DATE: September 26, 2012

TO: Each Regent

FROM: Jane S. Radue

MEETING NOTICE

Meetings of the UW System Board of Regents and Committees to be held at Memorial Student Center, University of Wisconsin-Stout, Menomonie, Wisconsin on October 4 and 5, 2012

Thursday, October 4, 2012

9:00 a.m.  All Regents – Great Hall

1. Calling of the roll

2. UW-Stout Presentation by Chancellor Charles Sorensen: “Transforming a University: Twenty-five years of Moving UW-Stout Forward”

3. Presentation and Discussion: Board's Fiduciary and Oversight Responsibilities with Respect to NCAA Athletics Programs

12:00 p.m. Lunch – Crystal Ballroom

1:00 p.m. Capital Planning and Budget Committee – Cedarwood/Maplewood

1:00 p.m. Research, Economic Development & Innovation Committee – Great Hall

2:30 p.m. Education Committee – Great Hall

2:30 p.m. Business, Finance, and Audit Committee – Cedarwood/Maplewood

Friday, October 5, 2012

9:00 a.m. All Regents – Great Hall

Information about agenda items can be found at http://www.uwsa.edu/bor/meetings.htm or may be obtained during the week of the meeting from Jane Radue, Secretary of the Board of Regents, 1860 Van Hise Hall, Madison, WI 53706, (608)262-2324. The meeting will be webcast at http://www.uwex.edu/ics/stream/regents/meetings/ on Thursday, October 4, 2012, from 9:00 a.m. until approximately 12:00 p.m. and Friday, October 5, 2012, from 9:00 a.m. until approximately 12:00 p.m.
BOARD’S FIDUCIARY AND OVERSIGHT RESPONSIBILITIES
WITH RESPECT TO NCAA ATHLETICS PROGRAMS

EXECUTIVE SUMMARY

BACKGROUND

In recent years, intercollegiate athletics programs have become the subject of significant public scrutiny. As some of the most visible programs at higher education institutions, athletics programs provide valuable experiences for student athletes, and opportunities to engage the broader community. They are valued by alumni and donors, and generate significant media attention. As such, missteps within any athletics program can result in detrimental financial, reputational, and strategic impacts for the college or university as a whole that extend far beyond athletics.

The UW System currently includes three Division I NCAA athletics programs (UW-Green Bay, Madison, and Milwaukee), one Division II NCAA athletics program (UW-Parkside), and nine Division III NCAA athletics programs (UW-Eau Claire, La Crosse, Oshkosh, Platteville, River Falls, Stevens Point, Stout, Superior, and Whitewater).

Each year, over 5,600 UW student-athletes participate in NCAA sanctioned competition. UW System universities have won an overall total of 123 national championships. During fiscal year 2011 alone, these 13 athletic programs generated nearly $140 million of revenue. Each year more than 1.4 million fans attend UW NCAA athletics events all over the state. These contests are also broadcast to millions of fans and friends all over the state, the region, the nation, and the world.

The UW System has been fortunate. Strong leadership by UW Chancellors and Athletic Directors has been instrumental in establishing and sustaining programs that are a significant source of pride for students, faculty, staff, alumni, and the entire state of Wisconsin. Even with this strong leadership, it is important for the Board of Regents to consider how it might enhance its governance of UW NCAA athletics programs.

Much has been written about governing boards and their role in the oversight of NCAA athletics. Inasmuch as collegiate athletics exist for the betterment of the student body, student athletes, and the university, governing boards have a responsibility to provide for the orderly operation of athletics programs. The focus of the proposed accountability framework, which follows, is to allow for the proper discharge of the Board of Regents’ fiduciary responsibility to ensure 1) the well-being and success of UW System student-athletes; 2) the financial viability of UW athletics programs; 3) the success of the academic mission of its institutions; and 4) good lines of communication between UW institutions and the UW Board of Regents.
REQUESTED ACTION

For discussion purposes only.

DISCUSSION

According to NCAA bylaws, an institution’s chancellor (or president) is responsible for the administration of all aspects of the athletics program, including approval of the budget and audit of all expenditures. While the NCAA bylaws do not explicitly assign responsibilities to governing boards related to oversight of intercollegiate athletics, the NCAA has supported recommendations made along those lines by the Association of Governing Boards (AGB).

This executive summary outlines a four-part accountability framework designed to provide necessary information to the Board of Regents to assist in its fiduciary responsibilities related to athletics programs. The intent of this proposal is not to remove decision-making authority from the institutions’ chancellors, but rather to expand and strengthen routine communication. This new reporting process will begin with the three Division I athletics programs. When fully implemented, it will encompass Division II and Division III athletics programs in the System.

While the following four-part framework is tailored to the UW’s three Division I institutions, certain components will also be appropriate for the Division II and Division III member institutions.

The four components of this reporting structure would include:

(1) Annual Presentations to the Board of Regents
(2) Periodic Review of Significant Financial Arrangements and Compensation Agreements
(3) An Annual Certification Letter
(4) A Protocol Requiring Violations be Reported to the Chancellor

(1) An Annual Presentation and Reports/Data Provided to the Board of Regents (or its designated committee)

In the process of adhering to existing NCAA reporting requirements, UW institutions accumulate significant information related to finances, compliance, academics, and student-athlete welfare. While this information may currently be reviewed by standing institution-based athletic committees or athletic boards, the Board of Regents (or its designated committee) does not have a view into all pertinent information. To facilitate improved communication with the governing board on an ongoing basis, it is recommended the Chancellor, together with the Athletic Director present key information to the Board of Regents (or its designated committee) on an annual basis, and provide certain other key reports/data to the Board for informational purposes only.

While the athletic director at each institution should have discretion to include other relevant information, such as competitive achievements and other benefits provided
through athletics programs, it is recommended the following elements be presented or provided to the Board (or its designated committee) for information purposes only (see Attachment A for further information on each component):

**Included in Annual Presentation**

1. Athletics Department Mission Statement

2. Financial Highlights, including:
   a. Surplus (deficit), including a description of how deficits will be handled
   b. Athletics department year-end unrestricted fund balances
   c. Total debt outstanding and annual debt service requirements on athletics facilities
   d. Value of endowments dedicated to the support of athletics
   e. Value of all pledges at fiscal year-end that solely support athletics

3. Academic Progress Rate Data
   a. Three-year trend data for the three highest revenue men's sports and three largest women’s sports
   b. The lowest reported Academic Progress Rate
   c. Any other Academic Progress Rates below 940 (the NCAA's benchmark for penalties is 930)
   d. Average Academic Progress Rate (published by the NCAA)
   e. Benchmarks used by athletics to assess academic progress rate data, if criteria exist

4. Graduation Rate Data and Other Academic/Admissions Information
   a. Three-year federal graduation rate trend data of the regular student body to: 1) all student-athletes, 2) three highest revenue men’s sports, 3) three highest revenue women’s sports, and 4) rates below an established threshold.
   b. Number and rates of special admissions of athletes compared with those of the regular student body
   c. Average GPA of student-athletes
   d. Information on the declared majors of student-athletes
   e. Benchmarks used by athletics to assess graduation rate data and other academic/admissions information, if criteria exist

**Other Data/Reports Provided by the Universities for Informational Purposes Only**

5. Agreed-Upon Procedures Report

6. Intercollegiate Athletics Budget

7. Evaluation Reports Conducted in Accordance with Section 22.2.1.2(e) of the NCAA’s Division I Manual (as issued)

8. NCAA Self-Study Report (in years required by the NCAA)

A majority of the above information is readily available or accumulated in the course of normal operations. Attachment A provides additional information on each of these
elements, including the availability of this information, the source of information, and why it may be of interest to the Board of Regents.

(2) **Review of Significant Financial Arrangements and Compensation Agreements**

Currently, the Board reviews significant financial arrangements and compensation agreements related to UW’s NCAA Division I athletics programs. Recent examples include reviews of significant coaches’ contracts (those that require Regent approval per Regent Policy Document 6-3; auxiliaries and segregated fees used for athletics (as included in the Annual Operating Budget); and agreements/contracts over $500,000 related to sponsorship, merchandising, licensing, marketing, and media rights for UW-Madison. It is recommended that these practices continue, as required by existing Board of Regents’ policies and state laws.

(3) **Annual Certification Letter**

This proposal recommends the President of UW System and the Board of Regents require an annual certification letter be completed and signed by the chancellor, athletic director, athletics compliance officer, and other appropriate institution personnel. Completion of a certification letter may provide assurance to the President of the UW System and the Board of Regents that they are aware of relevant compliance matters.

(4) **Protocol Requiring Violations (Known and Alleged) to be Reported to the Chancellor**

This proposal recommends the UW System President and Board of Regents develop and implement a protocol requiring all violations (known and alleged) of NCAA, conference, or institutional policies that could result in punitive, corrective, or disciplinary actions be reported to the institution’s Chancellor, who, in turn, should notify the System President for communication to the Board President. The expectation would remain that it is the Chancellor’s responsibility to see the matter to resolution. While such a reporting protocol would not eliminate violations, it would provide clarity on the handling of known or alleged violations.

**RELATED REGENT POLICIES**

Regent Policy Document 10-1, *Endorsement of Statement of Principles from the Knight Foundation Commission on Intercollegiate Athletics*

**ATTACHMENTS**

Attachment A: Minimal Information to be Included in Annual Board Presentation and Reports/Data Provided to the Board of Regents
MINIMAL INFORMATION TO BE INCLUDED IN ANNUAL BOARD PRESENTATION AND REPORTS/DATA PROVIDED TO THE BOARD OF REGENTS

Included in Annual Presentation

1. Athletics Department Mission Statement

   Currently Available: Yes

   Source of Information: Athletics department

   Why it may be of interest to the Board of Regents? The Board can verify that the athletics department mission adheres to the institution’s mission, values, and strategic objectives.

2. Financial Highlights*, including:
   a. Surplus (deficit), including a description of how deficits will be handled
   b. Athletics’ department year-end unrestricted fund balance
   c. Total debt outstanding and annual debt service requirements on athletics’ facilities
   d. Value of endowments dedicated to the support of athletics
   e. Value of all pledges at fiscal year-end that solely support athletics

   Currently Available: Yes

   Source of Information: NCAA Revenues, Expenses, and Capital Expenditures Report required to be submitted to the NCAA by the January 15th following the end of the fiscal year.

   Why it may be of interest to the Board of Regents? Financial highlights provide details regarding the financial viability of intercollegiate athletic programs, as well as whether institutions are receiving an appropriate return on investment in intercollegiate athletics.

3. Academic Progress Rate Data
   a. Three-year trend data for the three highest revenue men's sports and three three highest revenue women's sports
   b. The lowest reported Academic Progress Rate
   c. Any other Academic Progress Rates below 940 (the NCAA's benchmark for penalties is 930)
   d. Average Academic Progress Rate (published by the NCAA)
e. Benchmarks used by athletics to assess academic progress rate data, if criteria exist

Currently Available: Yes

Source of Information: Academic Progress Rate Data required to be submitted annually to the NCAA. This information is publicly accessible through an online website.

Additional Information: The Academic Progress Rate (APR) is a term-by-term measure of eligibility and retention for Division I student-athletes that was developed by the NCAA as an early indicator of eventual graduation rates.

Why it may be of interest to the Board of Regents? Teams that do not earn an Academic Progress Rate above specific benchmarks face penalties ranging from scholarship reductions to more severe sanctions. Gathering this information could assist the Board in understanding how UW institutions compare to national averages. In addition, consideration of trend information could highlight significant fluctuations that warrant further understanding.

4. Graduation Rate Data and Other Academic/Admissions Information
   a. Three-year federal graduation rate trend data of the regular student body to:
      1) all student-athletes, 2) three highest revenue men’s sports, 3) three highest revenue woman’s sports, and 4) rates below an established threshold.
   b. Number and rates of special admissions of athletes compared with that of the regular student body
   c. Average GPA of student-athletes
   d. Information on the declared majors of student-athletics
   e. Benchmarks used by athletics to assess graduation rate data and other academic/admissions information, if criteria exist

Currently Available: Some (item a. is available, other information may need to be compiled specifically for this purpose)

Source of Information: Graduation Success Rate data (item a. above) is submitted annually to the NCAA, and is publicly accessible through an online website. Other information may need to be compiled specifically for this purpose.

Why it may be of interest to the Board of Regents? Reviewing graduation rate data and other student statistics is recommended by the Association of Governing Board’s AGB
Statement on Board Responsibilities for Intercollegiate Athletics because it can assist the Board in assessing whether the athletics department promotes academic achievement.

Other Data/Reports Provided for Informational Purposes Only

5. Agreed-Upon Procedures Report

Currently Available: Yes

Source of Information: Agreed-Upon Procedures Report required by the NCAA to be prepared by an independent public accountant and submitted to the Chief Executive Officer of the institution by the January 15th following the end of the fiscal year.

Why it may be of interest to the Board of Regents? Gathering this report is recommended within the Association of Governing Board’s AGB Statement on Board Responsibilities for Intercollegiate Athletics. While it is important to clarify that by nature, agreed-upon procedures reports provide no independent assurance, such reports do detail findings that can be evaluated by users of the report. Such findings could highlight accounting errors, compliance matters, improper revenues and expenses, and other matters.

6. Intercollegiate Athletics Budget

Currently Available: Yes

Source of Information: Institution records

Why it may be of interest to the Board of Regents? Reviewing and approving the annual athletics budget is recommended within the Association of Governing Board’s AGB Statement on Board Responsibilities for Intercollegiate Athletics. While the Board currently reviews and approves System budgetary information, athletics information should be separately presented to facilitate the Board being able to assess the financial management and viability of the athletics program.

7. Evaluation Reports Conducted in Accordance with Section 22.2.1.2(e) of the NCAA’s Division I Manual (as issued)

Currently Available: Yes

Source of Information: Evaluation reports prepared by UW-Madison or the Horizon League (UW-Milwaukee and Green Bay).
Additional Information: At least once every four years, the rules-compliance program is the subject of evaluation by an authority outside the athletics department. The evaluation must include a review of the following program areas: governance and organization; initial-eligibility certification; continuing-eligibility certification; transfer-eligibility certification; academic performance program; financial aid administration, including individual and team limits; recruiting (e.g., contacts and evaluations, official and unofficial visits); camps and clinics; investigations and self-reporting of rules violations; rules education; extra benefits; playing and practice seasons; student-athlete employment; amateurism; and commitment of personnel to rules-compliance activities. Generally, these evaluations take the form of an internal audit report or similar reporting mechanism.

Why it may be of interest to the Board of Regents? These evaluation reports may highlight compliance concerns or other matters that may be of interest to the Board.

8. NCAA Self-Study Report (in years required)

Currently Available: Yes

Source of Information: NCAA Self-Study Reports prepared by UW-Madison or the Horizon League (UW-Milwaukee).

Additional Information: NCAA Division I member institutions are required to conduct a comprehensive self-study and evaluation of their intercollegiate athletics programs at least once every 10 years, pursuant to the athletics certification process. This self-study is verified and evaluated through an external peer review, and focuses on three areas: 1) governance and commitment to rules compliance, 2) academic integrity, and 3) gender, diversity and student-athlete well-being. UW-Madison and UW-Milwaukee completed this process most recently in fiscal year 2010 and fiscal year 2008, respectively.

Why it may be of interest to the Board of Regents? The self-study focuses on areas of high importance to the NCAA, and reviewing this report could highlight compliance concerns or other relevant matters to the Board. Reviewing the self-study is recommended within the Association of Governing Board’s AGB Statement on Board Responsibilities for Intercollegiate Athletics because it may provide assurance that institutional, conference, and NCAA rules and regulations are routinely followed.
I.1. Education Committee - October 4, 2012
Great Hall, Memorial Student Center
University of Wisconsin-Stout
Menomonie, Wisconsin

2:30 p.m. Education Committee – Great Hall, Memorial Student Center

a. Consent Agenda:

1. Approval of the Minutes of the August 23, 2012, Meeting of the Education Committee;
2. Approval of School of Medicine and Public Health Appointments to the Oversight and Advisory Committee of the Wisconsin Partnership Fund for a Healthy Future;
   [Resolution I.1.a.(2)]
3. UW-River Falls: Bachelor of Applied Science;
   [Resolution I.1.a.(3)]
4. UW-Stout: Professional Science Master of Industrial and Applied Mathematics.
   [Resolution I.1.a.(4)]

b. UW-Stout Presentation: Advancing STEM Education.


d. UW Flexible Degree Model.

e. Report of the Senior Vice President:
   1. Academic & Student Affairs 2011-12 Year in Review;
   2. Academic & Student Affairs Updates.
EDUCATION COMMITTEE

Resolution I.1.a.(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 reappointments of Greg Nycz, Dr. Philip Farrell, and Dr. Patrick Remington to the UW School of Medicine and Public Health Oversight and Advisory Committee of the Wisconsin Partnership Program for four-year terms beginning November 1, 2012, through October 31, 2016.
APPOINTMENTS TO THE
UW SCHOOL OF MEDICINE AND PUBLIC HEALTH
OVERSIGHT AND ADVISORY COMMITTEE
OF THE WISCONSIN PARTNERSHIP PROGRAM

EXECUTIVE SUMMARY

BACKGROUND

The Wisconsin Insurance Commissioner’s Order (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 University of Wisconsin School of Medicine and Public Health (UW SMPH) and the Medical College of Wisconsin. The Order required the respective governing body of each school to create a public and community health oversight and advisory committee consisting of nine members appointed to four-year terms. The Oversight and Advisory Committee (OAC) consists of four public members (health advocates) and 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 on funds committed for medical education and research.

The UW SMPH, in collaboration with the OAC, developed the inaugural Five-Year Plan (2004-2009) describing the uses of the funds. The Plan was subsequently reviewed and approved by both the Board of Regents in April 2003 and the Wisconsin United for Health Foundation, Inc. (WUHF), in March 2004. Immediately thereafter, WUHF transferred the funds to the UW Foundation for management and investment based on the Agreement between the UW Foundation, the Board of Regents, and WUHF (Agreement). Since March 2004, the OAC and the UW SMPH Partnership Education and Research Committee (PERC), 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. The WPP is currently operating under its second Five-Year Plan, which was approved by the Board of Regents and WUHF in 2008. Information on the awards and related program activities are presented to the Board of Regents annually.

REQUESTED ACTION

Approval of Resolution I.1.a.(2), authorizing the reappointments of Greg Nycz, Dr. Philip Farrell, and Dr. Patrick Remington to the UW School of Medicine and Public Health Oversight and Advisory Committee of the Wisconsin Partnership Program for four-year terms beginning November 1, 2012, through October 31, 2016.

DISCUSSION

In accordance with the Insurance Commissioner’s Order and the Bylaws of the Oversight and Advisory Committee (OAC) approved by the Board of Regents in February 2001, the
Regents are being asked to reappoint Greg Nycz as one of the four public members (health advocates) and Drs. Philip Farrell and Patrick Remington as two of the four UW School of Medicine and Public Health (UW SMPH) representatives to the OAC for four-year terms beginning November 1, 2012 through October 31, 2016.

**Philip Farrell,** M.D., Ph.D., is Emeritus Dean and Professor of Pediatrics and Population Health Sciences in the UW SMPH with an active research career in cystic fibrosis. Dr. Farrell has been a central participant in the activities of the Wisconsin Partnership Program since its inception. He chaired the OAC during the committee’s initial four years and has continued as an active advisor and member. Since 2009, Dr. Farrell has served as the inaugural faculty leader for the OAC’s targeted initiative, Lifecourse Initiative for Healthy Families (LIHF), aimed at investigating and addressing the high incidence of African American mortality in Milwaukee, Racine, Kenosha, and Beloit. He co-chairs the LIHF Steering Committee, a subcommittee of the OAC, which is composed of experts in maternal and child health, health care providers and payers, and representatives of the four communities. Under Dr. Farrell’s leadership, collaboratives representing various sectors have been established to lead the efforts in each of the four communities. His interactions with the Steering Committee members, health care leaders, and governmental and community organizations in southeastern Wisconsin have resulted in a strong commitment from the public and private sectors to improve birth outcomes.

**Patrick Remington,** M.D., M.P.H., is the inaugural Associate Dean for Public Health and a Professor of Population Health Sciences in the UW SMPH. Before assuming his position as Associate Dean in 2009, Dr. Remington was the Associate Director of the UW Comprehensive Cancer Center, Director of the Population Health Institute, and founding director of the Master of Public Health Program. He began his public health career at the Centers for Disease Control and Prevention. Before joining the Department of Population Health Sciences, he worked as an epidemiologist in the Wisconsin Division of Health, eventually serving as the first Chief Medical Officer for Chronic Disease and Injury Prevention. Dr. Remington was an inaugural member of the OAC, serving a four-year term beginning in 2002. In 2006, he joined the UW SMPH Partnership Education and Research Committee, which allocates the WPP funds designated for education and research initiatives. And in 2010, he was reappointed to the OAC and shortly thereafter elected chair. Dr. Remington is an acknowledged public health leader with extensive experience with the Wisconsin Partnership Program and in the development of programs in public health research, education, and service.

**Gregory Nycz** is Executive Director of the Family Health Center of Marshfield, Inc., a federally funded community health center. He is also Director of Health Policy for Marshfield Clinic. Mr. Nycz, who completed a U.S. Public Health Service Primary Care Policy Fellowship in 1997, has led numerous research projects related to providing health care services to underserved rural areas and economically disadvantaged individuals and families. He has also served on numerous state and national advisory groups and committees, including recent appointments to the NIH Director’s Council of Public Representatives and the State of Wisconsin’s Special Committee on Health Care Access. As a rural health representative on OAC since its inception, Mr. Nycz has effectively and articulately provided expertise on access to health care services for underserved rural areas and economically disadvantaged individuals and families. He has a passion for ensuring access to dental care for all and has been a leader in
the expansion of dental clinics for the underserved in rural areas. Mr. Nycz provides a valuable perspective on state and national public policies related to health care access, and is a recognized leader on rural health issues.

Continuity in the makeup of the OAC at this point in time is important as the committee undertakes a number of significant projects, including the development of the WPP’s next five-year plan. Philip Farrell, Pat Remington, and Greg Nycz will provide valuable counsel and help chart the course of the OAC for the next five years.

UW SMPH Dean Robert Golden strongly endorses the nomination of Greg Nycz and Drs. Farrell and Remington, and recommends them to the Board of Regents for reappointment to the OAC. Resumes for the three nominees follow.

RELATED REGENT AND UW SYSTEM POLICIES

None.
Philip M. Farrell, MD, PhD
Emeritus Dean and Professor of Pediatrics and Population Health Sciences
University of Wisconsin School of Medicine and Public Health

A board certified neonatologist and pediatric pulmonologist, Dr. Farrell's current leadership activities include directing the Wisconsin Cystic Fibrosis Neonatal Screening Project as principal investigator on an NIH-funded study; working with the Centers for Disease Control and Prevention on quality assurance in CF newborn screening; serving as the CF Foundation's national facilitator for nationwide implementation of screening; and investigating the epidemiology of African American infant mortality in Wisconsin.

After 10 years as Chair of Pediatrics, Dr. Farrell served as Dean of the University of Wisconsin Medical School from 1994 through July 2006. His many accomplishments included leading a large facilities development program and a transformation of the school to an integrated School of Medicine and Public Health. He continues to serve the SMPH and UW-Madison Campus through numerous leadership and educational roles and is active in international programs, serving as Special Advisor to Professor Gilles Bousquet, Dean of Division of International Studies and Vice Provost for Globalization.

1. Leading the Wisconsin Cystic Fibrosis Neonatal Screening Project as the principal investigator on a National Institutes of Health-funded epidemiologic research study that includes nutritional, pulmonary, psychosocial, and economic outcomes after early diagnosis of CF through newborn screening. In addition, a related archaeological genetics study with Austria, England, and France is investigating the selective advantage(s) of the F508del mutation using ancient DNA.

2. Collaborating with the CDC on process improvement for CF newborn screening. The goals include developing a national repository of CF transmembrane conductance regulator (CFTR) mutations for CDC’s quality assurance/proficiency testing program and a best practices protocol for CF newborn screening developed with the Clinical and Laboratory Standards Institute.

3. Serving as the CF Foundation national facilitator for implementation of newborn screening and quality improvement throughout the U.S. Efforts initiated in 2006 when 5 states were screening helped extend CF newborn screening nationwide by 2010. Most states are using the IRT/DNA screening method developed in Wisconsin, and many have embarked on quality improvement.

Dr. Farrell's major research program is entitled “Assessment of the Benefits and Risks of CF Neonatal Screening.” The stimulus for this unique investigation, initiate in 1984, came from his experiences as practicing neonatologist and pediatric pulmonologist. He fully appreciated the difficulties in diagnosing CF, despite its relatively high incidence among autosomal recessive diseases, and was motivated by the opportunity to prevent suffering among patients and families who experienced avoidable delays in the diagnosis. This randomized clinical trial, which has received continued NIH support for more than 27 years and involved 650,340 newborns throughout the state of Wisconsin and become the largest and longest prospective pediatric research cohort project since the polio field trials.

Recently, he has devoted intensive efforts to leading an innovative public health initiative in Wisconsin designed to lower infant mortality rates among African Americans. Known as the Lifecourse Initiative for Healthy Families, this multiyear project addresses the most challenging health problem of Wisconsin.

For additional information about Dr. Farrell – www.research.med.wisc.edu/farrell/
BIOGRAPHICAL SKETCH

Provide the following information for the key personnel and other significant contributors in the order listed on Form Page 2. Follow this format for each person. DO NOT EXCEED FOUR PAGES.

NAME
Farrell, Philip Marshall

POSITION TITLE
Emeritus Dean and Professor of Pediatrics & Population Health Sciences, UW-Madison; Clinical Professor of Pediatrics, MCW-Milwaukee

eRA COMMONS USER NAME
pmfarrel

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training.)

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (if applicable)</th>
<th>YEAR(s)</th>
<th>FIELD OF STUDY</th>
</tr>
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<tr>
<td>St. Louis Univ. College of Arts/Sci., St. Louis, MO</td>
<td>A.B.</td>
<td>1967</td>
<td>Chemistry/Biology</td>
</tr>
<tr>
<td>St. Louis University Medical School, St. Louis, MO</td>
<td>M.D.</td>
<td>1970</td>
<td>Medicine</td>
</tr>
<tr>
<td>St. Louis University Grad. School, St. Louis, MO</td>
<td>Ph.D.</td>
<td>1970</td>
<td>Biochemistry</td>
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<tr>
<td>Univ. of MI School of Public Health, Ann Arbor, MI</td>
<td>Certificate</td>
<td>1993</td>
<td>Epid./Health Policy</td>
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<tr>
<td>London School Hygiene &amp; Tropical Med., England</td>
<td>Certificate</td>
<td>1993</td>
<td>Epidemiology/Biostatistics</td>
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A. Personal Statement
The overall goal in response to RFA –HL-12-035 is to investigate the evolution and determinants of early lung disease in children with cystic fibrosis (CF) using innovative cellular, genomic, and imaging methods while determining the feasibility of using chest MRI to evaluate the onset/severity of lung disease. This is an exciting study that we are well prepared to accomplish after nearly 3 decades of research linked to newborn screening and strong collaborative relationships. As a jointly appointed Clinical Professor of Pediatrics at MCW and funded Emeritus Dean and Professor at UW-Madison, with 28 years of inter-institutional clinical research here, I am ideally prepared to serve as a mentor for Drs. Levy and Nagle and facilitator with a role in the final design, conduct, and interpretation of the research. Specifically, I will help ensure that 1) the imaging procedures are successful, 2) the MCW-UW coordination goes well between the key Investigators, 3) communications are effective; and 4) the integrative data analyses are valid. My extensive experience with CF newborn screening epidemiologic research and mentoring will contribute significantly to a successful project.

B. Honors & Positions

Positions and Employment

1974-75 Senior Investigator, Pediatric Metabolism Branch National Institute of Arthritis, Metabolism and Digestive Diseases, National Institutes of Health, Bethesda, MD
1975-77 Chief, Section on Developmental Biology and Clinical Nutrition Neonatal and Pediatric Medicine Branch, National Institute of Child Health and Human Development, NIH, Bethesda, MD
1975-77 Chief, Neonatal and Pediatric Medicine Branch, National Institute of Child Health, Bethesda, MD
1975-77 Assistant Professor, Department of Child Health, George Washington Univ., Washington, D.C.
1977-78 Assistant Professor, Department of Pediatrics, Univ. of Wisconsin Medical School, Madison, WI
1977-85 Director, Cystic Fibrosis Center, Univ. of Wisconsin-Madison, Madison, WI
1978-82 Associate Professor, Department of Pediatrics, Univ. of Wisconsin-Madison Medical School, WI
1981-06 Affiliate Faculty, Department of Nutritional Sciences, Univ. of Wisconsin-Madison, WI
1981-86 Director, Pediatric Pulmonary Specialized Center of Research, Univ. of Wisconsin-Madison, WI
1982-06 Professor, Departments of Pediatrics and Nutritional Sciences, Univ. of Wisconsin-Madison, WI
1985-94 Chairman, Department of Pediatrics, University of Wisconsin-Madison, WI
1995-06 Dean, School of Medicine, University of Wisconsin-Madison, WI
2001-06 Vice Chancellor for Medical Affairs, University of Wisconsin-Madison, WI
2001 Joseph B. Goldberger Award in Clinical Nutrition, American Medical Associates
2006- Affiliate Faculty, Department of Population Health Sciences, Univ. of Wisconsin-Madison, WI
2007- Visiting Professor, Dept. of Pediatrics, University of South Florida - Tampa, FL
2011- Emeritus Dean and Professor of Pediatrics & Population Health Sciences, Univ of Wisconsin
2011- Clinical Professor of Pediatrics, Medical College of Wisconsin, Milwaukee, WI
Other Experience and Professional Certification and Licensure:
1964-65 NIH Medical Science Fellowship - laboratory research on vitamin E deficiency
1967-70 USPHS MD-PhD (MSTP) Traineeship in Biochemistry (protein chemistry and enzymology)
1970-72 Residency in Pediatrics, University of Wisconsin Hospitals, Madison, WI
1971 National Board of Medical Examiners; 1971, Medical Licensure, State of Wisconsin; 1977 American
1972-74 NIH Fellow, Pediatric Metabolism Branch, NIAMDD - Associate of Dr. Paul di Sant’Agnese
American Board of Pediatrics; Sub-Boards of Neonatal-Perinatal Medicine ('79) and Pediatric Pulmonology ('86,'95)

C. Selected Peer-Reviewed Publications (from over 200 articles):

Most relevant to the current application

Additional recent publications of importance to the field (in chronologic order)

D. Research Support

Current

R01 HL086691 (Farrell, M) 02/04/08-12/31/11
NIH-NIDDK
“Improvement of Communication Process and Outcomes after Newborn Genetic Screening”
This is a statewide, 5-year observational study of communication processes and outcomes after newborn screening identifies carrier status for sickle cell or likely carrier status for cystic fibrosis.
Role: Co-Investigator

R01 DK34108 (Farrell) 01/01/07-12/31/12
NIH-NIDDK
“Pulmonary Benefits of Cystic Fibrosis Neonatal Screening”
This is a comprehensive, randomized clinical trial and research program addressing the hypothesis that early diagnosis of CF through neonatal screening will be medically beneficial without major risks. Specific aims include assessment of the benefits of early screening, analysis of nutritional status and studies of the epidemiology of Pseudomonas aeruginosa infections in young children with CF.

R01 DK072126 (Lai) 07/01/06-06/30/11
NIH-NIDDK
“Malnutrition and Lung Disease in Cystic Fibrosis”
The goal of this project is to quantify the associations between malnutrition and lung disease in cystic fibrosis by utilizing epidemiological studies in order to improve screening and subsequent treatment of cystic fibrosis.
Role: Advisor

FARREL06A0 (Farrell) 04/01/06-12//31/11
Cystic Fibrosis Foundation
“Psychosocial Outcomes of CF Neonatal Screening”
This study will address neuropsychological functioning, school functioning and quality of life of adolescent patients with cystic fibrosis relating to a combination of factors including variables from early life, markers of disease severity and parent factors.

R01 DK072126 (Lai, PI) 9/5/2011-7/31/2016
NIH-NIDDK
“Newborn Screening, Malnutrition and Lung Disease in Cystic Fibrosis”
The overall objective of this research is to quantify the associations among newborn screening, malnutrition and lung disease in children with CF through epidemiological and clinical studies to advance the understanding of critical determinants of malnutrition and lung disease progression in CF, develop evidence-based guidelines to improve clinical practices of CF, and resolve the controversy on the potential benefits and risks of exclusive breastfeeding in infants with CF.
Role: Collaborator
Curriculum Vitae

GREGORY NYCZ, Family Health Center of Marshfield, Inc.
1000 North Oak Ave, Marshfield, WI 54449-5790   715/387-9137

Education
B.S. Mathematics, Psychology, Computer Science, University of Wisconsin-Stevens Point, 1972
1972 U.S. Public Health Service Primary Care Policy Fellowship, March 16-21 and June 1-13, 1977

Professional History
1990 - Present: Executive Director, Family Health Center of Marshfield, Inc.
10/97 - Present: Director, Health Policy, Marshfield Clinic
1980 - 9/97: Director, Health Systems Research Department, Marshfield Medical Research and Education Foundation, a Division of Marshfield Clinic, Marshfield, Wisconsin
1975 - 1980: Director of Information Systems, Marshfield Medical Foundation
1973 - 1975: Data Comptroller for Marshfield Medical Foundation, Harvard Center for Community Health and Medical Care Project
1972 - 1973: Biostatistician for Marshfield Medical Foundation, WI Regional Medical Contract

Selected Grant and Contract Positions
Co-Investigator (6/76-12/76): Mental &Medical Health Service Utilization, NIMH
Co-Investigator (9/77-3/79): The Quality of Mental Health Services in an Organized Primary Health Care Setting, NIMH
Project Director (10/78-6/83): Medicare Demonstration Program, Health Care Financing Administration
Project Director (7/79-6/80): Health in Underserved Rural Areas Grant, United States Public Health Service
Co-Investigator (9/79-11/80): The Effect of Primary Care Physicians Recognition of Emotional Disturbances in Patients, NIMH
Co-Investigator (11/89-11/30/90): Marshfield Clinic Practice Inputs and Cost Data Study, contract PPRC
Director (7/81-present): Family Health Center Program, United States Public Health Service
Project Director (10/85-12/31/94): WisconCare Program Fiscal Intermediary, Bureau of Community Health and Prevention, Wisconsin Division of Health, Department of Health and Social Services, #E/F 6021
Principal Investigator (10/88-7/93): Wisconsin Rural Health Research Center, Health Resources and Services Administration, PHS, DHHS

Professional Affiliations & Committee Memberships
National Association of Community Health Centers; State Coordinator, 1981 to present, past member of Legislative Committee, past Chair and current member of Rural Health Committee, past Chair and current member of Health Policy Committee, Chair of Advisory Group to National Health Center Practice Improvement Initiative, June 99 – present, Member of Elderly Subcommittee
Rural Health Care Advisory Group, American College of Physicians, 1992
National Rural Health Association; Statewide Health Resources Section
American Public Health Association; Community Health Planning Section
Wisconsin Primary Health Care Association: Board Member, 1982 - present; Chair, 1986 - April, 1989
Wisconsin Public Health Association
Association for Health Services Research
Wisconsin State Medical Society; Member of the Task Force on Rural Health, 1987/1988
Special Committee on Health Care Services, Subcommittee on a Wisconsin Health Insurance System, State of Wisconsin Legislative Council, Advisory Member by appointment, 1988/1989
Wisconsin Area Health Education Center System's Statewide Program Advisory Committee, 1990 – 1998
Northern Wisconsin Area Health Education Center (AHEC); Board Member, September 1992 – April 2004; Treasurer, November 1992 – April 2004
National Program Planning Committee member, conference entitled "Implementing Health Care Reform in Rural America - State and Community Roles to be held December 2-5, 1993, Des Moines, Iowa, June 1993 - December 1993 (work completed)

Wisconsin Dental Association, Access to Health Care Committee (formerly known as Ad Hoc Committee on the Underserved), 1993 - 2001


Community Advisory Board, University of Wisconsin Medical School, 1992 - 1993


Wisconsin Medicaid Managed Care Statewide Advisory Group, March 1995 – 1997, also member of the Procurement and Contract Work Group and Rate Setting Work Group.

Consortium for Primary Care in Wisconsin (CPCW) Provider Work Force, 1995

Special Committee on Health Care Information, Public Member, 1996 - 1997

Technical Advisory Panel for the Project HOPE Walsh Center for Rural Health Analysis, 1996 – 2003

Technical Advisory Panel for the National Opinion Research Center Walsh Center for Rural Health Analysis, January 2004 – present


Advisory Group on Medicaid Funding of Graduate Medical Education, 1997

Great Lakes Inter-Tribal Council, Honoring Our Children Project Advisory Committee, 10/98 – present

Wisconsin’s Turning Point: Taking Action to Transform the Public’s Health Transformation Team, 1999-02


Wisconsin Coalition for Health Insurance Reform, 1998 – 2002

Wisconsin Population Health Institute Advisory Board (formerly Public Health and Health Policy Institute External Advisory Board), Summer 2001 – present

State of Wisconsin, Governor’s Council on Workforce Investment, February 27, 2002 – December 2002

State of Wisconsin, Governor’s Health Care Worker Shortage Committee, Summer 2002

University of Wisconsin Medical School Oversight and Advisory Committee, by appointment, health advocate, October 2002 - present

Children’s Health Alliance, Healthy Smiles for Wisconsin Coalition, 2002 – present

Rural PACE Technical Program Advisory Group, December 2003 – present

State Public Health Plan Oversight Workgroup, March 2004 – present

UW Medical School, Medical Education and Research Committee, April 2004 – present

Rural Assistance Center Advisory Panel (Univ of North Dakota), 2006 – present

National Association of Community Health Centers, Policy Research Workgroup, 2006 – present; Co-Chair of Policy Research subgroup, September 2007 – present; Member of Tools for Community-Based Participatory Research (CBPR) subgroup, September 2007 – present

Geiger Gibson/RCHN Community Health Fdn Research Collaborative Advisory Committee, 2007–date

Wisconsin Public Health Workforce Strategic Leadership Consortium, September 2008 – present

National Institute of Health Director’s Council of Public Representatives (COPR), April 2009 – March 2011

Council of Rural Initiatives Health Care Committee, 2009 – present

Dental Education Feasibility Study Advisory Committee, State of WI, DHS, December 2009 – present


Wisconsin Payment Reform Initiative, Chronic Care Workgroup Committee, 2010 – present


UW School of Medicine and Public Health, Community Service Transformation Implementation Subcommittee, November 2010 – present
Clinical and Translation Science Institute at Children’s National (CTSI-CN), A Joint Effort by Children’s National Medical Center and The George Washington University Medical School, National Advisory Committee For Community Engagement In Research and Health Policy Member

**Invitational Conferences**
Integrated Health Care Delivery Systems, an invitational workshop sponsored by Health Care Financing Administration and Public Health Service, April 14-15, 1994, Washington, DC and follow-up workshop on June 20-21, 1994, Washington, DC. The purpose of the workshops were to provide the agencies advice on integrated health care delivery systems in rural areas.
Rural Health Network Development: Policy Issues and Options, an invitational meeting sponsored by the Robert Wood Johnson Foundation, conducted by Alpha Center, April 3-4, 1995, Washington, DC.
Rural Health Research Agenda Setting Conference, sponsored by the National Rural Health Association, facilitator for the Medicare Financing session, August 13, 2000, Washington, DC
Invitational Rural Health Policy Roundtable, Linking Health Services Research with Health Policy, Washington, DC, June 15-16, 2000
Invitational Rural Health Research Center Director’s, NRHA Panel Workshop, Perspectives on the Medicare Modernization Act, Reno, Nevada, May 16, 2006.

**Special Awards**
American Dental Association Access Recognition Award, Milwaukee, WI, September 16, 1995
National Association of Community Health Centers Advocacy Award for outstanding work to advance the legislative agenda of the health center movement, December 13, 1996
Wisconsin Rural Health Association’s “2000 Rural Health Achievement Award” in recognition of his leadership, innovation, and service for rural health in Wisconsin, presented at the Third Annual Rural Health Conference in Wisconsin Rapids, April 27, 2000.
NACHC Grassroots Advocacy Hall of Fame, in recognition of long time efforts and dedication to building Health Center Advocacy power and furthering the Health Center Policy Agenda at the federal level, March 20, 2007
Wisconsin Primary Health Care Association Lifetime Achievement Award, Health Center Hall of Fame, in recognition of improving the landscape for Health Centers, and/or improving public health care access for all), February 3, 2009
National Network for Oral Health Access, Oral Health Champion Award, October 26, 2010

**Publications**
Nycz, GR: Healthy People in Healthy Wisconsin Communities, Rural Health In Wisconsin newsletter, Wisconsin Rural Health Association, Vol 1, Issue 2, Winter 2001
**Presentations**
Collaborative Session (Nycz G, Gribble R, MD, Kirby R, PhD), Rural Wisconsin: Meeting the Needs for Quality Perinatal Care, Wisconsin Association for Perinatal Care 33rd Annual Conference, Madison, WI, April 15, 2003.
Wisconsin Public Television, guest speaker regarding dental, March 4, 2005.
Governor’s Task Force To Improve Access to Oral Health, Madison, WI, April 8, 2005
Marshfield Clinic Heritage Award Presentation to Congressman Dave Obey, October 27, 2005.
The University & Community – Emerging Partnerships in Health, Panel presentation, The Transformation of Health Care and the Role of the University, Madison, WI, November 18, 2005
Testimony of Mr. Greg Nycz to the Senate Special Committee on Aging, Washington, DC, 09/13/06
Medical Home Summit – Bridging the Quality Chasm, panel presentation, Wis Dells, WI, November 9, 2006
Testimony of Mr. Greg Nycz before the House Appropriations Subcommittee on Labor, Health and Human Services, Education, and Related Agencies Wednesday, March 5, 2008
2010 Wisconsin Oral Health Coalition Regional Meeting, Update on Family Health Center/Marshfield Clinic Efforts to Solve Wisconsin’s Oral Health Disparities, Eau Claire, Jan 26, 2010.
BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors in the order listed on Form Page 2. Follow this format for each person. DO NOT EXCEED FOUR PAGES.

NAME
Patrick L. Remington

POSITION TITLE
Professor, Dept. of Population Health Sciences
Associate Dean, University of Wisconsin School of Medicine and Public Health

eRA COMMONS USER NAME (credential, e.g., agency login)

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)

<table>
<thead>
<tr>
<th>INSTITUTION AND LOCATION</th>
<th>DEGREE (if applicable)</th>
<th>MM/YY</th>
<th>FIELD OF STUDY</th>
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<tr>
<td>University of Wisconsin, Madison, WI</td>
<td>BS</td>
<td>12/76</td>
<td>Molecular biology</td>
</tr>
<tr>
<td>University of Wisconsin Medical School</td>
<td>MD</td>
<td>05/81</td>
<td>Medicine</td>
</tr>
<tr>
<td>University of Minnesota, Minneapolis, MN</td>
<td>MPH</td>
<td>08/86</td>
<td>Epidemiology</td>
</tr>
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</table>

A. Personal Statement

My research focuses on way to measure the health of communities and communicate this information to the public and policy makers. I am currently co-directing the RWJ-funded County Health Rankings project, which measures and ranks the health of the counties in all 50 states and examine strategies to improve population health. I developed my interest in the application of epidemiology to public health as a medical epidemiologist at the CDC (1982-1988) and Wisconsin Division of Public Health (1988-1997) and as the director of the UW Population Health Institute (2001-2008). Since joining the UW in 1997, I have served as Associate Director of the Carbone Cancer Center (1997-2008) and was the founding director of the Master of Public Health Program (2005-2009). In 2009 I was appointed the inaugural Associate Dean for Public Health, directing the transformation of our school to an integrated school of medicine and public health. I have authored or co-authored over 300 publications and teach courses on public health practice to undergraduate, medical, and public health students.

B. Positions and Honors

Positions and Employment
1981-1982, Flexible Internship, Virginia Mason Hospital, Seattle, WA
1982-1984, Epidemic Intelligence Officer, Center for Disease Control/Michigan Dept. of Public Health
1983-1985, Preventive Medicine Resident, Atlanta, Georgia
1986-1988, Medical Epidemiologist, Atlanta, Georgia
1988-1997, Chief Medical Officer, Wisconsin Division of Health, Madison, Wisconsin
1997-2003, Associate Professor, Population Health Sciences, University of Wisconsin-Madison
1997-2008, Associate Director, Carbone Comprehensive Cancer Center, University of Wisconsin
2001-2009, Director, University of Wisconsin Population Health Institute
2004-2009, Director, Master of Public Health Program, University of Wisconsin
2004-present, Affiliate Professor, School of Nursing, University of Wisconsin-Madison
2006-present, Adjunct Professor, Department of Population Health, Medical College of Wisconsin
2008-present, Affiliate Professor, Department of Family Medicine, University of Wisconsin School of Medicine and Public Health
2003-present, Professor, Population Health Sciences, School of Medicine and Public Health, University of Wisconsin-Madison
2009-present, Associate Dean, School of Medicine and Public Health, University of Wisconsin-Madison

Other Experience and Professional Memberships
Centers for Disease Control. Chair, Expert Advisory Committee for Health Related Quality of Life Surveillance (2008); Member, Advisory Committee for Mental Health Surveillance (2008); Editorial Board Member for Preventing Chronic Disease (2002-present) and MMWR (2006–present).

Honors
Phi Eta Sigma Freshman Honor Society (1973); Phi Kappa Phi, Sophomore Honors (1974); Society of Mace, Trewartha Honors Undergraduate research scholarship (1975); Phi Beta Kappa, Honors Program graduate in molecular biology (1976); Alpha Omega Alpha Medical Society, Drs. Joseph Dean Award and Scholarship (1981); Centers for Disease Control Group Award, Behavioral Risk Factor Surveys (1985); Delta Omega Honorary Public Health Society (1986); Sigma Xi Honorary Scientific Society (1987); United States Public Health Service Commissioned Officer Award (1988); Exceptional Performance Award, Wisconsin Division of Health (1989,90,91); Basic Prevention Award, Wisconsin Public Health Association (1992); Exceptional Performance Award, Wisconsin Division Health, Breast and Cervical Cancer Control (1994); Wisconsin Public Health Association, Barbara Lange Health Education Award (1996); State Medical Society of Wisconsin, Meritorious Service Award (2000); Lynn R. Smith Award for Excellence in Tobacco Control, American Cancer Society (2001); Centers for Disease Control Service Award, Outstanding Scientific Contributions to Public Health Award, for the Behavioral Risk Factor Surveillance System (2001); Dean’s Teaching Award, UW Medical School (2003); Lynn R. Smith Award for Outstanding Leadership in Tobacco Control, American Cancer Society (2006); Wisconsin Public Health Association, Public Health Researcher of the Year (2007); Langmuir Lecturer, Centers for Disease Control (2010); Robert Wood Johnson Foundation, Research Paper of the Year (2011).

C. Selected Peer-reviewed Publications (Selected from appx. 170 peer-reviewed publications)
Remington P. Brownson R. Fifty Years of Progress in the Chronic Disease Epidemiology and Control. MMWR MMWR Surveill Summ. 2011 Oct 7;60 Suppl 4:70-7. PMID: 21976169

D. Research Support

Ongoing Research Support

Robert Wood Johnson Foundation Remington/Catlin (Co-PIs) 9/1/2012-8/31/2014
County Health Rankings Program
This is a grant to develop, implement, and evaluate strategies to use county health rankings to mobilize community health improvement efforts.
Role: Co-PI

Health Resources Services Administration (HRSA) Remington (PI) 8/1/12-7/31/17
UW-PRIME Program
This grant supports an educational program to integrate public health and primary care in the education of medical students and physician assistants.
Role: PI

Implementing the Mobilizing Action Toward Community Health initiative to improve health in communities
This is a grant to translate county health rankings data into action and to assist communities develop skills and identify resources to improve their health.
Role: Co-Investigator
Wisconsin Division of Public Health  Remington (PI)  7/1/11-6/30/12
Diabetes Surveillance and Evaluation
To assist the state program in the conduct of diabetes surveillance and evaluation
Role: Principal Investigator

Completed Research Support (last 3 years)

Robert Wood Johnson Foundation  Remington/Kindig (Co-PIs)  1/1/09-8/31/12
Mobilizing Action Toward Community Health (MATCH)
The goal of this grant is to evaluate strategies to use county health rankings to mobilize community health improvement efforts.
Role: Co-PI

Robert Wood Johnson Foundation  Remington (PI)  12/1/07-6/1/10
Improving Community Health in Wisconsin Under-Served Communities (CATCH)
This is a peer-reviewed grant to evaluate a community intervention trial using county health report cards to catalyze community health improvement efforts.
Role: Principal Investigator

2 P30 CA14520 NIH/NCI  Wilding (PI)  4/1/07-3/31/12
Comprehensive Cancer Center Support
Provides key faculty salaries to the University of Wisconsin Comprehensive Cancer Center. He also serves as Assoc. Director for Population Studies and Director of the Survey Research Shared Service.
(Co-Investigator, 5% effort)

WI Tobacco Control Board  Remington (PI)  7/1/08-6/30/09
Wisconsin Tobacco Control Monitoring & Evaluation Program
The purpose is to determine whether the state is achieving its goals to reduce tobacco use in Wisconsin.
Role: Principal Investigator

NO2-CO-81000: NIH/NCI  Remington (PI)  10/15/04-6/30/09
Cancer Information Service
Provide cancer information service and outreach program.
Role: PI
EDUCATION COMMITTEE

Resolution I.1.a.(3):

That, upon the recommendation of the Chancellor of the University of Wisconsin-River Falls and the President of the University of Wisconsin System, the Chancellor be authorized to implement the Bachelor of Applied Science.
NEW PROGRAM AUTHORIZATION

Bachelor of Applied Science
University of Wisconsin-River Falls

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, Revised August 2012), the new program proposal for a Bachelor of Applied Science at the University of Wisconsin-River Falls is presented to the Board of Regents for consideration. This is one of the first academic programs brought before the Board of Regents following the revised process for program planning, review, and approval in the UW System, adopted by the Board in August 2012.

In accordance with the new process, UW-River Falls has submitted an authorization document and a letter of institutional commitment from the university’s Provost. The requirements of the revised process may be found at: http://www.uwsa.edu/acss/planning/.

REQUESTED ACTION

Approval of Resolution I.1.a.(3), authorizing the implementation of the Bachelor of Applied Science at the University of Wisconsin-River Falls.

DISCUSSION

The proposed Bachelor of Applied Science (B.A.S.) at UW-River Falls will primarily serve returning adults and transfer students who have earned some credits towards a baccalaureate degree in a two-year program. The purpose of the proposed program is to connect with students currently enrolled in or graduated from Associate of Science and Applied Associate of Science degree programs, who are interested in pursuing baccalaureate degrees in the areas of information systems, information technology, and law enforcement/criminal justice. The Bachelor of Applied Science will function as a baccalaureate degree-completion program which responds to the goals of the UW System Growth Agenda and aligns well with UW-River Falls’ mission to serve its regional constituents through innovative educational initiatives. Students will transfer in 60 credits for the 120 degree requirement from a technical or two-year college and complete 60 credits at UW-River Falls. The curriculum will include a common core of 29-30 credits in general education courses and 30-31 credits in one of the concentrations: information systems, information technology, or law enforcement/criminal justice.

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.a.(3), authorizing the implementation of the Bachelor of Applied Science at the University of Wisconsin-River Falls.
RELATED REGENT AND UW SYSTEM POLICIES

Regent Policy Document 4-12: Academic Program Planning, Review, and Approval in the University of Wisconsin System

Academic Informational Series #1 (ACIS-1.0, revised August 2012): Statement of the UW System Policy on Academic Planning and Program Review
September 4, 2012

Dr. Kevin Reilly, President
University of Wisconsin System Administration
1720 Van Hise Hall
1220 Linden Drive
Madison, WI 53706

Dear President Reilly,

I am writing to you in unequivocal support for the University of Wisconsin-River Falls' proposed Bachelor of Applied Science degree program.

This degree, a significant departure from the structure of previous undergraduate programs at UW-River Falls, is positioned to work alongside other alternative degree pathways to help us serve adult and non-traditional degree seekers. While it has taken almost two years to deliver the program the result is one that meets our goals to serve different students but also provide an effective educational experience rooted in our LEAP initiative and connected to strong course and program structures (our general education curriculum, university requirements, and existing minors). The program is targeted at getting students out within 120 credit hours (though it appears some AS/AAS graduates may exceed this total).

The program has been vetted through our More Graduates for Wisconsin working group (2010); the UWRF Deans Council; two college curriculum committees; the University Curriculum and Academic Programs and Planning committees of the UWRF Faculty Senate; and external reviewers, including a colleague at Chippewa Valley Technical College, have commented on the fit, design, and value of the program.

As a result of the formal (and informal) dialogues that have taken place regarding the BAS program (both on and off campus), I am confident that UWRF is moving in the right direction to create more meaningful educational opportunities to students in our area and greater partnership connections with two-year colleges within an hour of our location. The university has the facilities, faculty, and financial resources to get the program up and running and a plan to ensure its sustainability and maturation (including additional concentration areas as the demand develops). We have factored in the use of existing courses and seats and projected where additional courses need to be deployed in order to support evening students and continue to offer on-campus and online sections to our more traditional student body.

The university will work with our Admissions and Outreach units to partner with the academic departments to assure an effective transition for BAS seeking students. Further, UWRF is committed to ensuring that we create articulation agreements and,
possibly, dual enrollment agreements that facilitate a regional web that connects baccalaureate-level educational opportunities to students who are enrolled in or who have graduated from technical and technical college programs.

Sincerely,

[Signature]

Fernando Delgado
Provost and Vice Chancellor for Academic Affairs
Authorization to Implement a
Bachelor of Applied Science (B.A.S) at UW-River Falls
Prepared by UW-River Falls

ABSTRACT

The proposed Bachelor of Applied Science (B.A.S.) at UW-River Falls will primarily serve returning adults and transfer students who have earned some credits towards a baccalaureate degree in a two-year program. The purpose of the proposed program is to connect with students currently enrolled in or graduated from Associate of Science and Applied Associate of Science degree programs, who are interested in pursuing baccalaureate degrees in the areas of information systems, information technology, and law enforcement/criminal justice. The Bachelor of Applied Science will function as a baccalaureate degree-completion program which responds to the goals of the UW System Growth Agenda and aligns well with UW-River Falls’ mission to serve its regional constituents through innovative educational initiatives. Students will transfer in 60 credits for the 120 degree requirement from a technical or two-year college and complete 60 credits at UW-River Falls. The curriculum will include a common core of 29-30 credits in general education courses and 30-31 credits in one of the concentrations: information systems, information technology, or law enforcement/criminal justice.

PROGRAM IDENTIFICATION

Institution Name
University of Wisconsin-River-Falls

Title of Program
Bachelor of Applied Science with concentrations in Computer Science; Geographic Information Systems; and Law Enforcement

Degree/Major Designation
Bachelor of Applied Science

Mode of Delivery
Primarily face-to-face instruction; offered evenings, on- and off- campus.

Single Institution or Collaboration
Single institution delivery with articulated pathways offered by technical and two-year colleges

Projected Enrollment by Year Five of the Program
Total: 90 (50 continuing s and 40 new)
Tuition Structure
Because the B.A.S. will be a self-supporting program directed at a non-traditional student population, tuition will be $300 per credit, based on credit outreach pricing. Tuition revenue will facilitate and support the off-campus advising, delivery, and academic support needs of B.A.S. students taking courses, particularly in the evening, at the Hudson Center and on the UW-River Falls Campus. Based on full-time students taking 18 credits per year, resources to cover costs will amount to $135,000 in year one, $243,000 in year two, and $351,000 in year three.

Department or Functional Equivalent
This degree-completion program will be delivered university-wide. The respective departments that house the submajor concentrations in Computer Science, Geography and Mapping Sciences, and Sociology, Anthropology & Criminal Justice, will manage advising.

College, School or Functional Equivalent
The program will be housed in the College of Arts and Sciences and the College of Business and Economics. Additional concentrations within the B.A.S. involving other colleges within the university may be developed in the future.

Proposed Date of Implementation
Fall, 2013

INTRODUCTION

Rationale and Relation to Mission

As part of the UW System’s More Graduates for Wisconsin strategic initiative, in the Fall of 2009, UW-River Falls proposed the development of a new Bachelor of Applied Studies that would create alternative pathways for students seeking degree-completion programs in the region served by the university. The goal for the development of a B.A.S. degree at UW-River Falls is to increase access and educational attainment for underserved and non-traditional students by connecting with two-year institutions and creating new opportunities for transfer students and associate degree-holders.

Outreach to underserved populations and partnerships with nearby two-year colleges align well with UW River Falls’ mission “to help prepare students to be productive, creative, ethical, engaged citizens and leaders with an informed global perspective.” The proposed addition of a B.A.S. to UW-River Falls’ array of programs complements its vision to distinguish itself as the St. Croix Valley's public, comprehensive university. The value of the B.A.S. program to technical program students and graduates is its potential for seamless transition into a baccalaureate program. UW-River Falls is committed to signing articulation agreements with feeder programs from two-year colleges in its service area, which is defined roughly as a one-hour drive to either River Falls or Hudson.
Need as Suggested by Current Students

UW-River Falls recognizes that students pursue degrees motivated by intellectual curiosity, for personal reasons, and for career advancement. Student demand was determined through an analysis of data supplied by the managers of the UW-River Falls’ outreach programs, the adult degree-completion program, the Transition to Early Childhood Education program, and two-year college partners (particularly the Wisconsin Technical Colleges which have been part of the St. Croix Valley Educational Collaborative). All entities agreed that the pipeline of applied associate degree and associate degree student populations (those currently enrolled and those recently graduated) would be well-served by expanding the set of program areas and concentrations within a degree-completion program to synchronize well with enrollments, interests, and available jobs in Computer Science, in Geographic Information Systems, and in Law Enforcement.

UW-River Falls’ conversations with Wisconsin Technical Colleges and Minnesota two-year institutions (several of which serve a significant number of Wisconsin residents) suggest that current enrollments in those schools and programs identified as articulation partners approach ten thousand students. Less than one percent of these currently enrolled students would be needed to meet the proposed B.A.S. degree’s projected enrollment goals. Further, census data from 2009-2010 indicates that within a twenty-minute drive to UW-River Falls’ Hudson Center, there are nearly thirty-thousand students who completed some college credit or a two-year degree and who could potentially be interested in a baccalaureate-completion program.

Enrollment projections for the B.A.S. are based on actual enrollments in existing A.A.S./A.S. pathway programs at twelve technical and two-year colleges within a one-hour drive to River Falls and Hudson, Wisconsin. The projections were also derived, in part, by examining the enrollments in UW-River Falls’ College of Business and Economics’ Adult Degree-Completion program, which offers the undergraduate degree in business primarily in the afternoon and evenings at the Hudson Center. Enrollment in that program for Year Three has exceeded eighty students as of the Fall, 2012, semester.

Need as Suggested by Market Research

Market data suggests that there will be new jobs and growth in progressive opportunities in the occupations and industries related to the three B.A.S. concentration areas. For the students who will enroll in the B.A.S concentration in Law Enforcement, 2008-2018 employment projections published in Wisconsin Jobs 2018, shows marginal growth in public sector careers in law enforcement in Wisconsin. However, Minnesota Department of Employment and Economic Development data indicates a 10% growth in employment opportunities from 2009 to 2019 in Protective Service Occupations and a 5.1% growth in demand for Law Enforcement workers. For those already employed in the industry, Minnesota data also suggests a 4.4% growth in First-Line Supervisor occupational titles.
In computer and information technology occupations—addressed by the B.A.S. concentrations in Computer Science and Geographic Information Systems—Wisconsin employment data indicates a 1.8% increase in jobs for Computer Software Engineers, a nearly 1% increase for Computer Systems Analysts, and a 3.7% increase in employment for Network Systems and Data Communications Analysts. The employment projections for Minnesota indicate a 13.5% increase for jobs in the Computer and Mathematical Occupations through 2019. In Minnesota’s occupations outlook, Computer Support Specialists will grow by 6%; Database Administrators will grow by 13.3%; Network and Computer Systems Administrators will grow by 12%; and Computer Software Engineers (Applications) will grow by 22%.

Market research indicates that UW-River Falls’ investment in facilities, particularly in the Mapping Sciences and Computer Science labs, accompanied by the robust employment and workforce development projections in computing and information technology in the cross-border area shared by Minnesota and Wisconsin, underscore further demand and the attractiveness of UW-River Falls and its program strengths.

DESCRIPTION OF PROGRAM

General Structure

Institutional Program Array

UW-River Falls has developed a number of new programs aimed at meeting the UW System’s More Graduates goals, including participation in online baccalaureate degrees (in Sustainable Management and Health and Wellness Management), the development of the Adult Degree Completion program in Business, the creation of the UWRFLearning Center in Hudson, Wisconsin, and the Early Childhood Education transition program in partnership with technical colleges. The proposed B.A.S. presents an additional and viable option to an array of programs intended to reach underserved populations who seek a baccalaureate degree.

Other Programs in the University of Wisconsin System

Table 1: Comparable Programs in Wisconsin

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<th>Institution</th>
<th>Program Name</th>
<th>Concentrations</th>
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<td>B.A.S.</td>
<td>Leadership &amp; Organizational Studies; Organizational Administration; Fire &amp; Emergency Response</td>
</tr>
<tr>
<td></td>
<td>B.L.S.</td>
<td></td>
</tr>
<tr>
<td>UW Green Bay</td>
<td>B.A.S.</td>
<td>Arts; Emergency Management; Environmental Policy Studies; Human Development; Corporate Communication; Leadership; Self-Directed Studies</td>
</tr>
<tr>
<td>UW Eau Claire</td>
<td>B.P.S.</td>
<td>Organizational Leadership &amp; Communication</td>
</tr>
<tr>
<td>UW Colleges</td>
<td>B.A.A.S.</td>
<td></td>
</tr>
</tbody>
</table>
The program design for UW-River Falls’ proposed Bachelor of Applied Science reaffirms UW System’s and UW River Falls’ commitment to serve place-bound students. Whereas future iterations of the program may go online, the need for accessing specialized labs and resources on campus defines the uniqueness of the UW-River Falls program. The concentrations within the proposed B.A.S. do not duplicate tracks within comparable baccalaureate-completion programs at other UW System institutions.

Collaborative Nature of the Program

Collaborations with two-year institutions in Wisconsin and Minnesota will result in new articulation agreements and transfer pathways.

Diversity/Inclusive Excellence

The program will reach out to two-year colleges that serve significant numbers of diverse populations. In addition, the program contains courses that are mindful of the experiences of diverse communities (particularly in the Law Enforcement and Geographic Information Systems concentrations) and the university has general education and university course requirements that further expose students to the principles reflected in the UW System’s Inclusive Excellence initiative.

Student Learning Outcomes

Program Objectives

At program completion, graduates of the program will be able to:

1) Develop an understanding of the professional work context associated with each respective concentration.
2) Demonstrate appropriate disciplinary and technical expertise in the respective concentration area.
3) Demonstrate skill in application of technical knowledge to real-world scenarios and cases.
4) Develop the capacity to work in teams and demonstrate problem-solving and critical thinking skills in the disciplinary domain of the respective concentration.

Assessment of Objectives

While each college at UW-River Falls has slightly different protocols and procedures for assessment, the existing courses in the proposed B.A.S. concentrations are already assessed on a regular and ongoing basis. Typically, courses and programs within the College of Business and Economics use the Live Text tool, which enables students to develop learning artifacts in a portfolio which faculty members or the department assess by using established rubrics. The College of Arts and Sciences uses a range of assessment protocols and tools, including writing rubrics and subject exams, as well as capstone projects that are summative and connect the diverse learning outcomes for the
degree. Faculty members in each program area assess these projects. Annually, each program area responsible for the concentrations within the B.A.S. will produce an assessment report that will also be reviewed by the university’s Assessment Committee.

**Curriculum Structure**

The B.A.S. is designed as a 120-credit baccalaureate program. Admissions staff, academic advisors, and faculty will participate both in the establishment of articulated pathways and also in prior learning assessment, including the consideration of course equivalencies and prior credit. Students complete 60 credits at a two-year institution in one of the fields that aligns with the B.A.S. concentrations. They then earn 60 additional credits at UW-River Falls, in general education and in a specific sequence of courses that forms the learning core of the B.A.S. within each respective concentration. Selected liberal learning core credits from technical or community colleges will also transfer.

The three concentration areas and their course sequences are identified in the following table:

Table 2: Curriculum Structure

**B.A.S Areas of Emphasis (Concentrations)**

**(120 Credits; 60 Credit hours at UW-River Falls)**

**General Education/University Electives (29-30 credit hours)**

<table>
<thead>
<tr>
<th>Law Enforcement (30 Credit Hours)</th>
<th>Computer Science (30-31 Credit hours)</th>
<th>Geographic Info Science (30 Credit hours)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOCI 200: Inquiry</td>
<td>CSIS 161: Programming I</td>
<td>GEOG 250: Introduction to Cartography and GIS</td>
</tr>
<tr>
<td>SOCI 201: Theory</td>
<td>CSIS 162: Programming II</td>
<td>GEOG 360: GIS: Theory and Methods</td>
</tr>
<tr>
<td>SOCI 250: Statistics</td>
<td>CSIS 215: Information Systems for Business Management</td>
<td>GEOG 351: Map Design</td>
</tr>
<tr>
<td>SOCI 300: Methods</td>
<td>CSIS 225: Web Development I</td>
<td>GEOG 365: Quantitative Techniques in Geography and Cartography</td>
</tr>
<tr>
<td>SOCI 210: Social Problems or 218: Deviant Behavior</td>
<td>CSIS 247: Introduction to Computer Networks</td>
<td>GEOG 401: Senior Capstone/Seminar</td>
</tr>
<tr>
<td>SOCI 321: Inequality or SOCI 326: Gender or SOCI 328: Race Relations</td>
<td>CSIS 333: Database Management Systems</td>
<td>Intermediate Directed Electives (3-6 credits)</td>
</tr>
<tr>
<td>SOCI 241: Social Psych or SOCI 341: Later Life or SOCI 342: Family</td>
<td>To be selected from 200-400 CSIS courses in consultation with adviser.</td>
<td>Advanced Directed Electives (3-6 credits)</td>
</tr>
<tr>
<td>SOCI 411 or 421 or 431 or 441: Seminars</td>
<td>Required supporting math course: Math 146:</td>
<td>Electives (3-9 credits)</td>
</tr>
</tbody>
</table>

---
Projected Time-to-Degree

Full-time students can complete the 60 university credit requirements within four academic semesters. However, past experience with degree-completion programs suggests that relatively few students in the targeted population take 12 credits per semester and that it is more likely that part-time students would complete the program in three years, presuming they have transferred in 60 semester credits or their equivalent.

Program Review Process

Institutional Review

All academic programs at UW-River Falls undergo review during the seven-year Academic Program Review and Audit Process. The Program Review and Audit is conducted via a self-study, an external reviewer, and an administrative committee of internal reviewers that includes faculty and academic deans. The Associate Vice Chancellor for Graduate Studies and Academic Effectiveness stewards the process and the Provost evaluates all final reports and responds back to the academic program and respective dean.

Quality

The program’s quality and success will be measured by the following indicators:

1) Retention and completion rates of students transferring in from two-year programs.
2) The ability of students to secure jobs and/or professional advancement pathways as a result of completing the degree program.
3) The mastery of learning outcomes—particularly as evidenced by the development of portfolios and performance in capstone experiences—when compared to traditional students in parallel or like disciplinary areas.
4) The ability of B.A.S. graduates to pursue graduate and professional degrees.
5) Growth and demand in the program as a measure of the quality and correct fit of the concentration areas in meeting the needs of students and employers in the region.

Accreditation

Not applicable: there is no specialized or separate accreditation required or available for a degree program like the B.A.S.
Program Authorization (Implementation)
P.S.M. in Industrial and Applied Mathematics
UW-Stout

EDUCATION COMMITTEE

Resolution I.1.a.(4):

That, upon the recommendation of the Chancellor of the University of Wisconsin-Stout and the President of the University of Wisconsin System, the Chancellor be authorized to implement the Professional Science Master’s in Industrial and Applied Mathematics.
NEW PROGRAM AUTHORIZATION

Professional Science Master’s Degree in Industrial and Applied Mathematics
University of Wisconsin-Stout

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, Revised August 2012), the new program proposal for a Professional Science Master’s Degree in Industrial and Applied Mathematics at the University of Wisconsin-Stout is presented to the Board of Regents for consideration. This is one of the first academic programs brought before the Board of Regents following the revised process for program planning, review, and approval in the UW System, adopted by the Board in August 2012.

In accordance with the new process, UW-Stout has submitted an authorization document and a letter of institutional commitment from the university’s Provost. The requirements of the revised process may be found at: http://www.uwsa.edu/acss/planning/.

REQUESTED ACTION

Approval of Resolution I.1.a.(4), authorizing the implementation of the Professional Science Master’s Degree in Industrial and Applied Mathematics at the University of Wisconsin-Stout.

DISCUSSION

The proposed Professional Science Master’s degree in Industrial and Applied Mathematics is a career-oriented degree designed to meet the needs of working professionals and prepare individuals to demonstrate advanced knowledge of mathematics and statistical techniques for business and industry. The field of industrial and applied mathematics focuses on topics, problems, and questions in business environments and industry that require modeling, data analysis, and computation skills. A successful industrial mathematician has strong analytical and problem-solving skills built upon a background in computing, mathematics, statistics, and basic science. The program responds to employer demand and aligns well with UW-Stout’s mission as Wisconsin’s Polytechnic University. The curriculum will include a common core of 18 credits of coursework in advanced topics in mathematics, statistics, and, to an extent, computer science.

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.a.(4), authorizing the implementation of the Professional Science Master’s Degree in Industrial and Applied Mathematics at the University of Wisconsin-Stout.
RELATED REGENT AND UW SYSTEM POLICIES

Regent Policy Document 4-12: Academic Program Planning, Review, and Approval in the University of Wisconsin System

Academic Informational Series #1 (ACIS-1.0, revised August 2012): Statement of the UW System Policy on Academic Planning and Program Review
September 6, 2012

Dr. Kevin Reilly, President  
University of Wisconsin System Administration  
1720 Van Hise Hall  
1220 Linden Drive  
Madison, WI 53706

Dear Dr. Reilly:

I am writing to you to express my support for the University of Wisconsin-Stout’s proposed Professional Science Master’s (P.S.M.) in Industrial and Applied Mathematics.

This degree was developed for adult professionals who seek to acquire a deep knowledge of mathematics, excellent problem-solving skills, effective communication skills, and the ability to work as team members to answer questions and solve problems in businesses and industry. Central to our mission as a Polytechnic University, the program is a career-focused program that will integrate applied learning, scientific theory, creativity and research to solve real-world problems, grow the economy and serve the global society.

The program has been vetted through our Department of Mathematics, Statistics, and Computer Science; the College of Science, Technology, Engineering and Mathematics; the Curriculum and Instruction Committee and the Planning and Review Committee of the Faculty Senate; the Academic Affairs Administrative Team; and data from an external survey of professionals in the area who have endorsed the need, design, and value of the program.

As a result of dialogues both on and off campus, as well as survey data regarding the P.S.M. program, I am confident that UW-Stout is moving in the right direction to meet an industry need and to create more meaningful educational opportunities. The university has the facilities, faculty, and financial resources to implement and a plan to ensure its sustainability and maturation. Given the program will be supported through customized tuition, we expect the program to be self-supporting in a few years.

The university will work with the UW-Stout Graduate School and UW-Stout Online to partner with the academic departments to assure quality programming and advisement services. Further, UW-Stout will collaborate with UW-Milwaukee and other universities with specialties in this area to pursue collaborative initiatives in the future.

Sincerely,

Mary Hopkins-Best, Ed.D.  
Interim Provost and Vice Chancellor for  
Academic and Student Affairs
Authorization to Implement a Professional Science Master (P.S.M.)
in Industrial and Applied Mathematics at UW-Stout
Prepared by UW-Stout

ABSTRACT

The proposed Professional Science Master’s degree in Industrial and Applied Mathematics is a career-oriented degree designed to meet the needs of working professionals and prepare individuals to demonstrate advanced knowledge of mathematics and statistical techniques for business and industry. The field of industrial and applied mathematics focuses on topics, problems, and questions in business environments and industry that require modeling, data analysis, and computation skills. A successful industrial mathematician has strong analytical and problem-solving skills built upon a background in computing, mathematics, statistics, and basic science. The program responds to employer demand and aligns well with UW-Stout’s mission as Wisconsin’s Polytechnic University. The curriculum will include a common core of 18 credits of coursework in advanced topics in mathematics, statistics, and, to an extent, computer science.

PROGRAM IDENTIFICATION

Institution Name:
University of Wisconsin-Stout

Title of Program:
Industrial and Applied Mathematics

Degree/major Designation:
Professional Science Master (P.S.M.)

Mode of Delivery:
On campus with potential hybrid delivery

Projected Enrollment by Year Five of the Program:
Total: 27 (12 continuing and 15 new)

Tuition Structure:
Differential (customized) tuition at $650 per credit. For the first year of operation, resources in the amount of $152,856 will cover costs with available resources rising to $229,534 in years two and three, making the program self-sustaining.

Department or Functional Equivalent:
Department of Mathematics, Statistics, and Computer Science

College, School or Functional Equivalent:
College of Science, Technology, Engineering and Mathematics
Proposed Date of Implementation:
Fall, 2013

INTRODUCTION

Rationale and Relation to Mission:

In alignment with UW-Stout’s designation as Wisconsin’s Polytechnic University, the special mission of UW-Stout emphasizes the development of graduate programs leading to professional careers in industry and commerce through the study of current technologies. A central characteristic of UW-Stout’s academic offerings is career-oriented education that helps to grow the economy and serves people globally. UW-Stout is also committed to solving problems of industry through the sharing of resources. Graduates will possess a deep knowledge of mathematics and statistics, excellent problem-solving skills, effective communication skills, and an understanding of basic business processes that will prepare them to assume leadership roles in developing advanced technological solutions to respond to the needs and problems of industry. The proposed program will involve strong collaborations with UW-Stout’s Discovery Center, an applied research center founded in 2009. It is anticipated that this program will boost the creation of well-paying jobs and support business development by linking the department to entrepreneurship and expanding research, ultimately making Wisconsin a better place to do business.

Need as Suggested by Current Students:

The Department of Mathematics, Statistics, and Computer Science conducted a survey of current students, alumni, and employers about their interest in the proposed Professional Science Master’s in Industrial and Applied Mathematics at UW-Stout. Responses were received from eight employers and 25 alumni. A total of 53% of respondents indicated interest in the proposed program. The respondents further indicated that (in total) as many as 90 colleagues or current employees might be interested in enrolling in such a program.

Need as Suggested by Market Research:

The National Conference of State Legislatures posted the following issue brief on the P.S.M. degree (http://www.ncsl.org/issues-research/educ/professional-science-masters-psm.aspx):

*The P.S.M. may be of interest to state legislators for a variety of reasons. Graduate students in all areas, including math and science, tend to stay in the state where they graduate, rather than seek employment nationally as Ph.D. students do. P.S.M. degrees are designed to place graduates in regional business and industry, a means of training and retaining science and math professionals in the area. Prior to their establishment, a needs assessment is conducted among area businesses and industry for establishing employment opportunities for graduates, and leaders in area businesses and industry serve on advisory boards of P.S.M. programs. Additionally, the flexible and practical*
nature of the degree has the potential to attract more students to the study of math and science. In fact, the P.S.M. appears to be especially attractive to women, who make up 49% of current enrollees, a higher percentage than other graduate programs in STEM.

The 2011 Professional Science Master’s Student Outcomes Survey tracks initial hiring outcomes of P.S.M. graduates and for up to 5 years post-graduation. Of respondents to this year’s survey:

- Over 80% are employed, 5% are students, and 12% were looking for work.
- Of those with new jobs post-graduation, almost 40% had secured this job because of an internship during their P.S.M. program.
- More than half (55%) who worked full-time made more than $50,000 per year, and 17.5% made $80,000 or more per year.
- 82% were satisfied with the quality of the scientific and/or mathematical training of their P.S.M. program, and 79% were satisfied with the quality of non-scientific professional training (such as business management, law, and communications).

The above information provides substantial support for the national demand and need for the P.S.M. degree. To examine regional needs, a survey was administered in November 2010 to professionals working in area businesses who were likely to hire individuals with Industrial or Applied Mathematics degrees. A total of 518 individual business professionals were surveyed. Seventy-two individuals responded to the survey, for a response rate of 14%. The goal of the survey was to identify how many businesses currently employ individuals with industrial or applied mathematics training, whether or not they will be hiring individuals with degrees in this field in the future and how many they would anticipate hiring within the next year. The following presents an overview of the findings from the survey.

**Hiring Practices**

- Of the 72 respondents, 30 (46%) indicated that their company currently employs individuals in Industrial or Applied Mathematics, and 35 (54%) did not.
- Of the 30 participants who currently employ individuals in Industrial or Applied Math, 77% replied they would be hiring individuals with these degrees in the future.

**Benefits of the Program**

- A total of 87% of participants indicated that industrial and applied mathematics skills and knowledge would help them to advance within the company.
- Participants were asked to provide information on the types of opportunities for advancement for graduates of this program. The following themes were identified: (1) depends on career choice/position, (2) project manager/lead, (3) general advancement, (4) engineers.
- Participants were asked to rate the need for graduates entering the workforce to be trained in skills associated with the Professional Master’s in Industrial and Applied Mathematics. The mean rating was 2.52 on a 4-point scale, with 1 = no need and 4 = great need.
Participants were asked to provide information on what specific technical skills, competencies or coursework they believed a graduate of the program should possess. Computer skills/computer programming, followed by statistical and mathematics skills, and communication and customer service, were the most common themes.

According to the U.S. Bureau of Labor Statistics, the “employment of mathematicians is expected to increase by 16 percent from 2010 to 2020, about as fast as the average for all occupations. Advancements in technology that allow for better collection and processing of data will lead to an expanding need for mathematicians to analyze the data.” In addition, the U.S. Bureau of Labor statistics reports that “those with a master's degree should have opportunities in applied mathematics,” and “mathematicians who have a master’s degree will likely find opportunities in private industry” (http://www.bls.gov/ooh/math/mathematicians.htm#tab-6).

DESCRIPTION OF PROGRAM

General Structure

Institutional Program Array

Professional Science Master’s degrees are interdisciplinary degrees by design and prepare students to apply their knowledge in a business or science environment. Students enrolled in other UW-Stout master’s programs in science or engineering with the proper preparation may enroll in the new courses under development for this program. The P.S.M. in Industrial and Applied Mathematics also complements UW-Stout’s existing graduate program array in business and operations and management due to its focus on developing professionals for careers and the applied nature of the curriculum.

Other Programs in the University of Wisconsin System

No other UW System institution offers a P.S.M. in Industrial and Applied Mathematics. UW-Milwaukee’s M.S. in Mathematics has an Industrial Mathematics concentration, which differs from the proposed program in its distribution of required coursework and the number of courses offered in a targeted application area. UW-Stout plans to create a unique experience by offering a highly focused program in which all students will complete an applied industry-based project as part of their capstone experience, positioning graduates to meet the needs of the growing technological employer-base in northwestern Wisconsin.

Collaborative Nature of the Program

The P.S.M in Industrial and Applied Mathematics has been designed for on-campus delivery, but the opportunity to offer a few courses online opens up the possibility for collaboration with compatible P.S.M. programs nationwide. Opportunities exist to collaborate on projects with students from UW-Milwaukee. Faculty will collaborate with the UW-Stout Discovery Center to manage student projects, interact with industry, and assess the quality of the projects. Students will have the opportunity to be involved in outreach activities to industry through the Discovery Center
Diversity

UW-Stout has a number of institution-wide diversity initiatives, including academic and social support for students of color, grants for minority and disadvantaged students, the Chancellor's Equity, Diversity, and Inclusion Coalition (CEDIC), and the UW System Equity Scorecard Project all of which work to attract a diverse student population. Faculty contributing to the P.S.M. in Industrial and Applied Mathematics will: 1) infuse the program curriculum with a wide variety of perspectives including, but not limited to, race, sex, gender identity, sexual orientation, religion, socioeconomic status and age; 2) recruit a diverse student population; and 3) honor the diversity within the program faculty and staff. Students in the Professional Science Master’s in Industrial and Applied Mathematics program will interact with and learn from a diverse group of faculty and academic staff in the Department of Mathematics, Statistics and Computer Science and other departments at UW-Stout. In addition, students will be in contact with diverse advisory committee members, industry representatives, and practitioners in the field.

Student Learning Outcomes

Program Objectives

At program completion, graduates of the program will be able to:
1. Demonstrate advanced knowledge in mathematics, statistics, and scientific computing.
2. Apply advanced mathematics, statistics, and computer science skills to answer questions and solve problems in business and industry.
3. Analyze data and create mathematical and statistical models to answer questions and solve problems in business and industry.
4. Work as a member of an effective interdisciplinary team.
5. Utilize effective professional communications skills, such as effective writing skills and oral presentation skills, in scientific and non-scientific environments.

Assessment of Objectives

The P.S.M. in Industrial and Applied Mathematics will have a Professional Advisory Board (PAB) consisting of professionals and alumni who are invested in the success of the program. Departmental faculty will meet with the PAB every semester to discuss industry changes and standards, curriculum, and student attainment of learning objectives. Capstone projects and mid-program reviews will be valuable in assessing the success of the program. A two-course capstone experience will require students to pursue an industry-based project at the culmination of each student’s program that measures the ability of graduates to apply advanced knowledge of mathematics and statistics to answer questions and solve problems in businesses and industry. Students will be required to document their projects much as they would in industry, and a final evaluation of the students’ grasp of program objectives will be analyzed in collaboration with their industry supervisors. An opportunity to assess student attainment of the objectives related to teamwork and communication skills will also be assessed mid-program and
during the capstone experience. Key learning outcomes as related to all objectives will be identified and assessed regularly in various program courses.

**Curriculum Structure**

The 35-credit program will include a common core of 18 credits of coursework in advanced topics in mathematics, statistics, and computer science. In addition, students will choose at least nine credits in selective areas that include courses in Cybersecurity and Data Mining. Further, all students will complete a six-credit, two-course industry-based project experience. This experience will require students to work as part of a team to solve a problem from industry over a two-semester period. Students will need to understand the problem, design a solution plan based on research, carry out that plan, and present their solution in written and verbal form to the industry partner. This six-credit component will serve as the “research component” for the program. In addition, students will be required to take at least two credits of coursework in business or other professional area. Finally, students will be required to complete a “core plus” professional component. This will include attending a series of non-credit-bearing workshops: two in Ethics and one in Budget, Planning, and Analysis.

The following table outlines the specific program curriculum:

<table>
<thead>
<tr>
<th>Common Introductory Core</th>
<th>18 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>MATH-7xx Introduction to Industrial Mathematics</td>
<td>3</td>
</tr>
<tr>
<td>STAT-640 Advanced Linear Modeling - Regression and Time Series</td>
<td>3</td>
</tr>
<tr>
<td>MATH-7xx Discrete Algebraic Methods</td>
<td>3</td>
</tr>
<tr>
<td>MATH-7xx Methods in Applied Mathematics: Initial and Boundary Value</td>
<td>3</td>
</tr>
<tr>
<td>MSCS-7xx Scientific Computing</td>
<td>3</td>
</tr>
<tr>
<td>STAT-7xx Multivariate Analysis</td>
<td>3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Selectives – Choose at least 9 credits</th>
<th>9 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>MATH-580 Cryptography</td>
<td>3</td>
</tr>
<tr>
<td>CS-680 Computer Security</td>
<td>3</td>
</tr>
<tr>
<td>MSCS-7xx Cryptanalysis</td>
<td>3</td>
</tr>
<tr>
<td>CS-7xx Advanced Database Systems</td>
<td>3</td>
</tr>
<tr>
<td>CS-7xx Data Mining</td>
<td>3</td>
</tr>
<tr>
<td>CS-7xx Machine Learning</td>
<td>3</td>
</tr>
<tr>
<td>CS-545 Image Processing</td>
<td>3</td>
</tr>
<tr>
<td>CS-546 Simulation Modeling and Analysis</td>
<td>3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Capstone Experience</th>
<th>6 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>MSCS-7xx Field Project in Industrial Mathematics I</td>
<td>3</td>
</tr>
<tr>
<td>MSCS-7xx Field Project in Industrial Mathematics II</td>
<td>3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Professional Component</th>
<th>2 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-credit bearing workshops – Must attend all</td>
<td></td>
</tr>
<tr>
<td>Business Ethics Seminar I</td>
<td></td>
</tr>
<tr>
<td>Business Ethics Seminar II</td>
<td></td>
</tr>
</tbody>
</table>
Budget, Planning, and Analysis Seminar

Professional Selectives – Choose at least 2 credits

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>BUACT-730</td>
<td>Financial and Cost Analysis</td>
<td>3</td>
</tr>
<tr>
<td>BUINB-538</td>
<td>International Logistics</td>
<td>3</td>
</tr>
<tr>
<td>BUINB-567</td>
<td>International Management</td>
<td>3</td>
</tr>
<tr>
<td>BUMGT-690</td>
<td>Strategic Management and Business Policy</td>
<td>3</td>
</tr>
<tr>
<td>BUMGT-760</td>
<td>Strategic Planning and Deployment</td>
<td>2</td>
</tr>
<tr>
<td>INMGT-525</td>
<td>Quality Management</td>
<td>3</td>
</tr>
<tr>
<td>INMGT-535</td>
<td>Lean Manufacturing Systems</td>
<td>3</td>
</tr>
<tr>
<td>INMGT-660</td>
<td>Industrial Management</td>
<td>2</td>
</tr>
<tr>
<td>INMGT-720</td>
<td>Foundations in Industrial Operations</td>
<td>2</td>
</tr>
<tr>
<td>INMGT-740</td>
<td>Decision Modeling</td>
<td>3</td>
</tr>
</tbody>
</table>

Or other course as approved by program director

Total Credits 35 credits

Projected Time to Degree

Students enrolled full-time (at least nine credits per semester) will be able to complete the degree in two years.

Program Review Process

Institutional Review

Each year, academic program directors at UW-Stout submit an Assessment in the Major report in which indirect and direct assessment data are reported to determine whether students acquire needed competencies and skills while in the program. The program director of the P.S.M. degree will use the assessments outlined above to form the basis of this report. As students graduate from the major, the program director will survey alumni and employers in conjunction with UW-Stout’s Budget, Planning, and Analysis Office, as is protocol for most UW-Stout programs, for inclusion in the report. The program director, key faculty, and the Program Advisory Board will monitor retention, time-to-graduation, graduation rates, and placement rates to further assess the overall effectiveness of the program. Questions related to the program objectives will be included as a supplement to the standard survey. Results from the yearly Assessment in the Major report will be examined to determine the need for future curricular and program revisions and to help assess and maintain the quality of the program.

The university-wide Planning and Review Committee (PRC) also conducts formal reviews of degree programs on a seven-year cycle. As part of this review, present and past students, faculty, and program advisory committee members are surveyed. The program director develops a self-assessment report which is reviewed in a formal hearing conducted by the PRC, with final results presented to the Faculty Senate and the Provost.
Quality

UW-Stout ensures program quality through systematic continuous improvement procedures in which student learning outcomes are assessed annually to determine the need for curricular or programmatic revisions. Program quality will be confirmed through recognition by the National Professional Science Master's Association (N.P.S.M.A. – see below). Further, quality will be assessed by tracking the employment rates, salaries and student satisfaction rates of the program graduates at year one and year five post-graduation. Due to findings in the 2011 Professional Science Master’s Student Outcomes Survey, it is expected that over 80% of the P.S.M. graduates will be employed, and most will earn more than $50,000 a year. Additionally, it is expected that over 80% of UW-Stout graduates will respond with a 3 (high) or a 4 (very high) on a 4-point scale to the following Graduate Alumni Survey question: How would you rate the overall effectiveness of your program?

In addition, UW-Stout will analyze if and how the proposed program fosters and promotes diversity, equity, and inclusion, including educational attainment and retention of minority and underserved students, as determinant components of quality and the assessment of student success. UW-Stout will further assess if the P.S.M. in Industrial and Applied Mathematics creates learning environments at UW-Stout in which students, faculty, and staff of all backgrounds can thrive and fulfill their academic, personal, and professional potential in a diverse nation and world.

Accreditation

No appropriate accreditation body for Professional Science Master’s programs in Industrial and Applied Mathematics exists. As mentioned above, to ensure the credibility of the proposed program, UW-Stout plans to join the National Professional Science Master's Association (N.P.S.M.A.). N.P.S.M.A. recognition will provide assurance that the program conforms to nationally accepted criteria for the degree. In order to join the N.P.S.M.A, programs must meet the following criteria:

1) The institution must be accredited by a regional accrediting association, or in the case of international applicants, a recognized organization or appropriate governing body that accredits or recognizes institutions of higher learning.
2) A program must have stated goals and learning outcomes appropriate to the particular degree.
3) The total number of credits must be at least equivalent to the minimal number required for a master’s degree at the institution.
4) Programs must include the following three components:
   a) A majority of the course content in the natural sciences, technology, engineering, mathematics and/or computational sciences.
   b) A professional skills component must be developed in consultation with leaders from the targeted industry, business, government, or non-profit organizations; and
c) An experiential component that must include at least one capstone project, supervised collaboratively by faculty and employers, evaluated or graded by faculty and typically developed with an employer(s), which integrates the practical application of scientific and professional knowledge, behavior, and skills. The experiential component typically includes a structured internship and provides an opportunity for students to demonstrate proficiency in written and oral communication skills.

5) Program quality assurance must be provided using the faculty-based mechanisms normally used by the institution for graduate programs in order to ensure that the program is fully integrated into the academic offerings of the institution and that it is sustainable over time.

6) An active and engaged advisory board of leaders from industry, business, government, or non-profit organizations is required.

7) The program must collect annual data relative to enrollment, degrees, completion, and demographics; and the employment history of graduates should be tracked to help assess program outcomes.

UW-Stout meets the institutional criteria above, and the program design for the P.S.M. addresses each of the programmatic criteria.
UW FLEXIBLE DEGREE MODEL

EXECUTIVE SUMMARY

BACKGROUND

Through the *Growth Agenda for Wisconsin*, the UW System has been working to develop the state’s human potential and help Wisconsin residents thrive in the knowledge economy. The nation’s recession and the state’s changing demographics have made these goals all the more pressing. At a time when the pool of younger college-bound students is predicted to shrink, the UW System must do still more to enroll adult students. More than one-fifth of all Wisconsin adults have some higher education credits, but no degree. While many Wisconsin citizens are looking for work, many employers are struggling to find qualified workers with the specific knowledge and skills they need to fill available positions. As the economy continues its slow recovery, the state will need an educated workforce to compete in the new knowledge economy.

In a bold move to better position Wisconsin in the post-recovery economy, the UW System and Governor Walker announced in June 2012 a competency-based, self-paced Flexible Degree Initiative to make baccalaureate degrees more accessible to working adults across Wisconsin. While some for-profit colleges also offer degrees that provide some measure of flexibility to adults, the UW System’s Flexible Degree Initiative is distinctive in that mastery is determined entirely through completion of competency-based assessments. The Flex Degree format allows students to demonstrate mastery of college-level competencies uncoupled from how they achieve that mastery – from standard residential or online courses, to material already learned in school, to on-the-job and other structured experiences. The Flex Degree will be led by world-class UW faculty, and the degrees offered in this format will be conferred through existing UW institutions, thereby reflecting the University of Wisconsin’s high standards for quality and dedication to affordability. The UW System has laid the foundation for the development of the Flexible Degree with existing online degree programs and competency-based professional degrees. Successful efforts to open their doors to adult students have taught UW institutions valuable lessons. The competency-based degree will take this foundation another step further.

The UW System’s 2013-15 biennial budget proposal includes a request for funding to support development of the Flexible Degree Initiative. The resources requested will be used to ensure that the degrees offered in this new format meet the same high standards of all degrees offered by UW institutions across the state.

At its October 4, 2012, meeting, the Board of Regents Education Committee will hear a progress report on the development of the Flexible Degree.

REQUESTED ACTION

For discussion only; no action is required.
DISCUSSION

Budgetary resources will not be the only factor to ensure that the Flexible Degree meets the same standards for quality, affordability, and access as other degrees offered by the colleges and universities in the UW System. The UW System is fully aware of the need to develop the Flexible Degree deliberately and to work through the challenges and opportunities inherent in the model collectively and as a system, in order to serve students and the state well and preserve the integrity of all that the UW System stands for.

To that end, UW System President Reilly and UW-Extension Chancellor Ray Cross are convening the UW Flexible Degree Model Faculty and Academic Staff Committee. Composed of representatives from every UW institution, the committee will work to identify the necessary components of the competency- and learning outcome-based approach of this innovative degree model. The committee will also consider how the Flexible Degree Model can be designed for adaptation and implementation by those UW colleges and universities seeking to develop specific programs under the new format. The role of faculty and staff in the development of the model is critical, given statutory faculty oversight of the curriculum, their pedagogical and content expertise, and the System’s deep tradition of shared governance. From the outset, it has been clear that each individual degree program offered via this model will be offered by an institution or institutions in the UW System, and will be approved through the same shared governance and accreditation procedures and policies as all UW degrees.

President Reilly is also convening an administrative advisory group for the Flexible Degree program, one composed of chancellors, provosts, student affairs administrators, and chief business officers. That group will advise the development process in terms of the business model and infrastructure necessary to support the institutions and the students who will enroll in those degree programs operating under the Flexible Degree Model.

UW-Extension will play an administrative support and coordination role, one that aligns not only with its leadership on expanding educational opportunities to adult students throughout the state, but also in terms of its mission and history. Historically—and embodied in the Wisconsin Idea—UW-Extension’s mission has been to extend the resources of the university to people in all corners of the state, across institutional and geographical borders and boundaries. The Flexible Degree Model offers the entire UW System a remarkable opportunity to revitalize the Wisconsin Idea for the 21st century.

RELATED REGENT AND UW SYSTEM POLICIES

None.
ACADEMIC AND STUDENT AFFAIRS
2011-12 YEAR IN REVIEW

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 President’s Advisory Committee (PAC) recommended increased management flexibility, delegation of authority, and autonomy for UW institutions, and—concurrently—less System oversight in a variety of areas from offices and units within UW System Administration (UWSA). The President’s response adopted the Advisory Committee’s central recommendations and proposed specific ways they should be implemented. The Board, in turn, endorsed President Reilly’s response, and expressed its strong support for the policy changes and actions recommended in the response. (For a summary of the meeting and link to both documents, go to: http://www.wisconsin.edu/news/2011/r110908.htm.)

President Reilly’s response included a charge to reorganize the work of the UW System Office of Academic and Student Affairs in particular areas that had been highlighted by the Advisory Committee as warranting revision. These areas included restructuring the process of academic program planning and review, transferring UW System advisory groups to campus or institutional “homes,” consolidating the Academic Affairs grants programs, and refocusing Academic Affairs initiatives on the goals of the Growth Agenda for Wisconsin. In addition, the Academic Affairs’ Office of Policy Analysis and Research undertook revisions to the UW System’s accountability reporting, as required by Act 32, the 2011-13 budget bill.

The restructuring work by the Office of Academic and Student Affairs had a significant impact on the Board of Regents Education Committee’s agenda for 2011-12. Throughout its 2011-12 meetings, the Education Committee heard progress reports, provided input, and took action on a number of the changes that took place in Academic and Student Affairs in response to President Reilly’s charge. At the October 4, 2012, meeting of the Education Committee, Senior Vice President Mark Nook will review the work of the Office of Academic and Student Affairs undertaken throughout 2011-12.

REQUESTED ACTION

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

In carrying out the recommendations made by the PAC and President Reilly’s charge, Senior Vice President Nook undertook a deliberative and consultative process that involved core stakeholders, including members of the Board of Regents, those working within UW System Administration, and those at the UW System’s colleges and universities. The overall process required significant staff resources, from both UW System Administration and UW institutions, and they resulted in significant changes.

Academic Program Planning, Review and Approval

President Reilly proposed restructuring the process of reviewing and approving new undergraduate and graduate degrees to achieve two goals: curtailing UWSA’s role in assessing the quality of new programs by placing quality decisions in the hands of UW institutions and accrediting organizations; and decreasing the length of the process in order to enable UW institutions to be more responsive to the demand for new degree programs. He also proposed redirecting the focus of UWSA towards maintaining the proper array of degree options across the state.

From January to June 2012, a systemwide working group of provosts, institutional academic administrators, faculty, and UWSA staff reviewed the current process, policy, guidelines and principles for the planning, review and approval of new academic programs. The working group recommended a vastly different process in place of the current one, accompanied by revised Regent and UWSA policies. The Education Committee was able to provide input to the working group throughout its deliberations. The Regents approved the revised process and policy at their August 2012 meeting and these are now in effect.

Advisory Groups

UWSA has historically convened a number of systemwide advisory and constituent groups focused on advancing national and state higher education initiatives and priorities. President Reilly proposed the decentralization of a number of these groups that could be better led and supported by individual UW institutions with the desire and expertise to help the entire UW System address new higher education challenges.

Senior Vice President Nook convened a number of review committees charged with transferring three UW System advisory groups to campus or institutional “homes.” These included the System Advisory Group on the Liberal Arts (SAGLA), the Institute for Urban Education, and the Women’s Studies Consortium. At the recommendation of SAGLA members, Senior Vice President Nook determined that SAGLA would become a self-convening constituent group with rotating chairs. Following a Request for Proposals (RFP) and the deliberations of a systemwide review committee, the Institute for Urban Education was transferred to UW-Milwaukee, where it will continue to serve students from every UW institution. An RFP process is also being conducted for the Women’s Studies Consortium and based on the recommendations of a systemwide review committee, a decision will be made shortly as to which campus will host it. While these changes have not required Regent approval, the Education Committee has
provided important input and endorsement as the transfer of individual advisory groups has been considered.

**Consolidation of Academic Affairs Grant Programs**

President Reilly asked that the Office of Academic and Student Affairs restructure its grant-making process to be more responsive to changing UW priorities, using a simplified application process to secure strategic grants that influence measurable institutional change.

Throughout 2011-12, Senior Vice President Nook worked with colleagues across the UW System to restructure the grant program, consolidating what had been ten separate programs into two, known collectively as the *Growth Agenda for Wisconsin* Grants Program. The revised Academic Affairs Grant Program grant structure has been designed to support UW institutions in meeting their *Growth Agenda for Wisconsin* goals to: increase the number of Wisconsin graduates; help create more well-paying jobs; and build stronger communities. The redesigned program further seeks to provide incentives to institutions to be innovative and take reasonable risks. The Education Committee heard a more detailed report on the revised grant program and the results of its first funding cycle at its August 2012 meeting.

**Accountability Reporting**

In recent years, the UW System’s annual accountability report, “Investing in Wisconsin’s Future,” has focused on how the university’s strategic priorities aim to benefit the people of Wisconsin. In addition to this annual report, Act 32 (the 2011-13 budget bill) required that two new reports be prepared for the legislature: one for UW-Madison and one for the balance of the UW System institutions. Per Act 32, each of these new reports was directed to address nearly 40 specific performance indicators, about half of which have historically been included in the consolidated UW System document.

The Office of Policy Analysis & Research both oversaw the development of “Investing in Wisconsin’s Future” and collaborated with UW-Madison to develop the two new reports required by Act 32. The Regents were briefed throughout the year on the challenges and opportunities presented by the new performance indicators. The completed reports for 2012 were presented to the Board of Regents at their August meeting.

**Refocusing of Academic and Student Affairs Initiatives**

Amid a backdrop of significant reductions to the UW System’s budget, the President’s response to the PAC called for a reduction in the number of new national initiatives and projects led by UWSA, and a recommitment by the entire System to the core goals of the UW System’s *Growth Agenda for Wisconsin*, to produce more better-prepared graduates, to build strong communities, and to develop the local and statewide economy.

Overall, the changes made by the Office of Academic and Student Affairs in the areas of academic programming, advisory groups, and grants accomplished the refocusing of initiatives requested by President Reilly. Moreover, this refocusing coincided with staff reductions,
including the elimination of an associate vice president and the necessary reorganization of people and functions previously reporting to that person. While a major undertaking, this reorganization has necessitated the reevaluation of priorities and an ongoing recommitment to the goals of the Growth Agenda and, within it, Inclusive Excellence, the UW System’s strategic framework for diversity and equity.

**RELEVANT REGENT AND UW SYSTEM POLICIES**

Regent Policy Document 4-12: Academic Program Planning, Review, and Approval in the University of Wisconsin System

Academic Informational Series #1 (ACIS-1.0, revised August 2012): Statement of the UW System Policy on Academic Planning and Program Review
BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.2. Business, Finance, and Audit Committee

Thursday, October 4, 2012
Memorial Student Center
UW-Stout
Menomonie, Wisconsin

2:30 p.m. Business, Finance, and Audit Committee – 136A Cedarwood/136B Maplewood

a. Committee Business
   1. Approval of the Minutes of the August 23, 2012 Meeting of the Business, Finance, and Audit Committee
   2. Review and Approval of the UW-Madison Contractual Agreement with Novartis Pharmaceuticals Corporation
      [Resolution I.2.a.2.]

b. UW-Stout Presentation: “Document Management: Efficiencies of Imaging and Electronic Workflow”


d. UW System Trust Funds
   1. 2012 Proxy Voting Season Results
   2. Acceptance of New Bequests
      [Resolution I.2.d.2.]
   3. Review and Approval of Changes to Regent Policy Documents Related to Corporate Governance and Social Responsibility
      [Resolution I.2.d.3.i.], [Resolution I.2.d.3.ii.], and [Resolution I.2.d.3.iii.]

e. Operations Review and Audit: Update on Audit Report Structure

f. Report of the Senior Vice President
   2. Update on UW System Network Services and Infrastructure
   3. Status Update on Recommendations Contained in the Report on Reporting Crimes Against Children and Implementation of Executive Order #54
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 Novartis Pharmaceuticals Corporation.
UW-MADISON CONTRACTUAL AGREEMENT
WITH NOVARTIS PHARMACEUTICALS CORPORATION

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.a.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 Novartis Pharmaceuticals Corporation.

DISCUSSION AND RECOMMENDATIONS

The Office of Research and Sponsored Programs at the University of Wisconsin-Madison has negotiated a Clinical Trial Agreement, CIGE025D US27T (attached) with Novartis Pharmaceuticals Corporation. In consideration for providing the Research Services, Novartis Pharmaceuticals Corporation shall pay UW-Madison an estimated total amount of $2,740,010. This Clinical Trial has an effective date of August 1, 2012 and remains in effect until July 31, 2014. The research will be conducted by the Department of Medicine under the direction of Dr. William Busse.

The Department of Medicine under the direction of Dr. William Busse shall conduct the Clinical Trial entitled “Preventative Omalizumab or Step-up Therapy for Severe Fall Exacerbations.” The Clinical Trial shall investigate the safety, efficacy and/or related properties of one or more active ingredients (each a “Study Drug”), alone or in comparison to a placebo and/or one or more other active ingredients (each a “Comparator Drug”).

RELATED REGENT POLICIES

Regent Policy Document 13-1, General Contract Signature Authority, Approval, and Reporting
UNIVERSITY OF WISCONSIN SYSTEM
UNIVERSITY PERSONNEL SYSTEMS

UPDATE

BACKGROUND

The 2011-13 biennial budget (2011 Wisconsin Act 32) created Wis. Stat. § 36.115 (see Attachment 1), authorizing and directing the development of personnel systems separate and distinct from the personnel system under Chapter 230 of the Wisconsin Statutes. The statutes authorize a personnel system for all University of Wisconsin-Madison employees and a separate personnel system for the balance of University of Wisconsin System employees. Ultimately, both personnel systems require Board of Regents and then Joint Committee on Employment Relations (JCOER) approval before being implemented. The statutes direct that the new personnel systems be implemented on July 1, 2013.

At the October Board of Regents’ meeting, the Business Finance and Audit Committee will receive an update on the progress of the new personnel systems as well as review and discuss two draft Regent Policy Documents. This document provides background for that discussion.

REQUESTED ACTION

For discussion only. The Board will not be asked to adopt policies at its October meeting. A resolution and Board document reflecting the UW System President’s recommendation for new Board policies will be presented to the Board for consideration at its December meeting.

DISCUSSION

The establishment of personnel systems separate and distinct from the state personnel system presents a great opportunity to address human resources issues that are unique to higher education, to establish strategic structures toward fulfilling System and institutional missions, and to consider all UW employees under unified personnel systems. Classified staff that are currently under the authority of the Office of State Employment Relations will be included in a new employee category of “university staff” under the authority of the Board of Regents. For the first time, the opportunity exists to establish personnel systems that recognize the value and importance that each member of the workforce contributes to the furtherance of the individual missions at each institution and the overall mission of the University of Wisconsin System.
UW System has approximately 38,100 employees, which include both unclassified and classified employees. Since the creation of the UW System, the Board of Regents has had authority and administrative responsibility for the unclassified personnel system under Chapter 36 of the Wisconsin Statutes. The unclassified personnel system includes approximately 28,100 unclassified employees across the University of Wisconsin System (approximately 13,000 academic staff, 1,300 limited appointees, 7,000 graduate assistants, and 6,800 faculty). The more than 10,000 classified employees across the University of Wisconsin System are currently part of the state’s classified personnel system authorized by Chapter 230 of the Wisconsin Statutes, and administered by the Office of State Employment Relations (OSER). Effective July 1, 2013, the Board of Regents will have administrative authority for all of its employees.

Act 32 also provides specific direction in Wis. Stat. § 36.115(6) on the protections and rights of classified employees with permanent status on June 30, 2013 and those who have not yet achieved permanent status as of June 30, 2013. These protections specifically relate to demotion, suspension, discharge, layoff or reduction in base pay, as well as reinstatement privileges to the state classified personnel system. Act 32 did not make any changes to the protections available to unclassified staff through Chapter 36 and the resulting administrative code.

The development of the two personnel systems has and will continue to be done in a collaborative manner. The personnel systems for UW-Madison and for the balance of the UW System are being developed such that they can be served by the extant enterprise resource planning computer support system, are compatible one with the other, and provide the protections and privileges to employees as of June 30, 2013, as directed by Wis. Stat. § 36.115.

The statutes require that JCOER approve the personnel systems before they may be implemented. It is proposed that UW System and UW-Madison present the following to JCOER for approval:

- The overall framework of employee roles and appointment types,
- Competitive compensation and benefits structure and philosophy, and
- Civil service protections and employee rights.

Attached, for discussion purposes, are draft Regent policies that address the implementation of each of these areas and “university staff” governance in preparation for and in anticipation of JCOER approval and the July 1, 2013 implementation timeline.

Act 32 of 2011 also created a Special Task Force on UW Restructuring and Operational Flexibilities and identified six topics for the Task Force to consider. Attachment 2 of this Executive Summary includes the recommendations of the Task Force on the two topics related to the UW System personnel systems: “how System employees and those System employees assigned to the University of Wisconsin-Madison would transition from the state personnel system to the new personnel systems,” and “how compensation plans for System employees should be determined in future biennia.”
University Personnel Systems

The framework for the new personnel systems is addressed in the draft Regent Policy Document on University Personnel Systems (Attachment 3), which emerged as existing policies and procedures were evaluated for recommended changes. This new Regent policy would provide for two new personnel systems that meet the diverse and unique needs of UW System universities, colleges, and extension.

The new personnel systems will simplify titling structures, protect existing employee rights, and establish a compensation structure(s) that will allow each institution to recruit and retain a highly qualified and diverse workforce. It will result in the employees identifying themselves as valued members of one of the UW System universities, colleges, or extension.

The purpose of the Regent policy will be to provide guidance to all UW System institutions regarding the implementation of the Board’s statutory authority and resulting responsibility to administer the university personnel systems. Both personnel systems must include a civil service system, a grievance procedure that addresses employee terminations, and provisions that address employee discipline and workplace safety. Wis. Stat. § 227.01(13)(Lm) exempts the Board from promulgating administrative rules to administer the university personnel systems. Therefore, Regent policies will provide for the administration of the university personnel systems.

“University Staff” Governance

The statutes currently provide governance rights to UW System faculty and academic staff, giving them primary responsibility for the formulation and review of policies and procedures that concern them. No such statutory provision exists for classified staff employed by UW System. The newly created draft Regent Policy Document (Attachment 4) furthers the principle that all university employees should have a voice in the policies and procedures that directly affect their work lives. Adherence to this principle suggests that the ability to participate in this dialogue, and help find solutions that meet both staff and university needs, should not be limited based on employee category.

The project teams for both of the new personnel systems, one for UW-Madison and one for the balance of the UW System institutions recommended the establishment of formal governance rights for classified staff, who are called “university staff” under the new personnel systems. Preference was also expressed by the work teams from both projects for pursuing statutory governance, but secondarily the teams supported the establishment of such rights through Regent policy. Establishment of “university staff” governance through Regent policy would provide the university and employees in the new “university staff” category with greater certainty that governance would be effective July 1, 2013. It was also recommended that further consideration be given to this decision and that a later assessment be made as to whether incorporating governance into statute would better serve employees and the university.

The project teams recognize that governance is different from union representation, because the governance relationship with the university does not result in a labor contract or
agreement. Instead, governance provides a formal way for employees to participate in developing university policy, including personnel policy. Through governance, it is recommended that “university staff” be able to make recommendations, consider proposals, and raise concerns to UW System institutional leadership, primarily related to personnel matters, similar to current faculty and academic staff involvement. The project teams believe that establishing this formal governance structure will contribute to the success of both of the new personnel systems because it will enable “university staff” to formally participate in the design and implementation of the longer-term components of each new personnel system. “University staff” governance, along with faculty, academic staff, and student governance, will also provide guidance on any job title and compensation analysis that might be recommended and on any future proposed changes to benefits.

The policy being proposed parallels the current language for academic staff in Wis. Stat. Chapter 36. The proposed policy would include:

Each UW System institution is to:

1. Provide for its “university staff” members, subject to the responsibilities and powers of the board, the president, and the chancellor and faculty of the institution, to be active participants in the immediate decision making of and policy development for the institution on matters that concern “university staff”;

2. Provide for its “university staff” members to have the primary responsibility for the formulation and review, and be represented in the development, of all policies and procedures concerning “university staff” members, primarily “university staff” personnel matters; and

3. Provide for its “university staff” members the right to structure themselves in a manner “university staff” members determine, and to select their representatives to participate in decision making on matters that pertain to “university staff” at each respective institution.

Following discussion with the Business, Finance, and Audit Committee of the Board of Regents at their October 2012 meeting, classified staff representatives from each of our UW System institutions will be asked to review the draft policy on University Staff Governance.

RELATED REGENT POLICIES AND APPLICABLE LAWS

Chapter 36 of the Wisconsin Statutes. Various human resources-related Regent Policy Documents are proposed to be eliminated or replaced.
§36.115 Personnel systems.

(1) In this section, "chancellor" means the chancellor of the University of Wisconsin-Madison.

(2) The board shall develop a personnel system that is separate and distinct from the personnel system under ch. 230 for all system employees except system employees assigned to the University of Wisconsin-Madison.

(3) The chancellor shall develop a personnel system that is separate and distinct from the personnel system under ch. 230 for all system employees assigned to the University of Wisconsin-Madison.

(3m) The board shall set the salary ranges for all of the following positions:

(ae) Each of the vice chancellors who is serving as deputy at the University of Wisconsin System campuses at Eau Claire, Green Bay, La Crosse, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, Superior, and Whitewater and each of the vice chancellors who is serving as deputy at the University of Wisconsin Colleges and the University of Wisconsin-Extension.

(am) The vice presidents of the University of Wisconsin System.

(ar) The chancellors at the University of Wisconsin System campuses at Eau Claire, Green Bay, La Crosse, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, Superior, and Whitewater and the chancellors of the University of Wisconsin Colleges and the University of Wisconsin-Extension.

(b) The vice chancellor who is serving as deputy at the University of Wisconsin-Milwaukee.

(bm) The senior vice presidents of the University of Wisconsin System.

(c) The vice chancellor who is serving as deputy at the University of Wisconsin-Madison.

(d) The chancellor at the University of Wisconsin-Milwaukee.

(e) The chancellor at the University of Wisconsin-Madison.

(f) The president of the University of Wisconsin System.

(g) The associate and assistant vice presidents, vice chancellors not identified in pars. (ae), (b), or (c), assistant chancellors, associate and assistant vice chancellors, and administrative directors and associate directors of physical plant, general operations and services, and auxiliary enterprises activities or their equivalent, of each University of Wisconsin institution, the University of Wisconsin-Extension, and the University of Wisconsin System administration.

(4) The personnel systems developed under subs. (2) and (3) shall include a civil service system, a grievance procedure that addresses employee terminations, and provisions that address employee discipline and workplace safety. The grievance procedure shall include all of the following elements:

(a) A written document specifying the process that a grievant and an employer must follow.

(b) A hearing before an impartial hearing officer.
(c) An appeal process in which the highest level of appeal is the board.

(5)

(a) The personnel systems developed under subs. (2) and (3) shall be implemented on July 1, 2013.

(b) The board may not implement the personnel system developed under sub. (2) unless it has been approved by the joint committee on employment relations.

(c) The chancellor may not implement the personnel system developed under sub. (3) unless it has been approved by the joint committee on employment relations.

(6) All system employees holding positions in the classified or unclassified service of the civil service system under ch. 230 on June 30, 2013, shall be included in the personnel systems developed under subs. (2) and (3). System employees holding positions in the classified service on June 30, 2013, who have achieved permanent status in class on that date, shall retain, while serving in the positions in the system, those protections afforded employees in the classified service under ss. 230.34 (1) (a) and 230.44 (1) (c) relating to demotion, suspension, discharge, layoff, or reduction in base pay. Such employees shall also have reinstatement privileges to the classified service as provided under s. 230.31 (1). System employees holding positions in the classified service on June 30, 2013, who have not achieved permanent status in class on that date are eligible to receive the protections, privileges, and rights preserved under this subsection if they successfully complete service equivalent to the probationary period required in the classified service for the positions which they hold on that date.

History: 2011 a. 32.
Special Task Force on UW Restructuring and Operational Flexibilities
Recommendations: Personnel Systems & Compensation

Personnel Systems

Topics/Issues
The Task Force considered two questions related to the new personnel systems being created by UW-Madison and UW System:
1. What ability to transfer should UW employees holding positions that were formerly part of the classified staff have in the future?
2. Should UW employees holding positions that were formerly part of the classified service be given governing authority similar to that granted to the faculty, academic staff, and students?

Recommendations
The Task Force considered whether UW employees who were formerly part of the classified staff should retain the ability to transfer within the UW System and other state agencies and whether these employees should be granted governing authority similar to the authority granted to faculty, academic staff, and students under current law. The Task Force recommended that these matters be decided by the Board of Regents and the UW-Madison Chancellor through the personnel system development process. The Board of Regents and the UW-Madison Chancellor will submit the new personnel systems to the Joint Committee on Employment Relations (JCOER) for approval prior to implementation on July 1, 2013.

Compensation

Topics/Issues
The Task Force considered two questions related to compensation:
1. Should UW employees continue to be included in the state compensation plan making the UW System eligible for funds through the supplement process?
2. Should the Board of Regents be granted the authority to provide merit increases to UW employees using base resources?

Recommendations
The Task Force recommended that UW employees not be included in the state compensation plan. Instead, the Task Force recommended that the Board of Regents request funding for adjustments in employee compensation and benefits in its biennial budget request. If approved, or modified and approved, by the Legislature during budget deliberations, funding for these adjustments would be provided in the UW System's base budget and the UW System would not receive supplements from the compensation reserve during the biennium. The Task Force did not recommend the inclusion of a "me too" clause which would have provided the UW System with additional funds if the state compensation plan provided greater increases in compensation and benefits for other employees. The Task Force also recommended that the Board of Regents be granted the authority to provide merit-based salary increases to UW employees using base resources. The state would not be obligated to increase appropriations to the UW System to fund merit-based salary increases for UW employees. Both recommendations would require statutory changes.
Regent Policy Document
xx-yy University Personnel Systems

Scope

This policy addresses the authority of the Board of Regents as it relates to the university personnel systems created under Wis. Stat. § 36.115.

Purpose

The purpose of this policy is to provide guidance to all UW institutions regarding the implementation of the Board of Regents’ statutory authority and resulting responsibility to administer the university personnel systems. Wis. Stat. § 36.115(2) directs the Board of Regents to develop a personnel system for all system employees except system employees assigned to the University of Wisconsin at Madison (UW-Madison), and Wis. Stat. § 36.115(3) directs the Chancellor of UW-Madison to develop a personnel system for all system employees assigned to UW-Madison.

Both personnel systems must include a civil service system, a grievance procedure that addresses employee terminations, and provisions that address employee discipline and workplace safety. Wis. Stat. § 227.01(13)(Lm) exempts the Board from promulgating administrative rules to administer the university personnel systems. Therefore, this policy is established to provide for the administration of the university personnel systems.

Policy Statement

Under Wis. Stat. § 36.09(1) the Board of Regents is vested with the primary responsibility for the governance of the University of Wisconsin System. In discharging this responsibility, it is the Board’s policy to promote the development of university personnel systems that allow UW institutions to attract, develop, and retain a diverse and highly qualified workforce that will effectively and efficiently pursue the missions of the UW System and each UW institution. The university personnel systems shall include:

1. merit-based recruitment and assessment policies, practices, and performance goals that promote the development of a productive, accountable, and trusted workforce;

2. equal employment opportunity by ensuring that all personnel actions, including hiring decisions, length of tenure or term, and condition or privilege of employment, are based on an individual’s ability to perform the duties and responsibilities of the particular position without regard to race, sex, gender identity or expression, color, creed or religion, political affiliation, disability, sexual orientation, national origin, ancestry, or age; and

3. compensation structures that are market-informed, performance-based, reward meritorious achievement, and respond to the need for cost-of-living increases for employees with solid performance.
The Board’s authority over the personnel systems of the UW System includes but is not limited to the following:

1. designation of positions to appointment types, to include faculty appointments, academic staff appointments, limited appointments, university staff appointments, and other appointments such as employees-in-training and students;

2. position classification and titling systems for all employees;

3. recruitment and appointment of employees;

4. pay plans for all employees;

5. workplace safety programs;

6. a leave system (i.e., sick leave, vacation, personal holiday, and other leaves of absence);

7. employer and employee paid benefits;

8. a standard work week and legal holidays;

9. support for ongoing education of supervisors and for employee education and career development;

10. a program for employee performance evaluation;

11. just cause protection where appropriate;

12. workplace expectations;

13. employee discipline and grievance procedures; and

14. layoff procedures.

Oversight, Roles and Responsibilities

The Board of Regents delegates to the President of the UW System the authority to implement and maintain a personnel system for all UW System employees except employees assigned to UW-Madison. Under Wis. Stat. § 36.115(2), the UW-Madison Chancellor possesses the authority to implement and maintain a personnel system for UW-Madison employees. Consistent with Wis. Stat. § 227.01(13)(Lm), under which the Board of Regents may establish policies that relate to personnel systems without promulgating them as administrative rules, the Board of Regents authorizes the President to formulate policies to administer the university personnel systems. The Board further authorizes the President to delegate to individual
Chancellors the administration of the personnel system within the parameters established by RPDs and applicable policies.

**Related RPDs and Applicable Laws**

Chapter 36 of the Wisconsin Statutes
RPD 6-4, Search and Screen Procedures for Chancellors, Senior Vice Presidents and Vice Presidents
RPD 6-5, Executive Salary Structure

**History**

To eventually include the following resolutions ...

6-1: Res. 58, adopted 01/07/1972.
6-4: Res. 4034, adopted 04/08/1988; replaces 72-18; amended by Res. 5176, adopted 03/10/1989 (also called 89-3 until incorporated herein) and Res. 6636, adopted 04/08/1994; amended by Res. 6932, adopted 05/05/1995 and Res. 8157, adopted 06/08/2000; amended by Res. 9810, adopted 08/20/2010.
20-1: Res. 506, adopted 06/08/1973; amended by 75-9. (See also Policy 20-6 and Unclassified Personnel Guideline 10.)
20-12: Res. 7651, adopted 03/06/1998.
Regent Policy Document  
xx-yy University Staff Governance

Scope

This policy authorizes each University of Wisconsin System institution to establish for University Staff the opportunity to participate in institutional decision making in matters applicable to University Staff. University Staff are those UW System employees whose positions are paid on an hourly basis and subject to the overtime provisions of the Fair Labor Standards Act (FLSA). This policy is related to, but does not apply to, the rights of UW faculty and academic staff; their governance rights are already covered in Ch. 36, Wis. Stats., which sets forth the authority of the Board of Regents, the UW System President, chancellors, and other staff in the UW System.

Purpose

The purpose of this policy is to provide to University Staff the same ability to participate in institutional decision making that other groups in UW System have. Students, faculty and academic staff have similar governance rights granted by Wis. Stat. Chapter 36. This policy enables active participation in the dialogue regarding applicable institutional policies and procedures for other UW System employees. In light of s. 36.115, Wis. Stats., which effectively transfers responsibility for all UW university staff to the Board of Regents and UW-Madison, and in light of the existing rights of UW faculty and academic staff, the Board adopts this policy to authorize similar participation rights for its other employees. Active participation in decision making for University Staff will not involve collective bargaining or result in a labor agreement or contract, but will provide a formal way for employees to make recommendations, consider proposals, and raise concerns to institutional leadership.

Policy Statement

The Board of Regents is vested with the primary responsibility for governance of the University of Wisconsin System [sec. 36.09(1), Wis. Stats.]. In discharging this responsibility, the Board has an interest in providing UW System employees with the opportunity to participate in decisions that affect UW System employment. Each UW System institution is to:

1. Provide for its University Staff members, subject to the responsibilities and powers of the board, the president and the chancellor and faculty of the institution, to be active participants in the immediate decision making of and policy development for the institution on matters that concern University Staff;

2. Provide for its University Staff members to have the primary responsibility for the formulation and review, and be represented in the development, of all policies and procedures concerning University Staff members, primarily University Staff personnel matters; and
3. Provide for its University Staff members the right to structure themselves in a manner University Staff members determine and to select their representatives to participate in decision making on matters that pertain to University Staff at each respective institution.

**Oversight, Roles and Responsibilities**

The Board of Regents delegates to the President of the UW System the authority to implement and maintain a personnel system for all UW System employees except employees assigned to UW-Madison. Under Wis. Stat. § 36.115(2), the UW-Madison Chancellor possesses the authority to implement and maintain a personnel system for UW-Madison employees. Consistent with Wis. Stat. § 227.01(13)(Lm), under which the Board of Regents may establish policies that relate to personnel systems without promulgating them as administrative rules, the Board of Regents authorizes the President to formulate policies to administer the university personnel systems. The Board further authorizes the President to delegate to individual Chancellors the administration of the personnel system within the parameters established by RPDs and applicable policies.

**Related RPDs and Applicable Laws**

Chapter 36 of the Wisconsin Statutes

**History**

NA
UW SYSTEM TRUST FUNDS
2012 PROXY VOTING SEASON RESULTS

EXECUTIVE SUMMARY

BACKGROUND

As provided in Regent Policy 31-10, to the extent that public equity securities are held in separately managed accounts, UW System Trust Funds actively votes its shareholder proxies on “non-routine” items related to corporate governance and social issues including the environment, discrimination, and substantial social injury (as addressed in Regent Policies 31-5, 31-6, 31-7, 31-13, and 31-16). Voting recommendations for such proxies were provided to the Business, Finance, and Audit Committee for their approval earlier this year. The report given here provides information on the actual results of those specific voting efforts, as well as an overview of the year’s proxy season in its entirety.

REQUESTED ACTION

This item is for informational purposes only.

DISCUSSION

The 2012 proxy season saw the filing of 358 proposals related to social issues, compared with 348 in 2011. Through the end of June, 170 social issue proposals resulted in shareholder votes, 135 were withdrawn, 49 were allowed to be omitted by the Securities Exchange Commission (SEC), and 4 are still pending.

The categories of proposals that won strong shareholder support in 2012 included the following requests of companies: expand or report on their fair employment policies, disclose and monitor their political contributions, report on sustainability efforts, issue reports examining the impact of global warming on operations, and report on the environmental impact of hydraulic fracturing. Each of these categories received, on average, the support of 25 percent or more of votes cast. In addition, proponents have withdrawn 135 resolutions so far in 2012, up from the 120 withdrawn in 2011. Nearly all of the withdrawals in 2012 represent concessions made by the target companies and many proponents consider them to be a more important measure of success than high votes.

UW Trust Funds submitted voting instructions for 17 proposals (including “non-routine” corporate governance proposals), compared with 38 and 39 proposals for the past two years, respectively. Of the proxies submitted for voting by the Trust Funds, eight came to votes, six were withdrawn, and three were omitted. The full report, 2012 Proxy Voting Season Results, giving more detail on the actual voting results and the entire proxy season, is attached.
RELATED REGENER POLICIES

Regent Policy 31-5: Investments and the Environment
Regent Policy 31-6: Investment of Trust Funds
Regent Policy 31-7: Interpretation of Policy 31-6 Relating to Divestiture
Regent Policy 31-10: Procedures and Guidelines for Voting Proxies for Trust Funds.
Regent Policy 31-13: Investments and Social Responsibility
Regent Policy 31-16: Sudan Divestment
UNIVERSITY OF WISCONSIN SYSTEM TRUST FUNDS
2012 Proxy Voting Season Results

Introduction

This report summarizes the results of the shareholder proposals for the 2012 proxy season. UW System Trust Funds actively participates in voting on issues involving “non-routine” items related to corporate governance, and social issues including the environment, discrimination, or substantial social injury as addressed in Regent Policies 31-5, 31-6, 31-7, 31-13, and 31-16.

An attachment to this report gives the detailed listing of the specific UW Trust Funds votes for the 2012 season, as well as the overall results for each shareholder proposal. The proxy research and voting statistics included in this report were obtained from the Institutional Shareholder Services (ISS) U.S. Proxy Season Review publication. It is worth noting that Trust Funds can only vote proxies for shares directly owned and held within separate accounts. Currently, only 23 percent of the Long Term Fund’s equities are held in separate accounts.

Regarding the outcome for a given shareholder proposal, there are three possibilities: the resolution comes to a vote, is withdrawn, or is omitted. If the proposal comes to a vote the following guidelines apply: first-year proxy proposals must win at least three percent support to qualify for resubmission an additional year, second-year proposals must get at least six percent, and proposals in their third year or more must receive at least ten percent. Any proposal which fails these support levels may not be resubmitted at the company for another three years. It is important to note that shareholder proposals are phrased as a request and are intended to open a dialogue between shareholders and company management; that is, they are generally not binding on the company regardless of the level of support received. A withdrawn proposal generally indicates that an agreement was reached between the proponent and the company, usually in the form of a concession made by the company. For most shareholder activists, success in working out agreements that enable them to withdraw resolutions is a greater victory than a high vote of support. A proposal may be omitted by the Securities and Exchange Commission (SEC) at the request of the involved company under certain circumstances. The SEC’s shareholder proposal rule lists 13 substantive reasons why shareholder resolutions can be omitted, ranging from vagueness to irrelevance, and includes the often used “ordinary business” exclusion.

2012 Proxy Season Summary

The 2012 proxy season saw the filing of 358 proposals related to social issues, compared with 348 in 2011. Through the end of June, 170 social issue proposals resulted in shareholder votes, 135 were withdrawn, 49 were allowed to be omitted by the SEC, and 4 are still pending (a summary table is included below).
### Social Issues Proposals 2008-2012*

<table>
<thead>
<tr>
<th></th>
<th>2008</th>
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<th>2010</th>
<th>2011</th>
<th>2012**</th>
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<td>361</td>
<td>384</td>
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<td>60</td>
<td>44</td>
<td>50</td>
<td>53</td>
<td>49</td>
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<tr>
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<td>129</td>
<td>143</td>
<td>146</td>
<td>120</td>
<td>135</td>
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<td>Voted On</td>
<td>184</td>
<td>174</td>
<td>188</td>
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<td>170</td>
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*For shareholder meetings January 1 through June 30.
**Pending votes are not shown.

The following chart shows the overall number of proposals filed for the past three years along with the top six categories:

#### Total Social Resolutions Filed and Top Six Issues 2010-2012

<table>
<thead>
<tr>
<th></th>
<th>2012</th>
<th>2011</th>
<th>2010</th>
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<tr>
<td>Total Social Issue Resolutions</td>
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<td>Report on Political Contributions</td>
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<td>Environment: Pollutants/Other</td>
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<td></td>
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<tr>
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<td></td>
<td></td>
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<tr>
<td>Equal Opportunity Policy</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Animal Welfare</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Global Warming</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Proxy Resolutions Withdrawn

Proponents have withdrawn 135 resolutions so far in 2012, up from the 120 withdrawn in 2011. Nearly all of the withdrawals in 2012 represent concessions made by the target companies and many proponents consider them to be a more important measure of success than high votes.

Most notable among the withdrawal categories were proposals regarding equal employment opportunity and sustainability. As in recent years, the highest proportion of negotiated withdrawals involved requests for companies to add sexual orientation as a protected category in their equal
employment opportunity statement. Nineteen of the 31 equal employment opportunity proposals resulted in negotiated withdrawals. Similarly, 22 of the 35 proposals in the sustainability category resulted in successful withdrawal agreements.

All of the equal employment withdrawals involved changes in the language of the company’s equal employment policy. Unlike other withdrawal categories, those involving equal employment opportunity occur because target companies agree to the full request, whereas withdrawals in other categories often represent companies and proponents agreeing to meet part-way.

The majority of the sustainability withdrawals involved a promise by the company to produce a detailed sustainability report. Other notable withdrawals occurred in the global warming category, where just over half (9 of the 17) proposals were withdrawn. The majority of the global warming withdrawals occurred after the companies agreed to adopt principles on global warming or issue reports examining the impact of global warming on operations.

Proxy Resolutions Coming to Votes

Final or preliminary vote results are in for 170 of the 174 voted proposals through June. Support for shareholder resolutions on social issues averaged 18.9 percent, down slightly from the record high of 20.6 percent set in 2011, but still more than double the support levels from a decade ago. A chart is included below.

![Average Support Levels for Voted Social Issues 1999-2012](chart)

One primary reason for the higher level of shareholder support is that in recent years, resolutions have increasingly moved away from specific “call to action” issues, such as those targeting tobacco and animal rights, to requests asking for better disclosure on issues relating to business risk. In addition, mainstream investors seem more willing to vote in favor of certain hot-topic social issues that tie to a company’s bottom line, such as proposals on hydraulic fracturing.

The 2012 categories of proposals that won strong shareholder support included the following requests of companies: expand or report on their fair employment policies, disclose and monitor their political contributions, report on sustainability efforts; issue reports examining the impact of
global warming on operations, and report on the environmental impact of hydraulic fracturing. Each of these categories received, on average, the support of 25 percent or more of votes cast.

In contrast, categories of proposals that received low shareholder support for the 2012 proxy season included the following: that companies end animal testing or adopt humane testing standards; that tobacco companies stop marketing efforts that could affect children; that companies mitigate costs related to global warming policies (“anti-global warming” resolutions from global warming skeptics). Each of these categories averaged less than five percent support.

The following chart depicts a summary of the voting results for the past four proxy seasons by major social issue category.

<table>
<thead>
<tr>
<th></th>
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<tr>
<td>Political Contributions</td>
<td>118</td>
<td>21.2%</td>
<td>28.3%</td>
<td>26.0%</td>
<td>28.6%</td>
<td>21.2%</td>
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<td>Environment: Pollutants/Other</td>
<td>71</td>
<td>17.4%</td>
<td>21.9%</td>
<td>19.2%</td>
<td>14.2%</td>
<td>17.4%</td>
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<td>Sustainability Reporting</td>
<td>35</td>
<td>30.0%</td>
<td>30.7%</td>
<td>28.6%</td>
<td>17.8%</td>
<td>30.0%</td>
<td>30.7%</td>
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<td>Equal Employment Opportunity</td>
<td>31</td>
<td>32.3%</td>
<td>29.5%</td>
<td>33.6%</td>
<td>31.7%</td>
<td>32.3%</td>
<td>29.5%</td>
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<td>Animal Welfare</td>
<td>19</td>
<td>4.6%</td>
<td>4.8%</td>
<td>4.1%</td>
<td>4.9%</td>
<td>4.6%</td>
<td>4.8%</td>
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<td>Human Rights Issues</td>
<td>18</td>
<td>13.6%</td>
<td>15.9%</td>
<td>17.6%</td>
<td>12.5%</td>
<td>13.6%</td>
<td>15.9%</td>
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<tr>
<td>Environment: Global Warming</td>
<td>17</td>
<td>25.9%</td>
<td>17.0%</td>
<td>21.1%</td>
<td>23.5%</td>
<td>25.9%</td>
<td>17.0%</td>
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<td>Labor Issues</td>
<td>12</td>
<td>18.2%</td>
<td>17.8%</td>
<td>22.6%</td>
<td>22.6%</td>
<td>18.2%</td>
<td>17.8%</td>
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<tr>
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<td>6.3%</td>
<td>6.9%</td>
<td>6.4%</td>
<td>5.8%</td>
<td>6.3%</td>
<td>6.9%</td>
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<td>Board Diversity</td>
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<td>22.5%</td>
<td>18.5%</td>
<td>28.4%</td>
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<td>2.5%</td>
<td>2.4%</td>
<td>3.4%</td>
<td>2.8%</td>
<td>2.5%</td>
<td>2.4%</td>
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<td>Health Issues</td>
<td>4</td>
<td>5.3%</td>
<td>4.0%</td>
<td>9.7%</td>
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<td>0.0%</td>
<td>16.3%</td>
<td>19.9%</td>
<td>0.0%</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

* Includes only those resolutions which came to votes.

**Proxy Resolutions Omitted**

The SEC agreed companies could omit 49 resolutions this year, down from 53 in 2011. The omissions came after companies filed requests for SEC “no-action” letters. The no-action letters allow proposals to be omitted because they violate some portion of the SEC’s shareholder proposal rule (which includes various substantive or technical grounds). By far the most common of these SEC exclusions is “ordinary business,” in which the company claims that the resolution should be omitted as it addresses ordinary business. The SEC considers ordinary business matters too routine to be governed by shareholders.

One notable “ordinary business” exclusion came on a repeat resolution at Exxon Mobil, which asked the company to “report on the environmental risks from the firm’s Canadian oil sands.
operations.” The company successfully argued that the proposal raised ordinary business questions because it related to product development and a choice of technologies.

This year also featured some important company challenges to the SEC based on the proposed issue being moot (another of the SEC exclusion rules), in which the company claims that they are already implementing what the resolution requests. One notable “mootness” ruling came on a resolution at McDonald’s, which asked the company to respond to public concerns about the linkage between fast food and childhood obesity. While McDonald’s argued they were already takings steps on the issue, the SEC ruled against the firm and the resolution came to a vote (receiving nine percent support). The SEC did allow high profile omissions for JP Morgan Chase and Goldman Sachs on resolutions asking the companies to report on risks associated with high levels of executive compensation. In these cases, the SEC ruled the firms’ public disclosures already satisfied the guidelines of the proposals.

**Proxy Resolutions By Issue**

A brief discussion of the major social issue proposals, by issue category, for the 2012 season is provided below.

**Political Contributions**

Resolutions relating to political contributions became the largest social issues category for the first time ever in 2012. The category has seen an explosion in proposals over the past two years (118 this year versus 56 in 2010), bolstered in 2012 by a new campaign asking companies to disclose corporate lobbying expenditures in addition to political contributions. Of the total political contribution resolutions, 72 were voted, 37 were withdrawn, and nine were omitted. The 72 political contributions resolutions which came to votes averaged 21 percent support, down from 28 percent last year.

**The Environment and Global Warming**

Investors this year filed 88 environment-related proposals, down slightly from the 91 filed last year. The diverse proposals ranged from global warming, to hydraulic fracturing, to forestry concerns.

Global warming was again the most prominent single concern among environmental issues, though there was a considerable drop in the number of proposals. Only 17 specific global warming resolutions were filed in 2012, down from 41 just two years ago. The decrease appears to be coming from an evolution of approaches to the topic, which shareholders are now addressing through an increasingly diverse set of proposals which go beyond global warming and into broader environmental and sustainability concerns. In fact, most of the resolutions requesting sustainability reports (a separate category covered later in the report) now include greenhouse gas emissions goals and other global warming language in the proposals. Of the total global warming resolutions, seven were voted, six were withdrawn, and four were omitted. The global warming proposals which came to votes averaged 26 percent support in 2012, up from 17 percent in 2011.
Another high-profile environmental campaign involves hydraulic fracturing, in which a mix of water, sand, and chemicals are blasted into layers of shale to extract natural gas. Ten companies were asked for a report on the environmental impact of hydraulic fracturing and potential policies to reduce hazards from the process. Seven of the resolutions achieved withdrawal agreements and the remaining seven came to votes, averaging 28 percent support.

*Sustainability*

Sustainability is generally defined as “meeting the needs of the present without compromising the ability of future generations to meet their needs.” Advocates of sustainability reporting contend that companies which focus on and manage sustainability will improve their long-term shareholder value. Many sustainability resolutions now mention global warming as an element to be directly addressed in the company’s sustainability reports or plans.

The number of sustainability resolutions was up in 2012, with 35 proposals as compared to 25 in 2011. The issue has received strong shareholder support since it first appeared in 2002. The average support for the voted sustainability proposals was 31 percent this year, approximately the same percentage as 2011. In addition, the sustainability category continued to produce a high percentage of withdrawals, with 22 of the total 35 resolutions reaching withdrawal agreements. The withdrawals generally involved the target company’s agreement to write a detailed sustainability report.

*Equal Employment Opportunity*

The equal employment opportunity category was once again dominated by proposals asking companies to put in place workplace policies ensuring there is no discrimination on the grounds of sexual orientation or gender identity. Twenty-eight proposals were filed on equal employment opportunity, down one from the 29 filed in 2011. In some cases, the proposals were directed at companies that already mentioned sexual orientation in their equal employment opportunity statements but had not added gender identity language.

The equal employment category is notable for the high percentage of withdrawal agreements achieved, with 23 of the 31 resolutions being withdrawn. The seven equal employment resolutions which came to votes averaged 32 percent support, up from 29 percent last year.

*Animal Welfare*

The animal welfare category included 19 proposals in 2012, the same number as last year. A typical resolution asks firms to review or report on animal treatment or welfare practices, including slaughter methods, with the ultimate objective being to ensure more humane treatment of animals. Of the total resolutions, 12 came to votes, three were withdrawn, and four were omitted. The resolutions which came to votes averaged five percent support, roughly the same as last year.
Human Rights

The multi-year trend of decreasing numbers of resolutions on human rights continued for 2012. Shareholder resolutions for the category fell to 18, down from 28 and 32 the past two years, respectively. The category included a variety of topics, but the largest group asked companies to review their human rights policies and recommend areas where they could be strengthened. Two notable human rights resolutions were at GEO Group and Corrections Corporation of America, which focused on recent incidents at the companies privately run prisons. The resolutions asked the firms to review their human rights policies and received 29 and 19 percent support, respectively. Of the total resolutions on human rights, 12 came to votes, three were withdrawn, and three were omitted. The resolutions which came to votes averaged 14 percent support, down slightly from 16 percent in 2011.

Labor Issues

Twelve resolutions on labor issues were filed this year, up from eight in 2011. The labor issues category included a variety of topics. Notable was the continuance of last year’s campaign asking oil companies to report on steps taken to reduce accidents. The proposal came to votes at Chevron, ConocoPhilips, and Valero, averaging 20 percent support. Also notable, the issue of plant closings returned as a shareholder resolution for the first time in more than a decade. A proposal at Dominion Resources asked the company to report “on policies and best practices for minimizing impacts to communities affected by facility closings, including job loss and future financial support.” The proposal received 16 percent support. Of the total labor issues resolutions, three were voted, four were withdrawn, and five were omitted. The resolutions which came to votes received 18 percent average support.

Executive Pay

The number of resolutions on linking executive pay to social performance measures continued its multi-year drop, falling from 12 proposals in 2011 to 9 this year. Of the total executive pay resolutions, five were voted and four were withdrawn. The resolutions which came to votes received six percent average support, the same level of support as the past three years.

Board Diversity

The board diversity category had eight resolutions in 2012, up from six last year. The typical resolution asks companies to “take every reasonable step to ensure that women and minority candidates are in the pool from which board nominees are chosen.” Of the total resolutions, six were withdrawn after negotiated agreements. The remaining two resolutions came to votes and received an average of 28 percent support.

2012 UW Trust Funds Proxy Results Summary

UW Trust Funds submitted voting instructions for 17 proposals (including “non-routine” corporate governance proposals), compared with 38 and 39 proposals for the past two years, respectively. Of the proxies submitted for voting by Trust Funds, eight came to votes, six were withdrawn, and three were omitted.
The primary submissions for the UW Trust Funds on social issues involved the environment and global warming (seven). For corporate governance issues, the UW’s only submissions involved political contributions (seven).

The highest support vote on an individual social issue came at Ultra Petroleum. The resolution, asking the company to report on the environmental impact of hydraulic fracturing, received 35.4 percent support.

The *UW Trust Funds 2012 Proxy Season Voting List*, providing details on the individual voting results, is attached.

_____________________________

REFERENCES

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<tr>
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<th>Proposal</th>
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<td>Report on political contributions and policy</td>
<td>31-13</td>
<td>21</td>
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<td>ALLERGAN</td>
<td>6/7</td>
<td>Report on political contributions and policy</td>
<td>31-13</td>
<td>21</td>
<td>Omitted</td>
</tr>
<tr>
<td>AMAZON</td>
<td>4/29</td>
<td>Report on climate change impact</td>
<td>31-5</td>
<td>10</td>
<td>21.2%</td>
</tr>
<tr>
<td>APPLE INC</td>
<td>6/7</td>
<td>Report on political contributions and policy</td>
<td>31-13</td>
<td>21</td>
<td>Omitted</td>
</tr>
<tr>
<td>BOEING CO</td>
<td>5/2</td>
<td>Report on political contributions and policy</td>
<td>31-13</td>
<td>21</td>
<td>29.4%</td>
</tr>
<tr>
<td>COLGATE-PALMOLIVE</td>
<td>5/3</td>
<td>Report on package recycling²</td>
<td>31-5</td>
<td>5</td>
<td>Withdrawed</td>
</tr>
<tr>
<td>EOG RESOURCES INC</td>
<td>5/3</td>
<td>Report on environmental impact of fracturing</td>
<td>31-5</td>
<td>26</td>
<td>Withdrawed</td>
</tr>
<tr>
<td>GENERAL DYNAMICS CORP</td>
<td>5/1</td>
<td>Review human rights policy</td>
<td>31-13</td>
<td>7</td>
<td>21.4%</td>
</tr>
<tr>
<td>JP MORGAN CHASE</td>
<td>5/1</td>
<td>Report on political contributions</td>
<td>31-13</td>
<td>21</td>
<td>Withdrawed</td>
</tr>
<tr>
<td>KRAFT FOODS</td>
<td>5/1</td>
<td>Report on package recycling²</td>
<td>31-5</td>
<td>5</td>
<td>25.6%</td>
</tr>
<tr>
<td>KRAFT FOODS</td>
<td>5/1</td>
<td>Report on business impact of deforestation³</td>
<td>31-5</td>
<td>26</td>
<td>8.3%</td>
</tr>
<tr>
<td>KRAFT FOODS</td>
<td>5/1</td>
<td>Report on lobbying payments and policy</td>
<td>31-13</td>
<td>21</td>
<td>8.0%</td>
</tr>
<tr>
<td>MERCK &amp; CO</td>
<td>5/1</td>
<td>Report on animal testing</td>
<td>31-13</td>
<td>20</td>
<td>Omitted</td>
</tr>
<tr>
<td>NEXTERA ENERGY</td>
<td>5/1</td>
<td>Review nuclear plant safety policies</td>
<td>31-5/31-13</td>
<td>26</td>
<td>Withdrawed</td>
</tr>
<tr>
<td>PHILIP MORRIS</td>
<td>6/1</td>
<td>Form an ethics committee on marketing to children</td>
<td>31-13</td>
<td>26</td>
<td>3.5%</td>
</tr>
<tr>
<td>ULTRA PETROLEUM CORP</td>
<td>5/2</td>
<td>Report on environmental impact of fracturing</td>
<td>31-5</td>
<td>26</td>
<td>35.4%</td>
</tr>
<tr>
<td>UNITED HEALTH GROUP</td>
<td>5/1</td>
<td>Report on lobbying payments and policy</td>
<td>31-13</td>
<td>21</td>
<td>Withdrawed</td>
</tr>
</tbody>
</table>

¹ UW Trust Funds voted in the affirmative on proposals.
² The resolution asks the company to issue a report "assessing the feasibility of adopting a policy of Extended Producer Responsibility for post-consumer product packaging as a means of reducing carbon emissions and air/water pollution resulting from the company's business practices."
³ The resolution asks the company to issue a report describing how it is "assessing the company's supply chain impact on deforestation and the company's plans to mitigate these risks." The resolution notes that as one of the largest consumer products companies, it uses a variety of products whose demand is fueling deforestation.
BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

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

Let it be herewith further resolved, that the President and Board of Regents of the University of Wisconsin System, the Chancellors of the benefiting University of Wisconsin institutions, and the Deans and Chairs of the benefiting Colleges and Departments, express their sincere thanks and appreciation to the donors and their families for their generosity and their devotion to the values and ideals represented by the University of Wisconsin System. These gifts will be used to sustain and further the quality and scholarship of the University and its students.
UW SYSTEM TRUST FUNDS
ACCEPTANCE OF NEW BEQUESTS OVER $50,000

EXECUTIVE SUMMARY

BACKGROUND

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

REQUESTED ACTION

Approval of Resolution 1.2.d.2. accepting and recognizing new bequests of $50,000 or more.

DISCUSSION

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

RELATED REGENT POLICIES

Resolution 8559, June 7, 2002 - Process for Presenting and Reporting Bequests
1. **Ellen L. Lensing Estate**

Various annuities held by Ms. Lensing named the University of Wisconsin-Madison, School of Education as a beneficiary, and the First Amendment to the Charitable Remainder Unitrust states the following:

“The Donor hereby amends her said Charitable Remainder Unitrust by naming the following Charitable Organizations in shares of equal value: …, b) UNIVERSITY OF WISCONSIN – MADISON, SCHOOL OF EDUCATION, 1000 Bascom Mall, Madison, Wisconsin….”

From niece and trustee, Kathy Nusslock, we were able to obtain some background information about Ellen Lensing. She was born in Two Rivers, WI in 1919, and died in 2011 at the age of 92. Ellen earned her Bachelor’s degree in Education from the Whitewater State Teachers College, and her Master’s and Doctorate in Business Education from UW-Madison in 1950 and 1961, respectively. Ellen then taught business education at a variety of schools in Wisconsin. Towards the latter part of a long career, she was an Associate Professor at Georgia Southern University and a full professor at Bloomsburg University in Pennsylvania. Kathy also noted that her aunt was an avid traveler and hiker, and that she spent many of her retirement years hiking the Blue Ridge Mountains near her home in Brevard, NC. In fact, she normally hiked three or more miles a day up until she was 87 years old.

Approximately $239,000 has been received from the Ellen L. Lensing estate. This bequest has been used to establish the “Ellen L. Lensing School of Education Fund,” a quasi-endowment which will be administered by the Dean’s Office in the School of Education.

2. **Allan and Tennyse McKay Trust**

The Allan and Tennyse McKay Trust document states the following under Article II, B., 2):

“50% to UNIVERSITY OF WISCONSIN, to be used in equal amounts for the School of Engineering and General Fund.”

We have learned that Allan L. McKay was born in Brainerd, Minnesota in 1915 and died at the age of 85 in 2000. He received his B.S. in Mechanical Engineering and Business Administration in 1937 from the University of Minnesota. And while he did not attend UW-Madison, Allan spent most of his career in Wisconsin, primarily at Giddings and Lewis Machine Tool Company in Fond du Lac, where he served as president and CEO. Allan also served as past president or director of a variety of organizations, including the National Tool Builders Association and the Wisconsin Manufacturers and Commerce Association.

Approximately $80,000 has been received from the Allan and Tennyse McKay Trust. The funds have been deposited to an existing account, the “Engineering Discretionary Fund,” a multi-donor quasi-endowment fund available to support the teaching and research programs (including scholarships) for the departments of electrical engineering, mechanical engineering, engineering mechanics, and industrial engineering.
3. **Betty Jane Perego Estate**

Ms. Perego’s Will states the following under Article III, B.:

“I give, devise and bequeath Ten (10%) percent of my residual estate to the University of Wisconsin-Madison Arboretum, Madison Wisconsin, to be used in a general and unrestricted fashion.”

Regarding the donor’s background, the following was taken from an on-line obituary: “A long time Madison resident, Betty Jane Perego, age 90, died peacefully on Sunday, November 27, 2011 at Agrace HospiceCare surrounded by friends. She was born December 23, 1920 the daughter of Crawford and Ruth (Elky) Perego in Milwaukee. Betty attended Milwaukee public schools, and received a teaching degree from Milwaukee State Teachers College. She received her graduate degree in counseling from the University of Wisconsin, Madison. Betty enjoyed her work as a counselor at West High school until her retirement. She loved to travel, and had vacationed and explored 49 states. Some of her most cherished memories include spending her summers with her friends at a log cabin on the Peshtigo River, where she enjoyed nature, biking, hiking and canoeing. She was an accomplished wood worker and built beautiful furniture. Betty was a very generous person throughout her life, and gave unselfishly to many non-profit organizations. She is survived by her friend Emily Smith, with whom she shared a special friendship that began 70 years ago on Pearl Harbor Day.”

Approximately $176,000 has been received from the Betty Jane Perego Estate. This bequest has been deposited to an existing account, the “Arboretum Fund,” a multi-donor quasi-endowment fund available for the benefit of the UW Arboretum.

4. **Ruth I. Walker Trust Under Will**

The Will of Ruth I. Walker states the following under section FOURTH, B., 1.:

“...then and in such event I do direct my trustees to pay the remainder of said trust fund, together with any interest, dividends, increments or accretions thereto, to the FINANCIAL AID COMMITTEE of the University of Wisconsin at Milwaukee, to be added to or create a Scholarship Fund for needy and deserving students at the University of Wisconsin at Milwaukee, as qualified, selected and chosen by said Financial Aid Committee.”

UW-Milwaukee’s Biological Sciences Department website provides this background information on Ruth: “A native of Michigan, Ruth Walker earned her Doctor of Philosophy degree at the University of Wisconsin-Madison in 1926. She came to Milwaukee in 1931 as an instructor in botany at the former University of Wisconsin Extension Center, also serving as chair of the Department of Botany. After the merger of the Milwaukee Extension and Wisconsin State College, which created UWM in 1956, Dr. Walker served as chair of the Botany Department until 1960. Throughout her career, Dr. Walker was devoted to teaching, research, and service to the University. She was internationally recognized for her research in cytology and embryo development. Upon her death in 1962, friends and colleagues established the Ruth I. Walker Memorial Scholarship Fund. In 1990, the Walker Fund was significantly enhanced by a gift from the estate of her sister, Jessie M. Walker.”
This generous bequest is expected to approximate $400,000. The gift will be used to establish as a designated endowment, a new Ruth I. Walker scholarship fund for UW-Milwaukee, to provide student support into perpetuity.

5. George A. Hansen Estate

The Will of George A. Hansen states the following under FOURTH, 8., regarding distribution of the estate residue:

“Twelve and one half (12½%) percent to University of Wisconsin ‘College of Agriculture and Life Sciences’”

According to an obituary, George, a resident of Coleman, Wisconsin, was born July 7, 1933 and died March 26, 2011. It also notes the following: “George graduated from Coleman High School in 1951 and was known as the ‘Senator.’ He also graduated from UW-Madison in 1955 where he was known as ‘Cougar Hansen.’ George worked at Colemen Canning, Hansen Canning in Gladstone, a cranberry canning plant in Eagle River, and retired from Coleman Products in 1986.”

Approximately $169,000 has been received from the George A. Hansen estate. The Chancellor of UW-Madison and the Dean of the College of Agricultural and Life Sciences are being consulted as to the disposition of this bequest.

6. Ursula Meyer Estate

The Will of Ursula Meyer states the following under FIFTH: E. 2.:

“Ten percent (10%) of the residue to the UNIVERSITY OF WISCONSIN, MADISON CAMPUS, to be used for the establishment of two perpetual scholarship funds, one which is to be permanently known as the DR. MARGARET E. MONROE SCHOLARSHIP FUND, and the other as the MRS. HELEN HUEGUENOR LYMAN SCHOLARSHIP FUND. The said 10% may be allocated between the two funds in such proportion as the UNIVERSITY OF WISCONSIN, MADISON CAMPUS, shall decide, and when so allocated shall constitute the principal of each fund….

The funds shall be administered in accordance with the following terms:

(a) The income accruing to the DR. MARGARET E. MONROE SCHOLARSHIP FUND shall be awarded annually to one or more qualified candidates endeavoring to work in public libraries, said scholarship being for the purpose of supporting the recipient’s attendance at the SCHOOL OF LIBRARIANSHIP on the MADISON CAMPUS of the UNIVERSITY OF WISCONSIN for study leading toward a degree.

(b) The income accruing to the MRS. HELEN HUEGUENOR LYMAN SCHOLARSHIP FUND shall be awarded annually to one or more qualified candidates interested in working in public libraries, said scholarship being for the purpose of supporting the recipient’s attendance at the SCHOOL OF LIBRARIANSHIP on the MADISON CAMPUS of the UNIVERSITY OF WISCONSIN leading toward the degree of Master of Library Science.
The Decedent’s primary intent in funding this scholarship is to help in enabling the public library system, through the establishment and/or coordination of training programs, to be in the forefront in combating the high functional-illiteracy rate….”

Regarding the donor’s background, the following was taken from an on-line obituary: “Ursula Meyer was born in the Free City of Danzig on November 6, 1927. Her parents were Hermann and Gertrud Rosenfeld Meyer who left Germany in 1938 to escape the Holocaust. After living in England and Brazil, the family settled in Beverly Hills, California. Ursula attended the University of California at Los Angeles and the University of Southern California where she earned a Masters Degree in Library Science. Librarianship became her life’s work and her passion. Her career began in Olympia, Washington and took her to New York and back to California where she served as County Librarian in Butte County, Coordinator of the Mountain Valley Cooperative Library System in Sacramento, and as the Director of Library Services in the Stockton-San Joaquin County Library System from 1974 to 1994. She was a life member of the American Library Association and served on the ALA Council from 1974-1979. During the years she worked in California libraries, she was an active member of the California Library Association, serving as President in 1978.

Ursula was one of the first women admitted to the Rotary Club of Stockton where she was active up until her health would no longer permit. She was also a member of AAUW, League of Women Voters, Soroptimists International, NOW, Sierra Club, Common Cause, People for the American Way, the Harry S Truman Club and the Concerned Citizens Coalition of Stockton. ‘Meyer’s many achievements at the helm of the Stockton-San Joaquin County Public Library for the past 20 years are considered legendary’, to quote a Record editorial (October 22, 1993): ‘Meyer met challenges none of her predecessors ever did – tremendous population growth and demands for services and horrendous budget cuts. She convinced politicians to do right by the library…. Under Meyer’s leadership (the library has become) a place to gain access to …knowledge… Meyer’s greatest legacy may be the men and women who now can read thanks to the Library Literacy program.’”

Approximately $202,000 has been received from the Ursula Meyer estate. The Chancellor of UW-Madison and the Director of the School of Library & Information Studies are being consulted as to the disposition of this bequest.

7. The Bernard Osher Foundation

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

“Use of Gift. The entire Gift shall be used to establish the Osher Reentry Scholarship Endowment (“Endowment”) which is intended to support scholarships at University of Wisconsin Milwaukee in accordance with the provisions of the endowment approval letter of June 29, 2012. Scholarships should be awarded to students who have experienced a cumulative gap in their education of at least five years and anticipate participation in the workforce for a significant period of time subsequent to graduation. Scholarship awards must be applied to student tuition fees exclusively.”

This $1 million gift has been used to establish the “Osher Reentry Scholarship Endowment” for the benefit of UW-Milwaukee.
UW SYSTEM TRUST FUNDS
REVIEW OF REGENT POLICY DOCUMENTS

EXECUTIVE SUMMARY

BACKGROUND

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

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

Section 31 of the current RPDs includes various policies regarding the management and administration of UW System Trust Funds:

- RPD 31-1: Investment of Cash Reserves
- RPD 31-2: Management and Administration of Trust Funds
- RPD 31-3: Transfer of Securities
- RPD 31-4: Trust Fund Disbursement Certification
- RPD 31-5: Investments and the Environment
- RPD 31-6: Investment of Trust Funds
- RPD 31-7: Interpretation of Policy 31-6 Relating to Divestiture
- RPD 31-8: Small Fraction Spending Plan (Endowment Reinvestment)
- RPD 31-9: Investment Policy Statement
- RPD 31-10: Procedures and Guidelines for Voting Proxies for Trust Funds
- RPD 31-11: University of Wisconsin System Custodial Services
- RPD 31-12: Changes in Investment Custodial Services
- RPD 31-13: Investment and Social Responsibility
- RPD 31-14: Trust Fund Asset Allocation Policy
- RPD 31-15: Policy on Quasi-Endowments University of Wisconsin System Trust Funds
- RPD 31-16: Sudan Divestment

These Trust Fund RPDs fall into two broad categories: 1) corporate governance and social responsibility-related; and 2) overall management and investment-related. This executive summary considers the corporate governance and social responsibility-related RPDs (31-5, 6, 7, 10, 13 and 16). It
is anticipated that the overall management and investment-related RPDs (31-1, 2, 3, 4, 8, 9, 11, 12, 14 and 15) will be taken up at the December 2012 Board meeting.

REQUESTED ACTIONS

- Adoption of Resolution I.2.d.3.i., which modifies and retitles RPD 31-13, rescinds RPDs 31-5, 31-6, and 31-7, and incorporates the subject matter from the three rescinded documents into a consolidated and retitled policy regarding social responsibility and investment considerations.

- Adoption of Resolution I.2.d.3.ii., which modifies RPD 31-16, “Sudan Investment.”

- Adoption of Resolution I.2.d.3.iii, which modifies and retitles RPD 31-10, “Procedures and Guidelines for Voting Proxies for Trust Funds.”

DISCUSSION

1. Policies Relating to Investment and Social Responsibility

   The UW System Board of Regents has several policies related to investment and social responsibility. These policies were mostly approved during the 1970s, with the exception of RPD 31-13, “Investment and Social Responsibility,” which was first approved in 1997. It is the recommendation of the Office of Trust Funds that as part of the Regent Policy Document review process, these policies be consolidated into a singular RPD entitled “Social Responsibility Investment Considerations.” Resolution I.2.d.3.i., would consolidate the substantive policy statements from RPDs 31-5, 31-6, and 31-7 into RPD 31-13. Such consolidation will promote efficiency and provide interested parties with one place to look when reviewing the Board’s general investment considerations pertaining to social responsibility. The following summarizes the history of RPD 31-5, 6, 7, and 13, and the proposed changes:

RPD 31-5: Investments and the Environment

   RPD 31-5 was adopted in March 1974, in response to a specific issue the Regents had regarding Middle South Utilities (MSU), a subsidiary of a company in which the UW System had invested. The issue with MSU involved the construction of a power plant that some stakeholders felt did not provide ecological protection to local farmers and residents. While the policy was approved in response to a specific situation, the principles of the policy remain relevant today.

   It is recommended that the basic language of RPD 31-5 be incorporated into RPD 31-13, which addresses social responsibility investment considerations, with only minor modifications:

- In the second line of the first paragraph of RPD 31-5, delete “and pollution control,” as the term “environmental protection” adequately encompasses “pollution control.”
Delete the last sentence of the first paragraph, “The System Trust Officer, on behalf of the Committee, shall inform companies in which the System has or subsequently makes investments of this expectation,” as this is not practiced and is not practical.

RPD 31-6: Investment of Trust Funds

RPD 31-6 was adopted in February 1978 and is based on language in Wis. Stats. §36.29(1), which responded to the Apartheid era in South Africa and concerns about the companies conducting business in South Africa. The principles espoused in this statutory provision and RPD remain relevant today.

It is recommended that the language of RPD 31-6 be incorporated into RPD 31-13, which addresses social responsibility investment considerations, without any modification.

RPD 31-7: Interpretation of Policy 31-6 Relating to Divestiture

This policy was first adopted in March 1978, and amended in March 1994. Board of Regent meeting minutes indicate that the Regents debated the overall interpretation of RPD 31-6 and how it would actually be implemented, especially with regard to the language, “divested in as prudent but rapid a manner as possible.” As with RPD 31-6, the principles espoused in this RPD – to oppose discrimination by the companies UW System invests in – remain relevant today.

It is recommended that the basic language of RPD 31-7 be incorporated into RPD 31-13, which addresses social responsibility investment considerations, with only one change, to delete in its entirety item 2 of RPD 31-7, as it is overly prescriptive:

“2. Divestiture shall be accomplished in a prudent manner, in accordance with the following criteria:

a. The availability of alternative investments of equal or better potential long-term investment return.

b. Current valuation in relation to historical relationships and alternative investments including, in the case of equities, the following factors:

   i. current yield, price earnings ratio, price to book value ratio, earnings and dividend growth rates, both absolutely and in relation to the market as a whole
   ii. present fundamental status of the company in terms of current and future earnings and dividend outlook
   iii. current level and trend of stock market—outlook for the next 3, 6 or 12 months
   iv. "technical" status and current price trend of stock (absolute and relative to market)
v. unrealized gain or loss on the stock”

In addition to being overly prescriptive, this language implies that divestment would occur only if alternative investments with equivalent or greater return potential are available. The general language found in RPD 31-6 – “shall be divested in as prudent but rapid a manner as possible” – is believed to provide sufficient yet flexible direction to UW System Trust Officers.

**RPD 31-13: Investment and Social Responsibility**

This policy was first created via Resolution 7406, adopted March 7, 1997, and later amended by Resolutions 9505 and 9909, adopted June 6, 2008 and April 8, 2011, respectively. Research indicates that Resolution 7406 was adopted to enhance the Board’s understanding of corporate responsibility issues with companies the UW System had investments in, both through increased information from UW System Administration to the Board and via a public forum where students, faculty, and other interested parties could air with the Regents particular concerns they might have. The Board’s last amendment in 2011 required that the forum occur only upon request by interested parties, as opposed to prior iterations of the policy which made the forum a mandatory occurrence.

It is recommended that the language of RPD 31-13 essentially be retained and used as the basis for a singular new RPD, entitled “Social Responsibility Investment Considerations,” with only minor modifications:

- In item 2, following the word “corporate” in the second line, add the words “or other security issuers”, to indicate that corporations may not be the only potentially offending parties here (e.g., nations, who issue sovereign debt).

- In point 3, add the following as the final sentence: “As further provided under RPD 31-10, the Committee will also determine its voting position for such shareholder resolutions.”

- In the footnote defining “substantial social injury,” following the word “corporate” in the first line, add the words “or other security issuers.” In the third line after the word “company,” add the words “government, or other entity.” And in the sixth line after the word “companies,” add the words “governments, or other entities.”

A revised version of RPD 31-13 incorporating all of these changes is attached.

2. **RPD 31-16: Sudan Investment**

RPD 31-16 also involves a social responsibility-related issue. However, the policy is detailed and lengthy, and pertains to a very specific issue that may change or disappear over time. Accordingly, it is recommended that this RPD be retained as a stand-alone policy. This will allow for the policy to be easily revised or eliminated over time as the situation in Sudan/Darfur evolves. Resolution I.2.d.3.ii. incorporates
language to include ongoing monitoring by UW System Administration, as well as reformatting the policy.

This policy was adopted in August 2006. The purpose of the policy was for the Board of Regents to join with other institutional investors in restricting and discouraging investment in businesses that support the Sudanese government, which the U.S. Congress declared as having sponsored or abetted genocide and ethnic cleansing in the Darfur region. The policy followed similar resolutions adopted by the University of California system and the State of California, which had consulted closely with the Sudan Divestment Task Force. While there have been diplomatic efforts at ending the Darfur conflict since the date of the Regents’ initial policy, problems continue. The current policy remains valid as the U.S. State Department lists Sudan as a state sponsor of terrorism, the U.S. government still has in place several sanctions against Sudan, and the activities of foreign-domiciled corporations are not subject to U.S. law. Therefore, the conditions which would trigger the expiration of this policy have not been met.

There have been other significant developments in Sudan since this policy was adopted in 2006. Perhaps most significantly, a referendum in early 2011 resulted in the creation of the independent state of South Sudan (with Juba as its capital). This referendum had been called for under the Comprehensive Peace Agreement signed in 2005, which ostensibly ended the decades-long Sudanese civil war. However, significant fighting continues between Sudan and South Sudan, as does non-compliance with other critical provisions of both the Peace Agreement and a subsequent U.N. resolution (2046). Furthermore, it appears that the Sudanese government continues to perpetrate a humanitarian crisis in the southern regions of South Kordofan and Blue Nile (which remain part of its territory) by, among other things, the denial of access by international humanitarian aid and the indiscriminate aerial bombardment of civilians.

It is recommended that the language of RPD 31-16 be modified as follows:

- In revising the RPD to reflect the new standard format, the typical explanatory resolution language should be removed. Therefore, the first four paragraphs beginning with the word “Whereas” are deleted, as is the “Whereas” at the beginning of the fifth paragraph. Also, the “Be it resolved” language that follows, is replaced with “The Board’s policy related to Sudan divestment is as follows:”

- The following provision is added at the end: “The Board directs University of Wisconsin System Administration staff to annually review the situation in Sudan and the status of U.S. sanctions, and report to the Board if and when there have been changes that would suggest this policy be rescinded.” This provision will better ensure the on-going monitoring of the very specific situation to which this policy applies.

A revised version of RPD 31-16 incorporating these changes is attached.
RPD 31-10: Corporate Governance

RPD 31-10 addresses both corporate governance and social responsibility-related issues. While it is recommended that this RPD be retained as a stand-alone policy, some revisions are recommended to streamline and update this detailed and lengthy policy. Resolution I.2.d.3.iii. adopts these revisions.

This policy was adopted in April 1992, and provides direction for the voting of shareholder proxies related to both “routine” (i.e., normal corporate governance issues) and “non-routine” issues. Currently, RPD 31-10 simply notes the Board’s adoption of procedures and guidelines for voting proxies, and provides a link to a separate document which discusses these in detail. By merely citing a separate document, the current RPD 31-10 does not contain substantive policy in and of itself.

It is recommended that RPD 31-10 be revised to actually state the Board’s policy on voting proxies, rather than referencing a separate document. Also, the revised policy is stated more succinctly than the actual “Procedures and Guidelines for Voting Proxies” document, as detailed procedural elements are unnecessary for the policy itself. It is also recommended that the name of the policy be changed to “Proxy Voting.” A revised version of RPD 31-10, incorporating these changes, is attached.
BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.d.3.i.

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 31-13, "Social Responsibility Investment Considerations" and rescinds Regent Policy Documents 31-5, 31-6, and 31-7. This action: (1) retains much of the existing version of Regent Policy Document 31-13, "Investment and Social Responsibility", but retitles the RPD; (2) rescinds Regent Policy Documents 31-5, "Investments and the Environment"; 31-6, "Investment of Trust Funds"; and 31-7, "Interpretation of Policy 31-6 Relating to Divestiture"; and (3) incorporates most of the subject matter from the three rescinded policies into the retitled RPD 31-13.
SECTION 31: TRUST AND INVESTMENT POLICIES

31-13 INVESTMENT AND SOCIAL RESPONSIBILITY SOCIAL RESPONSIBILITY INVESTMENT CONSIDERATIONS

(Formerly 97-1)

Scope
This policy on Social Responsibility Investment Considerations applies to the Board of Regents invested assets of the University of Wisconsin System's Trust Funds, and to individuals interested in providing input regarding the corporate policies or practices of the companies and other entities in which the University of Wisconsin System trust funds are invested.

Purpose
The purpose of this policy statement is to communicate how the Board of Regents' policies and practices for considering the various aspects of the social responsibility of the companies, governments, or other entities in which it invests University of Wisconsin System Trust Funds, will enhance its awareness of social concerns and corporate policies and practices, and how individuals can communicate related concerns to the Board.

Policy Statement
The Board of Regents of the University of Wisconsin System, in discharging its fiduciary responsibilities for the University Trust Funds, will take into account concerns about corporate and other security issuers' social responsibility as outlined below.

1. The primary fiduciary responsibility of the Board of Regents is to maximize financial return on invested assets, taking into account an appropriate degree of risk.
2. However, the Board acknowledges the importance of maintaining an awareness of public concerns about corporate policies or other security issuers' policies or practices that are discriminatory (as defined by Wis. Stats. § 36.29(1)) or cause substantial social injury.
3. To enhance the Board's awareness of social concerns the Board Regents, through the Business, Finance, and Audit Committee, directs the University of Wisconsin System Administration to conduct a proxy review to highlight proxy resolutions related to discrimination and substantial social injury. As further provided under RPD 31-13, the Committee will also determine its voting position for such shareholder resolutions.
4. The Regents also wish to solicit input from students, faculty, alumni and citizens on matters related to social concerns. To obtain this input, the Business, Finance, and Audit Committee of the Board of Regents may schedule a public forum at the request of parties interested in presenting such concerns to the Board of Regents. The purpose of this forum is to offer the broadest opportunity for System constituencies to present such information to the Board of Regents.
5. Cognizant of the University of Wisconsin System, state, and federal commitments to environmental protection and pollution control standards, the Board of Regents Business, Finance, and Audit Committee, in discharging its responsibility for managing the University of Wisconsin System Trust Funds investments, does so with the expectation that the companies and other entities in which it invests will evidence a similar
commitment in their respective activities. The System Trust Officer, on behalf of the Committee, shall inform companies in which the System has or subsequently makes investments of this expectation. In the event that any persons or group of persons, after careful investigation and evaluation of facts in evidence, concludes that a company in which the University of Wisconsin System's Trust Funds have investments appears not to be performing in accord with the Committee's expectations and the appropriate governmental standards in this area, the Committee will afford those persons an opportunity to detail their evidence and concerns to the Committee. The Committee may afford the company or other entity involved an opportunity to respond to the concerns expressed, before deciding what course of action is appropriate.

6. In accordance with Wis. Stats. § 36.29(1), all investments "...made in any company, corporation, subsidiary, or affiliate that practices or condones through its actions discrimination on the basis of race, religion, color, creed or sex,..." shall be divested in as prudent but rapid a manner as possible. The Board of Regents, to facilitate the implementation of Regent Resolution 1590 (Policy 32-6), application of this statute, interprets that resolution the language above as follows:

1. the words "that practices or condones through its actions" shall be interpreted to mean "employing persons in nations which by their laws discriminate on the basis of race, religion, color, creed or sex."

2. Divestiture shall be accomplished in a prudent manner, in accordance with the following criteria:
   a. The availability of alternative investments of equal or better potential long-term investment return;
   b. Current valuation in relation to historical relationships and alternative investments including, in the case of equities, the following factors:
      i. Current yield, price-earnings ratio, price to book value ratio, earnings and dividend-growth rates, both absolutely and in relation to the market as a whole,
      ii. Present fundamental status of the company in terms of current and future earnings and dividend outlook,
      iii. Current level and trend of stock market outlook for the next 3, 6 or 12 months,
      iv. "Technical" status and current price trend of stock (absolute and relative to market).
   v. Unrealized gain or loss on the stock.

3. The University of Wisconsin System's investment counsel and its Trust Officer shall bring to the attention of the Business and Finance and Audit Committee reports of the existence of laws in any other country that require companies doing business in such country to practice or condone discrimination on the basis of race, religion, color, creed or sex. The Business and Finance and Audit Committee shall investigate such reports with a view toward determining whether Resolution 1590 this subsection shall be applied to investments in companies employing persons in the country in question. 

Comment [3L1]: This section incorporates language from RPD 31-5, Investment and the Environment.

Comment [3L2]: This section incorporates language from RPD 31-6, Investment of Trust Funds.

Comment [3L3]: This section incorporates language from RPD 31-7, Interpretation of 31-6: Relating to Divestiture.
5.7 The Regents are aware that a position on social responsibility may affect potential contributors to the University System. For potential contributors who wish their donations to be invested in funds with social concerns as a high priority, the Business, Finance, and Audit Committee will ask University of Wisconsin System Administration staff to explore the use of investment alternatives to meet such objectives.

"Substantial social injury" with regard to corporate or other security issuers' behavior is defined as the injurious impact on employees, consumers, and/or other individuals or groups resulting directly from specific actions or inactions by a company. Included in this category are actions that violate, subvert, or frustrate the enforcement of rules of domestic or international law intended to protect individuals and/or groups against deprivation of health, safety, basic freedoms or human rights. Only actions or inactions by companies that are proximate to and directly responsible for identifiable social injury will be regarded as falling within these guidelines. (This definition is borrowed from the Stanford University "Statement on Investment Responsibility Concerning Endowment Securities").

Oversight, Roles, and Responsibilities
The Board of Regents Business, Finance, and Audit Committee has ultimate fiduciary responsibility for the management and administration of the University of Wisconsin System Trust Funds. UW System Administration is responsible for conducting proxy reviews and exploration of socially responsible investment alternatives. The Secretary of the Board of Regents has responsibility for scheduling requested public forums under section 4 of this policy.

Related RPD and Applicable Laws
RPD 31-1.2 Management and Administration of Trust Funds
RPD 31-1.5 Investments and the Environment
RPD 31-1.6 Investments of Trust Funds
RPD 31-1.7 Interpretation of RPD 31-1.6 Relating to Divestiture
RPD 31-10 Procedures and Guidelines for Voting Proxies for Trust Funds
RPD 31-16 Sudan Divestment
Wis. Stat. § 36.29.

History:
Regent Policy Documents

SECTION 31: TRUST AND INVESTMENT POLICIES

31-5 INVESTMENTS AND THE ENVIRONMENT

(Formerly 74-3(a))

Cognizant of the University of Wisconsin System, state, and federal commitments to environmental protection and pollution control standards, the Regent Business and Finance Committee, in discharging its responsibility for managing the System's trust fund investments, does so with the expectation that the companies in which it invests will evidence a similar commitment in their respective activities. The System Trust Officer, on behalf of the Committee shall inform companies in which the System has or subsequently makes investments of this expectation.

In the event that any persons or group of persons, after careful investigation and evaluation of facts in evidence, concludes that a company in which the System has investments appears not to be performing in accord with the Committee's expectations and the appropriate governmental standards in the area, the Committee will afford those persons an opportunity to detail their evidence and concern to the Committee. The Committee may afford the company involved an opportunity to respond to the concerns expressed, before deciding what course of action is appropriate.

History: Res. 695 adopted 12/94.

Return to the policy index

The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents mandate significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out those policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1500 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-3324, http://www.wisc.edu/board/policies/
Regent Policy Documents

SECTION 31: TRUST AND INVESTMENT POLICIES

31-6 INVESTMENT OF TRUST FUNDS

(Formerly 78-1)

In accordance with Wis. Stats. § 36.29(1), all investments "made in any company, corporation, subsidiary, or affiliate that practices or condones through its actions discrimination on the basis of race, religion, color, creed or sex..." shall be divested in as prudent but rapid a manner as possible.

History: Res. 1590 adopted 2/10/78; replaces 77-4. (See also Policy 31-7)

Return to the policy index

The Regent Policy Documents were adopted and are maintained pursuant to the policy-making authority vested in the Board of Regents by Wis. Stats. § 36. The Regent Policy Documents manifest significant policies approved by the University of Wisconsin System Board of Regents. This document is a ready reference for those charged with carrying out these policies. Unless noted otherwise, associated documents and reports may be obtained from the Office of the Secretary of the Board of Regents, 1060 Van Hise Hall, 1220 Linden Drive, Madison, WI 53706, ph 608-262-2324. http://www.uwsa.edu/bor/policies/

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Regent Policy Documents

SECTION 31: TRUST AND INVESTMENT POLICIES

31-7 INTERPRETATION OF POLICY 31-6 RELATING TO DIVESTITURE

(Formerly 78-2)

The Board of Regents, to facilitate the implementation of Regent Resolution 1590 (Policy 32-6), interprets that resolution as follows:

1. The words "that practices or condones through its actions" shall be interpreted to mean "employing persons in nations which by their laws discriminate on the basis of race, religion, color, creed or sex."

2. Divestiture shall be accomplished in a prudent manner, in accordance with the following criteria:
   a. The availability of alternative investments of equal or better potential long-term investment return.
   b. Current valuation in relation to historical relationships and alternative investments including, in the case of equities, the following factors:
      i. current yield, price earnings ratio, price to book value ratio, earnings and dividend growth rates, both absolutely and in relation to the market as a whole.
      ii. present fundamental status of the company in terms of current and future earnings and dividend outlook.
      iii. current level and trend of stock market—outlook for the next 3, 6 or 12 months.
      iv. "technical" status and current price trend of stock (absolute and relative to market).

3. The University of Wisconsin System's investment counsel and its Trust Officer shall bring to the attention of the Business and Finance Committee reports of the existence of laws in any other country that require companies doing business in such country to practice or condone discrimination on the basis of race, religion, color, creed or sex. The Business and Finance Committee shall investigate such reports with a view to determining whether Resolution 1590 shall be applied to investments in companies employing persons in the country in question.

History: Res. 1615 adopted 3/10/78; amended by Res. 6626, 3/94.

Return to the policy index

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Regent Policy Documents

SECTION 31: TRUST AND INVESTMENT POLICIES

31-13 INVESTMENT AND SOCIAL RESPONSIBILITY

(Formerly 97-1)

Scope
This policy applies to the Board of Regents and to individuals interested in providing input regarding the corporate policies or practices of the companies in which university trust funds are invested.

Purpose
The purpose of this policy is to communicate how the Board will enhance its awareness of social concerns and corporate policies and practices, and how individuals can communicate related concerns to the Board.

Policy Statement
The Board of Regents of the University of Wisconsin System, in discharging its fiduciary responsibilities for the University Trust Funds, will take into account concerns about corporate responsibility as outlined below.

1. The primary fiduciary responsibility of the Board of Regents is to maximize financial return on invested assets, taking into account an appropriate degree of risk.
2. However, the Board acknowledges the importance of maintaining an awareness of public concerns about corporate policies or practices that are discriminatory (as defined by Wis. Stats. § 36.29(1)) or cause substantial social injury.
3. To enhance the Board's awareness of social concerns the Regents through the Business, Finance, and Audit Committee directs the University of Wisconsin System Administration to conduct a proxy review to highlight proxy resolutions related to discrimination and substantial social injury.
4. The Regents wish to solicit input from students, faculty, alumni and citizens on matters related to social concerns. To obtain this input, the Business, Finance, and Audit Committee of the Board of Regents may schedule a public forum at the request of parties interested in presenting such concerns to the Board of Regents. The purpose of this forum is to offer the broadest opportunity for System constituencies to present such information to the Board of Regents.
5. The Regents are aware that a position on social responsibility may affect potential contributors to the University System. For potential contributors who wish their donations to be invested in funds with social concerns as a high priority, the Business, Finance, and Audit Committee will ask University of Wisconsin System Administration staff to explore the use of investment alternatives to meet such objectives.

"Substantial social injury" with regard to corporate behavior is defined as the injurious impact on employees, consumers, and/or other individuals or groups resulting directly from specific actions or inactions by a company. Included in this category are actions that violate, subvert, or frustrate the enforcement of rules of domestic or international law intended to protect individuals and/or groups against deprivation of health, safety, basic freedoms or human rights. Only actions or inactions by companies that are proximate to and directly responsible for identifiable social injury will be regarded as falling within these guidelines. (This definition is borrowed from the Stanford University "Statement on Investment Responsibility Concerning Endowment Securities").
Oversight, Roles and Responsibilities
UW System Administration is responsible for conducting proxy reviews and exploration of socially responsible investment alternatives. The Secretary of the Board of Regents has responsibility for scheduling requested public forums.

Related RPD and Applicable Laws
RPD 31-2 Management and Administration of Trust Funds
RPD 31-5 Investments and the Environment
RPD 31-6 Investments of Trust Funds
RPD 31-7 Interpretation of RPD 31-6 Relating to Divestiture
RPD 31-10 Procedures and Guidelines for Voting Proxies for Trust Funds
RPD 31-16 Sudan Divestment


Return to the policy index

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

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BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution 1.2.d.3.ii.

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 31-16, "Sudan Investment."
31-16 SUDAN DIVESTMENT
(Formerly 06-2)

Scope
The policy on *Sudan Divestment* applies to the invested assets of University of Wisconsin System Trust Funds.

Purpose
The purpose of this policy is to prevent, to the extent possible, making or retaining investments that would provide support to the government of Sudan. The policy was introduced in 2006 due to the ongoing genocide and ethnic cleansing in Darfur sponsored by the Sudanese government and is intended to remain in place as long as such conditions persist.

Policy Statement

Whereas the United States Congress has declared that the situation in the Darfur region of Sudan constitutes state-sponsored or abetted genocide, and

Whereas, Sudan is on the U.S. State Department’s list of state sponsors of terrorism and is subject to sanctions administered by the Treasury Department, and

Whereas, the U.S. government has imposed sanctions including banning the importing or exporting of goods and technology to Sudan, with the exception of humanitarian goods and certain agricultural products, or financially supporting Sudanese government projects by U.S. entities, and

Whereas, non-U.S. entities are not subject to U.S. government-sanctions and restrictions, and

Whereas the *The policy of the UW System Board of Regents of the University of Wisconsin System wishes is to join in concert with other institutional investors, states, and other municipalities, and the U.S. government in restricting and discouraging business activity that provides support to the current government of Sudan, or otherwise abets due to acts of genocide or “ethnic cleansing” which have occurring in that country. The Board’s policy related to Sudan divestment is as follows;*

Be it resolved that:

(a)1. The invested assets of the University of Wisconsin System held in *separately managed accounts*, over which the Board of Regents serves as trustees and fiduciaries, shall not be invested in companies (“targeted companies”) which either directly or through an affiliated instrumentality meet the following criteria:

ia. Provide revenues to the Sudanese government through business with the government, government-owned companies, or government-controlled consortiums.
iib. Offer little substantive benefit to those outside of the Sudanese government or its affiliated supporters in Khartoum, Northern Sudan and the Nile River Valley; this “outside” population specifically includes the country’s disaffected Eastern, Southern, and Western regions.

iii. Have either demonstrated complicity in the Darfur genocide or have not taken any substantial action to halt the genocide. Substantial action shall include but is not limited to curtailment of operations or public pressure on the Sudanese government. Simple company statements shall not constitute evidence of substantial action.

ivd. Provide military equipment, arms, or defense supplies to any domestic party in Sudan, including the Sudanese government and rebels.

2. Non-investment in such companies will require divestment of current holdings and the screening out of such companies’ securities so as to prevent future investment in them.

(b) Investment is permissible in companies which, either directly or through an affiliated instrumentality, provide services clearly dedicated to social development for the whole country. Such entities include, but are not limited to those providing medicine and medical equipment, agricultural supplies and agricultural infrastructure, educational opportunities, journalism-related activities, and general consumer goods.

(e) Where invested assets are held in commingled or mutual fund accounts, letters are to be submitted to the contracted investment management firms requesting that the manager consider either adopting a similar Sudan-free investment policy for the existing fund, or consider creating a comparable separate commingled fund devoid of companies targeted as a result of this resolution. In the event that the manager introduces a comparable separate Sudan-free fund, the Board shall direct that all assets in the existing fund be transferred into the newly available, Sudan-free fund.

(d) If it is determined that a company, which had previously been a targeted company, has ceased business operations with Sudan or its instrumentalities, then that company shall no longer be subjected to divestment and/or screening.

(e) In the event that the government of Sudan sufficiently halts the ongoing genocide in Darfur for at least 12 months, as determined jointly by the State Department and Congress of the United States, the provisions of this resolution shall expire.

(f) In the event that the United States revokes its current sanctions against Sudan, the provisions of this resolution shall expire.

(g) The policy established by this resolution will be communicated to the various foundations which support University of Wisconsin campuses, so that the foundations may consider adopting similar policies.
Nothing in this resolution shall alter or diminish existing fiduciary or statutory obligations and other terms, conditions, and limitations on the investment of entrusted assets for the exclusive benefit and interest of beneficiaries, participants, and donors.

10. The Board directs University of Wisconsin System Administration staff to annually review the situation in Sudan and the status of U.S. sanctions, and report to the Board if and when there have been changes that would suggest this policy be rescinded.

Oversight, Roles, and Responsibilities
UW System Administration is responsible for ensuring compliance with this policy, monitoring the situation in Sudan/Darfur, and reporting to the Board on any changes that might suggest the policy be expired in accordance with sections 6 and 7. The Regent Business, Finance and Audit Committee is responsible for determining if the conditions for expiration have been sufficiently met.

Related RPDs and Applicable Laws
RPD 31-13 Social Responsibility Investment Considerations

History
Res. 9237 adopted 8/18/06.
Regent Policy Documents

SECTION 31: TRUST AND INVESTMENT POLICIES

31-16 SUDAN DIVESTMENT

(Formerly 06-2)

Whereas the United States Congress has declared that the situation in the Darfur region of Sudan constitutes state-sponsored or abetted genocide, and

Whereas, Sudan is on the U.S. State Department’s list of state sponsors of terrorism and is subject to sanctions administered by the Treasury Department, and

Whereas, the U.S. government has imposed sanctions including banning the importing or exporting of goods and technology to Sudan, with the exception of humanitarian goods and certain agricultural products, or financially supporting Sudanese government projects by U.S. entities, and

Whereas, non-U.S. entities are not subject to U.S. government sanctions and restrictions, and

Whereas the Board of Regents of the University of Wisconsin System wishes to join in concert with other institutional investors, states and other municipalities, and the U.S. government in restricting and discouraging business activity that provides support to the current government of Sudan, or otherwise abets acts of genocide or “ethnic cleansing” occurring in that country.

Be it resolved that:

(a) The invested assets of the University of Wisconsin System held in separately managed accounts, over which the Board of Regents serves as trustees and fiduciaries, shall not be invested in companies (“targeted companies”) which either directly or through an affiliated instrumentality meet the following criteria:

i. Provide revenues to the Sudanese government through business with the government, government-owned companies, or government-controlled consortiums.

ii. Offer little substantive benefit to those outside of the Sudanese government or its affiliated supporters in Khartoum, Northern Sudan and the Nile River Valley; this “outside” population specifically includes the country's disaffected Eastern, Southern, and Western regions.

iii. Have either demonstrated complicity in the Darfur genocide or have not taken any substantial action to halt the genocide. Substantial action shall include but is not limited to curtailment of operations or public pressure on the Sudanese government. Simple company statements shall not constitute evidence of substantial action.

iv. Provide military equipment, arms, or defense supplies to any domestic party in Sudan, including the Sudanese government and rebels.

Non-investment in such companies will require divestment of current holdings and the screening out of such companies’ securities so as to prevent future investment in them.

(b) Investment is permissible in companies which, either directly or through an affiliated instrumentality, provide services clearly dedicated to social development for the whole country.
Such entities include, but are not limited to those providing medicine and medical equipment, agricultural supplies and agricultural infrastructure, educational opportunities, journalism-related activities, and general consumer goods.

(c) Where invested assets are held in commingled or mutual fund accounts, letters are to be submitted to the contracted investment management firms requesting that the manager consider either adopting a similar Sudan-free investment policy for the existing fund, or consider creating a comparable separate commingled fund devoid of companies targeted as a result of this resolution. In the event that the manager introduces a comparable separate Sudan-free fund, the Board shall direct that all assets in the existing fund be transferred into the newly available, Sudan-free fund.

(d) If it is determined that a company, which had previously been a targeted company, has ceased business operations with Sudan or its instrumentalities, then that company shall no longer be subjected to divestment and/or screening.

(e) In the event that the government of Sudan sufficiently halts the ongoing genocide in Darfur for at least 12 months, as determined jointly by the State Department and Congress of the United States, the provisions of this resolution shall expire.

(f) In the event that the United States revokes its current sanctions against Sudan, the provisions of this resolution shall expire.

(g) The policy established by this resolution will be communicated to the various foundations which support University of Wisconsin campuses, so that the foundations may consider adopting similar policies.

(h) Nothing in this resolution shall alter or diminish existing fiduciary or statutory obligations and other terms, conditions, and limitations on the investment of entrusted assets for the exclusive benefit and interest of beneficiaries, participants, and donors.

History: Res. 9237 adopted 8/16/06.

Return to the policy index

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

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BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution I.2.d.3.iii.

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 31-10, "Procedures and Guidelines for Voting Proxies for Trust Funds", and retitles the Regent Policy Document 31-10, "Proxy Voting."
31-10 PROCEDURES AND GUIDELINES FOR PROXY VOTING
PROXIES FOR TRUST FUNDS
(Formerly 92-4)

Scope
The policy on Proxy Voting applies to the invested assets of University of Wisconsin System Trust Funds.

Purpose
The purpose of this policy is to describe who is responsible for identifying, analyzing, and voting various types of shareholder proxies, proposals put to shareholder vote which may impact the future and fortunes of the companies in which University of Wisconsin System Trust Funds are invested.

Policy Statement
The Regent Procedures and Guidelines for Voting Proxies for Trust Funds are adopted. The full document may be obtained from the University of Wisconsin System Trust Fund Office. The general policy of the UW System Board of Regents is to ensure that the voting of proxies is conducted in a diligent manner that reflects the Board’s stewardship and fiduciary responsibilities. To this end, the following guidelines are to be adhered to:

1. Shareholder proxies dealing with “routine” corporate governance and management issues are generally to be voted by the investment managers, in accordance with each manager’s proxy voting guidelines. “Routine” issues generally include such items as the following:

   • election of directors;
   • election of auditors;
   • elimination of preemptive rights;
   • management recommendations regarding adding or amending indemnification provisions in charters or by-laws;
   • authorization to issue common stock under option and incentive plans under most circumstances;
   • issuance of additional shares of stock for corporate purposes under most circumstances (e.g., not for expressly preventing a takeover);
   • changes to the Board of Directors; proposals relating to cumulative voting, annual election of directors, and staggered Boards; and
   • outside director compensation (cash plus stock plans).

2. Shareholder proxies dealing with “non-routine” corporate governance and management issues or issues involving some aspect of “social responsibility” are generally to be voted, or directed for voting, internally. “Non-routine” corporate governance/management and “social responsibility” issues generally include such items as the following:

   • acquisitions and mergers;
• shareholder proposals opposed by management and not supported by the investment managers;
• amendments to corporate charter or by-laws which might materially affect shareholder rights;
• issues described or alluded to under RPD 31-13: Social Responsibility Investment Considerations; and
• generally, other issues not covered in section 1.

3. UW System Administration will regularly identify "non-routine" corporate governance and management issues or issues involving some aspect of "social responsibility" for, and provide analyses and recommendations to, the Board of Regents' Business, Finance, and Audit Committee to assist it in its review. The Committee will then develop voting positions on the proxy proposals, which will be conveyed by UW System Administration staff to the investment managers as needed.

4. UW System Administration will then present to the Committee, at least annually, the results of the proxy voting season.

Oversight, Roles, and Responsibilities
UW System Administration is responsible for identifying and analyzing certain types of proxy proposals, and presenting such analyses and recommendations to the Business, Finance, and Audit Committee. The Business, Finance, and Audit Committee is responsible for developing a voting position on such proxies. UW System Administration and the investment managers are responsible for voting the proxies accordingly.

Related RPDs and Applicable Laws
RPD 31-13 Social Responsibility Investment Considerations

History
Res. 6086 adopted 4/10/92.
Regent Policy Documents

SECTION 31: TRUST AND INVESTMENT POLICIES

31-10 PROCEDURES AND GUIDELINES FOR VOTING PROXIES FOR TRUST FUNDS

(Formerly 92-4)

The Regent Procedures and Guidelines for Voting Proxies for Trust Funds are adopted. The full document may be obtained from the University of Wisconsin System Trust Fund Office.

History Res. 6086 adopted 4/10/92.

Return to the policy index

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

I. For internally managed assets, the Trust Officer or Assistant Trust Officer studies all
proxies and votes routine proposals in accordance with management's
recommendations. For externally managed assets, proxies dealing with routine issues will
be voted by the respective portfolio managers in accordance with each manager's proxy
voting guidelines.

Routine issues are defined as:

A. Election of directors, unless there is knowledge that a nominee has been found
guilty or has pleaded guilty or nolo contendere in a criminal action;

B. Election of auditors;

C. Elimination of preemptive rights;

D. Management recommendations regarding adding or amending indemnification
provisions in charters or by-laws;

E. Authorization to issue common stock under option and incentive plans provided
that:
   1. an actual or equivalent lowering in the exercise price is not being
      recommended for shares covered by existing plans, and
   2. the maximum increase in shares outstanding over the life of the plan(s)
      does not exceed an average of 1 per cent per year based on the number
      of shares outstanding on the date of notice of the meeting.

F. Issuance of additional shares of stock for corporate purposes provided the
   issuance is supported by the portfolio manager and shares are not expressly
   issued to prevent a takeover.

G. Changes to the Board of Directors, proposals relating to cumulative voting, annual
   election of directors, and staggered Boards; provided the proposal is supported
   by the portfolio manager.

H. Outside director compensation (cash plus stock plans) provided the compensation
   of the outside directors does not exceed 1% of net income.

II. For both internally and externally managed assets, non-routine issues will be reviewed
    with the Business and Finance Committee to develop a position on how the proposals
    should be voted.

Non-routine issues are defined as:

A. Acquisitions and mergers;

B. Stockholder proposals opposed by management and not supported by the
   portfolio managers;

C. Amendments to corporate charter or by-laws which might materially affect
   shareholder rights;
D. All issues where the tentative recommendation is to vote against management's position;

E. Issues dealing with discrimination (per Ch 36.29 WI STATS and Regent Policies 78-1 and 78-2), the environment (per Regent Policy 74-3(a)), or with substantial social injury (per Regent Policy 97-1);

F. Any other issue not covered in I.

III. The Trust Funds Office will regularly identify non-routine issues for and provide analyses to the Committee to assist it in its review. In analyzing proxy proposals, a variety of information sources may be used, including: our portfolio managers, the proxy statement, the corporation management, the resolution sponsor, the investment community, media reports, and special services such as the Investor Responsibility Research Center.

IV. To ensure that non-routine proxy proposals are identified, analyzed and reviewed, and that the Committee's voting position is properly determined, conveyed to portfolio managers and then tracked for compliance, the following procedures will generally be followed:

A. During the first quarter of each year, the Trust Funds Office will identify all non-routine shareholder proposals for the upcoming proxy season (primarily March through May). To the extent possible, these proposals will be grouped into identifiable "issues" (or themes).

B. Trust Funds will research and analyze any new non-routine, controversial issues or company-specific proposals. These analyses will consider, among other things, the following factors:
   - Application/interpretation of Regent policies
   - Background and technical requirements of shareholder proposals
   - Expected impact on firms' financial position

C. Trust Funds will present the following to the Committee annually for its review (generally at the March Board of Regents meeting; for "off-season" proxies, these will be brought to the Committee at the nearest monthly meeting where possible):
   - A list of new non-routine issues and any company-specific proposals for the upcoming proxy season, to which an existing Regent policy (may) apply
   - A list of previously approved non-routine issues
   - Write-ups/analyses of new and previously approved issues (approved for affirmative voting)
   - A list showing each specific upcoming proposal, by company, and the relevant Regent policy which (may) apply, and the recommended vote (if the shareholder proposal is consistent with Regent policy, does not impose unnecessary or burdensome requirements on the firm, and is not expected to have a highly negative impact on the firm's financial position, an affirmative vote will generally always be recommended)

D. The Committee will then vote on all upcoming shareholder proposals presented to them.

E. Based on the Committee's approvals, Trust Funds will vote the proxies accordingly or will provide the specific voting instructions to the external portfolio managers where necessary.

F. Portfolio managers will provide quarterly reports of all proxy voting activity for their Trust Funds' portfolios. This reporting will include a summary of each issue, the management recommendation, and the actual vote cast by the manager. Trust Funds staff will review these reports to verify compliance with instructions. Annual notification letters will also be sent to managers reminding them of the Trust Funds
proxy voting policy and summarizing its requirements. (In addition, as part of the investment manager search and procurement process, manager candidates will be informed that complying with the proxy voting policy is a mandatory requirement.)

G. The Trust Funds Office will maintain all supporting research and documentation of proxy votes cast on behalf of the Trust Funds.

H. Trust Funds will present to the Committee at least annually, the results of the proxy voting season (generally at the September or October Board of Regents meeting).
OFFICE OF OPERATIONS REVIEW AND AUDIT
UPDATE ON AUDIT REPORT STRUCTURE

EXECUTIVE SUMMARY

BACKGROUND

The International Professional Practices Framework (IPPF), which is the conceptual framework that organizes authoritative guidance promulgated by the Institute of Internal Auditors, requires that internal auditors communicate the results of engagements. Additionally, final communication of engagement results must, where appropriate, contain the internal auditor’s opinion and/or conclusions.

REQUESTED ACTION

For discussion purposes only.

DISCUSSION

The Office of Operations Review and Audit has restructured its audit reports in efforts to more effectively convey the results of financial, compliance, and operational audits, as well as to meet applicable internal auditing professional standards.

The restructured reports are comment/observation-based, and include the use of two types of audit ratings that will facilitate the opportunity to readily understand the audit results. The first audit rating is the overall audit rating, which is designed to gauge the overall performance of the individual auditable unit against expectations for the audit objectives. This rating is based upon the opinion of the Office of Operations Review and Audit, and considers the frequency and materiality of internal control and compliance matters identified related to the scope and audit objectives. Overall audit ratings will be classified as follows:

<table>
<thead>
<tr>
<th>Overall Audit Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excellent</td>
<td>Overall performance meets or exceeds expected levels, and limited or no internal control or compliance matters were identified. To the extent limited matters were identified, all such matters received a low priority rating.</td>
</tr>
<tr>
<td>Satisfactory, with opportunity for improvement</td>
<td>Overall performance is generally satisfactory, but opportunities for improvement exist.</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>Overall performance is unsatisfactory. During the audit, internal control or compliance matters were identified that either have caused or could cause significant errors, omissions, fraud, or other adversities to go undetected.</td>
</tr>
</tbody>
</table>
In addition, each comment within a report will be assigned an audit comment priority rating based upon the severity of internal control weaknesses and compliance matters identified. Audit comment priority ratings are based upon professional judgment of the internal audit department after considering the impact, severity, significance, and other relevant risk factors associated with a comment.

<table>
<thead>
<tr>
<th>Audit Comment Priority Rating</th>
<th>Description</th>
</tr>
</thead>
</table>
| High                         | Management should consider initiating immediate action to address this comment because it represents one or more of the following:  
  • Significant internal control weakness  
  • Significant policy or procedure exceptions  
  • Significant risk exposure  
  • Significant financial exceptions – loss, misstatement, errors, fraud  
  • Significant law or regulatory violations  
  • Significant potential opportunity – revenue, savings, efficiencies, improvements |
| Moderate                     | Management should consider initiating timely action to address this comment because it represents one or more of the following:  
  • Substantial internal control weakness  
  • Substantial policy or procedure exceptions  
  • Substantial risk exposure  
  • Substantial financial exceptions – loss, misstatement, errors  
  • Substantial law or regulatory violations  
  • Substantial potential opportunity – revenue, savings, efficiencies, improvements. |
| Low                          | Management should initiate reasonable action to incorporate a plan to address the comment in the normal course of business. Comments falling into this category represent one or more of the following:  
  • Minor internal control weakness  
  • Minor policy or procedure exceptions  
  • Limited risk exposure  
  • Minor financial exceptions – loss, misstatement, errors  
  • Minor law or regulatory violations  
  • Limited potential opportunity – revenue, savings, efficiencies, improvements |

In establishing the ratings criteria noted above, members of the Office of Operations Review and Audit considered internal audit industry best practices, as well as the University of Wisconsin environment, in order to create an assessment tool that should effectively meet the needs of the Board of Regents, members of management, and other key stakeholders.

**RELATED REGENT POLICIES**

None.
REPORT ON 2013-15 UNAVOIDABLE COSTS REQUESTS

EXECUTIVE SUMMARY

BACKGROUND

The Board of Regents was required to submit a biennial budget request to the State of Wisconsin no later than September 17 of this year. In order to submit on time, the Board met on August 23 to approve the budget request. UW System Administration staff worked with the Department of Administration (DOA) to determine how to request funding for unavoidable costs and program revenue funds, based upon information included in the Major Budget Policies document that was issued on August 14. At the time of the August 23rd meeting, those conversations with DOA were still ongoing; therefore, the Board of Regents materials reflected estimates of funding that would be required for unavoidable costs. The Board authorized President Reilly to “approve unavoidable costs requests and seek an extension to the September 17, 2012 submission date, if needed.” The resolution also noted that “the unavoidable costs requests will be provided to the Board of Regents in October.”

REQUESTED ACTION

No action requested.

DISCUSSION

The 2013-15 UW System biennial operating budget request was submitted on September 17, so an extension was not needed. The submitted request for unavoidable costs was $21,168,000 lower (biennially) than the amounts approved by the Board on August 23.

The $21,168,000 decrease in the unavoidable costs request was the result of the following:

<table>
<thead>
<tr>
<th>Biennial Funding Amounts</th>
<th>Board of Regents Estimate</th>
<th>September 17 Submission</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full Funding of Salaries and Fringes</td>
<td>$50,000,000</td>
<td>$26,982,800</td>
<td>($23,017,200)</td>
</tr>
<tr>
<td>Leases and Directed Moves</td>
<td>$1,532,500</td>
<td>$1,688,500</td>
<td>$156,000</td>
</tr>
<tr>
<td>M&amp;D Financial Aid Increases</td>
<td>$2,534,000</td>
<td>$2,534,000</td>
<td>$0</td>
</tr>
<tr>
<td>Student Technology Fee Increases</td>
<td>$3,963,900</td>
<td>$5,657,100</td>
<td>$1,693,200</td>
</tr>
<tr>
<td>Total Unavoidable Costs Requests</td>
<td>$58,030,400</td>
<td>$36,862,400</td>
<td>($21,168,000)</td>
</tr>
</tbody>
</table>
Explanation of changes:

**Full Funding of Salaries and Fringe Benefits.** The estimate originally provided to the Board included fully funding 2012-13 health insurance increases along with other minor adjustments to the fringe benefits rate. The final amount requested of the state will fund fringe benefits through the 2011-12 fiscal year. It does not include any anticipated increases in health insurance for 2012-13 as had been anticipated in the estimate, thereby significantly reducing the request.

In addition, the state allowed the annualized cost of providing Discretionary Merit adjustments for the 2011-12 fiscal year to be requested in the UW System budget, but these adjustments had not been included in the estimates provided to the Board. The net impact of both of these changes is an annual decrease of $11,508,600 ($23,017,200 biennially) from the estimate provided to the Board.

**Leases and Directed Moves.** The estimates for the cost of leases and directed moves were updated, resulting in an increase of $89,500 in 2013-14 and a decrease of $23,000 in 2014-15. The net biennial change was an increase of $156,000.

**Student Technology Fee Increases.** The student technology fee is calculated as a percentage of tuition revenue generated in 2012-13. Using the actual revenue generated in 2012-13 resulted in larger technology fee amounts being requested. The estimate for 2013-14 increased by $823,900 and the estimate for 2014-15 increased by $45,400. The biennial increase was $1,693,200 higher than the estimate provided to the Board.

**Advisory for Utilities for New Space and the Co-Generation Operations.** The UW System submitted an advisory request to DOA that estimated the impact new space and the operations of the Co-Generation plant will have on utility costs in the 2013-15 biennium. The estimate is $3,553,500 in 2013-14 and an additional $1,841,700 in 2014-15, resulting in a need for $8,948,700 biennially over current costs. The Department of Administration will use these amounts when reestimating the System’s utilities funding to reflect inflation and other relevant factors in the Executive Budget.

These unavoidable costs increases do not include estimated debt service changes for the 2013-15 biennium, which are expected to be added by DOA. This amount will include the cost of debt service and master lease agreements related to heating plants and energy improvements.

**Program Revenue.** The UW System was required to submit a Program Revenue (self-supporting funding) request to adjust the state’s currently budgeted funding level for the tuition appropriation to the 2012-13 UW System Operating budget level, requiring an annual increase of $82,603,100 ($165,261,400 biennially). In addition, the request for the Aquaculture Demonstration Facility was decreased by $27,600 annually due to updating the fringe benefit rates.
I.3. Capital Planning and Budget Committee Thursday, October 4, 2012
Memorial Student Center
UW-Stout
Menomonie, Wisconsin

1:00 p.m. Meeting of the Capital Planning and Budget Committee – 136 A Cedarwood/136 B Maplewood

a. UW-Stout Presentation: UW-Stout’s Residence Hall Renewal Plan

b. Approval of the Minutes of the August 23, 2012 Meeting of the Capital Planning and Budget Committee

c. UW Colleges: UW-Barron County - Authority to Release a Parcel of 12.642 Acres of Land from the UW-Barron County Lease Back to Barron County
[Resolution I.3.c.]

d. UW-Milwaukee: Authority to Demolish the Kunkle Center Building
[Resolution I.3.d.]

e. UW-Platteville: Approval of the Design Report of the Dobson and Melcher Residence Halls Renovation Project and Authority to (a) Seek a Waiver to Allow Single Prime Bidding, (b) Adjust the Project Scope and Budget, and (c) Construct the Project
[Resolution I.3.e.]

f. UW-Whitewater: Authority to Adjust the Scope and Budget of the Carlson (Laurentide) Hall Renovation Project
[Resolution I.3.f.]

g. UW-Whitewater: Authority to Adjust the Budget of the Fischer and Wellers Halls Renovation Project
[Resolution I.3.g.]

h. UW System: Approval of Revisions to Physical Planning Principles
[Resolution I.3.h.]

i. UW System: Authority to Seek Enumeration of Additional 2013-15 Capital Budget Projects
[Resolution I.3.i.]
j. UW-Eau Claire: Approval of the Guiding Principles for the Development of the Confluence Project by UW-Eau Claire and Partners  
[Resolution I.3.j.]

k. Report of the Associate Vice President  
Building Commission Actions
Authority to Release a Parcel of 12.642 Acres of Land from the UW-Barron County Lease Back to Barron County, UW Colleges

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW Colleges Chancellor and the President of the University of Wisconsin System, authority be granted to permanently release a parcel of 12.642 acres of land from the UW-Barron County lease back to Barron County.
THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
October 2012

1. Institution: The University of Wisconsin Colleges: UW-Barron County

2. Request: Authority to permanently release a parcel of 12.642 acres of land from the UW-Barron County lease back to Barron County.

3. Description and Scope of the Project: This request involves the release of a 12.642 acre parcel back to Barron County so it can be sold. (Parcel is designated as “Parcel C” on the attached certified survey map.)

Barron County has leased property to the UW System Board of Regents since 1966 in support of UW-Barron County. Rice Lake Weighing Systems (RLWS), a manufacturing business with approximately 500 local employees, is located immediately north of and adjacent to the campus property. The business is growing and requires land to expand. As part of a local economic development and business retention initiative by the city of Rice Lake and Barron County, this release is requested so the parcel can be sold to RLWS for future expansion. RLWS intends to develop the parcel into a parking lot for its employees.

4. Justification of the Request: The parcel is owned by Barron County and is included in the long-term lease with the Board of Regents to support UW-Barron County. UW-Barron County has no specific plans for this parcel.

5. Budget: There is no university or state budget associated with this action.

6. Previous Action: None.
Parcel C
Parcel A
Parcel B
WITC
Hold for WITC
Parcel C
Future possible collaborative use with WITC
Rice Lake Weighing Systems
UW-Barron County Leased property area

Weighing Systems

Rice Lake Weighing Systems
UW-Barron County Leased property area

Future possible collaborative use with WITC

Parcel C
Parcel A
Parcel B
WITC
Hold for WITC

Parcel C
Parcel A
Parcel B
WITC
Hold for WITC

Parcel C
Parcel A
Parcel B
WITC
Hold for WITC
Authority to Demolish the Kunkle Center Building
UW-Milwaukee

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Milwaukee Chancellor and the President of the University of Wisconsin System, authority be granted to demolish the Kunkle Building for a total project cost of $884,000 Program Revenue-Cash.
THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action
October 2012

1. **Institution**: The University of Wisconsin-Milwaukee

2. **Request**: Authority to demolish the Kunkle Building for a total project cost of $884,000 Program Revenue-Cash.

3. **Description and Scope of Project**: This project will abate hazardous materials, demolish the 31,708 ASF/59,451 GSF Kunkle Building, and restore the site to a lawn area.

4. **Justification of the Request**: The Kunkle Building was constructed in 1956 as a laboratory school for the School of Education. When the laboratory school program ended in 1971, the building was repurposed to house an Early Childhood Study Center and the High School Equivalency Program. The building currently houses the Children’s Center, which will move to remodeled space in the Northwest Quadrant in December 2013.

   The 2010 Campus Master Plan identified the Kunkle Building for future demolition, in order to provide a site for future development of science facilities in the southwest quadrant of campus. That plan recognized that the existing building, designed as a single-story plus basement elementary school, has limited usefulness for university uses, and does not provide the highest and best use of this site, given the limited size of the campus. The building also is of less robust construction quality than typical university buildings, has significant backlogged maintenance needs, and lacks modern infrastructure.

   In order to avoid hazards and disruption to the Children’s Center when the adjacent Kenwood Interdisciplinary Complex is constructed, and to provide improved and expanded facilities, a decision was made to relocate the Children’s Center to remodeled space in the Northwest Quadrant. That project was approved by the Board of Regents and the State Building Commission in August of 2012.

5. **Budget and Schedule**:

<table>
<thead>
<tr>
<th>Budget</th>
<th>%</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction</td>
<td></td>
<td>$600,000</td>
</tr>
<tr>
<td>A/E Fees</td>
<td>7.5%</td>
<td>42,000</td>
</tr>
<tr>
<td>Other Fees</td>
<td></td>
<td>98,000</td>
</tr>
<tr>
<td>DFD Mgmt Fee</td>
<td>4.0%</td>
<td>24,000</td>
</tr>
<tr>
<td>Contingency</td>
<td>20.0%</td>
<td>120,000</td>
</tr>
<tr>
<td>Total Project Cost</td>
<td></td>
<td>$884,000</td>
</tr>
</tbody>
</table>
### Schedule

<table>
<thead>
<tr>
<th>Schedule</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Approval</td>
<td>November 2012</td>
</tr>
<tr>
<td>A/E Selection</td>
<td>February 2013</td>
</tr>
<tr>
<td>Design Report Completed</td>
<td>June 2013</td>
</tr>
<tr>
<td>Bid Date</td>
<td>August 2013</td>
</tr>
<tr>
<td>Start of Demolition</td>
<td>January 2014</td>
</tr>
<tr>
<td>Substantial Completion</td>
<td>March 2014</td>
</tr>
<tr>
<td>Final Completion</td>
<td>May 2014</td>
</tr>
</tbody>
</table>

6. **Fee Impact**: None.

7. **Previous Action**: None.
Resolution:

That, upon the recommendation of the UW-Platteville Chancellor and the President of the University of Wisconsin System, the Design Report of the Residence Hall Renovations-Phase I project be approved and authority be granted to: (a) seek a Waiver of s. 16.855, Wis. Stats, under provision of s. 13.48 (19) Wis. Stats., to allow single prime bidding; (b) increase the project scope and budget by $1,836,000 Program Revenue Supported Borrowing-Residual; and (c) construct the project for a total cost of $14,015,000 ($12,179,000 Program Revenue Supported Borrowing and $1,836,000 Program Revenue Supported Borrowing-Residual).
1. **Institution:** The University of Wisconsin-Platteville

2. **Request:** Approval of the Design Report of the Residence Hall Renovations-Phase I project and authority to: (a) seek a Waiver of s. 16.855, Wis. Stats., under provision of s. 13.48 (19) Wis. Stats., to allow single prime bidding; (b) increase the project scope and budget by $1,836,000 Program Revenue Supported Borrowing-Residual; and (c) construct the project for a total cost of $14,015,000 ($12,179,000 Program Revenue Supported Borrowing and $1,836,000 Program Revenue Supported Borrowing-Residual).

3. **Description and Scope of Project:** This project will renovate Dobson Hall (64,641 GSF, Const. 1965) and Melcher Hall (54,445 GSF, Const. 1966) on the UW-Platteville campus. The halls have 332 beds and 254 beds respectively.

    Both residence hall buildings will receive upgrades to electrical, plumbing, telecommunications, and interior finishes throughout. Fire sprinklers and accessibility upgrades will be added to both buildings. The basement areas will receive significant renovations and to kitchen, laundry, and gathering spaces. Dobson Hall work will provide a new elevator and a major reconfiguration of the bathroom and shower facilities. Melcher Hall work will add a new stairway to bring both wings of the building into better alignment and will provide site modifications to address drainage issues.

4. **Justification of the Request:** This project is the second in a series of residence hall renovations projects at the UW-Platteville campus, all of which were constructed between 1961 and 1968. The campus presently manages nine, four-story traditional residence halls with 2,322 beds, one, six-story suite-style residence hall with 380 beds. The nearby privately-managed Rountree Commons with 620 beds opened in August 2012.

    During programming, it was determined that Dobson Hall would require a new elevator to provide accessibility to the entire building, thus creating a fully accessible residence hall in the central portion of the campus. The basement of Dobson will be reconfigured to create a range of small and large spaces to support the resident life living and learning experience. Dobson Hall’s aging bathrooms will also be completely reconfigured to enlarge and improve the quality and accessibility of that space. Residence room lighting will be replaced. The impact of the modifications listed above have resulted in a request to increase the scope and budget of the project by$1,836,000.

    The request also includes a waiver for the use of single prime bidding. This project has a critical time schedule due to the fact that the work on both halls needs to be done during the summer break only. It is crucial that the project completion deadline be met because all UW-Platteville residence halls are now at capacity and the hotels in the city of Platteville are incapable of housing 586 student residents. Site access is restricted due to the surrounding residence halls that need to remain open for summer camps during the construction period. The complicated coordination and sequencing of work during a short construction period and a tight site is best accomplished through
the use of a single prime delivery method that allows a single entity to have both control of and responsibility for the site and schedule.

5. **Fee Impact:** This project will be funded by an increase in room rates. Including inflationary increases, this project will add 5% to housing rates starting in 2013-2014 and lasting through 2017-18. The effect on room and board rates is shown below:

<table>
<thead>
<tr>
<th>Rates</th>
<th>FY13</th>
<th>FY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renovated Double</td>
<td>$3,920</td>
<td>$4,116</td>
</tr>
<tr>
<td>Typical Double</td>
<td>$3,720</td>
<td>$3,906</td>
</tr>
<tr>
<td>Typical Single</td>
<td>$4,649</td>
<td>$4,881</td>
</tr>
<tr>
<td>Typical Suite-Style</td>
<td>$5,256</td>
<td>$5,518</td>
</tr>
</tbody>
</table>

6. **Budget and Schedule:**

<table>
<thead>
<tr>
<th>Budget</th>
<th>%</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction</td>
<td></td>
<td>$11,552,000</td>
</tr>
<tr>
<td>A/E Fees</td>
<td>8.0%</td>
<td>915,000</td>
</tr>
<tr>
<td>Other Fees</td>
<td></td>
<td>209,000</td>
</tr>
<tr>
<td>DFD Mgmt. Fee</td>
<td>4.0%</td>
<td>494,000</td>
</tr>
<tr>
<td>Contingency</td>
<td>7.0%</td>
<td>845,000</td>
</tr>
<tr>
<td>Total Project Cost</td>
<td></td>
<td>$14,015,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Schedule</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bid Date</td>
<td>January 2012</td>
</tr>
<tr>
<td>Start of Construction</td>
<td>April 2013</td>
</tr>
<tr>
<td>Substantial Completion</td>
<td>August 2013</td>
</tr>
<tr>
<td>Final Completion</td>
<td>December 2013</td>
</tr>
</tbody>
</table>

7. **Previous Action:**

August 19, 2010 Resolution 9801: Recommended that the Residence Hall Renovations Phase 1 – project estimated at $19,679,000 Program Revenue Supported Borrowing be submitted to the Department of Administration to the State Building Commission as part of the UW System 2011-13 Capital Budget request. The project was subsequently enumerated at $12,179,000 Program Revenue Supported Borrowing.
Resolution:

That, upon the recommendation of the UW-Whitewater Chancellor and the President of the University of Wisconsin System, authority be granted to increase the project scope and budget of the Carlson (Laurentide) Hall Renovation project by $2,500,000 Program Revenue Supported Borrowing for a total project cost of $19,500,000 ($17,000,000 General Fund Supported Borrowing and $2,500,000 Program Revenue Supported Borrowing).
THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
October 2012

1. **Institution:** The University of Wisconsin-Whitewater

2. **Request:** Authority to increase the project scope and budget of the Carlson (Laurentide) Hall Renovation project by $2,500,000 Program Revenue Supported Borrowing for a total project cost of $19,500,000 ($17,000,000 General Fund Supported Borrowing and $2,500,000 Program Revenue Supported Borrowing).

3. **Description and Scope of Project:** This project remodeled the existing 77,660 GSF five-story Carlson Hall and constructed a small addition of 5,417 GSF to the existing building for a total 83,077 GSF project. The entire interior of the building was remodeled and received new HVAC, electrical, plumbing, fire suppression, access control, and security systems. A chilled beam solution using heat recovery and perimeter baseboards was used for the mechanical system. This system was chosen for efficiency and to maximize ceiling heights in an environment with a restricted floor-to-floor dimension.

The increased scope provides for construction of a Student Success Center Addition of 11,842 ASF/18,390 GSF to the existing Laurentide (Carlson) Hall. The completed building will be 56,503 ASF/100,968 GSF. The existing building will house offices for the Letters and Science faculty and the addition will house Campus Tutorial Services.

The three-story addition will include two entrances. A new elevator and two additional stairwells will be added. Restrooms will be provided to accommodate the additional occupant load. The exterior enclosure will be metal panel and brick, with a glass curtain wall to match the existing building. Chilled water, hot water, electrical service, and the fire protection systems will be extended from the existing building. The heating and cooling system will be a stand-alone system with an indoor air-handling unit and variable air volume units for auxiliary zone heating. Site work will include an extension of the existing pedestrian walkways, parking lot modifications, landscaping, and connections to domestic water, sanitary, and storm systems.

4. **Justification of the Request:** Carlson Hall has served as the center for the College of Business and Economics since it was constructed in 1972. In July of 2009, the College of Business and Economics relocated into a new building (Hyland Hall) and Carlson Hall became vacant. The vacancy created an opportunity to renovate Carlson Hall, which would allow for the consolidation of the College of Letters and Sciences into one facility from multiple buildings on campus that offer inadequate space for its growing programs.

Campus Tutorial Services offers academic assistance and enrichment for undergraduate and graduate students at UW-Whitewater by utilizing a peer-driven, cooperative learning model. There is no cost for using the services. This support increases the retention of freshman and sophomores. The ability to deliver tutoring services supports the university’s commitment to the
national LEAP (Liberal Education America’s Promise) initiative. Campus Tutorial Services supports student success, retention, and graduation and reinforces essential learning outcomes.

During the past four years, the program has seen a significant increase of more than 200% of both tutors employed and students served. The Supplemental Instruction and Writing Mentors programs have also experienced significant expansion.

Since the 1970s, Campus Tutorial Services has been housed in the basement of McCutchan Hall, an old residence hall that was converted into office space. This location only provides 5,307 square feet for the entire tutoring program and it lacks the visibility, accessibility, air conditioning, technology, and available space for the growing program.

During the program verification phase of the renovation of Carlson Hall, it was confirmed that the space within the existing Carlson building would not be sufficient for the needs of both the College of Letters and Sciences and the Tutorial Center. Priority was given to the faculty and staff offices, department support rooms, research spaces, and student collaboration spaces. As a result, it was determined that a future building addition would be needed to meet the programmatic needs of Campus Tutorial Services.

5. Budget and Schedule:

<table>
<thead>
<tr>
<th>Budget</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction - Main Building</td>
<td>$12,200,000</td>
</tr>
<tr>
<td>Student Success Center Addition</td>
<td>3,583,000</td>
</tr>
<tr>
<td>A/E Design Fee</td>
<td>1,324,000</td>
</tr>
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<td>DFD Fee</td>
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<td>Movable &amp; Special Equipment</td>
<td>1,412,000</td>
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<td>Total Project Cost</td>
<td>$19,500,000</td>
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<table>
<thead>
<tr>
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<th>Date</th>
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<tbody>
<tr>
<td>BOR/SBC Approval</td>
<td>October 2012</td>
</tr>
<tr>
<td>Bid Date</td>
<td>January 2013</td>
</tr>
<tr>
<td>Construction Start</td>
<td>March 2013</td>
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<tr>
<td>Substantial Completion</td>
<td>December 2013</td>
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6. Previous Action:

August 22, 2008 Resolution 9529 Recommended enumeration of the Carlson Hall Renovation project at a total project cost of $16,987,000 General Fund Supported Borrowing as part of the 2007-09 Capital Budget. The project was not recommended for enumeration by the State Building Commission.
<table>
<thead>
<tr>
<th>Date</th>
<th>Resolution Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>August 19, 2010</td>
<td>Resolution 9801</td>
<td>Recommended enumeration of the Carlson Hall Renovation Project as part of the 2011-13 Capital Budget at an estimated project budget of $17,000,000 General Fund Supported Borrowing. The project was subsequently enumerated at that level and funding source.</td>
</tr>
<tr>
<td>June 10, 2011</td>
<td>Resolution 9923</td>
<td>Approved the Design Report for the Carlson Hall Renovation Project-Phase I and granted authority to construct the project for an estimated total cost of $17,000,000 of General Fund Supported Borrowing. The project was subsequently enumerated as part of the 2011-13 Capital Budget.</td>
</tr>
</tbody>
</table>
Authority to Adjust the Budget of the Fischer and Wellers Halls Renovation Project, UW-Whitewater

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Whitewater Chancellor and the President of the University of Wisconsin System, authority be granted to increase the project budget by $250,000 Program Revenue–Cash for additional contingency funding for the Fischer and Wellers Halls Renovation project for an estimated total project cost of $10,755,000 ($8,584,000 Program Revenue Supported Borrowing and $2,171,000 Program Revenue-Cash).
THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
October 2012

1. **Institution:** The University of Wisconsin-Whitewater

2. **Request:** Authority to increase the project budget by $250,000 Program Revenue–Cash for additional contingency funding for the Fischer and Wellers Halls Renovation project for an estimated total project cost of $10,755,000 ($8,584,000 Program Revenue Supported Borrowing and $2,171,000 Program Revenue-Cash).

3. **Description and Scope of Project:** This project renovates Fischer Hall, which is a four-story plus basement (24,492 ASF / 41,825 GSF) residence hall that was constructed in 1963, and Wellers Hall, which is a four-story plus basement (33,850 ASF / 53,122 GSF) residence hall that was constructed in 1966. This project will also construct building additions totaling 4,831 GSF. External shaft elevators will be added to each building. Fischer Hall will include two additions, the first of which will provide an expanded bathroom (totaling 2,450 GSF). The lower level of this addition will contain mechanical space for the heat recovery of the bathroom exhaust. The second addition for Fischer will provide a new entry and elevator (1,089 GSF). This project will provide Wellers Hall with an elevator and entry addition (1,292 GSF). The lower level of that hall will receive minor remodeling to create a more efficient use of available space.

4. **Justification of the Request:** The UW-Whitewater Department of Residence Life maintains twelve on-campus student residence halls. All but one of these buildings were constructed in 1967 or earlier and, although well maintained, they are now in need of capital renewal. The department developed a long-range plan that calls for the renovation of one existing residence hall each year until all of these facilities are renewed. This project will renovate the first two buildings as part of that plan.

At this time, the Fischer Hall renovation has been completed and is back online for the 2012-13 academic year. Wellers Hall was taken offline this past summer to begin the remodeling. For both Fischer and Wellers Halls there have been multiple unforeseen conditions, such as code changes, that will exceed the $100,000 limit allowed for administrative project budget increases. The original contingency for this project was set at 7.2%. Current projects now include a 10% project contingency, especially for remodeling projects. The increase of $250,000 will bring this project contingency closer to 10%.
5. **Budget and Schedule**:

<table>
<thead>
<tr>
<th>Budget</th>
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<td>Hazard Material Abatement</td>
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<td>A/E Fee</td>
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<td>Other Fees</td>
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<td>Percent for Art</td>
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<td><strong>Total Project Cost</strong></td>
<td></td>
<td><strong>$10,755,000</strong></td>
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**Schedule:**

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start of Construction - Wellers</td>
<td>July 2012</td>
</tr>
<tr>
<td>Substantial Completion - Fischer</td>
<td>July 2012</td>
</tr>
<tr>
<td>Substantial Completion - Wellers</td>
<td>July 2013</td>
</tr>
</tbody>
</table>

6. **Previous Action**:

**August 22, 2008 Resolution 9529**

Recommended that the Fischer and Wellers Halls Renovation project be submitted to the Department of Administration and the State Building Commission as part of the UW System 2009-11 Capital Budget at an estimated total project cost of $8,584,000 Program Revenue Supported Borrowing. The project was subsequently enumerated at that amount.

**February 5, 2010 Resolution 9730**

Approved the Design Report of the Fischer and Wellers Halls Renovation project and granted authority to: (a) increase project scope and budget by $1,921,000 Program Revenue-Cash and (b) construct the project for an estimated total cost of $10,505,000 ($8,584,000 Program Revenue Supported Borrowing and $1,921,000 Program Revenue-Cash).
Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents (a) approve that the *Physical Planning Principles* be renamed the “Physical Development Principles;” (b) approve the modifications contained therein; and (c) adopt the Physical Asset Stewardship Goals.
THE UNIVERSITY OF WISCONSIN SYSTEM

PHYSICAL PLANNING PRINCIPLES
REVISION

BACKGROUND
In March 1999, the Board of Regents adopted fourteen basic principles to guide all aspects of physical planning and development of UW System campuses, including new buildings, renovations, exterior development, and other changes to the physical makeup of the built environment. The principles are communicated to internal and external stakeholders involved in physical planning and development.

In May 2001, in response to student interest in sustainable development, Capital Planning and Budget staff developed minor modifications to the principles that encouraged greater planning efforts towards sustainable development. The Board of Regents subsequently adopted these modifications.

In 2012, Capital Planning and Budget staff again reviewed the Physical Planning Principles, with a goal of modifying the principles to better reflect evolving planning best practices. In addition, goals were developed for exercising best practices of stewardship of existing facilities.

REQUESTED ACTIONS
That the Board of Regents approve Resolution I.3.h. to (a) rename the Physical Planning Principles the “Physical Development Principles;” and (b) approve the modifications contained therein; and (c) adopt the Physical Asset Stewardship Goals.

DISCUSSION
Physical development has a large impact on funding: both the initial capital funding required to construct facilities, and the operating funding required to maintain, operate, and staff the facilities. Physical assets typically have long useful lives; therefore, physical development decisions have an impact that can last decades and may be difficult and costly to change. Therefore, in 1999, Physical Planning Principles were developed to provide guidelines for physical development and have proven to be useful.

However, best practices in planning continue to evolve, with the result that some of the principles are less useful than they were a decade ago. Some principles are already mandated by codes or risk management policies and no longer need to be addressed by these principles. Sustainability has become a mainstream requirement of all design. However, some sustainability concepts have proven to be more useful than others for UW System facilities, and those need to be emphasized for particular consideration when developing sustainability priorities. Finally, with increased pressure on capital funding, there is a need to encourage optimization of capital investments and create the best long-term value.
A change in the name of these principles is sought, since “development” is a more inclusive term than “planning”, encompassing both the planning and implementation of physical improvements.

The stewardship of existing physical assets is an increasing issue for UW System, as it is for universities worldwide. The initial cost of facilities, as well as an increasing backlog of unfunded maintenance, point to a need to thoroughly understand the conditions and use of existing physical assets, and to properly care for those assets. Thus, a set of goals has been developed to provide guidance on improving the care of UW physical facilities. Some of these goals were originally included in the Physical Planning Principles. Since these goals will require resources to implement, articulation of the goals provides a basis for prioritizing budgets to provide for the care of physical assets.

**PREVIOUS ACTION**

March 5, 1999 Resolution 7868  
Adopted the Physical Planning Principles for the University of Wisconsin System. This was the third reading of the Principles.

September 7, 2001 Resolution 8431  
Modified the Physical Planning Principles to more specifically incorporate the concept of sustainable architecture.
## EXISTING PHYSICAL PLANNING PRINCIPLES

<table>
<thead>
<tr>
<th>Upon recommendation of the President of the University of Wisconsin System, the Board of Regents adopts the following principles to guide physical planning of the University of Wisconsin System campuses:</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. To plan physical development within the context of planning guidelines specific to each institution.</td>
<td>Covered in expanded 3.</td>
</tr>
<tr>
<td>2. To create a physical environment that contributes aesthetically and physically to the overall educational experience.</td>
<td>Partially covered in 5.</td>
</tr>
<tr>
<td>3. To plan facilities on the basis of student enrollment and other population levels and distributions that may reasonably be projected.</td>
<td>Covered in an expanded 7.</td>
</tr>
<tr>
<td>4. To plan facilities that are responsive to programs and the way they are delivered.</td>
<td>Covered in 7 and 8.</td>
</tr>
<tr>
<td>5. To recognized the increasingly diverse student population, and to provide for the needs of these students.</td>
<td>Covered in 8.</td>
</tr>
<tr>
<td>6. To maintain an ongoing comprehensive building space management function and a comprehensive space use plan specific to the university.</td>
<td>Covered in 3 of Physical Asset Stewardship Goals.</td>
</tr>
<tr>
<td>7. To make optimal use of all existing University of Wisconsin System facilities through renovation, conversion, and remodeling wherever possible.</td>
<td>Covered in 9a.</td>
</tr>
<tr>
<td>8. To protect the large investments already made by students and the state in the physical plant and equipment.</td>
<td>Covered in b.</td>
</tr>
<tr>
<td>a. Health and Safety: To assure that proper consideration is given to the health and safety of all who use university facilities.</td>
<td>Deleted. An assumed legal requirement.</td>
</tr>
<tr>
<td>b. Maintenance: To properly maintain all existing facilities, promoting maximum usefulness for program objectives, and to extend the useful life of facilities as long as economically feasible.</td>
<td>Now covered in 1. Physical Asset Stewardship Goals.</td>
</tr>
<tr>
<td>c. Accessibility: To develop an overall environment that is accessible to people with disabilities and to remove existing barriers that obstruct access to university buildings and facilities.</td>
<td>Covered in 5.</td>
</tr>
<tr>
<td>d. Resource Conservation: To achieve the maximum efficiency in the consumption of resources.</td>
<td>Partially covered in 9d.</td>
</tr>
<tr>
<td>10. To ensure facility development is compatible with the existing positive features of campus and neighborhood environs through joint university/community planning, addressing economic and environmental impact.</td>
<td>Covered in 3.</td>
</tr>
<tr>
<td>11. To include students in the planning process whenever feasible, but always in the case of planning for student fee-supported projects.</td>
<td>Covered in 2.</td>
</tr>
<tr>
<td>12. <strong>To provide for the transportation system needs of the university community.</strong></td>
<td>Covered in 6.</td>
</tr>
<tr>
<td>13. To plan development at the University of Wisconsin Colleges in concert with the county and/or city in which the University of Wisconsin College is located.</td>
<td>Covered more generally in 4.</td>
</tr>
</tbody>
</table>

History: Res. 7868 adopted 3/5/99; amended by Res. 8431, 9/7/01
UW SYSTEM PHYSICAL DEVELOPMENT PRINCIPLES

Upon recommendation of the President of the University of Wisconsin System, the Board of Regents adopts the following principles to guide the physical development of the University of Wisconsin System campuses:

Planning, prioritization, and funding of physical development should occur using best practices of inclusion, integration, and transparency that include:

1. Physical development that is planned using an integrated planning model that incorporates programmatic concerns, physical concerns, and financial realities.

2. Involvement of stakeholders that provides a meaningful role for students where student funding and fees are involved.

3. Physical development that is planned within the context of UW System, institutional, and State of Wisconsin planning guidelines, policies, and funding parameters.

4. Cooperative planning with the city and county in which the institution is located.

5. Campus physical environments that promote optimal accessibility for people with disabilities.

6. Comprehensive campus master plans that are regularly updated and address:
   a) Space needs
   b) Image, identity, and aesthetics
   c) Multi-modal transportation access and circulation
   d) Parking
   e) Open space
   f) Building sites
   g) Infrastructure and utilities
   h) Sustainability
   i) Implementation;
   and physical development that is planned in accordance with those master plans.

7. Planning that includes student enrollment, faculty, and staff projections; applicable space allocation and utilization benchmarks; evidence-based decision-making; and best planning practices.

8. Responsiveness to the needs of a diverse student body, and the delivery of programs and services that meet those needs.

9. Sustainable design through:
   a) Optimal use and reuse of existing facilities
   b) Minimum construction of new facilities
   c) Optimal adaptability for future changes
   d) High-performance and energy efficient design
   e) Ease of long-term maintenance and operation
   f) Appropriate use of renewable energy.

10. Accurate and defensible project programs, budgets, and schedules developed prior to enumeration.

History: Resolution 7868 adopted 3/5/99; amended by Resolution 8431, 9/7/01
Upon recommendation of the President of the University of Wisconsin System, the Board of Regents adopts the following goals to guide the care of physical assets of the University of Wisconsin System campuses:

Appropriate stewardship of physical assets should occur using best practices that include:

1. An institutional commitment to assuring that there are adequate resources, optimal use of those resources, and adequate expertise to care for physical assets.

2. An accurate and current geographic information system (GIS) for all Board of Regents-owned land using a common UW System-wide format and minimum level of detail.

3. A comprehensive building space management function, accurate and current space inventory, and a comprehensive space use plan specific to each institution.

4. An accurate and current record of the physical condition and maintenance needs of all facilities.

5. Proper maintenance of all existing facilities so as to protect and extend the life of existing investments and ensure that facilities are usable for their intended purposes.

6. A commitment to Wisconsin’s heritage through historic preservation of historic buildings and other historic cultural resources.
Authority to Seek Enumeration of Additional 2013-15 Capital Budget 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 modify the 2013-15 Capital Budget recommendation previously submitted to the Department of Administration in September 2012, with the following additional requests for enumeration:

(1) UW-Milwaukee: Northwest Quadrant Student Health Services
    $11,066,000 Program Revenue Supported Borrowing

(2) UW-Oshkosh: Intramural Recreation Field Complex
    $4,328,000 Program Revenue Supported Borrowing
Background

Since the 2013-15 Capital Budget recommendations were considered by the Board of Regents in August 2012, additional progress has been made on two projects in planning that are now ready for further consideration. It is common that all projects in planning at UW System institutions cannot be fully prepared for recommendation by the August meeting in which the biennial budget is proposed. The projects do not impact the previous prioritization of state-funded projects adopted by the Board of Regents.

Recommendation

Approve modification of the 2013-15 Capital Budget recommendation previously submitted to the Department of Administration in September 2012, with the following requests for enumeration.

**Milwaukee  Northwest Quadrant Student Health Services  $11,066,000 PRSB**

This project will remodel approximately 30,000 GSF of space in the Northwest Quadrant for student health services that includes: clinical services; mental health and counseling services; AODA counseling; health education, promotion, and prevention services; and public health. The new space will replace space in the existing 14,200 GSF Norris Health Center, which will be repurposed for other uses, and eventually demolished.

**Oshkosh  Intramural Recreation Field Complex  $4,328,000 PRSB**

This project will develop the approximately four-acre site formerly occupied by the River Center and parking into a recreational field complex that includes two flag football fields, two recreational soccer fields, one regulation soccer field, two regulation rugby fields, and one regulation lacrosse field. The fields will be artificial turf, and will be fenced to control access and security. A restroom and concession building will be constructed. A double-membrane seasonally removable air-supported dome will be constructed over approximately 78,000 SF of fields, and will include an air-lock exit system, mechanical heating and inflation equipment, and a lighting system.
Major Project Request
2013-15 Biennium

Agency
University of Wisconsin

Institution
Milwaukee

Project Title
NWQ - Student Health Services

Project Description and Scope

This project will remodel approximately 37,000 GSF of space in Northwest Quadrant (NWQ) for Student Health Services on the first floor of Northwest Quadrant – Building B, and the second floor of Buildings B and C. The new facility will replace the 14,180 GSF Norris Health Center, which will eventually be demolished in accordance with the campus master plan. Space will be provided for services needed in a campus basic health module that include:

- Clinical Services: medical exam rooms, nursing, medical practitioner offices, pharmacy, lab and support spaces.
- Mental Health and Counseling Services: practitioner offices/counseling space, education space and support spaces.
- AODA Counseling: practitioner offices/counseling space, education space and support spaces.
- Health Education, Health Promotion and Prevention Services - practitioner offices, education space and support spaces.
- Public Health – utilizing both clinical and mental health space.

Background

The Northwest Quad (NWQ) contains the former Columbia-St. Mary’s (CSM) hospital campus. CSM moved to a new facility in 2009 and in May of 2010 NWQ was purchased by the university, adding 10.9 acres and 828,000 GSF of building space to campus. This is the largest addition of land and existing building area to the campus since the acquisitions of the Downer Seminary, Downer College and Milwaukee University School properties between 1961 and 1965. It will provide about half of the space needs identified by the 2010 Campus Master Plan.

Prior to the purchase, a 2005 feasibility study examined the condition of the CSM facilities and evaluated the implications of acquisition of the property for UWM. It found that this sole opportunity to significantly expand the physical boundary of the campus would address space needs requests of over 50 departments, provide swing space for temporary locations of departments during systems updating, and provide additional parking for the entire campus.

The NWQ has received minimal maintenance since the early 1990s, in anticipation of a move to new facilities. The mechanical systems for heating and cooling are not energy efficient by current standards but are in suitable condition for continued use. Electrical outlets, lighting, phone and data will need to be upgraded for the new uses.

The 2011 NWQ Space Planning Study reviewed the highest and best uses of the facility for the needs identified by the Master Plan. It found that continuing the Health, Education and Social Welfare theme would be the primary use, but that ancillary uses such as student health would also be appropriate.

Some operations are being located in spaces that do not require significant interior renovation and can be temporarily used until such time that major projects can be enumerated and undertaken. The parking ramp is in use, a portion of Building F is now occupied by Honors College, and space is being used as swing space for occupants displaced by renovation projects elsewhere on campus. More significant work includes a project that connects NWQ into the campus steam and chilled water systems, a project to relocate the Children’s Center to NWQ, and a project that will construct a greenhouse on the roof of Building C. Space is being remodeled to provide active learning classrooms with 2011-13 Classroom Instructional Technology Funds. The next portions of work will be remodeling space for Student Health Services, and restaurant and revenue generators. Remodeling of space for other functions will occur in subsequent biennia.

Student Health Services has been located in the Norris Health Center for approximately 50 years, since its acquisition with the Milwaukee-Downer College purchase. It was built in 1961 to house student health and nursing for Milwaukee-Downer College, and later, UWM, when the headcount was 8,713. Increases in student enrollment and changes in clinical and mental health care brought growth of staffing, a need for confidential work space, and a need for education work space. Changes were made in Norris to address the need for more space, starting in the late 1990s when attic space was finished to bring the total space to 14,180 GSF. In 2005-2008 continued space shortages led to relocating four administrative functions: purchasing, IT, business, and human resources, to Merrill Hall. Still later, in a continuing effort to improve
crowded conditions and meet standards for the counseling and consultation department, Student Health Promotion and Wellness was relocated to the Student Union.

**Analysis of Need**

Even with these changes noted above, the space constraints of Norris Health Center for the current enrollment of approximately 30,000 has resulted in lines out the door and individuals sitting in hallways waiting to be seen. Additionally, space constraints have resulted in physicians’ offices doubling as exam rooms, without the traditional separation of use and efficiency of multiple exam rooms per provider. UWM also has the largest population of returning veterans from deployment to war zones of any UW university, which further increases demand for medical services. The 2010 Campus Master Plan indicated a need of an additional 10,000 ASF/20,000 GSF, based on model space guidelines for university clinics.

The availability of basic health services influence academic achievement and affect civility, citizenship, and connectedness on campus. The Health Center sees 30,000 - 35,000 students per year, about 75% of all students. With peak visits at 200 per day, or 25 visits per hour, the current space can only service the most basic needs. The new space will be sized to accommodate current visits with shorter waiting time, and provide adequate services so that students do not need to go to local hospital emergency rooms for basic procedures. Expansion and relocation of the Student Health Services in the NWQ will bring together all components of basic health services, providing more efficient operations and more unified services to students.

An updated facility will also ensure continued accreditation from the Accreditation Association for Ambulatory Health Care (AAAHC) and meet the standards of the International Association of Counseling Services (IACS) indicating quality care for students. Accreditation occurs every three years, the next one being scheduled for fall of 2015. An indication of a plan for improving facilities will prove beneficial towards achieving continued accreditation.

After student health relocation, Norris space will be utilized for temporary swing space for various departments during other construction projects on campus, followed by final long term use. The NWQ space proposed for this project is currently empty and available for remodeling.

**Alternatives**

Recognizing that a small building such as the Norris Health Center no longer represents the highest and best uses for scarce UWM land, the master plan identified that building as one which would be demolished in the future. Therefore, adding to that building to meet student health needs is not a viable long-term alternative. Given the substantial existing shortage of academic space, there is no other space on campus apart from NWQ that could accommodate student health. Finally, while the characteristics of portions of NWQ limit potential uses for academic purposes, student health functions could function well in those spaces.

Currently, a planning study for NWQ is assessing the options for locating the various functions that have been identified for that building. Factors being considered include functionality, relationship to other users, access for students, code implications, infrastructure condition and requirements, and sequencing of projects. The optimal location for the Student Health Services will be identified based on consideration of those factors.

**Project Budget**

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<th>Description</th>
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<td>A/E Design:</td>
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<table>
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<th>Description</th>
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<tr>
<td>Program Revenue Supported Borrowing</td>
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**Funding Source**

$11,066,000
Fee Impact

This project will not result in any fee increase to students.

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<td>Building and Grounds</td>
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<td><strong>Total</strong></td>
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Project Schedule

- Program Approval: 08/2013
- A&E Selection: 11/2013
- Design Report Approval: 08/2015
- Bid Date: 09/2015
- Start Demolition: 10/2015
- Start Construction: 10/2015
- Substantial Completion: 04/2017
- Final Completion: 06/2017

Project Delivery

Due to the complexity and unique nature of multiple projects within the NWQ facility, a single prime delivery method will be requested. Accordingly, a waiver of §16.855 Wis. stat. under §13.48(19) Wis. stat. will be sought to allow for single-prime bidding.

Previous Action

None.
**Major Project Request**

**2013-15 Biennium**

<table>
<thead>
<tr>
<th>Agency</th>
<th>Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Wisconsin</td>
<td>Oshkosh</td>
</tr>
</tbody>
</table>

**Project Title**

Intramural Recreation Field Complex

**Project Description and Scope**

This project will develop the former River Commons site and adjacent parking lots (approximately 4.35 acres) into a recreation complex for the campus intramural sports program, with lighted multi-use artificial turf fields, ornamental fencing and a seasonal dome. The site will yield two (2) recreational flag football, two (2) recreational soccer, one (1) regulation soccer, one (1) regulation rugby and one (1) regulation lacrosse fields. The fields will be laid out in such a manner as to allow for two flag football or soccer games to occur at the same time. Ornamental fencing will be used to surround the site for the security of those on the fields, as well as vehicular traffic around the site, while allowing a defined entrance. A permanent building will be constructed near the main entrance, to provide concessions and restrooms facilities. Currently outdoor intramural sports leagues, sport club use and drop-in play are limited by daylight, especially in the fall, so addition of light to the complex increases the schedulable/useable days/hours.

A seasonal dome (366’ long x 212’ wide by 65’ high) will be installed over 77,592 SF of fields. This will continue the use of these fields for an additional five months (November – March). The dome itself is constructed of a double membrane structure with vinyl coated cables to reduce snow entrapment and an aluminum channel anchoring system which provides for the even distribution of uplift loads and forms an airtight bond around the entire perimeter base of the dome allowing for reduced energy costs. When removed from the site and stored, it leaves no protrusion or tripping points to affect continued field use.

While installed, the dome will be lighted with 78 suspended 1000-watt metal halide fixtures. Access into this structure will be via (1) aluminum, self-contained, 3-leaf revolving door for the mail entrance, with (7) aluminum 40” clear width emergency exit doors, complete with heavy-duty steel frame, viewing panel, panic hardware, exit lights and battery backup balanced around the perimeter. The method of inflating and heating the dome is accomplished by an “all-in-one” inflation package, complete with (1) 4.0 MBTU indirect fired furnace with a full modulation burner, stainless steel heat exchanger, thermostatic temperature control and all state-of-the-art operating components. The inflation package consists of a high-efficiency electric motor, fans, motorized dampers for pressure control and a remote control station allowing for adjustment of the dome’s internal pressure to its most energy efficient level as dictated by wind conditions.

**Background**

In 2010 the Board of Regents approved the campus master plan. As part of that plan, River Commons was to be demolished and redevelopment of the site was to address the need for intramural space within the campus proper for use by the general student population. In February 2012 the demolition of River Commons was authorized by the State Building Commission. In spring 2012, the Oshkosh Student Association put forth a referendum under OSA 11-023 to fund the development of this project. The Oshkosh students voted to approve the segregated fee increase to develop a recreation complex with lighted fields to be used by soccer, lacrosse, flag football and rugby. By spring of 2013, UW-Oshkosh will be ready to begin the redevelopment of this site into that complex.

**Analysis of Need**

Outdoor intramural sports leagues, sports club use, and drop-in play are currently limited by daylight and the condition of the grass fields, especially in the fall. National Intramural Recreational Sports Association (NIRSA) space planning guidelines recommend that a campus with the UW–Oshkosh student population size have 3.6 flag football fields, 3.96 soccer fields and 3.12 softball fields. Currently, the campus has three (3) softball fields, two (2) flag football fields, and one (1) soccer field for intramural use off-campus at the East Hall site. A business plan was developed by the Oshkosh Student Association, the Student Recreation Department and Administrative Services. With the construction of the Student Recreation and Wellness Center, High Avenue Parking Ramp and Sage Hall, the footprint of green space on the campus for student recreation needs had diminished.
A study was undertaken to help the campus develop a project budget and to review the various site options to determine feasibility of layout so that fields conform to the NIRSA standards. The use of artificial turf eliminates the use of harmful pesticides, herbicides and fertilizers, with an estimated reduction of maintenance costs by $30,000-$60,000 per field, per year.

Alternatives

Option 1: Do nothing. This will result in unfulfilled needs for the campus student population recreational space.

Option 2: Develop the complex south of the athletic fields located at the Oshkosh Sports Complex. This would require the purchase of a parcel property which has limitations on useable area due to a portion of the parcel being in the 100-year flood plan. The option that puts the intramural fields across the Fox River was presented to student leadership, and they did not support this location.

Project Budget

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Funding Source

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Fee Impact

Seg Fee will be increased by $5.00 per semester as approved by the Oshkosh Student Association Spring 2012 ballot.

Impact on Operating Budget

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Project Schedule

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Project Delivery

The campus will bring forward a turf field project in the spring of 2013 to develop/construct the fields and the infrastructure for the dome. It is yet undetermined if the dome itself will/could be purchased through the procurement process or publicly bid.

Previous Action

None.
Approval of the Concept and Guiding Principles for the Development of the Confluence Project by UW-Eau Claire and Partners, UW-Eau Claire

REVISED

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

Be it Resolved, that upon the recommendation of the UW-Eau Claire Interim Chancellor and the President of the University of Wisconsin System, the Board of Regents approves the concept of the public-private partnership known as the Confluence Project, a shared university and community arts facility and off-campus apartment-style student residence hall to be located in the South Barstow Historic Riverfront District in downtown Eau Claire, as it has been described in materials and a presentation to the Board’s Capital Planning and Budget Committee; and Further Resolved, that the Board of Regents approves the following guiding principles for the development of the Confluence Project if it is to involve participation by UW-Eau Claire and the UW System Board of Regents:

1. The entity or entities that will own and operate the private components of the Project’s arts facilities must provide satisfactory proof of an independent guarantor or surety of the financial and operational obligations of the entity or entities;

2. The Project’s operating agreement must ensure that neither UW-Eau Claire nor the Board of Regents will be liable for more than their prorated share of operational costs;

3. The value of the public component of the Project’s arts facilities must be directly proportional to the amount of the state investment in that component, as confirmed by independent audit;

4. The Project’s development process must be conducted in cooperation with the state Department of Administration and in compliance with all project delivery requirements relating to fair competition and transparency; and

5. The state investment in the entire Project must not exceed $25 million.

Be it Further Resolved, upon satisfaction of these guiding principles and upon the further recommendation of the UW-Eau Claire Interim Chancellor and the President, the Board of Regents will consider seeking enumeration of the state portion of the Project as an amendment in the 2013-15 Capital Budget for funding in 2015-17, or in subsequent capital budgets.
THE UNIVERSITY OF WISCONSIN SYSTEM

Request for
Board of Regents Action
October 2012

The Confluence Project
A Public Private Partnership – Eau Claire, Wisconsin

Background

The University of Wisconsin-Eau Claire 2010-2030 Campus Master Plan identifies a shared university-community arts center and an off-campus apartment-style student residence hall as goals of the plan. Because the site of the Haas Fine Arts building is limited by the Chippewa River and its floodways, it has been suggested that the best way to build a replacement for Kjer Theatre and meet the needs of upperclassman students and scholarly work of the faculty in the arts is to construct a second arts facility at a remote site. The site chosen is an area identified as a redevelopment and economic revitalization area of the South Barstow Historic Riverfront District in downtown Eau Claire.

The Confluence Project is planned on property commonly referred to as the “Haymarket Site,” consisting of the Farmers Store and Market Square buildings that border the downtown Haymarket parking lot. The property is owned by Haymarket Concepts LLC, which is a partnership between Commonweal Development Corp., Market and Johnson Inc., and Blugold Real Estate LLC, a subsidiary of the University of Wisconsin-Eau Claire Foundation. Expanding the site to include buildings along South Barstow Street to allow for additional commercial space is also being considered.

The property is less than a mile from the UW-Eau Claire Haas Fine Arts Center and two blocks from the State Theatre, the current home of the Eau Claire Regional Arts Council. The property is located at the confluence of the Eau Claire and Chippewa Rivers in downtown Eau Claire. Thus, the project has been dubbed The Confluence Project. The City of Eau Claire is in the midst of a strategic and comprehensive redesign of the streets and other physical features of the South Barstow Historic Riverfront District, including a river walk and plaza along the Chippewa and Eau Claire Rivers and a pedestrian bridge connecting the confluence site to Phoenix Park. The city plans to proceed with the redevelopment in the summer of 2013, creating an opportunity to incorporate the project into the comprehensive design.

Many distinct, yet complementary, visioning plans undertaken in recent years are all converging in support of this project. Those plans include the city of Eau Claire Comprehensive Plan, Clear Vision Eau Claire, UW-Eau Claire master plan, South Barstow Historic Riverfront District master plan, city of Eau Claire South Barstow redevelopment plan, The Good Life Cultural Survey, and Eau Claire Regional Arts Council Strategic Plan.
Project Description and Scope

The project consists of two buildings, one a student apartment, retail, and parking facility with approximately 27,100 GSF of commercial space on the ground level, 75,547 GSF of parking on two levels, and 156,875 GSF of student apartments on the remaining five floors, the other a 149,614 GSF fine and performing arts center. A park developed by the City of Eau Claire and connected with a city-constructed footbridge to Phoenix Park will separate the buildings.

The estimated cost of the university component on the arts facility is $25,000,000 General Fund Supported Borrowing, and the estimated cost of the university student residence component is $30,000,000 Program Revenue Supported Borrowing. Advance enumeration of the funding to purchase the two completed components would be requested through the 2013-15 Capital Budget for release in 2015-17.

The arts center will house units from the UW-Eau Claire fine and performing arts departments. The performing arts space will include a 1,200 seat theater; a 450 seat theater; a black box theater; and a back-of-house space that includes such functions as scenery and costume shops, dressing rooms, and a rehearsal space. The fine arts space will include 2D and 3D studios for advanced student work, space for faculty scholarly activities and work, and space for an advanced student gallery. In addition to sharing space with the university, the project will construct dedicated space for the Eau Claire Area Regional Arts Center and other local theatre groups.

The student residence will include accommodations for 300 beds in a mix of single and double occupancy rooms in a suite arrangement in which each four beds share a common bathroom and a kitchen. The building will also include recreation, study, and amenity space that are typical for a residence hall.

Discussion

1. In December 2011, UW-Eau Claire submitted its 20-year Campus Facilities Master Plan to the Board of Regents. The Master Plan was developed over a two-year period and included an in-depth space-needs analysis of all academic space, a housing demand study, and a dining study. These three components provided the campus with a wealth of information about current academic (classroom, lab, studio, and performance spaces), residence hall, and student services (student center, dining, and recreation spaces) facilities. That information provided a sound foundation for decisions about new building construction projects, renovations of existing buildings, and demolition of facilities.

2. The master plan identified three opportunities for collaboration with the community and/or private developers – a shared arts center, a shared major events center to replace Zorn Arena, and an off-campus apartment-style student housing complex.

3. Through its master planning process, the university identified improved fine and performing arts as its highest academic facilities priority and two new residence halls as
its highest student life facilities priority. The Confluence Project could potentially help address both priorities.

4. The master plan housing demand study determined current university student housing is at 108 percent capacity (in addition to all rooms being full, students live in study lounges and other spaces that were converted to provide capacity) and there is significantly more demand for university housing than is available. Current university housing capacity is 4,080, while the student population exceeds 11,000. The housing demand study demonstrated a potential demand for 4,700 university housing beds.

5. For more than a decade, the university has housed hundreds of students in local hotels. In fall 2012, an estimated 146 students are again housed in a local hotel.

6. The master plan identifies replacement of as many as three existing residence halls (Putnam, Katharine Thomas, and Horan) with new suite- and apartment-style residence halls, including an off-campus apartment-style hall.

7. The State of Wisconsin would have ownership of the student housing and the university’s dedicated space within the community arts center. Other partners would have ownership of their space within The Confluence, although much of the non-university space with the community arts center would be jointly shared by all arts organizations and the university.

8. Operating agreements are still being formulated, as it is currently envisioned that all partners in the community arts center would share administrative and maintenance responsibility for non-university spaces. University spaces would be administered and maintained by the university. The student housing would be administered and maintained by the university.

9. The State Theatre, which serves as the primary home of Eau Claire’s entertainment and cultural offerings, was built 86 years ago as a vaudeville house and is unsuitable for many modern productions. An analysis of the State Theatre indicates it would cost an estimated $10 million just to extend its useful life without making the necessary stage and technical improvements to support today’s more elaborate concerts and theatrical productions. Through the unique and innovative partnership of The Confluence, both the university and community could solve their arts facilities shortcomings and also have a significantly larger and higher-quality facility than either could afford or achieve alone.

10. Preliminary design concepts have been established, as have preliminary space requirements, all of which need confirmation during the next steps. The university will enter into a lease with the developer for performing arts space and the student apartment space, with intent to purchase the space as condominiums as soon as possible.

11. Consultants have been retained by the partnership to develop financial and operational models that will be required to guarantee the long-term success and stability of the project.
12. In addition to the Confluence Project, future renovation of the Haas Fine Arts Center will be needed. Renovation will be required on most of the existing 83,537 ASF/149,300 GSF building for the programs of the Art and Design, and Music and Theatre Arts departments. The architectural finishes and mechanical, plumbing, electrical, and telecommunications systems of the Haas Fine Arts Center would be renovated or replaced. Exterior work would include replacement of roof parapet flashing and exterior windows. Both elevators will be renovated. The project would also include remodeling to improve the functionality of existing space and convert existing vacant and underutilized building spaces to usable areas. Spaces in the building will include: classrooms, art labs, computer labs, theatres, rehearsal rooms, and support. The preliminary estimated cost of the renovation is $25,000,000.

13. UW-Eau Claire has sought a solution to meet the academic needs for fine and performing arts. In 2009-11 the campus requested consideration of a project to renovate and build an addition to Haas Fine Arts. The estimated cost of that project was approximately $60,000,000 General Fund Supported Borrowing. Construction of a new academic building, including the College of Education and Human Sciences, was determined to be a higher priority and is now under construction.

14. Due to the multiple parties involved in the Confluence Project development, approval of the concept with guiding principles will provide participants with the necessary framework to proceed with final plans.

15. Upon further development of physical, financial, and operational plans, the Board of Regents will be asked to request enumeration of funding in the 2013-15 Capital Budget.
The Current Site
The Proposed Site Development
A Rendering of the Proposed Facilities
I.4. Research, Economic Development, and Innovation Committee  
Thursday, October 4, 2012  
Memorial Student Center  
UW-Stout  
Menomonie, Wisconsin

1:00 p.m.  Research, Economic Development & Innovation Committee – Great Hall

a. Approval of the Minutes of the August 23, 2012 meeting of the REDI Committee

b. Overview of REDI Committee Linkage to Core Mission

c. UW System Economic Development Activity Report and Partnership Focus

d. Wisconsin Economic Development Corporation (WEDC) Perspective on Strategic Priorities and Collaborative Partnerships from WEDC Secretary Jadin

e. Panel Discussion of Northwest Regional Entrepreneurs Highlighting Their Business Experiences and Partnership with UW-Stout
UW SYSTEM ECONOMIC DEVELOPMENT ACTIVITY REPORT
AND PARTNERSHIP FOCUS

BACKGROUND

The newly formed Office of Economic Development has begun the process of developing and introducing a series of strategic initiatives designed to help strengthen relationships between the university and Wisconsin business. The plan will provide a road map for the orderly implementation of economic development strategies that are collaborative and innovative and which promote effective outreach.

REQUESTED ACTION

For information and discussion only; no action is required at this time.

DISCUSSION

The UW System is one of Wisconsin’s largest economic development assets. Senior Vice President for Administration & Fiscal Affairs Michael Morgan will provide an overview of the newly formed economic development function and its mission. He will outline the collaborative partnership that the UW System has established with the Wisconsin Economic Development Corporation (WEDC) in order to identify and coordinate linkages between the UW System and WEDC’s strategies of business and industry support, entrepreneurial growth, and international business development.

Associate Vice President for Economic Development David Brukardt will provide an overview of the Office of Economic Development’s mission and vision. He will discuss strategic goals designed to strengthen the UW System’s overall contribution to the economic development of the state, which will support professional development, outreach, and research at all UW System institutions.

RELATED REGENT POLICIES

No applicable Regent Policy Documents
PANEL DISCUSSION OF NORTHWEST REGIONAL ENTREPRENEURS

BACKGROUND

The Discovery Center advances UW-Stout's polytechnic focus by expanding the university's commitment to quality and innovation, transformative education, and interdisciplinary collaboration. Created in 2009, the Discovery Center also serves as a portal for economic development and entrepreneurial business support. Representatives from four regional businesses will discuss the value of business/university partnerships and their relationship with UW-Stout.

REQUESTED ACTION

For information and discussion only; no action is required at this time.

DISCUSSION

The panel will be moderated by Randy Hulke, UW-Stout Discovery Center director, and will include representatives from BTL Foods, Eau Claire; Johnson Electric Coil, Antigo; Shape Products, Menomonie; and White Winter Winery, Iron River. They have been asked to address what has worked effectively in their relationships with the university, the value of UW-Stout graduates, ways in which the university can be even more responsive, and the effect of state laws or regulations on the effectiveness of university-business relationships.

RELATED REGENT POLICIES

No applicable Regent Policy Documents
II.

**Friday, October 5, 2012**

9:00 a.m. **All Regents – Great Hall**

1. Calling of the roll

2. Approval of the minutes of the June and August meetings

3. 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. Additional items that the President may report to the Board

4. Report of the President of the System
   a. Update on recent events
   b. Update on preliminary enrollments in the UW System
   c. News from around the UW System

5. First in a Series of Discussions with Chancellors about UW Institutions’ Strategic Goals: UW-Stout Chancellor Charles Sorensen


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

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

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

10. Resolution of appreciation to UW-Stout as host of the October meeting

11. Communications, petitions, and memorials

12. Move into closed session to consider a UW-Madison salary adjustment, as permitted by s. 19.85(1)(c), *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.*
UPDATE ON PRELIMINARY ENROLLMENTS IN THE UW SYSTEM

EXECUTIVE SUMMARY

BACKGROUND

Enrollments at UW institutions fluctuate in any given year, with some UW colleges and universities meeting or exceeding their enrollment targets, and others not meeting them. In admitting new freshmen, UW institutions seek to anticipate from the number of applications they receive the numbers they should admit in order to yield a balanced, heterogeneous class of students based on their missions, institutional goals, and student demographics. Projecting which students will actually enroll (the yield rate) from among those they admit is an inexact science.

Each fall, the UW System examines head counts of new freshmen who enroll at UW colleges and universities. At its October 5, 2012, meeting, the Board of Regents will hear a presentation on preliminary enrollments at UW System institutions. The presentation will cover headcounts and full-time enrollments, resident and non-resident status, ten-year trends, with information from each UW institution.

As enrollment numbers become finalized at UW institutions, the findings are published annually by the UW System Office of Policy Analysis and Research as an informational memorandum on “The New Freshman Class.” This more comprehensive report includes a breakout of student enrollment in various categories, i.e., Wisconsin residents, non-residents (including international), women vs. men, age groups, racial and ethnic minority populations, first-generation, educational preparation, full- vs. part-time status, and other categories of students. The UW System’s annual accountability report, Investing in Wisconsin’s Future, presented to the Regents at their August 2012 meeting, also provides information on access and enrollments in the context of the System’s Growth Agenda for Wisconsin goal to produce more graduates.

REQUESTED ACTION

For discussion only; no action is required.

RELATED REGENCY AND UW SYSTEM POLICIES

Regent Policy Document 7-3: University of Wisconsin System Freshman Admissions Policy
UNIVERSITY OF WISCONSIN SYSTEM BOARD OF REGENTS COMMITTEES

President: Brent Smith
Vice President: Michael Falbo

STANDING COMMITTEES*

Executive Committee
Brent Smith (Chair)
Michael Falbo (Vice Chair)
Jeffrey Bartell
Mark Bradley
Tim Higgins
Regina Millner
Charles Pruitt
José Vásquez
Gerald Whitburn

Research, Economic Development, and Innovation Committee
Mark Bradley (Chair)
Tim Higgins (Vice Chair)
John Drew
Tracy Hribar
Charles Pruitt
Mark Tyler
David Walsh
Gerald Whitburn

Business, Finance, and Audit Committee
Gerald Whitburn (Chair)
John Behling (Vice Chair/Audit Liaison)
Mark Bradley
Tracy Hribar
Katherine Pointer
Charles Pruitt
Gary Roberts
David Walsh

Capital Planning and Budget Committee
Jeffrey Bartell (Chair)
Edmund Manydeeds (Vice Chair)
John Behling
Tony Evers
Regina Millner
Katherine Pointer
Gary Roberts
José Vásquez

Education Committee
José Vásquez (Chair)
Regina Millner (Vice Chair)
Jeffrey Bartell
John Drew
Tony Evers
Tim Higgins
Edmund Manydeeds
Mark Tyler

Personnel Matters Review Committee
Edmund Manydeeds (Chair)
John Behling
Mark Bradley
John Drew
Gary Roberts
Gerald Whitburn

Committee on Student Discipline and Other Student Appeals
John Behling (Chair)
Jeffrey Bartell
Tony Evers
Tim Higgins
Regina Millner
Katherine Pointer

Committee on Faculty and Academic Staff Collective Bargaining
NA

*The Regent President and Vice President serve as ex-officio voting members of all committees.
OTHER COMMITTEES*
& APPOINTMENTS

**Academic Staff Excellence Awards Committee**
Mark Tyler (Chair)
Tim Higgins
Tracy Hribar
Gerald Whitburn

**Diversity Awards Committee**
John Drew (Chair)
Tracy Hribar
Edmund Manydeeds
José Vásquez

**Teaching Excellence Awards Committee**
Charles Pruitt (Chair)
Katherine Pointer
Gary Roberts
Mark Tyler

**Higher Educational Aids Board – Regent Member**
Gary Roberts

**Hospital Authority Board – Regent Members**
Jeffrey Bartell
Michael Falbo
David Walsh

**Research Park Board – Regent Member**
David Walsh

**Wisconsin Educational Communications Board – Regent Member**
Regina Millner

**Wisconsin Technical College System Board – Regent Member**
José Vásquez

**Special Committee for the UW-Eau Claire Chancellor Search**
Edmund Manydeeds (Chair)
Jeff Bartell
John Behling
Tracy Hribar
Gary Roberts

**Special Committee for the UW-Madison Chancellor Search**
Charles Pruitt (Chair)
Regina Millner
Katherine Pointer
Brent Smith
David Walsh

**Wisconsin Partnership Program**
TBD

**Liaison to Association of Governing Boards**
Charles Pruitt

*The Regent President and Vice President serve as ex-officio voting members of all committees.*
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

UW SYSTEM BOARD OF REGENTS
REGULAR MEETING SCHEDULE – 2013

February 7-8, 2013 – In Madison

March 7, 2013 – In Madison

April 4-5, 2013 – Hosted by UW-La Crosse

June 6-7, 2013 – Hosted by UW-Milwaukee

July 11-12, 2013 – In Madison

September 5, 2013 – In Madison

October 10-11, 2013 – Hosted by UW-Parkside

December 5-6, 2013 – In Madison

(Tentative: hosted by UW-Madison)