engineering (COMPSCI 476) course will complete major programming projects as part of their work in the course. At the end of each semester, the instructors in these courses will write a review of some of the projects completed by the students in these courses.
- All students graduating with a major in Computer Science will participate in an exit interview conducted by the Coordinator of Computer Science.
- The program will track graduates from the Computer Science major. Periodically, these alumni will be asked to complete surveys indicating their career status and their evaluation of the strengths and weaknesses of their undergraduate education.

On an annual basis, a committee of Computer Science faculty will be appointed to summarize and review the assessment data collected in the previous year. The committee would compare its summary to the summaries from previous years to mark trends, spot areas of concern, and evaluate the effectiveness of the various courses and emphases within the major.

Need

There continue to be a large number of jobs available for graduates trained in Computer Science, and it is predicted that over the next decade, the US economy will be unable to fill the expected openings in computer technology careers. In particular, according to the Bureau of Labor Statistics, openings for Computer Software Engineer over the period 2008 to 2018 will increase to 175,000 in the United States. Among the top ten occupations with the most new jobs in the decade 2002 to 2012, the Bureau of Labor Statistics lists the six technology jobs of: computer systems analyst, computer software engineer (applications), computer software engineer (systems software), network systems and data communications analyst, network and computer systems administrator, and computer programmer. In addition, the Bureau also lists as the ten fastest-growing occupations for college graduates in the decade 2004 to 2014 the four technology jobs of computer software engineer (applications), computer software engineer (systems software), network and computer systems administrator, and database administrator.

There have been many reports in the press about computer jobs being outsourced and sent overseas. These reports refer mostly to computer programming jobs, an area in which it is easy to communicate exact task specifications to a distant worker. However, computer programming is only a small part of software engineering, which requires the design and implementation skills of a worker on site. The US economy is falling short of the skilled workers needed for these jobs. There are many high-profile companies eager to hire new graduates in Computer Science including Microsoft, Google, Amazon, and Epic, as well as many smaller, regional software development firms with their eyes on the ever-growing commercial software market.

Projected Enrollment (5 years)

Based on an enrollment pattern analysis of the Management Computer Systems major and projected enrollment in the proposed major at a rate of growth equal to the two-year-old Media Arts and Game Development major, the following estimates have been made for the growth of a new Computer Science major:

Table 1 – Projected Enrollment

Year	Implementation year	2nd year	3rd year	4th year	5th year
New students admitted	5	8	10	13	15
Continuing students	10	10	10	10	10
Total enrollment	15	18	20	23	25
Graduating students	5	8	10	12	15

Comparable Programs

In Wisconsin: Most comprehensive and private universities in the State of Wisconsin and in the United States offer majors in Computer Science, based on student and employer need. Of the programs in the UW System, the proposed major in Computer Science at UW-Whitewater is most similar to the ones at UW-Eau Claire and UW-La Crosse. Computer Science programs within the UW System are enrolled at capacity, and an analysis of baccalaureate programs offered in Science, Technology, Engineering and Mathematics (STEM) fields within the UW System shows some need for additional growth in this area. Marquette University, Carroll College, and Beloit College are three nearby private institutions with a major in Computer Science comparable to the proposed new major. UW-Whitewater will meet the need for additional growth to students in the southwest Wisconsin region.

Outside Wisconsin: Most comprehensive universities in the United States offer majors in Computer Science. Thus, there are programs available at virtually all campuses in neighboring states, both public and private.

Collaboration (inter-institutional)

There will be many opportunities to pursue collaboration once the new major is implemented. Potential sharing of courses across UW System institutions will give students a wider variety of subjects to study and allow for more efficient use of faculty and institutional

resources. There has already been an offer from Marquette University to discuss future collaborations with their existing program.

Diversity

Diversity remains a nation-wide problem in Computer Science. For example, only about 12 percent of students graduating with degrees in Computer Science are women. This was not always the case; in the 1980's, close to 40 percent of the Computer Science majors were women. Although there have been debates for years about why so few women and minorities choose to study Computer Science, the limited diversity means that those women and minority students who do finish a bachelor's degree in Computer Science have tremendous opportunities when they enter the job market. Unfortunately, according to the National Association for the Advancement of Colored People, a large percentage of women and minorities who enter technology jobs leave these jobs for other professions. This may well be due to the isolation these workers feel, making it all the more important to encourage more women and minorities to enter the field to counteract this trend. In response, the Department of Mathematical and Computer Sciences has fully supported the *CyberGirls* program, which brings area teenage girls to a computer camp to encourage them to consider technology majors in college. The department at UW-Whitewater already employs four women in its Computer Science faculty and is committed to finding adequate faculty role models for underrepresented minorities.

Both the UW-Whitewater and the UW System have stated strong commitments to Inclusive Excellence, an effort to establish a set of actions to focus specifically on fostering greater diversity, equity, inclusion, and accountability at every level of university life. The UW-Whitewater Select Mission and Strategic Plan make explicit reference to the need to improve diversity. The University's Inclusive Excellence Guidelines provide long-term goals for achieving a multicultural curriculum, for recruiting and retaining a diverse student body, faculty, and administrative staff, and for providing student support services specific to helping women and minorities in fields where they are traditionally underrepresented. The UW-Whitewater Equity Scorecard Project report of June 2007, and its Addendum from September 2009, carefully track trends in applications, acceptances, enrollment, retention, and graduation rates for minorities. In many areas, trends are encouraging, and in areas where they are not, the university is investigating what it can do to make improvements. Periodically, the university conducts a Campus Climate Survey to track attitudes toward diversity issues across campus, helping to monitor the effectiveness of its Diversity Plan.

The Computer Science faculty at the University of Wisconsin-Whitewater currently consists of eleven faculty. This group already shows considerable diversity, thereby offering important role models for students. Of the eleven faculty members, four are women, and only three are native-born American males. The faculty represents five different countries of national origin. Hiring practices of the department ensure that minority candidates are encouraged to apply and are given particular attention in the department's evaluation of potential candidates. The Management Computer Systems (MCS) major, with which the faculty teaching in the proposed major are closely affiliated, has had some success recruiting women and minority students through regular informational sessions offered to area high school students and to

students already on campus. Computer Science faculty will continue these recruitment efforts in cooperation with the other technology programs on campus.

Evaluation from External Reviewers

The UW–Whitewater proposal for a new major in Computer Science was reviewed by two academic evaluators with experience in curriculum evaluation. Both reviewers believe that the proposed major is a well-designed program meeting the high standards of professional Computer Science organizations. They concur that the need for the proposed program is great and that the program will serve to give students the technical background necessary for starting careers in computer-related fields.

There were some concerns regarding one- versus two- semester sequencing of complex course content. The reviewers suggested that the Software Engineering capstone course may be most beneficial to students as a two-semester course. Following this recommendation, the capstone course will be taught as a two-semester sequence when faculty have gained enough experience with the course to expand the offering to a second semester. Both reviewers also noted that the core courses Assembly Programming and Computer Organization may need to be combined into one semester. Doing so will make room to expand the Software Engineering course.

Following reviewer suggestions, the department plans to take advantage of the fact that it offers programs in both Mathematics and Computer Science. If enrollment targets in all concentrations cannot be met, curricular offerings will be adapted.

Resource Needs

The University of Wisconsin-Whitewater, having already invested heavily in support of the Management Computer Systems major, the Information Technology major, the Computer Science minor, and the Web Site Development and Administration minor, will be able to implement a new major in Computer Science with a minimal amount of additional investment. The Department of Mathematical and Computer Sciences already devotes seven full-time-equivalent (FTE) faculty to the support of the existing technology programs. It is expected that this allotment will need to increase by one-half FTE to support new courses for the new major in Computer Science. The need for additional FTE will be re-evaluated after the start-up phase. The current half-time project assistant position allocated in support of the Computer Science minor will support the Computer Science major.

There will be small increases of \$1,000 per year in supplies, no anticipated increases in capital equipment expenditures, and a small increase (\$2,000 the first year, and \$1,000 in subsequent years) for the purchase of additional software for new computer courses to be developed. All additional resources come from re-allocation and do not require additional revenue.

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.a.(3), authorizing the implementation of the Bachelor of Arts and the Bachelor of Science in Computer Science at the University of Wisconsin-Whitewater.

RELATED 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 UW System Policy on Academic Planning and Program Review

BUDGET: Estimated Total Costs and Resources

	First Year		Second Year		Third Year	
CURRENT COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff	7	\$493,976	7	\$508,795	7	\$524,059
Graduate Assistants						
Non-instructional Academic/Classified Staff	0.5	\$10,935	0.5	\$11,263	0.5	\$11,601
Non-personnel						
Supplies & Expenses		\$5,500		\$5,500		\$5,500
Capital Equipment						
Library		\$500		\$500		\$500
Computing		\$2,000		\$2,000		\$2,000
Other (Define)						
Subtotal		\$512,911		\$528,058		\$543,660
ADDITIONAL COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff	0.5	\$35,000	0.5	\$36,050	0.5	\$37,132
Graduate Assistants						
Non-instructional Academic/Classified Staff						
Non-personnel						
Supplies & Expenses		\$1,000		\$1,000		\$1,000
Capital Equipment						
Library						
Computing		\$2,000		\$1,000		\$1,000
Other (Define)						
Subtotal		\$38,000		\$38,050		\$39,132
TOTAL COSTS		\$550,911		\$566,108		\$582,792
CURRENT RESOURCES						
General Purpose Revenue (GPR)	7.5	\$512,911	7.5	\$528,058	7.5	\$543,660
Subtotal		\$512,911		\$528,058		\$543,660
ADDITIONAL RESOURCES						
GPR Reallocation (internal reallocation)	0.5	\$38,000	0.5	\$38,050	0.5	\$39,132
Subtotal		\$38,000		\$38,050		\$39,132
TOTAL RESOURCES		\$550,911		\$566,108		\$582,792

Program Authorization (Implementation)
Collaborative Online B.S. in Health Information Management and Technology
UW-Green Bay, UW-Parkside, and UW-Stevens Point

EDUCATION COMMITTEE

Resolution I.1.a.(4):

That, upon the recommendation of the Chancellors of the Universities of Wisconsin-Green Bay, -Parkside, and -Stevens Point, and the President of the University of Wisconsin System, the Chancellors be authorized to implement the Collaborative Online Bachelor of Science in Health Information Management and Technology.

NEW PROGRAM AUTHORIZATION

Collaborative Online Bachelor of Science Degree in Health Information Management and Technology

University of Wisconsin-Green Bay

University of Wisconsin-Parkside

University of Wisconsin-Stevens Point

With courses contributed by the **University of Wisconsin-La Crosse**
and administrative and financial support from **UW-Extension Division of Continuing
Education, Outreach and E-Learning**

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 collaborative, online Bachelor of Science (B.S.) Degree in Health Information Management and Technology (HIMT) at the University of Wisconsin-Green Bay, the University of Wisconsin-Parkside, and the University of Wisconsin-Stevens Point, with courses contributed by the University of Wisconsin-La Crosse and administrative and financial support from the University of Wisconsin-Extension, 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 four partner institutions, UW-Extension, and UW System Administration will conduct that review jointly, and the results will be reported to the Board.

The B.S. in Health Information Management and Technology was initiated as a part of the UW-Extension *Adult Student Initiative* (ASI), created to better serve adult and nontraditional undergraduate students in Wisconsin. Following the identification of a potential interest in a baccalaureate-level health information management and technology degree among adult and nontraditional students, UW-Extension conducted market research to ascertain the extent of employer and student need. The result of the research indicated interest from both employers and potential students, and was shared with all UW institutions. Based on the research results, the idea for a collaborative online program in health information management and technology, aimed at adult and nontraditional students, was proposed to interested UW institutions.

UW-Green Bay, UW-La Crosse, UW-Parkside, and UW-Stevens Point self-selected to work together to develop a collaborative, online degree program. During 2010–11, faculty representatives from the partner institutions convened in several retreats to develop the program outcomes, competencies, and curriculum. Industry representatives were invited to share their views on the value of this type of program. Adult and nontraditional students were consulted for their input into the structure of an undergraduate degree that would be most suitable to them.

Faculty representatives constructed the HIMT curriculum to meet the needs of adult and nontraditional students. During this development phase, faculty discussed the curriculum and

reviewed courses to minimize redundancies, clarified prospective student audiences, and discussed issues related to online course development, online pedagogy, and online student support services. UW-Extension staff coordinated the discussions and training sessions for institution faculty and representatives.

Following implementation, program administrators and an academic director from each collaborating institution will meet at least semi-annually to evaluate the progress of the program and to adjust it to changing needs and circumstances. Faculty teaching in the program will meet annually to discuss online course development, make adjustments to courses, and ensure that the curriculum is aligned with the learning outcomes for the program.

UW-Stevens Point is serving as the lead institution for the HIMT program and has coordinated the degree-approval process in conjunction with UW System guidelines. UW-Stevens Point will also lead the accreditation process with the Higher Learning Commission.

REQUESTED ACTION

Approval of Resolution I.1.a.(4), authorizing the implementation of a collaborative, online Bachelor of Science Degree in Health Information Management and Technology at the University of Wisconsin-Green Bay, University of Wisconsin-Parkside, and University of Wisconsin-Stevens Point, with courses contributed by University of Wisconsin-La Crosse, and administrative and financial support from University of Wisconsin-Extension.

DISCUSSION

Program Description

The Bachelor of Science in Health Information Management and Technology is designed to provide students with the knowledge and competencies required to work in the information sector of the healthcare industry, a rapidly expanding and evolving area of healthcare. New advances in health-related technologies, patient records, etc., bring with them new regulations and new concerns for privacy and security. Highly skilled professionals are needed to manage this area, and graduates of the HIMT degree program will be well-positioned to meet that need.

The collaborative, online HIMT degree-completion program represents a 60-credit major and is intended primarily for adult and nontraditional students. Graduates of the HIMT program will have the knowledge and skills necessary to:

- Apply information technology to improve overall quality of care for patients;
- Analyze work-flow systems, identify problems/issues, and research and implement IT solutions;
- Facilitate and lead systems change by collaborating with end-users and administrators to improve operating efficiencies;
- Manage the collection, reporting, and storage of data;
- Structure and report data for multiple audiences;
- Improve the exchange of medical data and information within organizations and among users;

- Assess and evaluate IT systems regarding life cycles, customizations, and general fit for organization needs; and
- Understand legal and ethical considerations in the application of health information technology.

To be eligible for admission to the program, students are required to have an associate degree or 60 equivalent, transferrable, college-level credits of coursework from a regionally or nationally accredited institution in accordance with ACIS 6.0, the University of Wisconsin System Transfer Policy (revised June 2011). Prerequisites for admission to the HIMT major will be Introductory College Algebra, Introductory Biology, and Introductory Communications, or their equivalents, passed with grades of C or better. Students entering the program must have a cumulative 2.0 GPA along with having satisfied the minimum general education breadth requirements in humanities and fine arts, natural science/mathematics, social science, and integrated studies, as determined by the general education and graduation requirements of their specific home institution. Students wishing to complete a baccalaureate degree entirely online may do so by entering through UW Colleges Online and then gaining admission to the online HIMT program.

Once students have satisfied the admission requirements above, they will then be eligible to apply to one of the three partner institutions—UW-Green Bay, UW-Parkside, or UW-Stevens Point—to serve as their home institution. UW-La Crosse will be assisting the program in providing faculty and courses, but will not serve as a home institution for the degree. Once admitted, students will receive financial aid, degree requirement counseling, and other services from their home institution.

Since this degree targets adult and nontraditional students, some individuals may seek credit for prior learning. Students seeking credit for prior learning will work with their home institution to determine the requirements for prior learning assessment in accordance with ACIS 6.0. The program will have an academic director at each institution who will assist in admissions decisions, review prior learning, coordinate faculty assignments for HIMT courses for which their respective institution is responsible, and jointly assess the program in conjunction with their fellow academic program directors.

Students will receive academic advising regarding admissions, graduation requirements, and financial aid through their home institution. Faculty and academic advisers at each institution will offer virtual office hours through online chat capabilities as well as by telephone and email. Students will have online library access through the home institution. A program manager for this degree will be housed at UW-Extension.

The HIMT program manager will work in concert with student services staff at the partner institutions to provide general program information, problem resolution, and career advising online, by phone, or in person for students near Madison. The program manager will be in close contact with the enrolled students and with the academic program directors to provide the hands-on active support that has been shown to be important for adult and nontraditional learners. Students enrolled in this program will have access to an extensive array of online

student services, including writing labs, learning readiness assessments, and career advising offered by UW-Extension, in addition to the services provided by their home institution.

Program Curriculum

The curriculum for HIMT consists of the 24 three-credit courses in the major as listed below. The HIMT curriculum has two tracks: Health Information Management (HIM) and Health Information Technology (HIT). All students will take 16 common core courses (48 credits), along with an additional four courses (12 credits) in their chosen track, to complete the degree. There are no electives. Interested students may choose to take courses in both tracks.

Students will take the curriculum in a sequence that reflects their desired area of emphasis in either HIM or HIT. Students must meet internal and external pre-requisites as they navigate the curriculum. The program's courses include basic theoretical information, but once students gain the basic knowledge, the content will be comprehended, applied, analyzed, synthesized, and evaluated using practical examples and issues. A capstone is to be taken as the last course of the HIMT degree program.

PROGRAM COURSE LIST

INSTITUTION

Core

HIMT 300 Survey of Contemporary Computing	UW-Green Bay
HIMT 310 Healthcare Systems and Organizations*	UW-Green Bay
HIMT 320 Survey of Information Technology in Healthcare	UW-La Crosse
HIMT 330 Healthcare I: Terminology and Body Systems	UW-Stevens Point
HIMT 340 Ethical Issues, Security Management and Compliance	UW-La Crosse
HIMT 350 Statistics for Healthcare	UW-Stevens Point
HIMT 360 Healthcare II: Survey of Disease and Treatments	UW-Parkside
HIMT 370 Healthcare Systems: Analysis and Design	UW-La Crosse
HIMT 380 Healthcare Billing, Coding, and Reimbursement	UW-Parkside
HIMT 400 Healthcare Information and Technology - Data	UW-Parkside
HIMT 410 Healthcare Systems: Implementation and Integration	UW-Parkside
HIMT 420 Healthcare Systems: Project Management*	UW-La Crosse
HIMT 430 Quality Assessment and Improvement	UW-Green Bay
HIMT 440 Group Processes, Team Building, and Leadership	UW-Green Bay
HIMT 450 Healthcare Information and Technology - Standards	UW-Parkside
HIMT 490 Capstone	UW-La Crosse

Healthcare Management Track

HIMT 355 Principles of Management for HIMT Professionals	UW-Green Bay
HIMT 365 Healthcare Economics	UW-Stevens Point
HIMT 415 Human Resource Management in Healthcare	UW-Green Bay
HIMT 445 Application of Leadership and Management in Healthcare Technology	UW-Parkside

Healthcare Technology Track

HIMT 345 Programming and Software Development	UW-Stevens Point
HIMT 375 Database Structures and Management Systems	UW-Stevens Point
HIMT 425 Data Warehousing and Mining	UW-Stevens Point
HIMT 435 Data Communications and Networks in Healthcare	UW-La Crosse

* Course designated and designed to meet the writing/communication emphasis in the major graduation requirements at the partner institutions.

Program Learning Outcomes

The HIMT program will prepare knowledgeable and skillful professionals to assume leadership positions within the public and private sectors. Within organizations, an HIMT professional will be able to manage and administer health information technologies that span across divisions, departments, and businesses.

Graduates of the HIMT program will be able to:

1. Demonstrate knowledge of healthcare billing, coding, and reimbursement policies;
2. Demonstrate knowledge of healthcare terminology and medical conditions;
3. Demonstrate knowledge of dynamic healthcare delivery systems and regulatory environments;
4. Apply principles of healthcare privacy, confidentiality, and data security, and address legal and ethical issues;
5. Apply critical and creative thinking, problem-solving, and effective inter-professional communication skills related to health information management;
6. Evaluate, use, and integrate information technology to support medical decision-making and processes;
7. Apply quantitative methodologies to process healthcare information;
8. Demonstrate the principles of leadership and management in the HIMT environment; and
9. Demonstrate the application of information technology in the HIMT environment.

Relation to Institutional Missions

The Bachelor of Science in Health Information Management and Technology contributes directly to the mission of the University of Wisconsin System by supporting the UW *Growth Agenda for Wisconsin*. The three components of the *Growth Agenda* are to increase the number of degree-holders in Wisconsin, increase the number of high-paying jobs, and build stronger communities. The HIMT degree contributes to all three components by providing a degree that is in demand, is supported by Wisconsin employers, and develops competencies that enable graduates to help Wisconsin employers meet growing needs in healthcare information fields. It is a degree targeted at adult and nontraditional students, and thus broadens access to higher education in Wisconsin.

At UW-Green Bay, the HIMT degree program relates closely to its mission by providing a strong emphasis on interdisciplinary study. Problem-focused educational experiences ready the graduate for the healthcare information technology environment.

At UW-Parkside, the HIMT degree program aligns well with its mission to build high-quality educational programs, creative and scholarly activities, and services responsive to its diverse student population. This degree supports the university's local, national, and global

communities mission, and its goals to utilize technology creatively and effectively in courses, programs, and services.

For UW-Stevens Point, the HIMT degree program builds on the university's mission to provide undergraduate professional programs based on a strong foundation of liberal studies. The degree complements and builds on the synergy between already existing programs, such as Health Care Informatics and Computing and New Media Technologies, and it helps address the urgent need for local healthcare informatics professionals. Also, the HIMT degree aligns with the strategic efforts of UW-Stevens Point to create and develop interdisciplinary programs with wide audiences and promising market perspectives.

The ability to provide educational outreach through online learning opportunities, while expanding relationships with the UW comprehensive institutions, makes partnership in offering the HIMT program a perfect fit for the mission of UW-Extension.

Program Assessment

The assessment of student learning outcomes for the HIMT program will be managed by an Assessment Team comprised of the four academic program directors and one faculty representative from each partner institution, for a total of eight members. This team will also serve as the oversight and decision-making body for the program. The team will identify and define measures and establish a rubric for evaluating how well students are meeting the program's nine learning outcomes. It will further identify what data will be needed and be the collection point for the data.

During the first three years of the program, formative evaluation will examine specific course learning outcomes. Formative evaluation will continue to occur on a three-year cycle following the completion of the first round of summative evaluation aligned with the nine program learning outcomes. Summative evaluation will occur for the first time following the graduation of the first ten students, focusing on their collective experience over the years each needed to complete the degree.

The Assessment Team will receive feedback from a Health Information Management and Technology Advisory Board, composed of employers and agency representatives, to assess how well program graduates are prepared when they enter employment after graduation. Program graduates will be surveyed to determine success in securing employment related to the major, and the types of roles and careers that graduates have entered. The team will also receive data collected by UW-Extension each semester. UW-Extension will collect and monitor data on new enrollments, retention rates, and graduation rates. Since this program is part of the *Growth Agenda* and the *Adult Student Initiative*, student demographics will be collected to determine whether the degree is reaching adult students, and whether students in the program are part of a traditionally underserved demographic (as defined by the UW System).

The Assessment Team will compile the above-mentioned data into an annual report. The report will be shared with the program faculty and other stakeholders. Decisions of the Assessment Team will go through the normal curricular processes at each partner institution.

The Assessment Team is responsible for ensuring that recommendations for improvement are implemented. The team will also have responsibility for seeking national accreditation for the program. The partner institutions intend to pursue accreditation by the Commission on Accreditation for Health Informatics and Information Management Education. The resulting credential will benefit students who complete the degree and are seeking employment.

Student services, instructional, and business office personnel from each institution will also meet annually to review processes and concerns, and to make adjustments as necessary. Program evaluation regarding the collaborative nature of the model will help assess processes critical to the success of the collaboration, such as the financial model, student recruitment and advising, admission and enrollment processes and trends, and curriculum design.

Need

The United States spends the equivalent of 16 percent of the gross domestic product on healthcare, and healthcare is the fastest growing job market in the country. There is a need for well-educated individuals who can contribute to economic development through a focus on health information management and health information technology. This is particularly pertinent in Wisconsin, which has a broad range of healthcare providers, insurers, and agencies that are spread across the state, and where HIMT programs are not available through any UW institutions to provide education and training for workers in the health information sector of the industry.

In accordance with a 2009 study by the Bureau of Labor Statistics, the following findings were factors in the development of the HIMT degree:

- The health information management occupation outlook is excellent.
- There is minimal competition regionally and nationally for this type of degree.
- The growth outlook is anticipated at about 16 percent—roughly 43,000 new jobs nationally, 3,416 regionally (WI, MN, IL), and 730 in Wisconsin, created between 2006–2016 (BLS, 2009).
- The increase in the number of jobs in healthcare by 2016 will be the result of the following:
 - Shifting demographics;
 - An aging population;
 - The American Recovery Reinvestment Act, providing \$20 billion to healthcare for electronic records and more Medicaid and Medicare increases to healthcare facilities that demonstrate meaningful use and improvement in electronic records (AARA, 2010)

Additional information obtained from Economic Modeling Specialists Incorporated shows:

- 1,225 new positions needed by 2018 in medical health services and management in WI.

Projected Enrollment (five years)

It is anticipated that the program will have strong enrollment growth in the early years, with the rate of growth leveling in the third through fifth years, then picking up again once the first graduates enter the workplace. The five-year enrollment projection patterns shown in the

following table are consistent with those of adult and nontraditional students in other University of Wisconsin System online programs. It is anticipated that the attrition rate will be moderate—approximately 15 percent—for students moving from their first year to their second year in the program, but low—less than 10 percent—as they progress beyond their second year.

Table 1 – Projected Enrollment

Students/Year	Year 1	Year 2	Year 3	Year 4	Year 5
New	56	87	108	51	154
Continuing		48	135	243	246
Total	56	135	243	294	400
Graduating				48	87

The projections in this chart are based on actual enrollment data from similar, existing collaborative degree programs. Based on that data, it is projected that most students will enroll part-time and take an average of six courses per year. The projections further assume that all students who remain in the program after their first year will graduate—90 percent within four years and 100 percent within five years, or 76 percent and 85 percent, respectively, of the students entering the program.

Comparable Programs

The most similar undergraduate programs in the UW System are at UW-Milwaukee, where an undergraduate certificate program in healthcare informatics is offered (UW-Milwaukee certificate program, 2009), and at UW-Stevens Point, where an undergraduate major with a healthcare informatics option is offered (UW-Stevens Point, 2009). Both of these programs are offered in the face-to-face format. A face-to-face graduate program in healthcare informatics is also offered at UW-Milwaukee (UW-Milwaukee graduate program, 2009).

Similarly titled degrees nationally include those granted by St. Scholastica in Minnesota, University of Illinois at Chicago, and some of the for-profit education providers such as DeVry and Herzing, although these schools focus more on the associate degree.

Collaboration

The Health Information Management and Technology program is only possible through collaboration. The three institutions serving as home institutions to students will jointly develop, approve, and offer the HIMT curriculum. The University of Wisconsin-La Crosse will contribute courses and participate in program assessment. Each institution will offer five to six courses each fall and spring, depending on enrollment. All institutions will share equally in the academic oversight of the degree through collaboration of the Academic Program Directors, providing administrative support, student services, and financial management. UW-Extension will provide administrative support, financial investment, fiscal management, technical support, and selected student services for students at all partner institutions. All of the courses and the program curriculum have been approved through the usual governance processes at each institution. All partners will share equally in net revenues.

Diversity

This degree is designed to serve adult and nontraditional student populations. Many students of color, first-generation Americans, first-generation college students, and low-income students often have family or work responsibilities that prevent them from attending college immediately after high school or in traditional formats. The online delivery method provides access for individuals who live at a distance from residential institutions, or who have various home responsibilities that prevent them from attending classes during traditional day programs. Many adult, nontraditional, and minority students work in the health professions, and this degree allows them to complete a relevant program in a format that enables them to continue to work and attend to other responsibilities.

Recruitment and marketing efforts for this degree will focus on underrepresented populations. UW-Extension will advertise this program in minority-focused newspapers, periodicals, e-lists, and websites. UW-Extension has several initiatives currently underway to attract more students of color into the UW System. For example, UW HELP brochures that focus on attracting Hispanic and Hmong students to the UW are sent to community organizations. Student recruiters work with employers to encourage them to support the education of their employees, especially underrepresented minorities. UW-Extension will develop marketing plans designed to reach specific cultural/ethnic audiences. The partner institutions are committed to recruiting for diversity among their faculty. Currently, there is near equity in the gender distribution of faculty.

In addition, the program will establish a Health Information Management and Technology Advisory Board to work closely with employers to encourage them to send their employees through this program. The Advisory Board will invite representation from minority-owned businesses. Their input will be important to ensure that the program reaches out to people of color and other under-represented groups.

Evaluation by External Reviewers

Two external reviewers commented on the program positively. One reviewer noted the need for this type of program:

In addition, this need can be strongly supported from another study done by Haux (2006) in his article entitled “Health Information Systems – Past, Present, Future,” which was published in the *International Journal of Medical Informatics*. “Another immediate consequence...is the need for appropriate education in medical informatics, respectively, health informatics or biomedical informatics...” Consequently, it is this reviewer’s belief that individuals who understand both information technology management and the healthcare industry are likely to be highly marketable and employable.

The second reviewer noted:

The proposal correctly notes that HIM is a growing area and that additional trained staff is necessary. The proposed curriculum follows the model, overall, of existing programs. The proposal would benefit from additional detail regarding the planned career paths of graduates . . .

The program proposers have worked to identify specific career paths and will incorporate these into marketing and program materials.

Resource Needs

The initial development and implementation of the program will be funded by 2007–09 *Growth Agenda* GPR funding for the UW-Extension *Adult Student Initiative*. These funds will provide startup resources until the program can be self-supporting. The budget is built on the program becoming self-supporting within six years of implementation. UW-Extension is underwriting the investment to develop the program’s 24 courses and will also fund UW institutions and UW-Extension program support costs until the program begins to generate revenues in excess of expenses. Thus, current and additional costs will be funded through a combination of GPR and program revenues. In the budget chart on the next page, “additional costs” will be covered by resources and additional FTE allocations from UW-Extension to either buy out current faculty time or provide resources to allow faculty to teach overload. Revenue surpluses will be shared equally among the participating partners. This budget model is based on projections using enrollment data from the collaborative, online Bachelor of Science in Sustainable Management program, approved by the Board of Regents in May 2009.

Program tuition for Health Information Management and Technology courses will be set at \$395/credit for 2012–2013 and will be identical at each of the partner institutions. This tuition rate is based on market demand estimates, as well as comparisons with other online programs in the UW System and nationally. When determining tuition rates, every effort was made to be as sensitive as possible to the needs of students, keeping in mind the escalating costs of higher education. For the purpose of budgeting, it was estimated that tuition will increase at a rate of 4 percent per year; however, this will be adjusted per UW System guidelines. It is important to note that students will not be charged any additional fees as part of the program, except for the costs of their books. If students live near their home institution and wish to pay segregated fees for the use of recreational and other facilities, they may do so. They will need to work directly with their home institution to make these arrangements. However, students will not be required to pay the segregated fees if they do not take advantage of those resources.

Because this will be a collaborative program, the course development and teaching load is shared equally among the four partner institutions. Full-time-equivalent (FTE) faculty to teach in this program will be reallocated from each institution, and no new faculty positions are required. The partner institutions are guaranteed that initial funding from UW-Extension will cover the costs of faculty teaching in this program during the first five years. As the program grows and additional faculty positions are needed, their salary costs, including fringe benefits, will be covered by program revenue to ensure full cost recovery. Some costs—such as costs to convert classes to online formats—will decrease over time as the online conversion and

development process is completed. Other costs—such as faculty instruction—will increase over time as more classes are taught or as new sections are added.

Program costs include compensation for an academic director at each institution and for faculty who teach the courses each term; for staff providing continuing education and outreach support at each institution; for one academic staff at UW-Extension to manage the administrative aspects of the collaboration and one academic staff person to provide student service coordination; and for instructional technology staff to design, develop, update, and maintain the online courses. Non-personnel costs include funds for supplies and expense dollars to support each course section, funds to each institution for regional marketing, and funds to UW-Extension for state and national marketing.

BUDGET: Estimated Total Costs and Resources

	FY 2012–13		FY 2013–14		FY 2014–15	
CURRENT COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff	1.000	\$140,000	1.000	\$140,000	1.000	\$142,800
Academic/Classified Staff	4.50	\$527,160	4.50	\$537,720	2.000	\$151,410
Non-personnel		0		0		0
Subtotal	5.50	\$667,160	5.50	\$677,720	3.000	\$294,210
ADDITIONAL COSTS						
Personnel						
Faculty/Instructional Staff	3.75	\$273,000	6.0	\$462,000	7.625	\$629,300
Academic/Classified Staff	0.75	\$79,840	1.25	\$134,560	2.50	\$354,560
Other (S&E)		\$287,000		\$246,000		\$255,000
Subtotal	4.5	\$639,840	7.25	\$842,560	10.125	\$1,238,860
TOTAL COSTS	10.0	\$1,307,000	12.75	\$1,520,280	13.125	\$1,533,070
CURRENT RESOURCES						
Adult Student Initiative		\$1,051,040		\$856,080		\$298,150
Subtotal		\$1,051,040		\$856,080		\$298,150
ADDITIONAL RESOURCES						
Program Revenue—tuition		\$255,960		\$664,200		\$1,234,920
Subtotal		\$255,960		\$664,200		\$1,234,920
TOTAL RESOURCES		\$1,307,000		\$1,520,280		\$1,533,070

In Phase One of the program, the initial or startup funding for the HIMT degree will be provided by the *Growth Agenda* GPR funding for the UW-Extension *Adult Student Initiative*. In Phase Two, as the program attracts more students, the degree will be generating program revenue, which will be applied toward program costs. Any deficits during Phase Two will be absorbed by UW-Extension. In the third phase, program revenues generated will exceed program costs. In this phase, the excess of revenues over costs will be shared equally among the partner institutions and UW-Extension. This return of capital to UW-Extension will be used to fund additional new programs.

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.a.(4), authorizing the implementation of the collaborative, online Bachelor of Science Degree in Health Information Management and Technology at the University of Wisconsin-Green Bay, the University of Wisconsin-Parkside, and the University of Wisconsin-Stevens Point, with courses contributed by the University of Wisconsin-La Crosse, and administrative and financial support from the University of Wisconsin-Extension.

RELATED 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 UW System Policy on Academic Planning and Program Review

EDUCATION COMMITTEE

Resolution I.1.c.:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Parkside and the President of the University of Wisconsin System, UW-Parkside be authorized to establish three new colleges: the College of Arts and Humanities, the College of Natural and Health Sciences, and the College of Social Sciences and Professional Studies.

ESTABLISHMENT OF UNIVERSITY OF WISCONSIN-PARKSIDE COLLEGES

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0 Revised April 2010), the proposal for a reorganization of UW-Parkside's academic structure is presented to the Board of Regents for consideration. ACIS-1.0 requires that any request by a UW institution to "establish a College or School" receive Board approval. UW-Parkside requests approval to establish three new colleges: the College of Arts and Humanities, the College of Natural and Health Sciences, and the College of Social Sciences and Professional Studies.

As part of an overall reorganization of its academic structure, the establishment of the three new colleges is requested by the Chancellor and Provost, and was approved by the UW-Parkside Faculty Senate on October 25, 2011.

REQUESTED ACTION

Approval of Resolution I.1.c., authorizing the establishment of three new colleges at UW-Parkside: the College of Arts and Humanities, the College of Natural and Health Sciences, and the College of Social Sciences and Professional Studies.

DISCUSSION

UW-Parkside's current academic structure is comprised of a very large College of Arts and Sciences and a smaller School of Business and Technology. In order to provide more focused leadership in support of the university's academic departments and programs, UW-Parkside proposes to: 1) eliminate the College of Arts and Sciences (for which Board approval is not required); and 2) create three new colleges—the College of Arts and Humanities, the College of Natural and Health Sciences, and the College of Social Sciences and Professional Studies; and 3) rename the School of Business and Technology the College of Business and Technology (for which Board approval is not required). The proposed reorganization will redistribute the administrative workload and provide for more effective advocacy for academic disciplines. The deans of the new colleges will be charged with implementing UW-Parkside's academic plan, with the goal of developing new academic programs in response to the needs of the region and increasing enrollments through focused efforts on recruitment, retention, and graduation.

The reorganization plan has two phases. In the first phase, beginning in Fall 2012, the College of Arts and Sciences will be divided into the College of Natural and Health Sciences and the College of Arts and Humanities, with a Division of Social Sciences temporarily under Arts and Humanities. Beginning in Fall 2013, the College of Social Sciences and Professional

Studies will be established and will include the new Department of Education, which will be responsible for teacher education.

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.c., authorizing the establishment of three new colleges at UW-Parkside: the College of Arts and Humanities, the College of Natural and Health Sciences, and the College of Social Sciences and Professional Studies.

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 UW System Policy on Academic Planning and Program Review

UW SYSTEM INSTITUTE FOR URBAN EDUCATION

EXECUTIVE SUMMARY

BACKGROUND

In May 2011, UW System President Kevin P. Reilly convened the President's Advisory Committee on the Roles of UW System Administration, charged with considering how UW System Administration might best be reorganized in order to better serve core stakeholders, including the Board of Regents, UW System institutions, and the people of Wisconsin. The Advisory Committee completed its charge with a report submitted to President Reilly in August; the President then prepared a written response to the report. At its September 8, 2011 meeting, the Board of Regents discussed both the Report of the President's Advisory Committee on the Roles of UW System Administration, and President Reilly's response to the Advisory Committee Report. The Board endorsed President Reilly's response and expressed its strong support for the policy changes and actions recommended in the response.

Included in President Reilly's response was the recommendation to decentralize those working groups and programs, currently housed in the Office of Academic Affairs, which could be better led and supported by individual UW institutions with the interest and expertise to help the entire UW System address new higher education challenges.

At its December 8 meeting, the Board of Regents Education Committee will be consulted on a proposal to transfer one such program—the UW System Institute for Urban Education—to a UW institution.

REQUESTED ACTION

For information only; no action requested at this time.

DISCUSSION

The UW System Institute for Urban Education (IUE) was created in response to the need expressed by members of the Board of Regents and identified by the UW System Deans of Education to better prepare teachers to work effectively in urban settings. The Institute received GPR/Fee funding as a part of the System's 2007-09 biennial budget and was implemented in 2007. Since then, 125 student teachers representing eight UW institutions (including UW-Eau Claire, UW-La Crosse, UW-Madison, UW-Oshkosh, UW-Platteville, UW-River Falls, UW-Stevens Point, and UW-Whitewater) have been enrolled in the institute. The IUE has been administered by the Office of Academic Affairs as a part of its PK-16 initiatives, which view higher education and PK-12 schools as components of an interdependent educational system.

The Institute was originally conceived to focus on three related components: a capstone pre-service offering; professional development for practicing educators; and research and policy. The capstone pre-service offering is the most fully developed component of the IUE and provides a culminating student teaching experience in an urban setting (i.e., schools where

racial/ethnic diversity, poverty, and the presence of significant student achievement gap is the norm rather than the exception); a concurrent seminar devoted to building the proficiencies of the teacher candidates to teach effectively in these settings; and various community experiences that allow future educators the opportunity to learn about the communities in which they are working and living. Currently, the Milwaukee Public School System is the major district for placements; however, the plan is to expand placements into other urban areas that reflect the core indicators of an urban school.

The professional development component of the IUE has been less formalized. Over the history of the IUE, various offerings have been provided in response to direct requests from districts. While there is currently no formal, on-going professional development operation within the IUE, it is anticipated that this aspect of the Institute will be developed further with the transfer of the IUE from the UW System Office of Academic Affairs to a UW institution. The research and policy component of the IUE is the least developed. It was originally intended as a forum for generating a cohort of urban scholars dedicated to advancing applied research practices in classrooms, schools, and districts. It is anticipated that in transferring the IUE to a UW institution, this component will also be further developed.

In concert with the President's response to the Advisory Committee on the Roles of UW System Administration, there is consensus among the UW System Deans and System leadership that it is time to move the Institute for Urban Education to a host institution. While the most immediate need is to find a UW institution that can provide a seamless transition for the capstone offering (i.e., the student teaching, seminar and community experience), the host institution will also need to demonstrate capacity to expand implementation to the remaining two components, and to retain the systemwide access currently available to all UW institutions interested in having their students participate. UW institutions interested in hosting the IUE will be asked to submit a proposal beginning in early 2012, and a decision will be made soon thereafter by the Senior Vice President for Academic Affairs, with input from the UW System Provosts, Education Deans, and appropriate System staff.

RELEVANT REGENT AND UW SYSTEM POLICIES

None.

November 30, 2011

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.2. Business, Finance, and Audit Committee

Thursday, December 8, 2011
University of Wisconsin-Madison
Varsity Hall I, Union South
Madison, Wisconsin

9:30 a.m. All Regents – Varsity Hall II

1. Calling of the Roll
2. Welcome to New Regents
3. UW-Madison Presentation by Interim Chancellor David Ward:
“A Strategic Approach to Resource Stewardship”
4. Presentation by Terrence MacTaggart, former CEO, Minnesota State
University System and University of Maine System: “Regent
Responsibilities and Leadership Role in a Time of Change”
5. Report of the President of the Board
 - a. Educational Communications Board, Higher Educational Aids Board,
Hospital Authority Board, and Wisconsin Technical College System
Board reports
 - b. Interim Report of Ad Hoc Committee on Board Responsibilities

12:00 p.m. Lunch – Varsity Hall III

1:00 p.m. Joint Meeting of the Business, Finance, and Audit Committee and the Education
Committee – Varsity Hall II

- a. The University of Wisconsin School of Medicine and Public Health: The
Wisconsin Partnership Program—Acceptance of the 2010 Annual Report
- b. Operations Review and Audit: Program Review on Students with Disabilities
- c. UW-Milwaukee Contractual Agreement with CERNET Education Development
Co., LTD
[Resolution I.2.c.]

1:45 p.m. Joint Meeting of the Business, Finance, and Audit Committee and the Capital Planning and Budget Committee – Varsity Hall I

- UW-Madison Presentation: “Resource Stewardship: Administrative Excellence”
- UW-Eau Claire: Master Plan Update

2:30 p.m. Business, Finance, and Audit Committee – Varsity Hall I

- d. Operations Review and Audit
 1. Compliance Review of the Implementation of Family Educational Rights and Privacy Act (FERPA) Regulations
 2. Quarterly Status Update
 3. Discussion of the Draft Operations Review and Audit Plan for 2012
- e. Trust Funds
 1. Investment Policy Statement Review and Affirmation
[Resolution I.2.e.1.]
- f. Committee Business
 1. Approval of the Minutes of the October 6, 2011 Meeting of the Business, Finance, and Audit Committee
 2. UW-Madison Contractual Agreement with Sunovion Pharmaceuticals, Inc.
[Resolution I.2.f.2.]
 3. Report on Quarterly Gifts, Grants, and Contracts (1st Quarter)
- g. Report of the Senior Vice President
 1. Status Update on Implementation of Act 32 Flexibilities
 2. Human Resources System Status Update

WISCONSIN PARTNERSHIP PROGRAM 2010 ANNUAL REPORT

EXECUTIVE SUMMARY

BACKGROUND

The Wisconsin Insurance Commissioner's Order (Order) of March 2000 approved the conversion of Blue Cross and Blue Shield United of Wisconsin to a for-profit stock corporation, and the distribution of the proceeds from the sale of stock to the UW School of Medicine and Public Health (UW SMPH) and the Medical College of Wisconsin. In accordance with the Order, thirty-five percent of the funds were allocated for public health initiatives and sixty-five percent for education and research initiatives to advance population health. The Wisconsin United for Health Foundation, Inc. (WUHF), was created by the Insurance Commissioner to oversee the distribution of the proceeds, to approve the first Five-Year Plan (2004-2009) of each school, and to review subsequent five-year plans, annual reports on expenditures, and financial and program audits.

The Order required the UW System Board of Regents to create an Oversight and Advisory Committee (OAC) consisting of four public members (health advocates), four UW SMPH representatives appointed by the Regents, and one member appointed by the Insurance Commissioner. In accordance with the Order, the OAC is responsible for directing and approving the use of funds for public health. The committee also reviews, monitors, and reports to the Board of Regents through the annual reports on the funding of education and research initiatives.

The UW SMPH, in collaboration with the OAC, developed the inaugural Five-Year Plan (2004-2009) describing the uses of the funds. The plan also called for the appointment of the Medical Education and Research Committee (MERC) by the UW SMPH to be composed of a cross-section of the faculty, representatives of the OAC, and leaders of the UW SMPH, to direct and approve the allocation for education and research initiatives.

Following approval of the Five-Year Plan by the Board of Regents in April 2003, the plan was reviewed and subsequently approved by WUHF in March 2004. Immediately thereafter, WUHF transferred the funds to the UW Foundation for management and investment based on the Agreement between the UW Foundation, the Board of Regents, and WUHF. Since March 2004, the OAC and the MERC, collectively known as the Wisconsin Partnership Program (WPP), have been engaged in seeking proposals from community organizations and faculty, respectively, and in making awards in accordance with the Order, the Five-Year Plan, and the Agreement. During 2008, the UW SMPH, in collaboration with the OAC and the MERC, developed the second Five-

Year Plan (2009-2014), which was presented to and approved by the Board of Regents on December 4, 2008.

As required by the Order and the Agreement, the UW SMPH, in collaboration with the OAC, must develop annual reports on the WPP's activities and expenditures of funds for review by the Board of Regents. At the December 2011 meeting of the Board of Regents, the Business, Finance, and Audit Committee and the Education Committee will convene jointly to review the 2010 Annual Report of the Wisconsin Partnership Program.

REQUESTED ACTION

No action required; for information purposes only.

DISCUSSION

In accordance with the Wisconsin Insurance Commissioner's Order and the Agreement between the UW Foundation, the Board of Regents and WUHF, the 2010 Annual Report of the Wisconsin Partnership Program (WPP), covering the activities and expenditures from January 1, 2010 through December 31, 2010, is presented to the UW System Board of Regents. The Annual Report describes the activities leading to the awarding of grants by the Oversight and Advisory Committee (OAC) and by the Medical Education and Research Committee (MERC) for projects that advance population health in Wisconsin.

2010 in Brief

Supporting the Lifecourse Initiative for Healthy Families (LIHF): The WPP continued its support of the *Lifecourse Initiative for Healthy Families*, a major strategic initiative to improve birth outcomes among African-Americans in Wisconsin, with a focus on the southeastern part of the state. The Program has committed \$10 million to improving conditions that will lead to more healthy births. In 2010, the OAC awarded grants totaling \$830,000 to coalitions in Beloit, Kenosha, Milwaukee, and Racine to support creation of community action plans aimed at addressing the root causes of infant mortality. As a result of the commitment of the WPP, diverse groups have come together in each of the affected communities to join in this comprehensive effort to reduce an infant mortality rate that is among the worst in the nation.

Supporting Community-Academic Partnerships: In December, 2010, the OAC made 14 grant awards worth \$2.1 million to community-academic partnerships focused on improving health in Wisconsin communities. The OAC provides funding to Wisconsin community-based organizations in partnership with the UW SMPH faculty for prevention and wellness projects that promote the goals of the state health plan and adhere to the WPP's mission, vision, and guiding principles. Programs funded addressed

important topics, such as improving access to care, bringing dental care to underserved areas, promoting physical activity and healthy weight, and preventing alcohol abuse. The programs included a mix of urban, rural, and statewide projects.

Investments in Wisconsin's Health: The MERC made five grant awards in 2010, supporting applied public health, clinical, and basic sciences research. These projects include an obesity program in Milwaukee's Hispanic community; continued support of a centralized biobank to serve the entire UW SMPH research community; and initiatives aimed at innovative treatment approaches to cystic fibrosis, asthma, and breast cancer. MERC's awards emphasize a balanced portfolio of investments which support the exploration of both the biological and environmental determinants of health and disease.

Strategic Planning: In November, 2010, members of the OAC and MERC convened a strategic planning meeting. After reviewing the progress made in implementing the 2009-2014 Five-Year Plan, the discussion focused on increasing collaboration between the two committees and promoting community engagement, with specific emphasis on the LIHF program. The intention of the WPP is to use the complementary expertise of the committees to drive multi-faceted approaches to major health challenges. The meeting also included a discussion of how to measure the impact of the WPP on the health of the people of Wisconsin—a major objective as the WPP moves toward development of the next Five-Year Plan.

Measuring Outcomes: twenty-eight projects concluded in 2010. These projects addressed a broad range of health issues, including childhood nutrition and physical activity, cancer disparities among Latinas, HIV research, and fall prevention among seniors. Outcome reports, which are available in the appendix to the Annual Report, provide a description of each concluded project, including results and plans for sustainability and dissemination.

Conclusion

The Wisconsin Partnership Program concludes in its annual report that it has been successful in calling attention to the major public health challenges in the state by undertaking strategic initiatives, such as the *Lifecourse Initiative for Healthy Families*, and by engaging communities as full partners in the search for effective outcomes. By bringing together the collective expertise, commitment, and passion of community organizations and faculty and staff, the WPP intends to build a healthier Wisconsin for all through investments in research, education, prevention practices and interventions, and policy development.

RELATED REGENT POLICIES

None

The Wisconsin Partnership Program
2010 Annual Report and Appendix
are available here:

http://www.wisconsin.edu/bor/agenda/2011/december_report.pdf

**REVIEW OF REGENT POLICY DOCUMENT 14-10,
NONDISCRIMINATION ON THE BASIS OF DISABILITY
FROM THE OFFICE OF OPERATIONS REVIEW AND AUDIT**

EXECUTIVE SUMMARY

BACKGROUND

The Office of Operations Review and Audit provides objective review and analysis services in order to add value to, protect, and strengthen the University of Wisconsin System. In accordance with the *2011 Review and Audit Plan*, as approved by the Business, Finance, and Audit Committee of the Board of Regents of the University of Wisconsin System (the UW System), the Office of Operations Review and Audit conducted an audit related to select UW System policies affecting students with disabilities.

REQUESTED ACTION

This item is for information only.

DISCUSSION

The Board of Regents established a policy regarding *Nondiscrimination on the Basis of Disability* (RPD 14-10), dated December 6, 1996. The policy commits UW System institutions to ensuring individuals with disabilities have full access to its programs, services, and activities in compliance with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disability Act (ADA) of 1990.

The purpose of this internal audit was to evaluate UW institution compliance with RPD 14-10 and the related *Guidelines for the Implementation of the University of Wisconsin System Policy on Individuals with Disabilities* (the Guidelines), including evaluating requirements in higher risk areas most likely to result in noncompliance or negative impacts to the UW System. During this engagement, site visits were performed at six institutions, including UW-Madison, Milwaukee, River Falls, Stout, Whitewater, and UW Colleges. Coordinators of Services for Students with Disabilities (CSSDs) and ADA Coordinators were interviewed at each of these institutions, and students receiving services were interviewed at four of these six institutions. Additionally, residence life, facilities management, equity and diversity, and other institution staff were interviewed, along with representatives from Chancellors' advisory committees on disability issues. Further, perspectives and insights were obtained from UW System Administration staff in the offices of Academic Affairs, Budget and Planning, and General Counsel.

Based upon procedures performed, UW institutions visited during our audit appeared to be substantially meeting the intended policy objectives of complying with the ADA and Section 504 of the Rehabilitation Act and providing disabled students with equal access to university programs and services. However, we identified five observations and recommendations intended to improve the efficiency of operations and minimize risk of noncompliance to the UW System, its colleges, universities, and extension.

RELATED REGENT POLICIES

Regent Policy Document 14-10, *Nondiscrimination on Basis of Disability*



Review of Regent Policy Document 14-10, *Nondiscrimination on the Basis of Disability*

Office of Operations Review and Audit

Report Control #2011-11

November 18, 2011

TABLE OF CONTENTS

	<u>PAGE</u>
EXECUTIVE SUMMARY	1
OBJECTIVE, SCOPE, AND AUDIT APPROACH	2
BACKGROUND INFORMATION	3
OBSERVATIONS AND RECOMMENDATIONS.....	4
OBSERVATION 1: SUFFICIENCY OF FACULTY AND STAFF TRAINING.....	4
OBSERVATION 2: UW SYSTEM DOCUMENTATION REQUIREMENTS	5
OBSERVATION 3: DISABILITY SERVICES DATA REPORTING	7
OBSERVATION 4: GRIEVANCE POLICIES AND PROCEDURES.....	8
OBSERVATION 5: STUDENT ACCESS TO DISABILITY SERVICES	10
CONCLUSION.....	11

EXECUTIVE SUMMARY

In accordance with the *2011 Review and Audit Plan*, as approved by the Business, Finance, and Audit Committee of the Board of Regents of the University of Wisconsin System (the UW System), the Office of Operations Review and Audit conducted an audit related to select UW System policies affecting students with disabilities.

The Board of Regents established a policy regarding *Nondiscrimination on the Basis of Disability* (RPD 14-10), dated December 6, 1996. The policy commits UW System institutions to ensuring individuals with disabilities have full access to its programs, services, and activities in compliance with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disability Act (ADA) of 1990. The purpose of this internal audit is to evaluate UW institution compliance with RPD 14-10 and the related *Guidelines for the Implementation of the University of Wisconsin System Policy on Individuals with Disabilities* (the Guidelines), including evaluating requirements in higher risk areas most likely to result in noncompliance or negative impacts to the UW System.

Our office completed a prior review of compliance with RPD 14-10 (known as RPD 96-6 at the time of review) in 1999, which was three years after the last revision to the RPD. That report contained 22 recommendations for improving compliance with Board policy. Since issuance of that report, UW-System Administration issued the Guidelines to further assist institutions with the implementation of the Board of Regents policy. The Guidelines, the overall progress of disability services as required by ADA, and the expertise and dedication of disability services staff have collectively resulted in significantly greater compliance with UW System policies since our prior review.

As identified within the *Conclusion* section of this report, based upon procedures performed, UW institutions appear to generally be meeting the Board's intended policy objective of providing equal access to university programs and services for students with disabilities. However, our review identified five observations, which have been included within the *Observations and Recommendations* section of this report as follows:

- Observation 1: Sufficiency of Faculty and Staff Training
- Observation 2: UW System Documentation Requirements
- Observation 3: Disability Services Data Reporting
- Observation 4: Grievance Policies and Procedures
- Observation 5: Student Access to Disability Services

We recommend that University management carefully consider each observation and recommendation in order to mitigate the potential for noncompliance in the future and to enhance its delivery of accommodations to students with disabilities. A separate letter has been provided to each institution providing further details regarding the applicability of identified observations and recommendations.

OBJECTIVE, SCOPE, AND AUDIT APPROACH

The objective of this audit was to evaluate compliance with key components of RPD 14-10 and the Guidelines, and to verify that UW System policies reflect amendments to the ADA. Our procedures were determined by evaluating current Board policy, reviewing the Guidelines, and assessing where risk of noncompliance exists, and included the following:

- Obtaining an understanding of significant federal and state laws applicable to accommodating students with disabilities, including Section 504 of the Rehabilitation Act of 1973 and the Americans with Disability Act (ADA) of 1990.
- Obtaining an understanding of UW System policy and guidelines applicable to individuals with disabilities. Specific areas of consideration included:
 - Establishment and activity of Chancellors' advisory committees
 - Documentation related to student accommodation requests
 - Documentation of condition to support an accommodation need
 - Establishment of grievance procedures for resolution of complaints alleging a violation of Title II of the ADA or Section 504 of the Rehabilitation Act
- Performing procedures, on a test basis, related to the prohibition of disability service accommodation surcharges.
- Considering the design and value of data reporting mandated by UW System.
- Evaluating whether UW institutions have promoted sufficient organizational and programmatic access to disability services on campus.

As part of our review effort, we conducted six institution visits, including UW-Madison, Milwaukee, River Falls, Stout, Whitewater, and UW Colleges. We interviewed coordinators of services for students with disabilities (CSSDs) and ADA coordinators at each of these institutions, and met with students receiving disability services during four of our six visits. We also interviewed representatives of Chancellors' advisory committees on disability issues, along with residence life, facilities management, equity and diversity, and other institution staff. Further, we obtained perspectives and insights from UW-System Administration staff in the offices of Academic Affairs, Budget and Planning, and General Counsel.

BACKGROUND INFORMATION

The ADA, signed into law on July 26, 1990, provides comprehensive civil rights protections to individuals with disabilities in the areas of employment, public accommodations, state and local government services, and telecommunications. Title II of the ADA requires that state and local governments provide individuals with disabilities an equal opportunity to benefit from all of their programs, services, and activities. The ADA extended the protection from discrimination in federally assisted programs, established by Section 504 of the Rehabilitation Act of 1973, to all activities of state and local governments by:

- adopting the general prohibition of discrimination established in Section 504;
- requiring that programs are made accessible;
- mandating equally effective communication;
- setting standards for what constitutes a disability; and
- establishing a complaint mechanism for resolving allegations of discrimination.

The law provides that entities are not required to take actions that result in undue financial and administrative burdens or to make modifications to policies, practices, and procedures that would fundamentally alter the nature of the service, program, or activity being provided.

In addition to federal law, §106.56, Wis. Stats., prohibits discrimination in postsecondary education due to physical or developmental disability. Further, §36.12, Wis. Stats., prohibits discrimination against students applying to or participating in any service, program, course, or facility of the UW System or its institutions due to a disability.

RPD 14-10 establishes a System-wide policy that provides direction to UW institutions in meeting the needs of students with disabilities. This policy includes a definition of disability and accommodations, requires that UW System Administration and each institution establish an advisory committee, requires UW System Administration to develop operational guidelines and data collection procedures, and requires that documentation supporting disability claims be current and submitted by qualified professionals, among other requirements. To comply with RPD 14-10, the President of the UW System promptly established the President's Advisory Committee on Disability Issues (PACDI), which developed the operational guidelines to assist in the implementation of Board of Regents policy (*Guidelines for the Implementation of the University of Wisconsin System Policy on Individuals with Disabilities*).

Since RPD 14-10 was adopted in 1996, amendments to the ADA have affected the provision of disability services at UW institutions. Although the scope of this report was limited to compliance with laws and policies, it is important to note that staff at UW institutions also focus on providing services to meet the needs of students in the most effective ways possible, such as through the promotion of universal design, continued implementation of physical accessibility in campus facilities, and use of adaptive technologies that allow access to software applications.

OBSERVATIONS AND RECOMMENDATIONS

During our audit, we noted certain observations and recommendations involving compliance, internal control, and other operational matters that are summarized herein. These observations and recommendations have been discussed with the appropriate members of management and are intended to improve internal control, improve compliance with applicable laws and policies, or result in other operational improvements.

OBSERVATION 1: SUFFICIENCY OF FACULTY AND STAFF TRAINING

RPD 14-10 requires each institution to provide periodic in-service training for faculty and staff to develop their awareness and understanding of the needs of individuals with disabilities and legal compliance issues. The Guidelines encourage institutions to use existing opportunities to provide in-service training and emphasize the establishment of training mechanisms that provide information in a timely and convenient fashion. While performing UW institution site visits, we identified that most UW institutions offer various methods to provide training to faculty, staff, and student employees, although training is not mandatory in all cases and participation varies. These include presentations at new staff orientation, formal professional development and training opportunities, letters to faculty, and departmental meetings. However, according to staff at one institution, a lack of participation by faculty and staff has caused the disability services office to discontinue providing training.

At institutions offering training, the types of training efforts offered generally comply with RPD 14-10. However, such efforts may be insufficient to ensure that faculty and staff fully understand their responsibilities and need to partner with disability services staff related to the delivery of disability services, which is essential because they are often directly responsible for implementing an approved and mandated accommodation plan.

The students receiving services through institution disability services offices with whom we spoke indicated that faculty members do not always understand that they are to accommodate their needs as required. Several reasons exist for the possible disconnect between formal training efforts and application of that training to address accommodation needs of students with disabilities:

- Faculty may receive training, such as during a new faculty orientation session, years in advance of having a student with a disability in class.
- An increase in hidden disabilities that may not be visibly apparent to faculty and staff may lead to confusion over the need to provide accommodations.
- Difficulty reaching adjunct faculty who spend less time on campus, may have high rates of turnover, or are not as engaged in training or in-service opportunities.
- Disability services staff report having limited access to or time with faculty to provide training on disability services, resources, and responsibilities.
- Faculty have limited incentives to participate in training.

Failure to ensure that approved accommodations are implemented can increase noncompliance risks and counteract an institution's efforts to comply with the law through the work of their disability services offices. In order to mitigate the risk of noncompliance with Board policy, as well as in the delivery of reasonable accommodations, **we recommend that UW institutions review their training programs and evaluate delivery mechanisms that could increase visibility, timeliness, and effectiveness for faculty and staff who have a student with an accommodation plan enrolled in their courses.** For example, maintaining readily available online training resources and communicating their availability to faculty and staff on a periodic basis (e.g., each academic year) could improve timeliness and effectiveness. To facilitate the most cost effective implementation of this recommendation, potentially a centralized group, such as the President's Advisory Committee on Disability Issues, could evaluate methods to centralize the development and support of core training resources. While some tailoring for institution-specific policies would be necessary, centralization of this effort could ensure accurate resources are readily available for UW institutions' use without duplicating efforts at each institution.

Additionally, to increase participation in training offered, institutions should emphasize the importance of the training, while evaluating whether meaningful incentives could be provided to faculty and staff for attending training. For example, we identified one institution that includes training on services to students with disabilities as part of a professional development program for which attending faculty members receive merit toward tenure.

OBSERVATION 2: UW SYSTEM DOCUMENTATION REQUIREMENTS

Coordinators of Services for Students with Disabilities (CSSDs) at UW institutions are required to make two separate decisions regarding appropriate services for students. First, they must determine whether a student has a disability. Second, once a disability has been confirmed, CSSDs must determine what would constitute a reasonable accommodation for that student.

The ADA distinguishes between documentation required to confirm a disability and that which is not required but may be helpful in making a determination on what constitutes a reasonable accommodation. Amendments to the ADA in 2008 mandated a broader interpretation of the definition of disability, lowering the threshold for individuals with respect to the amount of evidence that they must provide to establish that they have a disability. Further, the U.S. Department of Education Office for Civil Rights (OCR) has issued guidance that institutions are not permitted to request or obtain more information or documentation than the "minimum information necessary to establish a disability and/or support an accommodation request."

RPD 14-10 requires that institutions establish procedures for confirming an individual's disability and assessing the appropriateness of a requested accommodation. UW System *Guidelines for the Implementation of the University of Wisconsin System Policy on Individuals with Disabilities* (Guidelines) established by the President's Advisory Council on Disability Issues expand on this requirement by enumerating what constitutes sufficient documentation to confirm that an individual has a disability. These Guidelines, last updated in 2002, do not differentiate between documentation required to confirm a disability and that which would be

useful in determining a reasonable accommodation. Specifically, the Guidelines state that, at a minimum, documentation should meet the following seven criteria:

- 1) be prepared by an appropriate treating professional;
- 2) be relevant and appropriately recent;
- 3) address the functional limitations proscribed by the impairment;
- 4) provide a specific diagnosis;
- 5) indicate the level of severity;
- 6) note the major life activities limited by the impairment; and
- 7) state how the impairment affects learning in higher education, if applicable.

In conducting an audit of 60 randomly selected student files at six UW institutions, we noted that disability services staff generally collected documentation meeting the first four of these criteria. Under the ADA amendments, this level of documentation would be sufficient to determine whether an individual has a disability. During our file review, we noted that documentation was not as common for the remaining three criteria, which are more useful in determining an appropriate accommodation. Specifically, we found examples of files at each of the six institutions we visited that lacked documentation prepared by a treating professional for each of these three criteria, as follows:

- 34 of the 60 files did not contain documentation related to severity (criterion #5);
- 23 of the 60 files did not contain information related to major life activities limited by the impairment (criterion #6); and
- 26 of the 60 files did not contain documentation that specified how the impairment affects learning in higher education (criterion #7).

The nature and extent of documentation necessary to determine an appropriate accommodation varies depending upon individual facts and circumstances. Based upon our inquiries of staff, it appears that the staff at the institutions we visited understand the level of information required by the ADA, and that staff take their responsibility seriously. In some of the instances in which files lacked documentation required by the Guidelines, information may not have been necessary to determine what would constitute a reasonable accommodation. In other instances, staff may have either asked students for additional documentation or approved an accommodation provisionally until the student could provide more complete documentation. However, our file review identified that even when student files contained information addressing criteria #5 through #7, there were instances in which this information was created by the student requesting the accommodation. While obtaining such information from an individual requesting an accommodation can be useful in some circumstances, overreliance on this information to determine a reasonable accommodation could expose the institution to greater risk in an instance where an accommodation is denied or inadequately supports the student's needs because the student failed to fully understand their disability in the context of higher education.

Based on amendments to the ADA since the last updates were made to the Guidelines, **we recommend that the President's Advisory Committee on Disability Issues review, and clarify as necessary, the criteria contained in UW System Administration's guidelines to**

better reflect the level of documentation required and permissible by the ADA to confirm a disability. Furthermore, the President's Advisory Committee on Disability Issues should review the Guidelines on a periodic basis to ensure amendments to the ADA and other applicable regulations are appropriately reflected. During this review, the President's Advisory Committee on Disability Issues should consider feedback from UW System Administration's Office of General Counsel and institution Coordinators of Services for Students with Disabilities Directors.

Additionally, given that the documentation necessary to determine an appropriate accommodation differs in each individual case, **we recommend that the Guidelines remain silent on this issue and that institutions establish procedures and/or criteria for determining reasonable accommodations.** In establishing these procedures and/or criteria, institutions should continue to collect necessary and useful documentation while considering risks associated with 1) denying or approving an accommodation request without sufficient documentation; 2) approving an accommodation that is not reasonable or provides a student with unequal access; or, 3) approving an accommodation insufficient to address the needs of a disabled student.

OBSERVATION 3: DISABILITY SERVICES DATA REPORTING

Although there is no requirement within the ADA or Section 504 requiring that disability services data be maintained or reported, RPD 14-10 requires each institution to maintain data on the nature and extent of the services provided to individuals with disabilities, and directs UW-System Administration to develop data collection procedures as part of its operational guidelines. Although neither RPD 14-10 nor the Guidelines include a specific purpose for collecting this data, the instructions developed by UW System Administration and directed to the institutions for reporting data note the following purpose:

- to comply with UW System data collection requirements;
- to ensure that the data collected are responsive to Board of Regents policy and reported in a uniform manner; and
- to allow UW System to analyze data for trends in order to predict future funding needs and improve services to students with disabilities.

We found that the summary data report does provide a uniform mechanism for collecting information related to disabilities services. However, we found that in its current form, much of the data in the report appears to provide limited value to institution staff, and is very resource-intensive to compile. While institutions' disability services staff maintain data for their own decision-making purposes, the staff indicated that tailoring certain data to conform to UW System reporting requirements requires 40 hours or more of staff time annually. Additionally, institution staff indicated that a majority of the data collected does not currently appear to facilitate or inform decisions impacting the institutions.

Further, while the report is intended to help predict disability services funding needs, UW System Administration does not appear to use the report for that purpose. Due to the unpredictability of the types or costs of services that will be required, institutions currently

deficit fund disability services on a routine basis, transferring funds as needed from other sources. As UW System Administration reevaluates its role with UW institutions and institutes a block grant funding model, the data report in its current form will likely become even less relevant to budget decisions specific to disability services.

UW System Administration staff report that certain data reported, such as the number of students receiving services, can be used to respond to infrequent requests for information, such as those made by legislators or members of the public. While limited specific examples of other uses were identified, UW System Administration staff further indicated the data could be used to inform policy discussions of the President's Advisory Council on Disability Issues. Finally, UW System Administration staff indicated that it may be possible that OCR could find value in the data while investigating a complaint at an institution, although it is likely that OCR would be most interested in the circumstances of a specific complaint rather than System-wide services.

Maintaining data on disability services at the institution level is important for the proper management of disability services resources, and therefore information should continue to be collected for institution purposes. Additionally, there are benefits of collecting some data System-wide. However, in our professional judgment, the resources currently utilized to conform certain data to existing reporting requirements far exceed potential benefits, which appear to be infrequent and ad hoc. In order to increase efficiency and the amount of time institution staff have available to devote to providing services, **we recommend that the data collected by System Administration be greatly reduced to information that is useful to UW institutions and System Administration.** In our opinion, based upon interviews conducted with a sample of staff from UW institutions and UW System Administration, data collected that would be beneficial includes information such as total enrolled students with disabilities, enrolled students by primary disability and veteran status, total actual costs, and total expenditures and income. By eliminating information that serves limited purposes and is resource-intensive to prepare, such as detailed budgetary information, the report could provide value that exceeds the costs of preparation. Based upon our understanding of potential uses for data beyond this limited information, risks associated with not centrally gathering such data are low. **In addition, we recommend that the instructions provided related to data reporting requirements be updated to clearly state the intended purpose of the data report.** Lastly, consideration should be made as to whether the revised data report be submitted to the UW System Administration Office of Budget and Planning as opposed to another office, such as the UW System Administration Office of Equity, Diversity, and Inclusion.

OBSERVATION 4: GRIEVANCE POLICIES AND PROCEDURES

UW institutions are required by both the ADA and RPD 14-10 to adopt and publish grievance procedures providing for prompt and equitable resolution of complaints alleging any action that would violate Title II of the ADA or Section 504. The procedures should be applicable to any anticipated complaint, including an appeal of a denied accommodation request. Our review of institution policies and procedures related to students with disabilities found that all six institutions we visited have established and published an appeals policy and process. While the

appeals process varies among the institutions, documented institution policies typically outline a three-tiered approach.

- The first level of appeal is generally through the disability services office in an effort to have a decision reconsidered.
- If students are dissatisfied with the outcome of the first level of appeal, they generally can appeal to a subcommittee of the Chancellor's advisory committee on disability services or an office independent from disability services, such as the dean of students office.
- If still unsatisfied, students have the option of filing a discrimination complaint, typically through the institution's ADA coordinator or equity and diversity office. The availability of a process to file a discrimination complaint extends to all students at an institution for a variety of potential issues, not just students with disabilities or for disability-related grievances.

If students do not feel that their concerns have been addressed or decide to not use an institution's internal grievance process, federal law provides them the option of filing a federal discrimination complaint with OCR at any time.

Our review identified that most grievances filed are related to how an accommodation plan is supported, and few formal appeals related to accommodation requests or plans are made. However, maintaining a clear appeals policy and communicating the appeals process are essential to ensuring students with disabilities have access to university activities and programs and that institutions are in compliance with federal law and Board of Regents policy. During our review, we identified several institution practices that may contribute to an ineffective appeals process.

- At one UW institution, the policy states that the second-level appeal will be directed to the institution's ADA coordinator. However, current practice suggests that such an appeal is actually directed to the immediate supervisor of disability services staff, who either reviews the appeal and issues a decision or makes a determination of who within the institution is best suited to consider the appeal. Several consequences may result from the disconnect between policy and practice, including a loss of independent review; inconsistent application of criteria during the review process, depending on who is ultimately tasked with reviewing the appeal; and confusion among potential appellants as to the appeals process.
- The policy at a second institution does not clearly communicate to students all steps that are available in the appeals process. Specifically, the appeals policy does not make a direct link to a student's right to file a discrimination complaint with the institution, which may lead students to believe that all appeals options have been exhausted when other avenues remain available.
- The policy at a third institution directs students experiencing problems to the office of the dean of students, which handles student complaints in a variety of areas from across the institution. Although this would serve as an appropriate appeals process in accordance

with Board of Regents policy, the institution's policy does not clearly communicate that this is part of an appeals process or outline specific rights or steps in that process, which may lessen the likelihood that students would understand and use the process.

In order to increase efficiency and credibility, institutions should ensure that the appeals process is sufficiently independent, accurately communicates all steps to students, and maximize the number of appeals that go through the established process. Ramifications of an appeals process perceived as not credible could be an increase in the number of students filing discrimination complaints, as well as more complaints viewed as legitimate by OCR. Consequently, **we recommend that institutions review their appeals policies and practices.** Institutions should consult with the UW System Administration Office of General Counsel or the institution's legal office when conducting their reviews in order to benefit from prior work performed related to appeals policies and practices at UW institutions.

OBSERVATION 5: STUDENT ACCESS TO DISABILITY SERVICES

Federal law and RPD 14-10 require institutions to provide accommodations to allow individuals with disabilities to participate in or benefit from the university and its programs, services, and activities in the most integrated setting appropriate. To accomplish this, institutions must devote and deploy resources in a manner that allows for sufficient access to services.

The number of staff members institutions employ to provide disability services to students varies based on a number of factors, including institution enrollment, the number of students eligible for services, the types of disabilities generally found among students, institution-specific programs, the specific responsibilities assigned to the disability services office, and the availability of resources from other institution offices. While we were unable to identify any national standards or industry recommendations related to student to staff ratios, inquiries regarding staffing resources compared to students eligible for services suggest that at some UW institutions, enrolled students eligible for disability services may be increasing at a rate faster than are resources dedicated to providing those services.

In addition to the availability of staffing resources, the physical location of disability services offices is important in ensuring student accessibility. Generally, students with whom we spoke indicated that the institutions we visited had done a good job of marketing the availability of disability services, and that the existence of the disability services office was well known. In conducting campus visits, we noted the accessibility of these offices as well as their integration with other student services and programs often used by students with disabilities was adequate for all but one institution.

As part of an ongoing restructuring of its organization of disability services, one institution had organizationally and physically relocated the disability services office. At the time of our visit, the office was located on campus where physical access is less central and more difficult than in its previous location and in a setting with limited access to private space needed for confidential conversations. In addition, the office was removed physically and programmatically from other

services frequently used by disabled students. The combination of these changes may limit a student's access to office services.

Due to potential changes in staffing levels and organizational structures at UW institutions, **we recommend that UW institutions periodically review staffing levels and the location and integration of student disability services to ensure students have sufficient access to institution services that support disabled students.**

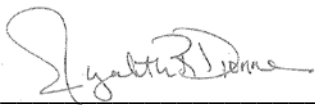
CONCLUSION

We have performed an audit of UW institution compliance with select aspects of RPD 14-10, *Nondiscrimination on the Basis of Disability*, and the related *Guidelines for the Implementation of the University of Wisconsin System Policy on Individuals with Disabilities*. Based upon procedures performed, the institutions visited appeared to be substantially meeting the intended policy objectives of complying with the ADA and Section 504 of the Rehabilitation Act and providing disabled students with equal access to university programs and services. However, we have identified several observations and recommendations herein intended to improve the efficiency of operations and minimize risk of noncompliance to the UW System, its colleges, universities, and extension.

The performance of an internal audit includes performing procedures, on a test basis, and applying professional judgment in the evaluation of results. The Institute of Internal Auditors, internationally recognized as the official governing body over the profession of internal auditing, recognizes that audit procedures, even when performed with due professional care, do not guarantee that all significant risks, errors, or irregularities will be identified. Our audit does not provide a legal determination of compliance with all applicable University, federal, and state regulations related to disability services.

This report is the result of the Office of Operations Review and Audit's evaluation of the information described herein, and is intended solely for the information of management and the Board of Regents of the University of Wisconsin System. This restriction is not intended to limit the distribution of this report, which upon final issuance is a matter of public record.

We greatly appreciate the assistance and cooperation of staff at UW-Madison, Milwaukee, River Falls, Stout, Whitewater, and UW Colleges, as well as UW System Administration staff in the offices of Academic Affairs, Budget and Planning, and General Counsel.



Elizabeth R. Dionne, CPA
Director, Operations Review and Audit

November 18, 2011

UW-Milwaukee Contractual Agreement with
CERNET Educational Development Co., Ltd.

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the University of Wisconsin-Milwaukee and CERNET Educational Development Co., Ltd.

UW-MILWAUKEE CONTRACTUAL AGREEMENT WITH CERNET EDUCATIONAL DEVELOPMENT CO., LTD

EXECUTIVE SUMMARY

BACKGROUND

In 2010, the University of Wisconsin-Milwaukee (UWM) began discussions with CERNET Educational Development Co., Ltd. (CERNET), with the aim of collaborating to recruit Chinese students to the Intensive English Program (IEP) offered by UWM. Once Chinese students complete this program and achieve English proficiency, it is anticipated that a sizable number will be admitted to and will then graduate from a degree program at UWM. Following numerous interactions between UWM and CERNET, an agreement on all aspects of the collaboration has been drafted and is being presented to the Board of Regents for approval.

REQUESTED ACTION

Approval of Resolution I.2.c.

DISCUSSION

Description

Under the proposed agreement, UWM will provide a one-year, content-based Intensive English Program (IEP), fully integrated with UWM's existing English as a Second Language (ESL) program, to help qualified Chinese students achieve English proficiency so that they may become fully matriculated academic degree-seeking students at UWM.

UWM and CERNET will work together to recruit and retain qualified undergraduate and graduate students for UWM's intensive English program. These students must meet UWM's admission requirements and follow all application procedures. CERNET will coordinate its efforts through the Wisconsin International Academy (WIA), an institute established by CERNET for the purpose of providing access to educational and cultural services for students primarily from China who are seeking higher education in the United States. Students enrolled in the UWM IEP are herein referred to as WIA students. It is proposed that the first cohort of WIA students will enroll in the fall of 2012.

CERNET will market the program in China through various activities, including through Education Expos, online, on television, and through other media promotions and information sessions. UWM will be responsible for developing the content of all recruiting and marketing materials, including content for web pages, working in cooperation and in consultation with

CERNET. CERNET will be responsible for translating such materials from English to Mandarin, with final approval by UWM prior to dissemination.

In the 2012-13 year, the total enrollment of WIA students will be at least 30, and no more than 50 students. Beginning in the fall 2013, enrollment of WIA students will increase to at least 100, but no more than 150, students, with the goal of growing the program to 250 WIA students by fall 2015. In order to reach these enrollment targets, CERNET agrees to facilitate the submission of applications each year in the amount of 3.5 times the enrollment goal.

WIA students must meet current UWM admission requirements to enroll in the IEP. UWM reserves the sole right to accept or reject any potential student based on UWM's admissions standards and requirements. Presently, undergraduate international students not fully proficient in English may be admitted to UWM's IEP under conditional and dual admission, and graduate international students not fully proficient in English may be admitted to the UWM IEP under dual admission only. UWM will pursue, in good faith, internal approvals for conditional admission of IEP students for Master's programs. WIA students who do not meet UWM's requirements for dual admission will engage in full-time study in IEP. Pursuant to standard UWM practice, WIA students who meet the requirements for dual admission may be enrolled in part-time ESL instruction and part-time academic study in the program to which they are admitted.

UWM faculty, staff, and administrators will be wholly responsible for the UWM IEP curriculum design, academic content, teaching methodologies, entrance and exit requirements, student assessment, and quality assurance.

Upon satisfactory completion of the IEP, it is anticipated that a significant number of the WIA students will matriculate into an academic degree program at the undergraduate or the Master's level at UWM. Based on the experience of a similar program in the state of Massachusetts, operated under an agreement between CERNET and the University of Massachusetts-Boston, it is expected that more than 75% of WIA students will enroll in a degree program at UWM.

Under the proposed agreement, CERNET will pay UWM, for WIA students, the published IEP tuition and fees and other costs charged to all students, including housing and meal costs as applicable. In addition, CERNET will pay UWM an additional \$650 per student, per semester, to cover additional Resident Assistant costs for the WIA students in 2012-13. It is anticipated that beginning in fall of 2013, CERNET will provide WIA students (the IEP students) housing and meal service in private facilities owned and/or managed by CERNET. Once matriculated as either undergraduate or graduate students, depending upon their qualifications, the former WIA students would directly pay UWM all regular non-resident tuition and fees, and would be subject to all of the same opportunities, policies, and requirements as other UWM students, including with respect to housing.

In consideration for its recruiting and other services, UWM will pay CERNET the following fees:

- A marketing fee for CERNET marketing activities (\$100,000 in 2011-12, and \$200,000 per year in subsequent years);
- a recruiting fee of 15% of the actual tuition paid to UWM in the first two academic semesters by students referred by CERNET who enroll in an academic program at UWM upon successful completion of IEP, or who are directly admitted to an academic program having met all requirements including English proficiency, subject to reduction to 10% if fewer than 75% of WIA students who have successfully completed UWM's IEP program matriculate to UWM, and subject to reduction to 5% if fewer than 50% of WIA students matriculate; and
- an administrative fee of 20% of all housing and meal costs collected by UWM from CERNET for each enrolled WIA student for the 2012-13 academic year only.

The following table summarizes anticipated enrollment figures (assuming an 85% matriculation rate), revenues to UWM via tuition, fees and other costs paid by students, and fees paid to CERNET.

FY	WIA students	Students entering degree programs	Total enrollment in degree programs	Estimated Additional Annual Revenues to UWM	Estimated Annual Payments to CERNET
2011-12	-	-	-	-	\$100,000
2012-13	50	-	-	\$1,118,500	\$287,920
2013-14	100	43	43	\$2,103,420	\$311,843
2014-15	150	85	128	\$4,256,220	\$421,085
2015-16	150	128	256	\$6,475,740	\$532,928
2016-17	150	128	384	\$8,695,260	\$532,928

Relation to Institutional Strategic Priorities

As a university that is striving to become more internationally and globally engaged, UWM is committed to recruiting students from all areas of the world, with a specific focus on China and other priority countries. To this end, UWM has established an International Council, with representatives from every school and college on campus, with the aim of expanding and deepening international collaborations including, but not limited to, faculty and student research and exchanges; dual degree programs; promotion of UWM through participation in recruitment fairs hosted by reputable organizations; development of contracts with recruitment agents; and marketing of UWM to an international audience. As part of its wider internationalization agenda, UWM thus proposes to work with CERNET to provide an intensive English language program to qualified students. As noted above, the CERNET program will be fully integrated with UWM's existing ESL program to help prospective

Chinese undergraduate students recruited through CERNET to reach the English proficiency level required to move successfully through the process of becoming fully matriculated to academic degree programs.

Assessment and Oversight

Oversight of all aspects of the proposed agreement will rest with the Provost of UWM. The Provost will review reports of marketing and recruiting activities and will ensure that all UWM requirements for admission, academic evaluation, and progress are met by all students. In addition, the Provost will monitor all financial aspects of this agreement, including revenues and expenditures; he will authorize payments to CERNET and assess overall enrollment and matriculation data for the students. A full evaluation of all aspects of the proposed agreement will be made in advance of June 1, 2016 and the conclusions from the evaluation will be used to determine whether the agreement should be renewed for an additional term.

RELATED REGENT POLICIES

Regent Policy Document (13-3), “Authorization to Sign Documents.”

REVIEW OF THE IMPLEMENTATION OF FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACTS (FERPA) REGULATIONS FROM THE OFFICE OF OPERATIONS REVIEW AND AUDIT

EXECUTIVE SUMMARY

BACKGROUND

The Office of Operations Review and Audit provides objective review and analysis services in order to add value to, protect, and strengthen the University of Wisconsin System. In accordance with the *2010 Review and Audit Plan*, as approved by the Business, Finance, and Audit Committee, the Office of Operations Review and Audit conducted a review of the implementation of the Family Educational Rights and Privacy Act (FERPA) by UW institutions.

REQUESTED ACTION

This item is for information only.

DISCUSSION

FERPA was enacted in 1974 to protect the rights and privacy of parents and students. The law grants specific rights to students who have attended post-secondary institutions related to reviewing, amending, and disclosing student educational records. The law also provides a mechanism for students to file a complaint with the U.S. Department of Education if they feel their rights have been violated.

The objectives of this engagement were to: 1) examine how institutions structure and provide administrative oversight for FERPA implementation; 2) review FERPA policies and procedures; 3) describe FERPA training; and 4) examine UW institution practices in areas such as records release and access. In performing this engagement, site visits were performed at seven UW institutions—La Crosse, Madison, Milwaukee, Parkside, Whitewater, UW Colleges, and UW-Extension. In-person or phone interviews were conducted with a number of staff at these institutions, including registrars or assistant registrars, financial aid directors, admissions directors, and deans or associate deans of students. At UW institutions not visited, we interviewed registrars and/or deans of students, which are typically the positions with lead responsibility for implementing FERPA. Additionally, various UW institution documents on FERPA were collected and analyzed.

Based on procedures performed, this review identified that UW institutions are generally meeting FERPA requirements. However, eight recommendations were identified, which are intended to further enhance the ability of institutions to effectively implement the provisions of the law.

RELATED REGENT POLICIES

None



Implementation of Family Educational Rights and Privacy Act Regulations

Office of Operations Review and Audit

Report Control #2011-08

November 18, 2011

Table of Contents

Executive Summary	1
Scope	2
Background	2
Discussion and Recommendations	3
Policy Oversight and Training	3
Lead Office for FERPA Responsibilities	3
Institutional Policies and Guidance	4
Training for Employees and Student Workers	5
Student Rights	6
Informing Students of their Rights	6
Reviewing and Amending Records	7
Student Consent	7
Employee Access to Student Information	10
Definition of School Official	10
Controlling Employee Access	11
Conclusion	13
Appendices	14

EXECUTIVE SUMMARY

In accordance with the *2010 Review and Audit Plan*, as approved by the Business, Finance, and Audit Committee of the Board of Regents of the University of Wisconsin (UW) System, the Office of Operations Review and Audit conducted a review of the implementation of the Family Educational Rights and Privacy Act (FERPA) by UW institutions.

FERPA was enacted in 1974 to protect the rights and privacy of parents and students. The law grants specific rights to students who have attended post-secondary institutions related to reviewing, amending, and disclosing student educational records. The law also provides a mechanism for students to file a complaint with the U.S. Department of Education if they feel their rights have been violated.

Based on procedures performed, our review identified that UW institutions are generally meeting FERPA requirements. However, we have identified eight recommendations that are discussed more completely within the Discussion and Recommendations section of this report, and which are intended to further enhance the ability of institutions to effectively implement the provisions of the law. Specifically, we recommend that UW institutions:

- 1) designate one lead office or position for coordinating and overseeing the implementation of FERPA requirements;
- 2) maintain FERPA policies in one central location overseen by the lead office or coordinator, and periodically review to ensure consistency with current practice and FERPA regulations;
- 3) implement campus-wide mandatory training for employees and student workers with access to student educational records;
- 4) review their annual FERPA notice to students to ensure that it contains all required information and consolidate all required information into a single document that serves as the annual student notice;
- 5) review their student directories to make sure information released is consistent with information that the institution has designated as directory information;
- 6) develop or adopt a definition of school official with legitimate educational interest and include the definition in the document that serves as the annual notification of FERPA rights to students;
- 7) require individuals granted access to electronic student educational records to sign a confidential agreement; and
- 8) establish a process for timely removal of access when employees and student workers terminate or change their employment.

Each Chancellor will receive specific information regarding recommendations impacting their respective institution under separate cover.

SCOPE

The University of Wisconsin (UW) System Office of Operations Review and Audit reviewed how UW institutions have implemented the federal Family Educational Rights and Privacy Act (FERPA). The objectives of the review were to: 1) examine how institutions structure and provide administrative oversight for FERPA implementation; 2) review FERPA policies and procedures; 3) describe FERPA training; and 4) examine UW practices in areas such as records release and access.

Federal law defines “educational records” under FERPA as records that are directly related to a student and maintained by an institution or by a party acting for the institution. While this encompasses a variety of types of records, this review focused on academic records, financial aid records, admissions records, and records related to student conduct.

In performing this review, we visited seven UW institutions—La Crosse, Madison, Milwaukee, Parkside, Whitewater, UW Colleges, and UW-Extension. We conducted in-person or phone interviews with a number of staff at these institutions, including registrars or assistant registrars, financial aid directors, admissions directors, and deans or associate deans of students. At UW institutions we did not visit, we interviewed registrars and/or deans of students, which are typically the positions with lead responsibility for implementing FERPA. We also collected and analyzed various UW institution documents on FERPA.

BACKGROUND

FERPA was enacted in 1974 to protect the rights and privacy of parents and students amid concerns about federal abuse of power and domestic surveillance. In the context of postsecondary education, FERPA grants the following four primary rights to students—and in some cases parents of students—who have attended an institution:

1. the right to inspect and review the student’s educational records;
2. the right to seek amendment of the student’s educational records that they believe are inaccurate or misleading;
3. the right to consent to disclosures of personally identifiable information contained in the student’s educational records, except to the extent that FERPA authorizes disclosure without consent; and
4. the right to file a complaint with the U.S. Department of Education when an institution has allegedly failed to comply with FERPA requirements.

FERPA charges the U.S. Department of Education with adopting regulations to implement requirements in the law. Under FERPA, student educational records are presumed to be private and may be disclosed only if the student has given consent to the disclosure or the disclosure falls within an exception to the consent requirements. Any institution found to have violated FERPA requirements by the U.S. Department of Education can lose its federal funding, including funding related to student financial assistance programs. According to the Chronicle of Higher Education, as of 2008 the U.S. Department of Education had reviewed hundreds of complaints and found multiple violations. However, as of that time, the U.S. Department of

Education had not once terminated federal funding to a college or university for FERPA violations.

While an institution could lose its federal funding, FERPA does not contain a remedy for individuals whose FERPA rights have been violated other than the right to file a complaint with the U.S. Department of Education. Furthermore, FERPA does not include a penalty for individual violators.

Congress has amended FERPA nine times since it was first enacted, most recently in 2001. The U.S. Department of Education has also amended FERPA regulations numerous times, most recently in 2008 following the shooting incident at Virginia Polytechnic Institute and State University (Virginia Tech). The thrust of the 2008 amendment was to clarify the “health and safety” exception, which allows an institution to disclose educational records in the case of a health or safety emergency. In April 2011, the U.S. Department of Education issued notice to propose additional amendments to the current FERPA regulations that would, among other things, clarify when institutions can share information for purposes of evaluating educational programs.

DISCUSSION AND RECOMMENDATIONS

In performing this review, we obtained information related to FERPA oversight, implementation, and training by UW System Administration and UW institutions; methods for informing students of their FERPA rights and for securing student consent; and the process for granting and controlling employee access to student educational records.

POLICY OVERSIGHT AND TRAINING

UW institutions maintain a variety of student records, and FERPA allows institutions discretion in how they implement the law. Consequently, it is important that each institution establish a lead person or office responsible for providing consistent interpretation of the FERPA law, providing leadership in the development of campus policies and procedures, coordinating training, and responding to questions about the appropriate handling of records as they arise.

Lead Office for FERPA Responsibilities

UW System and most UW institutions have designated an office or individual as responsible for FERPA. The lead office for FERPA at the system level is the Office of General Counsel, which provides legal interpretation, conducts training and seminars, and counsels UW institution staff on FERPA issues.

While many UW institution units and offices maintain student records and have responsibility for safeguarding student educational records under their custody, a smaller number of offices were involved in the campus-wide implementation of FERPA. These offices include the registrar, dean of students, information technology, and legal affairs, although only UW-Madison and UW-Milwaukee have their own institutional legal affairs offices.

At all but four UW institutions, the registrar's office served as the lead office on FERPA and assumed the lead role in formulating the institution's FERPA policies and procedures; coordinating FERPA training for faculty, staff, students, and parents; notifying students of their FERPA rights, which is required by FERPA; and serving as the contact point for FERPA issues.

At three institutions, the offices of the registrar and dean of students shared some of the administrative responsibilities for FERPA. At these institutions, the dean of students' office was responsible for the annual FERPA notices and, in some cases, also maintained information for the public regarding FERPA.

At one institution, two offices had FERPA responsibilities, with one office maintaining records of currently enrolled students and another office maintaining records of former students. According to institution staff, neither of these offices has responsibility for overseeing institution-wide implementation of FERPA.

Even though administrators interviewed at these four institutions indicated that they collaborated with each other, the shared responsibilities could potentially create confusion for students, parents, faculty, and staff. In order to minimize confusion and to ensure that FERPA requirements are implemented consistently across an institution, ***we recommend that each UW institution designate one lead office or position for coordinating and overseeing the implementation of FERPA requirements (recommendation #1).***

Institutional Policies and Guidance

FERPA does not require that each institution create its own FERPA policies. However, a policy, policy statement, or manual may help to establish common practices and consistency in interpretation, and all UW institutions have developed some written guidance on FERPA. Appendix 1 summarizes the various principal institutional documents on FERPA.

While performing inquiries and reviews related to the consistency of institutional policy documents and guidance, we identified that some institutional policy documents and guidance were either outdated or were inconsistent with other institutional policy documents. For example, the lead FERPA staff at one UW institution indicated that the way the institution's directory information was defined in their institution's FERPA policy document was outdated. At another UW institution, two separate FERPA-related policy documents defined directory information differently.

Most UW institutional FERPA policy documents were published on the websites of the registrar's office. For at least five UW institutions, multiple offices maintained their own FERPA guidance online. For example, FERPA information exists on the central office website of UW Colleges as well as at three or more UW Colleges campuses. Information designated as directory information at two of these three UW Colleges campuses differed from directory information listed in the UW Colleges policy. Although each office may have a need to maintain FERPA-related forms on their respective websites, such information should be consistent with institutional FERPA policies, and general FERPA information should only be located at one place to minimize the risk of having inconsistent or outdated information. In this instance, an

alternative would be to simply create a link to the website containing the institution's official FERPA information.

To ensure that UW policy documents are consistent and include current information, *we recommend that UW institutions maintain FERPA policies in one central location overseen by the lead office or coordinator, and periodically review to ensure consistency with current practice and FERPA regulations (recommendation #2).* To the extent that other institutional offices have a purpose for referencing FERPA policies, we recommend that those offices reference the lead office or coordinator's centrally-located policies.

Training for Employees and Student Workers

UW institutions offered both formal and informal training on FERPA for employees and student workers with access to student educational records. The intensity of training varied widely among UW institutions and within an institution.

Informal training consisted of providing written FERPA information to employees and student workers, posting FERPA information and training materials online, and holding periodic discussions and updates of FERPA regulations at office staff meetings. Formal training consisted of workshops or seminars, staff orientation, and online training. The registrars and financial aid directors interviewed also indicated they and their staff members had attended workshops and seminars on FERPA offered by their respective national or state associations.

Currently, only UW-Milwaukee mandates campus-wide FERPA training for employees with access to the student information system. UW-Parkside and UW-Whitewater were considering campus-wide mandatory training. A number of the offices at the UW institutions we visited did mandate that new office employees and student workers attend office orientation that covered FERPA.

Because inappropriate disclosure of student confidential information can damage the reputation of UW institutions and cause harm to students, *we recommend that UW institutions implement campus-wide mandatory training for employees and student workers with access to student educational records (recommendation #3).* This will help to ensure that employees and student workers with access to student records are aware of their responsibilities and obligation pertaining to FERPA.

The registrar's office at UW-Milwaukee has developed an online training module with a quiz that other UW institutions could use or adapt. Online training allows employees and student workers to complete the training at their own time, pace, and location. The online training can be completed in about 15 to 25 minutes. The module automatically logs in the names of employees and student workers who complete the training and records the results of the quiz. Employees and student workers who fail to answer correctly three or more out of the 12 questions in the quiz must have a face-to-face meeting with the FERPA coordinator before they are given access to the student information system. To keep employees and student workers up to date on FERPA, the training would need to be repeated occasionally, especially when there is a change in the FERPA regulations or institutional policy.

STUDENT RIGHTS

FERPA requires institutions to inform students of their rights under the law but provides discretion in how institutions may go about doing this. Institutions must also have in place procedures for students to review and amend their records, as well as for obtaining student consent prior to releasing student information.

Informing Students of their Rights

FERPA regulations require that institutions of higher education annually notify students of their FERPA rights. Although FERPA regulations do not specify the form or method for distributing this notice, the notification must take a form that is “reasonably likely” to inform students. The regulations also specify that the notice, in addition to stating the rights, must include procedures for students to inspect, review, or amend their educational records, and criteria for determining who constitutes a “school official” and what constitutes a “legitimate educational interest.”

UW institutions notified students of their FERPA rights through emails, publication in student catalogs or handbooks, posts on the institution’s websites, or a combination of these methods. While performing procedures related to the completeness of FERPA notifications, we identified that two UW institutions did not include all required information in their FERPA notifications and documents available to students. Specifically, one of these two institutions did not include information regarding the student’s rights to file a complaint, the definition of a school official, and the definition of a legitimate educational interest. The other of the two institutions erroneously omitted most of the required information from the FERPA notices/documents.

The other 13 UW institutions included all the required information in their FERPA notices and documents available to students.

Ten UW institutions included the required elements in a single document that served as their annual FERPA notice to students. These ten UW institutions also modeled their notices after the model notification provided by the U.S. Department of Education (see Appendix 2). The remaining three UW institutions did not consolidate this information into a single document but have included the required information in various institutional FERPA documents. To ensure that UW institutions properly inform students of their FERPA rights, ***we recommend that UW institutions review their annual FERPA notice to students to ensure that it contains all required information and consolidate all required information into a single document that serves as the annual student notice (recommendation #4).***

In addition to the annual notices, all UW institutions reported that they provide an overview of FERPA and student privacy during new student orientation. Some institutions have also included FERPA information, such as brochures, in orientation packets. This activity varied annually at each institution, depending on the availability of time and resources. Also, all UW institutions have posted FERPA information on their institutions’ websites for the general public. Information typically includes an overview of FERPA, FERPA policies, consent forms, and links to other FERPA resources.

Reviewing and Amending Records

UW students are granted online access to some of their academic records, such as course schedules, credits taken or earned, grades, and grade point average; some financial aid information; and tuition and fee charges. Should students wish to review other records not included in the online access, or to amend their records, they need to follow procedures established by each institution, which should be outlined within the annual FERPA notice or other FERPA documents.

All UW institutions except one have established procedures for students to access and amend their records. Of the UW institutions that have established procedures, twelve published their procedures in their annual FERPA notice, while two institutions published their procedures in other FERPA documents. The procedures require that requests to inspect or to amend records be submitted in writing to the respective offices in charge of maintaining the particular records. UW institution staff indicate that institutions have received very few requests from students to inspect or amend their records. As noted, our procedures identified that one UW institution had not established formal procedures.

Student Consent

FERPA presumes that student educational records can only be disclosed with the student's consent. An institution may publicly release student information that it has designated as "directory information" under a specified process without prior student consent. Likewise, an institution may release student information in a "health and safety emergency" in certain circumstances without consent. The most common type of request for external release of student information is related to transcripts.

Directory Information

FERPA designates certain information as "directory information," which is basic information about a student that institutions are authorized to disclose without prior student consent. While FERPA specifically prohibits including a student's social security number as directory information, it allows institutions the discretion of designating what other data to include.

Certain information, such as student name, email address, home address, honors and awards received, participation in officially recognized sports or activities, height and weight of members of athletic teams, and previous or most recent institution attended were common across all or most UW institutions. Less common information designated by UW institutions as directory information included credit load (four institutions), date honor and award granted (four institutions), number of credits earned (three institutions), type of degree (three institutions), name and address of parent/guardian/spouse (two institutions), gender (one institution), user ID (one institution), marital status (one institution), and name of graduating high school (one institution). Although none of this information is specifically prohibited by FERPA, the U.S. Department of Education has advised that gender, as well as ethnicity and race, not be designated as directory information. In light of this guidance, institution management should evaluate what is considered directory information. Even though FERPA allows photographs to be included as directory information, no UW institutions have designated these as directory information for

identity protection reasons. Appendix 3 provides greater detail regarding the information each UW institution has designated as directory information. Discussions on whether to include or exclude particular information as directory information have been directed by the lead person or office on FERPA at each institution with involvement from legal counsel, as needed. Recommendations are then forwarded to a vice chancellor or the chancellor for approval.

We reviewed student information available online through all UW institutions' student directory searches to determine whether data not designated as directory information by the institutions are publicly available. At all UW institutions, the online student directory provides only a subset of the institutions' designated directory information. At all but one UW institution, the online student data available was consistent with the institutions' designated directory information. At one UW institution, the online student directory included the student's user ID even though that data element was not designated as directory information. FERPA regulations allow institutions to designate user ID as directory information as long as the user ID cannot be used to access student records except when used in conjunction with another identifier known or possessed by the user. However, institutions must designate it as directory information before it can be publicly released. To ensure that only information that has been designated as directory information is released, ***we recommend that UW institutions review their student directories to make sure the information released is consistent with information that the institution has designated as directory information (recommendation #5).***

FERPA also requires that institutions give students opportunities to restrict or withhold the release of their directory information. At five of the seven UW institutions we visited, students must turn in a signed form to the registrar's office if they elect to restrict the release. At the other two UW institutions, students can opt-out electronically. According to UW institution staff, only a small proportion of students have elected to restrict the release of their directory information. For example, UW-Milwaukee and UW-Whitewater had received requests to restrict directory information from only about 50 students each out of the approximate 30,000 and 11,000 students enrolled at those institutions, respectively.

Health and Safety Emergencies

According to the UW System Office of General Counsel, previous FERPA regulations had permitted the disclosure of critical private information about high-risk students from their educational records to appropriate parties in health and safety emergencies. However, this exception was limited. The 2008 FERPA regulations clarified the exemption following the shooting incident at Virginia Polytechnic Institute and State University (Virginia Tech). FERPA regulations do not define "health and safety emergencies" but rather allow each institution to determine what constitutes a health and safety emergency on a case-by-case basis.

Determining health and safety emergencies at UW institutions is done primarily by the dean of students' office, although the dean of students' office does consult with the lead FERPA office or legal affairs. According to the deans of students we interviewed, making the decision as to when to release information in a health and safety emergency requires the use of professional judgment. However, UW institutions have typically based their determination on the collective professional experience of a behavioral intervention or threat assessment team on campus.

Furthermore, only a limited number of campus personnel can make the determination in the absence of a team decision and under emergency situations.

Except UW-Extension, all UW institutions we visited reported that their institutions have established such a team to address troubled students. Members of the team included staff from the office of the dean of students, counseling services, and campus police. Whether the health and safety emergency exemption was appropriate to invoke has been discussed at these team meetings. Under emergency circumstances, certain staff members, such as the dean of students, vice chancellor for student affairs, institution legal affairs staff, the chief of campus police, or director of residence life, can also make this determination.

Some criteria or signs that UW institutions took as an indication of a health and safety emergency included emergency hospitalization, emergency transportation, or arrest resulting from a specific behavior. In making the determination, deans of students reported that their institutions took into account the totality of the circumstances pertaining to the threat. However, the threat to the health and safety of the student or other individuals had to be imminent. Even then, the disclosure, if any, had been to a limited number of individuals, including law enforcement officials, public health officials, and medical personnel. Parents might be included if UW institutions determine that disclosure to parents is necessary to protect the health and safety of the students or other individuals.

Transcript Orders

According to UW institution staff, the single largest volume of requests for private information from student educational records pertained to transcripts. UW institutions and contracted third-party administrators process thousands of transcript orders each month. Grade and grade point average, which are typically contained in a transcript, are private information and require prior student consent before they can be released.

FERPA requires “reasonable methods” to identify and authenticate the identity of students or others to whom institutions disclose information. The use of widely available information, such as name, social security number, student ID number, or date of birth, is not considered reasonable by the U.S. Department of Education. However, identity verification is deemed reasonable if at least one element is known or possessed only by the person, such as photo identification, personal identification number (PIN), or password.

The most common methods UW institutions used to take orders for transcripts from students were online, by mail, and in person. Twelve UW institutions offered students the option of ordering transcripts online. Ten of these twelve UW institutions contracted with third-party administrators to process online transcript orders. UW agreements with these vendors specify that the vendors must comply with FERPA. To place an order online, students are required to log in using their user ID and password as they would to any other information system to which they have access. The system generates a written authorization which the students must sign and send in after completing the order.

To order transcripts by mail, students are required to complete and sign a transcript request form. Students must provide their name, current address, email address, date of birth, and student ID

number or social security number, the name of the transcript recipient, and the student's signature. Upon receiving the request, staff in the registrar's office matches the information on the form against information in the institution's student information system. Requests with matched information are processed. If there are significant discrepancies, staff members attempt to contact the student before processing the order. Few UW institutions had the means to verify the student signature, as student signature is not maintained electronically by UW institutions.

All UW institutions also allowed students to request their transcripts in-person. However, those institutions that have online ordering options generally preferred that students order transcripts online. For instance, students who visit the registrar's office at UW-Green Bay, Milwaukee, Parkside, and River Falls to order their transcripts would be directed to a computer kiosk. To order a transcript in-person, students are required to complete and sign the transcript request form and present photo identification. At UW campuses that operated their own online transcript ordering system, students who had ordered their transcripts online can pick up transcripts in-person. Photo identification is required when picking up the transcripts. Most of the seven UW institutions we visited also accepted orders for and transmitted transcripts by fax, but only in extraordinary circumstances, only to certain university registrar or admission offices, or only when students have given consent to have the transcripts transmitted by fax.

Some UW staff interviewed indicated that until their institutions have implemented an online transcript ordering option, processing transcript orders and authenticating the identity of students will continue to be a challenge.

EMPLOYEE ACCESS TO STUDENT INFORMATION

FERPA allows university employees to have access to student information in order to perform their job responsibilities, but institutions must make sure that employees only have access if necessary. Additionally, institutions must ensure that access is properly controlled. Students should also be made aware of who has access to their records.

Definition of School Official

Under FERPA, "school officials" are allowed to have access to student records if they have a "legitimate educational interest" in those records. Although FERPA does not define these terms, the U.S. Department of Education provides in its model annual notification a definition of school official and legitimate educational interest (see Appendix 2).

Two of the seven UW institutions we visited have not adopted definitions for school official and legitimate educational interest. At the five UW institutions we visited that have adopted the definitions, four institutions' definitions of school official were consistent with the definition provided by the U.S. Department of Education. Generally, these four UW institutions defined school official as:

- a person who is employed by or serves UW institutions in an administrative, supervisory, academic, research, or staff capacity;
- a person or company with whom UW institutions have contracted to perform institutional services and functions; and

- a person serving on the Board of Regents or official institution committees.

The fifth UW institution's definition of school official did not include persons serving on the Board of Regents or official institution committees. According to the institution's FERPA officer, this UW institution had not purposely excluded this group of people. Rather, the omission was the result of not having updated their FERPA policy documents.

UW institutions' definitions of legitimate educational interest were also consistent with the definition provided by the U.S. Department of Education. School officials would be deemed to have legitimate educational interest if they need access to student educational records in order to perform their job responsibilities.

UW institutions which had adopted a definition of school official with legitimate interest published the definition in various institutional FERPA documents. However, only two of the five UW institutions we visited that have adopted a definition included the definition in a single document that served as the annual notification of FERPA rights to students. Because university employees comprise the single largest group of individuals with access to student educational records, ***we recommend that all UW institutions develop or adopt definitions of "school official" and "legitimate educational interest" and include the definition in the document that serves as the annual notification of FERPA rights to students (recommendation #6).***

Controlling Employee Access

FERPA requires institutions to use "reasonable methods" to ensure an official is given access to only those education records in which the official has a legitimate educational interest. Institutions may choose to use methods including physical controls, such as locked filing cabinets; technological controls, such as role-based access for electronic records; or administrative policies.

The greatest concentration of student records at UW institutions are contained in four offices—registrar, financial aid, dean of students, and admissions. At the seven UW institutions we visited, physical records were stored in locked drawers in locked offices. At the time of our visits, most of the offices of admissions and deans of students were transitioning to imaging systems in which the physical records were scanned into electronic information systems and subsequently shredded.

Although only a limited number of institutional staff members, mainly office staff, had access to the physical records, a larger number of staff across the institution had access to electronic records. UW institutions determine the need for access to electronic student educational records based on the staff member's need for access, and level of access is determined based on job description or role. Requests for electronic access are initiated by the supervisor of the employee seeking access in the form of a designated access approval form or an email. While access is granted through actions of designated campus information technology staff, directors of the offices maintaining student information are ultimately responsible for approving the access and determining the level of access.

Controlling access to UW computer networks and data stored in these networks is very complex. Despite measures UW institutions have put in place to safeguard their networks and data, five incidents of unauthorized disclosure of confidential information or data breaches were reported at three UW institutions. However, four of the five reported data breaches were the result of hacking. One breach was caused by the actions of UW employees, but the actions were unintended. While a data breach would be considered a FERPA violation, the U.S. Department of Education has historically taken the position that no single or isolated breach is grounds for funding termination. As noted, the U.S. Department of Education has not terminated the funding of any university with data breaches, even when repeated breaches were reported.

UW employees with access to student education records play critical roles in helping to safeguard the records to which they have access. We reviewed how UW institutions hold employees accountable for their access. Five of the seven UW institutions we visited required that all employees and student workers who have access to the student information system, which houses student academic and financial aid information, sign a confidentiality statement. By signing the statement, employees and student workers acknowledge their responsibilities regarding the proper safeguarding of confidential information and that failure to uphold these responsibilities might result in disciplinary action. Although FERPA does not require that employees and student workers sign such a confidentiality statement, requiring them to do so sends a strong signal to employees and student workers that UW institutions intend to hold them accountable for their actions. ***We recommend that all UW institutions require individuals granted access to electronic student educational records to sign a confidentiality agreement (recommendation #7).*** This agreement should address the proper safeguarding of confidential information, including the responsibility not to provide confidential information to employees and students whom have not signed a confidentiality agreement.

We also examined the process for terminating access. According to UW administrators interviewed, terminating employee access poses some challenges, as the offices having the custody of particular student records do not always have immediate knowledge of employee job terminations or changes. Access for employees within the offices with custody of particular records is normally suspended within the same day or the next day, as termination would be known immediately within the office. However, institution staff noted that personnel changes across the campus typically take more time to reach the records custodian, which may allow terminated employees access to student records that they are no longer authorized to view. A number of UW institutions, including Madison, Parkside, River Falls, Stevens Point, and Whitewater, reported that their institutions have developed or have been working with their human resources and information technology departments to develop processes for timely notification of employee terminations and suspension of access. UW-Madison also performs audits of user access twice a year to remove access due to job or employment change. ***We recommend that all UW institutions establish a process for timely removal of access when employees and student workers terminate or change their employment (recommendation #8).***

CONCLUSION

UW institutions have put in place policies and processes to ensure that FERPA requirements are adequately implemented. These included such things as designating a lead office or position to oversee institution-wide implementation, providing training, informing students of their rights, and controlling employee access to information. However, processes varied among institutions and on occasion even within a single institution. The eight recommendations included within this report are intended to result in operational improvements, and further enhance institutions' implementation of FERPA.

Appendix 1

Primary UW Institution FERPA-related Policies and Information

UW INSTITUTION	POLICY/DOCUMENT	SUMMARY AND PURPOSES	DATE OF MOST RECENT REVISION	HOSTING OFFICE
Eau Claire	Privacy of Student Records	Provides an overview of who has access to student records; defines school officials and specifies their rights pertaining to student records.	Date not indicated.	Registrar
	Your Right to Know – Educational Rights	Specifies the rights of students pertaining to their educational records and procedures to exercise these rights.	2011	Dean of Students
	Privacy of Student Records and FERPA	Provides an overview of FERPA; defines FERPA terms, including directory information, student, educational records, and school officials; establishes general criteria for who has access to student records; establishes some basic rules to be followed by faculty, staff, and student workers when handling student records.	Date not indicated.	Registrar
	Confidentiality of Student Information	Provides guidance to new employees about handling student information.	2008	Registrar
Green Bay	Family Educational Rights and Privacy Act	Specifies the rights of students and procedures for exercising these rights; provides information for parents, faculty, and staff.	Date not indicated.	Dean of Students
	Family Educational Rights and Privacy Act	Provides an overview of FERPA, FERPA rights, and exceptions to disclose student records without consent.	Date not indicated.	Financial Aid
La Crosse	Family Educational Rights and Privacy Act	Provides definitions of student, student records, directory information, and school officials; provides a description of FERPA rights and procedures for exercising these rights.	Date not indicated.	Registrar
Madison	Student Privacy Rights (FERPA)	Provides an overview of FERPA; defines FERPA terms, including directory information, educational records, and school officials; provides guidelines for faculty and staff handling student information.	2010	Registrar

Appendix 1, Continued

Primary UW Institution FERPA-related Policies and Information

UW INSTITUTION	POLICY/DOCUMENT	SUMMARY AND PURPOSES	DATE OF MOST RECENT REVISION	HOSTING OFFICE
Milwaukee	Family Educational Rights and Privacy Act	Provides an overview of FERPA; provides definitions of FERPA terms, including directory information, school official, and legitimate educational interest; establishes procedures for inspection and review of educational records, for disclosing student records, and record management.	2011	Registrar
Oshkosh	Understanding FERPA	Specifies student rights under FERPA; provides an overview of who can have access to student records and when records can be released; defines directory information; establishes procedures for students to inspect and amend their records.	2011	Registrar
Parkside	Family Educational Rights and Privacy Act (FERPA)	Provides an overview of FERPA and FERPA rights; specifies who can access student educational records and when information can be released without student consent; defines directory information; establishes some basic rules to be followed by faculty, staff, and student employees.	Date not indicated.	Registrar
	Access to Student Information Policy – Policy #1	Defines directory information and the approving authority for the various types of records.	Date not indicated.	University Governance
Platteville	Family Educational Rights and Privacy Act (FERPA) (in Policies Governing Student Life)	Provides an overview of FERPA rights; defines directory information; provides instructions to withhold directory information.	Date not indicated.	Dean of Students
	Family Educational Rights and Privacy Act (in Undergraduate Catalog)	Provides an overview of FERPA rights; defines school official and legitimate educational interest; specifies conditions under which private information can be disclosed without prior student consent.	Date not indicated, but catalog is printed at least annually.	Registrar
River Falls	Family Educational Rights and Privacy Act – FERPA	Provides an overview of FERPA rights; defines directory information, school official, and legitimate educational interest; establishes some basic rules to be followed by faculty, staff, and student employees.	Date not indicated.	Registrar

Appendix 1, Continued

Primary UW Institution FERPA-related Policies and Information

UW INSTITUTION	POLICY/DOCUMENT	SUMMARY AND PURPOSES	DATE OF MOST RECENT REVISION	HOSTING OFFICE
Stevens Point	Family Educational Rights and Privacy Act (FERPA)	Provides an overview of FERPA; defines student, educational records, in attendance, school officials, and directory information; establishes some basic rules for faculty, staff, and student workers handling student information; establishes procedures for releasing student records.	Date not indicated.	Registrar
Stout	Student Records Information	Provides a description of FERPA requirements and rights; defines directory information; specifies procedures for reviewing records, disclosing records to third-parties, and restricting directory information.	Date not indicated.	Registrar
Superior	Rights to Access and Release of Records (in Academic Policies and Procedures)	Provides an overview of FERPA rights, including procedures for exercising these rights; defines directory information and school officials.	Date not indicated, but catalog is printed at least annually.	Registrar
	Family Educational and Privacy Act (FERPA) – An Overview	Provides an overview of FERPA rights; defines school official and directory information.	Date not indicated.	Registrar
Whitewater	FERPA – Family Educational Rights and Privacy Act – UW-Whitewater Policy Statement	Provides an overview of FERPA; defines educational records and directory information; specifies the expected responsibilities associated with access to and release of student educational records.	2009	Registrar
Colleges	FERPA: Family Educational Rights and Privacy Act; Rights of Access to Student Records	Specifies the rights of students and procedures for exercising these rights; defines school officials and directory information.	Date not indicated.	Student Services
	UW Colleges Academic Records and PRISM System Security Policy Statement	Provides an overview of the responsibilities associated with access to the student information system and defines directory information.	Date not indicated.	Registrar
Extension	Release of Academic Records	Defines directory information and specifies instances in which student records may be released without consent.	Date not indicated.	Independent Learning

Sources: UW staff, institution websites, catalogs, and student handbooks.

Appendix 2

Model Notification of Rights under FERPA for Postsecondary Institutions

The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records. These rights include:

(1) The right to inspect and review the student's education records within 45 days of the day the University receives a request for access.

A student should submit to the registrar, dean, head of the academic department, or other appropriate official, a written request that identifies the record(s) the student wishes to inspect. The University official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.

(2) The right to request the amendment of the student's education records that the student believes are inaccurate, misleading, or otherwise in violation of the student's privacy rights under FERPA.

A student who wishes to ask the University to amend a record should write the University official responsible for the record, clearly identify the part of the record the student wants changed, and specify why it should be changed.

If the University decides not to amend the record as requested, the University will notify the student in writing of the decision and the student's right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

(3) The right to provide written consent before the University discloses personally identifiable information from the student's education records, except to the extent that FERPA authorizes disclosure without consent.

The University discloses education records without a student's prior written consent under the FERPA exception for disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the University has contracted as its agent to provide a service instead of using University employees or officials (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the University.

[Optional] Upon request, the University also discloses education records without consent to officials of another school in which a student seeks or intends to enroll. [NOTE TO UNIVERSITY: FERPA requires an institution to make a reasonable attempt to notify each student of these disclosures unless the institution states in its annual notification that it intends to forward records on request.]

(4) The right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with the requirements of FERPA. The name and address of the Office that administers FERPA is:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-5901

[NOTE: In addition, an institution may want to include its directory information public notice, as required by § 99.37 of the regulations, with its annual notification of rights under FERPA.]

Source: <http://www2.ed.gov/policy/gen/guid/fpco/ferpa/ps-officials.html>

Appendix 3

Information Designated as Directory Information by UW Institutions

INFORMATION	UW INSTITUTION														
	Eau Claire	Green Bay	La Crosse *	Madison	Milwaukee	Oshkosh	Parkside	Platteville	River Falls	Stevens Point **	Stout	Superior	Whitewater	Colleges ***	Extension
Student Name	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√
Address	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√
Email address		√	√	√	√	√	√	√	√	√	√	√	√		√
Telephone number	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√
Date of birth	√			√	√	√	√				√	√		√	√
Place of birth					√	√				√					
Major field of study	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√
Minor field of study	√								√	√			√		
College	√	√	√		√			√	√	√					
Date of registration (matriculation)				√	√	√	√			√	√				√
Dates of attendance	√	√	√	√	√	√	√	√	√	√	√	√	√	√	
Enrollment status (full- or part-time)	√		√	√	√	√	√	√	√	√	√		√	√	
Classification		√	√	√	√	√	√			√	√		√		
Graduation date or expected date of graduation		√	√	√	√	√	√	√		√			√		
Withdrawn/withdrawal date			√	√			√		√	√	√				
Honors and awards received	√	√	√	√	√	√	√	√	√	√	√		√	√	√
Date honors and awards granted			√	√		√				√					
Degree received	√	√	√	√	√	√	√	√		√	√		√	√	√
Type of degree			√	√						√					
User ID	√														
Participation in officially recognized sport or activity	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√

Appendix 3, Continued

Information Designated as Directory Information by UW Institutions

INFORMATION	UW INSTITUTION														
	Eau Claire	Green Bay	La Crosse *	Madison	Milwaukee	Oshkosh	Parkside	Platteville	River Falls	Stevens Point **	Stout	Superior	Whitewater	Colleges ***	Extension
Height and weight of members of athletic teams	√	√	√	√	√	√	√	√	√	√	√	√	√	√	√
Previous or most recent institution(s) attended	√	√	√	√	√	√	√	√		√	√		√	√	√
Gender														√	
Marital status														√	
Name and address of parent/guardian/spouse										√				√	
Number of credits earned				√					√					√	
Credit load				√				√		√				√	
High school graduated from										√					

Source: UW institutions.

* College, dates of attendance, withdrawn/withdrawal date, and type of degree are not specifically listed as directory information, but they are covered as directory information under enrollment status, school/college status, award/honors and degrees conferred.

** Enrollment status (full or part-time) is not specifically listed as a directory information, but credits carried in a term provides the same information.

***Gender, marital status, name and address of parent/guardian/spouse, number of credits earned, and credit load are listed as directory information in the UW Colleges Academic Records and Prism System Security Policy Statement, but not in the UW Colleges Rights and Regulations booklet.

OFFICE OF OPERATIONS REVIEW AND AUDIT QUARTERLY STATUS UPDATE

EXECUTIVE SUMMARY

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

This item is for information only.

STATUS REPORT ON MAJOR PROJECTS

Recently Issued Engagement Reports

The following represents a summary of engagement reports issued since October 6, 2011, which represents the most recent Office of Operations Review and Audit Status Update provided to the Business, Finance, and Audit Committee of the Board of Regents:

Engagement Number	Engagement Title, Description, and Status
2011-08	Review of Family Educational Rights and Privacy Act (FERPA) Implementation – The objectives of this compliance review engagement include identifying how institutions structure and provide oversight for FERPA implementation; reviewing institutions' FERPA policies and procedures; understanding the types of FERPA-related training offered; and evaluating practices in such areas as the release of information, directory information, and record access. The engagement report was issued in November 2011, and includes eight recommendations.
2011-09	NCAA Division III Athletics – La Crosse – The objectives of this engagement include evaluating the design and effectiveness of the processes and controls related to various aspects of Division III athletics at the University of Wisconsin – La Crosse for the year ended June 30, 2011, including compliance with state and NCAA regulations. The engagement report was issued in December 2011, and includes ten observations.

Recently Issued Engagement Reports, Continued

Engagement Number	Engagement Title, Description, and Status
2011-11	Policies Affecting Students with Disabilities – The objective of this audit was to evaluate compliance with key components of RPD 14-10 and the Guidelines, and to verify that UW System policies reflect amendments to the ADA. The engagement report was issued in November 2011, and includes five observations.

Active Engagements

The following represents a summary of active engagements that are currently in process:

Engagement Number	Engagement Title, Description, and Status
2011-10	NCAA Division III Athletics – Eau Claire – The objectives of this engagement include evaluating the design and effectiveness of the processes and controls related to various aspects of Division III athletics at the University of Wisconsin – Eau Claire for the year ended June 30, 2011, including compliance with state and NCAA regulations. Fieldwork is substantially complete, and the engagement report is currently being drafted.
2011-12	Undergraduate Academic and Career Advising – The objectives of this engagement include evaluating the organization and staffing of the University of Wisconsin System’s academic and career advising programs; obtaining an understanding of policies and procedures used to guide academic and career advising services, including evaluating whether such guidance is consistent with industry standards; and gathering information regarding student use of academic and career advising services. The engagement memorandum was issued in September 2011 and fieldwork (including site visits to six institutions) is currently underway.
2011-13	Privacy Controls Related to Personally Identifiable Information – The objectives of this engagement include evaluating the University of Wisconsin System’s policies, processes, and procedures related to the protection of personally identifiable information of its employees. The engagement memorandum was issued in September 2011. Fieldwork is nearing completion, after which time the engagement report will be drafted.

Other Significant Projects

In addition to performing engagements described above, the Office of Operations Review and Audit has actively participated in other initiatives and internal projects. A summary of significant projects is as follows:

- **Audit Plan Development Process** – The Office of Operations Review and Audit is actively developing the 2012 Audit Plan using a multi-phased collaborative approach that seeks input from key stakeholders within the University of Wisconsin System to identify operational, reputational, strategic, financial, and compliance risks.
- **Enterprise Risk Management (ERM) Project** – As defined by the Institute of Internal Auditors, “ERM is a structured, consistent, and continuous process for identifying, accessing, deciding on responses to, and reporting on opportunities and threats that affect the achievement of organization objectives.” The Office of Operations Review and Audit provides ongoing ERM Project Support, and assists in the coordination of the ERM Project in collaboration with members of the UW System Administration offices of Academic Affairs, Administrative Services, Financial Administration, and General Counsel. An ERM orientation and workshop was performed at UW-River Falls during October and November 2011, and ERM initiatives are currently being scheduled for spring 2012 at UW-Platteville.
- **Changes to the Shared Financial System (SFS)** – On a quarterly basis, the Office of Operations Review and Audit conducts an audit of programming changes made to the Shared Financial System. These audits are intended to ensure that incompatible duties are appropriately separated in the program change process.

LEGISLATIVE AUDIT BUREAU PROJECTS

The Legislative Audit Bureau is working on the annual audit of UW System’s financial statements for fiscal year 2010-11 and the annual compliance audit of federal grants and expenditures, including student financial aid, for fiscal year 2010-11. The Legislative Audit Bureau is also conducting a performance evaluation audit of the economic development programs administered by state agencies.

POTENTIAL 2012 AUDIT PLAN TOPICS OFFICE OF OPERATIONS REVIEW AND AUDIT

EXECUTIVE SUMMARY

BACKGROUND

The Office of Operations Review and Audit provides objective review and analysis services in order to add value to, protect, and strengthen the University of Wisconsin System. Annually, the Office develops a risk-based audit plan to determine internal audit activity priorities, consistent with the organization's goals.

REQUESTED ACTION

This item is for information only.

DISCUSSION

At its September 8, 2011 meeting, the Board of Regents endorsed President Reilly's *Response to the Final Report of the President's Advisory Committee on the Roles of UW System Administration*, which proposed that future System audits be based on risk analysis and institution impact. In order to meet this objective, the Office of Operations Review and Audit revised its annual audit plan development process to ensure that the proposed plan focuses on those areas considered to be of the highest risk and priority to the Board of Regents, the University of Wisconsin System, and its colleges, universities, and extension.

The final 2012 audit plan will be presented to the Business, Finance, and Audit Committee at its February 2012 meeting. The enclosed *Proposed Audit Plan Topics* highlights potential topics being considered for inclusion in the 2012 audit plan for discussion purposes prior to finalization of the 2012 audit plan.

RELATED REGENT POLICIES

None

**UNIVERSITY OF WISCONSIN SYSTEM
OFFICE OF OPERATIONS REVIEW AND AUDIT
PROPOSED AUDIT PLAN TOPICS
CALENDAR YEAR 2012**

PURPOSE OF THE ANNUAL AUDIT PLAN

The International Standards for the Professional Practice of Internal Auditing (Standards) require internal audit functions establish risk-based plans to determine the priorities of the internal audit activity, consistent with the organization's goals. The goal of the Office of Operations Review and Audit is to develop an audit plan that provides coverage of significant areas of risk, while concurrently providing coverage of a broad range of operations over time. The audit plan represents a guide that will remain flexible to accommodate requests for assistance from the Board of Regents and management of the University of Wisconsin System, its colleges, universities, and extension.

DEVELOPMENT OF THE ANNUAL AUDIT PLAN

At its September 8, 2011 meeting, the Board of Regents endorsed President Reilly's *Response to the Final Report of the President's Advisory Committee on the Roles of UW System Administration*, which proposed that future System audits be based on risk analysis and institution impact. In order to meet this objective, the Office of Operations Review and Audit revised its annual audit plan development process to ensure that the proposed plan focuses on those areas considered to be of the highest risk and priority to the Board of Regents, the University of Wisconsin System, and its colleges, universities, and extension.

The annual plan development process is a multi-phased collaborative approach that seeks input from key stakeholders within the University of Wisconsin System to identify operational, reputational, strategic, financial, and compliance risks. The process includes (1) performing a risk assessment survey to help identify higher risk areas; (2) conducting risk assessment discussions with a representative selection of key stakeholders throughout the University of Wisconsin System, including members of the Board of Regents, System Administration management, institution management, institutional internal auditors, student representatives, faculty representatives, and academic staff representatives; (3) reviewing Board of Regents policies, University of Wisconsin System policies and procedures, state and federal laws and requirements, and changes therein; (4) considering institutional internal audits and external review activities or inquiries, such as those by the Legislative Audit Bureau and federal oversight agencies; and (5) considering areas receiving attention at other colleges and universities.

PROPOSED TOPICS FOR CONSIDERATION

The final 2012 audit plan will be presented to the Business, Finance, and Audit Committee at its February 2012 meeting. The following provides a listing of topics being considered for inclusion within the 2012 audit plan. While resources within the Office of Operations Review and Audit are not sufficient to complete engagements related to each of the topics below during calendar year 2012, these topics are being highlighted for discussion purposes as the plan evolves and is finalized:

- (1) **System Security and Access:** While offering tremendous benefits, rapid and dramatic advances in information technology have also created significant and unprecedented operational risks. Security measures over information systems are critical to mitigate the risk of data tampering, fraud, inappropriate access to and disclosure of sensitive information, and disruptions in critical operations. An audit of internal controls related to information systems security would involve providing independent evaluations of policies, procedures, standards, measures, and practices for safeguarding electronic information from loss, damage, unintended disclosure, or denial of availability. Due to the large number of systems and access paths across the University of Wisconsin System, this engagement would focus on specifically identified systems and access paths.
- (2) **Information Technology and Software Purchasing and Procurement:** The System has a large number of software users across its various institutions. An operational audit would seek to obtain an understanding of whether appropriate processes exist to ensure the System and its colleges, universities, and extension are effectively leveraging the large number of potential software users in order to realize the most cost-effective procurement options related to software purchases.
- (3) **Outside Activities Reporting:** In accordance with state and System policies, faculty and academic staff are required to report outside activities to ensure that they do not conflict with public responsibilities to the University of Wisconsin System or the institution at which the individual is employed. Additionally, federal agencies have instituted policies requiring the disclosure of conflicts of interest that could impact research or educational activities funded by federal dollars, or significant financial interests that could impact such activities. To the extent appropriate mechanisms to track outside activities are not in existence, the System and its colleges, universities, and extension could be at risk for loss of grant funding or negative public perception. A compliance audit related to guidelines for outside activities reporting would consider policies currently in place with respect to outside activities reporting, mechanisms used to track such information (electronic or manual), timeliness of outside activities reporting, monitoring mechanisms in place, and follow-up on select recommendations from the review of outside activities reporting issued by the Office of Operations Review and Audit in 2000.
- (4) **Ethics Policies:** As part of adopting its new personnel system, the System will implement ethics policies applicable to all employees, whereas currently separate policies exist related to classified and unclassified personnel. An engagement related to

ethics policies could provide a timely assessment of the existing ethics policies that will serve as a foundation for future policies, and identify gaps that may exist between such policies and those that will no longer be applicable. Consideration will also be given to whether policies conform to applicable federal requirements, state requirements, and industry standards, as applicable.

- (5) **Employee Payroll Information:** Utilizing computer assisted auditing tools, an audit could be performed to systematically identify conditions or trends within the University of Wisconsin System's payroll data that may warrant further review or investigation. For instance, computer assisted auditing tools can systematically assess whether social security numbers are valid, whether duplicate social security numbers are assigned to multiple individuals, or other unusual trends that could indicate either errors in payroll data or the existence of fictitious employees.
- (6) **Vendor-Employee Address Review:** Utilizing computer assisted auditing tools, an audit could be performed to systematically identify whether vendors and employees have the same or similar addresses. This could identify potential conflicts of interest, fictitious vendors, or other inappropriate activities. To the extent items are identified via the systematic review, further review or investigation may be performed, if appropriate.
- (7) **International Education (Study Abroad Programs):** The University of Wisconsin System's website lists over 450 international education programs supported by its colleges and universities. An audit related to the University of Wisconsin System's study abroad programs would evaluate how institutions comply with existing System guidelines and policies, and understand whether such policies effectively manage risk associated with students participating in such programs. In addition, consideration will be given to how institutions determine whether international education programs trigger various U.S. reporting and regulatory requirements.
- (8) **International Education (International Student Enrollment at University of Wisconsin Institutions):** Over 6,000 international students are enrolled at University of Wisconsin institutions. An audit related to the University of Wisconsin System's international student enrollment would evaluate the rules and regulations governing the international student enrollment process, evaluate controls and processes in place to ensure compliance with selected rules and regulations, and test the effectiveness of select controls and processes.
- (9) **Financial Reporting – GAAP Submission:** The accuracy of financial reports is essential in facilitating effective decision making processes within the University of Wisconsin System. Annually, each institution provides information to the University of Wisconsin System's Office of Financial Administration via a Generally Accepted Accounting Principles (GAAP) Submission, which is summarized and used to prepare Systemwide financial reports. A financial and operational audit of the GAAP Submission process could evaluate the consistency of select information provided by institutions; examine the methods of consolidating information for Systemwide

reporting purposes; and evaluate whether operational efficiencies related to the information collection and consolidation process exist.

- (10) **Completion and Placement Rates Data:** Job placement data for academic programs has been the subject of recent scrutiny as graduates struggle to find jobs after graduation in a sluggish economy. An operational audit would evaluate the prevalence of publication of placement rates by University of Wisconsin institutions, determine the source of data for calculating, methodology used, and whether such calculations are reasonable and accurate.
- (11) **Security of Mobile Technology:** As mobile devices such as smartphones and tablets become increasingly popular, the University of Wisconsin System is exposed to increased risk of sensitive data being vulnerable to unauthorized access. An internal controls and operational audit could evaluate the controls the University of Wisconsin System and its colleges, universities, and extension have in place to ensure the protection and security of information on mobile devices.
- (12) **Policy Audit:** President Reilly's *Response to the Final Report of the President's Advisory Committee on the Roles of UW System Administration* indicated that the University of Wisconsin System would work with the Board of Regents to review, update, and eliminate outdated policies that inhibit innovative management approaches. An operational audit related to existing UW System policies could examine a series of existing policies; consider such policies' conformance to current System priorities; evaluate continued applicability compared to current legal and regulatory requirements; and provide recommendations as to whether modification or elimination of System policies may be appropriate.
- (13) **Policies Related to Reporting of Crimes Against Minors:** In the wake of scandals regarding allegations of crimes against children at higher education institutions, it is essential to evaluate the adequacy of policies related to the reporting of crimes against minors at the University of Wisconsin System and its colleges, universities, and extension. A review of this topic would encompass understanding existing state law and UW System and institution policies related to the reporting of crimes against minors; evaluating the sufficiency and effectiveness of methods used to communicate policies to employees, students, and agents of the University of Wisconsin that may interact with minors while performing duties on and off University of Wisconsin premises; understanding the availability and effectiveness of mechanisms to report crime; evaluating protocols used to investigate allegations of crime internally, including whether adequate independence exists related to such investigations; evaluating the method of determining whether to involve external law enforcement agencies; and assessing areas that may result in risk to the System due to inadequate policies or procedures.

MAJOR PROJECTS CONTINUING INTO CALENDAR YEAR 2012

In addition to new projects to be included within the 2012 audit plan, certain projects from the 2011 review and audit plan are currently underway, and will continue into calendar year 2012.

- **Undergraduate Academic and Career Advising:** Research has found that student retention is affected by the level and quality of advising. The objectives of this engagement include evaluating the organization and staffing of University of Wisconsin institutions' academic and career advising programs; obtaining an understanding of policies and procedures used to guide academic and career advising services, including evaluating whether such policies and guidelines provide guidance consistent with industry standards; and gathering information regarding student utilization of academic and career advising services. Fieldwork for this engagement is currently underway, and the final report is expected to be issued in early 2012.
- **Privacy Controls Related to Personally Identifiable Information:** As systems and processes become increasingly complex and sophisticated, growing amounts of personal information are being collected—personal information that may be exposed to a variety of vulnerabilities, including loss, misuse, or unauthorized access and disclosure. The objectives of this engagement include evaluating the University of Wisconsin System's policies, processes, and procedures related to the protection of personally identifiable information of its employees, including comparing established policies, processes, and procedures to reputable privacy frameworks. Fieldwork for this engagement is nearing completion, and the final report is expected to be issued in early 2012.
- **Software Licensing:** In recent years, the terms of software licenses have become increasingly complex and regulated. Additionally, there has been an increase in the number of software licensing compliance audits performed by software developers, as well as an increase in fines related to software licensing violations. If the UW System's internal control procedures are not sufficient, it could result in significant monetary or reputational risk exposures. The objectives of this engagement focus specifically on policies, procedures, and practices related to software acquisition and use; the installation of non-System-owned software on System computers; the home use of System-owned software; software inventorying, deployment, and tracking processes; and the disposal of unused or unnecessary software. Fieldwork for this engagement will commence in late 2011, and the final report is expected to be issued in 2012.
- **NCAA Division III Athletics:** Except for UW-Madison, Milwaukee, Green Bay, and Parkside, all University of Wisconsin universities participate in NCAA Division III athletics. The Office of Operations Review and Audit is conducting engagements at each of these institutions to evaluate the design and effectiveness of the processes and controls related to various aspects of Division III athletics, including compliance with state and NCAA regulations. To date, audits have been completed at UW-La Crosse and Whitewater. This is a multi-year project, and will remain on the Office of Operations Review and Audit's annual plans until all programs have been completed.

University of Wisconsin System Trust Funds
Investment Policy Statement

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

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

UNIVERSITY OF WISCONSIN SYSTEM TRUST FUNDS INVESTMENT POLICY STATEMENT

EXECUTIVE SUMMARY

BACKGROUND

The current version of Regent Policy 31-9, the *Investment Policy Statement* (“IPS”) for the UW System Trust Funds, was last approved/reaffirmed by the Board at its meeting of December 9, 2010. The preface of that document states the following under the section entitled *Review of the IPS*: “Given the centrality of the IPS itself in ensuring that the Board meets its fiduciary responsibilities and effectively oversees the management of the investment program, it is imperative that the Board review the IPS on an on-going basis. Although long-range and strategic in nature, the IPS should nevertheless be considered a living document; revisions and further refinements may be required as and when goals, constraints, or external market conditions change significantly.”

Two key elements of the IPS are the strategic asset allocation targets for both the Long Term and Intermediate Term Funds, and the spending policy for the Long Term Fund (the Fund used for endowments). This annual review of the IPS in its entirety provides for the periodic review of asset allocations and spending policy.

REQUESTED ACTION

Approval of Resolution I.2.e.1.

DISCUSSION

A detailed asset allocation and spending plan analysis was presented to the Business, Finance, and Audit Committee at its meeting of October 6, 2011. That analysis was largely for informational purposes, and no specific recommendations were made at that time. It was, however, noted that further analysis and thought would take place prior to making final recommendations as part of the annual review of the IPS at the December Board meeting. It was also noted that in regards to asset allocation targets, “more minor tweaks than significant shifts” were anticipated.

Although no change to the endowment spending rate (four percent of average market value per annum) is being recommended, some minor modifications to the asset allocation targets for both the Long Term and Intermediate Term Funds *are* recommended. The report attached to this executive summary shows both the existing allocation targets, as well as the new, recommended

allocations for each Fund. Generally, it is expected that the revised asset allocation targets will improve the long-term risk/return profiles and the investment “efficiency” of the Funds.

Aside from these asset allocation revisions, very few substantive changes to the body of the IPS are recommended. Under the section entitled “Core Investment Philosophy and Beliefs,” two new paragraphs have been added, and these are reproduced in the attached report. Also, a few minor changes have been made to asset class categories and their descriptions, and, in some cases, their associated benchmarks. These changes are described in the attached report, as well.

RELATED REGENT POLICIES

Regent Policy 31-9: *Investment Policy Statement*

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

UNIVERSITY OF WISCONSIN SYSTEM TRUST FUNDS

INVESTMENT POLICY STATEMENT: RECOMMENDED REVISIONS

ASSET ALLOCATIONS AND BENCHMARKS FOR THE LONG TERM FUND

CURRENT: *(Effective December 5, 2008)*

	Target <u>Strategic Allocations</u>	<u>Allowable Ranges</u>
Growth and High-Yielding Assets		
U.S. Equities	15.0%	10% - 20%
Non-U.S. Equities	12.5%	9% - 16%
Emerging Market Equities	10.0%	7% - 13%
Private Equity	10.0%	5% - 15%
High Yield Debt	<u>7.5%</u>	<u>5% - 10%</u>
	<u>55.0%</u>	<u>40% - 70%</u>
Event Risk- and Deflation-Hedge Assets		
U.S. Bonds	10.0%	7% - 13%
U.S. Cash	0.0%	0% - 10%
Absolute Return	<u>10.0%</u>	<u>7% - 13%</u>
	<u>20.0%</u>	<u>15% - 35%</u>
Real and Inflation-Hedge Assets		
U.S. TIPS	7.5%	5% - 10%
Real Assets	<u>17.5%</u>	<u>12% - 23%</u>
	<u>25.0%</u>	<u>17% - 35%</u>
Opportunistic	<u>0.0%</u>	<u>0% - 10%</u>
	<u>100.0%</u>	

PROPOSED: *(As of December 9, 2011)*

	Target <u>Strategic Allocations</u>	<u>Min./Max. Guidelines</u>
Growth and High-Yielding Assets		
Global Developed Market Equities	27.5%	20% - 50%
Emerging Market Equities	7.5%	0% - 20%
Private Equity	10%	5% - 15%
High Yield Debt/Credit	10%	0% - 20%
Directional Hedge Fund Strategies	<u>0%</u>	<u>0% - 15%</u>
	<u>55%</u>	<u>25% - 80%</u>
Event Risk- and Deflation-Hedge Assets		
High Quality Debt/Credit	15%	10% - 50%
U.S. Cash	0%	0% - 15%
Absolute Return Strategies	<u>10%</u>	<u>5% - 20%</u>
	<u>25%</u>	<u>15% - 50%</u>
Real and Inflation-Hedge Assets		
U.S. TIPS	5%	5% - 15%
Real Assets	<u>15%</u>	<u>5% - 25%</u>
	<u>20%</u>	<u>10% - 35%</u>
Opportunistic	<u>0%</u>	<u>0% - 20%</u>
	<u>100%</u>	

**TARGET ASSET ALLOCATIONS FOR THE LONG TERM FUND WITH
GLOBAL TACTICAL ASSET ALLOCATION INCORPORATED**

CURRENT: *(Effective December 5, 2008)*

	<u>Target Allocations</u>	<u>Allowable Ranges</u>
Global Tactical Asset Allocation	<u>25.0%</u>	<u>20% - 30%</u>
Growth and High-Yielding Assets		
U.S. Equities	10.0%	7% - 13%
Non-U.S. Equities	8.0%	6% - 10%
Emerging Market Equities	6.5%	5% - 8%
Private Equity	10.0%	5% - 15%
High Yield Debt	5.0%	3% - 7%
	<u>39.5%</u>	<u>30% - 50%</u>
Event Risk- and Deflation-Hedge Assets		
U.S. Bonds	6.5%	5% - 8%
U.S. Cash	0.0%	0% - 10%
Absolute Return	6.5%	5% - 8%
	<u>13.0%</u>	<u>10% - 25%</u>
Real and Inflation-Hedge Assets		
U.S. TIPS	5.0%	3% - 7%
Real Assets	17.5%	12% - 23%
	<u>22.5%</u>	<u>15% - 30%</u>
Opportunistic	0.0%	0% - 10%
	<u>100.0%</u>	

PROPOSED: *(As of December 9, 2011)*

	<u>Target Allocations</u>	<u>Min./Max. Guidelines</u>
Global Tactical Asset Allocation	<u>25%</u>	<u>20% - 30%</u>
Growth and High-Yielding Assets		
Global Developed Market Equities	18%	15% - 35%
Emerging Market Equities	5%	0% - 10%
Private Equity	10%	5% - 15%
High Yield Debt/Credit	7%	0% - 15%
Directional Hedge Fund Strategies	0%	0% - 15%
	<u>40%</u>	<u>20% - 60%</u>
Event Risk- and Deflation-Hedge Assets		
High Quality Debt/Credit	10%	5% - 35%
U.S. Cash	0%	0% - 10%
Absolute Return Strategies	7%	0% - 15%
	<u>17%</u>	<u>10% - 35%</u>
Real and Inflation-Hedge Assets		
U.S. TIPS	3%	0% - 10%
Real Assets	15%	5% - 25%
	<u>18%</u>	<u>5% - 25%</u>
Opportunistic	0%	0% - 20%
	<u>100%</u>	

STRATEGIC ASSET ALLOCATIONS FOR THE INTERMEDIATE TERM FUND

CURRENT: *(Effective September 7, 2007)*

	Target <u>Strategic Allocations</u>	<u>Allowable Ranges</u>
Growth and High-Yielding Assets		
U.S. Equities	7.5%	6% - 9%
Non-U.S. Equities	7.5%	6% - 9%
Emerging Market Equities	0.0%	0% - 3%
Private Equity	0.0%	0%
High Yield Debt	<u>5.0%</u>	<u>4% - 6%</u>
	<u>20.0%</u>	<u>15% - 25%</u>
Event-Risk and Deflation-Hedge Assets		
U.S. Bonds	40.0%	30% - 50%
U.S. Cash	10.0%	5% - 15%
Absolute Return	<u>10.0%</u>	<u>8% - 12%</u>
	<u>60.0%</u>	<u>45% - 75%</u>
Real and Inflation-Hedge Assets		
U.S. TIPS	20.0%	15% - 25%
Real Assets	<u>0.0%</u>	<u>0%</u>
	<u>20.0%</u>	<u>15% - 25%</u>
	<u>100.0%</u>	

PROPOSED: *(As of December 9, 2011)*

	Target <u>Strategic Allocations</u>	<u>Min./Max. Guidelines</u>
Growth and High-Yielding Assets		
Global Developed Market Equities	15%	5% - 20%
Emerging Market Equities	0%	0% - 5%
High Yield Debt/Credit	<u>5%</u>	<u>0% - 10%</u>
	<u>20%</u>	<u>5% - 25%</u>
Event Risk- and Deflation-Hedge Assets		
High Quality Debt/Credit	50%	40% - 75%
U.S. Cash	5%	0% - 15%
Absolute Return Strategies	<u>10%</u>	<u>5% - 15%</u>
	<u>65%</u>	<u>45% - 80%</u>
Real and Inflation-Hedge Assets		
U.S. TIPS	<u>15%</u>	<u>5% - 30%</u>
	<u>100%</u>	

Investment Policy Statement Proposed Changes

The following paragraphs are recommended for inclusion under the section of the Investment Policy Statement entitled “Core Investment Philosophy and Beliefs:”

Various Investment Beliefs and Biases. Generally, it is believed that successful investment programs and portfolios will reflect and incorporate the following long-term, strategic tenets and biases:

- Value(ation) orientation – that is, for a risky investment to be attractive, its price should reflect a significant “margin of safety” or discount versus some reasonable valuation of the asset.
- Price paid is always a major determinant of realized investment returns.
- Mean reversion is powerful and inevitable – that is, in virtually all things economic within competitive, capitalist systems (e.g., profit margins, economic growth rates, real interest rates, credit spreads, asset pricings, etc.), values at extremes will revert to long-term averages.
- Particularly for equities, and contrary to theory, higher risk stocks/companies underperform lower risk stocks/companies, where risk is viewed in terms of such things as beta, volatility, quality (e.g., in regards to profitability, leverage, etc.), and size; therefore, large or even mega-cap, high-quality stocks/companies should form the strategic core of equity portfolios.
- One risk factor that the market generally compensates for on average is “illiquidity;” therefore, all else being equal, portfolios should reflect a bias towards less liquid assets.

Keep It Simple. The central premise here is that overall simplicity in an investment program is generally a virtue. Complex new investment schemes (e.g., “portable alpha,” “risk parity,” complex “overlay strategies,” etc.) should be treated with great skepticism. Generally, the simple basics of sound investing practices (as discussed throughout this section) are sufficient to garner long-term investment success. Complex schemes and strategies should only be entertained if they are fully understood in terms of risks (often new and complex), expected rewards, and their impact on and interaction with the overall investment portfolio under not only “normal” but extreme market and economic conditions as well.

Also, a few minor changes have been made to asset class categories and their descriptions, and, in some cases, their associated benchmarks. Specifically, 1) “U.S. Equities” and “Non-U.S. Equities” have been compressed into a single asset class, “Global Developed Market Equities;” 2) the “U.S. Bonds” asset class has been re-cast more broadly into a “High Quality Debt/Credit” category; 3) the asset class/strategy category “Directional Hedge Funds” (e.g., long-biased equity or high yield/distressed debt strategies) has been introduced under the “super-category” of *Growth and High-Yielding Assets*; and 4) the “Absolute Return” category has been further described as the “Absolute Return/Non-Directional Hedge Funds” category.

UW-Madison Contractual Agreement
With Sunovion Pharmaceuticals, Inc.

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the 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 contractual agreement between the University of Wisconsin-Madison and Sunovion Pharmaceuticals, Inc.

UW-MADISON CONTRACTUAL AGREEMENT WITH SUNOVION PHARMACEUTICALS, INC.

EXECUTIVE SUMMARY

BACKGROUND

UW Board of Regents policy requires any grant or contract with private profit-making organizations in excess of \$500,000 be presented to the Board for formal acceptance prior to execution.

REQUESTED ACTION

Approval of Resolution I.2.g.2.

That, upon the 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 contractual agreement between the University of Wisconsin-Madison and Sunovion Pharmaceuticals, Inc.

DISCUSSION AND RECOMMENDATIONS

The Office of Research and Sponsored Programs at the University of Wisconsin-Madison has negotiated a Data Analysis Research Agreement with Sunovion Pharmaceuticals, Inc. (formerly known as Dainippon Sumitomo Pharma America, Inc.). In consideration for providing the Research Services, Sunovion Pharmaceuticals, Inc. shall pay UW-Madison an estimated total amount of \$682,465. This Data Analysis Research Agreement, originally effective May 1, 2009 (the "Effective Date"), is being extended through December 31, 2014 (the "Expiration Date"). It is this extension and attendant \$229,919 increase in contract revenues that bring this agreement to the Board for approval. This research will be conducted by the Department of Biostatistics and Medical Informatics under the direction of Dr. Thomas Cook.

The Department of Biostatistics and Medical Informatics shall provide the analysis plan and detailed confidential interim analyses for the Independent Data Monitoring Committee (IDMC). The Statistical Data Analysis Center (SDAC) at UW-Madison agrees to be the statistical data analysis center for the Data Safety Monitoring Committee for the clinical trials sponsored by Sunovion Pharmaceuticals, Inc.

RELATED REGENT POLICIES

Regent Resolution 8074, dated February 2000, Authorization to Sign Documents

QUARTERLY REPORT OF GIFTS, GRANTS, AND CONTRACTS JULY 1, 2011 THROUGH SEPTEMBER 30, 2011

EXECUTIVE SUMMARY

BACKGROUND

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

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

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

REQUESTED ACTION

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

DISCUSSION

Attached is a summary report of gifts, grants, and contracts awarded to University of Wisconsin System institutions in the three month period July 1, 2011 through September 30, 2011. Total gifts, grants, and contracts for the period were approximately \$578.1 million; this is a decrease of \$93.9 million over the same period in the prior year. Federal awards decreased \$111.0 million while non-federal awards increased by \$17.1 million.

RELATED REGENT POLICIES

Regent Resolution Number 7548 dated September 4, 1997

**UNIVERSITY OF WISCONSIN SYSTEM
GIFTS, GRANTS AND CONTRACTS AWARDED
QUARTERLY REPORT & PRIOR-YEAR COMPARISON
FISCAL YEAR 2011-2012 (1st Quarter)**

FISCAL YEAR 2011-2012	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
Total	40,565,952	26,972,723	1,552,331	34,320,456	13,015,277	365,989,509	95,747,858	578,164,105
Federal	24,478,024	19,186,112	0	7,557,235	0	244,977,172	90,358,093	386,556,636
Nonfederal	16,087,928	7,786,610	1,552,331	26,763,222	13,015,277	121,012,338	5,389,765	191,607,469

FISCAL YEAR 2010-2011

Total	65,773,888	31,990,967	1,636,036	34,994,525	11,613,856	387,280,365	138,775,542	672,065,179
Federal	55,685,555	24,911,451	0	9,103,574	0	274,666,540	133,244,299	497,611,419
Nonfederal	10,088,333	7,079,516	1,636,036	25,890,950	11,613,856	112,613,825	5,531,243	174,453,760

INCREASE(DECREASE)

Total	(25,207,936)	(5,018,244)	(83,705)	(674,069)	1,401,421	(21,290,857)	(43,027,684)	(93,901,074)
Federal	(31,207,531)	(5,725,339)	0	(1,546,339)	0	(29,689,368)	(42,886,206)	(111,054,783)
Nonfederal	5,999,595	707,094	(83,705)	872,270	1,401,421	8,398,512	(141,477)	17,153,710

UNIVERSITY OF WISCONSIN SYSTEM
GIFTS, GRANTS AND CONTRACTS AWARDED - BY INSTITUTION
QUARTERLY REPORT & PRIOR-YEAR COMPARISON
FISCAL YEAR 2011-2012 (1st Quarter)

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
FISCAL YEAR 2011-2012								
Madison	13,772,020	17,214,999	1,533,098	25,329,110	12,962,425	347,429,313	14,379,549	432,620,514
Milwaukee	4,179,839	2,443,170	9,311	1,521,046	0	12,746,513	18,964,482	39,864,360
Eau Claire	969,110	1,312,506	0	0	0	496,370	7,002,101	9,780,087
Green Bay	0	19,525	4,159	25,735	0	260,407	448,032	757,858
La Crosse	75,183	0	0	44,896	0	350,404	4,020,191	4,490,674
Oshkosh	2,024,243	5,237,219	0	0	0	1,891,955	7,873,329	17,026,746
Parkside	31,792	3,000	0	11,450	0	305,153	200,400	551,795
Platteville	289,263	0	0	366,105	0	184,773	4,416,970	5,257,111
River Falls	5,208	100	5,764	711,430	15,000	25,665	4,771,923	5,535,090
Stevens Point	307,782	251,113	0	49,895	0	593,219	8,010,077	9,212,086
Stout	695,055	149,770	0	1,372,918	0	696,184	6,287,321	9,201,248
Superior	24,500	0	0	773,760	0	944,025	2,558,647	4,300,932
Whitewater	14,922	26,023	0	2,860,483	37,852	14,842	6,863,248	9,817,370
Colleges	(2,750)	0	0	1,203,428	0	0	9,951,588	11,152,266
Extension	18,179,785	0	0	0	0	0	0	18,179,785
System-Wide	0	315,298	0	50,200	0	50,686	0	416,184
Totals	40,565,952	26,972,723	1,552,331	34,320,456	13,015,277	365,989,509	95,747,858	578,164,105
Madison	13,045,417	10,644,091	0	352,778	0	228,907,645	9,654,581	262,604,511
Milwaukee	2,770,877	1,872,134	0	958,346	0	11,285,157	18,912,557	35,799,071
Eau Claire	425,264	1,308,385	0	0	0	484,670	7,001,184	9,219,503
Green Bay	0	(6,000)	0	235	0	73,365	422,232	489,832
La Crosse	0	0	0	0	0	171,631	4,011,275	4,182,906
Oshkosh	1,251,765	4,944,572	0	0	0	1,630,533	7,873,329	15,700,199
Parkside	0	0	0	0	0	289,203	0	289,203
Platteville	9,348	0	0	366,105	0	175,000	4,416,970	4,967,423
River Falls	0	0	0	615,677	0	23,100	4,771,677	5,410,454
Stevens Point	15,092	0	0	0	0	335,623	8,010,077	8,360,792
Stout	621,123	102,632	0	1,073,463	0	660,670	6,287,321	8,745,209
Superior	0	0	0	752,615	0	935,575	2,558,647	4,246,837
Whitewater	0	5,000	0	2,293,549	0	5,000	6,833,296	9,136,845
Colleges	(5,000)	0	0	1,144,468	0	0	9,604,947	10,744,415
Extension	6,344,137	0	0	0	0	0	0	6,344,137
System-Wide	0	315,298	0	0	0	0	0	315,298
Federal Totals	24,478,024	19,186,112	0	7,557,235	0	244,977,172	90,358,093	386,556,636
Madison	726,603	6,570,908	1,533,098	24,976,333	12,962,425	118,521,669	4,724,968	170,016,002
Milwaukee	1,408,962	571,036	9,311	562,700	0	1,461,356	51,926	4,065,288
Eau Claire	543,846	4,121	0	0	0	11,700	917	560,584
Green Bay	0	25,525	4,159	25,500	0	187,042	25,800	268,025
La Crosse	75,183	0	0	44,896	0	178,773	8,916	307,768
Oshkosh	772,478	292,647	0	0	0	261,422	0	1,326,547
Parkside	31,792	3,000	0	11,450	0	15,950	200,400	262,592
Platteville	279,915	0	0	0	0	9,773	0	289,688
River Falls	5,208	100	5,764	95,753	15,000	2,565	246	124,636
Stevens Point	292,690	251,113	0	49,895	0	257,596	0	851,294
Stout	73,932	47,138	0	299,455	0	35,514	0	456,038
Superior	24,500	0	0	21,145	0	8,450	0	54,095
Whitewater	14,922	21,023	0	566,934	37,852	9,842	29,952	680,524
Colleges	2,250	0	0	58,960	0	0	346,641	407,851
Extension	11,835,648	0	0	0	0	0	0	11,835,648
System-Wide	0	0	0	50,200	0	50,686	0	100,886
Nonfederal Totals	16,087,928	7,786,610	1,552,331	26,763,222	13,015,277	121,012,338	5,389,765	191,607,469

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

	Public Service	Instruction	Libraries	Misc	Phy Plt	Research	Student Aid	Total
INCREASE (DECREASE)								
Madison	2,166,609	(2,384,033)	(100,938)	554,192	1,403,892	(21,800,436)	7,945,324	(12,215,391)
Milwaukee	(663,693)	(1,812,543)	7,311	619,270	0	86,927	3,070,965	1,308,236
Eau Claire	(498,971)	(4,572)	0	0	0	(73,218)	(341,655)	(918,416)
Green Bay	(8,340)	(309,207)	4,159	(32,258)	0	170,384	426,178	250,916
La Crosse	(159,916)	(3,000)	0	(716,714)	0	(404,756)	(1,282,735)	(2,567,121)
Oshkosh	(7,170)	(8,477)	0	0	0	1,203,499	(29,166,565)	(27,978,713)
Parkside	(12,377)	(369,038)	0	(39,800)	0	228,111	200,400	7,296
Platteville	51,806	0	0	(694,549)	0	115,001	(13,959,593)	(14,487,335)
River Falls	(4,579)	(3,980)	5,764	(772,508)	(38,434)	(42,543)	(213,958)	(1,070,238)
Stevens Point	(129,452)	191,810	0	(7,843)	0	(39,422)	(40,264)	(25,171)
Stout	(151,985)	(8,255)	0	(279,355)	0	676,254	(148,552)	88,106
Superior	24,500	0	0	(2,932)	0	(1,469,563)	(330,257)	(1,778,252)
Whitewater	(2,409,010)	(68,349)	0	1,578,930	35,963	13,048	(83,022)	(932,440)
Colleges	(4,250)	(48,349)	0	(915,701)	0	(4,828)	(9,103,951)	(10,077,079)
Extension	(23,401,107)	0	0	0	0	0	0	(23,401,107)
System-Wide	0	(190,251)	0	35,200	0	50,686	0	(104,365)
Totals	(25,207,936)	(5,018,244)	(83,705)	(674,069)	1,401,421	(21,290,857)	(43,027,684)	(93,901,074)
Madison	2,597,486	(2,515,487)	0	(1,281,100)	0	(30,086,505)	5,349,225	(25,936,381)
Milwaukee	(1,640,930)	(2,296,579)	0	642,320	0	81,366	3,045,840	(167,984)
Eau Claire	(933,141)	12,235	0	0	0	156,222	(318,054)	(1,082,738)
Green Bay	0	(207,707)	0	160	0	(16,658)	422,232	198,027
La Crosse	0	0	0	(759,330)	0	(431,202)	(1,291,651)	(2,482,183)
Oshkosh	(657,647)	(63,899)	0	0	0	1,275,035	(29,166,565)	(28,613,076)
Parkside	0	(372,038)	0	(45,250)	0	244,203	0	(173,085)
Platteville	(155,269)	0	0	(626,630)	0	175,000	(13,959,593)	(14,566,492)
River Falls	0	0	0	(730,650)	0	1,190	(184,370)	(913,830)
Stevens Point	(79,398)	0	0	0	0	(283,848)	(40,264)	(403,510)
Stout	(125,233)	(49,881)	0	(98,839)	0	660,670	(150,627)	236,090
Superior	0	0	0	752,615	0	(1,465,013)	2,558,647	1,846,249
Whitewater	(2,400,621)	5,000	0	1,464,408	0	5,000	(86,042)	(1,012,255)
Colleges	(5,000)	(46,732)	0	(864,044)	0	(4,828)	(9,064,985)	(9,985,588)
Extension	(27,807,777)	0	0	0	0	0	0	(27,807,777)
System-Wide	0	(190,251)	0	0	0	0	0	(190,251)
Federal Totals	(31,207,531)	(5,725,339)	0	(1,546,339)	0	(29,689,368)	(42,886,206)	(111,054,783)
Madison	(430,877)	131,454	(100,938)	1,835,292	1,403,892	8,286,069	2,596,099	13,720,990
Milwaukee	977,238	484,036	7,311	(23,051)	0	5,561	25,126	1,476,220
Eau Claire	434,170	(16,807)	0	0	0	(229,440)	(23,601)	164,322
Green Bay	(8,340)	(101,500)	4,159	(32,418)	0	187,042	3,946	52,888
La Crosse	(159,916)	(3,000)	0	42,616	0	26,446	8,916	(84,938)
Oshkosh	650,478	55,422	0	0	0	(71,536)	0	634,364
Parkside	(12,377)	3,000	0	5,450	0	(16,092)	200,400	180,381
Platteville	207,075	0	0	(67,919)	0	(59,999)	0	79,157
River Falls	(4,579)	(3,980)	5,764	(41,858)	(38,434)	(43,733)	(29,588)	(156,408)
Stevens Point	(50,054)	191,810	0	(7,843)	0	244,426	0	378,339
Stout	(26,753)	41,627	0	(180,516)	0	15,584	2,075	(147,984)
Superior	24,500	0	0	(755,547)	0	(4,550)	(2,888,904)	(3,624,501)
Whitewater	(8,389)	(73,349)	0	114,522	35,963	8,048	3,020	79,815
Colleges	750	(1,618)	0	(51,658)	0	0	(38,966)	(91,491)
Extension	4,406,670	0	0	0	0	0	0	4,406,670
System-Wide	0	0	0	35,200	0	50,686	0	85,886
Nonfederal Totals	5,999,595	707,094	(83,705)	872,270	1,401,421	8,398,512	(141,477)	17,153,710

Reporting Period: September 1 - October 31, 2011

Project Progress on Major Deliverables for September 1 - October 31, 2011:

HRS Project		
Key Area (See Appendix 1 for Description)	Accomplishments	Status
Business Process and Application Configuration	<p>eBenefits Team:</p> <ul style="list-style-type: none"> Finalized configuration for Open Enrollment to prepare for eBenefit and Open Enrollment testing Finalized requirements for outstanding design work Supported rollout of eBenefits for New Hire pilot campuses Supported the training team as they finalized the eBenefits toolkit Supported rollout of eBenefits for Open Enrollment Facilitated major data cleanup in advance of Open Enrollment Participated in Open Enrollment training and communication activities <p>Talent Acquisition Management (TAM):</p> <ul style="list-style-type: none"> Supported System test completion and Integration Test initiation Removed Wisc.Jobs interface from TAM scope as recommended by HRS SCEC Supported the training team as they finalized toolkit materials 	<p>eBenefits: On Schedule</p> <p>TAM: On Schedule</p>
Technical Development	<p>eBenefits Team:</p> <ul style="list-style-type: none"> Portal team completed work on eBenefits enhancements Development team completed extensions to Benefits self service pages Completed online extensions for Open Enrollment pilot of eBenefits <p>Talent Acquisition Management (TAM):</p> <ul style="list-style-type: none"> Removed Wisc.Jobs interface from TAM scope as recommended by HRS SCEC Resolved System and Integration test faults as they were identified by the testing team Provided general support of the test phases 	<p>eBenefits: On Schedule</p> <p>TAM: On Schedule</p>

HRS Project		
Key Area (See Appendix 1 for Description)	Accomplishments	Status
Technical Infrastructure	eBenefits Team: <ul style="list-style-type: none"> Completed performance test phase Security completed provisioning functionality to self-service pages for eBenefits functionality Talent Acquisition Management (TAM): <ul style="list-style-type: none"> Provided general support to the test phases Assisted with environment maintenance and code migrations 	eBenefits: On Schedule TAM: On Schedule
Change Management	eBenefits Team: <ul style="list-style-type: none"> Finalized training team toolkit for eBenefits Executed communication plan for Open Enrollment Trained on eBenefits for Open Enrollment pilot campuses Talent Acquisition Management (TAM): <ul style="list-style-type: none"> Drafted the training team toolkit for TAM Prepared training team schedule for the fall sessions 	eBenefits: On Schedule TAM: On Schedule
Testing	eBenefits Team: <ul style="list-style-type: none"> Completed testing of eBenefits functions in advance of Open Enrollment pilot go-live Talent Acquisition Management (TAM): <ul style="list-style-type: none"> Supported System test completion and Integration Test initiation Regression tested the TAM environment after removing the Wisc.Jobs code 	eBenefits: On Schedule TAM: On Schedule
Project Management	<ul style="list-style-type: none"> Continued to provide guidance and oversight to the Release 2 and 3 implementation teams Continued to monitor the financials for Releases 2 and 3 Continued to report status to leadership for Releases 2 and 3 	On Schedule

Challenges Encountered

- Benefits Self Service (eBenefits):
 - Several implementation team members were still pulled into production support at the Service Center; hence the team was stretched thin during the final weeks of preparation and during the Open Enrollment window.
 - With eBenefits as a pilot only for Open Enrollment, the team was challenged to support both the paper-based and eBenefits campuses. Communications to and support from campuses varied depending on if they were a pilot institution, and this added complexity within the support organization.
- Talent Acquisition Management (TAM):
 - In early September, based on the recommendation of the HRS Steering Committee, a decision was made by the Service Center Executive Committee that it is no longer advisable to continue with plans to link TAM and Wisc.Jobs. (Wisc.Jobs is the State of Wisconsin's vacancy notification system for classified recruiting.) Given the 2011-13 State of Wisconsin statutory directives that UW System and UW-Madison develop two new personnel systems that will be separate and distinct from the State of Wisconsin civil service system, the HRS governance groups felt it was prudent to pause the development of the TAM/Wisc.Jobs interface.
 - Removing the Wisc.Jobs code and configuration required that the team go back and regression test much of their functionality.

Project Expenditures (through October 31 2011):

	FY12 Planned	FY12 Costs			FY12 Projected Variance:
	BOR FY12 Planned (Jul 11 - Jun 12)	Actual Cost (Jul 11 - Oct 11)	Remaining Cost (Nov 11 - Jun 12)	Estimated Cost at Completion (Jul 11 - Jun 12)	Projected Variance for BOR FY11 Planned at June 30, 2012
HRS R2/R3 Key Areas					
Business Process and Application	\$ 600,355	\$ 117,601	\$ 433,182	\$ 550,783	\$ 49,572
Technical Development	\$ 1,153,466	\$ 685,954	\$ 549,198	\$ 1,235,151	\$ (81,685)
Technical Infrastructure	\$ 527,730	\$ 90,161	\$ 407,525	\$ 497,685	\$ 30,045
Change Management	\$ 556,440	\$ 159,594	\$ 458,436	\$ 618,029	\$ (61,589)
Testing	\$ 620,120	\$ 307,148	\$ 366,966	\$ 674,114	\$ (53,994)
Project Management	\$ 653,615	\$ 654,512	\$ 284,398	\$ 938,910	\$ (285,295)
Non-Labor	\$ 203,081	\$ 99,064	\$ 104,017	\$ 203,081	\$ -
Subtotal	\$ 4,314,807	\$ 2,114,033	\$ 2,603,721	\$ 4,717,754	\$ (402,946)
Project Contingency	\$ 910,621	\$ -	\$ 896,191	\$ 896,191	\$ 896,191
Total HRS R2/R3 Project	\$ 5,225,428	\$ 2,114,033	\$ 3,499,912	\$ 5,613,945	\$ 493,245

Notes on Budget to Actual Variance YTD:

- Business Process and Application:
 - Team spent less time than planned on business process tasks.
- Technical Infrastructure:
 - Team spent less time on applications infrastructure than originally planned.
- Technical Development:
 - Added two report developers and retained a reporting resource to supplement report development.
- Change Management:
 - Added Change Management consultant for several months due to the medical leave of a UW employee.
 - Additional hours for training were identified and approved.
- Testing:
 - Team worked overtime during TAM system testing.
- Project Management and Administration:
 - Some team overtime has been incurred; these costs are captured in this line item rather than the five lines above.

Planned Activities - November 2011

- eBenefits
 - Continue support of New Hire pilot campuses
 - Audit the open enrollment data entered in advance of December paycalc
 - Document lessons-learned recommendations for next year's Open Enrollment
- TAM
 - Complete Integration test phase
 - Prepare for User Acceptance test phase
 - Continue planning for training this fall
 - Kick off campus change management initiatives

Planned Activities - December 2011

- eBenefits
 - Continue support of New Hire pilot campuses
 - Support the December payroll processing, which will be processing 2012 benefit rates and plans for the first time
- TAM
 - Execute User Acceptance test phase
 - Execute training to TAM campuses
 - Continue supporting campuses with change management
 - Complete regression testing of TAM

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. Set up 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.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.3. Capital Planning and Budget Committee

Thursday, December 8, 2011
University of Wisconsin-Madison
Varsity Hall I, 2nd Floor, Union South
Madison, Wisconsin

9:00 a.m. Board of Regents Annual Group Photo – Industry A, 3rd Floor

9:30 a.m. All Regents – Varsity Hall II, 2nd Floor

1. Calling of the roll
2. Welcome to new Regents
3. UW-Madison presentation by Interim Chancellor David Ward:
“A Strategic Approach to Resource Stewardship”
4. Presentation by Terrence MacTaggart, former CEO, Minnesota State University System and University of Maine System: “Regent Responsibilities and Leadership Role in a Time of Change”
5. Report of the President of the Board
 - a. Educational Communications Board, Higher Educational Aids Board, Hospital Authority Board, and Wisconsin Technical College System Board reports
 - b. Interim report of Ad Hoc Committee on Board Responsibilities

12:00 p.m. Lunch – Varsity Hall III, 2nd Floor

1:45 p.m. Joint Meeting of the Capital Planning and Budget Committee and the Business, Finance, and Audit Committee – Varsity Hall I, 2nd Floor

- a. UW-Madison Presentation: “Resource Stewardship: Administrative Excellence”
- b. UW-Eau Claire: Master Plan Presentation

2:30 p.m. Capital Planning and Budget Committee – Wisconsin Idea Room, 2nd Floor

- c. Approval of the Minutes of the October 6, 2011 Meeting of the Capital Planning and Budget Committee
- d. UW-Eau Claire: Authority to Modify the Campus Boundary
[Resolution I.3.d.]
- e. UW-Madison: Approval of the Design Report and Authority to Construct the Carson Gulley Renovation Project
[Resolution I.3.e.]

- f. UW-Madison: Authority to Demolish Buildings on the UW-Madison Campus Using Building Trust Funds
[Resolution I.3.f.]
- g. UW-Madison: Approval of the Design Report and Authority to Construct the Memorial Union Theater Wing Renovation-Phase I Project
[Resolution I.3.g.]
- h. UW-Madison: Approval of the Design Report of the Kohl Center South End Club and Audio/Video Relocation Project and Authority to Construct the Project
[Resolution I.3.h.]
- i. UW-Platteville: Authority to Enter into a Land Use Agreement with the UW-Platteville Real Estate Foundation for the Purpose of Constructing a Residence Hall and Dining Facility
[Resolution I.3.i.]
- j. UW-River Falls: Authority to Request the Release of Building Trust Funds to Continue Planning the Health and Human Performance/Recreation Building Project
[Resolution I.3.j.]
- k. UW-Superior: Authority to Enter into Land Lease Agreements and to Acquire Real Property for the Long-Term Operation of the Lake Superior National Estuarine Research Reserve
[Resolution I.3.k.]
- l. UW System: Authority to Construct All Agency Maintenance and Repair Projects
[Resolution I.3.l.]
- m. UW System: Approval of the Criteria for Ranking General Fund Major Projects
[Resolution I.3.m.]
- n. Report of the Associate Vice President
Building Commission Actions

Authority to Modify the Campus Boundary,
UW-Eau Claire

CAPITAL PLANNING AND BUDGET COMMITTEE

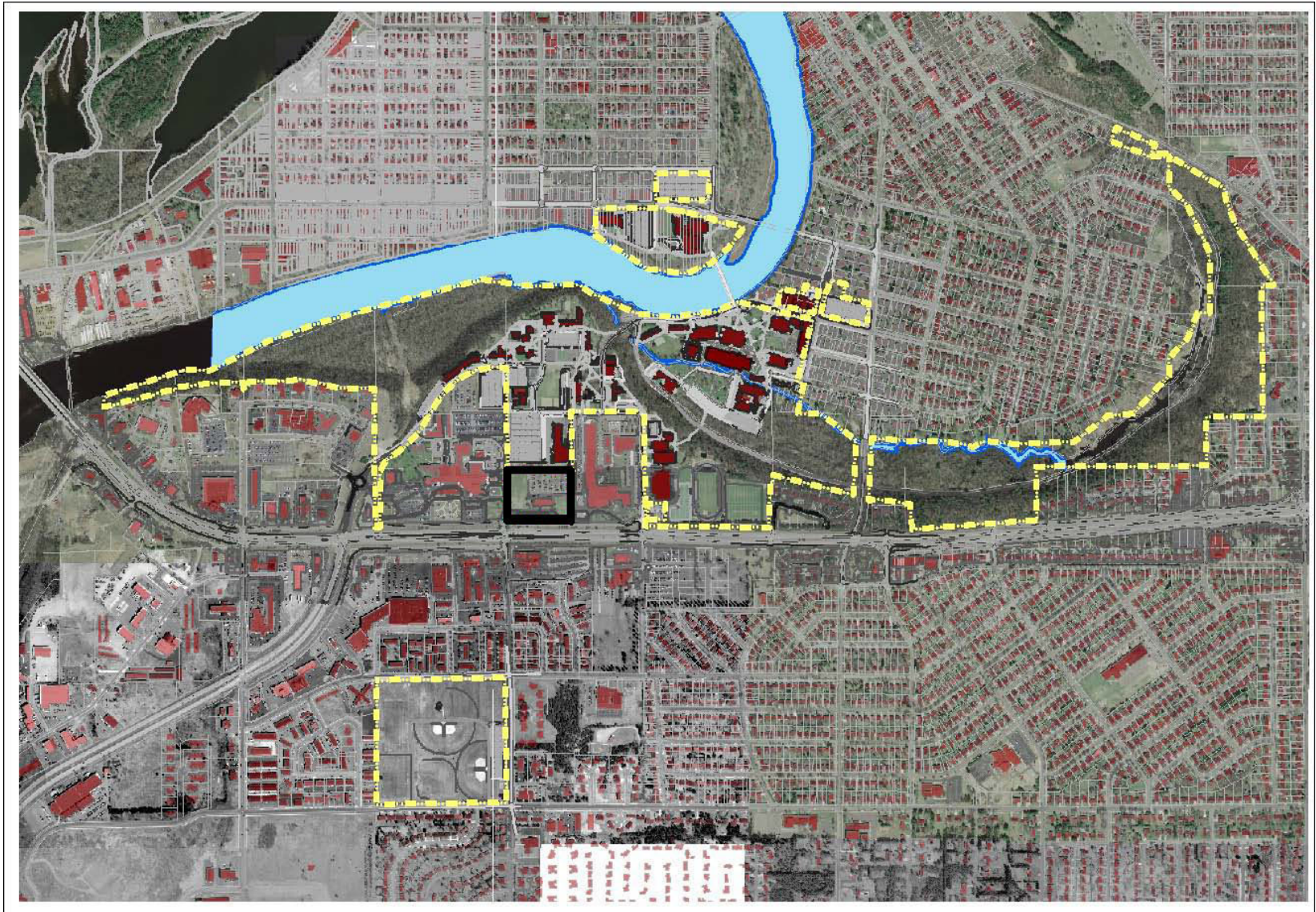
Resolution:

That, upon the recommendation of the UW-Eau Claire Chancellor and the President of the University of Wisconsin System, approval be granted for various campus boundary changes associated with a new master plan at the University of Wisconsin-Eau Claire.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

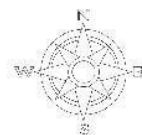
1. Institution: The University of Wisconsin-Eau Claire
2. Request: Approval of various campus boundary changes associated with a new master plan at the University of Wisconsin-Eau Claire.
3. Description and Scope of Project: The UW-Eau Claire facilities master plan proposes a boundary change on the perimeter of the main campus in the city of Eau Claire. This change includes the future addition of the State Office Building and its lands located at 718 West Clairemont Avenue, which is directly adjacent to the upper campus, when that property becomes available.
4. Justification of the Request: UW-Eau Claire completed a facilities master plan in November 2011. The plan recommends expansion of the campus boundary south to include the building and land currently owned by the Department of Administration. UW-Eau Claire currently leases a portion of the State Office Building parking lot to meet campus parking demand. This addition to the campus will allow for a much-needed front-door presence on the city's most heavily traveled street and will allow for future growth and development.
5. Fee Impact: There is no fee impact as a result of this action.
6. Budget and Schedule: None.
7. Previous Action: None.



Legend

- Proposed Campus Boundary Addition
- Existing Campus Boundary

UW-Eau Claire Campus



0 500 1,000 2,000 3,000 4,000 Feet

I.3.d.

12/09/11

Approval of the Design Report and Authority
to Construct the Carson Gulley Renovation
Project, UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Interim Chancellor and the President of the University of Wisconsin System, the Design Report be approved and authority be granted to construct the Carson Gulley Renovation project at an estimated cost of \$10,049,000 (\$5,000,000 Program Revenue Supported Borrowing and \$5,049,000 Program Revenue-Cash).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. Institution: The University of Wisconsin–Madison
2. Request: Approval of the Design Report and authority to construct the Carson Gulley Renovation project at an estimated cost of \$10,049,000 (\$5,000,000 Program Revenue Supported Borrowing and \$5,049,000 Program Revenue-Cash).
3. Description and Scope of Project: This project will renovate Carson Gulley Commons, which is located at 1515 Tripp Circle on the UW-Madison campus, to better accommodate programmatic and food service needs.

Work includes the replacement of all plumbing, mechanical and electrical systems in the existing 30,245 GSF building. A 750-square-foot mechanical room will be added at the southwest corner of the building. No other exterior space will be added. Chilled water will be brought into the building from the nearby intersection of Babcock Drive and Observatory Drive. All interior finishes will be upgraded and the exterior will be improved with new high-efficiency historic windows, to replicate the original window details. The project will install new flat roofs and restore the existing clay tile roofing systems.

Site work includes reconfiguration of spaces adjacent to the building to provide accessible entrances, more loading dock space, and more direct circulation to and around the building. Parking spaces in the area will also be reconfigured to allow for a van-accessible stall and additional moped and bicycle space. An outdoor patio will be added on the west end of the building.

This project will incorporate sustainable design elements with a goal of meeting the Division of State Facilities Sustainable Facilities Standards. Among the elements that will be included are a high efficiency HVAC system, storm water control, indoor air quality management, and construction waste management.

Carson Gulley is listed on the historic architecture building inventory for the State of Wisconsin. All preliminary design work has been coordinated with the Wisconsin Historical Society.

4. Justification of the Request: The building that is now Carson Gulley was built in 1926 as the dining space for Tripp and Adams Halls. A number of building components are original: all electrical systems, major mechanical systems, and windows. The building's roof is composed of both built-up and clay tile areas and needs to be replaced. Some of the clay tiles are deteriorating and the felt underneath the tiles likely needs replacement.

The indoor spaces are small and do not meet the needs of the current functions within the building. In many cases, finishes are worn beyond repair. There is no public elevator in the building.

Currently visitors must walk the stairs and those who must use an elevator are given a ride by staff in the building's freight elevator.

The renewal of Carson Gulley's building components and systems will allow it to continue to provide residents in nearby residence halls with updated marketplace retail foodservice venues, a new event space, and a convenience store. The building will also become the "front desk" for Tripp Hall, Adams Hall, and Slichter Hall residents, with a main reception desk, mail box office, and lounge spaces for those three buildings provided in Carson Gulley's lower level. The infrastructure improvements will ensure that the building is maintained and capable of meeting the changing needs of students well into the future. Improvements will make the building safer, result in a more efficient facility, and reduce maintenance costs.

5. Budget and Schedule:

Construction Cost	\$7,481,000
Hazardous Material Abatement	100,000
Contingency	643,000
A/E Design Fee	799,000
Other Fees	51,000
DSF Management Fees	329,000
Movable & Special Equipment	646,000

Total Project Cost	\$10,049,000
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BOR/SBC Approval	December 2011
Submission of Bid Documents for Final Review	February 2012
Bid Opening	April 2012
Start of Construction	May 2012
Substantial Completion	April 2013
Occupancy	May 2013

6. Previous Action:

August 19, 2010 Resolution 9801	Granted authority to seek enumeration of the Carson Gulley Renovation project as part of the 2011-13 Capital Budget at an estimated project budget of \$10,049,000 (\$5,000,000 Program Revenue Supported Borrowing and \$5,049,000 Program Revenue-Cash).
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Authority to Demolish Buildings on the
UW-Madison Campus Using Building Trust
Funds, UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Interim Chancellor and the President of the University of Wisconsin System, authority to demolish five buildings on the UW-Madison campus at a total estimated cost of \$830,900 using Building Trust Funds.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. Institution: The University of Wisconsin–Madison
2. Request: Authority to demolish five buildings on the UW-Madison campus at a total estimated cost of \$830,900 Building Trust Funds.
3. Description and Scope of Project: This project will demolish and remove the following buildings on the UW-Madison campus:

704 University Avenue	5,662 GSF
710-716 University Avenue	6,310 GSF
720-724 University Avenue	5,927 GSF
728 University Avenue	286 GSF
730-736 University Avenue	6,560 GSF

Work will include abatement of all hazardous materials in each building. Wisconsin Asbestos/ Lead Management System (WALMS) surveys have been completed on each of these facilities.

4. Justification of the Request: The land occupied by these former store fronts is the designated site for the UW-Madison Music Performance Facility, based on the 2005 Campus Master Plan. Lead gifts have been received for the proposed 32,265 ASF/55,000 GSF three-story building. Programming and conceptual design has been completed for the new Music Performance Facility.

Of the five buildings, three are currently unoccupied. The building occupied by Brothers Bar, at the corner of North Lake Street and University Avenue, will be vacant by December 31, 2011. The university has shut off major utilities to these buildings with the exception of heat. Demolition is being requested now because the unoccupied buildings are at risk for break-in and vandalism, and stand to pose a risk to public safety in their current condition. The current design team is under contract to provide demolition design and document preparation.

Once the buildings are removed, the land will be graded and seeded to provide useable open space until the design for the Music Performance Facility is completed and ready for construction. When the building project is approved for construction, the building trust funds will be repaid by project funds.

A Type II Environmental Impact Assessment will be completed in conformance with Wisconsin Environmental Policy Act for the demolition phase.

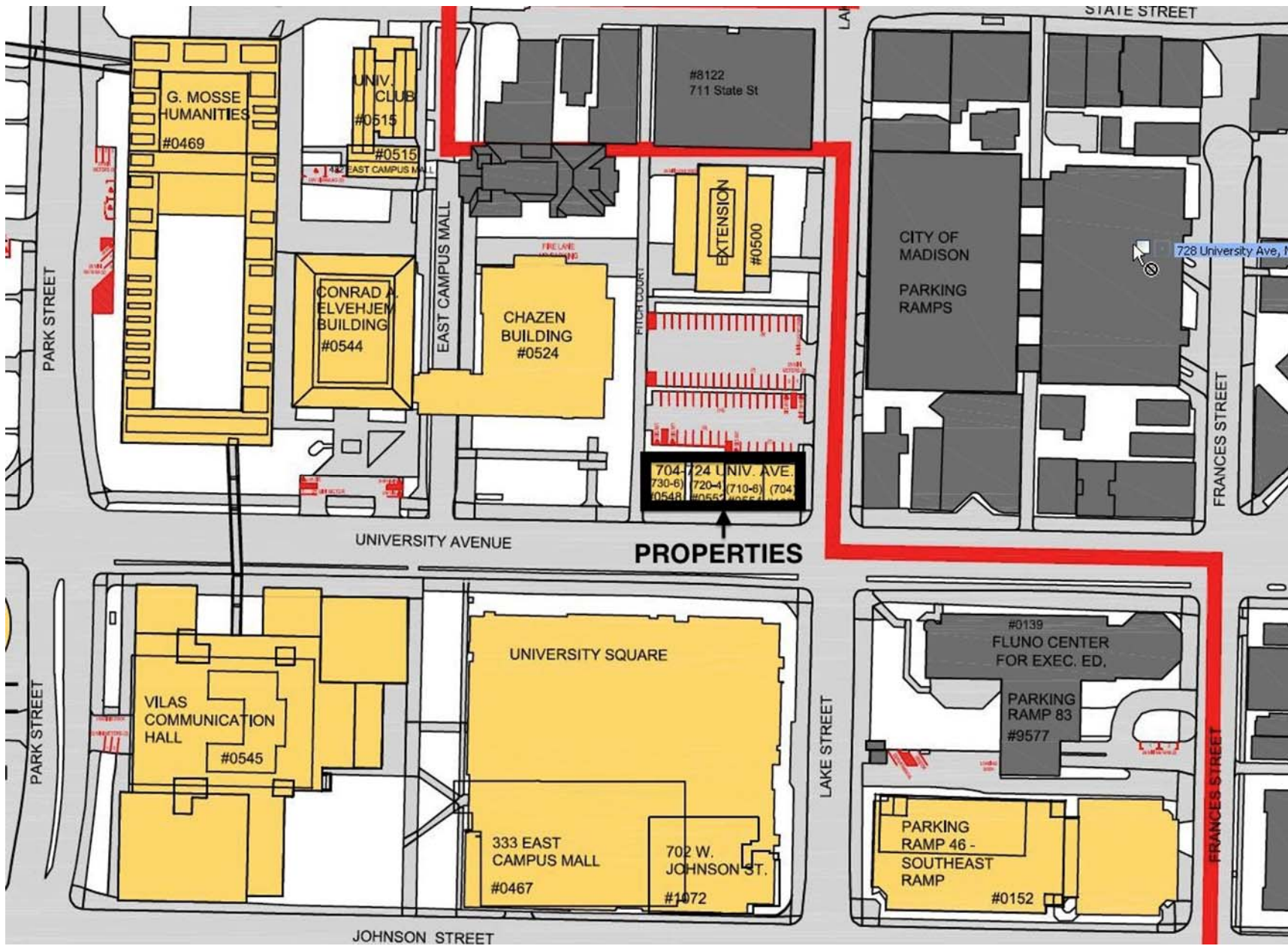
5. Budget and Schedule:

Estimated Construction Cost		\$522,500
Hazardous Materials		140,000
Total Construction		662,500
Contingency:	10%	66,250
A/E Design Fees	8%	53,000
Other Fees (EIA)		20,000
DSF Fees	4%	29,150
Total Project Cost		\$830,900

SBC Approval	December 2011
Design Phase	January - May 2012
Bid	June 2012
Demolition Begins	August 2012
Demolition Complete	October 2012

6. Previous Action:

August 17, 2006 Resolution 9225	Granted authority to seek enumeration of the Music Performance Building as part of the 2007-09 Capital Budget at a total estimated project cost of \$43,865,000 Gift Funds
June 6, 2009 Resolution 9522	Granted authority to exercise the Board of Regents' power of eminent domain granted under Section 32.02(1) and 36.11(9), Wis. Stats., to acquire land and improvements located at 704 and 728 University Avenue in the city of Madison, for the purpose of providing an adequate site for the proposed School of Music Performance building. The cost of acquisition will be paid from proceeds of the land development agreement with the Wisconsin Alumni Research Foundation (WARF).



Approval of the Design Report and Authority
to Construct the Memorial Union Theater
Wing Renovation-Phase I Project,
UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Interim Chancellor and the President of the University of Wisconsin System, approval of the Design Report and authority to construct the Memorial Union Theater Wing Renovation-Phase I project for a total project cost of \$52,000,000 (\$40,500,000 Program Revenue Supported Borrowing and \$11,500,000 Gift Funds).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. Institution: The University of Wisconsin-Madison
2. Request: Approval of the Design Report and authority to construct the Memorial Union Theater Wing Renovation-Phase I project for a total project cost of \$52,000,000 (\$40,500,000 Program Revenue Supported Borrowing and \$11,500,000 Gift Funds).
3. Description and Scope of Project: Memorial Union Renovation, Phase I is the second project in a series of projects to improve and update both Wisconsin Union facilities. The first project constructed a replacement facility for Union South. The third, yet to be enumerated project, will renovate and restore the remaining portions of the Memorial Union (Memorial Union Renovation, Phase II).

This Phase I project will renovate 99,097 GSF in the west or Theater Wing of the University of Wisconsin Memorial Union, including the theater, theater back-of-house, Craftshop, Hoofers, and administrative areas. It will also provide a new universally accessible entrance along Langdon Street. Selected spaces (19,968 GSF) in the other two wings of the building which include spaces adjacent to the west wing: the basement east-west service corridor and the Langdon Room, the Paul Bunyan Room, the Rosewood Room, the Hamel Family Browsing Library, and Der Stiftskeller will also be renovated. The project will renovate the entire fifth floor of the existing Memorial Union into offices for the Wisconsin Union and Wisconsin Union Directorate.

The renovation of mechanical, electrical, and plumbing systems combined with accessibility upgrades to areas of the other two wings of the building make the renovation of these adjacent spaces cost effective.

The project will construct two additions to the building. A 2,127 GSF space will be created on the fifth floor in order to construct an accessible connection between the west wing and the central core where floors currently do not align, and a 2,500 GSF theater lounge will be planned for the north end of the current theater.

To keep the project within the approved budget, the three alternates, which are identified in anticipation of a potentially advantageous bidding climate in 2012, are:

- an orchestra pit expansion
- upgrades to the Playcircle theater as a base bid with alternates to fit out space
- the construction of the theater lounge.

This phase of the project will be designed and constructed utilizing sustainable design practices with a goal of becoming a LEED-certified project at a silver level minimum.

Because Memorial Union is a contributing building to the Bascom Hill Historic District, all work will be done in accordance with historic guidelines and requirements and with the approval of the Wisconsin Historical Society. A Historic Structures Report has been drafted and will be finalized in February of 2012.

4. Justification of the Request: The 2001 Wisconsin Union Master Plan identified multiple infrastructure, functionality, accessibility and space deficiencies in the Memorial Union that should be addressed. In October 2006, the student body voted to increase their segregated fees in support of constructing a new Union South and renovating the Memorial Union theater wing. This project was enumerated as the South Campus Union and Memorial Union Theater Wing Renovation project as part of the 2007-09 Capital Budget. During that enumeration period, it was anticipated that the theatre wing portion would only address the west wing of the Memorial Union. It was expected that this wing could easily be cordoned off and not impact operations throughout the remaining facility.

In the spring of 2010, an architectural/engineering team was selected to create a master plan for the entire renovation of the Memorial Union and to design the Theater Wing Renovation project. The current building has 38 discrete air handling systems. The entire building has 16 different floor levels. During the master planning exercise, it became apparent that it would be cost effective to perform as much as possible of the mechanical infrastructure work as part of this Theater Wing Renovation-Phase I project, rather than waiting to include it in a future phase of renovation.

The Memorial Union building is an iconic structure on the UW-Madison campus. The Wisconsin Union Theater has played a critical role in the arts community of the university and the greater Madison area for nearly seventy years. New and renovated program spaces will preserve its student-focused atmosphere; complement the new program spaces at Union South; enhance arts and recreational opportunities; and upgrade the building's infrastructure, allowing Memorial Union to continue its vital role on campus and in the Madison community for the foreseeable future.

The enumeration of a project to renovate the remaining facility will be sought in the 2013-15 biennium. That project will restore and renovate the remainder of the building's central core and east wing, including the central kitchen, dining services, meeting rooms, event spaces, and staff offices.

5. Budget and Schedule:

Budget Item	%	Cost
Total Construction		\$39,105,000
Project Contingency	8.5%	2,712,000
A/E Design Fee	9.8 %	3,842,000
Phase I & II Programming & Concept Fees		1,776,000
Pre-Construction & Preservation Plan Fees		451,000
Plan Review and Testing Fees		566,000
DSF Management Fees	4.0%	1,658,000
Moveable and Special Equipment		1,890,000
Total Project Cost		\$52,000,000

Completion of 35% Design Report	November 2011
BOR/SBC Authority to Construct Phase I	December 2011
Bid Opening	July 2012
Start Construction	September 2012
Construction/Substantial Completion	May 2014
Occupancy	July 2014

6. Previous Action:

July 15, 2011
Resolution 9955

Granted authority to seek a waiver of Wis. Stats. § 16.855 under the provisions of Wis. Stats. §13.48 (19) to allow selection, through a Request for Proposal process, of a Construction Manager-at-Risk (CMAR) for construction of the Memorial Union Theater Wing Renovation-Phase I project at a preliminary estimated budget of \$52,000,000 (\$40,500,000 Program Revenue Supported Borrowing and \$11,500,000 Gift Funds). Authority to construct the project will be sought at the 35% design phase.

August 18, 2006
Resolution 9225

Granted authority to seek enumeration of the Union South Replacement and Memorial Union Theater Wing Renovation/Addition project as part of the 2007-09 Capital Budget at a total estimated cost of \$139,700,000 (\$126,300,000 Program Revenue Supported Borrowing and \$13,500,000 Gift Funds).

Approval of the Design Report of the Kohl
Center South End Club and Audio/Video
Relocation Project and Authority to
Construct the Project, UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Interim Chancellor and the President of the University of Wisconsin System, the Design Report of the Kohl Center South End Club and Audio/Video Relocation project be approved and authority be granted to construct the project at a total cost of \$2,900,000 Gift Funds.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. Institution: The University of Wisconsin-Madison
2. Request: Approval of the Design Report of the Kohl Center South End Club and Audio/Video Relocation project and authority to construct the project at a total cost of \$2,900,000 Gift Funds.
3. Description and Scope of Project: This project remodels 3,900 ASF/4,400 GSF in the south end of the Kohl Center main concourse into a new club area for patrons of Kohl Center events. An area of 2600 ASF at the south end of the Kohl Center currently being used for audio/video functions and storage (rooms 1272, 1276, 1276A, 1282, 1312, and 1316), as well as additional space immediately in front of the current A/V areas, will be consolidated into a new club area. Work includes demolition of the existing spaces and minor construction to create the club seating area, a buffet, and beverages space. The existing audio area will remain and be remodeled to meet current needs. Modifications to the electrical and plumbing services will be made to serve the buffet and beverages area. New finishes, including carpet, wall finishes, lighting, doors and paint, will complete the project.

A majority of the current audio/visual (A/V) functions on the main concourse that operates both the Kohl Center and Camp Randall scoreboards, programming of the scoreboard content, CATV head end and voice data will need to be relocated for this project. These functions will be relocated to 1,800 ASF of vacant space along the east side of the Kohl Center's service level. The level of finishes in the new A/V space will be comparable to that of the existing space. An individual air conditioning unit will be required to cool the audio and video equipment housed in the new A/V space.

4. Justification of the Request: Since the construction of the Kohl Center, sponsors of UW Athletics have used the Nicholas Suites on the north end of the Kohl Center to entertain guests on event days. With the recent conversion of the Nicholas Suites into a club seating space that can be sold to individual season ticket holders, a need for new club space still exists. The Athletic Department has identified under-utilized space at the south end of the main concourse as a location for the new club space. This space, currently used for storage and A/V functions, has a direct sightline to the Kohl Center floor and has the capacity to house an expanded club area.

Since this project must be completed by the fall 2012 basketball and hockey seasons, the campus is requesting that this project be administratively combined with the LaBahn Arena project and that consideration be given to using the Construction Manager At Risk (CMAR) contract to complete construction of this space.

5. Budget and Schedule:

Project Budget		
Construction Cost		\$2,150,000
Contingency	9.2 %	197,000
A/E Design Fees	7 %	145,000
Other Design Fees		140,000
DFD Management Fees	4 %	87,000
Equipment/Other		181,000
		\$2,900,000

Project Schedule	
SBC Approval	December 2011
A/E Selection	N/A
Bid Opening	February 2012
Construction Start	April 2012
Substantial Completion	October 2012
Project Close Out	December 2012

6. Previous Action: None.

Authority to Enter into a Ground Lease
Agreement with the UW-Platteville Real
Estate Foundation for the Purpose of
Constructing a Residence Hall and
Dining Facility, UW-Platteville

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Platteville Chancellor and the President of the University of Wisconsin System, authority be granted to permit the University of Wisconsin-Platteville Real Estate Foundation, under s. 13.48(12), Wis. Stats., to construct a student residence hall and dining facility on the UW-Platteville campus, under terms of a land use agreement with the University of Wisconsin System Board of Regents.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. Institution: The University of Wisconsin-Platteville
2. Request: Authority to permit the University of Wisconsin–Platteville Real Estate Foundation, under s 13.48(12), Wis. Stats., to construct a student residence hall and dining facility on the UW-Platteville campus, under terms of a land use agreement with the University of Wisconsin System Board of Regents.
3. Description: The land use agreement will permit the Real Estate Foundation (REF) to construct a building of approximately 160,000 GSF at a total estimated cost of \$26,400,000 to provide housing for approximately 416 students and a dining facility. Dining will be on the ground floor; housing will be on floors one through five. The REF will own the facility and is solely responsible for financing the project. The building will be constructed on approximately two acres of land owned by the Board of Regents. The housing and dining operations will be managed by the university under the terms of a management agreement. UW-Platteville will have exclusive use of the facility. The agreement will have an initial term commencing January 1, 2012, with a term of 50 years with ten-year renewals, unless terminated. The key terms of the land use agreement are below.

The REF shall, at its sole cost and expense:

- a. Construct the project, including financing and all necessary reviews and permits, with occupancy no later than August 2013.
- b. As necessary, make true and complete applications for all rezoning, permits, approvals, variances, licenses, certificates and consents required or desirable to enable the REF to commence and carry out the construction.
- c. Submit final plans and specifications for review and approval to the University of Wisconsin System Administration on behalf of the Board and UW-Platteville.
- d. Install all utilities and communications systems, connecting to the UW-Platteville campus or private utilities as necessary. All plans and specifications for utility and communication systems shall be subject to the approval of University of Wisconsin System Administration and UW-Platteville.
- e. Include in the design process an assessment of stand-alone utilities and connection to the UW-Platteville central heating system.
- f. Obtain all financing necessary for the construction of the project and pay all debt service incurred for construction of the project.
- g. Provide UW-Platteville exclusive use of the facilities.
- h. Pay a management fee to UW-Platteville in consideration for reimbursement of all operating and maintenance costs.

The UW-Platteville shall:

- a. Market, rent, manage, operate, and maintain the facilities completed pursuant to the Management Agreement and
- b. Pay for all operation and maintenance costs of the housing facilities from the management fees received from the REF in accordance with the Management Agreement.

UW-Platteville will provide food service to students living in the REF Building and, from available revenues from the food service program, pay annually to the REF a minimum of \$600 per student enrolled in the program, prorated for students participating for only part of the academic year, in consideration for facilities costs relating to the food service operation.

4. Justification: The University of Wisconsin-Platteville currently faces a critical housing shortage. The current total student enrollment is 7,900. Enrollment is projected to increase to more than 8,200 by 2013. The current on-campus housing provides a total of ten (nine traditional and one suite-style) residence halls with approximately 2,700 available beds to house a sophomore and freshman projected population of nearly 3,000 for 2013. Increasing student demand will be partially met when the REF opens a 620-bed residence hall in August 2012.

In 2011-12, approximately 376 juniors and seniors lived in the residence halls; however, there is additional demand for on-campus housing from juniors and seniors. The campus began turning away transfer students who requested housing in May 2011.

The table below shows actual housing allocation and total beds for Fall 2011 and projected housing allocation and beds for Fall 2012, Fall 2013 (with the additional 400 beds as requested via the ground lease), and the implementation of the master plan.

For Fall 2012 and Fall 2013, the projections below do not provide for housing all of the “Other Freshman and Sophomores” on campus. In other words, additional beds could be assigned beyond the 3,320 for Fall 2012 and 3,720 for Fall 2013. The university’s master plan goal is to provide housing for about 50% of students (5,000+) on campus or in off-campus housing that includes quality management, programming, and other services that support increased retention and higher graduation rates.

Students	2011	2012	2013	Master Plan Goal
Freshmen	1,600	1,650	1,732	1,900+
Other Freshmen and Sophomores	724	1,270	1,588	2,400+
Upperclassmen	376	400	400	700+
Total	2,700	3,320	3,720	5,000+

The goal of the requested building project is to construct a private residence hall to meet more of the existing and projected demand for on-campus housing by 2013. The campus goal is that the facility be financially self-sustaining. A request for the construction of a new state-owned hall was not pursued during the 2011-13 biennial budget because the state standard cost estimates resulted in a cost-per-bed that would be unaffordable. Based on the REF model, which is currently in construction, the new facility will achieve both quality and affordability.

The first REF residence hall, now under construction adjacent to the university, is not on Board of Regents land; therefore, the university has no financial risk associated with the project. Because this housing and dining facility would be on Board of Regents land, the university has an interest in its quality and financial viability.

The nine original residence halls were constructed in the 1960s. These facilities lack many of the current amenities and are in need of eventual updating or replacement. The gross square footage of these legacy buildings also provides far less space per bed than modern buildings. The 1960s era buildings are traditional double rooms with common lavatory and bathing facilities on each floor or wing. In 2005, a single 380-bed suite-style residence hall was constructed (Southwest Hall).

The UW-Platteville Master Plan provides for a new residence hall and dining facility in Phase 1 at the location requested for the land use agreement. The dining facility is planned to serve Southwest Hall, the building identified for consideration in this request, and the off-campus REF residence hall under construction.

5. Budget: No state costs are associated with the construction of the facility. The university will not request authority to purchase the facility.
6. Previous Action: None.



Authority to Request the Release of Building
Trust Funds to Continue Planning the Health
and Human Performance/Recreation Building
Project, UW-River Falls

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-River Falls Chancellor and the President of the University of Wisconsin System, authority be granted to request the release of \$3,770,000 Building Trust Funds-Planning for the Health and Human Performance Building project, as needed by the project.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. Institution: The University of Wisconsin-River Falls
2. Request: Authority to request the release of \$3,770,000 Building Trust Funds-Planning for the Health and Human Performance Building project, as needed by the project.
3. Description and Scope of Project: This project will construct a new 111,164 ASF/162,300 GSF facility to replace the existing Karges Physical Education Center and the Emogene Nelson Building to provide space for Health and Human Performance programs, as well as campus athletics and student recreation programs.

The proposed project will accommodate Health and Human Performance (HHP) programs, athletics, and student recreation as an addition to the existing Hunt/Knowles complex. The building will include classrooms, a human performance laboratory, a large gymnasium, dance studio, auxiliary gym, offices, locker rooms, training rooms, and other support spaces.

The project also remodels approximately 14,670 GSF of space in the existing Hunt/Knowles complex to tie into and support the new addition. Because of the distance from the central heating plant, this project will not extend the existing campus steam system, but will include a dual-fueled boiler for heating. The project will seek LEED certification.

Upon completion of the new HHP facility, the 67,150 GSF Karges Physical Education Center and the 20,484 GSF Emogene Nelson Building (now occupied by HHP) will be demolished. Demolition of those buildings will eliminate operating costs and maintenance needs in those facilities.

The project will also construct a 720-stall parking lot adjacent to the new building to serve the parking needs of the new facility and to address the general deficiency of parking at the Hunt/Knowles complex.

4. Justification of the Request: Detailed justification for this project can be found in the 2011-13 biennial capital budget document.

This project was approved for advance enumeration for the 2013-15 biennium as part of the 2011-13 biennial capital budget. Approval of this request will initiate selection of an architect/engineer team to prepare plans and specifications ready for bidding by July 2013, when funding is available.

5. Budget and Schedule:

Budget	Cost
Construction	\$49,114,000
Contingency	4,911,000
A/E Design and Other Fees	4,712,000
DSF Fee	2,161,000
Movable & Special Equipment	2,614,000
Total Project Cost	\$63,512,000

Schedule	Date
Final Documents	April 2013
Bid Date	July 2013
Construction Start	September 2013
Substantial Completion	March 2015

6. Previous Action:

December 10, 2010
Resolution 9854

Granted authority to seek 2013-15 advance enumeration of the Health and Human Performance/Recreation Building project at an estimated project budget of \$63,512,000 (50,491,000 2013-15 General Fund Supported Borrowing, \$10,264,000 Program Revenue Supported Borrowing, \$701,000 Building Trust Funds, and \$2,056,000 Gifts/Grant Funds.

Authority to Enter into Land Lease
Agreements and to Acquire Real
Property for the Long-term Operation of
the Lake Superior National Estuarine
Research Reserve, UW-Superior

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Superior Chancellor and the President of the University of Wisconsin System, authority be granted to (a) enter into 30-year land lease agreements for properties located at 3 and 14 Marina Drive, Superior, Wisconsin, at an annual operating cost of \$5,000, and (b) acquire two, single story buildings on the site, consisting of 3,388 square feet and 3,848 square feet, and a 110- by 15-foot dock at a total acquisition cost of \$850,000.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request For Board of Regents Action December 2011

1. Institution: The University of Wisconsin-Superior
2. Request: Authority to: (a) enter into 30-year land lease agreements for properties located at 3 and 14 Marina Drive, Superior, Wisconsin, at an annual operating cost of \$5,000, and (b) acquire two, single story buildings on the site, consisting of 3,388 square feet and 3,848 square feet, and a 110- by 15-foot dock at a total acquisition cost of \$850,000.
3. Description and Scope: This property acquisition is desired for long-term operation of the Lake Superior National Estuarine Research Reserve (LSNERR). The existing buildings will provide long-term space for visitor interaction, exhibits and interpretive displays, an educational classroom, storage space for canoes, kayaks, and other equipment, a small wet-lab, and office/meeting room space.

Two independent appraisals conducted in July 2011 resulted in values of \$845,000 and \$855,000 creating an average of \$850,000. The real property valuation was agreed to by the individual sellers in option to purchase documents executed in October 2011.

The real property is located on land owned by the city of Superior. The city desires to retain permanent ownership of the land and proposes a 30-year land lease agreement. City officials, in consultation with an independent appraiser, determined the market lease rate for the combined parcels to be \$9,360 per year. The city of Superior has proposed a discounted rate of \$5,000 annual lease payment for the life of the 30-year agreement, with no inflationary increase clauses. The city is donating the difference between the market lease rate of \$9,360 and the actual lease payment of \$5,000 as a matching component of the federal acquisition grant.

Funding for the acquisition has been obtained through a federal National Oceanic and Atmospheric Administration (NOAA) Estuarine Reserves acquisition grant. Award notice has been received. Funding for the land lease is included as part of the LSNERR's annual operating budget, also funded with a NOAA operating grant.

Additional acquisition costs are estimated at \$2,000 for associated environmental testing and closing costs. There are no relocation costs.

Both buildings are situated on bay-front land and were newly constructed in 2003 and 2006. One building is a former restaurant and the other was used as retail space including a boat excursion business. That building has a fenced porch and a private dock which was used for the excursion boat. Both buildings have access to a public boardwalk, a city-owned parking lot, and public docking facilities.

Both properties were vacated and listed unsuccessfully for sale in 2010. The University has been leasing both buildings and the dock facility at a monthly cost of \$10,597 for the LSNERR operations since December 2010. Purchasing these facilities will result in annual rental cost savings of \$127,161. The acquisition of these facilities will also result in the reuse and renewal of existing facilities.

4. Justification: The LSNERR is a collaborative effort between NOAA, UW-Extension, the city of Superior, Douglas County, the Fond du Lac Band of Lake Superior Chippewa, the UW-Sea Grant Institute, the Wisconsin Coastal Management Program, the Wisconsin DNR, and UW-Superior.

The LSNERR is one of 29 reserves in the country and one of only two freshwater estuaries. The LSNERR received official designation in October 2010. With visibility and access to Barker's Island in the city of Superior, these properties are a prime location for the LSNERR. The island is located in the St. Louis River freshwater estuary and is the center of the waterfront tourism district. Currently, the only facilities available to the LSNERR are shared research, education, office, and storage space on the Superior campus. There are no existing core facilities. The LSNERR management plan, which was submitted by NOAA as part of the NERR designation process, states that "options which could be used to address facility needs include acquisition and renovation of appropriate waterfront facilities." This waterfront facility represents an excellent opportunity to provide those core facilities.

5. Budget: The estimated project cost is as follows:

Acquisition Price	\$850,000
Environmental testing and closing costs	\$2,000
30-year land lease annual payments	\$5,000

6. Previous Action: None.

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 \$10,554,800 (\$4,663,200 General Fund Supported Borrowing; \$1,717,300 Program Revenue Supported Borrowing; \$3,762,300 Program Revenue Cash; and \$412,000 Gifts and Grants).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action December 2011

1. **Institution:** The University of Wisconsin System
2. **Request:** Authority to construct various maintenance and repair projects at an estimated total cost of \$10,554,800 (\$4,663,200 General Fund Supported Borrowing; \$1,717,300 Program Revenue Supported Borrowing; \$3,762,300 Program Revenue Cash; and \$412,000 Gifts and Grants).

FACILITIES MAINTENANCE & REPAIR

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
LAX	11K1U	Athletic Facility Scoreboard Repl	\$ -	\$ -	\$ 918,000	\$ -	\$ -	\$ 918,000
MSN	11K2D	Comp Sci/WARF Roof Repl	\$ 525,400	\$ -	\$ 26,900	\$ -	\$ -	\$ 552,300
PLT	11C2G	Williams Fieldhouse Pool Eqpt Repl	\$ -	\$ 687,000	\$ -	\$ -	\$ -	\$ 687,000
FM&R SUBTOTALS			\$ 525,400	\$ 687,000	\$ 944,900	\$ -	\$ -	\$ 2,157,300

PROGRAMMATIC REMODELING & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
MSN	11D2P	Chamberlin Hall Laser Lab Rmdl	\$ -	\$ -	\$ -	\$ 412,000	\$ -	\$ 412,000
PKS	11D2H	S&AC Student Fitness Center Rmdl	\$ -	\$ -	\$ 1,500,000	\$ -	\$ -	\$ 1,500,000
PR&R SUBTOTALS			\$ -	\$ -	\$ 1,500,000	\$ 412,000	\$ -	\$ 1,912,000

UTILITIES REPAIR & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
EAU	11K1Z	Haas Lot/2nd Ave Repaving	\$ -	\$ 536,000	\$ 50,000	\$ -	\$ -	\$ 586,000
MSN	10A1J	Lake Mendota Shoreline Restoration	\$ 3,426,600	\$ -	\$ 1,267,400	\$ -	\$ -	\$ 4,694,000
STP	09C3W	UWSTP Steam/Cond Repl Laterals (Increase)	\$ 711,200	\$ 494,300	\$ -	\$ -	\$ -	\$ 1,205,500
UR&R SUBTOTALS			\$ 4,137,800	\$ 1,030,300	\$ 1,317,400	\$ -	\$ -	\$ 6,485,500

	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
DECEMBER 2011 TOTALS	\$ 4,663,200	\$ 1,717,300	\$ 3,762,300	\$ 412,000	\$ -	\$ 10,554,800

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

LAX - Athletic Facility Scoreboard Replacements (\$918,000): This project replaces various interior and exterior athletic facility scoreboards across campus to resolve maintenance issues and provide equipment with the features and appearance expected for intercollegiate athletics venues. Scoreboards located at the Veterans Memorial Sports Complex (Harring Stadium, women's soccer field), men's baseball field, women's softball field, and the Mitchell Hall natatorium will be replaced with new LED display boards. Project work includes removal and disposal of all existing scoreboards, procurement and installation of new scoreboards, including associated structural support, electrical power, audio, and telecommunication services. Sponsor panels and campus branding will be included in the scoreboard installations.

The exterior scoreboards are all more than 20 years old and frequently malfunction,

rendering the equipment inoperable. The stadium and soccer field equipment outages often last multiple days, because replacement parts are no longer available and need to be specially manufactured. This situation requires that university electricians become diverted from their normal maintenance responsibilities to improvise solutions for the ongoing outages. The Mitchell Hall natatorium scoreboard is also more than 20 years old. The equipment is a combination of mechanical and electronic components, and replacement parts are no longer available. Replacement parts typically have to be custom fabricated when a board experiences failures, which results in unacceptable downtime.

The lack of functionality and poor condition of all the scoreboards make their replacement a top priority for the campus athletics program. The original scope of the Veterans Memorial Sports Field Complex project, completed in 2008, included replacement of the exterior scoreboards. However, due to budget constraints, replacement of the boards was deferred. The athletics program has now identified adequate funding to replace the scoreboards and hopes to achieve an economy of scale when all of the equipment is purchased at one time.

MSN - Computer Sciences & Statistics and Wisconsin Alumni Research Foundation Roof Replacement (\$552,300): This project replaces roof coverings and completes all other associated ancillary work to maintain the building envelope integrity and prevent damage to two buildings and their contents. Project work includes removing ~32,080 SF of Built-Up Roofing (BUR) and deep asphaltic fill down to the concrete deck and installing a new 60-mil Ethylene Propylene Diene Monomer (EPDM) membrane over new insulation to achieve a minimum average R-24 value. Roofing work must be coordinated around electrical conduits that run across the roofing surface, mechanical equipment curbs, and other roof penetrations. The lightning protection system will be modified as necessary.

The roof sections are approximately 25 years old. Recent site inspections by the Physical Plant staff, professional consultants, and DSF determined these roof sections require replacement to address current leaking, weathered, worn, and/or damaged sections. These repairs will extend the life of the roof sections and prevent moisture from penetrating the building envelope.

PLT - Williams Fieldhouse Pool Equipment Replacement (\$687,000): This project completely replaces the swimming pool equipment and reconfigures and replaces the main campus low pressure steam supply into Williams Fieldhouse. Both the swimming pool equipment and main steam service to the building are anticipated to fail prior to the pending construction of the Williams Fieldhouse Phase 2 project (10C1J), which will include a new campus natatorium. Project work includes replacing the 150,000-gallon swimming pool plumbing and diatomaceous earth filtration systems, including pumps, motors, piping, and valves located in Mechanical Room 01. The main low pressure steam service will also be reconfigured and replaced to accommodate the new pool equipment configuration and layout.

Williams Fieldhouse (72,421 GSF) and the original natatorium were constructed in 1961, and the plumbing and filtration systems are original to the facility. The swimming pool serves the Physical Education and campus recreation programs. The plumbing system has numerous leaks and requires almost constant repairs. Flow control is difficult due to original system design and deterioration of the equipment. The diatomaceous earth filtration system is failing and is not a self-contained design, which results in a hazardous

respiratory condition of the diatomaceous earth being airborne throughout the mechanical room. The main low pressure steam service consists of exposed piping and valves. The steam service is also original to the facility and has significant deterioration, including pipe support standards which have rusted through.

Programmatic Remodeling and Renovation

MSN - Chamberlin Hall Laser Laboratory Remodeling (\$412,000): This project constructs selective renovations and mechanical and electrical upgrades in laboratories 5323 and 5335 to correct and stabilize temperature and humidity levels required to accommodate laser experiments. New fan coil units will be installed to provide dedicated air supply to both laboratories through laminar flow perforated ductwork. The fan coil units will include cooling coils and heating coils and will be served by central campus utilities. Each fan coil unit will have a cooling capacity of between 5 and 8 tons. The supply ductwork will be removed and the VAV boxes reused for code-required fresh air and to provide backup cooling abilities. The new fan coil units will be installed in the chase adjacent to the laboratories and the electrical and mechanical controls upgraded to support the new system.

The laboratory spaces will be sealed tightly to prevent infiltration of unwanted humidity or temperature conditions. All perimeter walls will be sealed at the ceilings and floors and all openings sealed. The north wall movable partition and associated door assembly in the southern portion of Laboratory 5335 will be demolished and replaced with a new partition wall. Epoxy paint will be applied to all ceilings and wall surfaces to provide additional environmental control.

To maintain continuity of the federally funded research, the project work will be staged, completing the necessary upgrades in laboratory 5323 (778 SF) first and then beginning project work in the southern third of laboratory 5335 (625 SF). After laboratory 5323 work is complete, equipment from laboratory 5335 will be moved into laboratory 5323 to allow completion of the second stage of project work.

Although this portion of Chamberlin Hall was renovated in the previous remodeling project (99J3M), the temperature and humidity fluctuations in these laboratories are too significant to accommodate laser experiments. Moisture within the air can dramatically affect the precision required for laser technology. Federal funding (used for the experiments to be conducted in these labs) requires precise controls of the laboratory environment. The principal investigator and staff require increased control of temperature and humidity levels to avoid compromising the experimental data collection and analysis. The new mechanical system will only allow temperature fluctuations of half a degree Fahrenheit and humidity level deviations of five percent.

PKS - Sports & Activity Center Student Fitness Center Remodeling (\$1,500,000): This project converts a weight room and two racquetball courts into a new fitness center serving the entire campus community and general public members of the Sports & Activity Center, enabling the advancement of campus initiatives in student wellness, recruitment, and retention. The northeast corner of the Sports & Activity Center was originally designed to house five 800 ASF, two-story racquetball courts, only two of which were constructed. The remaining three bays have housed various uses including combatives training and a weight room. This project will convert two of the two-story bays into four single-story spaces and

connect one of the bays to the remaining three bays by removing a partition wall.

Project work includes remodeling ~7,500 GSF to create a new 4,170 ASF fitness center (including a new 800 ASF mezzanine area), an 800 ASF dance studio, and an 800 ASF sports medicine treatment area. Modern exercise equipment will be installed in the fitness center and mezzanine areas. The north facade will be modified to accommodate new exterior window installations on both the first and second floors. The new exterior windows and exterior masonry openings will be sized and selected to match the current facility and campus aesthetics. The first floor corridor adjacent to the project area will be refinished and furnished to create new seating and study areas.

The mechanical system (ASU-4) serving the project area will be replaced with a new variable air volume (VAV) system to provide both heating and cooling capabilities. The project area will be split into multiple zones and new direct digital controls (DDC) will be installed. Because ASU-4 does not provide cooling capabilities, the new mechanical system will be connected to the campus central chilled water system (extended into the Sports & Activity Center under Project No. 93519). The ductless split systems for standalone cooling will be relocated for use when the central chilled water system is not in operation. Electrical power and telecommunications will be extended and distributed throughout the project area. Lighting and controls will be replaced or augmented as necessary.

These upgraded spaces will better provide for student fitness needs and better position the campus Division II athletic programs to recruit and retain student athletes. The project area has no natural light because these spaces were originally designed to accommodate racquetball courts. Three of the five bays were left as unfinished shell space. The current HVAC system is inefficient and ineffective, and the air handling unit serving this area is undersized and incapable of serving the new intended use. The two racquetball courts are seldom used, and this space should be reallocated to more intense uses. The weight room was relocated into the project area in 2010 so its original space could be renovated for other academic use. This relocation was a temporary move until sufficient student fees could be generated to fund a permanent solution. The students, by majority vote, approved a \$34.31 segregated fee increase for this project on April 5 and 6, 2011. This project increases the total annual segregated fee from \$960.00 to \$994.31 starting in 2012 and lasting through the end of 2021.

Utilities Repair and Renovation Requests

EAU - Haas Fine Arts Parking Lot and Second Avenue Repaving (\$586,000): This project repaves the Haas Fine Arts parking lot and the adjacent Second Avenue access drive and pedestrian walkways. It also reconfigures the parking lot to increase its capacity. This project creates a parking lot with a capacity for 375 automobiles and 35 motorcycles. Project work includes milling 3,560 SY of asphalt; replacing 1,150 LF curb and gutter; installing 12,250 SY of new 3-inch asphalt; and replacing 6,990 SF of pedestrian walkways, motorcycle, and bicycle parking pavements. Eleven light standards will be replaced or newly installed to match the new lot configuration. The storm sewer system will be replaced and augmented to improve storm water runoff quality prior to entering the municipal storm sewer system. All landscaping and turf disturbed by project work will be restored to its original condition.

The parking lot, Second Avenue access drive, and pedestrian walkways are significantly deteriorated and cannot be repaired through routine maintenance procedures. Due to the loss of parking spaces across campus from other construction projects, the campus is seeking to increase on-campus parking spaces wherever possible. The Haas Fine Arts parking lot site provides the potential of adding new parking spaces to help alleviate the temporary campus shortage.

MSN - Lake Mendota Shoreline Restoration (\$4,694,000): This project rehabilitates ~800 LF of failing Lake Mendota shoreline adjacent to the lakeshore path between North Lake Street and North Park Street. The limestone blocks from the shoreline alignment will be removed and reinstalled. The breakwater will be removed and a new shoreline alignment section created to infill the small bay north of the Red Gym and to restore the natural shoreline. A portion of the sidewalk along the entire length of shoreline construction will also be removed and replaced. Partial storm sewer removal and replacement will also be required, as will electrical service for any proposed lighting. Work on the east, near the north end of the North Lake Street public right-of-way will need to be coordinated with the city of Madison. A section of the shoreline will be developed to accept a future public transient boat dockage pier as part of the future Alumni Park development. A section to the west will also be reinforced to accept the seasonal swimming pier.

The Lake Mendota shoreline from North Park Street to North Lake Street was originally constructed in 1969 as part of a redevelopment of the lakefront after the original crew team boathouse was removed in 1968. This shoreline sidewalk provides an important general public access and pedestrian/bicycle connection from North Lake Street west to the Howard Temin Lakeshore Path, west of the Memorial Union and the Limnology building. It is an integral part of the public lakeshore path system that runs from North Lake Street all the way to Picnic Point and on to Oxford Road on the far western edge of the campus, over 2 miles in length. As the eastern doorway to the Lakeshore Nature Preserve and the many academic facilities along the path, this public sidewalk must be maintained and repaired to maintain public safety.

The five courses of limestone blocks stepping down to the water's edge were designed by a nationally acclaimed landscape architect. The plan also included the 10-foot-wide exposed aggregate sidewalk immediately adjacent to the shoreline steps and a large breakwater near where the prior boathouse pier was located. Unfortunately, the limestone steps have significant problems, especially after major storm events and ice movement in winter and spring. Several stones have slumped to the point of falling into the lake. The university and State of Wisconsin have periodically provided emergency repair funds (starting as early as 1979) to mud-jack the stones back into place and, at one point, removed the stones, and backfilled with concrete to stabilize the sidewalk where the base material was totally washed away. During 2008, the area just north of the Below Alumni Center was repaired and filled to help stabilize the shoreline sidewalk to fix an immediate danger of fall stones and paving. These degraded conditions continue to create swimmer, pedestrian, and bicycle user safety issues along the full length of the shoreline sidewalk, because the large limestone blocks and their backfill continue to be washed away by the actions of waves and ice. Cracks and uneven sections of the adjacent exposed aggregate paving have also been repaired several times over the years but continue to occur on a regular basis.

The breakwater design also creates significant health and safety concerns as water, algae, trash, and weeds are trapped behind the breakwater to the east due to the prevailing northwest winds. The water stagnates and promotes weed growth in the shallow lake waters near this heavily used public area. The suggested removal of the breakwater, and its associated bollards, will help with water flow more easily along the lakeshore and reduce overall weed growth. The breakwater does provide an important function in that it is used twice a year by the university's Hooper sailing club to launch and remove sailboats that are moored in the area. This deep water function (minimum 6 feet clear depth of water) will be replaced with the project.

STP - Steam and Condensate Laterals Replacement (\$1,205,500 increase for a total project cost of \$3,774,100): This request increases the project budget and scope to address unforeseen conditions encountered during construction. This increase is needed to complete the originally approved project scope and intent. The condition of the condensate system is significantly worse than originally anticipated or estimated, which requires extensive replacements of interior building equipment and controls to provide a reliable and fully functional system. The expanded interior building work also requires additional asbestos materials abatement, which was not anticipated or included in the original project budget estimates.

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

5. Budget:

General Fund Supported Borrowing	\$ 4,663,200
Program Revenue Supported Borrowing	1,717,300
Program Revenue Cash	3,762,300
Gifts and Grants Funding	<u>412,000</u>
Total Requested Budget .. \$ 10,554,800	

6. Previous Action:

October 8, 2010 Resolution 9827	The Board of Regents previously approved STP - Steam and Condensate Laterals Replacement at an estimated total cost of \$2,568,600 (\$1,592,500 General Fund Supported Borrowing and \$976,100 Program Revenue Supported Borrowing).
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Approval of the Criteria for Ranking General
Fund Major Projects, UW System

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the *University of Wisconsin System Administration Major Capital Projects Evaluation Criteria* be adopted as the basis for prioritizing major capital projects funded by General Fund Supported Borrowing (GFSB) for inclusion in UW System capital budget requests.

CRITERIA FOR EVALUATING MAJOR CAPITAL PROJECTS FUNDED BY GENERAL FUND SUPPORTED BORROWING

BACKGROUND

Wisconsin Statutes require that projects constructing new space and exceeding \$760,000 be passed by the full Legislature, regardless of the source of funds. Generally, such projects are presented and adopted in the biennial capital budget. Maintenance and remodeling projects may be constructed through the All Agency program, within the total amount approved by the Legislature for such purposes.

The two primary sources of funding for UW System capital projects are state support through General Fund Supported Borrowing (GFSB) for academic facilities and university support through Program Revenue and Program Revenue Supported Borrowing (PRSB) for student life facilities. Gifts may also be used for any capital projects, although gifts are not required.

This request follows s. 36.11(26), Wis. Stats., which requires the board to establish a process for submission of building projects to the building commission for approval. No building project for the UW System may be submitted by the board to the building commission unless the project is developed and approved by the board in conformity with this subsection.

The need for academic facility improvements at UW institutions far exceeds the amount of available state support each biennium. Therefore, the UW System and the Board of Regents must prioritize the capital projects requested by UW System institutions. Only projects that require enumeration with GFSB are scored and ranked through this prioritization process. Program revenue projects are funded by programs that generate sufficient revenue to support the project. Therefore, program revenue projects that meet long-range plan guidelines are submitted for enumeration. Other maintenance or remodeling projects may be constructed through the statewide all agency fund. Such projects are also screened and prioritized before submission to the Division of State Facilities and the State Building Commission.

Each biennium, the Board of Regents approves the criteria to be used by System Administration staff in ranking proposed major projects funded by GFSB that require enumeration in the capital budget. The use of approved criteria in preparing capital budget submissions was established in 1999-2001, and the criteria have been updated biennially to reflect current systemwide initiatives, priorities, and goals of the Board of

Regents. The intended use of these criteria is to create a priority list that addresses the greatest needs, highest academic priorities, and most cost-effective solutions to established facility deficiencies.

REQUESTED ACTION

That the Board of Regents adopt Resolution I.3.m., authorizing the use of criteria as defined in Appendix A for ranking major projects funded by General Fund Supported Borrowing for enumerated planning or construction.

DISCUSSION

The proposed criteria for ranking major capital projects emphasize extending the useful life of existing facilities and functionality. They also support goals of improving the quality of education by providing effective teaching and learning environments with appropriate technology. Strong consideration is given to projects offering operating efficiencies. The institutional priority of each project as established by the respective Chancellor is the primary differentiating component of the ranking process. All general fund projects requiring enumeration must be supported by a completed Physical Development Plan.

Significant evaluation factors include a strong emphasis on facility reuse, innovation, and the impact on infrastructure and maintenance. Preference is given to projects that improve space utilization, reduce maintenance costs, promote facility reuse, and improve program functionality.

Given the magnitude of capital budget needs, each major project proposal will be ranked using the recommended criteria. The rankings assist in determining which projects are recommended to the Board of Regents for inclusion in the 2013-15 Capital Budget.

System Administration has not yet received capital budget instructions from the Department of Administration for 2013-15. Additional guidelines, which may be established by the Department of Administration, will be addressed in the context of this framework.

THE UNIVERSITY OF WISCONSIN SYSTEM ADMINISTRATION

MAJOR CAPITAL PROJECTS EVALUATION CRITERIA

These ranking criteria apply only to Major Project requests with General Program Revenue (GPR) funding, either General Fund Supported Borrowing (GFSB) and/or Building Trust Funds (BTF). The categories and criteria were established by determining distinguishing factors of project requests. Since the Major Project requests are jointly developed by the institution and UW System Administration, all requests will support the institution's core and select missions and academic goals.

Some criteria are entirely objective either the project request meets the criteria definition or it doesn't. Points for objective criteria will be based and awarded on group consensus, to ensure the most knowledgeable interpretation and determination is used. Other criteria are subjective, where the criteria definition can be partially met or the degree to which the criteria definition is met is open to interpretation. Points for subjective criteria will be based and awarded on an individual basis and will take into consideration the most knowledgeable interpretations and descriptions provided. Only those projects ranked each biennium will be used to gauge the range of possible points given for the subjective criteria there are no absolute standards for maximum points awarded. Subjective points will be an assigned consensus value by the group of evaluators.

Note: Projects with 50% or more of Gifts/Grants funding will receive special consideration.

SCORING	PREREQUISITES
Yes or No	EVIDENCE OF PLANNING: The institution has demonstrated and documented previous indication(s) and intent(s) for the majority of project scope through one or more of the following items: Campus Master Plan, Campus Physical Development Plan, Facility Condition Assessment, Feasibility Study, Origin-Destination Chart, Project Sequence Chart, Pre-Design, Space Use Study.
Yes or No	INSTITUTIONAL READINESS: The institution has demonstrated and documented its ability to execute and manage the proposed project in or by the proposed biennium through the following items: (a) Origin-Destination Chart completed for all facilities impacted by the proposed project, (b) Qualified institutional project team members identified and assigned, and (c) Surge Space identified and reallocated or reserved as necessary.
Yes or No	INFRASTRUCTURE IMPACT: The institution has identified and requested, if necessary, the required additional site infrastructure/utility funding commitments and/or the additional site infrastructure/utility funding commitments have been included in the Agency development plan in the biennium prior to, and/or in the same biennium as the project.
Yes or No	OPERATIONAL SUPPORT: The institution has identified and documented appropriate operational funding resources and staffing to operate and maintain the resulting capital asset(s).

SCORING	INSTITUTIONAL PRIORITY
0 or 10 pts	#1 RANK FOR CURRENT BIENNIUM: The institution ranked the project as their highest priority for current biennium.
0 or 5 pts	#1 RANK FOR PAST BIENNIUM: The institution ranked the project as their highest priority for 1 past biennium.
0 or 3 pts	#1 RANK FOR TWO (2) PAST BIENNIUM: The institution ranked the project as their highest priority for 2 past biennia.
0 or 2 pts	PROJECT SEQUENCE: Project must be completed prior to other projects identified in development plan.

20 pts

**THE UNIVERSITY OF WISCONSIN SYSTEM ADMINISTRATION
MAJOR CAPITAL PROJECTS EVALUATION CRITERIA**

SCORING	PHYSICAL DEVELOPMENT CONSIDERATIONS	40 pts
0 - 5 pts	CODES, STANDARDS, HEALTH & SAFETY: Project resolves demonstrated and documented building codes and standards compliance issues and/or health, safety, and environmental issues which would not be resolved through standard design practice and DSF design standards. The project scope must include extraordinary or non-routine conditions and examples to be resolved. A project scope only resolving standard conditions that would typically be addressed through best business and design practices does not qualify.	
0 - 10 pts	DEMOLITION: Project eliminates demonstrated and documented capital maintenance or avoids anticipated future capital maintenance through demolition of space which is deteriorated, obsolete, and/or has no viable reuse.	
0 - 15 pts	FACILITY RENEWAL: Project renews demonstrated and documented capital maintenance and/or anticipated future capital maintenance through renovation. Project scopes including only remodeled/renovated space receive full credit. Project scopes including new ancillary spaces and/or non-assignable spaces (elevators, mechanical rooms, restrooms, etc.) are not penalized. Project scopes including remodeled/renovated space + new assignable space receive partial credit. Partial credit scoring will be based on cost (\$) ratio of remodeled/renovated space to new space included in the project.	
0 - 10 pts	FACILITY REUSE: Existing space is adequate and appropriate for renovation; no new assignable space required. Project scopes including only remodeled/renovated space receive full credit. Project scopes including new ancillary spaces and/or non-assignable spaces (elevators, mechanical rooms, restrooms, etc.) are not penalized. Project scopes including remodeled/renovated space + new assignable space receive partial credit. Partial credit scoring will be based on space (GSF) ratio of remodeled/renovated space to new space included in the project.	
SCORING	PROGRAM CONSIDERATIONS	40 pts
0 - 15 pts	FUNCTIONALITY: Project provides new and/or improved functionality through configuration, relocation, or technology. The project scope includes one or more of the following items for new and/or improved functionality: (a) area(s) and/or technology specifically designed and/or implemented and/or (b) remodeling/renovation/relocation	
0 - 5 pts	OPERATIONAL IMPACT: Project improves operational efficiencies through consolidation, reorganization, and/or relocation and supports sustainability. The project scope includes one or more of the following items to improve operational efficiency: (a) area(s) and/or technology specifically designed and/or implemented, and/or (b) remodeling/renovation/relocation with (1) demonstrated operational budget reductions and/or projections as a result of completing this project and/or (2) demonstrated resource reallocation to accommodate any new net square footage constructed.	
0 - 15 pts	SPACE NEED: Project targets and resolves demonstrated space shortages. The project scope includes one or more of the following items to meet demonstrated space shortages: (a) area(s) and/or technology specifically designed and/or implemented and/or (b) remodeling/renovation/relocation; and the space need must be documented in development plan and back-up planning materials.	
0 - 5 pts	SPACE UTILIZATION: Project demonstrates improved space utilization and/or makes use of underutilized space. The project scope includes one or more of the following items to improve space utilization: (a) area(s) specifically designed to replace underutilized assigned/surplus space with assigned space and/or (b) remodeling/renovation/relocation.	

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

Friday, December 9, 2011
University of Wisconsin-Madison, Union South,
1308 W. Dayton Street, Madison, Wisconsin 53715

9:00 a.m.

Friday, December 9, 2011

9:00 a.m. All Regents – Varsity Hall II, 2nd Floor

1. Calling of the roll
2. Approval of the minutes of the July, September, and October meetings
3. Update on Legislative Task Force on UW Restructuring and Operational Flexibilities
4. Interim report of Ad Hoc Work Group on System Structure and Governance
5. Report of the President of the System
 1. Report on UW System response to proposed biennial budget lapse
 2. News from around the System
6. Report and approval of actions taken by the Capital Planning and Budget Committee
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. Resolution of appreciation to UW-Madison as host of the December meeting
10. Communications, petitions, and memorials
11. Move into closed session to consider UW-Milwaukee honorary degree nominations, as permitted by s. 19.85(1)(f), *Wis. Stats.*, and to confer with legal counsel regarding pending or potential litigation, as permitted by s. 19.85(1)(g), *Wis. Stats.*

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

**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

**UW SYSTEM BOARD OF REGENTS
REGULAR MEETING SCHEDULE – 2012**

February 9-10, 2012 – In Madison

March 8, 2012 – In Madison

April 12-13, 2012 – Hosted by UW-Superior

June 7-8, 2012 – Hosted by UW-Milwaukee

August 23-24, 2012 – In Madison

October 4-5, 2012 – Hosted by UW-Stout

November 8, 2012 – In Madison

December 6-7, 2012 – Hosted by UW-Madison

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

President – Michael Spector

Vice President – Brent Smith

STANDING COMMITTEES**Executive Committee**

Michael Spector (Chair)
 Brent Smith (Vice Chair)
 Jeffrey Bartell
 Mark Bradley
 Judith Crain
 Michael Falbo
 Charles Pruitt
 José Vásquez

Business, Finance, and Audit Committee

Michael Falbo (Chair)
 Mark Bradley (Vice Chair)
 Charles Pruitt
 Troy Sherven

Education Committee

José Vásquez (Chair)
 Mark Tyler (Vice Chair)
 Judith Crain
 Tony Evers

Capital Planning and Budget Committee

Jeffrey Bartell (Chair)
 Ed Manydeeds (Vice Chair)
 John Drew
 Katherine Pointer
 David Walsh

Personnel Matters Review Committee

Edmund Manydeeds (Chair)
 Mark Bradley
 John Drew
 Mark Tyler
 José Vásquez

Committee on Student Discipline and**Other Student Appeals**

Brent Smith (Chair)
 Jeffrey Bartell
 Tony Evers
 Troy Sherven

Committee on Faculty and Academic Staff**Collective Bargaining**

Michael Falbo (Chair)
 Michael Spector

OTHER COMMITTEES & APPOINTMENTS**Diversity Awards Committee**

Judith Crain (*Chair*)
 Edmund Manydeeds
 Charles Pruitt

Teaching Excellence Awards Committee

Charles Pruitt (Chair)
 Tony Evers
 Katherine Pointer
 José Vásquez

Academic Staff Excellence Awards Committee

John Drew (Chair)
 Brent Smith
 Mark Tyler

Hospital Authority Board - Regent Members

Jeffrey Bartell
 Michael Falbo
 David Walsh

Liaison to Association of Governing Boards

Michael Spector

Higher Educational Aids Board

Jeffrey Bartell, Regent Member

Research Park Board

David Walsh, Regent Member

Wisconsin Technical College System Board

Judith Crain, Regent Member

Wisconsin Educational Communications Board

Judith Crain, Regent Member

Wisconsin Partnership Program

TBA