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*Some documents may have page numbers displayed that do not correspond to their page number in this PDF.
THE UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE
BOARD OF TRUSTEES MEETING SCHEDULE
May 18-19, 2012
Dudley H. Davis Center
590 Main Street
Burlington, Vermont

Friday, May 18, 2012
8:00 a.m. – 11:00 a.m. COMMITTEE OF THE WHOLE
Silver Maple Ballroom (401)

11:15 a.m. – 12:00 p.m. BUDGET, FINANCE AND INVESTMENT COMMITTEE
Silver Maple Ballroom, (401)

11:15 a.m. – 12:00 p.m. EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES COMMITTEE
Livak Ballroom (417-419)

12:00 p.m. – 1:30 p.m. LUNCH FOR TRUSTEES
Sugar Maple Ballroom (400)

1:30 p.m. – 2:30 p.m. BUDGET, FINANCE AND INVESTMENT COMMITTEE
Silver Maple Ballroom (401)

1:30 p.m. – 2:30 p.m. EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES COMMITTEE
Livak Ballroom (417-419)

2:45 p.m. - 4:15 p.m. COMMITTEE OF THE WHOLE
Silver Maple Ballroom (401)

Saturday, May 19, 2012
7:30 a.m. – 8:30 a.m. VERMONT AGRICULTURAL COLLEGE BOARD
Chittenden Bank Room (413)

8:00 a.m. – 8:30 a.m. UNIVERSITY OF VERMONT BOARD
Boulder Society Room (411)

8:30 a.m. – 11:00 a.m. BOARD OF TRUSTEES
Livak Ballroom (417-419)
COMMENCEMENT WEEKEND ACTIVITIES
May 19-20, 2012

FOR INFORMATION ON INDIVIDUAL COLLEGE CEREMONIES CLICK HERE

Saturday, May 19, 2012
4:30 p.m. – 6:00 p.m. LEADERSHIP AND LEGACY RECEPTION
Mount Mansfield Room, Davis Center

6:00 p.m. – 8:00 p.m. HONORARY DEGREE DINNER
Billings Library

Sunday, May 20, 2012
7:00 a.m. – 8:15 a.m. PLATFORM PARTY BREAKFAST and ROBING
Billings Library

8:15 a.m. – 9:00 a.m. ACADEMIC PROCESSION
Billings Library

9:00 a.m. – 11:30 a.m. COMMENCEMENT CEREMONY
University Green

11:30 a.m. – 1:30 p.m. PRESIDENT'S LUNCHEON
Waterman Manor, Fifth Floor, Waterman Building
From: A. John Bramley, Interim President

To: Board of Trustees

Re: Annual Board Meeting, May 18-19, 2012

Enclosed are materials related to next week’s Board of Trustees meeting. Standing Committees of the Board will meet throughout the day on Friday. The UVM and Vermont Agricultural College Boards will meet on Saturday morning before the Full Board meeting.

Commencement activities begin Saturday afternoon and continue through lunch on Sunday. This year’s celebration will mark our 209th Commencement Exercise. I hope your schedule will permit you to attend as many events as possible.

Appended to this memo is a tabular summary that offers a succinct overview of all strategic action items coming before the Board. The summary and the individual committee meeting agendas and accompanying memos provide an excellent overview of key issues and decisions before the Board. Rather than review individual agendas, I want to draw your attention to several key University-wide strategic issues and action items before the Board:

- The Committee of the Whole will meet two times (under a single agenda with recesses at times certain). Time is reserved during the morning session to consider action items as recommended by the Executive and Board Governance Committees. The Committee will receive progress reports on the Strategic Initiative Project and Campaign Project Priorities. Two student teams participating in the UVM Senior Experience in Engineering Design (SEED) Program will present on their projects.

- The Committee will reconvene Friday afternoon for Committee Chairs to report on their recommendations regarding key strategic action items. UVM Foundation President and CEO Richard Bundy will offer a presentation that will update the Board on the Foundation’s first year in operation. Time will be reserved for a brief executive session for the purpose of discussing personal records relating to individuals. Action is anticipated following that discussion.
• The Educational Policy and Institutional Resources (EPIR) Committee will receive status updates and continue discussions on current Provost Office initiatives including the Strategic Initiatives Project, Program Viability Review and General Education. The Committee will be asked to approve the Vermont State 4-H Foundation as an affiliated organization. The Committee will also receive updates on Vermonters’ access to UVM and the Collegiate Learning Assessment.

• The Budget, Finance and Investment (BFI) Committee will review and discuss the administration’s recommended FY 2013 budget, including tuition and fees levels and room and meal rates. Included as attachment 2 in the Budget, Finance and Investment Committee section of the meeting materials is a detailed memorandum from Provost Knodell and Vice President Cate outlining the budget proposal. The Committee will also be asked to consider authorizing the administration to proceed with refunding 1998 and 2002 bonds.

• The UVM and Vermont Agricultural College Boards will elect their officers for the year. The Vermont Agricultural College Board will receive an overview of the Food Systems Summit to be held next month.

• At the Full Board meeting, an opportunity for public comment will be offered followed by committee reports from meetings held the previous day as well as from meetings held off-cycle. The Full Board will act on the consent agenda of recommended action items.

Chair Robert Cioffi, Janet and I will host a cocktail reception on Friday night at the Waterman Manor, at which senior leaders, deans and governance leaders, have been invited to join us. We look forward to seeing everyone next week.
**TABULAR SUMMARY OF STRATEGIC ACTION ITEMS**  
Board of Trustees, May 18-19, 2012

NOTE: “Strategic” in this context is defined as a matter that has significant strategic, fiduciary, or policy implications for UVM.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>COMMITTEE</th>
<th>EXECUTIVE SUMMARY</th>
<th>STRATEGIC, POLICY OR FIDUCIARY IMPLICATIONS</th>
<th>RELATED MATERIALS</th>
<th>PRESENTER(S)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statement on Executive Compensation</td>
<td>Committee of the Whole</td>
<td>Acceptance of Interim President’s report and Board directive to the administration to proceed with steps consistent with the report recommendations</td>
<td>Policy</td>
<td>Attachment 7 &amp; Appendix A</td>
<td>Interim President Bramley</td>
</tr>
<tr>
<td>Restructuring of Honorary Degree Work Group</td>
<td>Committee of the Whole</td>
<td>Board Governance recommendation to dissolve existing Honorary Degree Work Group and endorse the President’s adoption of an operating procedure applicable to Honorary Degrees and the Commencement Speaker</td>
<td>Policy</td>
<td>Attachment 7 &amp; Appendix B</td>
<td>Vice President &amp; Committee Liaison Fran Bazluke</td>
</tr>
<tr>
<td>Board Delegation and Retention of Authority</td>
<td>Committee of the Whole</td>
<td>Adoption of revision to Resolution as relates to previous action item</td>
<td>Fiduciary; Policy</td>
<td>Attachment 7; Appendix C</td>
<td>Vice President &amp; Committee Liaison Fran Bazluke</td>
</tr>
<tr>
<td>EPIR Committee Charge</td>
<td>Committee of the Whole</td>
<td>Housekeeping amendment; upon Board approval of previous action items</td>
<td>Fiduciary</td>
<td>Attachment 7; Appendix D</td>
<td>Vice President &amp; Committee Liaison Fran Bazluke</td>
</tr>
<tr>
<td>ITEM</td>
<td>COMMITTEE</td>
<td>EXECUTIVE SUMMARY</td>
<td>STRATEGIC, POLICY OR FIDUCIARY IMPLICATIONS</td>
<td>RELATED MATERIALS</td>
<td>PRESENTER(S)</td>
</tr>
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</tr>
<tr>
<td>FY 2013 General Fund Budget, Tuition; Fees</td>
<td>Budget, Finance &amp; Investment (BFI)</td>
<td>Resolutions seeking approval of General Fund budget and proposed tuition, room and board, and fees</td>
<td>Strategic; Fiduciary</td>
<td>Attachments 2 &amp; 3 and Appendices A-I</td>
<td>Provost Knodell; Vice President for Finance &amp; Administration Richard Cate</td>
</tr>
<tr>
<td>Bond Refunding</td>
<td>Budget, Finance &amp; Investment (BFI)</td>
<td>Resolution authorizing the administration to initiate refunding 1998 &amp; 2002 bonds</td>
<td>Strategic; Fiduciary</td>
<td>Separate Distribution</td>
<td>Vice President for Finance &amp; Administration Richard Cate</td>
</tr>
<tr>
<td>Affiliated Organization</td>
<td>Educational Policy &amp; Institutional Resources (EPIR)</td>
<td>Resolution approving Vermont State 4-H Foundation as affiliated organization</td>
<td>Fiduciary; Strategic</td>
<td>Attachment 2</td>
<td>Dean Doug Lantagne</td>
</tr>
</tbody>
</table>
Friday, May 18, 2012
8:00 a.m. – 11:00 a.m.

COMMITTEE OF THE WHOLE
Silver Maple Ballroom, 401 Dudley H. Davis Center

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<thead>
<tr>
<th>Item</th>
<th>Discussion Leader</th>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>Call to Order</td>
<td></td>
<td>8:00 a.m.</td>
</tr>
<tr>
<td>Approval of January 20, 24, 26, 27 &amp; 31 and February 3-4, 2012 meeting minutes</td>
<td>Robert Cioffi</td>
<td>8:00-8:05</td>
</tr>
<tr>
<td>Chair’s Report</td>
<td>Robert Cioffi</td>
<td>8:05-8:15</td>
</tr>
<tr>
<td>Interim President’s Report</td>
<td>John Bramley</td>
<td>8:15-8:25</td>
</tr>
<tr>
<td>Faculty Senate President’s Report</td>
<td>Julie Roberts</td>
<td>8:25-8:30</td>
</tr>
<tr>
<td>Graduate Student Senate President’s Report</td>
<td>Jude Dizon</td>
<td>8:30-8:35</td>
</tr>
<tr>
<td>Staff Council President’s Report</td>
<td>Ida Russin</td>
<td>8:35-8:40</td>
</tr>
<tr>
<td>Student Government Association President’s Report</td>
<td>Connor Daley</td>
<td>8:40-8:45</td>
</tr>
<tr>
<td>Alumni Council President’s Report</td>
<td>Ted Madden</td>
<td>8:45-8:50</td>
</tr>
<tr>
<td>Action Items</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive Committee Recommendation:</td>
<td>John Bramley</td>
<td>8:50-9:00</td>
</tr>
<tr>
<td>• Resolution Accepting Statement on Executive Compensation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Board Governance Committee Recommendations:</td>
<td>Francine Bazlueke</td>
<td></td>
</tr>
<tr>
<td>• Resolution Dissolving the Current HDWG, Endorsing the President’s Adoption of a University Operating Procedure Applicable to Honorary Degrees &amp; Commencement Speaker, and Adopting Revisions to the Resolution Regarding Delegation and Retention of Board Authority; also related</td>
<td></td>
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</tr>
<tr>
<td>• Resolution Approving Amendment to the Educational Policy &amp; Institutional Resources Charge</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Acknowledgement of Grants and Contract Awards Report</td>
<td>Robert Cioffi</td>
<td>9:00-9:05</td>
</tr>
<tr>
<td>Break</td>
<td></td>
<td>9:35-9:45</td>
</tr>
<tr>
<td>Strategic Initiatives Project Status Update</td>
<td>Jane Knodell</td>
<td>9:45-10:30</td>
</tr>
<tr>
<td>Campaign Project Priorities</td>
<td>Jane Knodell</td>
<td>10:30-10:50</td>
</tr>
<tr>
<td>Other Business</td>
<td>Robert Cioffi</td>
<td>10:50-11:00</td>
</tr>
<tr>
<td>Recess</td>
<td></td>
<td>11:00 a.m.</td>
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Note: All times are approximate
### BUDGET, FINANCE AND INVESTMENT COMMITTEE
Silver Maple Ballroom, 401 Dudley H. Davis Center

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<td>Approval of the April 16, 2012 meeting minutes</td>
<td>Sam Bain</td>
<td>11:15-11:20</td>
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| Follow-up on Financial Aid Components | Richard Cate
Ted Winfield | 11:20-11:45 |
| FY 2013 Budget – Resolutions approving: | Jane Knodell
Richard Cate
Ted Winfield | 11:45-12:00 |
| • FY 2013 Tuition Rates | |
| • FY 2013 Room/Meal Rates | |
| • FY 2013 Student Fees | |
| • General Fund | |
| Recess | | 12:00 p.m. |

### EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES COMMITTEE
Livak Ballroom, 417-419 Dudley H. Davis Center

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<th>Discussion Leader</th>
<th>Time</th>
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<tbody>
<tr>
<td>Call to Order</td>
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<td>11:15 a.m.</td>
</tr>
<tr>
<td>Approval of February 3, 2012 meeting minutes</td>
<td>Donna Sweaney</td>
<td>11:15-11:20</td>
</tr>
<tr>
<td>Report by the Faculty Senate Curricular Affairs Committee Chair (Discussion)</td>
<td>Cathy Paris</td>
<td>11:20-11:25</td>
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</table>
| Action Items | Cathy Paris
Doug Lantagne
Wanda Heading-Grant | 11:25-11:30 |
| • Resolution Approving On-Line Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants | |
| • Resolution Approving Vermont State 4-H Foundation as an Affiliated Organization | |
| • Reaffirmation of the Equal Employment Opportunity/Affirmative Action and Equal Opportunity in Education Programs and Activities and Non-Harassment Policies | |
| Standardizing Graduate Education Credit Requirement Practices | Cindy Forehand | 11:30-11:35 |
| Program Viability Review | Brian Reed | 11:35-11:40 |
| General Education Update | Julie Roberts | 11:40-11:45 |
| Vermonters’ Access to UVM | Brian Reed | 11:45-11:55 |
| Collegiate Learning Assessment Update | Brian Reed | 11:55-12:00 |
| Recess | | 12:00 p.m. |

### LUNCH FOR TRUSTEES
Sugar Maple Room, 400 Dudley H. Davis Center

### BUDGET, FINANCE AND INVESTMENT COMMITTEE
Silver Maple Ballroom, 401 Dudley H. Davis Center

<table>
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<th>Discussion Leader</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reconvene</td>
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<td>1:30 p.m.</td>
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</table>
| Authorization to Proceed with Bond Refunding | Richard Cate
Ted Winfield | 1:30-1:50 |
| Report of the Investment Subcommittee | Sam Bain | 1:50-2:00 |
| • Endowment Performance Update | |
| Socially Responsible Investing Work Group Update | Claire Burlingham | 2:00-2:10 |
| • Resolution Reaffirming Divestiture from Sudan | |

Note: All times are approximate
Contract Approvals:
- Resolution Approving Contract with Apple, Inc., for Computer Depot Equipment Resale Purchase
- Resolution Approving Contract with Presidio Networked Solutions
- Resolution Approving Contract with Sodexo, Inc.
- Resolution Approving Office Supply Contract with Staples, Inc.
- Resolution Approving Contract Renewal with Philips Medical Capital
- Resolution Approving Agreement with TIAA-CREF

Vice President’s Report
- Third Quarter General Fund Budget to Actuals
- Campus Beverage Vendor Contract Update

Other Business*
- Resolution Approving Agreement with TIAA-CREF

Adjourn

*Executive Session as needed.

1:30 p.m. – 2:30 p.m.  
EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES COMMITTEE
Livak Ballroom, 417-419 Dudley H. Davis Center

<table>
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<th>Discussion Leader</th>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>Reconvene</td>
<td></td>
<td>1:30 p.m.</td>
</tr>
<tr>
<td>Provost’s Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Q&amp;A Routine and Annual Reports</td>
<td>Jane Knodell</td>
<td>1:30-1:40</td>
</tr>
<tr>
<td>- TRI Annual Report</td>
<td>Jane Knodell &amp;</td>
<td></td>
</tr>
<tr>
<td>- UVM Foundation Report</td>
<td>Dom Grasso</td>
<td></td>
</tr>
<tr>
<td>- Capital Projects Progress Report</td>
<td>Rich Bundy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Bob Vaughan</td>
<td></td>
</tr>
<tr>
<td>Strategic Initiative Project Update</td>
<td>Jane Knodell</td>
<td>1:40-2:25</td>
</tr>
<tr>
<td>Other Business*</td>
<td>Donna Sweeney</td>
<td>2:25-2:30</td>
</tr>
<tr>
<td>- Review of work plan and preview of</td>
<td></td>
<td></td>
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<tr>
<td>next meeting agenda</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adjourn</td>
<td></td>
<td>2:30 p.m.</td>
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</tbody>
</table>

*Executive Session as needed.

2:45 p.m. – 4:15 p.m.  
COMMITTEE OF THE WHOLE  
Silver Maple Ballroom, 401 Dudley H. Davis Center

<table>
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<tr>
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<th>Discussion Leader</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reconvene</td>
<td></td>
<td>2:45 p.m.</td>
</tr>
<tr>
<td>Educational Policy &amp; Institutional</td>
<td>Donna Sweeney</td>
<td>2:45-3:00</td>
</tr>
<tr>
<td>Resources Committee Chair Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget, Finance and Investment</td>
<td>Sam Bain</td>
<td>3:00-3:15</td>
</tr>
<tr>
<td>Committee Chair Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UVM Foundation Presentation</td>
<td>Richard Bundy</td>
<td>3:15-4:00</td>
</tr>
<tr>
<td>Executive Session *</td>
<td>Robert Cioffi</td>
<td>4:00-4:10</td>
</tr>
<tr>
<td></td>
<td>Harry Chen</td>
<td></td>
</tr>
<tr>
<td>Other Business</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Resolution delegating authority to</td>
<td>Robert Cioffi</td>
<td>4:10-4:15</td>
</tr>
<tr>
<td>the Executive Committee to authorize</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the President to offer and confer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>honorary degrees at 2013 Commencement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adjourn</td>
<td></td>
<td>4:15 p.m.</td>
</tr>
</tbody>
</table>

*The Chair will entertain a motion to enter into Executive Session for the purpose of discussing personal records relating to individuals. Action is anticipated following the session.

Note: All times are approximate
## Vermont Agricultural College Board

**Chittenden Bank Room, 413 Dudley H. Davis Center**

<table>
<thead>
<tr>
<th>Item</th>
<th>Discussion Leader</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call to Order</td>
<td>Jeanette White</td>
<td>7:30 a.m.</td>
</tr>
<tr>
<td>Approval of February 4, 2012 meeting minutes</td>
<td>Jeanette White</td>
<td>7:30-7:35</td>
</tr>
<tr>
<td>Election of Officers – Chair, Vice Chair and Secretary</td>
<td>Jeanette White</td>
<td>7:35-7:40</td>
</tr>
<tr>
<td>Overview of the June 24-29, 2012 Food Systems Summit</td>
<td>Cynthia Belliveau</td>
<td>7:40-8:25</td>
</tr>
<tr>
<td>Other Business*</td>
<td>Jeanette White</td>
<td>8:25-8:30</td>
</tr>
<tr>
<td>Adjourn</td>
<td></td>
<td>8:30 a.m.</td>
</tr>
</tbody>
</table>

*Executive Session as needed.

## University of Vermont Board

**Boulder Society Room, 411 Dudley H. Davis Center**

<table>
<thead>
<tr>
<th>Item</th>
<th>Discussion Leader</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call to Order</td>
<td>David Daigle</td>
<td>8:00 a.m.</td>
</tr>
<tr>
<td>Approval of February 4 and March 9, 2012 meeting minutes</td>
<td>David Daigle</td>
<td>8:00-8:05</td>
</tr>
<tr>
<td>Wilbur Trust Update</td>
<td>David Daigle</td>
<td>8:05-8:10</td>
</tr>
<tr>
<td>Election of Officers – Chair, Vice Chair and Secretary</td>
<td>David Daigle</td>
<td>8:10-8:15</td>
</tr>
<tr>
<td>Other Business*</td>
<td>David Daigle</td>
<td>8:15-8:30</td>
</tr>
<tr>
<td>Adjourn</td>
<td></td>
<td>8:30 a.m.</td>
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</tbody>
</table>

*Executive Session as needed.

## Full Board

**Livak Ballroom, 417-419 Dudley H. Davis Center**

<table>
<thead>
<tr>
<th>Item</th>
<th>Discussion Leader</th>
<th>Time</th>
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<tbody>
<tr>
<td>Call to Order</td>
<td>Robert Cioffi</td>
<td>8:30 a.m.</td>
</tr>
<tr>
<td>Approval of March 12, 2012 meeting minutes</td>
<td>Robert Cioffi</td>
<td>8:30-8:35</td>
</tr>
<tr>
<td>Public Comment</td>
<td>Robert Cioffi</td>
<td>8:35-8:50</td>
</tr>
<tr>
<td>Committee Reports</td>
<td></td>
<td>8:50-9:20</td>
</tr>
<tr>
<td>Educational Policy and Institutional Resources</td>
<td>Donna Sweaney</td>
<td></td>
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<tr>
<td>Budget, Finance and Investment</td>
<td>Sam Bain</td>
<td></td>
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<tr>
<td>Audit Committee</td>
<td>Mark Young</td>
<td></td>
</tr>
<tr>
<td>Board Governance</td>
<td>Frank Cioffi</td>
<td></td>
</tr>
<tr>
<td>VT Agricultural College Board</td>
<td>Jeanette White</td>
<td>9:20-9:25</td>
</tr>
<tr>
<td>UVM Board</td>
<td>David Daigle</td>
<td>9:25-9:30</td>
</tr>
<tr>
<td>Approval of Consent Agenda</td>
<td>Robert Cioffi</td>
<td>9:30-9:45</td>
</tr>
<tr>
<td>Executive Session*</td>
<td>Robert Cioffi</td>
<td>9:45-10:45</td>
</tr>
<tr>
<td>Other Business</td>
<td>Robert Cioffi</td>
<td>10:45-11:00</td>
</tr>
<tr>
<td>Adjourn</td>
<td></td>
<td>11:00 a.m.</td>
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</tbody>
</table>

*Executive Session as needed.

*Note: All times are approximate*
THE UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE
BOARD OF TRUSTEES

COMMITTEE OF THE WHOLE

Chair Robert Cioffi, Vice Chair Harry Chen, Secretary Donna Sweaney, Samuel Bain, Bill Botzow, Interim President John Bramley, Carolyn Branagan, Christopher Bray, Robert Brennan, Frank Cioffi, David Daigle, Jeffrey Davis, Kyle DeVivo, Richard Gamelli, Joan Lenes, Dennis Mahoney, Debbie McAneny, David Potter, Kesha Ram, Dale Rocheleau, William Ruprecht, Peter Shumlin, Lisa Ventriss, Jeanette White and Mark Young

Friday, May 18, 2012
8:00 a.m. – 11:00 a.m.
2:45 p.m. – 4:15 p.m.
Silver Maple Ballroom, (401) Dudley H. Davis Center

AGENDA

<table>
<thead>
<tr>
<th>Item</th>
<th>Enclosure</th>
<th>Discussion Leader</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Call to Order</td>
<td>Attachments 1a-f</td>
<td>Robert Cioffi</td>
<td>8:00 a.m.</td>
</tr>
<tr>
<td>2. Approval of the following meeting minutes: January 20, 24, 26, 27 &amp; 31 and February 3-4, 2012</td>
<td>Attachments 1a-f</td>
<td>Robert Cioffi</td>
<td>8:00 – 8:05</td>
</tr>
<tr>
<td>3. Chair’s Report</td>
<td></td>
<td>Robert Cioffi</td>
<td>8:05 – 8:15</td>
</tr>
<tr>
<td>4. Interim President’s Report</td>
<td></td>
<td>John Bramley</td>
<td>8:15 – 8:25</td>
</tr>
<tr>
<td>5. Faculty Senate President’s Report</td>
<td>Attachment 2</td>
<td>Julie Roberts</td>
<td>8:25 – 8:30</td>
</tr>
<tr>
<td>6. Graduate Student Senate President’s Report</td>
<td>Attachment 3</td>
<td>Jude Dizon</td>
<td>8:30 – 8:35</td>
</tr>
<tr>
<td>7. Staff Council President’s Report</td>
<td>Attachment 4</td>
<td>Ida Russin</td>
<td>8:35 – 8:40</td>
</tr>
<tr>
<td>8. Student Government Association President’s Report</td>
<td>Attachment 5</td>
<td>Connor Daley</td>
<td>8:40 – 8:45</td>
</tr>
<tr>
<td>9. Alumni Council President’s Report</td>
<td>Attachment 6</td>
<td>Ted Madden</td>
<td>8:45 – 8:50</td>
</tr>
<tr>
<td>9. Action Items</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive Committee Recommendation: • Resolution Accepting Statement on Executive Compensation</td>
<td>Attachment 7 &amp; Appendix A</td>
<td>John Bramley</td>
<td>8:50 – 9:00</td>
</tr>
<tr>
<td>Board Governance Committee Recommendations: • Resolution Dissolving the Current HDWG, Endorsing the President’s Adoption of a University Operating Procedure Applicable to Honorary Degrees &amp; Commencement Speaker, and Adopting Revisions to the Resolution Regarding Delegation and Retention of Board Authority; also related • Resolution Approving Amendment to the Educational Policy &amp; Institutional Resources Charge</td>
<td>Attachment 7 &amp; Appendix B &amp; C</td>
<td>Francine Bazluke</td>
<td></td>
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<tr>
<td>Item</td>
<td>Enclosure</td>
<td>Discussion Leader</td>
<td>Time</td>
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<td><strong>(break)</strong></td>
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<td></td>
<td>9:35 – 9:45</td>
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<tr>
<td>12. Strategic Initiatives Project Status Update</td>
<td>Attachment 9</td>
<td>Jane Knodell</td>
<td>9:45 – 10:30</td>
</tr>
<tr>
<td>13. Campaign Project Priorities</td>
<td>Attachment 10</td>
<td>Jane Knodell</td>
<td>10:30 – 10:50</td>
</tr>
<tr>
<td>14. Other Business</td>
<td></td>
<td>Robert Cioffi</td>
<td>10:50 – 11:00</td>
</tr>
<tr>
<td><strong>Recess</strong></td>
<td></td>
<td></td>
<td><strong>11:00 a.m.</strong></td>
</tr>
<tr>
<td><strong>Reconvene</strong></td>
<td></td>
<td></td>
<td><strong>2:45 p.m.</strong></td>
</tr>
<tr>
<td>15. Educational Policy &amp; Institutional Resources Committee Chair Report</td>
<td></td>
<td>Donna Sweaney</td>
<td>2:45 – 3:00</td>
</tr>
<tr>
<td>16. Budget, Finance and Investment Committee Chair Report</td>
<td></td>
<td>Sam Bain</td>
<td>3:00 – 3:15</td>
</tr>
<tr>
<td>17. UVM Foundation Presentation</td>
<td></td>
<td>Richard Bundy</td>
<td>3:15 – 4:00</td>
</tr>
<tr>
<td>18. Executive Session *</td>
<td></td>
<td>Robert Cioffi, Harry Chen</td>
<td>4:00 – 4:10</td>
</tr>
<tr>
<td>19. Other Business</td>
<td>Attachment 7</td>
<td>Robert Cioffi</td>
<td>4:10 – 4:15</td>
</tr>
<tr>
<td>• Resolution delegating authority to the Executive Committee to authorize the President to offer and confer honorary degrees at 2013 Commencement</td>
<td></td>
<td></td>
<td><strong>4:15 p.m.</strong></td>
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</tbody>
</table>

*The Chair will entertain a motion to enter into Executive Session for the purpose of discussing personal records relating to individuals. Action is anticipated following the session.

Times are approximate.
Committee of the Whole - Executive Summary
Friday, May 18, 2012
Prepared by: Robert Cioffi, Chair

Our meeting will begin with the President’s and Chair’s routine reports followed by an opportunity for Trustees to ask questions of the Governance Leaders in response to their written reports. The Committee will be asked to consider action items as outlined below. Time has been reserved for students to present on the Senior Experience in Engineering Designs Program and for updates on the Strategic Initiatives Project and Campaign Project Priorities. The Committee will reconvene in the afternoon for Chairs to report on their committee meetings and recommendations including the FY 2013 budget. The afternoon session will conclude with a presentation on the UVM Foundation and a brief executive session to discuss personal records relating to individuals with action anticipated following the session.

ACTION ITEMS

Approval of Previous Meeting Minutes
The minutes for the January 20, 24, 26, 27 & 31 and February 3 & 4, 2012 meeting minutes are included as Attachments 1a-f.

Action: Motion to approve the minutes.

Resolution Accepting Statement on Executive Compensation
Last October, I charged the President with preparing an assessment of issues associated with executive compensation, exclusive of specifics associated with presidential compensation which were addressed by the Board separately. The result of that assessment is the Statement on Executive Compensation included as Appendix A to Attachment 7 in the meeting materials. The Executive Committee reviewed the Statement at its meeting last month and recommends it to the full Board for acceptance. The Executive Committee further recommends the administration proceeds with steps consistent with the report’s recommendations.

Action: Approval of resolution accepting the Statement on Executive Compensation.
Attachment 7

Proposal to Restructure the Honorary Degree Work Group (HDWG)
On February 27, 2012, the Committee on Board Governance reviewed a proposal to dissolve the current Honorary Degree Work Group and endorsed the recommendation that the President appoint an advisory committee comprised of the governance group leaders, two faculty members, the Foundation CEO or designee, and administrative appointees to annually develop a list of honorary degree candidates. The President’s Advisory Committee would be guided by a University Operating Procedures and the President would periodically brief the Board and/or the Executive Committee as the nominee list develops and candidates are screened. The Faculty Senate approved this proposal on April 9, 2012.

The restructuring necessitates a housekeeping amendment to the Resolution Regarding Delegation and Retention of Board Authority.
Action: Approval of resolution dissolving the current Honorary Degree Work Group; endorsing the President’s adoption of the University Operating Procedures applicable to Honorary Degrees and Commencement Speaker; and the proposed amendment to the Resolution regarding Board Delegation and Retention of Authority. Attachment 7 & Appendices B & C

Amendment to the Educational Policy & Institutional Resources Committee Charge
Upon Board approval of the recommendation regarding restructuring the Honorary Degree Work Group, the Board will be asked to approve a housekeeping amendment to the Educational Policy & Institutional Resources Committee Charge included as Appendix D to Attachment 7.

Action: Approval of resolution amending the charge of the Educational Policy & Institutional Resources Committee. Attachment 7

STATUS UPDATES

Strategic Initiatives Project (SIP) Status Update – Provost Jane Knodell will report on the work of SIP including updates on prioritized strategic investments; cost reduction and productivity improvement opportunities; revenue generating opportunities; and the Strategic Value and Financial Attractiveness criteria and metrics for assessing our current array of academic programs. Attachment 9

Campaign Project Priorities – Provost Knodell and Foundation President and CEO Richard Bundy will report on the methods used to generate, review and rank campaign proposals and the outcome of that process. Attachment 10

UVM Foundation Presentation – UVM Foundation President and CEO Richard Bundy will offer a presentation that will update the Board on the Foundation’s first year in operation.

DISCUSSION ITEMS

Academic Presentation – Vice President for Research and Dean of the Graduate College Domenico Grasso and Interim Dean of the College of Engineering and Mathematical Sciences Chip Cole will introduce two student teams and their faculty mentors participating in the UVM Senior Experience in Engineering Design (SEED) program. A student presenter from each team will present on their project. An abstract of each presentation is included in Attachment 8.

Educational Policy & Institutional Resources Committee Chair Report – Time will be reserved during the afternoon session for Chair Donna Sweaney to report and entertain questions on actions items recommended for Board approval.

Budget, Finance & Investment Committee Chair Report – Time will be reserved during the afternoon session for Vice Chair Samuel Bain to report on and entertain questions on actions items recommended for Board approval including the Committee’s FY 2013 budget recommendations.
OTHER BUSINESS

Time has been reserved for the Committee to meet in executive session in the afternoon to discuss personal records relating to individuals. This session is anticipated to last approximately ten minutes. The following action is anticipated following the afternoon session:

1. Resolution delegating authority to the Executive Committee to authorize the President to offer and confer honorary degrees at 2013 Commencement pursuant to the status report provided today. Attachment 7

ROUTINE REPORTS

Faculty Senate President’s Report - Attachment 2
Graduate Student Senate President’s Report - Attachment 3
Staff Council President’s Report - Attachment 4
Student Government Association President’s Report - Attachment 5
Alumni Council President’s Report - Attachment 6
Grants and Contract Awards Report - Report A
The Committee of the Whole of the University of Vermont and State Agricultural College Board of Trustees was held on Friday, January 20, 2012 at 7:30 a.m. in the Chittenden Bank Room, 413 Dudley H. Davis Center.

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Ian Boyce*, Christopher Bray, Frank Cioffi, Jeffrey Davis, Debbie McAneny*, David Potter, Lisa Ventriss, and Mark Young

MEMBERS ABSENT: President John Bramley, Secretary Bill Botzow, Samuel Bain, Carolyn Branagan, David Daigle, Kyle DeVivo, John Hilton, Jr., Joan Lenes, Kesha Ram, Dale Rocheleau, Bill Ruprecht, Governor Peter Shumlin, Brian Sozansky, Donna Sweaney, and Jeanette White

OTHER PARTICIPANTS: Sabah Randhawa and Uzma Ahmad

*via conference call.

At 7:35 a.m., Chair Cioffi called the meeting to order.

Executive Session

At 7:37 a.m., Chair Cioffi entertained a motion to go into executive for the purpose of discussing the appointment or employment or evaluation of a public officer. He reported that no action will be taken following executive session.

Adjournment

The meeting was reopened to the public at 9:00 a.m. There being no further business, the meeting was adjourned.

Respectfully submitted,

Robert F. Cioffi, Chair
BOARD OF TRUSTEES
COMMITTEE OF THE WHOLE
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

The Committee of the Whole of the University of Vermont and State Agricultural College Board of Trustees was held on Tuesday, January 24, 2012 at 7:30 a.m. in the Frank Livak Ballroom, 417 Dudley H. Davis Center.

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Christopher Bray, Frank Cioffi, David Daigle*, Jeffrey Davis, Kyle DeVivo, Debbie McAneny*, David Potter, Dale Rocheleau, Brian Sozansky, Lisa Ventriss, and Mark Young

MEMBERS ABSENT: President John Bramley, Secretary Bill Botzow, Samuel Bain, Ian Boyce, Carolyn Branagan, John Hilton, Jr., Joan Lenes, Kesha Ram, Bill Ruprecht, Governor Peter Shumlin, Donna Sweaney, and Jeanette White

OTHER PARTICIPANTS: Meredith Hay and Tamara Crockett

*via conference call

At 8:00 a.m., following breakfast, Chair Cioffi called the meeting to order.

Executive Session

At 8:02 a.m., Chair Cioffi entertained a motion to go into executive for the purpose of discussing the appointment or employment or evaluation of a public officer. He reported that no action will be taken following executive session.

Adjournment

The meeting was reopened to the public at 9:30 a.m. There being no further business, the meeting was adjourned.

Respectfully submitted,

Robert F. Cioffi, Chair
BOARD OF TRUSTEES
COMMITTEE OF THE WHOLE
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

The Committee of the Whole of the University of Vermont and State Agricultural College Board of Trustees was held on Thursday, January 26, 2012 at 7:30 a.m. in the Chittenden Bank Room, 413 Dudley H. Davis Center.

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Christopher Bray, Frank Cioffi, Jeffrey Davis, Debbie McAneny*, David Potter, Dale Rocheleau, Lisa Ventriss, and Mark Young

MEMBERS ABSENT: President John Bramley, Secretary Bill Botzow, Samuel Bain, Ian Boyce, Carolyn Branagan, David Daigle, Kyle DeVivo, John Hilton, Jr., Joan Lenes, Kesha Ram, Bill Ruprecht, Governor Peter Shumlin, Brian Sozansky, Donna Sweaney, and Jeanette White

OTHER PARTICIPANTS: Thomas Sullivan and Leslie Black Sullivan

*via conference call

At 8:00 a.m., following breakfast, Chair Cioffi called the meeting to order.

Executive Session

At 8:02 a.m., Chair Cioffi entertained a motion to go into executive for the purpose of discussing the appointment or employment or evaluation of a public officer. He reported that no action will be taken following executive session.

Adjournment

The meeting was reopened to the public at 9:15 a.m. There being no further business, the meeting was adjourned.

Respectfully submitted,

Robert F. Cioffi, Chair
BOARD OF TRUSTEES
COMMITTEE OF THE WHOLE
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

The Committee of the Whole of the University of Vermont and State Agricultural College Board of Trustees was held on Friday, January 27, 2012 at 7:30 a.m. in Memorial Lounge, 338 Waterman Building.

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Secretary Bill Botzow, Christopher Bray, Frank Cioffi, David Daigle*, Jeffrey Davis, Kyle DeVivo, Debbie McAneny*, Dale Rocheleau, Lisa Ventriss, and Mark Young

MEMBERS ABSENT: President John Bramley, Samuel Bain, Ian Boyce, Carolyn Branagan, John Hilton, Jr., Joan Lenes, David Potter, Kesha Ram, Bill Ruprecht, Brian Sozansky, Governor Peter Shumlin, Donna Sweaney, and Jeanette White

OTHER PARTICIPANTS: Robert and Elizabeth Palazzo

*via conference call

At 8:00 a.m., following breakfast, Chair Cioffi called the meeting to order.

Executive Session

At 8:02 a.m., Chair Cioffi entertained a motion to go into executive for the purpose of discussing the appointment or employment or evaluation of a public officer. He reported that no action will be taken following executive session.

Adjournment

The meeting was reopened to the public at 9:10 a.m. There being no further business, the meeting was adjourned.

Respectfully submitted,

Robert F. Cioffi, Chair
The Committee of the Whole of the University of Vermont and State Agricultural College Board of Trustees was held on Tuesday, January 31, 2012 at 7:30 a.m. in Memorial Lounge, 338 Waterman Building.

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Secretary Bill Botzow*, Christopher Bray, Frank Cioffi* David Daigle*, Jeffrey Davis, Kyle DeVivo, David Potter*, Dale Rocheleau, Lisa Ventriss, and Mark Young

MEMBERS ABSENT: President John Bramley, Samuel Bain, Ian Boyce, Carolyn Branagan, John Hilton, Jr., Joan Lenes, Debbie McAneny, Kesha Ram, Bill Ruprecht, Governor Peter Shumlin, Brian Sozansky, Donna Sweeney, and Jeanette White

OTHER PARTICIPANTS: Thomas and Anne Apple

*via conference call

At 8:00 a.m., following breakfast, Chair Cioffi called the meeting to order.

Executive Session

At 8:02 a.m., Chair Cioffi entertained a motion to go into executive for the purpose of discussing the appointment or employment or evaluation of a public officer. He reported that no action will be taken following executive session.

Adjournment

The meeting was reopened to the public at 9:30 a.m. There being no further business, the meeting was adjourned.

Respectfully submitted,

Robert F. Cioffi, Chair
The Committee of the Whole of the University of Vermont and State Agricultural College Board of Trustees was held on Friday, February 3, 2012 at 8:00 a.m., in the Silver Maple Ballroom, Room 401 at the Dudley H. Davis Center

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Secretary Donna Sweaney, Samuel Bain*, Bill Botzow, Ian Boyce, Interim President John Bramley, Carolyn Branagan, Christopher Bray, Frank Cioffi, David Daigle, Jeffrey Davis, Kyle DeVivo, Joan Lenes, Debbie McAneny, David Potter, Kesha Ram, Dale Rocheleau, Bill Ruprecht*, Brian Sozansky, Lisa Ventriss, Jeanette White and Mark Young

MEMBERS ABSENT: John Hilton, Jr. and Governor Peter Shumlin

ALSO PARTICIPATING: Senior Vice President and Provost Jane Knodell, Alumni Council President Ted Madden, Faculty Senate President Julie Roberts, Graduate Student Senate President Eduardo Cotilla-Sanchez, Staff Council President Ida Russin, Student Government Association President Julian Golfarini, Dean of the College of Nursing and Health Sciences Patricia Prelock, Dean of the College of Medicine Rick Morin, Professor and Chair of Neurology Robert Hamill, MD, Assistant Professor of Neurology James Boyd, MD, Assistant Professor of Rehabilitation and Movement Science Jesse Jacobs, Ph.D., Vice President for Finance and Administration Richard Cate, Vice President for Legal Affairs and General Counsel Francine Bazluke, Vice President for Executive Operations and Chief of Staff Gary Derr, Chief Diversity Officer Wanda Heading-Grant, Associate Provost for Curricular Affairs Brian Reed, Vice President for Enrollment Management Chris Lucier, Associate Provost for Faculty Affairs and Internationalization Gayle Nunley, John Isaacson** and Vivian Brocard** of Isaacson, Miller

Chair Robert Cioffi called the meeting to order at 8:06 a.m.

Approval of Minutes

A motion was made, seconded and voted to approve the minutes of October 21, 2011 meeting as presented.

Chair’s Report (see full report appended to minutes)

President’s Report (see full report appended to minutes)
Governance Leaders Reports

Alumni Association President Ted Madden highlighted items from his written report. The Association has launched an ad hoc Work Group of the UVM Foundation and UVM Alumni Association Boards to review and propose amended bylaws and a governance structure with the UVM Foundation, evaluate the feasibility of membership programs, and to discuss branding. Recommendations will be made at the Alumni Board meeting this weekend in Stowe and to the Foundation Board in April. President Madden was pleased to report that Reunion 2011, held last October, was a huge success with more than 1,900 attendees and over a 50% increase of participants. He was also happy to report that the Alumni House project has raised over $2.5 million, including the largest gift of $500 thousand from the family of Robert’41 and Bill ’71 Davis. A winter stabilization project is underway to prevent further damage to the Alumni House through the winter months. President Madden concluded by recalling events held in January. Career services events were held with over 130 students connecting with alumni moderators in more than 20 job areas. Also in January, the Alumni Association, along with UVM Athletics, sponsored over 50 sites nationally to watch and celebrate the Frozen Fenway hockey game.

Faculty Senate President Julie Roberts highlighted several items from her written report. Last fall, the General Education Committee recommended that a programmatic assessment take place in Spring 2012 to inventory the foundational writing courses and writing intensive instruction currently offered. A pilot program in writing instruction will be planned for 2012. Professor Nancy Welch, of the English Department, will spearhead this assessment and program planning. The Faculty Senate is also working with the Student Government Association regarding its request to have online course evaluations. She thanked the Presidential Search Committee for its inclusiveness of faculty, and the broader campus, in the search process. She noted that, in the last several years, the University community has expressed a reduced amount of trust and a weakened morale. President Roberts thanked the current administration for their efforts in improving trust and hopes this continues with the next President. She concluded by stating that, although improved over the last several years, faculty would like to increase their communications network with the Board.

Trustee Debbie McAneny asked President Roberts to expand on the section of her written report pertaining to concerns of the travel reimbursement policy. President Roberts replied that these concerns were expressed and Vice President for Finance and Administration Richard Cate has since presented an outline plan to address them. The outline will be presented to the Faculty Senate at its Monday, February 13, meeting.

Graduate Student Senate (GSS) President Eduardo Cotilla-Sanchez reported on the progress of several strategic GSS initiatives. The Student Affairs Committee collaborated with more than 100 students in brainstorming, writing, editing and ranking seven Capital Campaign proposals submissions. GSS continues to collaborate with the organization of the Student Research Conference. The Budget Review Committee, along with the GSS Treasurer, is evaluating the second set of applications for the travel mini-grants sponsored by the Graduate College. This Committee is also studying the feasibility of supporting graduate student organization and is working to establish a mechanism to fund activities of these groups. The Social Committee efforts include continuation of student coffee breaks, a new series of Ice Skating Events and, in collaboration with Transportation and Parking Services, organizing the implementation of a pilot
Sunday shuttle schedule to the Apartments and Family Housing. Members of the GSS executive board and program Senators participated in the UVM presidential search interviews. President Cotilla-Sanchez concluded by noting that the Graduate College Executive Committee continues conversations regarding the immediate needs of graduate students, in particular, the need for improvements for graduate students regarding funding, health insurance, and housing.

Staff Council President Ida Russin reported that staff are pleased with community participation in the presidential search process. She added that it is clear that leaders have made quality decisions in choosing the final candidates. Staff encourage that the next president be transparent, a good communicator, trustful and an engager of the community. The Staff Council is also pleased to have been included in the Strategic Initiatives Planning process. President Russin emphasized that staff serve as an enormous resource of knowledge, understand the details of many processes that keep the University running, and are capable of offering ideas of how processes can be improved. President Russin concluded her report by noting that the Council is also pleased that staff concerns regarding salary have been heard and the administration is working toward a 2% increase for FY 2013.

Student Government Association (SGA) President Julian Golfarini provided his last report prior to the ending of his term. He noted that the end of last semester had been particularly tumultuous with Hurricane Irene, a change to the Naked Bike Ride event, the search for a new President and the loss of a fraternity. He reported that the Committee on Diversity, Equity and Environmental Ethics (CODEEE) is currently working to establish a smoking facility to divert smokers away from the library entrance. SGA hopes to add similar facilities in other locations. A comparable initiative is being organized to increase the number of trash, recycling, and composting receptacles on campus. CODEEE continues initiatives to ensure all students are treated equally. The Public Relations Committee is continuing efforts to improve communication among students and their representatives. The Committee on Legislative Action (COLA) partnered with the Veterans Collaboration Organization (VCO) to sponsor Veteran’s Day events. COLA is also working to host the three Burlington mayoral candidates on campus. The Academic Affairs Committee continues collaboration with the Faculty Senate to push for an online course evaluation system. President Golifarini noted that faculty have not responded to SGA’s request for syllabi to be available online before class registration. SGA passed a resolution requesting the inclusion of Queer issues in the University-wide diversity requirement, as well as a request for the expansion of the current University Arabic Program. The Student Action Committee is working to make printers available in Residential campuses, open dining services during breaks, and continue to work with the Red Cross regarding the blood donation policy. The Student Activities Committee has been quite busy and there are now over 160 student clubs on campus. President Golfarini stated that the general student sentiment about the change of the Naked Bike Ride is that the administration could have provided more notice that it was making changes to the event. He also noted that SGA is very excited to be included in the Capital Campaign process. President Golfarini was happy to announce that his weekly President’s email is being opened by almost 50% of the student body, an increase of the average of 25% last year. He thanked the administration for support to end sales of bottled water on campus and to convert drinking foundations on campus to bottle filling stations as well as the Board and administration for their openness.
Action Items

Audit Committee Chair Mark Young presented the Fiscal Year 2011 Audited Financial Statements and was pleased to announce there were no material weaknesses or significant deficiencies. He thanked Vice President for Finance and Administration Richard Cate, Controller Claire Burlingham, and their team for their hard work in obtaining a clean audit. Chair Young also noted that the OMB Circular A-133 Audit had no material weaknesses or significant deficiencies.

The following resolution was presented for approval:

Acceptance of Fiscal Year 2011 Audited Financial Statements

WHEREAS, the books and accounts of the University of Vermont and State Agricultural College for the Fiscal Year ended June 30, 2011, have been audited by KPMG LLP, Certified Public Accountants, and the report of the audit published in detail in accordance with 16 V.S.A. Section 2281(a);

BE IT RESOLVED, that the Board hereby accepts the FY 2011 Audited Financial Statements as recommended by the Audit Committee and presented today, and acknowledges receipt of the FY 2011 Financial Report.

A motion was made, seconded, and unanimously voted to approve the resolution.

Chair Young introduced a pro forma resolution authorizing the retention of KPMG as the external audit firm for FY 2012. The University is in their 4th year of a 5-year contract with KPMG and the contract is reaffirmed annually during its duration.

The following resolution was presented for approval:

Resolution Authorizing Retention of External Audit Firm for FY 2012

RESOLVED, that the Board authorizes and directs the Audit Committee Chair to retain KPMG LLP, Certified Public Accountants, to conduct the mandatory annual audit of the financial statements and compliance audits for the fiscal year ending June 30, 2012, in accordance with the fee schedule set forth in KPMG’s proposal for services dated December 23, 2008. The annual audits shall be conducted in compliance with the requirements of the University Bylaws and state and federal law.

A motion was made, seconded, and unanimously voted to approve the resolution.

Chair Young introduced a resolution approving Audit Committee Charter revisions. The proposed amendments incorporate new language related to expense reimbursements, or summaries thereof, submitted by the President and to ensure that its Guidelines are consistent with the Board’s reserved rights and delegated authority and the Committee’s principal responsibilities.
The following resolution was presented for approval:

**Resolution Approving Audit Committee Charter Revisions**

WHEREAS, the Audit Committee has decided to take responsibility for periodically reviewing expense reimbursements, or summaries thereof, that have been submitted by the President and reviewed and certified by the Vice President for Finance and Administration; and

WHEREAS, the Audit Committee has also decided to ensure that its Guidelines are consistent with the Board’s reserved rights and delegated authority and the Committee’s principal responsibilities;

BE IT RESOLVED, that the Board hereby approves the revisions to the Audit Committee Charter, as recommended by the Audit Committee and appearing as Appendix A to this document.

A motion was made, seconded, and unanimously voted to approve the resolution.

Committee on Board Governance Chair Frank Cioffi introduced a resolution approving revisions to the *Trustee Conflicts Disclosure Form*, which were endorsed by the Committee at its December 12, 2011, meeting. One set of revisions is intended to eliminate confusion regarding the definition of ‘immediate family members’ included in the footnote on page one of Appendix B to this document.

The Committee also discussed the current $1,000 financial disclosure threshold and research conducted by Vice President Francine Bazluke on the topic. The research yielded the following findings:

- Many, if not most, public institutions are subject to a state ethics code, which either serves as the institutional policy or creates standards for a policy. UVM is not subject to such a statute, nor does the Vermont State Colleges policy reference any state law.
- There is no prevailing practice with respect to inclusion versus omission of specific thresholds.
- Of the policies that contain specific threshold, $10,000 appears to be most common.

Following Committee discussion, it was decided to seek Board input regarding the current $1,000 financial disclosure threshold and its views on increasing this to a $10,000 threshold.

The following resolution was presented for approval and an opportunity for discussion offered:

**Resolution Approving Revisions to Trustee Conflicts Disclosure Form**

RESOLVED, the Board adopts the revisions to the *Trustee Conflicts Disclosure Form*, as recommended by the Committee on Board Governance and set forth as Appendix B to this resolution.
Trustee Debbie McAneny expressed her strong feelings that the threshold should be increased to $10,000. There was consensus among the Trustees to increase the threshold from $1,000 to $10,000.

A motion was made, seconded, and unanimously voted to approve the resolution and increase the disclosure limit.

Honorary Degree Work Group Leader Harry Chen explained that the Honorary Degree Work Group met last week to discuss a potential speaker for Commencement 2012. The speaker customarily receives an Honorary Degree, which requires Board approval. Leader Chen invited Interim President John Bramley to provide further details.

Interim Bramley announced that he has chosen Nickelodeon President Cyma Zarghami to be the 2012 Commencement Speaker and asked that the Board authorize him to confer her an Honorary Degree. Ms. Zarghami is an alumna of the University.

The following resolution was presented for approval:

**Resolution for President to Confer Honorary Degree to Commencement Speaker**

RESOLVED, that the President is hereby authorized to confer an honorary degree to the 2012 Commencement Speaker.

A motion was made, seconded, and unanimously voted to approve the resolution.

Chair Robert Cioffi introduced a resolution approving revisions to the Presidential Compensation Policy and Guidelines. He explained that, on December 9, 2011, the Annual Review Subcommittee reviewed and endorsed proposed revisions to the procedures section of the document to eliminate redundancy and to address a President’s eligibility for compensation from a third party. The proposed revisions are included in Appendix C to this document.

**Resolution Approving Revisions to the Presidential Compensation Policy and Guidelines**

RESOLVED, the Board adopts the revisions to the Presidential Compensation Policy and Guidelines, as recommended by the Annual Review Subcommittee and set forth as Appendix C to this resolution.

A motion was made, seconded, and unanimously voted to approve the resolution.

**Acceptance of Gifts & Grants Reports**

A motion was made, seconded and unanimously voted to accept the Gifts and Grants reports.

**Academic Presentations**

Chair Cioffi invited Dean of the College of Nursing and Health Sciences Patricia Prelock and Dean of the College of Medicine Rick Morin to introduce the academic presentations related to
the Neuroscience, Behavior, and Health Spire of the Transdisciplinary Research Initiative (TRI). The presentation showcased the integrated research of Parkinson Disease (PD) involving an academic spectrum of University community members, from undergraduates to distinguished faculty. PD is an area of expertise at UVM, where faculty are leading investigations in animal models of the disease, novel medications to improve management and potentially slow the disease, and interventional therapies, including modifying contextual factors and deep brain stimulation.

Deans Prelock and Morin introduced presenters Assistant Professor of Neurology James Boyd, MD; Professor and Chair of Neurology Robert Hamill, MD; and Assistant Professor of Rehabilitation and Movement Science Jesse Jacobs, Ph.D.

Dr. Hamill began the presentation with an overview of the brain’s role in PD. He noted that the brain is a daunting organ with over 200 billion nerves cells, 1 trillion supporting cells and 200 trillion synapses. Dr. Hamill’s role in researching PD involves the review of clinical profiles, researching pre-symptomatic components of the disease, examination of animal models of the Synuclein gene, a gene that is known to cause PD, experimentation on how the Synuclein Gene relates to premotor symptoms of PD, specifically bladder failure. He noted that PD is the second most common neurodegenerative disorder and may be viewed in three distinct stages. Symptoms of the initial stage include bladder failure, constipation, affected sense of smell, and sleep issues. The middle stage is one that most people associate with PD and affects the patient’s motor skills, including trembling, slowness, stiffness, changed posture and a shuffling gait. Researchers now know that the disorder begins in the lower regions of the brain perhaps even involving peripheral nervous system tissues. When examining animal models using mice with the Synuclein gene, Dr. Hamill and colleagues are able to conduct pre-clinical studies to learn the sequence of how the bladder nerves cells fail and the relationship to the subsequent deterioration of motor systems and motor functions.

Dr. Boyd continued the presentation by describing his focus on PD, which involves understanding how it can be modified and researching advanced symptoms management. He stated that there is not currently a way to halt or delay PD progression, and there is a lack of consistent strategies in dealing with advanced stages. He also noted that the advance stages of PD are quite difficult to manage. One therapy being researched uses deep brain stimulation surgery. The team at Fletcher Allen Health Care has performed this treatment successfully and Dr. Boyd showed two videos illustrating this success.

Dr. Boyd and his team are also researching the use of a Continuous Levodopa Intestinal Infusion Pump in treating advanced symptoms of PD. The pump administers medication into the patient’s intestine. The study of this treatment is in collaboration with the Department of Gastroenterology & Hepatology.

Dr. Boyd briefly discussed the PD symptom of impulsive behavior. Interestingly, research has shown that people who smoke have reduced risk of PD. In exploring the effects of nicotine, researchers have found that it can help treat impulsive behavior in patients with other conditions, and this is currently being investigated in PD. Dr. Boyd explained that the future of understanding impulsive behavior will explore if it is a contributing factor to falls and injury. Research will also explore how decision-making can be modified to reduce falls.
Dr. Jacobs continued the presentation by explaining the influence of contextual factors on motor impairment in people with PD. He noted that the prior focus of PD has been on the impairments of the disease. In taking this approach, a problem arises in that not every patient has the same impairments. The World Health Organization now looks at a larger model to consider context of PD. The health condition no longer defines the disorder. Dr. Jacobs illustrated contextual impairments by showing comparative videos of people with and without PD doing the same activity with mechanical constraints, with the challenge of multi-tasking, and performing intrinsically generated versus cued movements. Contextually specific impairments are not only evident with PD, as Dr. Jacobs’ research has identified contextually specific impairments in people with low back pain, multiple sclerosis and Huntington’s disease. Dr. Jacobs concluded his presentation by explaining that understanding diseases and disorder requires transdisciplinary collaboration to identify converging factors that determine the development of disease and disorders, presentation of impairments, and activity limitation and disability.

Trustee Debbie McAneny asked if this research suggests whether there is a choice to be made between smoking and potentially having PD. Dr. Boyd explained that nicotine used as a form of treatment is administered via a patch and does not contain the numerous harmful ingredients that are found in cigarettes. He added that the 1% risk of having PD is not worth the well-documented negative consequences of smoking.

Trustee David Daigle inquired about the process of determining what is best done in-house or in collaboration with other entities. Dr. Hamill replied that funding can often be a factor in this determination. For example, the National Institutes of Health (NIH) offer requests for applications related to PD research and the first grant that UVM wrote for this was in collaboration with Dartmouth. Sites were chosen around the country and the initiative became a 40-50 institution group with a data set available to all. Smaller pilot studies can then be initiated from larger databases.

Trustee Chen sought the perspective of the presenters regarding the impact of the TRI on their professional lives. Dr. Jacobs responded that the initiative has generated greater interest in collaborations. He provided an example of collaborative research regarding back pain, which has brought together members from psychology, rehabilitation science, anatomy, and others areas, to evaluate this single disorder from multiple points of view. Dr. Hamill cited another example, the integration of neuroscience across campus, which has allowed the newly created Department of Neurological Sciences an improved the ability to grow.

Trustee Botzow asked, in looking forward 5 to 10 years, what the presenters see as the main concerns or obstacles that the Board should be aware of. Dr. Hamill urged that the Board maintain awareness of the vast resources needed and explained that there are a lot of challenges associated with obtaining external funding. He used the generation of clinical revenues as an example and stated that there is a challenge of balancing time and effort with clinical research. On the investigator side, he said, the competition for funding is incredibly tight. Dr. Hamill indicated it is also imperative that the University continue to recruit quality students and feels that the TRI improves the University’s ability to do so. Dr. Jacobs noted that one of the challenges presented by the TRI is that it takes more time, effort, and resources to integrate different groups in a collaborative endeavor.
Trustee Carolyn Branagan acknowledged her support for the University becoming one of the best premier research universities, noting that her daughter is a UVM graduate student studying chemistry and was published in a recent issue of the *Journal of Cellular Biochemistry*. She used her daughter’s research as an example of how the research conducted at the University is important to Vermont, as well as all of humanity.

Trustee Christopher Bray inquired if the external funding community is responding well to transdisciplinary initiatives. Dr. Hamill replied that it varies. The most important factor in obtaining external funds is to remain competitive, which often means being in the top 10% of respective industries.

Trustee Jeanette White asked how the information discovered through the University’s research is disseminated to the Vermont medical community, other than through publications. Dr. Boyd replied that much of research is not ready to be applied outside of the laboratory. He added that, when there is an opportunity to share information, the University works hard to develop networks to share it. He cited the Continuous Levodopa Intestinal Infusion Pump as an example of a research treatment that was widely offered to patients across Vermont before commercial availability.

At 9:55 a.m., Chair Cioffi recessed the meeting for a brief break.

At 10:09 a.m., the meeting resumed.

**Ad Hoc Report Oversight Committee Final Report**

Ad Hoc Report Oversight Committee Chair Bill Botzow reported that the Committee has completed its work commenced in August 2011 as set forth in the Board’s Report on 2011 Reviews. Included as appendix D to attachment 7 is a *Statement of Commitment & Expectations in the Workplace* developed by the administration and endorsed by the Committee. He pointed out the distinction between required obligations under UVM policies and expectations to preserve and promote values that best serve the community. He also noted the Statement applies to University officials, staff, faculty and, volunteers and to students in their capacity as volunteers or employees. He thanked President Bramley, Provost Knodell and Vice President Bazluke for their efforts in developing the statement, acknowledging that it has been vetted through governance bodies.

The following resolution was presented for approval:

**Resolution Adopting Statement of Commitment and Expectations in the Workplace**

RESOLVED, the Board adopts the *Statement of Commitment and Expectations in the Workplace*, as recommended by the Ad Hoc Report Oversight Committee and set forth as Appendix D to this resolution.

A motion was made, seconded, and unanimously voted to approve the resolution.
Chair Botzow next presented the Committee’s final report, included as attachment 8 in the meeting materials, for adoption. He thanked fellow Committee members and the administration for their good work and accomplishments. A motion was made, seconded, and unanimously voted to adopt the final report.

Chair Cioffi thanked the Committee for completing the task assigned. Noting that there was no further work required for them, he discharged the Committee.

President Housing Work Group Update

Presidential Housing Work Group Leader Debbie McAneny reported that the Work Group has determined that it is important that the next President live on campus. Many alternatives were reviewed, but the Work Group concluded that Englesby House remains the best option, even though it requires extensive correction of deferred maintenance issues. She noted that Englesby is an historical landmark, which is an additional challenge for the amount of work to be completed. There is also water movement through the entire block that has created problems in basement and around the house. Preliminary work estimates totaled $2 million. After further review, the Work Group concluded that many problems could be addressed within a smaller scope of work. The final plan being recommended addresses significant deferred maintenance issues, with a total estimate of $875,000. The largest portion of this total, $590,000, will be funded by Treasury operations, and the remaining $285,000 will be funded through unrestricted private gifts.

The following resolution was presented for approval and an opportunity for discussion offered:

**Resolution Authorizing Englesby House Maintenance**

WHEREAS, Englesby House, which was built in 1914, has many deferred maintenance issues that must be remedied to ensure its preservation and use; and

WHEREAS, the Presidential Housing Work Group has reviewed and assessed a proposal to address immediate needs for the repair and maintenance of Englesby; and

WHEREAS, the Presidential Housing Work Group has concluded that it is in the best interests of the University to preserve Englesby so as to render it available for future use;

NOW, THEREFORE, BE IT RESOLVED, that the Vice President for Finance and Administration and University Treasurer, or his successor or designee, is hereby authorized to implement the immediate needs maintenance work in a manner consistent with the proposal at a total cost of $875,000, utilizing up to $590,000 from the University’s treasury operations account and $285,000 from undesignated private gifts.

Trustee Jeanette White asked if renovations included painting of the interior. Leader McAneny replied that it is included.

Trustee Donna Sweaney inquired if a significant amount of deferred maintenance was related to water issues. Vice President Cate explained that the mitigation of water flow was not part of the cost, but that the estimates based on replacing the roof and some masonry work were related to
damage partially caused by water. He noted that everything is being moved out of the basement to prevent the flow of water from causing damage.

Trustee Bill Botzow asked if there was a connection between this project and the Capital Projects Review and Approval Process. Vice President Cate indicated that there are two factors that allow this project to rise above currently ranked projects. The first factor involves the short-term need for use of the property: it must be move-in ready for the next President. The second factor is that there are funds available.

Trustee Botzow also inquired whether the University has flood insurance for this property. Vice President Cate responded that he does not feel that flood insurance would cover this particular water flow issue, as it is due to ground water. Trustee Botzow replied that it should be looked into as he has come across similar issues where flood insurance would cover such costs.

Trustee Ian Boyce asked if there is a subsequent plan for the house in future years since the proposal is to cover the cost only for the most imminent repairs. He also inquired what the appraised value was of the property. Vice President Cate replied that the appraisal of the house is slightly under $1 million and the entire property was appraised at around $1.7 million. Once the proposed work is completed, the house should be satisfactory for the next decade or so, apart from regular maintenance.

Vice President Cate added that because the structure had been built using methods applied in the early 1900’s, there is significant airflow, which is an asset in this scenario. Trustee McAneny agreed and indicated her surprise that the basement does not have dampness odors and does not appear to have a mildew problem.

A motion was made, seconded, and unanimously voted to approve the resolution.

Chair Cioffi thanked the Work Group for completing the task assigned to it. Noting that there was no further work required, he discharged the Work Group.

**Strategic Initiatives Project Status Update**

Chair Cioffi invited Provost Jane Knodell to provide an update on the Strategic Initiatives Project (SIP) as well as internationalization.

Provost Knodell explained that the SIP essentially ties the University’s Strategic Plan with financial imperatives. The SIP team is comprised of 37 members and is further broken down into five teams. Three of these teams are identifying the most critical investments necessary in the three areas aligned with the strategic plan: TRI & Research, Diversity and Internationalization, and Student, Success, & Satisfaction (known as S³) and General Education. The Net Revenue Enhancement team is identifying opportunities for increasing revenue to support these investments. The Cost Structure and Productivity Improvement (CSPI) team is examining our current resource allocation and identifying opportunities to re-allocate existing resources in support of the strategic investments.
Each team must go through a proposal phase, which is a process of exploration, research, collaboration and engagement with the goal of having a draft set of proposals for consideration. The proposals are then moved to a comment phase, during which the community will have an opportunity to provide feedback. After the comment phase, the project will move on to the deciding/funding phase which will include determining which revenue-generating and cost reduction/resource re-allocation opportunities will be implemented. The last phase will be the implementation phase in accordance with governance considerations and requirements.

The proposal phase is nearing completion for each of the teams, with the exception of the CSPI team, which has gathered a large amount of data and is ready to move to the proposal generation phase.

The SIP campus engagement period will begin this spring, during which there will be opportunities for comment on investment proposals, discussions on the strategic value criteria, and an opportunity to comment on the CSPI proposals. The goal for the May Board meeting is to have a prioritized list of investments accompanied by a funding plan for new President’s consideration.

Trustee David Potter asked which Master’s programs the University is considering offering online. Provost Knodell replied that these programs include a Master’s in Environmental Leadership, Master’s in Public Health, and a Doctorate in Education. Faculty leads have been identified for each program.

Trustee Christopher Bray referenced the writing literacy component of the General Education (GE) program and asked if there is a complementary numeracy component. Associate Provost for Curricular Affairs Brian Reed explained that, out of the proposed GE outcomes reviewed by Faculty Senate, one was quantitative reasoning. To introduce GE, the Senate found it important to choose one outcome to use as a pilot, and writing literacy was selected. The rest of the outcomes will likely be tried in the future, including quantitative reasoning.

Trustee David Potter sought clarification of faculty reserve accounts. Provost Knodell explained that they relate to faculty who receive external funding, and that the accounts are created to allow faculty to use some of these external funds in a flexible way to develop their research programs.

Trustee Kesha Ram expressed concern regarding the Diversity requirement, noting that she has heard feedback that students of color are having the least amount of satisfaction with this initiative. Chief Diversity Officer Wanda Heading-Grant explained that there are two categories of the diversity requirement. The first, D1, was approved to focus on race in terms of power and privilege. The second, D2, examines broader perspectives of other diverse groups. The Diversity Curriculum Review Committee has branched out to take the lead in professional development in all of these areas so that faculty will have an opportunity to enhance their programs. Associate Provost Reed added there is a current ad hoc committee evaluating D1 and D2 courses.

Trustee Botzow asked what concerns Provost Knodell might want the Board to be aware of in terms of the SIP. She responded that her biggest concern, and the most challenging exercise of the project, is determining the re-allocation of resources across the University as well as identifying areas for costs savings.
Provost Knodell moved on to provide an update on internationalization. She presented the outcomes of the Spring Engagement Campaign, which provided results and imperatives. The results include a broad recognition that internationalization and international enrollment are tied to all of our strategic objectives and are critical to our mission and vision. An additional result is that internationalization already has a place on campus, but there is a need to align our objectives and improve coordination. Imperatives are as follows: internationalization cannot be limited to a focus on increased international enrollment; increasing diversity through international enrollment must not be at the expense of domestic diversity; we must increase our own cultural literacy/competence across campus; we must provide appropriate support to international students; and we must appropriately resource that support.

Provost Knodell moved on to discuss the activity of internationalization in 2011. She noted that during August –November 2011, four possible courses of action emerged. These courses are as follows: (1) slow international enrollment growth, relying on direct admission and UVM recruitment travel; (2) establish a UVM Pathways Program with multiple external partners (would involve the use of international recruitment agents); (3) establish a Pathways Program as a joint venture with an exclusive services vendor (ESV); and (4) cease efforts to increase international enrollment.

An internal risk assessment was conducted so as to assist with the assessment of the four international enrollment options. The assessment was performed in the context of the risks and opportunities each option presented. This risk assessment resulted in the understanding that the University must achieve sufficient scale in order to create a viable capability that attracts high-quality students. Another key is that proven expertise and sourcing capability in international recruitment is an essential ingredient for success. Also, it is necessary to prepare students and assess their readiness for matriculation. Finally, it was learned that the University must have an appropriate infrastructure to support students, including a building for the pathway program.

Returning to the potential courses of action, Provost Knodell stated that there are two that contain all of the essential elements. These are to establish a UVM Pathways Program with multiple external partners, or to establish a Pathways Program as a joint venture with an ESV.

Provost Knodell indicated that the Internationalization Work Group is seeking the Board’s guidance on what it should be investigating further and also whether the Board perceives that the work in heading in the right direction.

Trustee Christopher Bray asked whether partners would be drawing students from country to country or pooling at academic institutions. Vice President Chris Lucier explained that they would be coming through a pool; the standard model is use to agents that gather a pool of students and look for a best fit within the group of institutions.

Trustee Kesha Ram inquired if there is a greater risk with multiple partners and also asked how new Americans fit in the plan. Provost Knodell replied that a single partner option can still bring diverse students. Vice President Lucier added that single partners have established networks and, if the University went with multiple partners, it would have to work with representatives from many countries, execute numerous agreements, and engage in more complicated risk management. He also observed that a single partner entity usually has its own quality control.
Finally, he explained that the vision of the pathways program includes potential for new Americans.

Trustee Bill Botzow commented that internationalization efforts are occurring at almost every major University and he wonders if the UVM is too late in this initiative as well as type of competitive advantages we may have. Trustee Botzow added that he frequently hears about the Asia market, but wonders if other continents are being explored for potential. Provost Knodell replied that the administration recently met with a representative from higher education consulting firm Noel-Levitz, which has domestic and international experience. The representative indicated that UVM is well-positioned to enter this market. In particular, it was noted that UVM is comparatively small and safe, and that a lot of international students have a preference for areas similar to Vermont. This ties to the other components of SIP in that we need to figure out how we can be distinctive to attract high-quality students. Provost Knodell acknowledged there is much work to be done to complete this initiative.

Trustee Harry Chen opined that, when working with partners in this type of initiative, it is like a marriage, as it is a long-term contract with considerable investment for all parties. He encouraged the Board to generate questions for research they would like to receive.

Trustee Jeanette White expressed concern that this initiative would predominately bring wealthy international students and asked how the University can ensure financial diversity. Provost Knodell replied that the approach would be to recruit more broadly. She also explained that, the more successful we are in bringing international students to the University, the more resources will be generated that can be used to recruit students who need more assistance.

Trustee David Potter asked if there is a risk of becoming “too diverse”. Associate Provost for Faculty Affairs and Internationalization Gayle Nunley replied that, although the pathway structure is new at the University, it has been in place at other institutions for decades. There are many models to review to see what works and what does not. She agreed it is important to continue to consider the risks, but that there is a great deal of confidence it will work.

In response to Provost Knodell’s request for Board feedback, Trustee Debbie McAneny reiterated that she would like a statement of our sustainable competitive advantage. She also noted that it would be helpful to have a better understanding of the criteria being used to recommend our partner and, in particular, to have information on the financial viability of the partner we are selecting.

Other Business

At 11:19 a.m., Chair Cioffi recessed the meeting.

At 2:40 p.m., the meeting re-convened in the Livak Ballroom, Room 417-419 at the Dudley H. Davis Center, shortly after which a group of approximately 40 faculty, students, staff and external members expressed disapproval of the status of an external issue relating to a union dispute at Sotheby’s.
Chair Cioffi acknowledged the group and its right to express opinions in a peaceful, non-disruptive manner. The group chanted for approximately five minutes and then exited the meeting.

Executive Session

At 2:45 p.m., the Chair entertained a motion to go into executive session for the purpose of discussing the appointment or employment or evaluation of a public officer. All in attendance were excused from the meeting with the exception of Dean of the College of Nursing and Health Sciences Patricia Prelock, and John Isaacson and Vivian Brocard of Isaacson, Miller.

Dean Prelock exited executive session at 3:05 p.m.

The meeting was reopened to the public at 5:40 p.m. and recessed until Saturday morning.

The meeting reconvened at 9:56 a.m. on Saturday, February 4, 2012, in the Livak Ballroom, Room 417-419 at the Dudley H. Davis Center.

MEMBERS PRESENT: Chair Robert Cioffi, Vice Chair Harry Chen, Secretary Donna Sweaney, Bill Botzow, Interim President John Bramley, Carolyn Branagan, Christopher Bray, Frank Cioffi, David Daigle, Jeffrey Davis, Kyle DeVivo, Joan Lenes, Debbie McAneny, David Potter, Kesha Ram, Dale Rocheleau, Bill Ruprecht*, Brian Sozansky, Lisa Ventriss, Jeanette White and Mark Young

MEMBERS ABSENT: Samuel Bain, Ian Boyce, John Hilton, Jr. and Governor Peter Shumlin

ALSO PARTICIPATING: General Counsel Francine Bazluke** and John Isaacson and Vivian Brocard of Isaacson, Miller

*Joined by phone.
**partial meeting

At 9:56 a.m., the Chair entertained a motion to re-enter executive session to resume discussing the appointment or employment or evaluation of a public officer. All in attendance were excused from the meeting with the exception of John Isaacson and Vivian Brocard. General Counsel Bazluke was asked into the meeting at approximately 10:45 a.m.

The meeting was reopened to the public at 11:00 a.m. The following resolution was presented for approval:

Resolution Authorizing Board Chair to Negotiate and Execute a Letter of Appointment and Agreement

RESOLVED, that the Board hereby authorizes the Board Chairman to negotiate, finalize and execute a letter of appointment and agreement with a candidate for the presidency on the terms and conditions today reported.
A motion was made, seconded, and unanimously voted to approve the resolution.

**Adjournment**

There being no further business, the meeting was 11:05 a.m.

Respectfully submitted,

Donna Sweaney, Secretary
Robert F. Cioffi  
Board of Trustees, Chair’s Report  
February 3, 2012

Good morning and welcome. As always, we have a full agenda so I will attempt to keep my remarks as brief as possible. Let me start by noting what an important moment this is for this Board and for the University community. Choosing a President is perhaps the most critical task of a Board of Trustees, and the past two weeks spent engaging our final candidates can only be described as exceptionally positive for everyone involved. And having observed and participated in the entire process, I want to state for the record: We should all be very, very proud of The University of Vermont for who we are, where we are, and for all we have accomplished together.

There is nothing like external validation to help us see ourselves more clearly. We attracted a group of truly exceptional candidates to seek the presidency, something I do not think we would have been able to do if we weren’t in such a positive position as an institution. To a person, our final candidates extolled our virtues, values, and accomplishments, and reminded us what a special place this is. Our community showed its best features as well as its challenges, in a warm, respectful, positive way, and as Chair of the Search Committee I could not be more pleased and appreciative of how well the process has gone.

From the great press coverage we have received to the broad engagement of the Campus and Vermont communities to the feedback we have received from 98% of those who interviewed the candidates; this has been a spectacularly successful series of visits. When was the last time you heard of a 98% return rate on anything? Remember that the next time you hear someone say that UVM is an apathetic place! My profound thanks to all those who have participated in this important effort, especially our very dedicated Search Committee, and the person who has looked after each and every detail with flawless precision and good humor, Gary Derr. I have every confidence that the fruits of our labors will be displayed soon in an exceptional new leader for UVM.

This is our first Board meeting of 2012. Take just a moment and think back one year to February, 2011. Who could have predicted the wild ride we were about to take, and the tumultuous period that lay ahead. I am not going to relive 2011 in detail, but I will tell you that our challenges commanded mine and this Board’s full attention, and there were times that I didn’t know how things would turn out.

Now, a year later, let’s look at where we are. We are attracting amazing individuals who want to be our next leader. Relations with the administration in Montpelier have improved greatly. The Governor wants to invest more in UVM. Our enrollment picture remains strong. Faculty continue to receive national and international acclaim for their work. The talent, performance, and potential of our students is outstanding. Our hardworking staff keeps the place going forward. Our alumni support us and are proud of their University. We are working to make important strategic choices that will strengthen our future. In other words: Despite our challenges, we are in good condition.
Our ability to transcend the difficulties of the past year has been fueled by the members of this dynamic and engaged community, who continue to believe in the compelling, vigorous force for good that UVM represents, and its potential to be even better. We owe thanks to so many who have contributed to our current success – far too many to name here. But let me use the Chair’s prerogative and name one: Our Interim President, John Bramley. John, without your leadership, relationships, and love for this place, John, we would not be in the enviably strong position we are in today. Your re-engagement with us has been our incredible good fortune. Thank you, John, for all you have done for us in these six short months, and all that you will continue to do before wrapping up this summer.

There is another person I want to mention, even though she is not here today and is enjoying some warmer climes. Karen Meyer has officially retired, effective just a few days ago, and I want to take a moment to recognize and thank her for her many accomplishments in her eight years as Vice President for Government Relations. Karen will continue to offer some part time assistance to us and to John in the important work of the committee appointed by the Governor that is examining UVM’s relationship to Vermont. As you know, Karen is a former member of this Board, and has now accepted a position on the Board of the UVM Foundation for which we are most grateful. Please join me in thanking Karen Meyer for her many contributions to UVM.

In closing, I wish to note that the UVM Board will meet tomorrow to discuss candidates to welcome to the Board by March 1. Let me make a prediction: Lisa Ventriss will be among them. We also welcome today our new Student Trustee, Dennis Mahoney, who will be replacing our retiring student Trustee, Brian Sozansky. Welcome, Dennis.

And speaking of retiring Trustees, we will have an opportunity to honor them individually at dinner tonight, but I cannot let this moment pass without collectively recognizing them: Brian Sozansky, John Hilton, and my predecessor as Chair, Ian Boyce. Gentlemen: We salute you and thank you for your excellent and unselfish service to this Board.

This concludes my report.
Good morning. Let me start out with some brief updates related to our national and international reputation.

UVM's Lawrence Debate Union has been ranked seventh out of all college and university debating programs in the world and the top leading US debate school participant by the International Debate Education Association.

The Institute for International Education has ranked the University of Vermont fifth in the nation among public doctoral universities for the percentage of its undergraduate students -- 32.5 percent -- who participate in study abroad programs.

The University of Vermont ranks No. 5 on the 2012 top Peace Corps volunteer-producing colleges and universities in the category of medium-sized institutions.

The Huffington Post recently reported that the University of Vermont rates among “The 10 Best Places to Go to College.

UVM student athletes were awarded the conference academic cup for the 7th year in a row.

All of these are important demonstrations of the quality and competitiveness of the institution and that has been reinforced by the comments of our various Presidential candidates. They also suggest to me that we should be competitive in attracting highly qualified international students to study at UVM - a topic for discussion later on in the meeting.

While proud of our accomplishments and achievements we must acknowledge and address our failings. Sometimes we failed to live to our own standards of behavior respect and inclusiveness as expressed in “Our Common Ground”. Incidents such as the one late last semester with a totally inappropriate questionnaire in one of our fraternities remind us that we need to strive to do better. We have taken steps in this regard but it is something for which the entire community must take personal responsibility and leadership, including the Greek System and the student body itself.

At our last Board meeting I talked about economic trends and how it is likely to impact Vermont and the University in the years ahead. That is a topic I will continue briefly this morning with additional context and opportunities.

In November Governor Shumlin joined us on this campus to discuss higher education in Vermont and the critical and unique UVM role within it. To quote him: “The University is a state treasure and a huge asset”. The Governor announced the establishment of his advisory group to explore the strategies for Vermont’s investment in public higher education and UVM. That is both timely and essential - a cohesive approach or strategy is lacking and sorely needed. To reinforce his commitment to higher education the Governor’s budget included a recommendation for an additional one time investment of $4m to UVM.
Context

Over the last decade the nature of work has changed. That trend will continue with increased use of technology. We get our cash from ATM Machines, pay our bills and buy our goods on-line, and get our information from computer search engines and find our way by GPS. Computers play chess better than we do, assemble our cars and appliances, operate transportation systems, deliver data and information and can assess and adapt to our rate of learning. Many jobs that provided a decent career for a high school graduate have gone, never to return. At the same time new careers have been stimulated, or even invented, by technology. Future personal success and prosperity will require post-secondary and continuing education. High paying jobs will emphasize the skills that artificial intelligence is not good at - the intuitive, creative, entrepreneurial adaptive and soft skills at which humans excel. In addition, there will be many opportunities for individuals possessing the technical, computational, mathematical and scientific skills that drive technology. However, many other skill and knowledge areas will flourish more than 60% of job openings this decade will require post-secondary education. That will be a challenge for Vermont as currently only around 45% of K-12 students enter post-secondary education and half of them leave the state to do so. That will not build the skilled work-force needed for Vermont’s future economy.

Public education must ensure our population has the skills to be competitive and gain jobs with salaries to support themselves and their families. A well-educated local workforce and a strong research university are prerequisites to attract and grow businesses. Furthermore, educated citizens are better able to contribute to society rather than be a burden to it. Our foreign competitors have already worked this out and are producing well educated citizens, are investing heavily in education and research and sending their students to study in the best American and European universities.

Society is understandably concerned about affordability and access to education and we should be. But as Derek Bok said “If you think education is expensive try the cost of ignorance”.

So let me talk about just three topics of great importance and potential.

Embrace different learning models

Our young people are growing up in a different world, surrounded by, and comfortable with digital technology 24/7 connectivity. They download, they text, they talk, they surf and this impacts how they learn and the amounts and quality of information available to them. Information and data increase exponentially and it becomes impossible in many areas the sciences, medicine, geopolitics, etc. to keep pace. Everybody has to be a life-long learner and technology facilitates that.

Software can help make challenging concepts compelling and understandable. Increasingly, the role of educators is one of tutoring, guiding and facilitating students to ensure the basic principles and concepts are understood and that they learn to ask the right questions and to analyze and evaluate the information they obtain. Many students learn better experientially and one has to accept that it constitutes rigorous learning. It is not some soft alternative. Internships and research experiences must not be supplements to a curriculum but a core component. Similarly the soft skills (e.g. team work, work habits, communication skills, and foreign languages) are critical. They are not innate and must be taught and practiced. If I had my
way, and of course Presidents rarely do, every UVM graduate would have studied abroad, undertaken a research project, engaged in service learning or a business internship.

**Reach out to new demographics and programs**

For decades the UVM focus has been on 18-22 year old undergraduates, mainly from the northeast and mid-Atlantic regions. There are seriously declining numbers of those students and increasing competition for them. We must seek to gain a greater market share in the face of stiff competition or our enrollments will decline and so will revenue, jobs and salaries. However, we must also seek other opportunities and engage populations that traditionally we have ignored or done little to serve.

In a world increasingly competitive for jobs many people are going to seek additional qualifications. The Lumina Foundation estimates that in Vermont there are 60,000 people who started but did not finish post-secondary education and that Vermont’s workforce will require an additional 58,000 degrees holding employees by 2025. That is a daunting challenge but one Vermont must position itself to address. Many of our colleagues are thinking about these challenges. For example, the Dean of the Graduate College and the Dean of Continuing Education suggest that we might increase our competitiveness and nimbleness by integrating the entrepreneurial, marketing and nimbleness of continuing education, with the academic and administrative functions of professional and graduate education in a unified structure to excel in these opportunities. That is a direction several institutions have gone and which is worthy of exploration.

**Stimulate research, partnerships, private and business funding and entrepreneurship**

The US economy will have to rely on brains not brawn for its future global success. In Vermont that means stimulating research, creativity and entrepreneurship and providing an environment that encourages and attracts private investment and in which the intellectual and research capacity of the University is effectively linked to the economy.

I advocate an expanded role and funding for the Vermont Technology Council to enhance its in partnership with UVM and other institutions and increase state wide economic development activity development via monthly business clinics around the state, research partnerships, strengthened technology transfer and licensing activity. Vermont might also consider the type of matching grant programs employed in Connecticut and Kentucky in which state dollars are used to match private fundraising and investment to support job creation and economic development.

This University has an opportunity to dramatically increase its positive impacts in Vermont, and fortunately the administration in Montpelier is recognizing how essential we are to the future health of this state. In the brief time I have left as your Interim President, working on these issues will be among my highest priorities. Thank you.
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

BOARD OF TRUSTEES

AUDIT COMMITTEE

Charter

This Charter sets forth the responsibilities of the University Board of Trustees Audit Committee.

I. Principal Responsibilities

The principal responsibilities of the Committee shall include:

a. promoting the development and monitoring the effectiveness of an institutional system of risk assessment and internal controls;

b. reviewing and, as appropriate, making recommendations to the Board, regarding institutional policies relevant to the scope of Committee responsibilities, including conflict of interest, ethical and fraudulent conduct, whistleblower protection, and documents retention;

c. ensuring that audit plans encompass significant and material aspects of University operations;

d. full authority and oversight of the internal audit function including appointment decisions, performance evaluations, and employment termination of the chief internal auditor;

e. implementing a selection process to retain the independent auditor and making a recommendation to the Board of Trustees for approval. Recommending such additional audits as the Committee and/or the Board must approve under the Board’s reserved authority;

f. maintaining direct and effective communication with independent auditors on behalf of the Board;

g. reviewing the results of internal and external audits (including the annually audited financial statements), and assessing the quality and timeliness of management’s response and corrective actions;

h. reviewing the effectiveness of the University’s practices related to monitoring its compliance with laws and regulations;

i. reviewing the results of management’s investigation and resolution of any reported, or otherwise discovered, significant instances of noncompliance;
j. evaluating the scope and quality of internal and independent audit services, and the degree of coordination and appropriate degree of independence between them; and

k. reporting regularly and promptly to the Board regarding matters within the scope of the Committee charge.

l. periodically reviewing expense reimbursements, or summaries thereof, that have been submitted by the President and reviewed and certified by the Vice President for Finance and Administration.

II. Membership

The University of Vermont Board of Trustees shall annually appoint at least 7 of its members to the Committee. Its members shall be independent of management and the University including its component units and affiliated organizations. For the purposes of this charter, “independence” is defined as rendering a Trustee ineligible for Committee service if he or she (1) is employed by the University; (2) is a partner or employee of a firm retained to conduct an audit of the University; (3) held such University employment or audit engagement at any time during the previous three years; or (4) is receiving consulting, advisory, or other compensatory fees for services provided to the University. Members of the Investment Subcommittee are eligible for appointment to the Audit Committee, but no such member may serve as its Chair or Vice Chair. The University President is ineligible for service as a member, ex officio or otherwise, of the Audit Committee, as a University official and employee.

Committee members shall otherwise be subject to the Conflicts of Interest Policy in the conduct of their work.

Members of the Committee shall receive orientation appropriate to their Committee membership. They will have the goal of understanding general accounting, business and finance principles, including the ability to read and understand institutional financial statements. If possible, at least one member of the Committee will possess accounting or financial expertise.

III. Authority

The Committee is authorized to investigate any matter within the scope of its Charter, with full and direct access to all pertinent University records, personnel, independent auditors and consultants.

IV. Adoption of Charter

This Charter shall be effective as of the date of its approval by the Board. The Committee will annually review the Charter and recommend to the Board revisions thereto, in view of evolving accounting standards, legal developments and experience gained.
Audit Committee Guidelines

These Guidelines serve as an operational supplement to the Audit Committee Charter. They are intended to reflect generally accepted accounting industry standards and practices applicable to non-profit corporations and higher education institutions.

The Guidelines shall be reviewed annually by management, and management shall report annually to the Committee regarding the status of the Guidelines. The Committee shall make revisions to the Guidelines as necessary or appropriate in view of evolving accounting standards and practices, legal developments and experience gained.

I. Retention of the Independent Audit Firm

a. The Committee shall annually authorize and direct the Committee Chair to select and retain an independent audit firm to conduct the mandatory annual audit of the financial statements and/or compliance audits. In conjunction with such selection, the Committee will assess the independence and objectivity of the firm by obtaining statements from the firm on relationships between the firm and the University. The Committee will review and assess any relationships disclosed that may impact auditor objectivity and independence.

b. The Committee shall solicit requests for proposals relative to the mandatory annual audit of the financial statements and/or compliance audits from qualified independent audit firms no less than once every five years.

c. In the event that an independent audit firm is retained to conduct the mandatory annual audit of the financial statements and/or compliance audit for seven or more consecutive years, the Committee shall, as a condition of retention of the firm, require rotation of the lead audit partner on the University engagement.

II. Retention of Other Audit Services

a. The independent audit firm retained to conduct the mandatory annual audit of the financial statements and/or compliance audits generally shall not be eligible for University engagements to perform non-audit services that would violate the U.S. Government Accountability Office Independence Standard, including bookkeeping; financial information systems design, implementation or operation; appraisal or valuation services, fairness opinions or contribution-in-kind reports; internal audit outsourcing services; management functions or human resources; broker or dealer, investment advisor, or investment banking services; legal services and expert services unrelated to the audit; or preparation of the indirect cost proposal or cost allocation plan. If, due to extenuating circumstances, and in the exercise of its reasonable discretion, management deems it to be in the best interests of the University to retain the independent audit firm for non-audit services, the proposed retention is subject to review and action by the Committee where the retention will result in fees of $10,000 or more.
b. Contracts for non-audit services with independent audit firms not already retained by the University to conduct the mandatory annual audit of the financial statements and/or compliance audits are subject to review and recommendation by the Committee and subsequent Board consideration and action when such retentions will result in fees of $250,000 or more.

III. Oversight of Audits

The Committee will, no less than once annually, and otherwise periodically as necessary or desirable:

a. review annual audit plans developed by the Office of Audit Services, and receive regular progress reports relative to such plans;

b. review and approve audit plans developed in consultation with independent audit firms, including (i) the critical accounting policies and practices to be used; (ii) all alternative treatments of financial information discussed with management, ramifications of alternative treatment and the treatment preferred by the firm; (iii) other material communications between the firm and management; and (iv) required communications from the firm under Statement of Auditing Standards No. 114, as amended;

c. subject to subsequent Board consideration and action, review and accept the mandatory annual audit of the financial statements. Review and/or compliance audit reports, including the annual audit reports on federal awards received as required by the Office of Management and Budget Circular A-133 audit, and the financial agreed upon procedures report of institutional National Collegiate Athletic Association programs;

d. resolve disagreements between management and the independent audit firm regarding financial reporting;

e. review the independent audit firm management letter comments regarding institutional financial internal controls, accounting policies and procedures, and management’s response to those comments;

f. review with management, the Office of Audit Services, and the independent audit firm their respective judgments about the quality of University accounting principles; the consistency, and the degree of aggressiveness or conservatism, in the application of accounting principles; the reasonableness of significant accounting judgments; and the clarity and completeness of the financial statements and related disclosures;

g. confirm with management, the Office of Audit Services and the independent audit firm respectively that the annual financial statements disclose all material off-balance sheet transactions, arrangements, obligations, and other relationships of the University with unconsolidated entities or other persons that may have a material current or future effect on institutional financial condition, and the results of operations, liquidity, capital expenditures, capital resources, or significant components of revenues or expenses;

h. receive reports from management, the Office of Audit Services and the independent audit firm, regarding new and significant accounting standards to understand their impact on institutional financial statements;
i. receive reports from the Office of Audit Services regarding any financial fraud which, in single incident or aggregate, results in an institutional uninsured or insured loss in excess of $10,000;

j. review the organizational structure, qualifications, independence, scope of services inclusive of office charter, and adequacy of resources of the University’s Office of Audit Services;

k. annually review the appointment, evaluate the performance and set the salary of the chief internal auditor;

l. identify and document specific administrative responsibilities relevant to the routine operations of the office of chief internal auditor that are assigned to the President;

m. ensure that regular quality assessment reviews of the internal audit operations are performed in accordance with Institute of Internal Auditors standards; and,

n. meet separately with both the internal and external auditors without management representatives present subject to the requirement of the Vermont open meeting laws.

IV. Internal Controls

The University’s executive management and the Board of Trustees Audit Committee have adopted the Committee of Sponsoring Organizations (COSO) Internal Control – Integrated Framework to help assess and enhance its internal control systems.

a. Certifications

i. The Committee will receive periodic reports from management on representations it is rendering in conjunction with mandatory annual audit of the financial statements and/or compliance audits as well as significant and material debt financing, such as issuance of bonds.

ii. Without limitation on IV.a(i), the Committee will receive from the Vice President for Finance & Administration and University Treasurer record of certification along with the annual financial statement report that:

a. He/she has approved the financial statements,

b. Based on his/her knowledge, the report does not contain any material errors or omissions,

c. Based on his/her knowledge, the financial statements materially present the financial condition and result of operations,

d. He/she is responsible for establishing and maintaining a system of internal controls over financial reporting, and that,

e. He/she has disclosed to the auditors and the Audit Committee all significant internal control deficiencies and changes that could materially affect financial data.
b. Policy Review.

The Committee will receive for its review and comment and, if necessary, its recommendation to the Board, institutional policies relevant to its scope of work, including conflict of interest, ethical and fraudulent conduct, whistleblower protection, and documents retention.

c. Required Disclosures and Compliance Monitoring.

The Committee shall oversee compliance with the Board Reserved Rights and Delegated Authority resolution. Violations of the Board Reserved Rights and Delegated Authority resolution identified by management or the internal audit office shall be reported to the Committee.

d. Confidential Reporting.

The committee will ensure that the University has a mechanism that permits confidential communications from employees and others regarding potential financial or accounting improprieties or nonfeasance.

V. Compliance

a. Review with the Office of Compliance Services, the effectiveness of the University’s practices related to monitoring compliance with laws and regulations;

b. Review with the Office of Compliance Services and management, the results of management’s investigation and resolution of any reported, or otherwise discovered, significant instances of noncompliance;

c. Review with the Office of Compliance Services and management, the findings of any compliance examinations by regulatory agencies and any auditor observations;

d. Review with the Office of Compliance Services, the process for communicating the code of business conduct to University personnel and for monitoring compliance therewith;

e. Receive quarterly reports from the Office of Compliance Services on its activities;

f. Receive updates from the Office of Compliance Services and management on new and emerging compliance issues, including their impact to the University; and

g. Receive as needed, through the Audit Committee Chair, compliance matters communicated directly by the Chief Compliance Office (by virtue of the dotted line relationship).

As approved by the Board of Trustee: November 13, 2004
Approved as amended by the Board of Trustees: September 8, 2007
Revised by the Audit Committee: November 12, 2007
Approved as amended by the Board of Trustees: December 1, 2007
Revised by the Audit Committee: April 28, 2009
Approved by the Board of Trustees: May 16, 2009
Revised by the Audit Committee: October 11, 2010
Approved by the Board of Trustees: October 30, 2010
CONFLICTS DISCLOSURE FORM

The following information is disclosed as required by the Conflicts Policy adopted by this Board on February 12, 2005. All terms used in this Form are as defined in the Policy. Questions arising during completion of the Form may be directed to the University General Counsel.

TRUSTEE Name: ____________________________________

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**Immediate Family Members** ¹

**Affiliates of Trustee** ²

¹ A spouse or civil union partner, child, parent, sibling, or such relations by marriage or civil union partnership (wherever residing); person claimed as a dependent for federal income tax purposes (wherever residing); and any relative residing in the same household as the Trustee.
### Affiliates of Trustee Family Members

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2 A business, association, corporation, or other legal entity in which a Trustee or a member of his/her immediate family is a director, trustee, officer, partner, joint venturer, principal, employee, owner, and/or holder of five percent (5%) or more of voting stock or a controlling interest. In addition, an entity from which the Trustee or a member of his/her immediate family otherwise annually receives, or has the right to receive, $10,000 or more compensation, income, or other financial consideration or value.
Please identify:

(1) Any family members currently employed by or enrolled at the University:

(2) Any University employees or students whom you employ or otherwise retain for services:

(3) Any contract negotiations or contracts in progress between you or a family member or affiliate and the University in progress, other than incidental transactions (e.g., ticket sales, food services) in which members of the public engage:

(4) Any gifts or loans you or a family member received from the University, or any source with which the University has significant commercial or philanthropic dealings:

(5) Any nonprofit organizations or institution of higher education boards on which you or a family member serves as an officer, trustee or director:
I hereby certify as follows:

1. I have read the Conflicts Policy.

2. The representations on this Form are accurate and complete to the best of my knowledge after exercise of due diligence.

3. I agree to conduct myself in a manner consistent with this Policy, in good faith and to the best of my ability.

4. I agree to update this Form as circumstances dictate and otherwise as annually required.

Signed and dated by me, this ___ day of ______, 201__

______________________________
Signature

Received and filed:

__________________________
Assistant Secretary to the Board  Date:

cc: Board Coordinator, General Counsel
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

BOARD OF TRUSTEES

PRESIDENTIAL COMPENSATION POLICY AND GUIDELINES

This policy and its guidelines are intended for use by the University Board of Trustees in rendering presidential annual compensation adjustment decisions.

Policy

It is the policy of the Board of Trustees to seek to attract and retain highly effective and skilled presidents; to recognize the achievements of the president while serving the University; and to compensate the president in a manner that advances these goals, within the parameters of the fiscal resources available to the University. Presidential compensation decisions will also be made in a manner consistent with the overarching institutional policy on University employee compensation.

Procedures

Upon completion of the annual presidential performance review process, the annual review subcommittee of the Board Executive Committee will again convene promptly to formulate a recommendation regarding a compensation adjustment for the president effective the upcoming fiscal year. Its recommendation will be informed by the criteria and guidelines set forth below. All members of the subcommittee shall be independent, without any actual or appearance of conflict of interest in the matter of the setting of presidential compensation. The president must inform the subcommittee of all compensation paid or assignable to him/her in consideration of his appointment, regardless of the source of funds.

Following its review of the information described below and its related deliberations, the subcommittee will first advise the Executive Committee (in an Executive Session from which the President will be at least initially excused) of its proposed compensation adjustment and the associated rationale (“proposed adjustment”). The Board Chair will then meet with the President to discuss the proposed adjustment. After the latter meeting, the subcommittee will advise the full Board (in an Executive Session from which the President will be at least initially excused) of the proposed adjustment. The Board will take final action on the compensation adjustment in open session. The President shall not be eligible for, nor shall he or she receive, salary or other types of compensation from a third party (exclusive of standard University benefits) without the prior authorization of the Board of Trustees.
Criteria and Guidelines

Criteria for assessing and adjusting compensation will include:

- **Merit**, meaning presidential performance in relation to Board-established annual presidential performance goals and the president’s sustained contributions to the achievement of institutional objectives

- **Market competitiveness**, using relevant institutional comparators as identified by qualified internal personnel or a qualified external compensation consultant, with respect to salary, benefits, deferred compensation, and perquisites

- **Equity**, including relationship to University senior administrators’ compensation and the compensation guidelines and parameters set for the institution as a whole

Subject to consistency with governing law and relevant market practices, compensation may be comprised of elements in addition to base salary and the benefits plans otherwise available to University officers of administration. Thus, it may include, for example, incentives for achievement of specific performance objectives or to encourage longevity in position; tax-deferred compensation; professional association, civic, and club memberships; wellness or health maintenance programs; and sabbatical or other professional development opportunities. To assist the President in carrying out duties reasonably related to the presidency, the compensation arrangement may cover costs such as those associated with automobile use; communications services; housing; staffing for University-related events, such as housekeeping and property maintenance; and insurance.

Compliance

The President shall be solely responsible for individual income tax or other tax liability attributable as result of the compensation and expense payments or reimbursement awarded. The President and the University shall respectively maintain all payment and expense records required for tax and other compliance purposes as well as by applicable University policies.

Periodic Review

The Board shall periodically review these guidelines and revise them as desirable or necessary considering the University’s ability to attract and retain outstanding presidential leadership within the parameters of available fiscal resources; the evolution of institutional compensation guidelines; best practices in setting compensation for university presidents and executive officers; and applicable legal developments.
Appendix A

Parameters for Compensation at The University of Vermont

UVM’s approach to compensation supports and advances our vision of being the nation’s premier small public research university, committed to providing an exceptional educational experience to our students and to fulfilling our research and service missions. All that we do, including compensating employees, must serve these purposes.

Recruiting and retaining outstanding faculty and staff and assessing and rewarding their performance are essential elements of our ability to succeed. UVM is committed to compensating employees competitively and equitably, always with attention to student affordability and within the scope of available resources.

UVM compensation is guided by these parameters:

Compensation should be determined based on the following factors:

- Performance, including advancement of University and unit vision, mission, and goals
- Market competitiveness
- Equity, including attention to basic needs
- Recognition of the role of collective bargaining for unionized employees

Compensation equity encompasses several important factors, including awarding salary and benefits in a lawful, non-discriminatory manner. It also includes acknowledgment of the costs of living in this geographic area and the institutional interest in assisting employees, especially lower-paid employees, in meeting their basic needs. In doing so, we also recognize, and address where feasible, the differing impacts that required employee contributions to benefits have on employees at various compensation levels.

Compensation will be viewed as salary/wages plus benefits (total compensation).


Approved by the Board of Trustees: May 18, 2007
Amended by the Annual Review Subcommittee: December 9, 2011
Approved by the Board of Trustee: February 4, 2012
Statement of Commitment and Expectations in the Workplace

Reason for this Statement

This Statement of Commitment and Expectations (“Statement”) reiterates and reinforces the dedication of the University to compliance with the policies and laws that govern the institution and the values and the principles embodied in Our Common Ground. This Statement also identifies how Our Common Ground is relevant to the workplace.

Applicability

This Statement applies to University officials, staff, faculty, volunteers, and the employees of companies or organizations affiliated (affiliates”) with the University who interact with University officials, staff, faculty, and volunteers.

Requirements and Expectations

All University officials, staff, and faculty are required to fulfill their obligations under UVM policies, the law, and the handbooks and contracts that set forth performance and conduct expectations.

In addition, all University officials, staff, faculty, volunteers and affiliates are expected to preserve and promote the values that will best serve both the community as a whole and its individual members, and thus be aware of, and aspire actively to abide by, Our Common Ground. Consequently, through this Statement and other means, the University will communicate to its officials, staff, faculty, volunteers, and affiliates the expectation that they work cooperatively with others and treat others, regardless of position or status, with professional courtesy and civility. Collegial interactions are essential to support the institutional mission in an effective and ethical manner. In this regard, it is especially critical that those in positions of leadership and authority demonstrate the highest ethical standards of behavior to those whom they supervise, teach and advise.
Commitment

To facilitate achievement of the requirements just described, the University hereby recognizes an ongoing responsibility to maintain a working environment free of conduct that is unlawfully motivated or otherwise prohibited by University policy or the law. The institution will therefore dedicate resources for management and employee training, and compliance monitoring. The University will also facilitate the prompt and effective resolution of policy and legal violations and publicize existing complaint and grievance channels applicable to violations of policy and the law.

To facilitate achievement of the expectations just described, the University will create and maintain channels whereby persons who believe that they are targets of, or witnesses to, conduct at odds with Our Common Ground can access guidance and/or assistance promptly and effectively. These mechanisms shall include, but may not necessarily be limited to, confidential counseling, a confidential hotline and, as applicable, a mediation option. Retaliation for the use of any of these channels shall be expressly prohibited and will give rise to the possibility of serious disciplinary or other appropriate action regardless of the merits of the original charge. Furthermore, the intentional use of these channels to file a false charge shall be prohibited and may result in serious disciplinary or other appropriate action.

NOTE: Barring unusual circumstances, employees and supervisors should first pursue collegial and non-confrontational approaches to problem-solving. In addition, employees whose concerns fall within the scope of defined “grievances” that must be pursued by specified means under policy or contract must use those channels to preserve any rights that may arise under those provisions.

I. EXISTING POLICIES, STATEMENTS AND PROTOCOLS

Perceived violations of existing policies must be pursued through normal channels, as identified in the statements, policies and procedures listed below.

To protect Safety and Security:

- Personal Safety and Security Policy

- Domestic Abuse and Violence Prevention and Response Policy

- Drug-Free Workplace Policy
Statement of Commitment and Expectations

- Alcohol Policy
  http://www.uvm.edu/policies/general_html/alcohol_employees.pdf

- Weapons Policy
  http://www.uvm.edu/policies/general_html/firearms.pdf

- No-Trespass
  http://www.uvm.edu/policies/general_html/notrespass.pdf

- Laboratory Safety Policy
  http://www.uvm.edu/policies/riskmgm/labsafety.pdf

To promote **DIVERSITY AND INCLUSION**

- Our Common Ground
  http://www.uvm.edu/president/?Page=miscellaneous/commonground.html

- Diversity Statement
  http://www.uvm.edu/president/?Page=whydiversity_statement.html

- Equal Employment/Affirmative Action Policy Statement
  http://www.uvm.edu/policies/general_html/affirm.pdf

- EEO Policy Statement
  http://www.uvm.edu/policies/general_html/affirm.pdf

- Discrimination/Harassment Complaint Procedures
  http://www-dev.uvm.edu/~aaeo/pages.php?id=harassment

- Sexual Harassment
  http://www.uvm.edu/policies/hr/sexharasemp.pdf

- Disability Certification and Support
  http://www.uvm.edu/hrs/?Page=info/general/disabilitycertification.html&SM=info/infomenu.html

- Nursing Mothers
  http://www.uvm.edu/policies/hr/nursingmothers.pdf

- Bias Protocol
  http://www-dev.uvm.edu/~aaeo/pages.php?id=bias
To preserve **INTEGRITY:**

- Code of Business Conduct

- Conflict of Interest and Commitment

- Code of Student Rights and Responsibilities
  [http://www.uvm.edu/policies/student/studentcode.pdf](http://www.uvm.edu/policies/student/studentcode.pdf)

- Misconduct in Research
  [http://www.uvm.edu/policies/grants/researchmisconduct.pdf](http://www.uvm.edu/policies/grants/researchmisconduct.pdf)

- Research Conflicts of Interest

- Amorous Relationships with Students

- Amorous Relationships – Athletics

- Computer, Communication and Network Technology Acceptable Use
  [http://www.uvm.edu/policies/cit/compuse.pdf](http://www.uvm.edu/policies/cit/compuse.pdf)

- Data Breach Notification
  [http://www.uvm.edu/policies/general_html/databreach.pdf](http://www.uvm.edu/policies/general_html/databreach.pdf)

- Privacy [Interim]

## II. OTHER RESOURCES

If an employee believes that a member of the University community or a UVM-affiliated person is engaged in conduct that violates the intent of *Our Common Ground*, the following resources are available to facilitate resolution of those concerns.

### A. **CONFIDENTIAL COUNSELING**

Beginning 1/1/12, various health-management services will be administered under a contract with the Massachusetts-based Wellness Corporation. Founded in 1984, The Wellness Corporation is a national provider of Organizational Assistance Services. For UVM, these services will include Employee Assistance Programs and Wellness and Work/Life Programs.

B. HEPLINE

The Ethics and Compliance Reporting and Help Line (the “Compliance Help Line”) allows individuals to make anonymous or confidential reports of, or ask questions about, suspected violations of law, University policy, or Our Common Ground. The report is made directly to a third-party vendor, Ethicspoint, which relays the report to the Chief Compliance Officer. Each report is immediately screened by trained administrators in the Offices of Compliance Services, General Counsel, Audit Services, as well as the Vice President for Executive Operations, to ensure that the report is referred promptly to the appropriate office for action in view of its content.


C. OMBUDSPERSON FOR NON-UNIONIZED FACULTY

The Faculty Senate maintains policies and procedures governing the role and responsibilities of the Faculty Ombudsperson. In general, Faculty Ombudsperson duties will include the following: (a) to assist faculty in determining the institutional channels most appropriate for the resolution of a complaint; (b) to assist faculty in seeking resolution of a complaint through normal institutional channels; (c) to facilitate the informal resolution of complaints through mediation; and (d) to advise faculty as to the information necessary to present a formal complaint to the Grievance Committee.

UNIVERSITY MANUAL APPENDIX B.1 NON-UNIONIZED FACULTY HANDBOOK, Part 6, Section 4.b.: http://www.uvm.edu/~facrsrs/NON%20UNIONIZED%20Faculty%20Handbook.pdf; http://www.uvm.edu/~facsen/?Page=contact.html

D. MEDIATION FOR NON-UNIONIZED STAFF AND FACULTY

Mediation is a voluntary, non-binding dispute resolution process involving the parties engaged in a dispute, and a neutral third party who tries to help the parties reach a mutually agreeable solution. Mediation may be arranged through the Office of Human Resource Services. Presently, the mediation process is available only to non-union-represented staff; however, the administration is exploring the possibility of extending the process to represented employees, who otherwise have grievance channels available under their collective bargaining agreements. (For persons whose terms of employment are governed by collective bargaining agreements, channels for redress and resolution of complaints are addressed through the collective bargaining process.)

http://www.uvm.edu/hrs/forms/mediation_request_form.pdf

E. OFFICE OF AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY (AAEO)

One of the roles of AAEO is to protect against bias, unfairness and other improper treatment by serving as a neutral, impartial dispute resolution resource by providing independent confidential, informal and formal assistance in the resolution of concerns and critical situations to all levels of the administration, staff, faculty and students.

http://www.uvm.edu/~aaeo/
F. ADDITIONAL UVM RESOURCES

Office of the Chief Diversity Officer and Special Assistant to the President for Multicultural Initiatives
http://www.uvm.edu/~presdent/diversity/

There are a number of offices that primarily serve UVM students, but which may have information helpful to staff and faculty as well. They include:

ALANA Student Center:  
http://www.uvm.edu/~asc/?Page=visionstatement/vision.html  
http://www.uvm.edu/~asc/?Page=resources/resources.html&SM=submenu6.html

Lesbian, Gay, Bisexual, Transgender, Questioning & Ally Center:  
http://www.uvm.edu/~lgbtqa/

Women’s Center:  
http://www.uvm.edu/~women/?Page=about_us/mission.html&SM=about_us/sub_menu.html

Office of International Education:  
http://www.uvm.edu/oie/

Disability Services (ACCESS):  
http://www.uvm.edu/access/

Counseling & Psychiatry Services (CAPS):  
http://www.uvm.edu/~chwb/psych/

Effective Date

Approved by:

__________________________
John Bramley
Interim President              Date: ____________

__________________________
Robert F. Cioffi
Chair, Board of Trustees       Date: ____________
Faculty Senate Report
May 18, 2012

Board of Trustees – Committee of the Whole

Prepared By
Julie Roberts, Senate President

The Faculty Senate has been very active this year. The meetings continue to be well attended. The following comprise our activities for this period.

General Education. The work of the General Education committee is ongoing, but they have accomplished much in the past year. The committee has:

1. established a process for working through one specific area of the general education outcomes: writing and information literacy.
2. determined what faculty are already doing to promote student learning in these areas and what gaps exist that currently prevent first year students from having a foundational writing experience.
3. refined a description of outcomes for foundational writing/information literacy outcomes, which are important for assisting faculty to help students make an effective transition to college.
4. formed a working group of faculty from across campus to work on implementing, and further refining, those foundational outcomes in English 001, some Teacher-Advisor Program (TAP) sections, and the Honors College (HCOL) first year seminar. That group will also help to determine an assessment process that will be used to determine if it is feasible to have faculty from different units/courses addressing common outcomes.
5. worked extensively with the Office of Institutional Studies to explore whether and how the National Survey of Student Engagement (NSSE) data can help address assessment questions regarding writing/information literacy.
6. opened conversations with the colleges and schools, via visits to faculty meetings, in regards to thinking about writing/information literacy in the majors.
**Expanded Section Descriptions.** The Faculty Senate, again and with the full support of the Student Government Association and United Academics, encouraged faculty to provide expanded section descriptions for fall, 2012 courses to provide students with information about classes beyond the brief catalog descriptions. The response numbers are not yet available.

**Strategic Initiatives Project (SIP).** The senate and administration held a second “town meeting” this semester to gather feedback on the Strategic Values Criteria and Metrics that will be applied to academic departments and programs, according to the current SIP plan. It was well attended by senators. Responses were also gathered at a meeting open to all faculty. This input was brought to a Joint Committee of the senate and administration, which is currently meeting to revise these criteria and metrics further and to make recommendations for next steps. Faculty members were, as planned, added to all of the SIP committees in February and continue to serve on these committees.

**Online Course Evaluations.** The Online Evaluation initiative passed by majority vote in the Senate this semester. It was sent on to the President and Provost for approval.

**Travel Reimbursement Policy.** Richard Cate announced plans to revise the Travel Reimbursement Policy, which has been a source of great concern to faculty.

**Faculty Mentoring Program.** Professor Lynne Bond announced plans to step down from the directorship of this program as of fall 2012. The Senate is very grateful to her for her dedicated service to this program. We are in the process of searching for a replacement for her.

In addition to their ongoing regular work, some of the Faculty Senate Committees have taken on projects according to their interests and concerns. They include the following:

**Student Affairs Committee.** After supporting the successful vote for online course evaluations and rallying behind Extended Section Descriptions, this committee has recently decided to look closely at student advisement, a concern of students and faculty alike.

**Educational and Research Technologies Committee.** After lending their support to researching the details of online course evaluations, this committee recently surveyed faculty on their final exam scheduling processes with the goal of aiding the Registrar to create a more efficient exam scheduling system, if possible. They are also exploring the purchase of software for qualitative research, which many faculty engage in. Currently, although there are several packages to assist with quantitative methods, there isn’t a university supported software system for qualitative research.
Dear Members of the Board,

I am pleased to stand before you today to represent the Graduate Student Senate and provide a summary of our accomplishments for this academic year, 2011-2012. Additionally, I would like to recognize our incoming leadership for the next year.

Since the February meeting, the GSS is excited to report the following:

- **Capital Campaign Proposals**: We are pleased to share that four out of our seven capital campaign proposals have been pre-approved by the Office of the Provost. These include doctoral dissertation and master’s thesis fellowships; funding graduate study and research abroad; and creating a graduate student speaker series. We are very excited for the potential of these campaign proposals and their benefit for graduate students.

- **Student Research Conference**: We collaborated again in a successful event with our campus partners. The GSS sponsored a workshop in which undergraduate students received feedback and preparation for their oral presentations by graduate student volunteers. This year, 161 graduate students participated in the conference through delivering oral and poster presentations, as well as serving as time-keepers during sessions.

- **Mini-grants**: The GSS Treasurer and Budget Review Committee evaluated the third set of applications for the travel mini-grants sponsored by the Graduate College. We are pleased to continue supporting graduate students disseminate their research and gain valuable professional development experience in the conference setting.

- **Social events**: The Social Committee co-led by the PR Director and Outreach/Programs Director organized several more graduate student coffee breaks. Additionally, we held ice skating outings and two large-scale social events, the Spring Fling and a screening of the “Ph.D. movie”; both had high attendance. We have been very pleased with the positive response to our community-building efforts through our social events this year, and are optimistic for future actions to help graduate students foster a sense of belonging and community.
• **GSS Awards Banquet:** We held our second annual GSS Awards Banquet on Friday, May 4th. This was an excellent evening for us to present our second year of awards, which include “Senator of the Year” and “Most Innovative Research” in addition to four other awards. We also recognized the efforts of our outgoing Executive Council and introduced the incoming council members for academic year, 2012-2013. We look forward to next year’s GSS Awards Banquet and recognizing another year of achievements within the graduate student community.

• **Institutional Involvement:** The GSS is extremely happy about our representation on university working groups, committees, and search processes this year. We had representatives on at least 11 committees, including Faculty Senate and Trustees committees, the presidential search process, and the Clean Energy Fund. Most recently, members of the GSS executive board and program Senators participated in the search for the Dean of the College of Arts & Sciences, providing direct graduate student feedback. We look forward to even more institutional involvement and providing the graduate student perspective.

• **Collaboration with the Graduate College Executive Committee:** We have enjoyed a fruitful relationship with this body discussing the immediate needs of graduate students throughout the year. Members of this committee, both from the Graduate College side as well as Program Coordinators, have been helpful and responsive by being attentive to the feedback that we provide from graduate students. Most recently the GSS provided a resolution in favor of charging tuition on grants; and we are optimistic for how the change in full-time/part-time status will benefit graduate students.

• **Priority Issues:** In reviewing our meetings and numerous discussions this year, we have identified the following graduate student needs as key priorities for the Board and incoming President: 1) housing; 2) competitive/stable funding and benefit packages; and 3) a continuous orientation process thorough the year.

Lastly, I would like to conclude by recognizing this year’s leadership and introducing next year’s Executive Council. Please join me in expressing deep and sincere gratitude to:

- Eduardo Cotilla-Sanchez, outgoing GSS President and soon-to-be alumnus.
- Jude Paul Dizon, outgoing GSS Vice President who will be hooded tomorrow.
- Lane Manning, outgoing GSS Treasurer/Secretary.
- Narine Manukyan, outgoing GSS Outreach/Programs Director.
- Darby Brazoski, who served as GSS PR Director in the Fall term.
- Kelly Swindlehurst, outgoing GSS PR Director.

It has been my privilege to work alongside these individuals whose service has benefitted the graduate student community and the University of Vermont.

Now, please join me in welcoming our incoming leadership:
• Kelly Swindlehurst, incoming GSS President.
• Lane Manning, incoming GSS Vice President.
• Narine Manukyan, incoming GSS Treasurer.
• Owen Myers, incoming GSS Communications Director.
• Elena Yakimova, incoming GSS Outreach/Programs Director.

I am extremely excited and optimistic for the great work this council and next year’s Senate will produce as stewards for the welfare of graduate students and the University.

I sincerely thank you for reading and listening to this report, and for your service to the UVM community.

Respectfully Submitted,

Jude Paul Dizon, Vice President of the Graduate Student Senate
In this, my final report, I would like to begin by thanking the Members of the Board of Trustees for your earnest response and attention to the needs of the staff at the University. It has been my pleasure to work beside you these past two years on important initiatives while serving as Staff Council President.

Once again the subject of my report addresses staff concerns over Post-Retirement Medical Benefits (PRMB). The process under which the University engaged this topic was commendable and Staff Council has been diligent in remaining engaged with this matter. We had representation at every University Benefits Advisory Committee and Health Insurance Working Group meeting, read through many documents, attended and commented on presentations and proposals, and helped share information about this issue with staff. We agreed with the administration’s goal to offer one plan for all employees, and indeed, this is what we received. At this time, we would like to address the concerns from many long term UVM employees, who are disappointed by how these changes have impacted them.

We understand that a line needed to be drawn that would take into account an employee’s age and years of service to delineate who would and would not be eligible for the fully paid PRMB as of June 30, 2014. We were pleased with the two year timeframe to allow adequate time for those who are eligible to make a decision about retirement. However, we were not prepared to hear from so many staff with 25 years or more of service to UVM who found themselves close to the line, but are now just on the other side of eligibility. This benefit was viewed by many as a promise under which staff used to plan for their retirement.

Staff Council’s Executive Board has discussed these concerns and we remain conflicted over the situation. We acknowledge that this is a complex issue and Staff Council does not claim to have an answer or solution, but we recognize that employees impacted by this change have expressed feelings of anger, frustration, and an inability to trust promises made by the administration. While we recognize that changes to health care at the state or national level may impact this conversation again after 2014, it does not change the fact that many long term employees are feeling undervalued and unappreciated for all they have contributed to UVM throughout their careers.

We know that UVM has many issues to tackle in the coming years. Our new leadership and new strategic initiatives will no doubt offer solutions for many of the challenges we face. However, we encourage our leaders to reach out to this group of employees impacted by the changes to Post-Retirement Medical Benefits, to listen to them, and to consider solutions.

In the coming year, I will continue to serve as Immediate Past President, and will be here to assist the Board and the Administrators in whatever ways that I can. I look forward to seeing these relationships continue to grow and create positive change for UVM.
The end of a new academic year has brought with it the installment of the new 2012-2013 Student Government Association leadership team and Senate. This is, in fact, our 70th anniversary, and we see this celebratory year as an opportunity to re-dedicate the SGA to the service of students and the University Community. We have already transitioned with a great team, and wish to highlight that this year will be the first in many to have every college represented on the SGA Senate. This past year has been particularly productive and successful for SGA, including, but not limited to:

- Progress in communicating to students, both in clarity and hard numbers of opened emails, via a new weekly video to the campus instituted by former President Golفارینی
- The ban of sales of bottled water on the University campus
- Engaging in University conversations about Strategic Planning and the re-envisioning of undergraduate General Education
- Working with Faculty Senate to achieve passage of a temporary move towards Online Course Evaluations, in line with our University’s commitment to the environment and to efficient business practices
- Advertising, vetting, and streamlining student proposals to change the mural on the Living & Learning Building, whose new theme will be predicated on ‘Vermont & Local’

**Areas of Strategic Focus**

The upcoming year will be a formative one for both SGA and the University as a whole. Our agenda has quickly been filled with many integral student and University issues, although we are expecting and hoping for several new initiatives to come from students over the next year, especially from another exceptional class that will be matriculating in the Fall. These initiatives are based in both strategic priorities and immediate student needs, including:

- Engaging SGA-recognized clubs and organizations over the summer and early autumn to better our budgeting and club liaison process
- Playing a role in the renegotiation of the Payment-in-Lieu-of-Taxes (PILOT) or Payment-for-Services between the University and the City of Burlington, as well as seeking to facilitate better student-community relations
Looking forward to welcoming President-Elect Sullivan in the summer and again when students return to campus in the fall

Welcoming a new Dean of the College of Arts & Sciences, our largest college

Actively seeking to participate in the implementation process of the Strategic Initiatives Project (SIP)

Continuing with our commitment to our diversity and social justice by collaborating with the Chief Diversity Officer and the Department of Student Life in educating UVM students about diversity in its definition as a multiplicity of experiences and perspectives

Promoting the Learning Commons project as a top priority in the new Strategic Capital Plan ranking

Examining best practices and new models in order to engage more of the student body in the representative function of the Student Government Association

Many thanks from the Student Government Association need to be extended to the Board of Trustees for its sustained support of students and student-led initiatives, but I would be remiss to omit our recognition of service from our Interim President, John Bramley. His concern for and dedication to students, his leadership in a time of University and local governance transition, and his role as one of the principal facilitators of the University’s new strategic direction does not go unnoticed and is appreciated from former and current SGA leadership. We hope he remains active in the UVM community but also finds relaxation in his retirement, however long it will be this time.
The University of Vermont Alumni Association Update – May 18, 2012

Ted Madden ’92, Alumni Association President
Kristina Pisanelli ’97, Alumni Association Vice-President

The Alumni Association has been very active since January planning and executing more than 20 events and activities that have engaged in excess of 2,500 participants. The highlights below demonstrate the Association’s strong commitment to advance the broader goals and objectives of the University while establishing and fostering life-long relationships among the alumni community.

- Programming and Engagement Highlights
  - Collaborated with UVM Admissions office to launch UVM First Class lectures in five key areas (DC, Boston, NYC, Vermont, and Chicago) and engaged 1,000+ potential students, their parents, and alumni
  - Continued focus on career development activities with the formal launch of UVM Linked-In career program and networking events in all regional board areas
  - Formally launched ALANA mentoring program and supported such activities as the sold-out Senior Women’s Dinner and the ALANA and Rainbow graduation ceremonies
  - Recognized Luis Vivanco as the 2012 George V. Kidder Outstanding Faculty Award winner at an annual luncheon among his peers that represented our largest gathering of former Kidder award winners
  - Formally launched an Alumni House Committee that will focus on the next steps with 61 Summit St including development, program and facility design, and operations planning
  - Celebrated a highly successful partnership with UVM Athletics which saw a 78% increase in views live and streaming events on Catamount TV—an initiative that will be renewed in 2013

The Alumni Association has worked with leadership of the UVM Foundation to resolve and advance a number of key strategic initiatives that formalizes the relationship between the two groups and positions the organization for the greatest success in the months and years ahead. This work centered in four major areas:

- Governance
  UVM Alumni Association Board of Directors was formally recognized as a standing committee of the UVM Foundation
  A review of the charter/bylaws was conducted and awaits formal board approval

- Operations
  Instituted a formal strategic business planning process that will take place annually in February
  Develop communications plan to enhance accountability and annual reporting of activities

- Brand
  Currently working with design/marketing team to develop and promote stronger Alumni Association Brand
  Continue to work with campus partners to ensure participation in key signature events and activities

- Member Services
  Approved the launch of an enhanced member benefits program beginning July 1, 2013
  Revenue generated from program will be reinvested to expand scope of programming and engagement
  Core services are being developed and will likely include travel, insurance, and credit card programs
COMMITTEE OF THE WHOLE

May 18, 2012

(As recommended by the Executive Committee on 4/16/12)

Resolution Accepting Statement on Executive Compensation

WHEREAS, in October 2011 the President was charged with preparing an assessment of issues associated with executive compensation;

WHEREAS, the President presented the results of that assessment (Statement on Executive Compensation) to the Executive Committee on April 16, 2012 and the Committee recommended remittance to the Full Board for acceptance;

BE IT RESOLVED, that the Board hereby accepts the President’s Statement on Executive Compensation appearing as appendix A to this document; and

BE IT FURTHER RESOLVED, that the Board instructs the administration to proceed with steps consistent with the report’s recommendations.

(As recommended by the Board Governance Committee on 2/27/12)

Resolution Dissolving the Current Honorary Degree Work Group; Endorsing the President’s Adoption of a University Operating Procedures Applicable to Honorary Degrees and Commencement Speaker; and Adopting Revisions to Delegation and Retention of Board Authority

RESOLVED, that the Board hereby dissolves the current Honorary Degree Work Group and endorses the President’s proposed University Operating Procedures Applicable to Honorary Degrees and Commencement Speaker appearing as appendix B to this document;

BE IT FURTHER RESOLVED, that the Board adopts the revisions to its Resolution Regarding Delegation and Retention of Board Authority appearing as appendix C to this document.

Resolution Approving Amendments to Educational Policy & Institutional Resources Committee Charge

RESOLVED, that the Board hereby approves the amendments to the Educational Policy & Institutional Resources Committee charge appearing as appendix D to the document.
Resolution Regarding Honorary Degrees

BE IT RESOLVED, that the Board delegates authority to the Executive Committee to authorize the President to offer and confer honorary degrees at the 2013 Commencement pursuant to the status report provided today.
Statement on Executive Compensation

A. John Bramley, Interim President

Executive Summary

On October 10, 2011, the Chair of the Board of Trustees charged the President with preparing an assessment of issues associated with executive compensation exclusive of specifics associated with presidential compensation, which the Board would be addressing separately. The charge specifically requested the President to address the following:

1. Are UVM compensation policies and the policy infrastructure sound and adequate in terms of legal compliance considerations and best/common practices? Are there internal policy conflicts or policy "gaps"?

2. What is the extent of actual compliance with existing policies? What procedures and criteria exist for authorized exceptions to policies, and are they adequate?

3. Are the policies optimally streamlined and organized? Is there a set of overarching compensation principles shared by all categories of employees?

4. What data do we collect relative to which we set, monitor and assess salaries? To whom are the data made available?

Based on a review of policies and procedures as well as employment documents and reports along with a review of actual practices, the following summarizes the findings on each issue:

1. Are UVM compensation policies and the policy infrastructure sound and adequate in terms of legal compliance considerations and best/common practices? Are there internal policy conflicts or policy "gaps"?

**Conclusion:** UVM compensation policies and the related infrastructures are sound and adequate and are legally compliant and in-line with best and common practices both in higher education and in the general labor industry. There are recommendations below that would provide increased clarity and definition current policies.

2. What is the extent of actual compliance with existing policies? What procedures and criteria exist for authorized exceptions to policies, and are they adequate?
**Conclusion:** There is widespread compliance with existing policies and procedures with appropriate review mechanisms that include higher level of approval for certain actions and for all exceptions.

3. Are the policies optimally streamlined and organized? Is there a set of overarching compensation principles shared by all categories of employees?

**Conclusion:** The policies are streamlined and organized and made available through posting on various University websites. The University has several overarching compensation principles and philosophies that are consistently reflected in University policies and procedures. It is recommended that particular practices detailed below be formalized in a university operating procedure. These principles and philosophies apply to all categories of employees, however, better expression in the documents is needed.

4. What data do we collect relative to which we set, monitor and assess salaries? To whom are the data made available?

**Conclusion:** Data are collected on levels of staff employees based on appropriate job markets (i.e. regional vs. national). This is used to set salary ranges for classified positions as well as determine salaries for positions where ranges are not predetermined. It is recommended that an annual summary report be prepared and made available broadly to the University community.

The following provides background as well as supporting policies and procedures along with recommended changes to address findings and the conclusions cited above. (Note: This Statement focuses primarily on issues applicable to executives other than the president, but is some instances the president is included.)

**Background**

In February 2000, the University of Vermont Board of Trustees adopted the Report of the Ad Hoc Committee on Compensation ([Attachment 1](#)), which contains the following statement on Philosophy of Compensation:

> “UVM’s philosophy of compensation supports the institution’s mission, goals, and values and the University’s commitment to provide an exceptional educational experience to our students at a reasonable cost, as well as continuing to fulfill our important research and outreach mission. All that we do, including compensating our employees, must serve these purposes.

Recruiting and retaining high quality faculty and staff, and assessing and rewarding their performance, are essential elements of our ability to succeed as a quality university. UVM is committed to compensating employees competitively, equitably, and based on performance.”
Further the Report defined three principles upon which UVM’s compensation philosophy is based:

1. “Compensation must directly relate to the larger goals of fulfilling our mission as a university and improving the educational quality and competitiveness of UVM

2. Compensation should be determine based on the following factors:
   a. Performance
   b. Contribution to University Goals
   c. Market competitiveness
   d. Equity

3. Compensation should be viewed as salary plus benefits.”

In January 2007, Former President Daniel Fogel issued the statement entitled *Parameters for Compensation at UVM* (Attachment 2). This statement reflected advances from earlier documents in that for the first time it specifically identified “attention to the basic needs of lower-paid employees as an element of equity” and addressed the role of the collective bargaining process. It further affirmed that compensation should be guided by these parameters:

- Performance, including advancement of University and unit vision, mission and goals
- Market competitiveness
- Equity, including attention to basic needs
- Recognition of the role of collective bargaining for unionized employees

These statements and others have formed and inform the basis of the University’s compensation philosophy and to further advance the University’s compensation program various policies and procedures are in place, including:

- Compensation Policy/Practices (Attachment 3)
- Policy on Off-Cycle Base Salary Adjustments for Non-Represented Staff (Attachment 4)
- Bonus Program for Non-Represented Classified Staff (Attachment 5)
- Statement on Compensation contained in the *UVM Staff Handbook* (Attachment 6)
- Statement regarding Total Compensation: The Surprising Value of UVM Benefits (Attachment 7)
- University Policy on Relocation (Attachment 8)
• Annual guidelines regarding wage and salary increases for non-represented staff
  (Attachment 9)

**Officers of Administration**

The staff at the University are grouped based primarily on exempt and non-exempt (excluding groupings by represented and non-represented) in compliance with the United States Department of Labor Fair Standards Act (FSLA). Within each group there is further delineation based on a job classification system of specific duties and responsibilities. A group of senior leaders not covered by the classification system and designated officers of administration (officers). This group largely consists of vice presidents, deans, associate vice presidents, associate deans (not all) and other senior level officials (total count: 45 positions). For the purpose of this Statement, officers are considered executives. Policies related to officers are contained in the *University Manual* which is approved by the Board of Trustees, specifically “Part 400: University Officers; Vice Presidents and Other Officers of the University” (Attachment 10 Part 400, page 42 as well as a list of officers of administration). This section addresses many issues related to officers including recruitment, performance review, resignation, severance, grievance process, and by reference a link to benefits specific to Officers.

While many of the statements, policies, and procedures described above are addressed and applicable to all employees, in particular all exempt and non-exempt as well as represented and non-represented employees, there appears to be an absence of specific references to inclusion or exclusion of executive level employees—officers. It is reasonable to assume that these policies do apply to officers, but that is not expressly stated. The recruitment process is controlled by University policies and procedures, in particular those maintained by the offices of Financial Analysis and Budgeting, Human Resource Services, and Affirmative Action.

This document does not specifically address issues related to presidential compensation. On January 27, 2012, the Chair of the Board of Trustees issued on behalf of the Board of Trustees a summary of information gathered by the Annual Review Subcommittee on Presidential Compensation (Attachment 11).

Most of the UVM Officer positions are included in the 2010 CUPA-HR Administrative Compensation Survey (with the exception of two: director of compliance and associate vice president for development) and therefore the survey can provide benchmark salary for setting purposes, specifically national market medians. The salary data are as of December 1, 2011. In benchmarking against CUPA-HR data, the category of public research extensive universities was used as the comparative group. The most recent data highlights include the following:

• Officers’ salaries average 101% (i.e. 1% above median) of the market median.

• In the group of officers that report directly to the Board of Trustees, president or provost and are not deans the range 82% to 138% of market median with an average of 1% above median.
For vice presidents reporting to either the president or provost the range is 92% to 117% of market median with an average of 4% above median.

In the group of officers that report to the provost and are deans the range is 74% to 124% of market median with an average of 4% below median.

The remainder of the officers range from 66% to 155% of market median with an average of 5% above median.

The officers’ salaries range from $105,000 to $468,924.

Further, the president is required as part of the annual review process (Attachment 12) to provide a report on the “status of his or her direct reports, including their proposed compensation for the upcoming year (emphasis added).

Previously there was a practice of awarding officers non-base compensation including signing bonuses, performance bonuses, and deferred compensation agreements, however that practice ceased in 2009. Currently, there are a limited number of non-base compensation or benefits provided to officers:

- Vehicle allowance (1) – President.
- Burlington Country Club Membership (3)– Dean of the School of Business, Dean of the College of Education and Social Services, Vice President for Student and Campus Life (note that there is no cost associated with the membership as it is part of our agreement with Burlington Country Club and individuals are subject to income tax for personal use).

The non-base compensation/benefits for the president are covered under Board of Trustee policies and procedures (Attachment 13). There are no policies or procedures that expressly define an approval process for setting officers’ salaries or any non-base compensation/benefits beyond those above.

**Recommendation:** The following practices be included in the recommended university operating procedure to address officers’ benefits and non-base compensation/benefits:

- Hiring officials (defined as the position that the recruited position reports to) can offer base salary at 110% of the CUPA HR average of quartile 2 and 3 for public research extensive universities. Requests to exceed 110% must be approved by the hiring officials’ immediate supervisor and when the president is the hiring official the request is submitted to the Executive Committee of the Board of Trustees.

- Any off-cycle increase falls under the existing policy for off-cycle base salary adjustments (Attachment 4). Adjustments up to 110% can be made by the officer’s supervisor. Requests to exceed 110% must be approved by the supervisors’ immediate supervisor and when the president is the supervising official the request is submitted to the Executive Committee of the Board of Trustees. Off-cycle increases are limited to addressing
“market and equity issues relative to recruitment, retention and organizational change during a fiscal year.” (Attachment 4)

- All non-base compensation or benefits for officers must be approved by the Executive Committee of the Board of Trustees.

**Faculty Appointment for Officers**

A related issue for officers (such as deans or provost) is the need to create an underlying secondary, non-tenured or tenured faculty appointment with a base salary for people recruited from outside the University. Faculty appointed to officer positions who are currently faculty members at the University have an existing base faculty salary. The Office of Institutional Research has utilized a protocol to recommend a faculty base salary which considers benchmark data both within the department/unit, external benchmarks, and years of service (Attachment 14 See below).

**Recommendation:** That the protocol currently used by the Office of Institutional Research be included in the recommended university operating procedure related to determining an appropriate faculty base salary (Attachment 14 see below) and that the faculty salary be set at the time of appointment to the secondary position.

The *University Manual* addresses the issue of adjustments by the supervising senior officer to the faculty salary for officers assuming or resuming their faculty appointment as follows: “the faculty salary may include appropriate consideration of administrative experience gained as well as factors including salary range of faculty of the same rank in the academic unit, academic experience and expertise, standing in the academic discipline and duties to be performed.” This adjustment is done by the supervising senior official in consultation with the Dean of the College or School in consultation with the department chair or equivalent. Further, the faculty base salary for positions covered by collective bargaining agreements is adjusted according to the appropriate collective bargaining agreement. It is the discretion of the supervising senior officer to determine any merit increases added to the faculty base salary. For faculty appointments in the college of medicine the salary is incremented using the average of increases in the person’s academic department.

**Recommendation:** The *University Manual* be amended to include both practices related to adjustments to faculty base salaries.

**Administrative Leave of Absence for Deans and other Officers**

The *University Manual* addresses the issue of one semester leave of absence for deans who are non-reappointed and have an existing tenure or contract right to resume a faculty appointment (Section 301.5.4). Similarly, the *University Manual* addresses the issue of one semester leave of absence for officers of administration who are non-reappointed who have an existing tenure or contract right to resume a faculty appointment (section 404.2.2). The *University Manual* does not address the issue of administrative leaves of absence for deans or officers of administration who voluntarily resign their administrative appointment and have an existing tenure or contract right to resume a faculty appointment. In many cases appointment letters address this issue with
some inconsistencies, specifically the length of service required to be afforded an administrative leave as well as the length of the administrative leave (i.e. six months versus one year). Further, there are inconsistencies about the rate of compensation during the administrative leave (faculty bases salary versus administrative salary.) There is also no provision for leaves of absence for officers of administration who do not have an existing tenure or contract right to resume a faculty appointment. Further, there are inconsistencies about the amount of professional development funds provided to officers during the administrative leave.

**Recommendation:** The *University Manual* be amended to address the following issues related to administrative leaves for officers (also in section 301 related to deans) and/or included in the recommended university operating procedure:

- Specify appropriate terms for leaves of absence (not to exceed six months) for administrators who voluntarily resign their administrative appointment prior to assuming an existing tenure or contract right to resume a faculty appointment.
- Specify the length of service (three years) as an officer prior to eligibility for administrative leave.
- Clarify that administrative leaves are at faculty salary, not officer salary.
- Change wording to “sabbatical leave” from administrative leave.
- Specify that there are no provisions for leaves of absence for officers of administration who do not have an existing tenure or contract right to resume a faculty appointment.
- Specify that the amount of professional funds provided to officers during an administrative leave period is determined by the number of years of service as an officer times the amount of professional development funds provided for the in the faculty collective bargaining agreement, up to a maximum of three years. These funds are only available during the administrative leave period and do not carry forward.

**Comprehensive Review**

Senior Leaders undergo a comprehensive review no more often than at three, and at no less than five year intervals (*Attachment 15 – Review and Evaluation of Senior Leaders*). Deans are required to undergo a third year review and a periodic comprehensive review at intervals of no longer than five years (*Attachment 10 - University Manual* Section, 301.4, page 30). This process is coordinated by the Vice President for Executive Operations. At the conclusion of the review process, in particular the five-year comprehensive review, there is no provision allowing the supervisor (president or provost) the ability to adjust base compensation based on a successful review. While not specifically analogous, the process is similar to the faculty promotion. The collective bargaining agreement addresses promotion increases.

**Recommendation:** The appropriate amendments to *University Manual* or inclusion in the university operating procedure to allow the supervisor to award a base increase of up to 10% of base for a successful comprehensive review. Supervisors can increase base salary to 110% of the CUPA HR Administrative Compensation Survey for public research extensive universities. Requests to exceed 110% must be approved by the president for deans and vice presidents reporting to the provost by the Executive Committee of the Board of Trustees for senior officials reporting to the president.
**Recommendation:** The Policy on the Review and Evaluation of Senior Leaders be modified to more clearly define “senior leader”. It is recommended that the policy be revised to limited applicability to vice presidents.

**Summary of Staff Labor Market Data**

The University of Vermont’s salary and compensation program is managed by the Office of Human Resource Services under the direction of the Associate Vice President for Human Resource Services reporting to the Vice President for Finance and Administration. A major area of responsibility includes compliance with all federal and state regulations related to the classification and compensation of employees, in particular the United States Department of Labor Fair Labor Standards Act (FSLA). In 2003, the University completed a comprehensive review and analysis of the classification and compensation system for all non-faculty employees both represented and non-represented. This resulted in standardized position descriptions for all classified positions and includes salary ranges based on market analysis (note: these ranges are regularly reviewed and adjusted based on a similar analysis and inflation). This group of non-faculty employees (staff) are separated into three distinct groups for wage and salary analysis based on the differences in the local, regional, and national market used for recruitment and retention purposes, specifically:

- Eighteen non-exempt positions for which the University recruits locally and benchmarks using data in Gallagher & Flynn’s New England Salary Survey.
- Ninety-three mid-level professional positions for which the University recruits both regionally and nationally and benchmarks using the College and University Professional Association for Human Resources (CUPA-HR) Mid-level Administrative and Professional Salary Survey.
- Forty-eight high-level professional positions where the University recruits nationally and benchmarks using the CUPA-HR Administrative Compensation Survey.

In benchmarking against survey data, the University matches only those positions that are similar enough to UVM positions to ensure data integrity. Based on those matches, the University compares individual and averages salaries against survey average and or median survey data. For the CUPA-HR Administrative Compensation Survey, the University benchmarks against doctoral granting institutions and uses average data from two budget quartiles ($310.2M - $571M and $571M - $1,096.1M). For the CUPA-HR Mid-level Administrative and Professional Salary Survey, the University benchmarks against doctoral granting institutions and uses average data from two budget quartiles ($308.5M - $562.6M and $562.6M - $1,096.1M).

The April 2011 analysis of compensation which examined calendar year 2010 found the following results:

- Our highest level professional salaries average 4% above the national market median
• Mid-level professional salaries average 4% above the national market median

• Non-exempt wages/salaries average the local market median, of those:
  o 3% below market for **represented** positions (note: one percent of salary is for union dues.
  o 3% above market for **non-represented** positions

In addition, when considering these average wages relative to benchmarks, it is important to observe that UVM compensation rates vary considerably relative to market averages:

• Top level professional classifications range from 63% to 156% of market median with an average of 104% (i.e. 4% above median)

• Mid-level professional classifications range from 59% to 139% of market median with an average of 105%

• Non-exempt classifications range from 91% to 114% of market with a median of 102%

• (Note: Athletic Department coaches follow practices for university/college coaches and there non-base compensation and bonuses are not addressed in this Statement.)

**Conclusion**

In summary, compensation practices for officers of administration have reflected and been consistent with University policies and statements related to compensation. However, certain elements have not been as clearly expressed or detailed in existing policies and procedures to create a clear appearance of transparency. The result of this has been frustration and anger amongst some members of the community. The recommendations contained here are meant to address this concern and provide a greater degree of transparency and prescribed lines of approval. It is reasonable, that policies and practices related to benchmarking, in particular in relation to national data, apply to officers as well. These are positions where the university often recruits nationally and data exists that can be used to set salary and other benefits. Further, people in these positions, whether recruited from within the University or outside, can reasonably be expected to be compensated based on national averages for their position.
**ATTACHMENT 10**  
*(SUPPLEMENT – LIST OF OFFICERS)*

<table>
<thead>
<tr>
<th>Officers of Administration (as of December 1, 2011)</th>
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<tbody>
<tr>
<td>Associate Dean, College of Medicine</td>
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<td>Associate Dean, College of Medicine</td>
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<tr>
<td>Associate Provost Curricular Affairs</td>
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<td>Associate Provost Faculty Affairs and Internationization</td>
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<td>Associate Vice President for Budget and Resource Management</td>
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<td>Associate Vice President for Development</td>
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<td>Associate Vice President for Human Resource Services</td>
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<tr>
<td>Associate Vice President for Research Administration</td>
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<tr>
<td>Associate Vice President for Student and Campus Life</td>
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<tr>
<td>Associate Vice President for Student and Campus Life and Dean of Students</td>
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<tr>
<td>Chief Compliance Officer</td>
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<tr>
<td>Chief Diversity Officer</td>
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<tr>
<td>Chief Information Offices</td>
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<tr>
<td>Chief Internal Auditor</td>
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<tr>
<td>Dean of Extension</td>
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<tr>
<td>Dean, College of Agriculture and Life Sciences</td>
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<tr>
<td>Dean, College of Arts &amp; Sciences</td>
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<tr>
<td>Dean, College of Education and Social Services</td>
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<tr>
<td>Dean, College of Engineering and Mathematical Sciences</td>
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<tr>
<td>Dean, College of Medicine</td>
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<tr>
<td>Dean, College of Nursing and Health Sciences</td>
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<tr>
<td>Dean, Continuing Education</td>
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<tr>
<td>Dean, Honors College</td>
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<tr>
<td>Dean, Libraries and Learning Resources</td>
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<tr>
<td>Dean, Rubenstein School</td>
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<tr>
<td>Dean, School of Business</td>
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<tr>
<td>Director of Admissions</td>
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<td>Position</td>
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<tr>
<td>Director of Athletics</td>
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<td>Director of Institutional Research</td>
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<td>Director of Physical Plant</td>
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<tr>
<td>Director of Residential Life</td>
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<tr>
<td>Director of University Communications</td>
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<tr>
<td>Director Student Financial Services</td>
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<tr>
<td>President</td>
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<tr>
<td>Provost and Senior Vice President</td>
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<tr>
<td>University Controller</td>
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<tr>
<td>University Registrar</td>
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<tr>
<td>Vice President for Development</td>
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<tr>
<td>Vice President for Enrollment Management</td>
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<tr>
<td>Vice President for Executive Operations and Chief of Staff</td>
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<tr>
<td>Vice President for Federal State and Community Relations</td>
</tr>
<tr>
<td>Vice President for Finance and Administration</td>
</tr>
<tr>
<td>Vice President for Legal Affairs and General Council</td>
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<tr>
<td>Vice President for Research and Dean of the Graduate College</td>
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<tr>
<td>Vice President for Student and Campus Life</td>
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</tbody>
</table>
ATTACHMENT 14

DRAFT

Steps in Establishing a Faculty Salary
for Individuals Initially Hired Into an Administrative Position

Establishing an Initial Faculty Salary

- Obtain a copy of the individual’s curriculum vitae to determine their (a) academic discipline and (b) the year of their highest degree.

- Obtain a copy of the most recent edition Oklahoma State University Faculty Salary Survey by Discipline. The OSU salary survey is conducted annually. It provides average, high, and low salaries by academic rank for each discipline at the participant institutions. Data are also provided for “All Ranks.” The institutions invited to participate are major public universities that award doctorates in at least five (5) different discipline areas.

- The OSU participant institutions come from the following current Carnegie Classifications which were established in 2005: Research Universities – Very High Research Activity; Research Universities – High Research Activity; and Doctoral/Research Universities. UVM is classified as a Research Universities – High Research Activity [Note: The Carnegie Classifications are updated and revised approximately every five to seven years. From 2000(?) to 2005, the Carnegie Classifications in the OSU survey were: Doctoral/Research Universities – Extensive and Doctoral/Research Universities – Intensive. UVM was classified as a Doctoral/Research I University in the 2000 Classification.]

- UVM is currently classified as a Research Universities – High Research Activity. However, some consideration may be given to a candidate who is coming from a Research Universities – Very High Research Activity where salaries tend to run higher than UVM’s classification.

- It may be necessary to adjust the relevant OSU salary data to bring them current to the base year for which a UVM faculty salary is to be determined. For example, if asked in November 2011 (i.e., the 2011-12 academic year) to provide a faculty salary for a new senior administrative candidate, the most recent OSU data are for the 2010-11 academic year. Therefore, the OSU salary data would need to be increased in order to estimate 2011-12 salary data. Data on faculty salary increase trends from the American Association of University Professors (AAUP) annual faculty salary report can be used for this calculation. [Note: In some instances, it is necessary to calculate a faculty salary where there will be a two year difference between the year the candidate will begin their UVM appointment and the most current OSU data. Example: One might be asked to calculate an 2012-13 faculty salary early in 2011-12 when the most current OSU and AAUP data are for the 2010-11. This will require one additional calculation to estimate a 2012-13 “OSU” salary. In this example, a 2011-12
UVM salary would be incremented by the salary increase percent in the full-time bargaining unit collective bargaining agreement.

- Once a faculty salary has been estimated using the data and methodology described above, some salary supplements may be given for the candidate’s (a) up to ten percent for one’s previous scholarly activity and (b) up to ten percent for one’s previous administrative experience. [Note: These salary supplements were proposed in a May 2001 document prepared by Professor Robert Low at the request of UVM’s incumbent Provost.]

- If UVM salary are available, one should plot the candidate’s estimated salary with the current salaries of faculty at the same rank in (a) the appropriate UVM department and (b) the appropriate UVM college or school. These salaries should be plotted against “years since highest degree” a proxy measure of years of experience.

- The above information with appropriate analyses should be forwarded to the appropriate UVM administrator for a final decision.

Setting a Faculty Salary When Actually Moving to a Primary Faculty Appointment

- With an initial faculty salary having been previously determined, this process is relatively simple. The protocol has been established to apply the salary increase pools in the appropriate full-time bargaining unit collective bargaining agreements. It is recommended that the individual components of the salary increase pools be used instead of the total salary increase pool. That is, use the separate salary increases for (a) across-the-board; (b) market/compression; and (c) performance should be used in making current the individual’s faculty salary. Using the individual salary increase components not only provides more useful information, it also allows one determine if the calculations for market/compression adjustments exceed the dollar increase caps in the collective bargaining unit. I recommend showing as much detail as possible.

- Once these calculations have been prepared, the impacts of adding up to an additional ten percent each for (a) one’s UVM scholarly activity and (b) one’s UVM administrative experience.

- These data and analysis is then forwarded to the appropriate UVM senior administrator for review and decision.

*Final Note: It must be remembered that there is an element in negotiation, especially in the determination of the initial faculty salary.*

**Accepted by the Board of Trustees:**
University Operating Procedure

HONORARY DEGREES; COMMENCEMENT SPEAKER

Overview

The University annually considers nominations for Honorary Degree recipients and a Commencement Speaker. This University Operating Procedure sets forth the process and criteria applicable to the selection process.

Procedures

The University President shall annually appoint an advisory committee comprised of the presidents of the Faculty Senate, Graduate Student Senate, Student Government Association, and Staff Council; two faculty members selected by the Faculty Senate Executive Council; The University of Vermont and State Agricultural College Foundation, Inc., chief executive officer or his/her designee; the Alumni Council President or his/her designee; and two administrators or staff member selected by the President. The President will also appoint a chair.

The President shall initiate the nominations process in September of each year, which shall proceed on a timetable that will allow for the timely selection of honorary degree recipients and a Commencement Speaker who will appear at the Commencement ceremony taking place in May of the year following the academic year in progress. The advisory committee will be asked to review diligently the nominations submitted and to recommend to the President 3-5 Honorary Degree candidates.

The President will consult with the advisory committee on the selection of Commencement Speaker whom may also be eligible to receive an honorary degree. The final decision of the Commencement Speaker is the President’s.

The advisory committee will also be asked to review nominations for honorary degrees that may be awarded at ceremonies or special events other than Commencement.
Criteria

To be eligible for consideration for the award of an Honorary Degree, a nominee must be recognized as accomplished in at least one of three areas:

1. Outstanding achievement or service at or for the benefit of the University of Vermont.
2. Outstanding achievement or service in or for the benefit of the State of Vermont.
3. Outstanding achievement or service in the nation or the world.

Of particular importance is to identify Honorary Degree candidates and a Commencement Speaker who reflect University values or have achieved distinction in endeavors aligned with institutional goals and strategic priorities.

Also to be considered is the following in evaluating nominees:

- Sustained and dedicated commitment to public life and service
- Significant contributions to the advancement of knowledge
- Significant contribution to the University’s ability to achieve its mission

Forms

Commencement Speaker and Honorary Degree Nominations Form: 

Timeline for Honorary Degree Process: 
http://www.uvm.edu/president/?Page=honorarydegrees/nom_for_hon_degree.html

Contacts

Questions related to the daily operational interpretation of this policy should be directed to:

University Vice President for Executive Operations

Effective Date

Approved by:

__________________________________________ Date:

A. John Bramley, Interim President

Endorsed by the Board of Trustee: ____________________________
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

BOARD OF TRUSTEES

Resolution Regarding Delegation and Retention of Board Authority
(see appended chart)

WHEREAS, this Board has, in its Bylaws and through such policies and resolutions as it may issue from time to time, delegated to the President and other officers of the University certain authority and responsibility for the management of the University and its programs, activities and operations; and

WHEREAS, this Board recognizes the need for prompt and timely management decisions made by qualified University personnel, and thus, through such delegations, authorizes officers of the University to negotiate and enter into contracts and other arrangements to facilitate the objectives of University programs and activities and to conduct related operations; and

WHEREAS, in making such delegation, the Board also assigns to such officers responsibility to make informed and prudent decisions in the best interests of the University and to maintain accountability to the Board through prompt and accurate reports on University programs, activities and operations, including their financial status and impact;

NOW, THEREFORE, BE IT RESOLVED that, subject to its retained authority and responsibility for the general oversight of the University, and reserving to itself the power to act on its own initiative as necessary to the fulfillment of its own fiduciary and legal duties, the Board hereby delegates to the President and the officers of the University authority and responsibility to negotiate and enter into contracts and other arrangements to facilitate the objectives of University programs and activities and to conduct related operations, and hereby also recognizes the authority the Board delegates to the Faculty Senate as expressed in the Faculty Senate Constitution and Bylaws, except for the following, which shall require Board approval:

1. statements of institutional mission, principles and values;

2. the institutional strategic plan and associated goals, and related strategic financial plans and goals, and all material revisions thereto;

3. the establishment and dissolution of University-affiliated corporations and foundations, and University membership in other corporate entities (but not institutional memberships in professional associations);

4. the appointment of University Trustees to the boards of other corporate entities or public bodies in their capacity as University Trustees;
(5) the appointment and employment of the President, election of the other officers of the Board and the University in accordance with the University Bylaws, and authorization of severance payments in excess of the standard amount University policy specifies for officials who report to the President;

(6) the creation or elimination of an academic unit, curriculum, research or service endeavor as defined in Faculty Senate protocols; and approval of faculty medical or other clinical practice plans;

(7) the award of honorary degrees;

(8) matters the Faculty Senate may appeal to the Board under the Senate Constitution and Bylaws;

(9) the naming of buildings and academic programs;

(10) through its Investment Subcommittee of the Budget, Finance and Investment Committee (“Investment Subcommittee”), the selection, retention and termination of investment advisors and managers for the Long-Term Investment Pool; provided that: the Board must itself approve policies for the Long-Term Investment Pool and the Limited Term Asset Pool, the endowment spending rate, the endowment management fee, declaration of financial exigency, and the dissolution, merger or the sale or pledge or transfer of all or substantially all of the University’s assets;

(11) the institutional annual budget and acceptance of the annual audited financial statements;

(12) tuition, room and board rates, student fees, and in-state status regulations for purposes of determining tuition;

(13) the purchase, sale, exchange, or transfer of complete or partial interests in real property, regardless of location, at a value that equals or exceeds $500,000; authorization of acceptance of compensation in eminent domain proceedings; the lease or sublease of property with annual or aggregate rental value that equals or exceeds $500,000, and renewals thereof; the pursuit or acceptance of historic preservation designation for University property; and adoption of, and material revisions to, a Campus Master Plan;

(14) payments in lieu of taxes;

(15) the issuance of bonds and approval of the institutional debt policy;
(16)(15) the procurement of loans, lines or credit, or other financing, and performance as surety, in amounts or at a value that equals or exceeds $1,000,000;

(17)(16) contracts for facilities construction or renovation and the purchase or sale of goods, equipment or services at an aggregate cost of ≥ $1,000,000, including increases in project costs for previously approved projects whose value in aggregate equals or exceeds $1,000,000; provided that (and subject to the provisions of (18) below), the Board shall approve all contracts for consulting services whose aggregate value equals or exceeds $250,000, and the Board shall also authorize, through its Investment Subcommittee, the selection and retention of all investment advisors regardless of contract cost;

(18)(17) the selection and retention of independent audit firm to conduct the annual audit of financial statements and/or compliance audits, regardless of contract cost; contracts at an aggregate cost of $10,000 or more for non-audit consulting services with the audit firm that is conducting the annual audit of financial statements;

(19)(18) the material terms of collective bargaining agreements and, within the context of annual budget preparation and approval, the annual salary pool for non-union-represented employees;

(20)(19) the settlement of claims and/or lawsuits at a cost that equals or exceeds $250,000, regardless of insurance coverage; and authorization to file and/or settle lawsuits in which the Board or a University officer is a named party or a Board-approved policy is in dispute;

(21)(20) all self-governance matters reserved to the Board in the University Bylaws, including without limitation the election of Board officers, approval of Board Committee appointments, or as otherwise required or permitted by law; and

(22)(21) revisions to University Bylaws; matters required by law, Bylaws, and/or contract; and such other authority as the Board is required to exercise without delegation as a matter of law, or that, in the future and prospectively, it wishes to retain or retrieve in the exercise of its fiduciary duties and sole discretion;

AND BE IT FURTHER RESOLVED, that notwithstanding such delegations, through the President or his designees, the administration shall report periodically on matters of institutional management and operations as the Board may direct and/or as may be appropriate and desirable, including without limitation periodic reporting on gifts and grants; and
BE IT FINALLY RESOLVED, that this resolution shall supersede all preexisting delegations prospectively.

*Adopted by the Board of Trustees: September 11, 2004*
*Approved as revised by the Executive Committee: March 14, 2005*
*Approved as revised by the Board of Trustees: May 19, 2007*
*Approved as revised by the Board of Trustees: May 17, 2008*
*Approved as revised by the Board of Trustees: September 5, 2008*
*Approved as revised by the Board of Trustees: February 7, 2009*
*Approved as revised by the Board of Trustees: February 6, 2010*
*Approved as revised by the Board of Trustees: March 8, 2010*
*Approved as revised by the Board of Trustees: February 5, 2011*
*Approved as revised by the Board of Trustees: March 14, 2011*
**Board Reserved Rights and Delegations**

NOTE: Numbers in brackets [ ] correspond to paragraphs in Resolution Regarding Delegation and Retention of Board Authority, as rev. 3/14/11.

<table>
<thead>
<tr>
<th>Real Estate</th>
<th>Financial</th>
<th>Fiduciary</th>
<th>Personnel</th>
<th>Academic</th>
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</thead>
<tbody>
<tr>
<td>Land purchase/sale, or transfer of real property or interests therein, at value $500K; eminent domain proceedings compensation [13]</td>
<td>Issuance of bonds and approval of institutional debt policy [15]</td>
<td>Selection and retention of independent audit firms for the annual financial audit and/or compliance audits (regardless of cost); also consulting contracts at an aggregate cost of $10K for non-audit consulting services with the audit firm conducting the annual financial audit [18]</td>
<td>Appointment and employment of President (contract, evaluation, termination) [5]</td>
<td>Creation or elimination of academic units, curriculum, research or service endeavors, as defined in Faculty Senate protocols [6]</td>
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<tr>
<td>Leases/subleases with annual or aggregate rental value of $500K; renewals thereof [13]</td>
<td>Contracts for facilities construction or renovation projects $1 million; including increases in projects costs for previously approved projects whose aggregate value is $1 million [17]</td>
<td>Creation or dissolution of a UVM-affiliated corporation or Foundation [3]</td>
<td>Election of Board officers [5]</td>
<td>Adoption of strategic plan and goals, and related strategic financial plans and goals, and all material revisions thereto [2]</td>
</tr>
</tbody>
</table>

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1 In addition to the rights expressly reserved to the Board in the numbered paragraphs of its resolution, the Board in a general statement of resolution reserves to itself the power to act on its own initiative as necessary to the fulfillment of its own fiduciary and legal duties.

2 See “Fiduciary” for special rules regarding audit firms [18]
<table>
<thead>
<tr>
<th>Real Estate</th>
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<th>Fiduciary</th>
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<th>Academic</th>
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<tr>
<td>Naming of buildings [9]</td>
<td>Selection and retention of the independent audit firm for the annual financial statements audit and selection and retention of an independent audit firm for compliance audits (regardless of contract cost); and consulting contracts at an aggregate cost of ≥$10K for non-audit consulting services with the audit firm conducting the annual financial statements audit; all non-audit consulting services contracts whose aggregate value exceeds $250K [18]</td>
<td>Statements of institutional mission, principles or values (e.g., Our Common Ground) [1]</td>
<td>Appointment of UVM trustees to external boards or other public bodies in their capacity as UVM trustees [4]</td>
<td>Matters appealable to the Board under Senate Constitution and Bylaws [8]</td>
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<td>Tuition, room &amp; board rates; student fees, and in-state status regulations for purposes of determining tuition [12]</td>
<td>Matters required by law, Bylaws, or contract; Board self-governance actions reserved to the Board, including the election, of Board officers [21]</td>
<td>Authorization of severance payments to officers of administration who report to the President in excess of the severance amount specified in the University Manual [5]</td>
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<td>Contracts for facilities construction or renovation projects ≥ $1 million, including increases in projects costs for previously approved projects whose value is ≥ $1 million [17]</td>
<td>Approval of annual budget [11]</td>
<td>Adoption of strategic plan and goals, and related strategic financial plans and goals, and all material revisions thereto [2]</td>
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<td>Material terms of collective bargaining agreements and, within the context of annual budget preparation and approval, the annual salary pool for non-union-represented employees [19]</td>
<td>Acceptance of the annual audited financial statements [11]</td>
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<td><strong>Real Estate</strong></td>
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<td>Filing or settlement of claims or lawsuits at a cost $\geq 250K$, regardless of insurance coverage [20]</td>
<td>Via BFI Investment Subcommittee, selection, retention and termination of investment advisors and managers for the Long-Term Investment Pool; provided that, the Board must itself approve policies for the LTIP and the Limited Asset Pool, the endowment spending rate, endowment management fee, declaration of financial exigency, and dissolution, merger, or the sale or pledge or transfer of all or substantially all of the University's assets [10]</td>
<td>Acceptance of annual audited financial statements [11]</td>
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<td>Payment in lieu of taxes [14]</td>
<td>Initiation or settlement of claims or lawsuits at a cost $\geq 250,000$, regardless of insurance coverage, and/or authorization to file or settle lawsuits in which the Board or a University officer is a named party or in which a Board-approved policy is in dispute [20]</td>
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<td>Acceptance of gifts and grants reports [be it further resolved final paragraph. ]</td>
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3 This includes workers’ compensation claims and lawsuits.
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

BOARD OF TRUSTEES

COMMITTEE ON EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES

The Committee shall have responsibility for overseeing the development and status of strategic, long-range University programmatic and resource use plans and related plan objectives.

The Committee shall oversee matters relating to educational policies and programs, including student enrollment; rates and fees associated with enrollment, and financial aid; the quality of student and campus life; accreditation, academic programs, and degrees; research and scholarship, instructional, and service activities; and faculty affairs.

The Committee shall oversee strategic planning relating to diversity and promote the achievement of diversity goals across a broad spectrum of University programs and activities.

The Committee shall oversee matters relating to the procurement, use, quality, condition, and disposition of the University’s buildings and other facilities, and its assets, infrastructure, technologies, and other institutional resources.

The Committee shall oversee the University’s development and advancement programs and campaigns.

The Committee will exercise its charge in a manner consistent with University governance, including the Board’s reserved rights and delegations of authority.

Approved by the Board of Trustees: September 9, 2006
Amended by the Board of Trustees:
Operational Elaboration of Charge

The subject matter of the Committee may include:

- Enrollment management policies, plans and programs, including admissions; student body enrollment and composition; and retention and graduate rates
- The University’s strategic diversity and campus climate priorities and initiatives
- Tuition and room and board rates, student fees, and financial aid
- Quality of student life, including policies and programs relating to academic excellence; the health, safety, and general welfare of students; residential life; and co-curricular activities, such as athletics
- University and academic program accreditation status
- Curriculum development and revision, and the creation or elimination of academic units and programs

Awarding of honorary degrees

- Faculty affairs, including faculty recruitment, composition, and retention
- Research and scholarship (including external support), instructional, and service activities
- Annual and special fundraising campaigns, and institutional advancement initiatives, including programs to foster productive relationships with alumni and other communities of friends of the University, as well as corporate and foundation, and governmental relations
- Campus master plans
- Quality, condition, and adequacy of the physical assets of the University, including real property, grounds, campus infrastructure and technologies, and equipment, and the acquisition, use, and disposition of such resources
- Construction and capital renovation or improvement projects
- Naming of campus facilities
- Such other matters consistent with its charge as may be referred to the Committee by the Board Chair
Title: Calibrating Underwater Autonomous Vehicles: The Bolton Test Track

Presenting: Collin Dailey, Senior, School of Engineering

Senior Experience in Design Team Members: Andrew Stifler, Jon Razinger, Mike Trubia, Seniors in School of Engineering

Clients: Greensea Systems Inc., Richmond, Vermont. Ben Kinnaman, Bobby Mohr

Faculty Mentor: John E. Novotny, Lecturer in School of Engineering

Abstract: Greensea Systems, Inc. specializes in complete command, control, and navigation systems for remotely-operated robots. Greensea’s BOLTON System is a navigation sensor which allows unmanned, underwater robots to move with high accuracy. The system uses a high-performance core sensor, which measures and relays the robot’s location by the inertia of its movements. Greensea Systems tasked the Senior Experience in Engineering Design team to develop a calibration device for the BOLTON system that will insure accuracy and reliability. The device is a fully-automated, stable test fixture that precisely translates and rotates the sensor array over a large range of motions and speeds. The system collects data from its motion and the output of the BOLTON system, and this information is used to calibrate the sensors. The calibration device works both on-site at the factory and off-site for pool/water testing. Over the course of two semesters, the Design Team clarified project objectives, proposed and analyzed various design options and manufactured a working calibration system, named the Bolton Test Track at Greensea Systems. The project’s success aims to enhance Greensea System’s calibration capabilities immensely and insure that each system that is developed and produced is of the highest quality. The Design Team’s success is a high point of their undergraduate engineering experience.
Title: Tactile Graphics for the Blind: A SEED Project That Grew into a Start-Up

Presenting: Josh Coffee, 2011 CEMS graduate in Mechanical Engineering; Vice President of E.A.S.Y., LLC
Akie Hashimoto, 2011 CEMS graduate in Electrical Engineering, presently an MS candidate at Duke; soon to return to membership in E.A.S.Y., LLC

Senior Experience in Design Team Members: Josh Coffee, Akie Hasimoto and Keegan Brown

Faculty Mentors: Mike Rosen, CEMS Research Associate Professor in the School of Engineering and industrial liaison for SEED; and President of E.A.S.Y. LLC
Mike Coleman, CEMS Senior Lecturer in Mechanical Engineering; and Vice President of E.A.S.Y. LLC

Abstract: A sequence of three SEED projects were undertaken in academic years 2008-2009 through 2010-2011 supported by generous funding from the National Federation of the Blind (NFB). The goal of these student efforts, mentored by Mike Rosen, CEMS Research Associate Professor in the School of Engineering and industrial liaison for SEED; and President of E.A.S.Y., LLC and Mike Coleman, CEMS Senior Lecturer in Mechanical Engineering; and Vice President of SEED, was to develop technology to make possible the production, editing, digitizing, transmission and reproduction of free-hand raised-line graphics for the blind. This work was dramatically more successful than our benefactors at NFB expected. When it became clear that the 2010-2011 students were determined to continue the work after they graduated, a decision was made to form Engineering to Assist and Support You, LLC to undertake the commercialization of their unique tactile graphics technology. At this writing, the start-up is hard at work in space at the Vermont Center for Emerging Technologies; about to sign a license agreement with the UVM Office of Technology Commercialization and receive a low-interest loan from UVM Ventures; and paying its bills with an equity investment from the NFB.
The goal of the Strategic Initiatives Project (SIP) was to develop a multi-year plan to identify the strategic investments and the resources necessary to fund them to realize the University’s vision to become among the nation’s premier small research universities.

Phase I of the work was conducted over the 2011-12 academic year, by an integrated team of deans, vice presidents, associate provosts, senior staff and faculty leadership. The work was conducted in a transparent and high-involvement manner that included the participation of the larger campus community.

The overall SIP team was broken into five sub teams: three investment teams working in the areas of Diversity & Internationalization, Student Success & Satisfaction/General Education, and Transdisciplinary Research Initiative & Research; one team working to identify opportunities for new net revenue; and one team working to identify opportunities to maximize and redeploy our existing resources.

The investment teams developed 14 strategic proposals that were endorsed by the full SIP team. A number of proposals were identified for consideration as the most strategic and earliest actions the University should take.

The new net revenue team identified two opportunities for the generation of new revenue: Distance Education and International Enrollment. Both of these projects have moved from discussion to the initial implementation phase.

The team charged with identifying opportunities to maximize and redeploy our existing resources arrived at the conclusion that the University must undertake a comprehensive analysis that leads to the reshaping and rebalancing of its workforce. The projects that underlie this effort include: a benchmarking exercise; re-engineering our business processes; assessing our current array of academic programs; and evaluating our organizational structure in terms of academic unit organization, and the potential cost savings associated with academic business centers, the delivery of student services, and central administrative departments.

The results of this work are ready for President-Elect Sullivan’s consideration and to be shaped by his goals and aspirations for the University of Vermont.
Strategic Initiatives Project Report  
May 18, 2012

Board of Trustees  
Committee of the Whole  

Prepared By  
Provost Jane E. Knodell

In this report I will discuss the inception and goals of the Strategic Initiatives Project (SIP); the organization, timeline and processes that guided its work; project outcomes; and conclusions and next steps.

Introduction: History and Goals of the Strategic Initiatives Project
The Strategic Initiatives Project was launched as a result of leadership discussions in early 2011. An unusual characteristic of these discussions was their joint engagement of both the senior administrative leadership (vice presidents and others) and our academic leadership (deans) around a number of decisions, issues and challenges critical to the future success of the University of Vermont. It became clear that the best way to advance the University’s interests was to draw on the talents and perspectives of this integrated leadership group.

The University’s vision is clear and often articulated: “to be among the nation’s premier small research universities, preeminent in our comprehensive commitment to liberal education, environment, health and public service.” What has been less clear to our community is the path that will lead us to the realization of this vision, one that we believe is wholly achievable. The need for a clear set of action steps led to the creation of the Strategic Initiatives Project. The Project’s overarching goal was to identify a “roadmap” to translate the themes that underlie the vision statement into action (Appendix A). More plainly put, we sought to understand what we need to do (and stop doing) and how to pay for it, to become a premier small research university – and perhaps, equally important, we needed to establish a shared understanding of this strategy.

This report on SIP describes the “roadmap” that has emerged from our work. This is a multi-year plan that identifies both the investments we must make to achieve greater academic excellence, and how we will fund those investments. The plan will evolve over time as we adapt to new opportunities and learn from our experience. Without the SIP long-run budget strategy, the strategic investment ideas will remain just that, good ideas, not real initiatives bringing tangible benefits to our students, the University, and the public good.
Organization, Timeline, Process and Participation

The core work of the project has been carried out by a leadership group consisting of the deans, vice presidents, associate provosts, senior staff, and faculty leadership. This group organized itself into teams that supported the five areas of focus of the Strategic Initiatives Project. Three teams were tasked with developing targeted investment proposals and accompanying metrics to measure the return on investment in the following areas that are major themes of the University’s Strategic Plan: Diversity & Internationalization, Student Success & Satisfaction/General Education, and TRI & Research. The remaining two teams were tasked with identifying sources of new net revenue and cost savings to support necessary investments. SIP set out to identify $24M in investible resources by FY18, split evenly between initiatives that generate new net tuition revenue and initiatives that reduce costs and improve productivity thus liberating resources for reinvestment in more strategic areas.

Each of the five SIP teams received initial guidance from the Provost generally directing its work, and then developed its own charter and work plan. There was a central project timeline and a series of full SIP team meetings throughout the year at which each team presented a defined deliverable and sought any guidance necessary from the full team before taking its next steps.

The project advanced in three stages:

- Organization of teams and generation of work plans (Summer – Fall 2011)
- Data analysis; generation of proposals; vetting of proposals with the full SIP team and the campus community (Fall 2011-Winter 2012)
- Identification of final recommendations (Winter 2012-Spring 2012)

The SIP work was not done in a vacuum. Each team engaged the campus constituents closest to its work in dialogue and provided opportunities for feedback at various stages of its work. Additionally, members of the central administrative team shared information on the project with the broader campus community periodically throughout the year. The SIP engagement efforts have taken a variety of forms, including town meetings, public presentations, discussions at college faculty and governance group meetings, surveys and a robust website. The campus community followed the work of the project with interest and participation in the engagement opportunities was high.

Achieving Greater Academic Excellence: Recommended Priority Actions

To be a premier small research university, we must achieve greater distinction in three core areas: diversity and internationalization; the undergraduate student experience, including general education; and research, including transdisciplinary research. The SIP Investment teams developed 14 proposals (Appendix D) representing the action steps they believe most critical to success in their respective areas. There is agreement that all of the proposals are meritorious, and are worthy of further consideration and likely action. However, in the spirit of the need for clarity and focus driving the SIP process, we have identified the following strategies as most essential to achieving excellence in each of these areas.

1 The original SIP Team membership can be found in Appendix B. In January, 2012 the SIP Team was expanded to include additional faculty leadership as noted in Appendix C.
Diversity & Internationalization

As noted in the University’s diversity statement, “diversity and academic excellence are inseparable. . . . Much student learning comes from personal and group interactions inside and outside the classroom and that those interactions need to be enriched by a diversity of experiences, opinions and views. Many of the most able and gifted students actively seek such a diversity of people and ideas. Without this type of multicultural experience and the depth of understanding and the skills it helps develop, our students will lack a very significant dimension of educational preparation as they leave to pursue their chosen careers and take their place as leaders in a state, a nation and a world that are increasingly diverse. . . . Research and scholarship are increasingly international and co-operative enterprises today that require not only cultural awareness, but a skill set for working collaboratively as part of diverse teams.”

Over the past ten years, the University has made significant gains in bringing greater racial and ethnic diversity to our student body, faculty, and staff. We cannot be content with what we have accomplished, but we can reflect on the difference that institutional commitment has made. We believe now is the time, given the rapid pace of globalization, to acknowledge the inextricable link, so clearly expressed in the Board’s statement on diversity, between domestic diversity and international diversity. Each can and must contribute to the other’s advancement.

The overall purpose of the Diversity & Internationalization SIP team was to develop an action plan that advances domestic diversity and internationalization at UVM. The most critical Diversity & Internationalization strategies that emerged from the SIP are:

Expansion of Study Abroad: This proposal includes several interrelated steps with respect to study abroad, with the goals of (a) expanding the number of UVM students who study abroad to 50% by FY18 (currently 37%), (b) broadening availability of study abroad to currently underrepresented student cohorts, and (c) ensuring availability of appropriate study abroad alternatives for currently underserved disciplines on campus. Benefits: Availability and accessibility of appropriate, quality study abroad programs is a component of overall student satisfaction and retention. Socioeconomic factors currently restrict study abroad opportunities for some of our students, as does variability in the UVM program array.

New American Outreach and Access, and Abenaki Outreach Program: This two-pronged proposal seeks to expand access to UVM to new immigrant and refugee populations from the Burlington Area as well as to bolster the existing Abenaki Outreach Program. Both programs include significant educational support for their respective families and local communities. Benefits: New American and Abenaki students bring cultural richness to our community, and support to their communities is foundational to the University’s traditions, mission, and vision—and consistent with our goal to support the state and local community.

The Diversity & Internationalization SIP team also discussed the international enrollment strategy, and developed an analysis of the pros and cons of different approaches to increasing international enrollment. This strategy is discussed later in this report.

Student Success & Satisfaction/General Education

A rich and meaningful student experience should fully complement the formal education students receive. The University of Vermont is dedicated to providing an unparalleled undergraduate experience, both in and out of the classroom. To do so we must synchronize and integrate our efforts to enhance student success and satisfaction, as well as continually evaluate
the content, relevance and structure of our curriculum and the pedagogical methods employed to deliver it. Drawing on much work that has been done over the last several years, the overall purpose of the Student Success & Satisfaction/General Education SIP team was to identify and prioritize key initiatives essential to student success and satisfaction.

The most critical Student Success & Satisfaction/General Education strategies that emerged from the SIP are:

A Comprehensive Undergraduate Writing Program for UVM: This proposal seeks to establish a comprehensive, campus-wide writing program that will form the cornerstone of the General Education project. Benefits: Will foster three crucial student outcomes: written communication, critical thinking and information literacy; will provide a small class experience for all first-year students; and will further the General Education initiative.

Integrating Student Career Development: This proposal seeks to develop a comprehensive model to promote student career planning and preparation within the broader context of academic and co-curricular engagement. Benefits: Will prepare students for the college-to-career transition; will promote student career development and experiential learning; and will have a positive impact on student recruitment.

First-Year Experience Program: This proposal seeks the creation of new programs to enhance current programs focused on increasing first-year student success. Benefits: Will create a positive academic and co-curricular student experience; will create opportunities for intellectual and social engagement; and will provide support in students’ transition from high school to college.

Transdisciplinary Research Initiative & Research
Among the hallmarks of public universities is the responsibility to create knowledge and seek its application for the public good. Research and the generation of knowledge enhance systems essential to societal function such as healthcare, food, energy and transportation; improve the quality of our daily lives in innumerable smaller ways; and serve as economic engines. This process of discovery also attracts the most talented faculty and enriches the education of our students. It is essentially what distinguishes universities from teaching institutions, and provides the University of Vermont with a critical opportunity to distinguish itself from its peers and competitors.

In the last decade, the University has developed significant momentum as a center of research and graduate education, but in an era of competition for increasingly scarce external resources to support research, the University must have a clear strategy to advance this critical component of its work. In 2009, through the Transdisciplinary Research Initiative (TRI), the University identified three Spires of Excellence (Complex Systems; Food Systems; Neuroscience, Behavior and Health) to strategically advance our national role as a premier small research university. The main goal of the TRI & Research SIP team was to develop a plan for ensuring the success of the TRI and for broadly supporting and enhancing research at UVM.

The most critical TRI & Research strategies that emerged from the SIP are:
Expansion of Graduate Programs: This proposal seeks to significantly expand graduate programs at UVM through the creation of new graduate research assistantships. Benefits: Increased research competitiveness.

Establishment of Institutional Grant Programs: This proposal seeks to establish on-going institutional research grant programs. Seed grants will support preliminary work for developing competitive grant applications for extramural funding. Smaller grants will support scholarly works with no expectation that they will lead to external grant applications. Benefits: Increased award of external grants and increased scholarly output.

Investment in the Spires of Excellence: This proposal seeks to provide research investments in UVM’s currently approved and future Spires of Excellence and to meet the resource needs articulated by each Spire’s Steering Committee. Benefits: Enhanced stature as a national research university and realization of Spire goals.

Re-Focusing our Scarce Institutional Resources: Work in Progress
The work of the Cost Structure and Productivity Improvement (CSPI) SIP team focused on the University’s current allocation and use of institutional resources with the goal of identifying opportunities for the more strategic redeployment of existing resources.

Recognizing that the majority of the University’s budget is comprised of personnel costs, it will not be possible to meet our objective of identifying revenue for reinvestment without critically examining and restructuring expenditures in this area. Several factors, including faculty and staff demographics, indicate that the next five-year period presents a unique opportunity to reshape and rebalance our workforce. To this end, there are four streams of on-going work that will be the basis of an integrated work force planning methodology to help realize at least $12 million in re-investable average annual labor savings from all categories of employee over a period of five years beginning in FY 14. These four streams are: 1.) business-process reengineering, 2.) assessing and improving the performance of our current array of academic programs, 3.) examining our organizational structure, and 4.) benchmarking our current staffing levels in all categories of employee. This work will not necessarily result in fewer positions, but will instead result in a different array of positions (in all categories) that are more closely aligned with our general strategic goals, as well as the specific recommendations emerging from the SIP.

Business-Process Reengineering
A number of business process improvement opportunities have been identified by the Cost Structure and Productivity Improvement SIP team. Their implementation would require the demonstration of institutional will to make major changes in policies, procedures, funding structures, etc. The projects have real value as measured by increased productivity, improved customer service, and faster delivery times. In most cases, the value of the changes would be distributed across many departments and so couldn’t be identified as harvestable savings from individual budgets, but could allow for the redefinition of positions as administrative demands are redefined. Examples of opportunities in this area include further centralizing purchasing; restructuring the delivery of the payroll; and streamlining various administrative processes such as hiring temporary employees. The next steps include identifying a team with the appropriate content knowledge and expertise for the undertaking and refining the scope of work. This work will begin this summer, with renewed full campus engagement in Fall, 2012.
Assessing the Array of Academic Programs
During the last several years, there have been a number of collaborative efforts between the Provost’s Office and the Curricular Affairs Committee of the Faculty Senate with the aim of assessing, improving and working to assure the quality and stature of our academic programs. These efforts have resulted in an enhanced Academic Program Review process and the implementation of Program Viability Review. This stream of SIP work, known as the Strategic Value/Financial Attractiveness (SVFA) analysis (Appendix E), is a further step in our continued drive for academic excellence. It provides a new and useful perspective in that it does not focus on a single program, but instead allows us to consider our entire array of programs as a whole. SVFA bridges the cost-reduction and academic-investment aspects of SIP, in that it will lead to the reallocation of resources within academic budgets to build excellence in particular academic programs that increase the distinction and distinctiveness of the University.

Strategic Value/Financial Attractiveness has focused entirely and exclusively on creating methods and associated analyses (still to be performed) that will enable the campus community to engage in well-informed conversations about the future of various academic programs across the University. The SVFA will provide information about the relative alignment of the various academic programs with UVM’s mission, as well as the financial attractiveness of these programs. Using a set of broadly shared criteria and metrics to assess programs, SVFA can be used to understand cost structures and identify opportunities for investment. The SVFA approach will generate consistent relative numeric scores that are intended as a starting point for informed discussion about academic programs. It is a structured and disciplined approach to generate some of the information and insight needed to understand:

- How effective are various academic programs in fulfilling important University goals? This is the matter of identifying strategic value (SV).
- How successful are various academic programs in making financial contributions to the University? This is the matter of assessing financial attractiveness (FA).

The first step in this process is for the campus to come to consensus with regard to the criteria and metrics used to assess Strategic Value. That work should be completed by the middle of May, after which we will conduct a pilot run of the SVFA analysis in preparation for further discussion in the Fall.

Examining our Organizational Structure
The Organizational Structure (OS) SIP team considered whether the current structure of academic administration (array of colleges and schools) is optimal for UVM, given our scale and emerging focus on transdisciplinary excellence in research, graduate education and undergraduate education. The team’s scope of work, however, was not limited to academic unit considerations alone and included the potential to identify opportunities to reduce costs by reorganizing selected units, functions and activities in all sectors of the University. The work of this team has four main areas of focus:

1. Academic Unit Organization
   *Scope of Work:* To determine whether an alternative academic unit structure could improve quality and achieve cost savings.
   *Current Status:* The Organizational Structure team has developed criteria by which different structural models could be assessed and has assessed several alternative models.
Next Steps and Timeframe: The full SIP team has reviewed the work of the OS team. The finance team will conduct a financial analysis of several general alternative models over the summer in preparation for further discussion next Fall.

2. Academic Business Centers
   Scope of Work: To determine whether the expansion of the Administrative Business Service Center to incorporate academic units would improve quality and achieve cost savings.
   Current Status: The OS team developed an initial series of research questions to guide the work of the finance team in its modeling of the academic business center concept. The finance team has been asked to cost out a single Academic Business Center, as well as unit-specific Academic Business Centers that correspond with the structural models that emerged from the Spring, 2012 work of the OS team.
   Next Steps and Timeframe: The finance team will cost out various models this summer. This discussion will move forward in concert with that of Academic Unit Organization.

3. Student Support Services
   Scope of Work: To determine whether reorganizing the delivery of student support services would result in improved service to students and achieve cost savings.
   Current Status: Discussion of possible re-organization in this area led to the conclusion that the structure of student services is so intertwined with Academic Unit Organization that this work should not proceed until we have further clarity and direction on that front.
   Next Steps and Timeframe: This work will advance in concert with the Academic Unit Organization work, and will include a sub team that explores and develops alternative models for consideration, along with the requisite financial analysis. This sub team will be identified and will begin work in Fall, 2012.

4. Central Administrative Departments
   Scope of Work: To determine whether the current structure, cost, and effectiveness of central administrative departments is on par with comparable institutions and whether reorganization presents opportunities for improved services or cost savings.
   Current Status: Discussions about how to proceed with this work continue in the CSPI team. There is consensus that some structured review of administrative units is necessary, and that perhaps a process analogous to the Strategic Value/Financial Attractiveness analysis could be developed, which would include the establishment of administrative performance metrics and benchmarks.
   Next Steps and Timeframe: Discussions of how to best approach this work will continue in the CSPI team. A sub team charged with developing an analytical tool/process will be identified and will begin work in Fall, 2012.

Benchmarking
Among the array of cost drivers in the higher education sector, the highly labor-intensive nature of program and service delivery is a primary source of costs rising faster than many other sectors of the economy where enhanced technology integration has increased efficiency and reduced operating costs. Therefore, a review of both expenditures and staffing levels within broad institutional support categories (non-faculty) across institutions may help shed additional light on UVM’s staffing and expenditure patterns. We will conduct much of this work this summer and it will inform all of our integrated workforce planning efforts.
Funding our Investments through New Net Tuition Revenue

Demographic shifts in our primary applicant markets are among the greatest challenges facing the University. The foundation of our undergraduate enrollment model is the enrollment of highly-qualified, diverse students from Vermont, the rest of the Northeast, and the Middle Atlantic States. Eighty-five percent of our enrolled out-of-state students are from the Northeast and Middle Atlantic. These regions have already experienced a decline in the number of high school graduates and the decline will continue to the end of this decade. A national report projects that high school graduates in our top two feeder states, Massachusetts and Connecticut, will decline by as much as 10% from 2010 to 2020. Furthermore, competition for students in our primary recruiting region is fierce: this area has the highest density of higher education options anywhere in the world, and as Noel-Levitz, a national enrollment management consulting firm, has reported, 83% of students will travel 500 miles or fewer to attend college, which means we are in a market with strong competitor institutions, all of which are competing for a declining population of prospective students.

The investments discussed earlier in this report will position UVM for success in the face of these demographic shifts. An equally important strategic response to these shifts is a diversification in UVM’s sources of revenue. The New Net Revenue Team of the Strategic Initiatives Project identified two areas in which the University has the potential to generate new and additional revenue: the recruitment of international students and distance education.

International Recruitment

The recruitment of international students is part of the Diversity & Internationalization strategy discussed earlier, and, as such, meets multiple goals, the most important of which is the critical role it will play in building academic excellence across the institution. Significant institutional resources have been invested in the development of an international recruitment strategy that is academically strong, fiscally solid, and prudent in terms of exposure to a range of potential sources of institutional risk. In May, 2011, the Board authorized the issuance of a Request for Information for third-party partners. Over the Fall, 2011 semester, the responses to this RFI were evaluated; alternative scenarios were defined and discussed by the SIP team; and subsequently subjected to a rigorous risk assessment. In November, 2011, an Internationalization Work Group of Trustees was charged to work with the senior administration on the vetting and elaboration of a preferred approach. At this time, a team of senior administrators is developing a detailed business plan for review by President-Elect Sullivan.

Distance Education

Distance education presents another opportunity for the University to broaden its exposure to new and varied student populations thus diversifying and increasing net revenue to the institution. Over the past several years, UVM has entered the distance education market in a measured manner. These small steps have yielded modest results, but perhaps most important among them has been the opportunity to learn about this emerging educational method. Distance education is not without its administrative complications. It is a relatively new method of delivery that is worthy of scrutiny to ensure that the academic program is comprehensive and rigorous. Distance education has also raised a number of internal issues as it pushes traditional organizational boundaries and our historical ways of doing business. And most critical to success in this realm is the identification of a market niche the University is uniquely qualified to fill.

The Provost charged a team of senior administrators (headed by Vice President Richard Cate, with Continuing Education Dean Cynthia Belliveau and Associate Dean of the Graduate College
Cynthia Forehand) to work with our third-party partner, Bisk, and deans and faculty to develop the first cohort of on-line professional master’s degrees. This strategy is not likely to be a significant source of new net tuition revenue in the short run, but has the potential to play a significant role in our long-term budget model and we believe it is essential to develop our capacity to deliver degrees on-line in an evolving higher education landscape.

Conclusion and Next Steps
The Strategic Initiatives Project was a journey of a new sort for the University of Vermont. It bridged the gap between two critical leadership groups allowing them to become a unified and collaborative team; it was a complex, multi-faceted, interconnected process that seemed at times to raise more questions than it answered; it was a high-involvement process that called on employees from all walks of the institution to participate in dialogue that was exciting and inspiring as we considered our collective ambitions for the future, but also unsettling as we began to unearth the magnitude of the change necessary to achieve our vision; and it represented a forward-looking, proactive, and preemptive effort to position the University of Vermont for success decades after those who participated in the project will no longer be active members of the campus community.

The project was ambitious, the work was hard, the issues were thorny, the perspectives were plentiful and the answers were few – but collectively, we moved forward with diligence and care. And while much remains to be done, our accomplishments are many. We have created a framework for institutional excellence. This is a plan to achieve greater academic distinction through investing in new initiatives in three areas: high-engagement undergraduate education that prepares our students for success; research, scholarship, and creative activity that is high quality, high impact, and responsive to our times; and excellence through greater domestic and global diversity of our faculty, staff, students, and academic reach. This plan provides the momentum and motivation that will bolster our community as we work through the more difficult task of redeploying resources in support of our goals.

We look forward to sharing the results of the Strategic Initiatives Project with President Elect Sullivan, to blending our work with his goals and aspirations for the University of Vermont and to uncovering the way forward.
The Strategic Initiatives Project (SIP) is designed to invest in our future while developing a sustainable long-term financial model.
Strategic Initiatives
Project Structure – February 9, 2012

### Investment Teams

#### Diversity and Internationalization
- Mara Saule, Chair
- Rich Bundy
- Susan Edelman
- Dhananjay Gupta
- Wanda Heading-Grant
- Chris Lucier
- Faynese Miller, SC Liaison
- Gayle Nunley
- Sanjay Sharma
- Sherwood Smith

#### S3/Gen Ed
- Brian Reed, Chair & SC Liaison
- Jennifer Dickinson
- Meaghan Emery
- Joel Goldberg
- Chris Lucier
- Cathy Paris
- Julie Roberts
- John Ryan
- Larry Shelton
- Annie Stevens

#### TRI and Research
- Chip Cole, Chair
- Cynthia Belliveau
- John Evans
- Richard Galbraith
- Domenico Grasso
- Rick Morin, SC Liaison
- Patricia Prelock
- Barbara Saylor Rodgers
- Ben Suratt

#### Cost Structure and Productivity Improvement
- Doug Lantagne, Co-Chair
- Mary Watzin, Co-Chair
- Alison Armstrong
- Richard Cate, SC Liaison
- Gary Derr
- Charles Goodnight
- Abu Rizvi
- Don Ross
- John Ryan
- Rich Sicotte
- Ted Winfield

#### Organizational Structure
- John Bramley, Co-Chair
- Jane Knodell, Co-Chair
- Penny Bishop
- Doug Fletcher
- Charles Goodnight
- Stephanie Kaza
- Doug Lantagne
- Abu Rizvi
- Julie Roberts
- Don Ross
- Tom Vogelmann
- Mary Watzin

#### Funding Teams

### Net Revenue Enhancement

#### Team Hiatus; Several Proposals in Initial Implementation Phase

Appendix C
Notes:

The cost estimates included in the following proposals require further refinement and are not indicative of firm or final commitments.

The Diversity & Internationalization proposals assume the implementation of an overall international enrollment strategy.
Diversity and Internationalization SIP Team Investment Proposals
Executive Summary

Overview
The Diversity and Internationalization SIP Team has as its overall purpose to advance diversity in all its dimensions through the development of a five-year action plan. Drawing on previous diversity planning efforts, and as a result of our Team’s work thus far, we affirm that domestic diversity is inextricably linked with international diversity, each contributing to the other’s advancement. In addition to current planning for a significant increase in international student enrollment, we have forwarded three specific proposals for campus comment that will advance and support multiculturalism broadly, and further subsequent initiatives emerging from the planning process.

New American Outreach and Access, and Abenaki Outreach Program
This two-pronged proposal seeks to expand access to UVM to new immigrant and refugee populations from the Burlington Area as well as to bolster the existing Abenaki Outreach Program. Both programs include significant educational support for their respective families and local communities.
Benefits: New American and Abenaki students bring cultural richness to our community, and support to their communities is foundational to our university’s traditions, mission, and vision—and consistent with our goal to support the state and local community
Cost estimate: $59,700 in base funds, plus $15,000 one-time funding

Expansion of Study Abroad
We propose several interrelated steps with respect to study abroad, with the goals of (a) expanding the number of UVM students who study abroad to 50% by FY18 (currently 37%), (b) broadening availability of study abroad to currently underrepresented student cohorts, and (c) ensuring availability of appropriate study abroad alternatives for currently underserved disciplines on campus.
Benefits: Availability and accessibility of appropriate, quality study abroad programs is a component of overall student satisfaction and retention. Socioeconomic factors currently restrict study abroad opportunities for some of our students, as does variability in the UVM program array.
Cost estimate: $119,640 in base funds

Global/Multicultural Development Workshops
As part of a larger program of multicultural training and development for faculty, staff, and students, we propose to establish ongoing faculty/staff workshops on domestic and international diversity, to include topics such as intercultural communication, cultural literacy, equity pedagogy, leadership in the context of diversity—and associated teaching/learning strategies.
Benefits: As we grow our multicultural presence, workshops will increase student and faculty retention, help to produce graduates with the skills to succeed in a diverse global workplace, and create a more enlightened and welcoming campus climate for everyone.
Cost estimate: $182,895 in base funds, plus $20,000 one-time funding
Diversity and Internationalization SIP Team Proposals
Context/Setting the Stage

Team Membership

Administrators
Rich Bundy
Wanda Heading-Grant
Chris Lucier
Gayle Nunley

Deans
Fayneese Miller
Mara Saule (Chair)
Sanjay Sharma

Faculty
Susan Edelman
Dhananjay Gupta
Sherwood Smith

Team Purpose Statement and Significance

Diversity and internationalization has been endorsed by the UVM community and the Board of Trustees as a strategic imperative, articulated in the Board’s Statement on Diversity:

The University of Vermont holds that diversity and academic excellence are inseparable. An excellent university, particularly one that is a public land grant, needs to actively seek to provide access to all students who can excel at the institution, without respect to their backgrounds and circumstances, including, among other differences, those of race, color, gender, gender identity or expression, sexual orientation, national and ethnic origin, socio-economic status, cultural and/or geographic background, religious belief, age, disability and Veteran status. There is, moreover, a compelling national interest in a higher education sector rich in diversity and opportunity, and a clear state interest in making the educational benefits of this diversity and opportunity accessible to all.

To further this institutional goal, the Diversity and Internationalization (D & I) SIP Team has as its overall purpose to advance diversity and internationalization at UVM through the development of a five-year action plan (FY13-FY18) that includes specific strategic goals; analysis of current initiatives and future opportunities; criteria for prioritization; implementation timelines; responsibility and accountability structures; and, qualitative and quantitative measures to assess impact and success. In particular, the team was charged to focus on the following tasks:

- Define the scope of diversity and internationalization, and the elements which comprise each, recognizing explicitly the inter-relationships between domestic diversity and internationalization;
- Refine and articulate the specific benefits expected from increased diversity and internationalization, under the umbrella goal of creating a campus that is reflective of the diverse world in which our students will live and work;
- Specifically identify strategies to increase international student enrollment, with analysis of how increasing international enrollments relates to ALANA, Vermont, student enrollment;
- Identify organizational and functional areas which are impacted by increased diversity and internationalization, and address investments required in these areas
to ensure success (such as student and academic support services, staff training and faculty development, risk management, etc.);

- Identify metrics for greater diversity and internationalization in undergraduate education, graduate education, and research, including metrics for financial impacts and return on investment.

**Work Method**

The current D & I planning endeavor builds on previous university-wide diversity and internationalization planning efforts. Most recently, the 2008 University Planning Council’s Diversity Goal Action Planning Group issued a strategic planning process document for 2008-2013. The objectives of the 2008 process are reflected in current SIP D & I goals. Also in 2008, the Committee to Review International Education issued a strategic review with recommendations for internationalization, entitled “Internationalizing the University of Vermont: The Time is Now.” Many of the specific action steps reflected in the current framework are also drawn from the 2008 international education recommendations.

There are a number of current diversity and multicultural planning efforts that extend beyond and complement the D & I SIP process. Sparked by the conclusions of the recent Campus Climate Survey, the Board of Trustees has charged the Chief Diversity Officer to create a comprehensive diversity professional development plan. In addition, the General Education learning outcomes include “Cultures, Diversity and Global Perspectives” which will be achieved through coursework and experiences that “are meant to widen social, historical, and cultural perspectives and strengthen students’ ability to take multiple perspectives by exposing them to a wide variety of cultural constructions with regard to religion and belief, institutions and society, political, economic and legal systems, and societal inequalities and marginalization within and among nations.” Other diversity planning efforts are also being undertaken by university-wide committees, such as the International Advisory Council, and by individual academic and co-curricular units, such as the Center for Cultural Pluralism. It is important that the work of the D & I Team is well aligned with these planning processes.

In addition to incorporating the substance of previous planning documents and current on-going initiatives, the D & I Team also gathered input through a variety of other sources:

- Meetings with key constituent groups (President’s Commission on Racial Diversity, International Advisory Council, President’s Commission on Diversity and Inclusion, Global & Regional Studies Executive Council, Faculty Senate Student Affairs Committee, full Faculty Senate, Staff Council, Student Government Association);
- Input from the UVM community through open forums;
- Structured “town meetings” with Faculty Senate and Staff Council;
- Survey and interviews of deans and vice presidents about unit-level initiatives;
- Discussions at regularly-scheduled school/college/unit meetings;
• Visits to other institutions in order to understand how diversity and internationalization are structured elsewhere (specifically, Oregon State, Northeastern, Drexel, Michigan, Michigan State, and Penn State).

The Team also drew on the resources provided by various professional associations (NAFSA, APLU, AAC&U) and on the research literature of multiculturalism, diversity, internationalization, and global studies.

Broad Thinking/Conclusions

As a result of our Team’s collective work thus far, we have affirmed the following guiding principles that link domestic and international diversity:

• Domestic diversity is inextricably linked with international diversity, each contributing to the other’s advancement;
• Increasing diversity through internationalization must not be at the expense of domestic diversity’s current and future efforts, successes, legal obligations and institutional promises as it relates to ALANA community diversification, Vermonters, and other priority student cohorts;
• Diversity and international programming extends beyond enrollment strategies to include a variety of academic and co-curricular initiatives, both in the US and abroad;
• Our enrollment strategies should reflect economic, geographic, and disciplinary diversity;
• As part of our overall internationalization and diversity strategy, we should increase our own cross-cultural competence and literacy;
• In order to ensure the success of students from diverse backgrounds, we should provide appropriate academic and co-curricular support, and make available adequate resources to support diversity and international initiatives;
• We should try to engage current UVM international alumni and alumni living abroad in internationalization initiatives, such as recruitment, development, etc. In addition, we should also engage current and former international students in serving as resources and mentors for current international students.

We have organized specific goals and action steps under nine broad areas:

• Student Recruitment (undergraduate, graduate, and non-degree)
• Student Retention
• Student Experience
• Curriculum and Academic Programs
• Research and Scholarship
• Faculty and Staff Recruitment
• Faculty and Staff Retention
• Campus Climate
• Faculty/Staff Training and Development
In addition to identifying initiatives within each strategic area (including metrics and resource requirements), we have also noted related UVM Campaign proposals and will evaluate Campaign proposals in the context of D & I strategic areas. This diversity and internationalization framework is intended to guide discussion and be shaped by on-going constituent input and information gathering.

**List of Proposals Submitted for Campus Comment**

- New American Outreach and Access, and Abenaki Outreach Program
- Expansion of Study Abroad
- Global/Multicultural Development Workshops

In addition to the above proposals, we have included an update on the status of strategic decision-making for increasing international enrollment. It is important to note that many of the specific goals and action steps in the nine broad D & I areas are impacted by our decisions regarding international enrollment strategy.

**Other Proposals Under Development**

Under the nine strategic areas, we currently include roughly 35 specific goals of various degrees complexity and interdependence. Some goals are already in process. Other goals will be shaped by our student enrollment strategy. Yet others will need significant donor or outside funding in order to be implemented.

Through the campus comment period, we hope to gain important input that not only will help shape the four current proposals, but also prioritize future goals.
Specific Recommendations:

New American Outreach and Access. We see this program maturing through three phases. The phases are not distinct and there will be overlap. In Phase I, beginning in FY 13, we will meet with local refugee community leaders, high school counselors and administrators, colleagues from other local colleges, VSAC, and community organizations to develop communications and programs to increase college awareness among families and students. Phase II is based on approval of creating a pathways program at UVM to increase international enrollment. During Phase II, similarly as we will do for international students, we will admit students into the pathway from local refugee communities who require additional English language and academic preparation. If they successfully complete the pathway program, they could progress to degree status. Since many of these students will require financial aid, depending on the ultimate financial structure of the pathway model and fund raising, we may have to limit the number of students we admit into the pathway program and continue to utilize CCV as a means for students to progress to UVM. During Phase II we will also begin offering expanded ESL services to UVM staff. Phase III is program maturity and is characterized by an effective outreach program, clear roads that lead students to entry into UVM directly, through a pathways program or through transferring, and provision of adequate financial aid support to ensure access. It will also include sufficient ESL opportunities to UVM staff to support professional growth and development.

Abenaki Outreach. The Abenaki Outreach Program was developed as a collaborative effort between UVM and Abenaki Tribal Leadership to support consistent sustained support to benefit Abenaki students in attaining post-secondary education. At the core of this program is Summer Happening where middle and high school students come to UVM for two days to experience campus life and see college as a realistic option. The program has an Abenaki coordinator who works with school counselors, students and families. While the Summer Happening is an important effort, it is still a limited opportunity of short duration. We will expand pre-college outreach beyond Summer Happening, including outreach to families.

Rationale:
The Burlington area is a refugee resettlement area. Local schools, particularly the Burlington and Winooski School Districts, enroll students from many different parts of the world. These students bring cultural and experiential diversity to our local schools; however, since English is a second language to these students, they often lack the academic preparation to matriculate to UVM. Additionally, since their families are not familiar with the college admissions and financial aid processes, they don’t receive guidance and support at home. Promoting access and encouraging enrollment of these students as well as providing education opportunities for their parents with ESL or other workforce development coursework is consistent with our goal to promote diversity and our mission to support the state. In campus outreach sessions, along with faculty and staff development, organized programs to promote access for refugee and immigrant
populations was the highest priority among faculty and staff. Abenaki students also bring
cultural richness to our community and support to this community is foundational to our
university’s traditions, mission, and vision.

Risks:
The risk of not doing this is the perception that we are seeking international diversity by
recruiting students from all over the world and providing those students English language
and academic support, but we are not doing anything, literally, in our own backyard. The
refugee and immigrant communities are and will continue to be vital to the economic
vitality and development of our areas. Additionally, we have a long-standing relationship
and tradition of supporting access for Abenaki students, a population that is inextricably
tied to the history of our area. The risks of doing this are part of the overall risk and
opportunities that are within the financial aid model, and the complexity of managing
enrollment goals and tuition revenue after aid. This risk is mitigated through expansion
of out-of-state markets, including international student markets.

Associated Professional Development Needs:
Faculty and staff have recognized the need to improve multicultural competency. This is
needed now and the need will increase as we continue to improve the diversity of our
community, including the enrollment of international students. Therefore, faculty/staff
training and development is a specific priority from the Diversity and Internationalization
Team.

Assessment - How will we:
Promote continuous improvement through formative assessment? Conduct regular
coordination meetings with community partners and refugee community leaders. How
many students attend programs for visit campus? How many students apply to college?
How many students apply to UVM? How many families filled out a FAFSA?

Use summative assessment to measure success, and determine whether the activity should
continue? How do students perform in the pathways program? How many complete the
pathway and matriculate to degree status? How many Abenaki students do we enroll?
How many are retained after one year as a degree student? How many graduate in 4, 5,
and 6 years? What is there post-graduation success rate in finding work or graduate
opportunities? How many remain in Vermont?

New American Recruitment and Abenaki

Outreach Strategy - Pro Forma

A rough estimate of costs required for start-up includes:
   FY 13. $15,000 to support to events at UVM to bring together refugee community
leaders, families, and students and additional outreach programming for Abenaki students
   FY 14. $45,000 staff and operational resources for outreach and recruiting; other
resources TBD as part of planning to implement the international enrollment strategy. ESL
and ESL support service costs are built into the international recruitment pro formas.
Specific Recommendations:

As part of a larger program of multicultural training and development for faculty, staff, and students, we propose to establish ongoing faculty/staff workshops on domestic and international diversity, to include topics such as intercultural communication, cultural literacy, equity pedagogy, leadership in the context of diversity—and associated teaching/learning strategies (e.g., universal design). This initiative will build on existing strengths in our Center for Cultural Pluralism (CCP) and the Center for Teaching and Learning (CTL), and will also expand the role of CCP to serve as a resource for educators across the university. Further opportunities for synergy exist with the programs of Writing in the Disciplines (WID), Community and University Partnerships in Service Learning (CUPS), Dean of Students Office, Human Resources, and the Provost’s Office.

Global/multicultural workshops will also enhance and complement established workshops, seminars, and other professional and curricular development programs across campus such as new faculty and staff orientations, department chairs’ training, EDU@UVM (formerly Mastering the Maze), Blackboard Jungle Symposium, the work of the Diversity Curriculum Review Committee (DCRC), the Presidential Commissions, and individual school/college and departmental initiatives. The workshops link directly to General Education and Student Success and Satisfaction (S-cubed) faculty/staff development programming as part of overall SIP planning. In particular, they will provide support to faculty for course development oriented toward the “Cultures, Diversity and Global Perspectives” learning outcome specified in the General Education requirement.

In addition to new and refocused workshops, this initiative will also generate a central multicultural resources website and professional development calendar for faculty and staff in order to identify more easily the various professional and personal development opportunities across organizational units.

Rationale:

UVM wishes to create a campus climate of respect, integrity, innovation, openness, justice, and responsibility (“Our Common Ground”). As we bring greater diversity to campus, including students from a wide range of cultural and linguistic backgrounds, we are at a key juncture to work together to promote a campus culture that is supportive and welcoming, to produce graduates with the skills to succeed in a diverse global workplace, and to develop cross-cultural sensitivities and effective communication strategies. UVM already has a strong constellation of central faculty/staff development—albeit organizationally dispersed. The workshop program will provide a resource for coordinated professional development opportunities for faculty and staff, and will provide a structure for disseminating information on these initiatives.
Risks:
A perennial challenge with discretionary workshops—regardless of topic or unit responsible—is attendance. Faculty and staff have existing responsibilities and commitments that make attending workshops that are not contractually or otherwise required difficult. Unless strong incentives are built into the workshop program, there is a risk that much effort will be expended in developing workshops without good attendance and long-term transformation at the unit level. In addition, without strong coordination across faculty/staff development units, there is a risk that redundant or conflicting workshops will be offered, thus confusing faculty and staff and causing duplicative work. Strong leadership that speaks to these activities as a key part of overall mission and multicultural competency is a critical condition for success.

Associated Professional Development Needs:
While this proposal is itself for professional development, the workshops are simply one vehicle for multicultural training. In order for professional development programs to be successful, we need to create an integrated and tiered umbrella program that includes the full range of professional development opportunities. In addition, the specific diversity and multicultural workshop proposal relates directly to faculty/staff development that will be part of the implementation of General Education, Student Satisfaction and Success (S-cubed) initiatives, online degrees, and other initiatives with faculty development needs that will together impact resource allocation and programmatic prioritization.

Assessment – How will we:
Promote continuous improvement through formative assessment? Workshops will have clear goals and learning outcomes defined at the outset. The workshops will be evaluated through both written and verbal assessment tools.

Use summative assessment to measure success, and determine whether the activity should continue? Workshops will be evaluated over time, with annual summative assessments (appropriate to the particular topic) to determine whether learning goals have been achieved.

Financial Estimates:
One-time (FY13):
   Pilot for first series of workshops and “train the trainers” program:       $20,000

Base funding (new):
   1.0 FTE in Center for Cultural Pluralism:          $70,000 (incl. fringe)
   1.0 FTE in Center for Teaching and Learning:       $70,000
   Graduate Teaching Associate in CCP:               $25,500
   Faculty stipends for summer programs:              $ 6,000
Specific Recommendations:

We propose several interrelated steps with respect to study abroad, with the goals of (a) expanding the number of UVM students who study abroad to 50% by FY18 (currently 37%), (b) broadening availability of study abroad to currently underrepresented student cohorts, and (c) ensuring availability of appropriate study abroad alternatives for currently underserved disciplines on campus.

Initial steps (FY12-13) will focus on completing data collection regarding current study abroad patterns across campus correlated to UVM’s current array of study abroad options to identify existing underutilized opportunities and areas in need of expansion, and completion of the IAC (International Advisory Council) review of documentation and protocols for evaluation of study abroad programs. Action steps to increase study abroad participation by underrepresented student cohorts include identification of need-based scholarship support for study abroad, identification of low-cost program options meeting quality standards, and outreach to ensure both students and faculty are aware of these opportunities. Academic units, together with OIE (Office of International Education) for implementation, will likewise identify underutilized opportunities and unmet needs within our study abroad array (including UVM programs such as FLPA, exchange programs, and external alternatives where appropriate) with a plan for addressing these needs to be in place FY14 and fully implemented by FY18.

Rationale:

Global awareness and cross-cultural competence are critically important to success in our increasingly interconnected 21st-century world and is recognized as a High Impact Practice that will improve Student Success and Satisfaction. Study abroad provides students with first-hand experience of cultural immersion, offering valuable lessons in human diversity and cross-cultural engagement. Research on study abroad outcomes, including the largest single study of this type (Georgia Learning Outcomes of Students Studying Abroad [2010] which tracked >19,000 students over 10 years) demonstrates other valuable outcomes from study abroad, including increased retention and graduation rates, and correlation to overall academic performance. Study abroad is, likewise, highly valued by many students, and so availability and accessibility of appropriate, quality programs is a component of student satisfaction. Socioeconomic factors currently restrict study abroad opportunities for some of our students, as do variabilities in the UVM program array. Addressing these inequities will increase quantity and breadth of study abroad participation, and help insure a availability of suitable programs.
Risks:

Today’s students and their families place high value on the availability of suitable, high quality study abroad opportunities. Risks of not taking action thus include decreased attractiveness of UVM to potential applicants and decreased satisfaction or retention among students once here. Another risk of inaction would include the missed opportunity to create a study abroad array more consciously responsive to our university mission’s of equity and inclusiveness across all campus sectors and cohorts. In working to increase participation in and availability of study abroad to UVM students, we must put in place protocols that appropriately vet and review institutional affiliations to ensure quality and responsiveness, and ensure attention to risk management in all study abroad planning and assessment. There is need for adequate staffing in the Office of International Education to account for increased workload.

Associated Professional Development Needs:

UVM already provides training for faculty and staff involved in UVM-led study abroad programs. The above process may identify opportunities to enhance these efforts.

Assessment:

Assessment processes will include annual tracking of study abroad participation data, including total participation and participation across currently underrepresented disciplines and student cohorts, correlated to study abroad program type (UVM-run including FLPA, exchange programs, external programs), with distribution of data to academic units and other relevant institutional bodies (IAC, OIE) enabling corrective action for imbalances. During FY13, current processes for collecting student outcome/satisfaction data are to be reviewed/revised, and current exchange programs will be reviewed according to protocol currently under development by IAC, with subsequent cycle of exchange program review tracking sustainability via analysis of inbound/outbound ratios, with corrective action for imbalances.

Pro Forma:

Primary costs associated with effective implementation of the above recommendations:

$52,000 ($42,000 salary and benefits, and $10,000 operating) (beginning FY13): Hiring of additional staff person in the Office of International Education (OIE) and operational funding to manage current exchange programs including evaluation of current programs and expansion opportunities.

$50,000 (beginning FY13-14): Study abroad financial aid support (e.g. 10 grants up to $5,000 per) targeted at low income and ALANA students.
Student Success and Satisfaction/Gen Ed SIP Team Investment Proposals

Executive Summary

Overview
The S3/Gen Ed Team’s overall purpose is to advance student success and promote a superb, distinctive undergraduate educational experience. The proposed initiatives will strengthen the educational experience through engagement in and outside the classroom, in alignment with the Team’s vision statement: UVM will be an engaged teaching and learning environment in which a diverse, multi-culturally competent community of faculty, staff and students see themselves as stakeholders in the mission to prepare graduates for success in the 21st century.

A Comprehensive Undergraduate Writing Program for UVM
This proposal seeks to establish a comprehensive, campus-wide writing program that will form the cornerstone of the General Education project. **Benefits:** Foster three crucial student outcomes: written communication, critical thinking and information literacy; provide a small class experience for first-year students; further the Gen Ed initiative. **Estimated Cost:** $890,674

The First-Year Experience Program
This proposal seeks the creation of two new positions and associated programs to enhance current programs focused on increasing first-year student success. **Benefits:** Create a positive academic and co-curricular student experience; create opportunities for intellectual and social engagement; provide support in students' transition from high school to college. **Estimated Cost:** $282,246

Expansion of Residential Learning Communities (RLC)
This proposal seeks the addition of two RLCs to make an RLC experience available to most students who want it. **Benefits:** An enriched student experience; positive impacts on student recruitment, retention and academic climate; opportunities for subgroup community/connection within the larger University. **Estimated Cost:** $213,964 plus $700,000 renovation

Integrating Student Career Development at UVM (proposal in development)
This work group has been charged with proposing a comprehensive model to promote student career planning and preparation within the broader context of academic and co-curricular engagement. **Benefits:** Prepare students for the college-to-career transition; promote student career development and experiential learning; positive impact on student recruitment.

Effective Course Delivery (proposal in development)
The work of this group is to develop a proposal for promoting optimal overall course delivery that includes an informed decision-making model to guide thinking about how best to deliver curricula with the human and financial resources available; and propose mechanisms to support faculty in course redesign and innovation. **Benefits:** Capitalize on strategies for improved course delivery; enhanced educational experience.
STUDENT SUCCESS THROUGH ENGAGEMENT
Proposals of the S3/Gen Ed SIP Team
March 7, 2012

Team Membership

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<tr>
<th>May 2011 - Feb 2012</th>
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<tr>
<td>Brian Reed</td>
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<td>Chris Lucier</td>
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Purpose

To propose key initiatives to promote a superb undergraduate educational experience and student success, proposals to include an analysis of anticipated costs and expected benefits.

Significance

As a distinguished institution of higher education it is important for the University to constantly seek ways to promote the academic experience consistent with its mission. Ongoing efforts to strengthen the educational experience through engagement in and outside the classroom will ensure the vitality of faculty, staff and students alike and it will help prepare graduates for success in the 21st century. Increased student retention and persistence to degree completion will be by-products of an excellent undergraduate experience.

Methods

The S3/Gen Ed team met has weekly since September 2011 and we have participated in full SIP team meetings. We developed preliminary proposals and financial pro formas and these were reviewed by the full SIP team on 1/20/12. We have revised those proposals which we now present to the campus community with request for comment.

Our data base included the following sources:
the High Impact Practices advocated by the American Association of Colleges and Universities (see attached). There is a growing body of evidence that High Impact Practices enhance the effectiveness of instructional and co-educational activities and enrich the educational experience (http://www.aacu.org/leap/documents/hip_tables.pdf).

- a review of projects already ongoing (e.g. the General Education Committee’s Writing and Information Literacy project; the First-Year Experience peer mentoring pilot)
- the recent reports of task forces and committees (Report of the First-Year Experience Task Force; reports of the General Education Committee of the Faculty Senate; Report of the Residentially-Based Learning Task Force; the Art and Science Group’s retention study)
- our research on benchmarking, best practices, and exemplary models at other institutions (some research is still ongoing)
- input from constituency groups including the campus community as a whole (open forum on S3 (5/10/11); the Faculty Senate (special forum on 11/28/11); the Staff Council (special forum on 1/4/12); the Student Affairs Committee (12/15/12); the General Education Committee (ongoing); the FYE Advisory Board (ongoing); the Associate Deans Group (ongoing); and the Student Success and Satisfaction Committee (ongoing).

Based on the above information sources we developed a vision statement for S3/Gen Ed to guide our work. Our Strategic Initiative proposals were derived from the vision statement and the noted information sources.

Outcomes

Vision Statement for S3/Gen Ed

UVM will be an engaged teaching and learning environment; a diverse, multi-culturally competent community in which faculty, staff and students see themselves as stakeholders in the mission to prepare our graduates for the 21st century. Faculty and staff will be encouraged, supported and rewarded for meaningful, high-impact, educational practices. Students will be encouraged and challenged to learn in and outside of the classroom. There will be ongoing, coordinated visioning, planning and assessment at all levels.

From this vision and our data we developed a set of proposals aimed at creating a superb and distinctive undergraduate educational experience and increasing retention by:

- Making sure that students get off to a good start in their transition from high school to college
- Facilitating student engagement in the classroom, the campus, the community and the world
- Ensuring integration of academic and co-curricular activities
- Ensuring foundational learning outcomes for all students
- Ensuring a dynamic, innovative teaching/learning environment
- Mentoring students in career planning and preparation
- Providing a vision and a “road map” for undergraduate education at UVM
The S3/Gen Ed proposals are founded on a model of active engagement in which we work with students to support them as they think about their personal goals and their academic careers, navigate the academy, achieve identified learning outcomes, engage in active learning in the classroom, the research laboratory, the campus and the community, and succeed in their experience at the University and beyond. The S3/Gen Ed proposals include faculty development and assessment support infrastructures necessary to make them sustainable.

S3/Gen Ed Proposals

1. A Comprehensive Undergraduate Writing Program for UVM
2. The First-Year Experience Program
3. Expansion of Residential Learning Communities
4. Integrating Student Career Development at UVM (Proposal in Development)
5. Effective Course Delivery (Proposal in Development)
6. University-wide Assessment Infrastructure (Proposal in Development)

Proposals Under Development

- Integrating Student Career Development at UVM
  An ad hoc Work Group on Student Career Development has been charged to propose a comprehensive model to promote student career planning and preparation within the broader context of student academic and co-curricular engagement. This includes consideration of career services, the first-year experience, and experiential learning as it relates to career development. The Work Group will provide an analysis of our present system(s) in support of engaged career preparation and specific recommendations for a SIP proposal. The Work Group’s report is due May 15, 2012.

- Effective Course Delivery
  This idea, which grew out of the SIP Town Hall meeting with the Faculty Senate, is to have the S3/Gen Ed Team develop a proposal for promoting optimally effective course delivery. This was based in the concern that decisions about course section sizes, scheduling, pedagogy and modes of delivery often seem to be based on historical precedent and determined by processes that are neither well informed nor transparent. The S3 Committee plans to charge an ad hoc work group to propose a model for informed, transparent decision-making and course redesign that could be adapted to the unique needs of each school and college, and which would allow creative thinking about how best to deliver curricula with the human and financial resources available.

- University-wide Assessment Infrastructure
  This work will be to propose a central infrastructure to support ongoing formative and summative assessment of student outcomes within and across the undergraduate schools and colleges and University-wide student programs.
High-Impact Educational Practices

First-Year Seminars and Experiences
Many schools now build into the curriculum first-year seminars or other programs that bring small groups of students together with faculty on a regular basis. The highest-quality first-year experiences place a strong emphasis on critical thinking, frequent writing, information literacy, collaborative learning, and other skills that develop students' intellectual and practical competencies. First-year seminars can also involve students with cutting-edge questions in scholarship and with faculty members' own research.

Common Intellectual Experiences
The older idea of a "core" curriculum has evolved into a variety of modern forms, such as a set of required common courses or a vertically organized general education program that includes advanced integrative studies and/or required participation in a learning community (see below). These programs often combine broad themes—e.g., technology and society, global interdependence—with a variety of curricular and co-curricular options for students.

Learning Communities
The key goals for learning communities are to encourage integration of learning across courses and to involve students with "big questions" that matter beyond the classroom. Students take two or more linked courses as a group and work closely with one another and with their professors. Many learning communities explore a common topic and/or common readings through the lenses of different disciplines. Some deliberately link "liberal arts" and "professional courses"; others feature service learning.

Writing-Intensive Courses
These courses emphasize writing at all levels of instruction and across the curriculum, including first-year projects. Students are encouraged to produce and revise various forms of writing for different audiences in different disciplines. The effectiveness of this repeated practice "across the curriculum" has led to parallel efforts in such areas as quantitative reasoning, oral communication, information literacy, and, on some campuses, ethical inquiry.

Collaborative Assignments and Projects
Collaborative learning combines two key goals: learning to work and solve problems in the company of others, and sharpening one's own understanding by listening seriously to the insights of others. There are many different types of collaborative projects, ranging from small group projects within a course, team-based assignments and writing, to cooperative projects and research.

Undergraduate Research
Many colleges and universities are now providing research experiences for students in all disciplines. Undergraduate research, however, has been most prominently used in science disciplines. With strong support from the National Science Foundation and the research community, scientists are redesigning their courses to connect key concepts and questions with students' early and active involvement in systematic investigation and research. The goal is to involve students with actively contested questions, empirical observation, cutting-edge technologies, and the sense of excitement that comes from working to answer important questions.

Diversity/Global Learning
Many colleges and universities now emphasize courses and programs that help students explore cultures, life experiences, and worldviews different from their own. These studies—which may address U.S. diversity, world cultures, or both—often explore "difficult differences" such as racial, ethnic, and gender inequality, or continuing struggles around the globe for human rights, freedom, and power. Frequently, intercultural studies are augmented by experiential learning in the community and/or by study abroad.

Service Learning, Community-Based Learning
In these programs, field-based "experiential learning" with community partners is an instructional strategy—and often a required part of the course. The idea is to give students direct experience with issues they are studying in the curriculum and with ongoing efforts to analyze and solve problems in the community. A key element in these programs is the opportunity students have to both apply what they are learning in real-world settings and reflect on their service experiences. These programs model the idea that giving something back to the community is an important college outcome, and that working with community partners is good preparation for citizenship, work, and life.

Internships
Internships are another increasingly common form of experiential learning. The idea is to provide students with direct experience in a work setting—usually related to their career interests—and to give them the benefit of supervision and coaching from professionals in the field. If the internship is taken for course credit, students complete a project or paper that is approved by a faculty member.

Capstone Courses and Projects
Whether they're called "senior capstones" or something else, these culminating experiences require students nearing the end of their college careers to create a project of some sort that integrates and applies what they've learned. The project might be a research paper, a performance, a portfolio of "best work", or an exhibit of artwork. Capstones are offered both in departmental programs and, increasingly, in general education as well.
A Comprehensive Undergraduate Writing Program for UVM
S3/Gen Ed SIP Team

Specific Recommendation
To establish a comprehensive, campus-wide writing program that will form the cornerstone of the General Education project. The program as we envision it will be two-phased: a foundational writing experience for all first-time first-year (FTFY) students, followed by a discipline-specific writing experience within the student's academic major. Integral to the success of this project are the recruitment of a foundational writing director, the creation of a powerful faculty development program, and the implementation of a regular assessment strategy.

Students typically gain their first-year writing experience in one of four courses: English 1, English 50, an Honors College First-Year Seminar, or a CAS TAP class. These courses are all run independently; it is not clear to what extent they currently share common objectives such as attention to invention, revision, and editing, strategies for analyzing audience expectations, promoting multiple modes of inquiry, or developing research strategies. Furthermore, not all UVM FTFY students have access to a writing course: there is a significant gap between the number of seats available in foundational writing courses and the number of students who need them. Our aim is to establish common goals for all first-year writing experiences and provide access to a foundational writing course for every FTFY student at UVM.

In order to make the First-Year Writing Program cohesive, we will bring together foundational writing instructors to discuss common goals, objectives, and pedagogies for their courses. We will also develop a set of assessment tools to determine if we are successfully achieving our aims, and, if not, what is needed to do so. A newly appointed faculty Director of First-Year Writing will be the glue that holds the construct together, taking responsibility for coordinating the intellectual work of developing and refining foundational writing goals and coordinating assessment and faculty development.

Implementing the First-Year Writing Experience: Pilot Study. We are in the pilot phase of planning the structure, goals, and processes for a First-Year Writing Program, working to identify common goals for foundational writing courses. A fall 2012 study, including a programmatic assessment process, will enable participating faculty to determine 1) the degree to which these courses have met the foundational writing goals; and 2) where course revision, foundational writing goal revision, or support for curricular/faculty development is needed.

Writing in Disciplines: Building on the Foundation. At the upper levels, courses, sequences, or other experiences will develop more specialized communication skills, building on first-year composition to introduce students to discipline-specific ways of thinking, writing, and researching. At present, plans for this second phase of the writing experience are still undeveloped.

Rationale (Compelling argument & specific supporting empirical evidence)
In a recent report circulated by the AACU, the LEAP (Liberal Education and America's Promise) National Leadership Council exhorted American higher education to give new priority to a set of learning outcomes identified as critical for success in college and the "complex and volatile" world beyond. The LEAP report identified written communication as one of the most important areas for emphasis in undergraduate education. Their findings were based in part on interviews with
prospective employers, 73% of whom said that colleges should place more emphasis on writing. Other outcomes identified as crucial were critical thinking and information literacy. One of the benefits of focused training in writing is that, because information literacy and critical thinking are integral to the practice of effective writing, the nurture of writing skills perforce fosters the other two. What’s more, because writing can only be taught effectively in small classes (≤ 22 students per section), a program that puts every first-year student in a small course section also furthers the First-Year Experience goal of providing small classes to all of our newest students. Additionally, development of the First-Year Writing Program will maintain the momentum of General Education at UVM and the trust of the Faculty Senate, which has endorsed the project.

Risks (What risks are associated with taking, and not taking, this action?)

The risk associated with developing a campus-wide writing program is that we undertake it and then do it badly. A successful, high-impact program will depend on resources adequate to support quality program development, effective faculty development, and a meaningful assessment strategy. If we do not develop a quality writing program at UVM, we risk failing our students, leaving them without a skill set that will serve them well in the workplace and the community and thereby injuring UVM’s reputation.

Associated Professional Development Needs

Faculty development is crucial to the successful implementation of a campus-wide writing program. It is important to bring faculty together to design courses that address shared goals, redesign existing courses with those goals in mind, and develop assessment strategies to determine whether they are being achieved. The First-Year Writing Program will provide regular faculty development for participating faculty; UVM’s Writing in Disciplines program, with its record of programming in outcomes-based approaches to teaching, will provide much needed expertise to the enterprise.

Assessment

a. How will we promote continuous improvement through formative assessment?

Assessment strategies for UVM’s writing program are under development. Initial discussions have focused on creating a UVM-based instrument, administered at the end of the semester, that will compare the scores of students who have completed a first-year writing course with those of a control group who have not. The instrument will focus on the extent to which the course enhanced an array of writing and information literacy skills, relative to the control group. Information gathered in the process will be used to improve the first-year writing experience.

b. How will we use summative assessment to measure success and determine whether the activity should continue?

Results from the National Survey of Student Engagement (NSSE) that ask students about the amount of writing they have done in a given year, and the extent to which their educational experience improved their writing skills, will be analyzed for broader patterns and trends, including results from a cohort of approximately 200 students who completed NSSE in 2008 as first-year students and again in 2011 as seniors. NSSE results are compared with benchmark groups, including other public doctoral universities and peer-aspirant universities for UVM. Such information will be useful in determining whether the writing program has been successful in achieving what it set out to do and whether it should remain an investment priority.
### Preliminary Cost Estimates for Comprehensive Undergraduate Writing Program

#### First-Year Writing Program

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#### Additional Funds for Writing Center (WC)

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#### Notes

- Assumptions: Partially taught by TT faculty, partially by Elsewhere
- Lecturer/yearly income
- TT faculty percentage
- Lecturer TTA
- TT faculty FTE
- Salary
- Total: TA, RA, IA, IA SEC, DC, DC SEC
- Operating expenses
- 25 month placements per semester
- 26 additional teaching hours per quarter
- Grand Total

First-Year Experience Program
S3/Gen Ed SIP Team

Specific Recommendation:
The First-Year Experience Advisory Board has proposed the creation of two new positions and associated programs in addition to enhancing current programs focused on increasing first-year student success.

Rationale:
Extensive work has been conducted over several years (Final Report on FYSE, 1995; Barefoot Consultant Report, 2000; FYE Gap Analysis, 2008, Arts and Sciences Group Report, 2010) about UVM's first-year student experience by leaders both internal and external to the university. From each of these reports, supported by internal assessment and national benchmarking, it is clear that UVM must continue to strengthen the overall experience for first-year students.

The overall purpose of the proposed First-Year Program is:
- To create a positive academic and co-curricular student experience where first-year students can achieve high rates of satisfaction and success
- To create opportunities for intellectual and social engagement
- To provide an important early step in supporting students' success in their transition from high school to college

Specific recommendations center around initiatives in three categories:
1. Centralized Initiatives such as a Summer Reading Program and Convocation
2. Academic Initiatives such as Academic Alert System and enhancing first-year courses
3. Co-curricular Initiatives such as a Peer Mentoring Program and the effective delivery of Co-Curricular Modules.

Specific Recommendations
These initiatives provide direct and immediate support to students and have already seen success through pilot or current programs. The positions also provide the foundation for other programs to run effectively:
- At-Risk/Language Coordinator position FY 13
- FY Staff Coordinator position FY13
- Peer Mentor Program/Co-curricular modules FY13

These initiatives focus mainly on faculty enhancement.
- Faculty Recognition Program FY 14
- Faculty Fellow FY14
- CTL Faculty Retreat FY14

These initiatives are to encourage academic and co-curricular support for first-year students but are not direct programs or enhancements.
- Initiative Grants FY 15
- Parent Outreach FY15
Risks

- Reduction in student success and satisfaction within the first-year
- Less engagement with the overall student experience
- Reduced opportunities for skill building such as time management, study skills, multicultural competency, etc.
- Lower student retention rates between first year and second year

Associated Professional Development Needs

As mentioned within the medium priority list above, it will be critical that faculty who teach first-year students receive education about the challenges of teaching this population and opportunities to share best practices. It is also important that faculty receive incentives and rewards for creating learning environments that are engaging for first-year students and are recognized for outstanding, innovative work.

Assessment

Formative

- Assessment of Peer Mentoring Program by students, peer mentors, and faculty
- Assessment of Co-curricular modules and their learning outcomes

Summative:

- NSSE every 3 years - measuring student engagement
- Beginning College Survey of Student Engagement every 3 years measuring student engagement in the first year
- First-Year Retention Rates - Annually

Brief Descriptions for FY 13 Items

At-Risk/Language Support Coordinator

This staff member would expand services to at-risk first-year students in an effort to improve overall retention and success rates. Specific programmatic initiatives would include:

- Oversee the Learning and Motivations Strategies (LMS) Course
- Coordinate Academic Success Small Groups for Students on Academic Probation or Trial
- Coordinate ASP Language Support and Mentoring for English Language Learners
- Other Outreach to At-Risk Students

First-Year Staff Coordinator

The Coordinator of First Year Programs would be responsible for managing a range of efforts designed to support the academic and personal success of new students. Specifically, the Coordinator will manage the following programs:

- Peer Mentor Program
- FYE Modules and other workshops and trainings for new students
- Coordinated communication efforts (including managing the FYE website, list serv, and social media presence)
- FYE Awards for staff and faculty who work with FY students, and
- Grants for innovative FYE program development
## Preliminary Cost Estimate for First-Year Experience Program

### ASSUMPTIONS

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<td>CTL Retreat will start in FY14</td>
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<td>Outreach to parents</td>
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<td>16,000</td>
<td>Outreach to parents starts in FY15</td>
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<td>18,000</td>
<td>18,000</td>
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<tr>
<td>Total Operating Budget</td>
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<td></td>
<td></td>
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<tr>
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Expansion of Themed Residential Learning Communities
S3/Gen Ed SIP Team

A. Proposal Title

Expansion of Themed Residential Learning Communities

B. Specific Recommendation

Establish the 6th and 7th Residential Learning Communities over a five-year period.

C. Rationale (Compelling argument & specific supporting empirical evidence)

It is clear from the Report of the Residually Based Learning Task Force that the RLC “experiment” at UVM has been a success by any measure, including engagement and retention. The national data also reinforce the importance of RLCs. Students in RLCs have higher GPAs than those who are not, and there is evidence that RLCs have a differential benefit for underrepresented student populations in terms of academic performance and retention. In addition to fostering a positive academic climate, RLCs are one way for students to connect with a subgroup of peers within the larger University, and this is important for students’ success and satisfaction.

We need to consider the undergraduate experience holistically. In this context, RLCs can enrich the experience for students by helping them become more engaged, and that in turn will enrich campus climate and vitality.

It is estimated that the addition of two more RLCs of moderate size (about 150 students each) would make the RLC experience available to most students who want it. At present there is more demand than can be accommodated in the existing five themed RLCs.

The expansion of themed RLCs will help to make UVM more attractive to prospective students who would like the opportunity to live in an RLC. This will help in the recruitment of excellent students, an important factor, especially during the present demographic decline.

“Faculty who are involved with RLCs also report rewards and satisfaction with their experiences, including enhanced relationships with students, new partnerships with colleagues across the institution, opportunities to apply their scholarship, and even new areas of research.”

D. Risks (What risks are associated with taking, and not taking, this action?)

Risks associated with not taking action:

1) Not having enough RLCs for those students who want them will negatively affect recruitment and retention. We will risk not being competitive with peer institutions who are investing in RLCs.

2) Not expanding RLC options will mean the enrichment that RLC’s bring to the
undergraduate experience of participating students and the related benefits to the campus community will not be realized as fully as they might be.

Risks associated with taking the action:
1) Doing it poorly. Successful RLCs require talented, dedicated leadership from faculty and staff and adequate facilities. If done poorly, the additional RLCs will add little or no value to the campus.

E. Associated Professional Development Needs (for Faculty and Staff)

The faculty who direct the five existing RLCs all participated in professional development conferences which helped them to craft the learning designs for their communities. The faculty who are selected to lead the next RLCs should also have this important opportunity.

F. Assessment – How will we:

a. Promote continuous improvement through formative assessment?
   Formative assessment tools and processes are already in place and are used on an ongoing basis in the existing RLCs. These are noted in the Report of the Residentially-Based Learning Task Force (April 2011). These tools and processes will be used in the new RLCs, and will include
   1. Student focus groups
   2. Student surveys
   3. Analyses of the cost effectiveness of programs within the RLCs

b. Use summative assessment to measure success, and determine whether the activity should continue?
   Summative assessment tools and processes will also be used as described in the Report of the Residentially-Based Learning Task Force (April 2011). These will include metrics such as
   1. the academic performance and trends of students in RLCs relative to matched cohorts who do not live in an RLC
   2. Retention rates and persistence to degree completion of students who lived in an RLC relative to matched cohorts who did not live in an RLC
   3. Measures of the impact of the campus and community service initiatives of the RLCs
   4. Surveys of the relative importance of RLCs in recruitment, quality of the undergraduate experience, and impact on alumni relations
   5. Analysis of the costs of RLCs vs. their estimates benefits
# Preliminary Cost Estimate for Expansion of Themed RLCs

## Assumptions

<table>
<thead>
<tr>
<th>Per credit hour salary</th>
<th>FY 2012</th>
<th>FY 2013</th>
<th>FY 2014</th>
<th>FY 2015</th>
<th>FY 2016</th>
<th>FY 2017</th>
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<tr>
<td></td>
<td>Fall '11</td>
<td>Fall '12</td>
<td>Fall '13</td>
<td>Fall '14</td>
<td>Fall '15</td>
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<td>Professional Staff .50 FTE</td>
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<td>1,879</td>
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<td>$10,000 stipend plus one course buy-out</td>
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<td>Faculty/Staff salary (3 cr course)</td>
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<td>15,636</td>
<td>15,777</td>
<td>15,922</td>
<td></td>
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<tr>
<td>Temporary employee</td>
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<td>5,636</td>
<td>5,777</td>
<td>5,922</td>
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<td>EPV Payment (only for summer)</td>
<td>10,000</td>
<td>10,250</td>
<td>10,506</td>
<td>10,769</td>
<td></td>
<td></td>
<td>includes Professional faculty/staff 1.5 FTE and Faculty Director salaries</td>
</tr>
</tbody>
</table>

## RLC #6 in Wing-Davis-Wilks

| Salary                        | 40,998 | 41,773 | 42,667 | 43,381 |       |         |       |
| Benefits                      | 17,829 | 18,465 | 19,369 | 20,281 |       |         |       |
| Salaries & Benefits           | 58,827 | 60,237 | 61,935 | 63,662 |       |         |       |
| EPV Payment (only for summer) | 7,654  |         |         |         |         |         |       |
| Temporary Wages               | 10,000 | 10,250 | 10,506 | 10,769 |         |         | In addition to provided by Res Life |
| Startup Costs                 | 25,000 |         |         |         |         |         | one-time allocations to orient the new directors to their roles and responsibilities for up to 120 students |
| Professional Development     | 3,000  |         |         |         |         |         |       |
| Operating Expenses           | 13,000 | 13,390 | 13,792 | 14,205 |         |         |       |
| Total RLC #6                 | 117,491| 83,897 | 86,233 | 88,837 |         |         |       |

## RLC #7 in Marsh-Austin-Tupper

| Salary                        | 43,381 |         |         |         |         |         |       |
| Benefits                      | 20,281 |         |         |         |         |         |       |
| Salaries & Benefits           | 63,662 |         |         |         |         |         |       |
| EPV Payment (only for summer) | 8,690  |         |         |         |         |         |       |
| Temporary Wages               | 10,769 |         |         |         |         |         |       |
| Startup Costs                 | 25,000 |         |         |         |         |         |       |
| Professional Development     | 3,000  |         |         |         |         |         |       |
| Operating Expenses           |         |         |         |         |         |         |       |
| MAT Renovations Expenses      |         |         |         |         | 700,000 |         |       |
| Total RLC #7                 | 700,000| 125,327 |         |         |         |         |       |

Marketing
Website redesign
Publications

## Total RLC #6 & #7

| Total RLC #6 & #7             | 117,491| 83,897 | 786,233 | 213,964 |         |         |       |
Integrating Student Career Development at UVM
(Proposal in Development)
S3/Gen Ed SIP Team

A. Proposal Title: Integrating Student Career Development at UVM

B. Description of Proposal and Progress to Date

In October 2011 the S3 Committee charged an ad hoc Work Group on Student Career Development to propose a comprehensive model to promote student career planning and preparation within the broader context of academic and co-curricular engagement. The work was to include consideration of career services, the first-year experience, and experiential learning as it relates to career development. The Work Group was further charged to provide an analysis of our present system(s) in support of engaged career preparation and specific recommendations for a SIP proposal. The Work Group’s report is due May 15, 2012.

Since beginning its work in October 2011, the CDWG has drawn data from both UVM and national sources, using surveys, interviews, case studies and focus groups to understand UVM's challenges and develop solutions. We have described below the areas that we expect to address in our May 15, 2012 report. It is important to note that our thinking is informed by campus realities. For example, we are weighing what processes might be best centralized or coordinated on this largely decentralized campus.

- **Academic Integration** - Recommendations will include structures and programs to build collaborations between students, faculty, alumni, employers and staff to promote student engagement and career planning. We are likely to recommend the development of plans tailored to each school and college to expand career-related course offerings and enhance faculty involvement in career-related advising.
- **Internships** - Recommendations will address systems, risk management, credit options and criteria, and faculty and Career Services involvement.
- **On campus student employment** - Standardization of systems, building a student handbook and promoting more pre-professional quality, paid employment on campus will be addressed.
- **Student advising** - In addition to direct career advising, the committee is discussing the need to improve advising for students who are undeclared or in transition between majors. This suggests a more integrated model between career and academic advising for the first two years of a student's academic career.
- **Alumni and parents** - Mobilizing alumni in the service of students' career development is invaluable, and a larger role for the UVM Foundation is foreseen. The committee will also recommend mechanisms for providing career counseling to alumni.
- **Location/Space** - The location of Career Services is a major topic of deliberation.
C. Rationale

Our research to date indicates that career students want more career development assistance and they are seeking schools that will help them prepare for the college-to-career transition. At the same time, employers are saying that students need to be able to manage their own careers, and they are increasingly using internships and networking as recruitment strategies. Finally, with the federal government's more stringent rules tying loan defaults to funding, our graduates' success in finding jobs becomes even more critical. Thus, the need to promote student career development and experiential learning is apparent.

D. Risks

Risks associated with not taking this action:

1) To not take action would seriously jeopardize our ability to recruit students to UVM in an increasingly competitive environment. Our peer institutions are investing heavily and visibly in programs having to do with college-to-career transition. Other risks are more nuanced and will be articulated in the committee's report.

Risks associated with taking this action:

1) Doing it poorly, such that the Student Career Development Program is ineffectual or worse, creates more problems than it solves. Although we do not yet have a specific proposal, integrating student career development with academic and co-curricular engagement will require buy-in from faculty, staff and students and alumni, excellent coordination of multiple ongoing initiatives, and excellent communications with each of the schools and colleges.

E. Associated Professional Development Needs (For faculty & staff)

To be reported as the committee develops a specific proposal.

F. Assessment - How will we:

a. Promote continuous improvement through formative assessment?

To be determined as the committee develops a specific proposal.

b. Use summative assessment to measure success, and determine whether the activity should continue?

To be determined as the committee develops a specific proposal.
Effective Course Delivery
(Proposal in Development)
S3/Gen Ed SIP Team

A. Proposal Title: Effective Course Delivery

B. Description of Proposal and Progress to Date

The essential idea, which grew out of the SIP Town Hall meeting with the Faculty Senate, is to
develop a proposal for promoting optimal overall course delivery. The idea grew out of concerns
that decisions about course section sizes, scheduling, pedagogy and modes of delivery often seem to
be based on historical precedent and determined by processes that are neither well informed nor
transparent. Thus, the concept is to 1) propose a model for informed, transparent decision-making
that can be adapted to the unique needs of each school and college, and which will allow creative
thinking about how best to deliver curricula with the human and financial resources available; and 2)
propose mechanisms to support faculty in course redesign and innovation.

The S3 Committee plans to appoint and charge a work group to develop a proposal. To inform its
work, the ad hoc Committee will be charged to assess the course planning and faculty support
processes in the various schools and colleges and to research best practices at other institutions.

Proposed Roster:
1. Associate Dean
2. Associate Dean
3. First Year Experience Representative
4. Faculty Senator
5. Faculty Senator
6. Faculty
7. Faculty
8. Representative from the Registrar’s Office
9. Representative from the Center for Teaching and Learning

C. Rationale

The reason to pursue this proposal is a pervasive sense that course delivery could be better for
certain types of courses with respect to section sizes, scheduling, pedagogy and modes of
delivery. Pursuing this proposal means examining assumptions, decision-making processes and
thinking about how things might be done differently within the human and financial resources
available. This is an opportunity to capitalize on the creative thinking of faculty, staff and
administrators to see if we can come up with innovative strategies and processes that result in
improved course delivery. Although the charge pertains to processes and use of faculty
development resources at the school and college level, the proposal may also include
recommendations for policy at the University level, e.g., going to a predominantly four-credit
course model.
D. Risks

Risks associated with not taking this action:
1) The risk of not pursuing the work is the loss of an opportunity for a broad and thoughtful discussion about how to make course delivery most effective.

Risks associated with taking this action:
1) The work group may determine the existing decision-making processes and infrastructures for course delivery are already optimal. In that case, we will be no worse off; in fact we will be the better for having gone through the process.
2) If actions that grow out of the proposal are implemented there is the risk that they will be ineffective for one reason or another. The recommended actions will need to be carefully considered in order to maximize the chances of success.

E. Associated Professional Development Needs (for Faculty and Staff)

To be determined

F. Assessment – How will we:

a. Promote continuous improvement through formative assessment?
   To be determined. Formative assessment tools in a future proposal may include metrics such as students' academic performance, surveys of students, faculty and staff, themes that emerge from focus groups, etc.

b. Use summative assessment to measure success, and determine whether the activity should continue?
   To be determined. Changes in processes at the unit level may not constitute a “program” per se, in which case there may be no need of a summative assessment. For University-level actions such as a possible move to a 4-credit course model, a summative assessment may be necessary to determine success and whether to continue.
TRI AND RESEARCH SIP TEAM INVESTMENT PROPOSALS

EXECUTIVE SUMMARY

The purpose of the TRI and Research team was to develop a plan for ensuring the success of Transdisciplinary Research Initiative and for broadly supporting and enhancing research at UVM. The team focused on developing a five-year time and action plan for specific research-investment initiatives, including appropriate metrics that capture the return on investment. The team was formed in June 2011. Between June and September 2011, the team had regular meetings and discussions which led to draft proposals for research investment opportunities. During the 2011–2012 academic year, the team solicited input from UVM faculty and staff groups. This input was discussed by the team and was used to further develop proposals. The following six investment proposals were developed.

Proposal 1: Establishment of institutional grant programs: This proposal seeks to establish ongoing institutional research-grant programs. Seed grants will support preliminary work for developing competitive grant applications for extramural funding. Mini grants will support scholarly works with no expectation that they will lead to external grant applications. (Cost: $1.08 million per year. Benefits: external grants, scholarly output.)

Proposal 2: Creation of faculty reserve accounts: This proposal aims to provide researchers with the ability to accumulate unrestricted funds that may be carried over from year to year and used to support research-related activities. (Cost: $15,000 per year. Benefits: research-spending flexibility.)

Proposal 3: Evaluation and expansion of shared resources: This proposal aims to evaluate existing resources that are shared amongst multiple investigators and to identify potential new shared resources that would enhance UVM’s research competitiveness. (Cost: $770,000 per year. Benefits: increased institutional competitiveness.)

Proposal 4: Health-services research investment: This proposal seeks to expand UVM’s capability in the areas of health-services research, and analysis and assessment of health-care-financing reform initiatives. It is in response to Vermont’s recent initiative to reform the financing and delivery of health care. (Cost: $4.6 million over three years, then self-sustaining. Benefits: external grants, scholarly output, increased ability to address state needs.)

Proposal 5: Expansion of graduate programs: This proposal seeks to significantly expand graduate programs at UVM through the creation of new graduate research assistantships. (Cost: $6.2 million per year. Benefits: increased research competitiveness.)

Proposal 6: Investment in UVM’s Spires of Excellence: This proposal seeks to provide research investment to UVM’s currently-approved Spires of Excellence and to meet the resource needs articulated by each spire’s steering committee. (Cost: $4.70 million per year. Benefits: realization of spire goals.)
TRI AND RESEARCH: A 5-YEAR PLAN TO FOCUS AND EXCEL
March 1, 2012

A. Team Membership

Current Team Members
Cynthia L. Belliveau
Bernard F. Cole (Chair)
John N. Evans
Richard A. Galbraith
Domenico Grasso
Frederick C. Morin
Patricia A. Prelock
Barbara Rodgers
Benjamin T. Suratt

Former Team Members
Joel M. Goldberg
Douglas O. Lantagne
Karen N. Meyer
Thomas C. Vogelmann

B. Team Purpose Statement and Significance

Our vision is to be among the nation’s premier small research universities, preeminent in our comprehensive commitment to liberal education, environment, health, and public service. Our mission is to create, evaluate, share, and apply knowledge and to prepare students to be accountable leaders who will bring to their work dedication to the global community, a grasp of complexity, effective problem-solving and communication skills, and an enduring commitment to learning and ethical conduct. Strategic investments in our research mission are expected to strengthen the academic reputation of UVM and its service to the state and nation.

In 2009, UVM embarked upon an unprecedented university-wide conversation—the Transdisciplinary Research Initiative, or TRI—to strategically advance our national role as a premier small research university. Led by UVM administrators, the Faculty Senate, and faculty experts from across campus, TRI is helping us map UVM’s existing and emerging transdisciplinary strengths, develop our distinctive national and international reputation for research and scholarship, and strategically invest resources to create new knowledge, advance economic development, and engage our communities. As a result of the TRI process, three Spires of Excellence were named: Complex Systems, Food Systems, and Neuroscience, Behavior and Health. In 2010–2011, UVM invested in a first round of tenure-track hires aligned with the TRI’s three priority research areas. Through an innovative hiring process that connected traditional faculty search committees with TRI Steering Committee input, a total of 18 hires were made across nine UVM schools and colleges.

The purpose of our team was to develop a plan for ensuring the success of TRI and for broadly supporting and enhancing research at UVM. The team focused on developing a five-year time and action plan for specific research-investment initiatives, including appropriate metrics that capture the return on investment.
C. Methods

The following process was undertaken in developing this document. The TRI and Research Committee was formed in June 2011. Between June and September 2011, the team had regular meetings and discussions which led to four draft proposals for research investment opportunities. During the 2011–2012 academic year, the team solicited input from UVM faculty and staff groups. This input was discussed by the team and was used to refine the initial proposals as well as to add two research investment opportunities. The following meetings occurred:

<table>
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<th>Date</th>
<th>Unit</th>
<th>Team Representative</th>
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</thead>
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<tr>
<td>October 11, 2011</td>
<td>CEMS Faculty</td>
<td>Cole</td>
</tr>
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<td>October 27, 2011</td>
<td>COM Chairs</td>
<td>Cole/Morin</td>
</tr>
<tr>
<td>November 1, 2011</td>
<td>CAS Faculty</td>
<td>Goldberg</td>
</tr>
<tr>
<td>November 2, 2011</td>
<td>CNHS Faculty</td>
<td>Cole/Prelock</td>
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<td>RSGE Committee of the Faculty Senate</td>
<td>Cole/Grasso</td>
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<td>November 10, 2011</td>
<td>TRIAC—Faculty Senate</td>
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<td>November 15, 2011</td>
<td>BSAD Faculty</td>
<td>Cole</td>
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<td>November 28, 2011</td>
<td>CALS Faculty</td>
<td>Cole/Vogelmann</td>
</tr>
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<td>November 28, 2011</td>
<td>SIP “Town Hall” meeting—Faculty Senate</td>
<td>Cole/Galbraith/Goldberg</td>
</tr>
<tr>
<td>December 2, 2011</td>
<td>CESS Faculty</td>
<td>Cole</td>
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<tr>
<td>January 3, 2011</td>
<td>SIP “Town Hall” meeting—Staff Council</td>
<td>Cole</td>
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</table>

In addition to these meetings, the team will meet with the faculty of RSENRR in early 2012.

Recognizing that in an era of constrained resources, it may not be possible to support fully all proposed research-investment opportunities, the team considered how to prioritize the initiatives. Based in part on input received through the faculty and staff meetings, the team identified the following four criteria for “higher priority” proposals: Higher priority proposals will: (1) provide opportunities to directly support research; (2) be accessible to support a broad range of research or to the TRI Spires; (3) generate both short and long-term successes measured by research output; and (4) generate external grant support. All proposals not meeting these criteria were classified as “lower priority.”

D. Summary of Outcomes

In developing proposals for research investment, the team was strongly guided by input from faculty and staff groups. Through its deliberations, and with the faculty and staff input, the team accepted a number of overarching principles regarding approaches to research investment. In particular, the team felt that (i) investment initiatives should broadly empower researchers to be successful, (ii) the paradigm of competitive peer review generates excellence, and (iii) the success of UVM’s research centers and of TRI is important to the short and long-term success of the university. The specific research investment proposals that follow were developed with these considerations in mind. In its work thus far, the team identified six specific research-investment proposals. These proposals include mechanisms to support researchers through institutional grant programs, generation of discretionary funds to support researchers, enhancement of shared
resources that support research, identification of the resources necessary to support UVM’s Spires of Excellence, and development of a multidisciplinary health-care research initiative to dovetail with Vermont’s efforts to reform health-care financing.

E. List of Proposals

1. Establishment of institutional grant programs
2. Creation of faculty reserve accounts
3. Evaluation and expansion of shared resources
4. Health-services research investment
5. Expansion of graduate programs
6. Investment in UVM’s Spires of Excellence
Proposal 1: Establishment of institutional grant programs

This proposal seeks to establish on-going institutional research-grant programs through two initiatives: seed-grant programs and mini-grant programs.

Institutional seed-grant programs

Rationale—Seed grants are institutional awards made to investigators with the purpose of allowing them to assemble the necessary building blocks for developing a far-larger, competitive grant application for extramural funding. Seed grants may be used to fund the gathering of preliminary data, the formation of investigative teams, proposal preparation services, faculty research time (e.g., teaching buy-out), and other costs incurred in the early phase of a research endeavor. The paradigm of competitive peer-review is a recognized primary catalyst for research excellence. Thus, the seed grant program should involve a peer-review mechanism that will play a primary role in ranking applications based on merit.

On a national level, seed grant programs tend to have high return on investment and a track record of leading to external awards. Nationally, at mature institutions, each dollar in seed-grant funding tends to generate $10 in external awards. However, it is expected that this high a return will not be immediately realized with a new program. More likely, it will ramp up over a period of at least 5 years.

Properly structured and executed, seed grant programs often generate substantial levels of excitement among investigators because of the opportunities that they represent. Seed grants represent institutional support of a research endeavor.

As envisioned, the seed-grant program will be open to all researchers; however, RFP’s and awards will likely track with the funding priorities of external granting agencies as well as areas of established research strength at the university. Thus, it will be important for the University to balance investment in the seed-grant program with investment in additional programs that support research in areas where external grant opportunities are limited.

Strategy—Sources of funds must first be identified and may be developed through philanthropy, center support grants, or the general fund. We will seek to develop a yearly pool of $800,000 for seed-grant awards. Awards are envisioned to be $50K or less for one year of support, but may be larger (e.g., up to $100K) depending on project needs. Thus, an $800,000 pool can be expected to fund up to 16 projects each year.

Metrics—Grant dollars awarded per seed-grant dollar invested. Dollars available per year for seed grants. Number of seed-grant applications received. Proportion of seed-grant awards that lead to an external grant application. Measures of academic success (e.g., number of resulting scholarly publications, impact factors).

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. For this proposal, the specific risks are: (i) The seed grant program fails to increase UVM’s national competitiveness for external grants. (ii)
Institutional grant programs are only effective if there is a high-quality process of peer review and significant faculty interest in participating as a reviewer of applications. Thus, there is a risk that the initiative might fail owing to an inability to establish a peer-review process that is high in quality.

Timeline—
Year 1 (2012): Establishment of a seed-grant pool of funds. Development of RFP’s, establishment of processes for seed-grant administration and peer review of applications.
Year 3 (2014): Preliminary research concluded. External grant applications prepared and submitted. Additional rounds of RFP’s, application reviews, and awards.

<table>
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<tr>
<th>5-Year Statement of Investment</th>
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</thead>
<tbody>
<tr>
<td><strong>Year</strong></td>
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<tr>
<td>Seed-grant awards</td>
</tr>
<tr>
<td>Administration</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

Assumptions: An $800,000 pool will be available for seed-grant awards each year. The program will have a half-time administrative assistant at a cost of $30,000 in 2013, with this cost increasing by 2% in each subsequent year.

**Institutional mini-grant programs**

Rationale—Mini grants are institutional awards made to investigators with the purpose of allowing them to pursue specific scholarly works that will enhance the academic reputation of the University. In contrast to seed grants, mini grants are awarded with no expectation that they will lead to external grant applications. Typically, mini-grant programs are focused on supporting research efforts in areas where opportunities for external funding are very limited.

The paradigm of competitive peer-review is a recognized primary catalyst for research excellence. Thus, the mini-grant program should involve a peer-review mechanism that will play a primary role in ranking applications based on merit. Little or no financial return is expected from the mini-grant program. The expected return will be an increase in academic reputation.

Strategy—Sources of funds must first be identified and may be developed through philanthropy, the general fund, or other sources. We will seek to develop a yearly pool of $240,000 for mini-grant awards. Awards are envisioned to be $15K or less for one year of support, but may be larger (e.g., up to $30K) depending on project needs. Thus, a $240,000 pool can be expected to fund up to 16 projects each year.

It is envisioned that seed grants will be administered centrally by the Office of the Vice President for Research (OVPR). Requests for proposals (RFP’s) will be developed by the OVPR. Peer-review panels will be assembled from the faculty and may include external consultants. These
panels will review, critique and score applications. Funding decisions will be made by the OVPR with input from the peer-review process.

Metrics—Dollars available per year for mini grants. Number of mini-grant applications received. Measures of academic success (e.g., number of resulting scholarly publications, impact factors).

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. For this proposal, the specific risks are: (i) The mini-grant program fails to result in identifiable successes. (ii) Institutional grant programs are only effective if there is a high-quality process of peer review and significant faculty interest in participating as a reviewer of applications. Thus, there is a risk that the initiative might fail owing to an inability to establish a peer-review process that is high in quality.

Timeline—

5-Year Statement of Investment

<table>
<thead>
<tr>
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<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
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<td>$240,000</td>
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<td>$250,200</td>
<td>$250,404</td>
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Assumptions: A $240,000 pool will be available for mini-grant awards each year. The program will have a part-time administrative assistant at a cost of $10,000 in 2013, with this cost increasing by 2% in each subsequent year.
Proposal 2: Creation of faculty reserve accounts

This proposal aims to provide researchers with the ability to accumulate unrestricted funds that may be used to support research-related activities. Investigators who generate such funds may deposit them in his or her “faculty reserve account” and later access the money for appropriate uses. Funds in faculty reserve accounts will be carried over from one fiscal year to the next.

Rationale—Access to discretionary funds is critical to the success of many research programs. These funds may be used to cover a wide range of research-related expenses that cannot legitimately be charged to external grants. Examples include equipment purchases, travel expenses (including foreign travel), conference expenses, costs of training programs for faculty and staff, and expenses related to facility renovations. These kinds of expenditures directly enhance and foster research, albeit in a broad or overarching fashion. Mechanisms that allow investigators to reserve, or “bank” discretionary funds, generate incentives to secure external funding while providing those investigators with resources that broadly support their research missions.

Strategy—A reserve account will be created for each investigator wishing to bank funds. Investigators who support a portion of their academic-year research time on an external grant will be permitted to bank a portion of any unrestricted funds that are released as a result of the grant. The amount banked will depend on unit-specific policies or guidelines to be developed. Staffing needed to administer the program is likely to be minimal and will not require additional recruitment. Disbursements will require chair/director approval as covering legitimate research-related business expenses. Ideally, the reserve accounts should not be subjected to any re-appropriation tax.

Metrics—Dollars banked by investigators per year. Dollars expended by investigators per year. Number of external grant applications per year. External dollars awarded per year. Measures of academic success (e.g., number of resulting scholarly publications, impact factors).

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. For this proposal, the specific risks are: (i) Reserve accounts are established and not utilized, (ii) Reserve accounts fail to stimulate growth in terms of external grant applications/awards. (iii) There is potential for reserve accounts to be used inappropriately.

Timeline—
Year 1 (2012): Set up reserve accounts and establish governing policies/procedures.
Year 2 (2013) and beyond: Launch program
## 5-Year Statement of Investment

<table>
<thead>
<tr>
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<th>2013</th>
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<th>2015</th>
<th>2016</th>
<th>2017</th>
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<td>$15,606</td>
<td>$16,918</td>
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<td>$15,300</td>
<td>$15,606</td>
<td>$15,918</td>
<td>$16,236</td>
</tr>
</tbody>
</table>

Assumptions: Staffing needed to administer the program will be minimal and will not require additional recruitment; however, the anticipated effort to administer the program will be 0.25 FTE at a cost of $60,000 per FTE in 2013. Expenses will increase by 2% per year.
Proposal 3: Evaluation and expansion of shared resources

This proposal aims to evaluate existing shared resources and to identify new shared resources that would enhance UVM’s research competitiveness.

Rationale—Many research projects require the use of resources that may be shared amongst several investigators. The development of shared resources can provide efficiencies in that one resource can meet the needs of all investigators as compared with the development of project-specific resources. Moreover, shared resources may be designed with uniqueness in mind, thus significantly enhancing the overall research environment and its competitiveness. Shared resources may charge for their work and may pursue external contracts. Examples of shared resources at UVM include the Vermont Advanced Computing Center, the Biostatistics Unit, and the Instrumentation and Model Facility. Shared resources are common in medical research centers and typically include resources for imaging and genomic analysis.

Strategy—As a starting point, TRI Steering Committees will be asked to assess existing shared resources and investigator needs for new shared resources (or enhancements of existing shared resources). The Steering Committees will develop a rationale for each proposed new resource based on the plan’s ability to (i) address current and future investigative needs, (ii) enhance the national competitiveness of UVM’s research environment, and (iii) be relevant to the research priorities of funding agencies. The process for identifying potentially-useful, new shared resources will also be guided more broadly through input from all faculty conducting research. Of particular interest for the Complex Systems Spire is a shared resource in methodology. This would be largely an intellectual shared resource that provides expertise to investigators.

Faculty and staff will be recruited to run the shared resources. It is envisioned that internal recruitments will meet most requirements, at least initially. It is also envisioned, the faculty effort will be shared amongst several faculty members affiliated with a shared resource, with each faculty member having a portion of his/her time covered for the activity. Finally, a significant portion of faculty and staff effort to support each shared resource is expected to be covered by external grants.

Metrics—Number of grant applications per year that propose to use a shared resource. Number of grants awarded per year that will use a shared resource. Dollars expended per year on shared-resource services. Measures of academic success (e.g., number of resulting scholarly publications, impact factors).

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. For this proposal, the specific risks are: (i) The evaluation process fails to improve existing shared resources, (ii) New shared resources do not enhance the national competitiveness of UVM.

Timeline—
Year 1 (2012): TRI Steering committees consider opportunities for developing new shared resources or enhancing existing shared resources
Year 2 (2013): Selection of proposals for investment and development of detailed plans for the staffing and functioning of the resources

Year 3 (2014): Establishment of the shared resources. Recruitment of faculty and staff to administer the resources. Grant applications begin to include shared-resource usage

Year 4 (2015) and beyond: Shared resources begin to work on funded projects and establish external contracts.

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<thead>
<tr>
<th>5-Year Statement of Investment</th>
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<tbody>
<tr>
<td></td>
</tr>
<tr>
<td>Equipment</td>
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<td>Faculty</td>
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<tr>
<td>Administration</td>
</tr>
<tr>
<td>Total</td>
</tr>
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</table>

Assumptions: Major equipment will be obtained in the first three years, with costs up to $500,000 per year. Subsequent costs will be $100,000 per year for additional equipment and upkeep. Faculty FTE (general fund) assigned to the shared resources will be 1.0 FTE at a cost of $150,000 per FTE in 2013. Staffing (general fund) to support the shared resources will require 2.0 FTE at a cost of $60,000 per FTE in 2013. Personnel expenses will increase by 2% per year.
Proposal 4: Health-services research investment

This proposal seeks to expand UVM’s capability in the areas of health-services research, and analysis and assessment of health-care-financing reform initiatives.

Rationale—Vermont is undergoing a major initiative in the financing and delivery of health care, with the goal of high quality, effective and efficient universal services for Vermonters, which will be phased in over a period of up to six years. The legislation, signed by Governor Peter Shumlin on May 28, 2011, calls for a three-stage implementation of a publicly-financed universal health care system. The Vermont initiative may become a model for other states, and much will be learned during the design and implementation of new payment and delivery strategies.

Key to the success of a high quality health care system will be the careful tracking of sensitive data and the ascertainment of outcomes. Significant efforts will need to be undertaken to ensure that the program is running properly, ultimately achieves cost savings, and improves the overall health of the Vermont population. Such an effort will involve the processing of enormous amounts of data and highly-specialized statistical and economic modeling. In addition, it is likely that data derived from a comprehensive payer, single-payer or other efficient financial model, will represent extremely fertile ground for advancing economic, outcomes, epidemiological, and comparative efficacy research.

UVM currently has a small yet successful group of faculty drawn from multiple colleges but especially from the College of Medicine that is engaged in a wide range of health-services research projects. This core group represents an excellent foundation upon which to build and grow. By expanding UVM’s capability in the area of health-services research, analysis and assessment, and epidemiology, the University will be well positioned to contribute important research related to the impact of Vermont’s health reform initiatives as well as important epidemiological findings. It is highly likely that significant resources will be invested in these research activities both by the State of Vermont and the federal government. Furthermore, opportunity for publication of research findings will be significant as Vermont “leads the nation” in reform efforts, offering attractive potential for nationally and internationally recognized scholars.

Strategy—The UVM Center for Clinical and Translational Science will focus its existing expertise, supplemented by additional investments for faculty and staff, to form a new multidisciplinary Institute for Health Reform Assessment and Analysis. Significant investment will be made to recruit strong scholars in the fields of informatics, health economics, biostatistics, health services research, and epidemiology. An institute director will be identified or recruited. Development of the institute will be coordinated with the needs of the state government with an expectation for public investment to support mutual goals. It is envisioned that an ongoing contract with the State of Vermont could be established after an initial planning and investment period (expected to be approximately three years). In the event that such a contract is not realized, emphasis of the institute will be placed on obtaining federal grants, and any expansion (or contraction) of the center will be driven by grant awards.
Metrics—Numbers of grant applications per year submitted and awarded. Numbers of contracts awarded Dollars awarded. Measures of academic success (e.g., number of resulting scholarly publications, impact factors).

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. For this proposal, the major risk is that the investment fails to result in a significant contract with the state.

Timeline—
Year 1 (2012): Review of similar research endeavors in the US and development of a detailed plan for the UVM institute
Year 2 (2013): Recruitment of faculty and staff for the institute
Year 3 (2014): Institute is opened. Preliminary investigations are conducted
Year 4 (2015): Contracts are awarded. Grant proposals are developed and submitted
Year 5 (2016) and beyond: External grants and contracts are awarded, large-scale projects are undertaken

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<th>5-Year Statement of Investment</th>
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<tr>
<td>Staff</td>
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<tr>
<td>Equipment</td>
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<tr>
<td>Operating</td>
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<tr>
<td>Renovations</td>
</tr>
<tr>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>

Assumptions: The institute will recruit six faculty members in 2013 at an average cost of $150,000 per FTE, and will recruit five staff members in 2013 at an average cost of $64,000 per FTE. One-time renovations to office space will be required at a cost of $750,000. Faculty and staff salaries will increase by 2% per year. The institute will be self-sustaining after three years.

Note that in previous years, UVM State Government Agencies have expended in excess of $15 million in hiring health services research consultants from out of state. The development of the capacity to do this work in state will allow these funds to remain in state and mutually support UVM and the health assessment needs of the state.
Proposal 5: Expansion of graduate programs

This proposal seeks to significantly expand graduate programs at UVM through the creation of new graduate research assistantships.

Rationale—In many fields, access to high-quality graduate students is critical to achieve success in research. This is especially true in fields where research is laboratory based or involves field work and other data gathering. The establishment of additional graduate research assistantships will likely lead to greater research efficiency and productivity. In order to attract top students, graduate stipends need to be nationally competitive. In addition, doctoral programs should offer opportunities to tailor coursework requirements based on each student’s individual preparation and needs.

Strategy—The Graduate College will establish new Graduate Research Assistantships (GRA). This expansion will be focused on doctoral programs and will be based on a 2-year model of GRA support. This proposal calls for an expansion of the number of graduate assistantships by an additional 115 students phased in over three years, representing approximately a 50% increase in the number of students supported by the Graduate College. After two years of UVM support, students in these new GRA positions are expected to transition onto grant-funded research projects for the remainder of their programs. This model is expected to ensure that GRA investment is focused on research priorities that track with external funding. The Graduate College will set the annual stipend for GTA and GRA support so that it is competitive nationally for quality students according to program. This is expected to result in an average stipend of about $24,000 for a GRA and $20,000 for a GTA.

The Graduate College will seek opportunities to revise general requirements so that more flexibility is available to programs. For example, the 15-credit coursework requirement may be revisited with the idea that coursework requirements can be at the discretion of each program. This will enable programs to tailor coursework requirements based each individual student’s preparation and area of interest. Flexibility along these lines will increase UVM’s competitiveness in terms of attracting top quality graduate students.

Metrics—Number and quality of doctoral graduates per year. Numbers of students who successfully transition from GTA to research-assistantship support each year. Measures of academic success (e.g., number of resulting scholarly publications, impact factors). These metrics will be used to assess allocation of GRA’s to programs over time.

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. The general risk with this initiative is that the investment fails to elevate UVM’s competitiveness as a research university.

Timeline—
Year 1 (2012): Graduate College undertakes preparations to expand GRA support and to increase annual stipends
Year 2 (2013): Allocation of new GRAs, increase of stipends
Year 3 (2014): Allocation of new GRAs, increase of stipends
Year 4 (2015): Transition of the first cohort from UVM to external grant support. Re-allocation of GRAs
Year 5 (2016) and beyond: Program continues

### 5-Year Statement of Investment

<table>
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<td>2,760,000</td>
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<td>GRA tuition</td>
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<td><strong>$6,316,069</strong></td>
<td><strong>$6,396,846</strong></td>
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</table>

Assumptions: The current number of GTAs is 230 with a total budget of $4.2M. A 32% increase in this budget will enable the Graduate College to offer annual stipends that are nationally competitive (an average stipend of $20,000). Based on these assumptions, the cost of increasing the annual stipend is expected to cost an additional $1.326 M, approximately. This increase will be phased in over three years. GRA support for 115 new GRA positions is expected to cost $4.8 M per year, phased in over three years and assuming an average annual stipend of $24,000, annual tuition of $15,000 and annual health insurance costs of $1,875. Tuition will increase by 3.5% per year, and health insurance costs will increase by 5% per year. Administrative costs will be $64K in the first year and will increase by 2% in each subsequent year.
Proposal 6: Investment in UVM’s Spires of Excellence

This proposal seeks to provide research investment to UVM’s currently-approved Spires of Excellence.

Rationale—The University has established three Spires of Excellence: Complex Systems, Food Systems, and Neuroscience, Behavior and Health. Each Spire has a Steering Committee charged with providing leadership and proactively cultivating cross-campus collaborations and transdisciplinary research teams and projects. These committees have identified specific resource needs (Appendix). Investment in meeting these needs is critical for the success of each Spire.

Strategy—Administration will continue to work with the steering committees to decide upon investment opportunities priorities. Spire resources will be administered centrally. Options along these lines include administration through the Provost’s Office or administration through the Office of the Vice President for Research. The recommended level of support is $4.7 M annually. This amount is expected to cover the cost of meeting the resource needs articulated by each Spire’s steering committee and includes approximately an additional $1 M per year to be used for other Spire-related strategic investment.

Metrics—As identified by the steering committees TRI Goals and Metrics. This material is located at: http://www.uvm.edu/~tri/

Risks—The primary risk associated with all proposals from the TRI and Research team is that the investment will not result in expected outcomes. For this proposal, the general risk is that the Spires fail to achieve their individual goals.

Timeline—
Year 1 (2012): Identification of long-term funding. Identification of investment priorities
Year 2 (2013): Allocation of resources. Reassessment of investment priorities
Year 5 (2015) and beyond: Program continues
## 5-Year Statement of Investment

<table>
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<tr>
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<td>$4,823,397</td>
<td>$4,175,665</td>
<td>$4,239,178</td>
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**Assumptions:** Staffing and operating costs will increase 2% each year.
Prioritization of Proposals

The TRI and Research Team evaluated each of the six proposals in this document based on the criteria described previously for a "higher priority" proposal. The following three proposals were classified as "higher priority":

Proposal 1: Establishment of institutional grant programs
Proposal 5: Expansion of graduate programs
Proposal 6: Investment in UVM’s Spires of Excellence
ENGAGING IN A CONVERSATION ABOUT THE STRATEGIC VALUE AND FINANCIAL ATTRACTIVENESS OF ACADEMIC PROGRAMS

SUBMITTED ON BEHALF OF THE

Strategic Initiatives Project Team

TO

the Campus Community for Comment and Discussion

FEBRUARY 14, 2012
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INTRODUCTION

Moving UVM Forward in a Time of Constrained Resources

This is a very challenging time for institutions of higher education across the United States, including the University of Vermont. Declining populations of college age students in key applicant source regions, an aging institutional infrastructure, a struggling economy at both the national and state levels, and growing competition for highly qualified students and faculty present challenges to securing long-term financial viability and success.

Continued tuition increases are not the answer to our long-term financial security. When the Board of Trustees approved UVM's tuition increase for 2011-2012 it also passed a resolution requiring that a plan be developed for continuing to invest strategically in the University while simultaneously reducing the growth rate in tuition in the years ahead because of a deep concern that we are at risk of pricing ourselves out of the market. There are now calls by the Obama administration to tie federal support to universities to keeping tuition increases low. Thus gross tuition revenue, the University’s only truly controllable revenue source, will grow more slowly than it has over the past several years. In addition:

- Federal appropriations, grants and contracts are projected to grow far more slowly than they have over the past several years and could even decline.
- State appropriations likewise face challenging times and this has become only more difficult since the significant economic and physical destruction experienced by Vermont as a result of Tropical Storm Irene.
- Although the University of Vermont Foundation and upcoming capital campaign are exciting new ventures, it will take time before there are significant benefits from these efforts; in the meantime, investment returns and endowment income will continue to experience market pressure.
- Having grown the student population by 35% over the past decade, UVM has now reached full capacity and can no longer look to increased enrollments as a source of new revenue.

The key implication of these challenges is that, in order to move forward on sustainable financial footing, UVM cannot rely primarily on increased revenues; rather, it must reallocate and more effectively use its existing base funding.

In order to fulfill its mission the University of Vermont must invest in strategic areas and transform much of what it does. Whether it is to create an increasingly satisfying and challenging student experience, a more progressive and impactful research and creative enterprise, or a deeper engagement with surrounding and distant communities, UVM must look at how it should change to meet the opportunities and address the challenges that will shape its future.

Over the past several months, members of the Council of Deans and the President’s Senior Leadership group have worked together with leaders of the Faculty Senate to develop a strategy to address these opportunities and challenges. This Strategic Initiatives Project (SIP) is harnessing the collective enthusiasm and knowledge of many individuals to define the best approach to move UVM forward. The February, 2012 Faculty Senate and Department Chairperson Town Meetings are an
opportunity for academic leaders to inform one aspect of this project in particular – the Strategic Value and Financial Attractiveness analysis that is described in this document.

Process Followed

Given this background, the charge of the Strategic Initiative Project’s Cost Structure and Productivity Improvement (CSPI) Team is to find opportunities to reduce or avoid costs and improve productivity in a way that enhances the academic experience as fully as possible while ensuring UVM’s long-term financial viability. The work presented in this document is that of the original SIP and CSPI Teams, both of which have been reconstituted effective February 8, 2012. The membership of the original, and Spring, 2012 teams follows.

MEMBERS OF THE ORIGINAL SIP TEAM

Administrators
Francine Bazlude
John Bramley
Rich Bundy
Richard Cate
Gary Derr
John Evans
Domenico Grasso
Tom Gustafson
Wanda Heading-Grant
Jane Knodell
Chris Lucier
Karen Meyer
Gayle Nunley
Brian Reed
John Ryan
Annie Stevens
David Todd
Ted Winfield

Deans
Cynthia Belliveau
Chip Cole
Joel Goldberg
Doug Lantagne
Fayneese Miller
Rick Morin
Patty Prelock
Abu Rizvi
Mara Saule
Sanjay Sharma
Tom Vogelmann
Mary Watzin

Faculty Senate Leadership
Jim Burgmeier
Richard Galbraith
Charles Goodnight
Cathy Paris
Julie Roberts
Don Ross
Sherwood Smith

MEMBERS OF THE SIP TEAM EFFECTIVE FEBRUARY 8, 2012

Administrators
John Bramley
Rich Bundy
Richard Cate
Gary Derr
John Evans
Domenico Grasso
Tom Gustafson
Wanda Heading-Grant
Jane Knodell
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Tom Vogelmann
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Stephanie Kaza
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Julie Roberts
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Faculty Members
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Penny Bishop
Jennifer Dickinson
Susan Edelman
Meaghan Emery
Doug Fletcher
Dhananjay Gupta
Barbara Saylor Rodgers
Larry Shelton
Rich Sicotte
Ben Suratt
Over the past several months the Team has used a variety of methods and analytical tools to analyze the University's cost structure, focusing on the General Fund.

The CSPI Team has undertaken this work using the following guiding principles:

- Maintain or improve our academic quality.
- Continue to support as strongly as possible ongoing efforts such as the University’s “focus and excel” strategy and transdisciplinary research initiatives.
- Enhance the long-term status of UVM as Vermont’s flagship institution of higher learning.

The CSPI team is seeking to understand and analyze costs in four specific areas of the University's cost structure: Business Operations, Co-Curricular Experience, Direct Support of the Academic Experience, and the Academic Experience.

<table>
<thead>
<tr>
<th>Areas of Focus</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Business Operations</strong></td>
<td>• Costs associated with the central and unit-specific administrative and support functions required to run the university</td>
</tr>
<tr>
<td><strong>Co-Curricular Experience</strong></td>
<td>• Costs associated with programs, activities and infrastructure that enrich the university environment, but are not in and of themselves required for delivering the academic experience</td>
</tr>
<tr>
<td><strong>Direct Support of the Academic Experience</strong></td>
<td>• Costs associated with programs and infrastructure that support and enhance the design, development and delivery of the academic experience</td>
</tr>
<tr>
<td><strong>Academic Experience</strong></td>
<td>• Costs associated with instruction, research, creative activity and public outreach that produce new knowledge and learning outcomes</td>
</tr>
</tbody>
</table>
The CSPI team has been using a variety of analytical approaches and frameworks to identify and analyze resource reduction and/or reallocation opportunities in each of the four areas of focus. The Team is continuing to analyze cost savings and productivity improvement opportunities in the first three areas listed in the table. This document concerns the analysis of the fourth area, the academic experience.

The CSPI Team has developed a method for examining the core academic experience of the institution. This method is referred to as the Strategic Value and Financial Attractiveness analysis (SVFA). The development of the SVFA has been an evolving process that included extensive conversation and numerous working sessions. The Co-chairs of the CSPI Team also met with the Faculty Senate Executive Council during this process. On January 20, 2012, the full SIP Team endorsed the SVFA analysis presented in this document. This endorsement was an indication of the Team’s belief that the analysis is ready for dissemination to the campus community for broader review and discussion.

The SVFA Analysis

The SVFA work has focused entirely and exclusively on creating methods and associated analyses (still to be performed) that will enable the campus community to engage in well-informed conversations about the future of various academic programs across the University. The SVFA will provide one piece of information about the relative alignment of the various academic programs with UVM’s mission, as well as the financial attractiveness of these programs. Using a set of broadly shared criteria and metrics to assess programs, SVFA can be used to understand cost structures and identify opportunities for investment. The SVFA approach will generate consistent relative numeric scores that are intended as a starting point to structure an informed discussion about academic programs. SVFA is a structured and disciplined approach to generate some of the information and insight needed for an informed discussion about:

- How effective are various academic programs in fulfilling important University goals? This is the matter of identifying strategic value (SV).
- How successful are various academic programs in making financial contributions to the University? This is the matter of assessing financial attractiveness (FA).

Once the strategic value and financial attractiveness of various programs are assessed, the campus can consider which programs are candidates for enrichment; continued support; or consolidation or reduction. None of these decisions would follow from the SVFA analysis alone: further qualitative investigation of programs, including their trajectories, impact, and opportunities, will need to be done. However, the SVFA analysis provides a useful and important comprehensive, consistent basis on which to structure and advance a consideration of UVM’s academic programs.

**The SVFA approach is not the only approach that will be used to assess the academic experience and its programs.** However, given the importance of the academic core of the University, the SIP team believes that a conversation regarding the SVFA work to date must now be undertaken with the broader campus community to gain input, feedback and suggestions before we move ahead with further analyses based upon these efforts.
STRATEGIC VALUE

Criteria for Assessing Strategic Value

The first component of the SVFA analysis is “Strategic Value.” Strategic Value refers to the degree to which programs are aligned with UVM’s overall aims and goals. The SIP team, through an involved and careful process, arrived at four criteria to be considered for assessing strategic value. (Appendix A provides details on the process followed.) A program of exceptional strategic value is one that fulfills each of these criteria.

- **Criterion #1: Differentiates UVM from its peers, resulting in distinction, identity and competitiveness.**

  Differentiation is largely shaped and defined by the aspects of distinction contained in the other three criteria that follow. Thus it emerges and results from the successful achievement of the other strategic value criteria, and serves more as a “super-ordinate” outcome.

- **Criterion #2: Attracts and retains high quality faculty who deliver superior teaching, scholarship and research.**

  This criterion presents an opportunity for using strategic value metrics at a departmental level for both internal and some select external benchmarking and analysis. Data with respect to publications, citations, national awards, and external support of research and scholarly activity (total, per faculty FTE and relative to peers) is available. Likewise, course evaluations can provide information on effective teaching. Global comparative measures could be generated by working with the Faculty Senate and the colleges and schools to include one or two common question items in existing course evaluations.

- **Criterion #3: Provides an exceptional academic experience that attracts, engages, and retains high-quality and diverse undergraduate and graduate students through degree completion and prepares them to succeed now and in the future.**

  This criterion also presents an opportunity for using strategic value metrics at a departmental level for internal and some select external benchmarking and analysis. Numerous measures of student quality clearly exist and are readily available. Indicators for diversity, including ALANA representation, are available, and measures of program demand might include enrollment by major, degrees awarded by major, and course enrollments relative to capacity/minimum class sizes.

- **Criterion #4: Demonstrates UVM’s commitment to community engagement and addressing important social needs.**

  A set of metrics for assessing the strategic value of program contributions to community engagement and societal needs is difficult, particularly on a quantitative basis. However, the Michigan State Outreach and Engagement Instrument (OEMI) is a faculty member survey that gauges multiple items in this arena, suggesting that this criterion can be measured.
Metrics for the Four Criteria

We take these criteria to be fairly straightforward. The University of Vermont should certainly strive for a high-quality faculty, an exceptional academic experience for its students, and engagement with its surrounding community, all leading to distinction and differentiation.

Once the CSPI Team had refined the criteria, it considered the issue of finding appropriate metrics. This effort was guided by the following considerations:

- ** Appropriateness.** Does the metric capture something that is truly important about the criterion in a central, straightforward and defensible manner?
- ** Generality.** Can the metric be applied to all or practically all of the academic units and programs that we seek to assess?
- ** Availability.** Do we have access to the data on which the metric is based or can we have access to the data in a short period of time and at relatively modest cost?

For strategic planning purposes, it is important to have simple indicators of program effectiveness across all academic programs that are defensible, comparable and relatively easy to obtain. The academic program indicators proposed here will provide a relative rating of how well academic programs fulfill University goals, and would serve as one important input into strategic decision-making.

Although gauging program effectiveness is a complex matter, it is not practical to use contemporaneous, qualitative, report-length reviews of each program for this purpose. The academic program review process currently used by the Faculty Senate does serve the role of complete assessment of each individual program in all its uniqueness, and will continue to provide this in-depth analysis.

The Team’s findings are discussed below. As with the criteria, there was a significant and involved process aimed at identifying appropriate metrics (Appendix B).

PROPOSED METRICS AND DATA SETS

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Attribute</th>
<th>Available or Obtainable Metric</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>#1 Differentiates UVM from its peers, resulting in distinction, identity and competitiveness.</td>
<td>n/a</td>
<td></td>
<td>Shaped partly by the other 3 criteria and may operate in different ways for different programs; not easy to find suitable metrics, although qualitative analysis at a later stage of strategic evaluation may be possible.</td>
</tr>
<tr>
<td>#2 High quality faculty who deliver superior teaching, scholarship and research.</td>
<td>Superior teaching</td>
<td>Implement common questions on teaching evaluations (see Appendix C.1)</td>
<td>Adoption currently being debated in Faculty Senate</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Superior scholarship and research</td>
<td>Implement Academic Analytics Faculty Scholarly Productivity Database (see Appendix C.2)</td>
<td>Must ensure that departments at UVM are compared to similar ones elsewhere.</td>
<td></td>
</tr>
</tbody>
</table>
| #3 Exceptional academic experience that attracts, engages, and retains high-quality and diverse undergraduate and graduate students through degree completion and prepares them to succeed now and in the future. | High-quality students | SAT/ACT scores and ACE scores of undergraduates by major.  
GRE scores of graduate students by major.  
Note: Throughout, since the unit of analysis is the department/program, we include all majors offered in it. |
| Diverse students | Percentage of ALANA, international and first-generation students among department's majors. |
| Retention through degree completion | Percentages of department's students completing bachelors, masters, and doctoral degrees. |
| Exceptional academic experience that engages students and prepares them to succeed now and in the future. | Undergraduates: responses to UVM Survey of Graduates (see Appendix C.3). Questions on graduate school, employment, quality of preparation, major quality, intellectual atmosphere, and academic advising.  
Concurrently implement a census with same questions administered at end of student's college career as a requirement of graduation. |
| | Choosing what years to degree are appropriate. |

Response rates average over 30% but vary, requiring pooling over a number of years; number of graduates and responses is low for some majors.
Graduate students: Implement *UVM Survey of Graduates* for this population.

| #4 Committed to community engagement and addressing important social needs. | Implement faculty member survey modeled on Michigan State University’s *Outreach and Engagement Measurement Instrument* (see Appendix C.4). |

These data sources will provide a rich array of information on each of the three criteria at the major and departmental level and over multiple years. It may be desirable to summarize the information from the various metrics into a single indicator for each criterion, and then into an overall strategic index value. For example, with these metrics, a single index for measuring SV might be calculated by assigning points to the various metrics or by using an explicit weighting scheme. However, as noted earlier, even if we arrive at a single index, that by itself would not be used to make strategic recommendations regarding programs. SVFA is just one of several methods and efforts that will be used to identify opportunities to reduce or avoid costs and improve productivity in a way that enhances the academic experience as fully as possible while ensuring UVM’s long-term financial viability. Other efforts to identify potential savings have been launched including business process improvement, organizational restructuring, more effective use of Restricted Funds, and through Benchmarking staffing levels and costs against the resource practices of other institutions.

**The Road That Lies Ahead**

The next important step is for the campus community to engage in well-informed and inclusive dialogue about the potential of using a valid and reliable set of criteria and metrics to assess the strategic value of program offerings. The input and feedback received from these conversations will help shape the subsequent analytical work that will be done. A number of questions will need to be addressed, for example:

- Do these criteria capture the values of UVM as an institution of higher learning?
- Are there other data sources and metrics that should be considered for these criteria?
- What level of precision is appropriate for metrics and indicators? This approach is not intended to be exact, but instead to provide comparators for comparing groups of programs across the criteria that are selected.
- How can programs with low numbers (and thus a small “n”) be treated?
- What technical and statistical options are appropriate for deriving indices?
FINANCIAL ATTRACTIVENESS

Introduction

The second component of the SVFA Analysis is “Financial Attractiveness” (FA). FA is intended as a simple measure of the financial performance of a particular department or unit relative to other departments across UVM. It is derived by comparing the net tuition revenue attributable to the department – from students enrolled as department majors and/or taught by department faculty – with the various direct costs associated with operating the department – supplies and services used by the department, department faculty and staff salaries, etc.

FA as presented here excludes two categories of shared cost, though this does not limit its usefulness. It excludes costs of the space the department uses, utilities like gas and electric, as well as shared university services such as security, maintenance, custodial, etc. It also excludes all the shared administrative functions necessary to run a university – admissions, enrollment management, financial services, research support, endowment management – as well as shared functions such as finance, human resources, IT and the like required to manage any large institution. The sole purpose of FA is to facilitate a reasonable and consistent comparison of financial performance across academic departments and units within UVM.

Data Collection and Validation

The first step necessary to calculate FA was to collect and validate UVM’s data on department expenses and revenues.

EXPENSE DATA

For managing and reporting its finances, UVM uses a financial database system (PeopleSoft) to record all revenues and expenses. PeopleSoft sorts all expenditures into one of a large number of predefined expense categories (e.g., “domestic airfare” or “equipment rental” or “tenured faculty salaries”) and links each expenditure to the specific college, department, and/or administrative function that incurred the expense.

In the PeopleSoft system, “Department” is a required field that must be identified (based on an established list of “departments”) when any expenditure is entered into the system. The benefit of this is that every expenditure in the system is tied to a specific department. The limitation is not all programs that might be considered “departments” are so defined in PeopleSoft.

For the purposes of the analysis, the CSPI team extracted and verified four years (2008-2011) of data on University costs and expenditures from the PeopleSoft database. Outputs from the model were built from the same source data as are UVM’s financial statements. This extensive data source provides the financial information for the SVFA analysis.
NET TUITION REVENUE: OVERALL DISCUSSION

The PeopleSoft financial system data on tuition revenues and financial aid is in aggregate and is not attributed to specific colleges or academic departments. The building of revenue figures for the FA analysis thus involves allocation of net tuition revenue to individual departments. The allocation method includes:

- Number and mix of undergraduate and graduate student credit hours taught by each department and its faculty.
- Number of undergraduate students enrolled as majors in each department.

There are two ways of categorizing students: in-state versus out-of-state and graduate students versus undergrads. The total gross tuition for 2011 across all four categories was $259.4 million. The majority of students received some financial aid, however. To capture student financial aid across the four categories, data from the University’s Banner Student Information System was accessed and the UVM finance team supporting the CSPI team’s efforts was able to establish the overall “net” tuition for 2011 ($170.4 million) as well as the split of that overall figure into four distinct student pools:

- In-State Undergraduate Net Tuition = $19.6 million
- Out-of-State Undergraduate Net Tuition = $142.4 million
- In-State Graduate Net Tuition = $3.9 million
- Out-of-State Graduate Net Tuition = $4.5 million

In attributing net tuition to departments, the FA measure uses a combination of the department’s student credit hours and its number of majors. These are discussed in turn.

Student Credit Hours

One way of allocating revenues to departments is student credit hours (SCH). SCH are a good measure of each department’s relative teaching workload – independent of whether the students being taught are enrolled in the department or even in the college in which the department resides.

Data on SCH by UVM college and department, split into the same four student categories as net tuition revenue, are maintained in the Financial Aid and Student Accounting modules of the Banner Student Information System and are regularly extracted and tracked by UVM’s Office of Institutional Research. To support the SVFA initiative, UVM’s finance and institutional research teams collected and consolidated from the Banner System all SCH data for 2011, which is summarized (at the college level) in the following table:
Enrollment / Majors

Another way of allocating net tuition to individual departments would be the relative number of students enrolled as majors in each department. Majors are a good measure of each department’s relative ability to attract students – regardless of where those students might take classes once they are enrolled as a major.

UVM’s Office of Institutional Research maintains up-to-date records of undergraduate student enrollment by college and declared majors within each college in the Student module of the Banner Student Information System. UVM’s finance and institutional research teams collected and consolidated from the Banner System all enrollment and major data for 2011, which is summarized (at the college level) in the table to the right:

The team did not collect data on graduate student enrollment by department. In general, graduate students take virtually all their classes in the department in which they are enrolled. As a result, an allocation of graduate student net tuition to departments based on enrollments should produce results almost identical to an allocation based on graduate SCH, and the CSPI team concluded that SCH was the preferred method for allocating graduate student tuition.

Allocating Net Tuition Revenue to Departments

As noted earlier, the CSPI team had available to it two alternative methodologies for allocating undergraduate net tuition to academic units:

- Allocation on the basis of undergraduate SCH, which recognizes each department’s role in teaching students – regardless of the department or school in which those students may be enrolled or majoring; and
Allocation on the basis of undergraduate enrollments / majors, which recognizes each department’s role in attracting, recruiting, advising and mentoring students who have elected the department for their major – regardless of the departments in which those students may take courses.

Fortunately, market-based benchmarks do exist to help address the question of the relative weighting of SCH and majors. This is seen in the move towards “Responsibility Center Management” (RCM) at a number of public universities, whose approaches are seen in the chart below. The mix of allocations detailed in this chart suggest that most schools believe the time and costs to a department of delivering courses to students is about three times that of acquiring and “managing” students majoring in that department – but that the latter activity cannot be entirely disregarded.

**RCM Benchmarks: Allocating Tuition Revenue to Departments**

Based on these benchmarks, we propose to allocate revenues as follows:

- 75% based on SCH taught by the department
- 25% based on majors enrolled in the department

Over half the institutions using RCM in our benchmark group (including the University of Minnesota, who pioneered the RCM approach) use this 75/25 split in their tuition allocation.
GRADUATE STUDENT NET TUITION ALLOCATION

As noted earlier, graduate students take virtually 100% of their courses in the department in which they are enrolled, so there is no inherent issue with allocating 100% of graduate tuition revenue based on graduate SCH. Thus, the finance group supporting the CSPI took the total 2011 pools of net tuition revenue for in-state and out-of-state graduate students, divided these by the number of in-state and out-of-state graduate SCH for 2011, and derived an “average 2011 net tuition per graduate SCH” for in-state and out-of-state SCH. These averages were then multiplied by the number of in-state and out-of-state credit hours actually taught by each department in 2011 to determine each department’s allocation of graduate student tuition.

The following graphic summarizes the proposed methodology for allocating 2011 net tuition revenue to departments, using the CAS Biology Department as an illustrative example:

CAS Biology Department 2011

Calculating Department Costs

Once basic data on costs, tuition revenues, SCH, and enrolled majors had been collected and reviewed to ensure accuracy, the costs and net tuition revenue associated with each individual UVM academic department could be calculated.

DIRECT DEPARTMENT EXPENSES

Using the pivot table within the CSPI Financial Model, the CSPI Team was able to extract direct 2011 expenses for every department to be included in the FA analysis – in other words, all the expenses for which the department was directly responsible. The figure below shows a snapshot of the CSPI Financial Model, highlighting 2011 direct expenses by department.
In addition to direct costs, the CSPI proposed to allocate to departments two sets of closely related "shared" expenses:

- **Direct Support expenses**
- **Graduate College Expenses**

### DIRECT SUPPORT EXPENSES

Within each UVM college exists a set of activities that directly support the work of the academic units, faculty, and students within that school or college -- the Dean's Office, the college's student service function, as well as miscellaneous shared college-specific functions such as the plant & animal biology facility in CALS, the language resource center in CAS, and the CEMS computer facility.

Because these shared costs are central to the departments' carrying out their academic missions, the CSPI team proposed that these costs be allocated to departments based on each department's direct expenses relative to the total of direct expenses across all departments within that school.

### GRADUATE COLLEGE EXPENSES

The Graduate College exists to serve the needs of graduate students and faculty across all colleges and academic disciplines. It has no students per se, and as a result no tuition revenue against which expenses might be compared to assess financial attractiveness. In this respect the Graduate College more closely resembles a Dean's Office than it does an academic department. As a result, the CSPI team proposed to allocate the costs of the Graduate College to academic departments based on each department’s level of graduate teaching activity (i.e., Graduate Student Credit Hours).
The table below illustrates, the total expense of the Graduate College would be allocated to departments at a rate of $66.32 per graduate student credit hour taught by the department.

<table>
<thead>
<tr>
<th>Graduate College Expense Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total 2011 Graduate College Expense (000)</td>
</tr>
<tr>
<td>Total 2011 Graduate SCH (000)</td>
</tr>
<tr>
<td>Grad College Expense per Grad SCH</td>
</tr>
</tbody>
</table>

The CSPI team proposes that for the purposes of the FA calculation in the SVFA analysis, “Total Department Expense” should be defined as follows:

\[
\text{Total Department Expense} = \text{Direct Department Expense} + \text{Allocated College DS Expense} + \text{Allocated Grad College Expense}
\]

**“Financial Attractiveness” (FA) Metric**

Having established methodologies for calculating Total Department Expense and Department Net Tuition, the CSPI team needed to define a single metric that would relate these two figures and could be used in the SVFA analysis to compare the relative financial performance of different academic units. After exploring a number of options, the CSPI team proposed the following FA metric:

\[
\text{FA} = \frac{\text{Allocated Department Net Tuition} - \text{Total Department Expense}}{\text{Allocated Department Net Tuition}}
\]

This FA metric is a relative measure of how effective a department is in attracting students to generate net tuition revenue while managing direct costs. Relative to the alternatives considered, this definition of FA offers several advantages:

- It is independent of department size – a small department can score just as high on FA as a large one. By contrast, a metric based on the simple difference between Department Net Tuition and Department Expense would inherently tend to favor large departments over smaller ones.
- It can be positive or negative. This FA metric turns negative when Department Expenses exceed Department Allocated Net Tuition, thereby providing a clear indicator of departments in which financial performance warrants further examination.

- It is a simple yet comprehensive measure of the financial contribution of each department, which takes into account costs incurred.

Summary

“Financial Attractiveness” (FA) is intended as a simple measure of the financial performance of a particular department or unit relative to other departments across UVM. It is derived by comparing the allocated net tuition generated by the department with the costs associated with operating the department. While we recognize the limitations in this approach, it will provide a reasonable comparator across the programs and departments of the University. The next important step for FA is to work with the Financial and Physical Planning Committee of the Faculty Senate to build understanding of this tool across campus.

Closing

The SVFA analysis was developed to help us better understand and examine the core academic experience of the institution. It consists of two components: strategic value - the degree to which programs are aligned with UVM’s mission; and financial attractiveness - a measure of the financial performance of a department relative to other departments across UVM. The SVFA has been developed as part of a collaborative and consultative process that was intended to provide the campus with a framework for the important discussion that lies ahead. As a community, we must now engage in a conversation about the potential for using criteria and metrics to assess the strategic value of program offerings.

This discussion can be expanded as necessary, and will include a Town Meeting for Department Chairs; a Town Meeting for Faculty Senators; evaluation and recommendations from the Faculty Senate Executive Council and a group of University Distinguished Professors and University Scholars; consideration by a Joint Committee of the central administration and the Faculty Senate; and final consideration by the Provost and President.

Our constructive engagement in this process will help develop a tool that will be useful in understanding our cost structure, and in guiding future programmatic and investment decisions. It will help us build a shared understanding of who we are as a University; it will guide us in achieving our vision for what we can become; and it will help ensure the financial and programmatic viability of the University for those who come after us and will surely face a more challenging environment than the one we were fortunate to have enjoyed in the past.
ENGAGING IN A CONVERSATION ABOUT
THE STRATEGIC VALUE
AND FINANCIAL ATTRACTIVENESS
OF ACADEMIC PROGRAMS

APPENDICES

SUBMITTED ON BEHALF OF THE
Strategic Initiatives Project Team
TO
the Campus Community for Comment and Discussion

FEBRUARY 14, 2012
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Appendix A: Process Followed in Arriving at the Four Criteria for Strategic Value

This effort began in early July and has evolved over the past few months. The remainder of Section I describes the work done and progress made from July through October.

**JULY AND AUGUST**

The CSPI Team worked to develop a set of strategic criteria with associated metrics during late July and early August. At the August 26th SIP Team meeting, CSPI shared a straw model list of six criteria and a long list of metrics for consideration and review. Six small groups of SIP Team members (shown in the table below) used the straw model list as their point of departure and reviewed, vetted and proposed improvements.

<table>
<thead>
<tr>
<th>Small Groups that Engaged the Criteria and Metrics on August 26th</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
</tr>
<tr>
<td>Cate</td>
</tr>
<tr>
<td>Bazluk</td>
</tr>
<tr>
<td>Goodnight</td>
</tr>
<tr>
<td>Belliveau</td>
</tr>
<tr>
<td>Burgmeier</td>
</tr>
</tbody>
</table>

This initial straw model list of criteria and metrics engaged on August 26th is noted below.

<table>
<thead>
<tr>
<th>Straw Model Engaged at the August 26th SIP Team Meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Suggested Criteria</strong></td>
</tr>
<tr>
<td>1. Differentiates UVM from its peers, resulting in distinction and distinctiveness in an increasingly competitive academic marketplace.</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
### Suggested Criteria

#### 2. Appeals to prospective students, thereby increasing the number of top-tier students who receive their degrees from UVM.

<table>
<thead>
<tr>
<th>Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Unit applications, yield and/or graduation rates</td>
</tr>
<tr>
<td>b. Average scores of matriculating out-of-state students in a unit vs. UVM averages on standardized exams (SAT, ACT, GRE, GMAT, etc.)</td>
</tr>
<tr>
<td>c. Average scores of matriculating in-state students in a unit vs. UVM averages on standardized exams (SAT, ACT, GRE, GMAT, etc.)</td>
</tr>
<tr>
<td>d. % of matriculating students in a unit ranked in top quartile of high-school graduating class (college class for grad students)</td>
</tr>
<tr>
<td>e. Average rating of unit courses/offernings on student satisfaction surveys</td>
</tr>
<tr>
<td>f. Total student credit hours taught by unit (note: formula must be developed to allocate credit hours between originating and delivering units)</td>
</tr>
<tr>
<td>g. Net transfer rate in (external and internal transfers, less transfers out of UVM)</td>
</tr>
<tr>
<td>h. % of unit’s student recruitment target achieved</td>
</tr>
</tbody>
</table>

#### 3. Provides an exceptional and practical academic experience that prepares students for success as leaders in the 21st century.

<table>
<thead>
<tr>
<th>Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Number or % of experiential or service learning offerings/opportunities provided by unit to students</td>
</tr>
<tr>
<td>b. % undergraduates in unit who complete senior scholarly, creative and/or public service projects</td>
</tr>
<tr>
<td>c. Unit alumni success and/or satisfaction levels</td>
</tr>
<tr>
<td>d. Participation rates of unit alumni in annual giving and/or capital campaigns</td>
</tr>
<tr>
<td>e. Employment and grad school matriculation rate of unit students at time of graduation</td>
</tr>
<tr>
<td>f. Participation of unit students in extra-curricular activities that allow them to practice leadership skills within a community</td>
</tr>
<tr>
<td>g. Unit student internships that serve broader societal needs</td>
</tr>
<tr>
<td>h. Alignment of unit offerings / curricula with BLS Labor Force/Employment Projections</td>
</tr>
<tr>
<td>i. NSEE Benchmark Scores (by college)</td>
</tr>
</tbody>
</table>

#### 4. Attracts and retains high quality faculty who deliver leading edge research, teaching and applications.

**Overall Metrics**

<table>
<thead>
<tr>
<th>Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Applications, yield and/or retention rates for unit faculty</td>
</tr>
<tr>
<td>b. Number of publications, citations and/or national awards earned</td>
</tr>
<tr>
<td>c. Number or % of unit faculty who are recognized and frequently cited / quoted as regional or national experts in their field</td>
</tr>
<tr>
<td>d. “Departments That Work” indicators of quality programs</td>
</tr>
</tbody>
</table>

**Leading Edge Research**

<table>
<thead>
<tr>
<th>Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>e. Quantity of research funds generated by unit – (1) on absolute $ basis, (2) per faculty FTE, and (3) relative to peer institutions</td>
</tr>
</tbody>
</table>

**Leading Edge Teaching**

<table>
<thead>
<tr>
<th>Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>f. Unit teaching awards</td>
</tr>
<tr>
<td>g. Average rating of unit faculty on student satisfaction surveys</td>
</tr>
<tr>
<td>h. Measures (if any) of student demand for specific courses</td>
</tr>
</tbody>
</table>

**Leading Edge Applications**

<table>
<thead>
<tr>
<th>Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Number of patents, royalties, jobs produced by unit</td>
</tr>
</tbody>
</table>
### Straw Model Engaged at the August 26th SIP Team Meeting

<table>
<thead>
<tr>
<th>Suggested Criteria</th>
<th>Potential Metrics</th>
</tr>
</thead>
</table>
| 5. Draws external funding for leading edge research, teaching and applications. | a. Quantity of research funds generated by unit – (1) on absolute $ basis, (2) per faculty FTE, and (3) relative to peer institutions  
| | b. Quantity of other external funds (gifts, donations, endowments) generated by unit  
| | c. Number of patents, royalties, jobs produced by unit  
| | d. Number of publications, citations and/or national awards  
| | e. Participation rates of unit alumni in annual giving and/or capital campaigns  
| | f. % of unit's target for acquisition of donor funds achieved  
| | 6. Demonstrates UVM's commitment to its responsibilities as a Land Grant university. | a. Credit hours taught in areas directly related to the mission of a Land Grant institution  
| | b. Alignment of unit's offerings with defined needs and/or aspirations of the State of Vermont  
| | c. Number or % of experiential or service learning offerings/opportunities provided by unit to students  
| | d. Unit student internships that serve broader societal needs  
| | e. Unit sponsored/supported outreach activities that use knowledge and research for the common good.  
| | f. Number or % of faculty members involved in activities that serves broader societal needs.  

Working from the above list, the small groups modified the criteria and metrics, rank-ordered criteria by importance, and rank-ordered metrics within each criterion based upon importance and presumed availability of valid data.

The collective view of the SIP Team was that while the straw model lists were directionally valid and valuable it would be even more valuable if the number of criteria and metrics were both reduced. In addition, the SIP Team asked the CSPI Team to work closely with the Office of Institutional Research to further refine the list of metrics so as to ensure that valid and comparable data would be readily available and/or easily collected.

**SEPTEMBER**

During the month of September CSPI took the SIP Team's input and incorporated it into its work. Specifically, CSPI reworded the criteria to sharpen focus and reduced the number of criteria from six to four. The revised criteria are noted below.

- **Criterion #1**: Differentiates UVM from its peers, resulting in distinction, identity and competitiveness.
- **Criterion #2**: Attracts and retains high quality faculty who deliver superior teaching, scholarship and research.
- **Criterion #3**: Provides an exceptional academic experience that attracts, engages, and retains high-quality and diverse undergraduate and graduate students through degree completion and prepares them to succeed now and in the future.
- **Criterion #4**: Demonstrates UVM’s commitment to community engagement and addressing important social needs.
Appendix B: Exploration of Various Metrics to Characterize Criteria for Strategic Value

Once the CSPI Team had refined the criteria, it again engaged the issue of metrics. Given the input received from the SIP Team in August, the number of potential metrics actually increased for several criteria. CSPI then used a structured process to evaluate and prioritize the metrics in order to reduce the number of metrics for each criterion to a more manageable few.

Evaluating Metrics on Two Dimensions

Each Team Member worked individually to assess the proposed set of metrics for each criterion against the following two dimensions:

1. **Availability / Speed of Access** – the question each team member considered and answered was “how available is the data for each metric?” To keep the assessment as stark and as simple as possible, team members responded in one of two ways. Either the data was deemed to be:
   - “Readily Available,” or
   - “Significant time and effort would be needed to obtain the data”

2. **Importance to the Assessment** – the question each team member considered and answered was “how valuable is the metric as an indicator of the criterion?” Again, team members responded in one of two ways. Either the metric was deemed to be:
   - “Nice to Have” – meaning that while the metric might be useful, it is not essential for measuring the criterion; or
   - “Must Have” – meaning that the metric, if available, would be essential for measuring the criterion

The compilation of team member responses about importance and availability is shown in the matrixes on the next two pages and the number of “votes” received is indicated as well.
### Criterion #1: Differentiates UVM from its peers, resulting in distinction, identity and competitiveness.

<table>
<thead>
<tr>
<th>Importance</th>
<th>Critical / High Value</th>
<th>&quot;Nice to Have&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Position in unit-specific regional or national rankings</strong></td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td><strong>Recognized &quot;uniqueness&quot; of unit or its offerings on a state, regional, or national basis</strong></td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td><strong>&quot;Expert&quot; citations of faculty members, representatives, or the unit itself</strong></td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td><strong>Number or % of unit faculty recognized and frequently cited / quoted as regional or national experts in their field</strong></td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td><strong>Other: Likelihood a program/unit could move into top tier in its particular reference group as a result of additional investment</strong></td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>

### Criterion #2. Attracts and retains high quality faculty who deliver superior teaching, scholarship and research

<table>
<thead>
<tr>
<th>Importance</th>
<th>Critical / High Value</th>
<th>&quot;Nice to Have&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Faculty application / yield / retention rates</strong></td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Faculty satisfaction survey results</strong></td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td><strong>Number of publications, citations and/or national awards earned</strong></td>
<td>2</td>
<td>7</td>
</tr>
<tr>
<td><strong>Number or % of unit faculty recognized and frequently cited / quoted as regional or national experts in their field</strong></td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td><strong>Departments That Work&quot; indicators of quality programs</strong></td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td><strong>Unit teaching awards</strong></td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td><strong>Average faculty rating on student surveys</strong></td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td><strong>Measures (if any) of student demand for specific courses</strong></td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Research funds generated by unit - (1) absolute $ basis, (2) per faculty FTE, and (3) relative to peer institutions</strong></td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Number of patents, royalties, jobs produced by unit</strong></td>
<td>1</td>
<td>8</td>
</tr>
</tbody>
</table>

### Availability / Speed of Access

<table>
<thead>
<tr>
<th>Availability / Speed of Access</th>
<th>Readily Available</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Significant Time &amp; Effort Needed to Obtain</strong></td>
<td><strong>Readily Available</strong></td>
</tr>
</tbody>
</table>

7
Criterion #3: Provides an exceptional academic experience that attracts, engages, and retains high-quality and diverse undergraduate and graduate students through degree completion and prepares them to succeed now and in the future.

<table>
<thead>
<tr>
<th>Critical / High Value</th>
<th>Significant Time &amp; Effort Needed to Obtain</th>
<th>Readily Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Unit applications / yield / graduation rates</td>
<td>1</td>
<td>13</td>
</tr>
<tr>
<td>b. Composite measure of matriculating student quality (test scores, class rank, etc.)</td>
<td>1</td>
<td>9</td>
</tr>
<tr>
<td>c. Average rating of unit course outcomes as measured by student satisfaction surveys</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>d. Net transfer rate in (at least one) internal transfers, less transfers out of UVM</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>e. % of student recruitment target achieved</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>f. Unit cross-application / -enrollment results</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>g. Number of or % of experiential or service-learning opportunities provided to students</td>
<td>1</td>
<td>6</td>
</tr>
<tr>
<td>h. % undergrads completing senior scholar, creative and/or public service projects</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>i. Unit alumni success / satisfaction levels</td>
<td>10</td>
<td>2</td>
</tr>
<tr>
<td>j. Participation rates of unit alumni in annual giving and/or capital campaigns</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>k. Participation of students activities that allow them to develop leadership skills</td>
<td>11</td>
<td>1</td>
</tr>
<tr>
<td>l. Employment / grad school matriculation rate of unit students at time of graduation</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td>m. NSSE Benchmark Scores (by college)</td>
<td>1</td>
<td>8</td>
</tr>
</tbody>
</table>

Criterion #4: Demonstrates UVM’s commitment to community engagement and addressing important societal needs.

<table>
<thead>
<tr>
<th>Critical / High Value</th>
<th>Significant Time &amp; Effort Needed to Obtain</th>
<th>Readily Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Credit hours taught in areas directly related to the mission of a Land Grant institution</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>b. Alignment of unit's offerings with defined needs and/or aspirations of the State of Vermont</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>c. Number or % of experiential or service learning opportunities provided by unit to students</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>d. Unit student internships that serve broader societal needs</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>e. Unit sponsored/supported outreach activities that use knowledge and research for the common good</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>f. Number of or % of faculty members involved in activities that serve broader societal needs</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>g. Other:</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Critical / High Value</th>
<th>Significant Time &amp; Effort Needed to Obtain</th>
<th>Readily Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Credit hours taught in areas directly related to the mission of a Land Grant institution</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>b. Alignment of unit’s offerings with defined needs and/or aspirations of the State of Vermont</td>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td>c. Number or % of experiential or service learning opportunities provided by unit to students</td>
<td>6</td>
<td>2</td>
</tr>
<tr>
<td>d. Unit student internships that serve broader societal needs</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>e. Unit sponsored/supported outreach activities that use knowledge and research for the common good</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>f. Number of or % of faculty members involved in activities that serve broader societal needs</td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td>g. Other:</td>
<td>7</td>
<td>0</td>
</tr>
</tbody>
</table>
Further Triage Was Required Which Led CSPI to Index the Metrics

As evidenced by the compilation of team members' votes, the raw data did not provide a clear picture of potential prioritization among the metrics. The reason for this lack of clarity is that the approach had not yet taken into account the relative trade-offs between the availability of data and the importance/value of each metric to the assessment. Hence, further triage was still required.

The CSPI team constructed a simple index to deal with the matter of relativity and this enabled further triage of the metrics. The formula used to index the metrics is noted below.

\[
\text{Index} = \# \text{ of “Must Have”} + \frac{1}{2} \# \text{ of “Nice to Have”} - \# \text{ of “Significant Effort Needed”}
\]

As shown below, applying the above formula produced clearer rankings of proposed metrics for Criteria 1, 2 and 3. The metrics for Criterion 4, however, remained rather cloudy (to be discussed later). The indexed ranking of potential metrics is shown below.¹

**Criterion 1: “Differentiation”**

<table>
<thead>
<tr>
<th>Team Index Ranking of Potential Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>c. “Expert” citations of faculty members, representatives, or the unit itself</strong></td>
</tr>
<tr>
<td><strong>a. Position in unit-specific regional or national rankings</strong></td>
</tr>
<tr>
<td><strong>d. Number or % of unit faculty recognized and frequently cited / quoted as regional or national experts in their field</strong></td>
</tr>
<tr>
<td><strong>b. Recognized “uniqueness” of unit or its offerings on a state, regional, or national basis</strong></td>
</tr>
</tbody>
</table>

Index = \# of “Must Have” + \frac{1}{2} \# of “Nice to Have” - \# of “Significant Effort Needed”

¹ NOTE: Index scores < 0 have been reset to 0. Source: CSPI Team scores on SV metrics.
Criterion 2: “High Quality Faculty”

### Team Index Ranking of Potential Metrics

<table>
<thead>
<tr>
<th>Metric</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Research funds generated by unit (1) absolute $ basis, (2) per faculty FTE, and (3) relative to peer institutions</td>
<td>16.0</td>
</tr>
<tr>
<td>c. Number of publications, citations and/or national awards earned</td>
<td>12.0</td>
</tr>
<tr>
<td>h. Measures (if any) of student demand for specific courses</td>
<td>11.5</td>
</tr>
<tr>
<td>g. Average faculty rating on student surveys</td>
<td>9.5</td>
</tr>
<tr>
<td>j. Number of patents, royalties, jobs produced by unit</td>
<td>9.5</td>
</tr>
<tr>
<td>f. Unit teaching awards</td>
<td>8.0</td>
</tr>
<tr>
<td>a. Faculty application / yield / retention rates</td>
<td>7.5</td>
</tr>
<tr>
<td>b. Faculty satisfaction survey results</td>
<td>6.0</td>
</tr>
<tr>
<td>d. Number or % of unit faculty recognized and frequently cited / quoted as regional or national experts in their field</td>
<td>2.0</td>
</tr>
<tr>
<td>e. “Departments That Work” indicators of quality programs</td>
<td>0.0</td>
</tr>
</tbody>
</table>

Index = # of “Must Have” + ½ # of “Nice to Have” - # of “Significant Effort Needed”

Criterion 3: “Exceptional Academic Experience”

### Team Index Ranking of Potential Metrics

<table>
<thead>
<tr>
<th>Metric</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Unit applications / yield / graduation rates</td>
<td>14.5</td>
</tr>
<tr>
<td>e. % of student recruitment target achieved</td>
<td>11.0</td>
</tr>
<tr>
<td>d. Net transfer rate in (external and internal transfers, less transfers out of UVM)</td>
<td>10.5</td>
</tr>
<tr>
<td>m. NSSE Benchmark Scores (by college)</td>
<td>10.5</td>
</tr>
<tr>
<td>b. Composite measure of matriculating student quality (test scores, class rank, etc.)</td>
<td>8.0</td>
</tr>
<tr>
<td>c. Average rating of unit courses/offerings on student satisfaction surveys</td>
<td>6.0</td>
</tr>
<tr>
<td>f. Unit cross-application / -enrollment results</td>
<td>5.5</td>
</tr>
<tr>
<td>g. Number or % of experiential or service learning opportunities provided to students</td>
<td>5.5</td>
</tr>
<tr>
<td>j. Participation rates of unit alumni in annual giving and/or capital campaigns</td>
<td>5.5</td>
</tr>
<tr>
<td>l. Employment / grad school matriculation rate of unit students at time of graduation</td>
<td>5.5</td>
</tr>
<tr>
<td>h. % undergrads completing senior scholarly, creative and/or public service projects</td>
<td>5.0</td>
</tr>
<tr>
<td>i. Unit alumni success / satisfaction levels</td>
<td>1.5</td>
</tr>
<tr>
<td>k. Participation of students activities that allow them to develop leadership skills</td>
<td>0.0</td>
</tr>
</tbody>
</table>

Index = # of “Must Have” + ½ # of “Nice to Have” - # of “Significant Effort Needed”
Criterion 4: “Community Engagement/Societal Needs”

Team Index Ranking of Potential Metrics

<table>
<thead>
<tr>
<th>Metric</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>c. Number or % of experiential or service learning offerings/opportunities provided by unit to students</td>
<td>4.0</td>
</tr>
<tr>
<td>e. Unit sponsored/supported outreach activities that use knowledge and research for the common good</td>
<td>4.0</td>
</tr>
<tr>
<td>a. Credit hours taught in areas directly related to the mission of a Land Grant institution</td>
<td>2.5</td>
</tr>
<tr>
<td>d. Unit student internships that serve broader societal needs</td>
<td>2.5</td>
</tr>
<tr>
<td>f. Number or % of faculty members involved in activities that serve broader societal needs</td>
<td>1.0</td>
</tr>
<tr>
<td>b. Alignment of unit’s offerings with defined needs and/or aspirations of the State of Vermont</td>
<td>0.0</td>
</tr>
</tbody>
</table>

Index = # of “Must Have” + ½ # of “Nice to Have” - # of “Significant Effort Needed”

As noted earlier, although indexing yielded a clearer set of potential metrics for Criteria 1, 2 and 3, it did not do likewise for Criterion 4. The results shown above indicate that metrics for Criterion 4 remain cloudy as reflected by the lack on any metric truly emerging to top the list. In addition, the indexed scores of all the metrics for Criterion 4 are relatively weak, particularly when compared with the metrics for Criteria 2 and 3, thus further complicating our ability to use quantitative measures for assessing academic programs against the criterion of “community engagement and addressing societal needs.”
Appendix C.1: Common Teaching Evaluation Questions


Common Course Evaluation Teaching Index (items)
(informed by NSSE items and course evaluation instruments employed at other institutions; agree/disagree 5-point Likert-type scale for first set of items and a great deal/not at all scale for second set of items):

- I learned a lot in this course.
- To what extent did this course challenge you to do your best work?

- To what extent did this course positively impact your knowledge, skills, or personal development in the following areas:
  - Thinking critically and analytically
  - Writing clearly and effectively
  - Information literacy
  - Analyzing quantitative problems
  - Solving complex real-world problems
  - Understanding people of other racial/ethnic backgrounds
  - Examining the strengths/weaknesses of my own views and ideas
  - Learning something that changed the way I understand a topic or issue

Note: Not all course impact items may apply equally to all courses/programs and could be weighted accordingly
Appendix C.2: Academic Analytics Faculty Scholarly Productivity Index

From Academic Analytics Information Kit: The Faculty Scholarly Productivity (FSP) 2009 Database, September 2011.

Faculty Scholarly Productivity Index (FSPI)
(likely will be updated to 2010 for our use)
"The 2009 Faculty Scholarly Productivity Index (FSPI) contains the same national data as the FSP Database matched to 13 separate variable in the five areas of activity:"

- Book publications (2 variables)
- Journal article publications (2 variables)
- Journal article citations (3 variables)
- Federal and foundation grants (4 variables)
- Professional honors and awards (2 variables)

Sources:
Books: The British Library and Baker and Taylor (2003-2009; 65,000 titles to 35,000 authors, co-authors, editors, co-editors, translators)
Journal articles: Scopus (2006-2009; 1.1 million article publications to 215,000 individuals; includes reviewed journals, conference proceedings, trade publications and book series)
Journal article citations: Scopus (10 million citations for articles published 2005-2009)
Federal and foundation grants: 13 federal agencies matched to PI at lead institution (133,000 grants matched to 63,000 individuals totaling over $27 in annualized funding)
Professional honors and awards: 438 governing societies matched to 46,072 recipients; awards must be open to all people in discipline at national or international level; durations for inclusion varies from 10 to 50 years depending on prestige of honor; awards are weighted by duration, for awards given annually to a large number; more competitive awards are matched in ten year increments

Note: All faculty are matched using a single unique identifier (informed by name, location, subject matter, writing/text analysis) and checked by the institution
Appendix C.3: UVM Survey of Graduates

From Office of Institutional Research, *UVM Survey of 2010 Graduates* (also called *Recent Graduates Survey*).

**Academic Experience Index (Items)**

Indicate your opinion of UVM on each of the following items using the scale of 1 to 5 (poor to excellent) for first set; satisfaction scale (very satisfied to very dissatisfied) for second set; response options defined by degree level/type for third set:

- Quality of academic major
- Quality of faculty at UVM
- Student/faculty relations
- Extra-curricular opportunities*
- Campus atmosphere*
- UVM library system*
- Overall academic reputation of UVM*
- Intellectual environment at UVM
- Variety of courses available
- Social atmosphere*
- Student support services*
- UVM computing facilities & services*

- How satisfied are you with your current position?

- In terms of long-range goals, what is the highest academic degree you plan to achieve?

*Note: We assume that for most items, a graduate's experience and responses are largely shaped by the major program. Those items marked with an asterisk (*) are candidates for exclusion from the index if they are largely outside the scope and range of influence of an academic program.*
Appendix C.4: Outreach and Engagement Measurement

Informed by and adapted from Michigan State University's Outreach and Engagement Measurement Instrument.

**Outreach and Engagement Index (Items)**
Focused UVM Questionnaire for Faculty (informed by OEMI Instrument) based on definition of outreach and engagement activity provided in introduction section of instrument and designated time frame (score based on a tally across traits and activity impact items with weighting for impact; could be averaged by program):

- Did you engage in any outreach and engagement activity from Fall, 2010 through Summer, 2011?
- Approximately how many hours per week did you spend on average on outreach and engagement work, including planning, advising and assessment?
- On which, if any, of the following issues did your activity/activities primarily focus (could list internal or external areas of focus)?
- What form did your activity take (options might include outreach instruction, expert assistance, service learning, clinical service, etc.)?
- Did your outreach activity generate any revenue from gifts, grants, contracts, tuition, or fees?
- How would you rate the overall impact of your activity/activities given the goals of the activity/activities?
- Based on your and/or an external partner assessment of the impact of your activity/activities, do you intend to continue and/or expand your activity/activities?
Capital Campaign Priorities
May 18, 2012

Board of Trustees
Committee of the Whole

Prepared By
Provost Jane E. Knodell

On behalf of the Campaign Review Team (CRT), I am pleased to report that we have concluded much of the work necessary to identify our capital campaign priorities.

By way of review of the collaborative work on this project, each unit was charged with developing an inclusive internal process for generating, vetting and submitting campaign ideas. Deans, vice presidents, the Student Government Association, the Graduate Student Senate and other campus leaders submitted more than 300 proposals totaling over $1.5 billion for consideration. The proposals were reviewed and ranked by members of the Strategic Initiatives Project (SIP) Teams responsible for three strategic areas (Diversity & Internationalization, Student Success & Satisfaction/General Education and TRI & Research), as well as a fourth team that reviewed submissions that didn’t fit neatly into the above categories. The CRT, including myself, President John Bramley, Faculty Senate President Julie Roberts and Foundation President Rich Bundy, reviewed and accepted nearly all of the SIP Team recommendations. As a result, we have begun to bring focus and definition to our campaign and have winnowed the $1.5 billion to slightly less than $600 million. This total still exceeds our provisional working goal of $500 million – and this is by design. We now have time during the next several years to further test and refine proposals at the unit level. The natural evolution of what donors respond to will serve as the final filter that will help us confirm and set more specific campaign goals.

At the conclusion of this report (Appendix A) you will find information about our campaign categories, along with a sampling of proposals within those categories. You’ll see that the core of the next campaign will be a concerted investment of philanthropic resources in the people and programs of UVM.

Our work now begins. Units will test these provisional concepts with donors to assess donor interest, match donor interest with investment opportunities, and collaborate with the UVM Foundation to cultivate and solicit gifts that advance campaign priorities. Additionally, President-elect Sullivan joined the Campaign Review Team for one of its meetings and has shared his high expectations regarding fundraising and the impact this campaign will have on the University’s future. He is enthusiastic about these priorities and has signaled that after a period of additional, personal consultation with the campus community, we should expect that he may announce additional fundraising priorities not currently on our list.
The Major Categories

Student Support as a Component of the Campaign

- Combined with faculty fundraising goals, investing in the people of UVM is at the heart of this campaign.
- Our student support working goal represents nearly half of the overall campaign working goal.
- A substantial component of student support will be in merit and need-based scholarships that will help us meet the critical and interrelated goals of access, affordability, diversity and quality.
- We have established a campaign goal of roughly $250 million in this category.
- In addition to general scholarships, there are many exciting examples of student support, such as:
  - Undergraduate Student Travel Support
  - Summer Research Fellowships
  - Pre-doctoral Scholar Fellowships
  - Urban Partnership Program
  - Study Abroad Scholarships
Faculty Support as a Component of the Campaign

- Investment in this area will allow us to support and enhance the important work of our faculty, as well as increase our ability to recruit and retain the very best faculty talent.
- We plan to double the number of named faculty professorships and chairs on campus during this campaign – increasing from 49 to 100.
- We have established a campaign goal of roughly $100 million in this category.
- There are many exciting examples of faculty support, such as:

  - Endowed Professorship in U.S. Ethnic Studies
  - Endowed Professorship in Climate Change
  - Director of Neuroimaging Research
  - Digital Initiatives Library Professor
  - Professorship in Environmental Health Policy

Program Support as a Component of the Campaign

- Program support will focus on the creation of new and enhanced resources for strategic priorities, including academic success, career services, diversity, internationalization, research, sustainability, the environment, and more, that will enhance the excellence of the institution.
- Program support is typically the category most difficult to predict in a campaign. Presently more ideas are included in the list of priorities than can reasonably be funded. Donor response over the next several years will help us set more specific campaign goals.
- We have established a campaign goal of roughly $50 million in this category.
- There are many exciting examples of program support, such as:

  - The Center for Writing Excellence
  - The Center for Sustainable Enterprise
  - YOUvm Undergraduate Research Opportunities
  - Enhanced and Expanded Humanities Center
  - Center for STEM Education and Outreach

Facility Support as a Component of the Campaign

- Facility submissions were excluded from the proposal submission process. Typically, no more than 25% of a campaign total is achieved through facility projects. The facility projects that become campaign priorities will be determined by way of a separate process that will blend our strategic capital needs with donor interest.
- We have established a campaign goal of roughly $100 million in facility support.
THE UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE
BOARD OF TRUSTEES

BUDGET, FINANCE AND INVESTMENT COMMITTEE

Chair Debbie McAneny, Vice Chair Samuel Bain, Interim President John Bramley, Carolyn Branagan, Robert Brennan, David Daigle, Kyle DeVivo, Joan Lenes, Kesha Ram, Lisa Ventriss and Mark Young, Faculty Representatives Albert Joy and Donald Ross, Alumni Representatives Walt Blasberg and Afi Ahmadi, Staff Representatives Eric Hoefel and [vacant], Student Representatives William Vitagliano and Andrew Dougherty, and Graduate Student Representatives Jennifer Rousseau and Eduardo Cotilla-Sanchez

Friday, May 18, 2012
11:15 a.m. – 12:00 p.m.
1:30 p.m. – 2:30 p.m.
Silver Maple Ballroom, (401) Dudley H. Davis Center

AGENDA

<table>
<thead>
<tr>
<th>Item</th>
<th>Enclosure</th>
<th>Discussion Leader</th>
<th>Time</th>
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<tbody>
<tr>
<td>Call to Order</td>
<td></td>
<td>Sam Bain</td>
<td>11:15 a.m.</td>
</tr>
<tr>
<td>1. Approval of the April 16, 2012 meeting minutes</td>
<td>Attachment 1</td>
<td>Sam Bain</td>
<td>11:15-11:20</td>
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<tr>
<td>2. Follow-up on Financial Aid Components</td>
<td>Attachment 2 &amp; Appendix A</td>
<td>Richard Cate Ted Winfield</td>
<td>11:20-11:45</td>
</tr>
<tr>
<td>3. FY 2013 Budget – Resolutions approving:</td>
<td>Attachment 2 Appendices B-I &amp; Attachment 3</td>
<td>Jane Knodell Richard Cate Ted Winfield</td>
<td>11:45-12:00</td>
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<tr>
<td>• FY 2013 Tuition Rates</td>
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<td>• FY 2013 Room/Meal Rates</td>
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<td>• FY 2013 Student Fees</td>
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<td>• General Fund</td>
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<td>Recess</td>
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<td>12:00 p.m.</td>
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<tr>
<td>Reconvene</td>
<td></td>
<td>Richard Cate Ted Winfield</td>
<td>1:30 p.m.</td>
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<tr>
<td>4. Authorization to Proceed with Bond Refunding</td>
<td>Separate Distribution</td>
<td>Richard Cate Ted Winfield</td>
<td>1:30-1:50</td>
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<tr>
<td>5. Report of the Investment Subcommittee</td>
<td>Separate Enclosure</td>
<td>Sam Bain</td>
<td>1:50-2:00</td>
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<tr>
<td>• Endowment Performance Update</td>
<td></td>
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<tr>
<td>6. Socially Responsible Investing Work Group Update</td>
<td>Attachment 3</td>
<td>Claire Burlingham</td>
<td>2:00-2:10</td>
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<td>• Resolution Reaffirming Divestiture from Sudan</td>
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<td>7. Contract Approvals:</td>
<td>Attachment 3</td>
<td>Richard Cate</td>
<td>2:10-2:20</td>
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<tr>
<td>• Resolution Approving Contract with Apple, Inc., for Computer Depot Equipment Resale Purchase</td>
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<td>• Resolution Approving Contract with Presidio Networked Solutions</td>
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<td>• Resolution Approving Contract with Sodexo, Inc.</td>
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<td>• Resolution Approving Office Supply Contract with Staples, Inc.</td>
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<td>• Resolution Approving Contract Renewal with Philips Medical Capital</td>
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<td>• Resolution Approving Agreement with TIAA-CREF</td>
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<td>Item</td>
<td>Enclosure</td>
<td>Discussion Leader</td>
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<td>8.</td>
<td>Handout</td>
<td>Richard Cate</td>
<td>2:20-2:25</td>
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<tr>
<td>• Vice President’s Report</td>
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<td>• Third Quarter General Fund Budget to Actuals</td>
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<td>• Campus Beverage Vendor Contract Update</td>
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<tr>
<td>9.</td>
<td></td>
<td>Sam Bain</td>
<td>2:25-2:30</td>
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<tr>
<td>Other Business*</td>
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<tr>
<td>ADJOURN</td>
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<td>2:30 p.m.</td>
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*Executive Session as needed.
Times are approximate.
ACTION ITEMS

Approval of Previous Meeting Minutes
The minutes for the April 16, 2012 Committee meeting are included as Attachment 1.

Action: Motion to approve the minutes.

FY 2013 Budget
Provost Knodell, Ted Winfield and I will outline and seek approval of the FY 2013 budget planning assumptions and budget proposal. Attachment 2 and Appendices A-I

Action: Approval of resolutions regarding FY 2013 tuition rates, room and meal rates, student fees, and the general fund budget. Attachment 3

Approval of Refunding Bonds
The Chair will appoint a work group of Trustees to review and advise the administration on the final elements of the bond refunding.

Action: Approval of resolution authorizing the administration to proceed with initiating bond refunding, in consultation with the Trustee work group. Separate Distribution

Socially Responsible Investing Work Group (SRIWG) Update
SRIWG leader Claire Burlingham will brief the Committee on the activities of the SRIWG since the last full Board meeting.

Action: At the recommendation of the Investment Subcommittee, the Committee will be asked to reaffirm a resolution regarding divestiture from Sudan. Attachment 3

Contract Approvals:

- Computer Depot Equipment Resale Purchase Contract
  The Computer Depot annually purchases approximately $5,000,000 in desktop and laptop computers for resale to students, University departments, and individual faculty and staff members. Competitive bidding and educational discounts result in consumer costs that are competitive with commercial retailers. This resolution authorizes continued purchase of personal computers from Apple, Inc. for resale through the Computer Depot.
The Apple contract for the 3-year contract period is estimated at $2,500,000 per year, distributed according to customer demand. Contract start date is July 1, 2012 through June 30, 2015.

**Action:** Resolution approving contract with Apple, Inc. for Computer Depot Equipment Resale Purchase. **Attachment 3**

- **Presidio Networked Solutions Contract**
  In the Fall of 2010, RFP # 07-09-11 was released for vendor selection to provide Cisco systems network equipment for firewall security, VPN access, and network switching equipment for all of campus. Presidio was the awarded vendor with an annual contract beginning January 1, 2011 with two additional renewal years.

  As of March 30, 2012 a total spend amount of $890,343.33 was paid out to Presidio for network equipment vouchers. We currently have April payments in queue and Purchase Orders encumbering additional funds for these services in 2012 at an estimated amount of $500,000, the total of which requires Board approval.

  **Action:** Resolution approving contract with Presidio Networked Solutions. **Attachment 3**

- **Sodexo Inc. Contract**
  The University collects meal plan payments from students through its regular billing systems and remits payments to Sodexo in accordance with the terms of the contract. The impact of the contract is a major component of the meal plan rates presented and approved by the Board of Trustees in advance of each new fiscal year. Commitment funds retained by the University are the source for debt service payments and other University obligations to assure effective dining services to students. The total annualized payment of $18 million is estimated for all meal plans offered for the 2012-2013 academic year. This includes potential meal plans purchased by students residing in Redstone Lofts.

  The Sodexo contract is a seven-year term with an additional three-year renewal option. A prior Board resolution was approved through June 2012. We are seeking approval for the 3-year renewal option with the contract ending on June 30, 2015, with the total not to exceed $55 million.

  **Action:** Resolution approving contract with Sodexo, Inc. **Attachment 3**

- **Office Supplies Contract**
  The University administration has decided to exercise the RFP process exception in the Procurement Policy and partner with the State of Vermont (State) to utilize their existing Staples contract for office supplies beginning July 1, 2012 through June 30, 2014.

  This new contract term for UVM will run parallel with the State contract end date. In an effort to consolidate purchasing power and engage in strategic initiatives from the University President and the Governor of Vermont, this will align both entities to engage in an RFP process in 2014 to acquire deeper discounts and pricing.

  This 2-year contract is estimated to yield a potential cost savings of $31,000 annually over the existing office supply vendor, OfficeMax. Based on the last three years, UVM’s average annual spend is about $900,000.
**Action:** Resolution approving contract with Staples, Inc. for office supplies. **Attachment 3**

- **Philips Medical Capital Contract Renewal**
The University engaged in a five-year lease beginning in 2007 for a Magnetic Resonance Imaging magnet (MRI) for use in research by the Department of Radiology with an end date of July 31, 2012. The cost of the lease is fully recovered through a combination of Federal appropriations, Federal research grants, and user fees charged to clinical trials and other projects within the College of Medicine.

The College of Medicine is requesting a two-year renewal lease option for the MRI equipment which cost include, equipment rental of $20,332 and service maintenance of $15,617 monthly for a 24 month period. The total cost of the two-year renewal is $862,536. The previous five-year lease was approved by the Board in the fall of 2006 with an amount not to exceed $3.3M.

**Action:** Resolution approving two-year renewal lease option with Philips Medical Capital. **Attachment 3**

- **TIAA-CREF Agreement**
The University made changes to the Post-Retirement Medical Benefits (PRMB) in early 2011. With these PRMB changes, the University agreed to establish a Voluntary Employee Beneficiary Association (VEBA) plan under IRS code 501(c)(9) for new staff members hired after January 1, 2012 who reach age 65 and 15 years of benefits-eligible service. The VEBA account will be managed by TIAA-CREF for a 3-year agreement beginning July 1, 2012 through June 30, 2015.

The University will pay the initial fees to establish the plan and will also incur and pay for monthly management fees of the plan. Annual account fees of $24.00 per year for these estimated new staff members would total $50,400.

**Action:** Resolution approving three-year agreement with TIAA-CREF for management of a Voluntary Employee Benefits Association plan. **Attachment 3**

**ROUTINE REPORTS**

**Report of the Investment Subcommittee (ISC)**
ISC Chair Sam Bain will brief the Committee on the activities of the Subcommittee at its previous monthly ISC meetings since the last full board meeting. **Separate Enclosure**

**Vice President’s Report**
I will offer my report and review the summary third quarter budget to actual report for FY 2012. **Separate Distribution**
BUDGET, FINANCE AND INVESTMENT COMMITTEE  
BOARD OF TRUSTEES  
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

A meeting of the Budget, Finance and Investment Committee of the Board of Trustees of the University of Vermont State and Agricultural College was held on Monday, April 16, 2012 at 8:30 a.m., 427A Waterman Building.

MEMBERS PRESENT: Chair Debbie McAneny, Vice Chair Samuel Bain*, John Bramley, Carolyn Branagan, Rob Brennan, David Daigle*, Kyle DeVivo, Joan Lenes, Kesha Ram, Lisa Ventriss, Mark Young

REPRESENTATIVES PRESENT: Faculty Representatives Albert Joy and Donald Ross, Alumni Representative Afi Ahmadi, Staff Representatives Eric Hoefel and Michelle Smith (on behalf of Staff Council), Student Representatives Andrew Dougherty and William Vitagliano

ABSENT: Alumni Representative Walter Blasberg and Graduate Students Representative Eduardo Cotilla-Sanchez and Jennifer Rousseau

OTHER TRUSTEES PRESENT: Board Chair Robert Cioffi

PERSONS ALSO PARTICIPATING: Provost and Senior Vice President Jane Knodell, Vice President for Finance and Administration Richard Cate, Associate Vice President for Budget and Resource Management Ted Winfield, Vice President for Enrollment Management Chris Lucier and Prager & Company, LLC Representative Susan Fitzgerald

* By means of conference telephone.

Chair McAneny called the meeting to order at 8:28 a.m. She welcomed new members and representatives to the Budget, Finance, and Investment Committee and explained that today’s meeting was the second of a three part series of budget reviews. The February meeting was to review benchmark data; today was to review the proposed general fund operating budget, and in May, the Committee will be asked to endorse the FY 2013 budget recommendation for Board approval.

Approval of Minutes

A motion was made, seconded and voted to approve the minutes of the February 3, 2012 meeting.

FY 2013 Budget Proposal

Chair McAneny began by stating that the most important objective of the meeting was for members to review and understand the general fund budget and to express any concerns and questions they may have. In addition, they would identify additional information requests for the administration to prepare for the May discussion.

Vice President Cate then outlined the underlying assumptions upon which the proposed FY 2013 budget is based: a 3.5% tuition increase; a reduction in the amount of student aid needed, lower energy costs, and a 2% salary increase for all employees. As part of the FY 2013 budget discussion Vice President
Cate also reviewed the projected revenue and expense for FY 2012. He reported that a positive fund balance of $2.7 million is expected. If the projection remains on target for the balance of FY 2012, the administration will put forth a proposal after June 30, 2012 to the Board of Trustees on how to best invest those dollars.

**Tuition:** Chair McAneny pointed out the Average Annual Percent Increase in the tuition chart on page 11 of Attachment 2. It indicates that UVM has the fourth lowest increase compared to other public institutions. Trustee Branagan appreciated that tuition was lower this year than last but asked if it could be set even lower. Vice President Cate indicated that further reductions in tuition revenue could not occur without substantive impact on critical programs or activities.

**Financial Aid:** The Committee had a wide ranging discussion, given the importance of financial aid as a major item affecting overall net revenue and thus the budget as a whole. Figures for FY 2012 student financial aid requirements are not finalized, however, it appears likely that current trends will continue and savings against budget are expected. Vice President Cate then reviewed the FY 2013 enrollment targets and the student financial aid budget. He commented that even with 83 fewer students expected to enroll in the fall, there is still a projected increase in net revenue due to the lower need for financial aid. Trustee Branagan expressed concern that the number of Vermont students admitted was decreasing. Vice President Cate explained that due to the shrinking population in the northeast and in particular Vermont, there simply are not as many Vermont students applying as in past years. The underlying demographic of students available is declining. The enrollment forecast is a reflection of those declines, rather than a preplanned choice to enroll fewer Vermont students.

Vice President Lucier outlined the procedure used for selecting the pool of applicants, which factors in a student’s financial aid needs, academic quality, family contribution, diversity, and geographic location. The University works with national consulting firm Noel Levitz on regional and national comparisons to create the applicant pool and base financial aid packets on this information. Trustee Ventriss suggested that an information session on student quality and financial aid would be beneficial to trustees.

The Committee discussed the history and impact of the recent economic crisis and how that drove the need to offer more financial aid. A series of factors are involved: the initial financial aid commitment to each incoming class, the reduction of the actual financial aid support for each class as it progresses (fewer students over time as each cohort of students progresses, together with the loss of aid on the part of some students) and the increasing starting point for need each year as tuition has increased year over year. With the financial crisis of 2008, the incoming class required substantially more aid than previous years and thus required dramatically more aid than the senior class that was leaving. The impact of this change was a 13-14% increase for the entire aid budget. Since then all new classes have been entering on a comparable, though broadly higher level than pre recession levels. Recent work has focused on moderating these increases as much as possible. The success in that moderation allows for a more modest overall increase, but cannot result in an absolute net reduction in total aid, given the movement of tuition, without either eroding total numbers of new students and/or the quality of those students. A good goal going forward will be to maintain the need for increases in financial aid at the level of tuition increases.

Trustee Ram asked where in the budget the costs of offering free and reduced tuition classes and dual enrollment to Vermont high school students was reflected and if that cost was significant enough to be a concern. Vice President Cate explained that these expenses are embedded in the Day Non-Degree
Tuition budget. Dual enrollment numbers are not a concern. The number of day non-degree students is the same; however, the credit hours for these students are lower. President Bramley noted the actions taken to reverse this trend, including active conversations about recruiting more high school students to take courses and offering more online and summer courses. The Governor’s Working Group is looking into this as well. He recognized the financial challenge for UVM and noted that it is a work in progress.

Chair McAneny noted that it would be useful to have available a tuition/fund-raising informational session available prior to future April budget planning meetings as it is important for Committee members to consider and understand financial aid needs in relation to calculating tuition.

She also requested that an updated version of the information presented last year which indicated the stacking by cohorts be available for the May meeting and be included in future April BFI meetings.

**Energy Savings:** Due to an unseasonably mild winter, as well as significant savings initiatives under way, the University’s energy costs are estimated to be about $1M lower than last year. Trustee Daigle inquired about entering into long-term pricing agreement with utility companies to take advantage of the current low rates for natural gas. The University’s supplier, Vermont Gas has not been willing to offer this option beyond one season. There will be further review of other potential long term contracting options.

**Salary and Benefits:** The final budget assumption Vice President Cate addressed was the 2% salary increase negotiated with the three unions that will apply to non-union members as well. In addition, employee benefits will increase about 4.5%. This change is driven largely by a projected 6.1% increase in health insurance costs, which were 0% last year.

Chair McAneny offered an opportunity for discussion. Trustee Bain inquired about the two Facilities & Administration (F&A) line items. Associate Vice President Winfield explained that research support has declined while other non-research grants have increased somewhat. The budget line items reflecting these two changes have been re-classified to more accurately reflect current experience and projected results.

Provost Knodell noted that the stagnant F&A reflects national trends and competition for research dollars is increasing. The Transdisciplinary Research Initiative is addressing this and she iterated the importance to invest the resources to allow this to continue.

Trustee Bain asked if there are additional funding opportunities available. President Bramley commented that there were, including federal aid and grants; foundations, business, and industry, but geography is a factor in why Vermont’s dollars are low compared to other states.

Trustee Young observed that grant dollars are reimbursements for costs and therefore it is not necessarily profitable to grow these areas. However, as a small research university, it is strategically important to our mission to pursue as much research aid as possible.

Current year results for Unrestricted Annual Giving will likely be below budget. In light of this shortfall, the budgeted growth in this area will be reviewed before the May meeting. Board of Trustee Chair Cioffi stated that donor preference is changing, with a shift to more restricted giving versus unrestricted gifts. He suggested that it would be helpful to add a line item indicating the UVM Foundation’s total receipts.
and Chair McAneny requested a breakout of the Foundation’s unrestricted funds. Provost Knodell noted that Vice President Cate, UVM Foundation Vice President Rich Bundy and she have been discussing scholarship aid in lieu of unrestricted endowments.

The increase in new facilities expenditures reflects final building costs from Aiken, rental increases and required increases to the facilities replacement reserve.

Trustee Young inquired about UVM’s reciprocity agreement with Vermont State Colleges in regards to tuition remission. Associate Vice President Winfield explained that out of the $85 million student aid $5.5 million is tuition remission, mostly for dependents of UVM employees. Reciprocity with Vermont State Colleges requires about $500,000 which is included in the $5.5 million stated above. More dependents of state college employees come to UVM rather than the reverse.

Trustee Brennan inquired about the State Appropriation line item. Vice President Cate stated that the Governor had recommended the $40 million which passed the House and is anticipated to be approved in late April or May.

Trustee Lenes remarked that President Bramley’s gesture to not accept this year’s Capital Appropriation in light of the Tropical Storm Irene crisis was very well received and was the right thing to do.

Chair McAneny recessed the Budget, Finance and Investment Committee at 10:06 a.m. for a short break. The Committee reconvened at 10:22 a.m.

She re-opened the discussion by drawing members’ attention to the Cost of Attendance chart (Page 18 in Attachment 2) which summarizes the components of the total cost of attendance, including tuition, fees, room and meal plans.

**Capital Debt Analysis and Planning**

Chair McAneny introduced Susan Fitzgerald, Managing Director at Prager & Company, LLC., the University’s debt advisor. Prager & Co. was charged with reviewing the University’s debt capacity for the purpose of quantifying the debt capacity over the next decade.

Chair McAneny stated for the record that this was simply an introduction to a larger conversation and that no actions were expected to be made at this time. She also said this discussion will allow for more informed decision making in the future.

Vice President Cate added that the University is approaching an opportunity to refund bonds from its 1998 and 2002 issues for present value savings, before fees, of what had been projected to be about $3.1 million, but is now somewhat less due to changing interest rates. In addition, as fundraising efforts are expanded and the number of projects on the Strategic Capital Plan increases, Understanding the limits of UVM’s debt capacity will be critical. There is substantially more demand for projects than there is financial capacity to undertake them.

Susan Fitzgerald opened her presentation by saying that she was offering a broad framework on how the University could monitor its debt portfolio and Prager in its material presented four different scenarios based on different financial assumptions.
She prefaced further remarks by saying that it is difficult to base decisions on future assumptions and therefore flexibility had been built into each scenario.

The Committee reviewed the material from Prager and discussed the impact on the University’s ratios defined in the Debt Policy. When asked, Ms. Fitzgerald advised focusing on the viability ratios over the debt burden ratio. In addition, she said to use a variety of measures including the affordability ratio. She advised that managing debt by multiple ratios is the smartest plan.

Most attention was paid to the methodology data from Moody’s Investors Services. Review of the rating methodology made it clear that, while important, that the various debt and financial ratios count only for 25% of the total weighting guiding the rating assessment.

In response to Chair McAneny’s inquiry about what insightful information members could use in leveraging decisions to achieve a higher bond rating, Fitzgerald suggested to focus on the ability to attract students, increasing philanthropy and generating new revenue sources.

Chair McAneny stated her support for working toward refunding in FY 2013.

A motion was made, seconded and voted to authorize the administration to work with Prager & Co. to put together data necessary to inform the recommendation to the full Board in May on refunding 1998 and 2002 bonds.

Vice Chair Bain reminded members that it is most important to relate decisions to the University’s Strategic Plan. He suggested looking at the entire debt structure and possibly expanding the debt capacity, taking into consideration UVM’s current good standing as well as today’s existing low interest rates. Assuming that UVM’s future is optimistic, and looking out at the next 10-20 years, should the committee consider taking on significantly more debt now and take advantage of borrowing at today’s low interest rates? Ms. Fitzgerald noted that it depends on the institution’s comfort level in a volatile environment, knowing there would be a loss of flexibility. Chair McAneny acknowledged that more consideration is needed on this and stated that she and Vice Chair Bain would discuss how best to do so, with the possibility of a assigning a working group to research further.

Vice President Cate mentioned briefly the second quarter general fund budget to actual report he circulated today to the Committee. He offered members to contact him if they had any specific questions regarding the report.

Chair McAneny offered a final opportunity for comments and questions. There being none, she thanked the Committee for its efforts and input.

Adjournment

The meeting was adjourned at 11:32 a.m.

Respectfully submitted,

Debbie McAneny, Chair
The University of Vermont
Office of the Provost and Senior Vice President

May 7, 2012

TO: Members of the UVM Board of Trustees Budget, Finance and Investment Committee

FROM: Jane Knodell, Provost and Senior Vice President
Richard H. Cate, Vice President for Finance and Administration

SUBJ: FY 2013 Budget Proposal

Budget Proposal Overview: The appended documents summarize the information that was presented and discussed in detail at the April 16th BFI meeting regarding the FY 2013 budget.

In follow up to our work in reviewing financial aid, Appendix A is a chart showing the financial aid commitments by class cohort and how those commitments have changed between FY 2012 and FY 2013. There is also an analysis showing the likely change between the original budget for FY 2012 and the projected actual experience. Appendix B shows the net cost of attendance for Vermont and out-of-state students, demonstrating the effect of financial aid across groups of the student population.

Appendix C summarizes the total proposed FY 2013 University budget, including general funds, income and expense, and restricted funds. The proposed general fund operating budget, which is based on a 3.5% tuition increase, is illustrated in Appendix D in some detail and compares it to the FY 2012 budget and our projected actual revenues and expenses for this year. Based on the discussion in April, this format has been modified to show an explicit expense line item for the transfer to the UVM Foundation for FY 2013. In FY 2012 the support for Development and Alumni Relations is included in salary, benefit and operating expenses. Appendix E summarizes the sources of University funds committed to the Foundation for FY 2013 as well as anticipated resources coming from Foundation activity back to the University. Several pages of explanatory notes follow these two spreadsheets (Appendix F).

Based on the discussion at the April 16th BFI meeting, the final proposed general fund budget is $299,575,000, or $675,000 less than the budget total presented in April. The largest revenue adjustment from that presentation is a $450,000 reduction in projected unrestricted annual giving. This change in assumption acknowledges the growing difficulty of fund raising in this manner. The additional $225,000 (net) reduction in revenue reflects reductions in Other Income tied to ending of vending contracts and rental revenue reduction. There is some offsetting growth in revenue in Medical Tuition compared to the projection in April. There have been corresponding reductions in staffing and operating expenses to mirror the revenue reductions.
In summary, general fund revenue and expenses for FY 2013 are projected to increase 2.4% overall. These modest changes reflect the core management of financial aid as an offset to revenue growth as well as the stability of expenses in light of prior year budget reduction and stabilization. Appendix G shows a comparison of budget increases from FY 2008 – FY 2013.

**Proposed Fees:** The aggregate fee changes together with the tuition increase reflect a 3.5% cost of attendance increase for both in-state and out-of-state students as shown in Appendix H. Room and board fees are summarized in Appendix I.

**Resolutions:** Attachment 3 includes a series of resolutions for your action to authorize the changes in tuition, fees, room and board, and the overall operating budget. There is a resolution restructuring fees for graduate students related to a more consistent basis to maintain continuous registration as a student.

We look forward to the final discussion and your adoption of the FY 2013 budget at the May 18th meeting.
# Undergraduate Student Financial Aid by Class - FY 2012 & FY 2013

### $ in millions

<table>
<thead>
<tr>
<th>Class</th>
<th>FY 2012 VT</th>
<th>FY 2012 OS</th>
<th>FY 2013 VT</th>
<th>FY 2013 OS</th>
</tr>
</thead>
<tbody>
<tr>
<td>First-Time, First-Year</td>
<td>$3.3</td>
<td>$19.4</td>
<td>$3.2</td>
<td>$16.8</td>
</tr>
<tr>
<td>Sophomore</td>
<td>$3.7</td>
<td>$13.7</td>
<td>$3.6</td>
<td>$13.5</td>
</tr>
<tr>
<td>Junior</td>
<td>$3.3</td>
<td>$13.4</td>
<td>$3.2</td>
<td>$12.4</td>
</tr>
<tr>
<td>Senior</td>
<td>$3.6</td>
<td>$10.4</td>
<td>$3.6</td>
<td>$10.2</td>
</tr>
<tr>
<td>Transfer</td>
<td>$0.7</td>
<td>$1.6</td>
<td>$0.6</td>
<td>$1.2</td>
</tr>
<tr>
<td><strong>subtotal</strong></td>
<td><strong>$14.7</strong></td>
<td><strong>$58.5</strong></td>
<td><strong>$14.2</strong></td>
<td><strong>$54.0</strong></td>
</tr>
<tr>
<td>Other General Fund aid:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Athletic Scholarships</td>
<td>$5.2</td>
<td>$5.2</td>
<td>$5.4</td>
<td></td>
</tr>
<tr>
<td>Dependent Remission</td>
<td>$5.0</td>
<td>$4.7</td>
<td>$4.9</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>$2.1</td>
<td>$2.3</td>
<td>$2.3</td>
<td></td>
</tr>
<tr>
<td><strong>General Fund Aid for Undergraduate Students</strong></td>
<td><strong>$85.6</strong></td>
<td><strong>$80.3</strong></td>
<td><strong>$85.2</strong></td>
<td></td>
</tr>
</tbody>
</table>
NET COST OF TUITION & FEES: Tuition + Mandatory Fees minus Grants, Scholarships and Tuition Remission from federal, state, institutional and outside sources. Tuition and mandatory fees charged for 99% of the population in this data were $14,754. POPULATION FOR THIS DATA: Vermont undergraduates in the Fall Census who enrolled and earned at least 12 credits in the Fall 2011 semester. Count = 2,991.
NET COST OF TUITION & FEES, FY 2012
FULL-TIME OUT-OF-STATE UNDERGRADUATES

NET COST OF TUITION & FEES: Tuition + Mandatory Fees minus Grants, and Scholarships from federal, state, institutional and outside sources. Tuition and mandatory fees charged for 99% of the population in this data were $34,394. POPULATION FOR THIS DATA: Out-of-state undergraduates in the Fall Census who enrolled and earned at least 12 credits in the Fall 2011 semester. Count = 6,384.
## THE UNIVERSITY OF VERMONT
### TOTAL PROJECTED OPERATING BUDGET
#### FY 2012 AND FY 2013
*(In Thousand $s)*

<table>
<thead>
<tr>
<th></th>
<th>Original FY 2012 BUDGET</th>
<th>FY 2013 PROJECTED BUDGET</th>
<th>% CHG FROM FY 2012 BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>REVENUE</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>GENERAL FUND</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Appropriation</td>
<td>$40,747</td>
<td>$40,747</td>
<td>0.0%</td>
</tr>
<tr>
<td>Net Tuition</td>
<td>$200,063</td>
<td>$207,497</td>
<td>3.7%</td>
</tr>
<tr>
<td>Sponsored Facilities &amp; Administration Cost Reimbursement</td>
<td>$28,429</td>
<td>$27,807</td>
<td>-2.2%</td>
</tr>
<tr>
<td>Other Income</td>
<td>$23,270</td>
<td>$23,524</td>
<td>1.1%</td>
</tr>
<tr>
<td><strong>Subtotal, General Fund</strong></td>
<td>$292,509</td>
<td>$299,575</td>
<td>2.4%</td>
</tr>
<tr>
<td><strong>INCOME/EXPENSE ACTIVITIES</strong></td>
<td>$141,756</td>
<td>$145,000</td>
<td>2.3%</td>
</tr>
<tr>
<td><strong>Subtotal, Unrestricted Funds</strong></td>
<td>$434,265</td>
<td>$444,575</td>
<td>2.4%</td>
</tr>
<tr>
<td><strong>RESTRICTED FUNDS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$166,000</td>
<td>$170,000</td>
<td>2.4%</td>
</tr>
<tr>
<td><strong>Total Restricted and Unrestricted Revenue</strong></td>
<td>$600,265</td>
<td>$614,575</td>
<td>2.4%</td>
</tr>
</tbody>
</table>

|                      |                          |                          |                           |
| **EXPENSE**          |                          |                          |                           |
| **GENERAL FUND**     | $292,509                 | $299,575                 | 2.4%                      |
| **INCOME/EXPENSE ACTIVITIES** | $141,756 | $145,000 | 2.3% |
| **Subtotal, Unrestricted Funds** | $434,265 | $444,575 | 2.4% |
| **RESTRICTED FUNDS**  | $166,000                 | $170,000                 | 2.4%                      |
| **Total Restricted and Unrestricted Expense** | $600,265 | $614,575 | 2.4% |
## UVM FY 2013 Budget Proposal

### Undergrad Enrollment

<table>
<thead>
<tr>
<th></th>
<th>FY 2012 Budget</th>
<th>FY 2012 Projected</th>
<th>FY 2013 Proposal</th>
<th>$ Change</th>
<th>% Chg Fr 2012 Budget</th>
<th>% Chg Fr 2013 Proposal</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall-Spring Ave. Headcount</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In-State</td>
<td>3,390</td>
<td>3,397</td>
<td>3,324</td>
<td>(66)</td>
<td>-1.9%</td>
<td>-2.1%</td>
<td></td>
</tr>
<tr>
<td>Out-of-State</td>
<td>6,760</td>
<td>6,734</td>
<td>6,743</td>
<td>(17)</td>
<td>-0.3%</td>
<td>0.1%</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>10,150</td>
<td>10,131</td>
<td>10,067</td>
<td>(83)</td>
<td>-0.8%</td>
<td>-0.6%</td>
<td></td>
</tr>
</tbody>
</table>

### Tuition Rates

<table>
<thead>
<tr>
<th></th>
<th>FY 2012</th>
<th>FY 2012</th>
<th>FY 2013</th>
<th>$ Change</th>
<th>% Chg Fr 2012</th>
<th>% Chg Fr 2013</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>In-State</td>
<td>$12,888</td>
<td>$12,888</td>
<td>$13,344</td>
<td>456</td>
<td>3.5%</td>
<td>3.5%</td>
<td></td>
</tr>
<tr>
<td>Out-of-State</td>
<td>$32,528</td>
<td>$32,528</td>
<td>$33,672</td>
<td>1,144</td>
<td>3.5%</td>
<td>3.5%</td>
<td></td>
</tr>
</tbody>
</table>

### Fiscal Year 2012

<table>
<thead>
<tr>
<th>Item</th>
<th>Budget</th>
<th>Projected</th>
<th>Proposal</th>
<th>$ Change</th>
<th>2012 Chg Fr</th>
<th>2013 Chg Fr</th>
<th>2012 &amp; 2013 % of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Revenue</strong></td>
<td>292,509</td>
<td>295,246</td>
<td>299,575</td>
<td>7,066</td>
<td>2.4%</td>
<td>1.5%</td>
<td>100.0%</td>
</tr>
<tr>
<td><strong>Salaries and Wages</strong></td>
<td>$137,335</td>
<td>137,335</td>
<td>$136,719</td>
<td>($616)</td>
<td>-0.4%</td>
<td>-0.4%</td>
<td>45.6%</td>
</tr>
<tr>
<td><strong>Benefits</strong></td>
<td>56,342</td>
<td>56,342</td>
<td>57,045</td>
<td>704</td>
<td>1.2%</td>
<td>1.2%</td>
<td>19.0%</td>
</tr>
<tr>
<td><strong>Graduate Teaching Stipends</strong></td>
<td>4,793</td>
<td>4,793</td>
<td>4,889</td>
<td>96</td>
<td>2.0%</td>
<td>2.0%</td>
<td>1.6%</td>
</tr>
<tr>
<td><strong>Oper &amp; Equip (incl tech, software main)</strong></td>
<td>49,138</td>
<td>49,138</td>
<td>48,524</td>
<td>($615)</td>
<td>-1.3%</td>
<td>-1.2%</td>
<td>16.2%</td>
</tr>
<tr>
<td><strong>Library Acquisitions</strong></td>
<td>6,861</td>
<td>6,861</td>
<td>7,204</td>
<td>$343</td>
<td>5.0%</td>
<td>5.0%</td>
<td>2.4%</td>
</tr>
<tr>
<td><strong>Energy</strong></td>
<td>10,863</td>
<td>8,771</td>
<td>9,788</td>
<td>($1,075)</td>
<td>-9.9%</td>
<td>11.6%</td>
<td>3.3%</td>
</tr>
<tr>
<td><strong>New Facilities, Rental, Renewal</strong></td>
<td>2,801</td>
<td>2,801</td>
<td>3,504</td>
<td>$703</td>
<td>25.1%</td>
<td>25.1%</td>
<td>1.2%</td>
</tr>
<tr>
<td><strong>Plant Improvements, Insurance, Water/Sewage</strong></td>
<td>3,983</td>
<td>4,233</td>
<td>4,362</td>
<td>$379</td>
<td>9.5%</td>
<td>3.0%</td>
<td>1.5%</td>
</tr>
<tr>
<td><strong>Sponsor Programs Incent Funds &amp; Required C/S</strong></td>
<td>1,821</td>
<td>1,821</td>
<td>1,821</td>
<td>$0</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.6%</td>
</tr>
<tr>
<td><strong>General Fund contribution to debt repayment</strong></td>
<td>18,574</td>
<td>18,574</td>
<td>18,424</td>
<td>($150)</td>
<td>-0.8%</td>
<td>-0.8%</td>
<td>6.2%</td>
</tr>
<tr>
<td><strong>General Fund support for UVM Foundation</strong></td>
<td>7,295</td>
<td>7,295</td>
<td>7,295</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Academic Initiatives</strong></td>
<td></td>
<td>900</td>
<td></td>
<td>-100.0%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Deferred Maintenance/IT Infrastructure</strong></td>
<td></td>
<td>900</td>
<td></td>
<td>-100.0%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Expense</strong></td>
<td>292,509</td>
<td>292,476</td>
<td>299,575</td>
<td>7,066</td>
<td>2.4%</td>
<td>2.4%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

* DAR funding restated in FY 2013 via direct payment to the UVM Foundation.
** 1-time dollars.
## UVM FOUNDATION
### FY 2013 PROJECTION
OF FUNDRAISING AND RELATED CASH FLOW

<table>
<thead>
<tr>
<th>FUNDS FROM THE UNIVERSITY TO THE FOUNDATION</th>
<th>General Fund</th>
<th>Loan Fund</th>
<th>COM</th>
<th>Other</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash Flow from Operating Budget and Reserves</td>
<td>7,295,000</td>
<td>1,500,000</td>
<td>420,000</td>
<td>60,000</td>
<td>9,275,000</td>
</tr>
</tbody>
</table>

*Note: The College of Medicine, Department of Athletics and Graduate College contribute directly to the costs of certain fundraising positions dedicated to their units.*

<table>
<thead>
<tr>
<th>FUNDS TO THE UNIVERSITY FROM THE FOUNDATION*</th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Endowment</th>
<th>Capital Gifts</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gifts &amp; Endowment to the University</td>
<td>2,500,000</td>
<td>3,113,000</td>
<td>4,080,000</td>
<td>1,731,000</td>
<td>11,424,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>GIFTS INTO THE FOUNDATION**</th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Endowment</th>
<th>Capital</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receipts</td>
<td>2,600,000</td>
<td>9,700,000</td>
<td>13,600,000</td>
<td>4,100,000</td>
<td>30,000,000</td>
</tr>
<tr>
<td>Spending Available from current year gifts</td>
<td>2,500,000</td>
<td>9,361,000</td>
<td>262,000</td>
<td>3,956,000</td>
<td>16,079,000</td>
</tr>
</tbody>
</table>

* Gifts to existing UVM endowments, payments on pledges made prior to 1/1/12, unrestricted gifts and gifts receipted by UVM flow directly and immediately to the University. $6.172 M of this TOTAL stems from gifts and endowments received by the University before the Foundation was created.

** Spending available is net of a one-time gift fee on eligible gifts. The spending available on endowment gifts retained by the Foundation reflects spending policy, quarter received, and term vs. true status. Funds retained at the Foundation are distributed to UVM when expensed at UVM. Existing net assets at UVM will be spent down first before funds retained at the Foundation are distributed; the total is always available whenever needed by the University, in the current year or future years.
### Introduction

These summary notes provide background and explanation for the spreadsheet, *UVM FY 2013 General Fund Budget Proposal* (see Appendix D).

The spreadsheet illustrates the FY 2012 General Fund Budget as approved in May 2011, a current projection of actual FY 2012 results, and the FY 2013 proposed budget. In addition, there are two comparison columns showing the change between the FY 2012 budget and the proposed FY 2013 budget in both absolute dollars and percentage. And finally on the right-hand side, is a column showing the relative percentages of each element of the revenue and expense portions of the projected FY 2013 budget.

### FY 2012 Budget - $292.5M in revenue and expenses

The initial column is the $292.5M general fund budget approved by the Board in May 2011.

### FY 2012 Projected Actual

The FY 2012 budget is projected to be balanced, though with $2.7M of additional revenue.

### Revenue

- Total undergraduate enrollment is 19 students lower than budget, but with 26 fewer out-of-state students netted against 7 more Vermont students.
- At the same time, these students required $5.3M less financial aid than budgeted, resulting in a $4.6M net undergraduate tuition revenue increase compared to the FY 2012 budget.
- Total Facilities and Administration cost recovery from grants and contracts was $1.9M less than budgeted.
- In aggregate, these revenue changes combine to forecast $2.7M of total revenue above budget for FY 2012.

### Expense

- Total expenses are tracking budgeted levels.
- Actual energy expenses are projected at $2.1M below budget.
In aggregate, operating expenses are projected to be $1.8M below budget, before one-time cost reallocations to support academic initiatives and deferred maintenance/IT infrastructure.

**Overall Net Result**

The FY 2012 budget is projected to be balanced and have a $2.7M fund balance.

**FY 2013 Proposal**

Given the actions to constrain budgets in prior years and then again in FY 2012, building the budget for FY 2013 began with the recognition that additional significant budget reductions would likely not be needed. Efforts to constrain costs and eliminate structural deficits had been successful and the base of financial operations was sound. Accordingly, in December the Provost and Vice President for Finance and Administration asked every Dean and Vice President to review their operations and confirm critical programs assuming a continuation of current resource levels. Each leader was also asked to prepare a contingency plan for further reductions, in the event that unanticipated constraints in revenue occurred.

After reviewing the units’ needs and confirming these basic assumptions in a letter to unit leaders:

- a tuition increase of no more than 3.5%
- a salary increase of 2%
- managing student financial aid as close to current levels as possible
- level state funding

The Provost confirmed the following subject to approval by the Board of Trustees:

> *As part of the budget meeting process late last fall, you were asked to develop a contingency plan that could be employed if revenue or expense conditions were such that we could not balance the University’s budget. I am pleased to report that budget reductions in FY 2013 will not be necessary. If, however, as part of your budget presentation you identified strategic actions that would allow for the internal reallocation of resources within your unit, I encourage you to carefully consider taking these actions to maximize the use of your resources.*

The budget includes these assumptions:

**Revenue**

- Modest undergraduate enrollment reduction to 10,067 in line with current demographic constraints while maintaining undergraduate financial aid at the same level budgeted for FY 2012.
- Tuition increase of 3.5% to retain some growth in net tuition after financial aid.
- State appropriation at the Governor’s proposed level of $40.7M.

In combination, these revenue items represent a 2.4% revenue increase for FY 2013 compared to the prior year budget.
Expenses
- Budgeting for a 2% salary increase for FY 2013, thereby giving a compensation increase after the salary freeze for FY 2012.

Overall, expenses are budgeted to increase 2.4% in line with revenue growth.

These more specific assumptions have been used:

Revenue Assumptions
- **Undergraduate student target**: Fall/Spring average of 10,067 students, reflecting a first-year class of 2,485.
- **Tuition**: Assumes a tuition increase of 3.5%, consistent with the commitment made by President Bramley in October.
- **Undergraduate Financial Aid**: Held steady at a comparable level as budgeted for FY 2012, reflecting a $4.9M increase from the projected actual results for the current year.
- **Graduate Student Enrollment**: Targeted at 1,500 consistent with FY 2011 experience.
- **Graduate Student Tuition**: Assumes the same 3.5% increase.
- **Graduate Student Financial Aid**: Current level of financial aid, increased 3.5%
- **Day Non-Degree**: Enrollment levels are consistent with FY 2012, but revenue adjusted downward to reflect actual levels of collection.
- **Medical school**: Enrollment is increasing slightly, with a 2.9% tuition increase.
- **State appropriation**: Forecast to hold steady at the FY 2012 level of $40.7M (includes $4.0M of global commitment support as part of the overall total).
- **Research Facilities and Administration Cost Reimbursement**: Reduced from FY 2012 budget to reflect drop in research grant activity, in large part due to reduced budgets at the federal granting agencies.
- **Other Facilities and Administration Cost Reimbursement**: Includes recovery from all other categories of sponsored activity (instructional, public service, etc.) together with payments into the general fund from income/expense activities.
- **Continuing Ed Indirect Cost Reimbursement**: The contribution from Continuing Education is budgeted to increase in line with recent strong results.
- **Operating Investment Income**: Forecast to stay steady at $2.8M for FY 2013.
- **Unrestricted Annual Giving**: Reduced to $2.5M from FY 2012 budgeted level reflecting the growing difficulty of raising unrestricted funds given shifting donor preferences combined with changing usage of telephones.
- **Unrestricted Endowment Income**: Underlying endowment payout will decline by 2.3% for FY 2013 reflecting the impact of the 13 rolling quarter status of the overall endowment as prior quarter losses still impact the current calculation.
- **Other Income**: Includes rental income, sales and services of educational activities and student fees, such as the athletic fee, that flow through the general fund. Vending contract revenue will not continue and some rental income has declined, leading to a 3.8% drop in
this category. The majority of these revenue changes are offset by corresponding declines in expense in the affected areas.

**Expense Assumptions**

- **Compensation**: in the form of salary and benefits account for about 68% of all University general fund costs.
- **Salary**: Salary for all personnel is budgeted at a 2% increase. (Salary base is reduced by $4.0M reflecting the transfer of former DAR employees to the Foundation to UVM)
- **Benefits**: Benefit rate expenses are projected at 42.3%, increasing from 41.2% in FY 2012. (Similar reduction of $1.6M for benefits associated with DAR payroll)
- **Operating and Equipment**: 2% increase for underlying operating budgets which have been held at 0% for the past two years. Comprises the majority of operating expenses across the University including telecommunications, computer and other small equipment purchases, travel, printing and publications, and any consulting or service expenses.
- **Library Acquisitions**: Increasing 5%, in line with the rising costs of these services.
- **Energy**: Costs are projected to be about 10% less than was budgeted in FY 2012, and this takes into account the unusually mild winter we had this year.
- **New Facilities, Rental, Renewal**: Includes operating charges for all new facilities coming on line in FY 2012, increases in rental facilities costs, as well as related increases for the facilities renewal reserve that sets aside funds for major system repairs and rehabilitation of University buildings, including impact from operations of the new utility infrastructure.
- **Plant improvements, Insurance, Water/Sewage**: Increases reflect expected changes in these areas.
- **Sponsored Programs Incentive Funds & Required C/S**: Represents the funds that are distributed to colleges and schools in relation to recovery of Facility and Administrative costs. Accordingly, this category is maintained with 0% in line with the overall forecast for F&A recovery.
- **General Fund contribution to debt repayment**: Budgeted repayment levels remain essentially fixed from FY 2012 budgeted level.
- **General Fund support for Foundation for UVM**: This budget line item defines the general fund budget allocation committed per Board agreement to support operations of the Foundation for UVM. In prior years similar levels of resources were allocated to the Development and Alumni Relations unit.
Year-to-Year Percentage Increase in Total General Fund Expenses

FY 2008: 6%
FY 2009: 6%
FY 2010: 3%
FY 2011: 3%
FY 2012: 1%
FY 2013 - Projected: 3%
<table>
<thead>
<tr>
<th></th>
<th>FY 2012</th>
<th>Proposed FY 2013</th>
<th>Increase (Decrease)</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>In-State Students</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition Rate</td>
<td>$12,888</td>
<td>$13,344</td>
<td>$456</td>
<td>3.5%</td>
</tr>
<tr>
<td>Housing (traditional double)</td>
<td>$6,426</td>
<td>$6,650</td>
<td>$224</td>
<td>3.5%</td>
</tr>
<tr>
<td>Average Meal Plan</td>
<td>$3,282</td>
<td>$3,414</td>
<td>$132</td>
<td>4.0%</td>
</tr>
<tr>
<td>Student Fees</td>
<td>$1,896</td>
<td>$1,940</td>
<td>$44</td>
<td>2.3%</td>
</tr>
<tr>
<td><strong>Total In-State Costs</strong></td>
<td>$24,492</td>
<td>$25,348</td>
<td>$856</td>
<td>3.5%</td>
</tr>
<tr>
<td><strong>Out-of-State Students</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tuition Rate</td>
<td>$32,528</td>
<td>$33,672</td>
<td>$1,144</td>
<td>3.5%</td>
</tr>
<tr>
<td>Housing (traditional double)</td>
<td>$6,426</td>
<td>$6,650</td>
<td>$224</td>
<td>3.5%</td>
</tr>
<tr>
<td>Average Meal Plan</td>
<td>$3,282</td>
<td>$3,414</td>
<td>$132</td>
<td>4.0%</td>
</tr>
<tr>
<td>Student Fees</td>
<td>$1,896</td>
<td>$1,940</td>
<td>$44</td>
<td>2.3%</td>
</tr>
<tr>
<td><strong>Total Out-of-State Costs</strong></td>
<td>$44,132</td>
<td>$45,676</td>
<td>$1,544</td>
<td>3.5%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tuition Rates Per Credit Hour</th>
<th>2012</th>
<th>Proposed 2013</th>
<th>Increase (Decrease)</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>In-State Students</td>
<td>$537</td>
<td>$556</td>
<td>$19</td>
<td>3.5%</td>
</tr>
<tr>
<td>Out-of-State Students</td>
<td>$1,355</td>
<td>$1,403</td>
<td>$48</td>
<td>3.5%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>College of Medicine Tuition</th>
<th>FY 2012</th>
<th>Proposed FY 2013</th>
<th>Increase (Decrease)</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>In-State Tuition</td>
<td>$29,220</td>
<td>$30,070</td>
<td>$850</td>
<td>2.9%</td>
</tr>
<tr>
<td>Out-of-State Tuition</td>
<td>$51,150</td>
<td>$52,630</td>
<td>$1,480</td>
<td>2.9%</td>
</tr>
</tbody>
</table>
## Proposed Room/Meal Rates

<table>
<thead>
<tr>
<th>Room Rates</th>
<th>FY 2012</th>
<th>FY 2013</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private Single with Bath</td>
<td>$8,022</td>
<td>$8,302</td>
<td>3.5%</td>
</tr>
<tr>
<td>Private Double with Bath</td>
<td>$7,836</td>
<td>$8,110</td>
<td>3.5%</td>
</tr>
<tr>
<td>Suite Single with Shared Bath</td>
<td>$7,586</td>
<td>$7,850</td>
<td>3.5%</td>
</tr>
<tr>
<td>Suite Double with Shared Bath</td>
<td>$6,552</td>
<td>$6,780</td>
<td>3.5%</td>
</tr>
<tr>
<td>Traditional Single</td>
<td>$7,400</td>
<td>$7,660</td>
<td>3.5%</td>
</tr>
<tr>
<td>Traditional Double</td>
<td>$6,426</td>
<td>$6,650</td>
<td>3.5%</td>
</tr>
<tr>
<td>Traditional Triple</td>
<td>$5,124</td>
<td>$5,304</td>
<td>3.5%</td>
</tr>
</tbody>
</table>

### Meal Plan Rates

<table>
<thead>
<tr>
<th>Plan Description</th>
<th>FY 2012</th>
<th>FY 2013</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retail Dining - Lite Points</td>
<td>$2,682</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Retail Dining - High Points</td>
<td>$3,414</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlimited Access (+100 pts.)</td>
<td>$3,414</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlimited Access (+300 pts.)</td>
<td>$3,816</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Majority Used Plans*

<table>
<thead>
<tr>
<th>Room Rate</th>
<th>FY 2012</th>
<th>FY 2013</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traditional Double</td>
<td>$6,426</td>
<td>$6,650</td>
<td>3.5%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Meal Plan Rate</th>
<th>FY 2012</th>
<th>FY 2013</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retail Dining - High Points</td>
<td>$3,282</td>
<td>$3,414</td>
<td>4.0%</td>
</tr>
<tr>
<td>Unlimited Access (+100 pts.)</td>
<td>$3,282</td>
<td>$3,414</td>
<td>4.0%</td>
</tr>
</tbody>
</table>

*Combined average room & meal would increase 3.7% above last year's comparative rates.

## Residence Hall Activity - FY 2013

<table>
<thead>
<tr>
<th>Complex/Hall</th>
<th>Beds Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBW</td>
<td>392</td>
</tr>
<tr>
<td>Converse</td>
<td>164</td>
</tr>
<tr>
<td><strong>Total Central Campus</strong></td>
<td><strong>556</strong></td>
</tr>
<tr>
<td>MAT</td>
<td>427</td>
</tr>
<tr>
<td>H/M</td>
<td>686</td>
</tr>
<tr>
<td>L/L</td>
<td>582</td>
</tr>
<tr>
<td>U. Heights N</td>
<td>406</td>
</tr>
<tr>
<td>U. Heights S</td>
<td>394</td>
</tr>
<tr>
<td><strong>Total Athletic Campus</strong></td>
<td><strong>2,495</strong></td>
</tr>
<tr>
<td>CWP</td>
<td>501</td>
</tr>
<tr>
<td>MSH</td>
<td>464</td>
</tr>
<tr>
<td>Coolidge</td>
<td>146</td>
</tr>
<tr>
<td>Redstone</td>
<td>33</td>
</tr>
<tr>
<td>Slade</td>
<td>24</td>
</tr>
<tr>
<td>WDW</td>
<td>528</td>
</tr>
<tr>
<td><strong>Total Redstone Campus</strong></td>
<td><strong>1,696</strong></td>
</tr>
<tr>
<td>J. Mance</td>
<td>165</td>
</tr>
<tr>
<td>McAuley</td>
<td>156</td>
</tr>
<tr>
<td>Mercy</td>
<td>182</td>
</tr>
<tr>
<td>Back Five</td>
<td>221</td>
</tr>
<tr>
<td>Cottages</td>
<td>28</td>
</tr>
<tr>
<td><strong>Total North Campus</strong></td>
<td><strong>752</strong></td>
</tr>
<tr>
<td><strong>Total All Campuses</strong></td>
<td><strong>5,499</strong></td>
</tr>
</tbody>
</table>

**Average Occupancy** 5,235
Ted Winfield Appreciation Resolution
WHEREAS, Ted Winfield is retiring after serving in a distinguished manner in budgetary and financial management positions spanning 30 years at the University Health Center and at the University of Vermont; and
WHEREAS, Ted has earned the trust, confidence, and respect of the Board of Trustees, the Administration, and the University community, with whom he worked selflessly, creatively, professionally and with good humor to facilitate our mission as a public research university; and
WHEREAS, Ted has undertaken very difficult tasks with a calm and reassuring demeanor that has served him well in his relationships with people across the campus as well as those throughout the Green Mountain State; and
WHEREAS, through his efforts we have made great strides in managing and planning the university budget and building a solid basis for the future during a time of great change;
NOW, THEREFORE, BE IT RESOLVED, that the Board of Trustees of the University of Vermont and State Agricultural College expresses its deep appreciation, genuine affection, and heartfelt best wishes to Ted Winfield on the occasion of his retirement from the University.

Tuition Charges for Fiscal Year 2013
RESOLVED, that the Board of Trustees hereby approves increases in the following tuition rates effective with the 2012-2013 academic year:

a. In-state tuition from $12,888 to $13,344 per year, or $556 per credit hour.
b. Out-of-state tuition from $32,528 to $33,672 per year, or $1,403 per credit hour.
c. Medical student in-state tuition from $29,220 to $30,070 per year. Medical student out-of-state tuition from $51,150 to $52,630 per year.

Online Tuition Rate
RESOLVED, that the Board of Trustees hereby approves the continuation of variable tuition rates for programs that are offered exclusively online. Consistent with the Board resolution in 2011, online tuition rates for the fall 2012 semester are set at a minimum rate of $556 and a maximum rate of $1,403 per credit hour for the 2012-13 academic year. The rate will be determined by the Provost, based on demand for the program and assessment of the national market place for similar online programs.

Room and Meal Plan Rates, Fiscal Year 2013
RESOLVED, that the Board of Trustees hereby approves room and meal plan rates for Fiscal Year 2013 as follows:

<table>
<thead>
<tr>
<th>Room Type</th>
<th>Per Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private Single with Bath</td>
<td>$8,302</td>
</tr>
<tr>
<td>Private Double with Bath</td>
<td>$8,110</td>
</tr>
<tr>
<td>Suite Single with Shared Bath</td>
<td>$7,850</td>
</tr>
<tr>
<td>Suite Double with Shared Bath</td>
<td>$6,780</td>
</tr>
<tr>
<td>Traditional Single</td>
<td>$7,660</td>
</tr>
<tr>
<td>Traditional Double</td>
<td>$6,650</td>
</tr>
<tr>
<td>Traditional Triple</td>
<td>$5,304</td>
</tr>
</tbody>
</table>
Retail Dining – Lite Points $2,682
Retail Dining – High Points $3,414
Unlimited Access (+100 Points) $3,414
Unlimited Access (+250 Points) $3,816

Student Fees for Fiscal Year 2013
RESOLVED, that the Board of Trustees approves increases to student fees from $1,896 to $1,940 effective with the 2012-2013 academic year.

Graduate Student Senate Fee for Fiscal Year 2013
RESOLVED, that the Board of Trustees approves the Graduate Student Senate fee in the amount of $20 for the academic year.

Graduate Continuous Registration Fee for Fiscal Year 2013
RESOLVED, that the Board of Trustees approves increases to the Graduate Continuous Registration fee from the same amount of $100 per semester regardless of effort level to varying the fee at less than half-time $100 per semester, half to full-time $200 per semester and, full-time $300 per semester effective with the 2012-2013 academic year.

Fiscal Year 2013 Budget Planning Assumptions: General Fund
RESOLVED, that the Board of Trustees hereby approves the budget planning assumptions for Fiscal Year 2013, which lead to a General Fund operating expense budget for the University of $299,575,000, and hereby authorizes the President to proceed with detailed budget preparation in accordance with these assumptions.

Resolution Approving Issuance of Up to $82.3 Million of Bonds to Refund All or a Portion of the Series 1998, 2002 and 2005 Bonds
WHEREAS, based on current market conditions there is a favorable refunding opportunity commencing in June, 2012 for refunding all or a portion of the University’s Series 1998, 2002 and/or 2005 Bonds through the issuance of not to exceed $82.3 million principal amount of refunding bonds; and

WHEREAS, at its April 16, 2012 meeting, the Budget, Finance and Investment Committee instructed the Administration to work with Prager & Company to analyze the considerations relating to undertaking a refunding; and

WHEREAS, the Chair of the Budget Finance and Investment Committee has appointed a small working group of Trustees to review and advise the Administration on the final elements of the refunding;

NOW, THEREFORE, BE IT RESOLVED, that the President and the Vice President for Finance and Administration, or their successors or designees, are hereby authorized to proceed with such refunding in consultation with the working group and, subject to final approval by the Executive Committee, to execute any and all contracts and documents necessary to undertake the refunding through the issuance of not to exceed $82,300,000 of refunding bonds, with anticipated net present value savings of not less than 3% of the par amount of the refunded bonds and costs of issuance not to exceed 1.25% of the par amount of the refunding bonds; and

BE IT FURTHER RESOLVED, that the President and Vice President shall develop the details of the refunding proposal, to be subsequently submitted for approval by the Board. These refunding recommendations will be brought to the Executive Committee for action if they are fully developed before the fall 2012 Board meeting.
and the Executive Committee is hereby authorized to approve the issuance of refunding bonds and the refunding of the outstanding bonds consistent with the terms of this resolution in order that the refunding may expeditiously proceed to take advantage of appropriate market conditions.

(As recommended by the ISC April 25, 2012)

**Reaffirm Divestiture from Sudan**

WHEREAS, the Board of Trustees approved a resolution for Divestment from Sudan on May 20, 2006;

WHEREAS, the resolution was amended by the Executive Committee on June 12, 2006, to include annual review and reaffirmation;

WHEREAS, the Committee on Socially Responsible Investing was dissolved as part of a new committee structure approved by the Board in September 2006 and implemented in November 2006; and

WHEREAS, the Board established a Socially Responsible Investing (SRI) Work Group in September 2008;

NOW, THEREFORE BE IT RESOLVED, that the Board of Trustees reaffirms its Resolution for Divestment from Sudan, as adopted by the Board on May 18, 2006, and amended by the Executive Committee on June 12, 2006 (as stated below);

BE IT FURTHER RESOLVED, that the Budget, Finance and Investment Committee, will review this resolution on an annual basis.

**Resolution for Divestment from Sudan**

WHEREAS, the University’s Policy Statement on Moral, Social and Ethical Considerations in Investment and Shareholder Resolutions holds that the primary objective of investment by the University is to provide a satisfactory return on investment for the support of University operations based upon the Prudent Investor Rule; and

WHEREAS, the Policy Statement also holds, however, that the policy of fiscal prudence shall not preclude the University from considering moral, ethical, and social criteria in determining companies in which to invest; and

WHEREAS, a balanced group of the University community has been convened as the Committee on Socially Responsible Investing and has studied the issue of genocide in the Darfur region of Sudan and has made recommendations to the Investment Committee of the Board of Trustees;

THEREFORE, BE IT RESOLVED, that the University adopt and implement a policy of targeted divestment from companies doing business with or otherwise aiding the governing regime of Sudan based on the model developed by the Sudan Divestment Task Force;

BE IT FURTHER RESOLVED, that the University implement its divestment policy to the fullest extent consistent with its fiduciary responsibilities; and

BE IT FURTHER RESOLVED, that the Committee on Socially Responsible Investing will review and reaffirm this resolution on an annual basis.
Contract Approvals:

Resolution Approving Contract with Apple, Inc. for Computer Depot Equipment Resale Purchase
BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is hereby authorized to execute a contract with Apple, Inc. for Computer Depot equipment resale purchase for a period of three years, in an amount not to exceed $2,500,000 per year. Contract dates are July 1, 2012, through June 30, 2015.

Resolution Approving Contract with Presidio Networked Solutions
BE IT RESOLVED, that the Vice President for Finance and Administration, in consultation with the Chief Information Officer, is authorized to enter into a contract with Presidio Networked Solutions for Cisco systems network equipment through December 31, 2013 in an amount not to exceed $2,500,000.

Resolution Approving Contract with Sodexo Inc.
BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is authorized to exercise the three-year renewal option of the Sodexo contract from 2002, including the related collection and transmission of fees and charges associated with the operation of the meal plan for students and any related services defined under the contract. As renewed on July 1, 2012, the contract will run until June 30, 2015, in an amount not to exceed $55,000,000, all of which will be funded by student fees.

Resolution Approving Contract with Staples, Inc.
BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is hereby authorized to execute a contract with Staples, Inc. for general office supplies for the period of two years, starting July 1, 2012, through June 30, 2014, at a not-to-exceed amount of $2 million.

Resolution Approving Contract with Philips Medical Capital
BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is authorized to enter into a two-year renewal lease option with Philips Medical Capital, for the lease of a Magnetic Resonance Imaging magnet beginning August 1, 2012, through July 31, 2014, for an amount not to exceed $862,536.

Resolution Approving Agreement with TIAA-CREF
BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is authorized to enter into a three-year agreement with TIAA-CREF for the management of a Voluntary Employee Beneficiary Association (VEBA) plan beginning July 1, 2012, for a fee not to exceed $75,000 and contributions on behalf of employees in the amount stipulated in the relevant employment contracts and agreements, which is estimated to be approximately $2,500,000 over the contract period.
REVISED AGENDA

<table>
<thead>
<tr>
<th>Item</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Call to Order</strong></td>
</tr>
<tr>
<td>1. Approval of February 3, 2012 meeting minutes</td>
</tr>
<tr>
<td>2. Report by the Faculty Senate Curricular Affairs Committee Chair (Discussion)</td>
</tr>
<tr>
<td>3. Action Items</td>
</tr>
<tr>
<td>• Resolution Approving On-Line Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants</td>
</tr>
<tr>
<td>• Resolution Approving On-Line Certificate of Graduate Study in Public Health</td>
</tr>
<tr>
<td>• Resolution Approving a New Astronomy Minor</td>
</tr>
<tr>
<td>• Resolution Approving Vermont State 4-H Foundation as an Affiliated Organization</td>
</tr>
<tr>
<td>• Reaffirmation of the Equal Employment Opportunity/Affirmative Action and Equal Opportunity in Education Programs and Activities and Non-Harassment Policies</td>
</tr>
<tr>
<td>4. Standardizing Graduate Education Credit Requirement Practices</td>
</tr>
<tr>
<td>5. Program Viability Review</td>
</tr>
<tr>
<td>6. General Education Update</td>
</tr>
<tr>
<td>Item</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>7. Vermonters’ Access to UVM</td>
</tr>
<tr>
<td>8. Collegiate Learning Assessment Update</td>
</tr>
<tr>
<td><strong>Recess</strong></td>
</tr>
<tr>
<td><strong>Reconvene</strong></td>
</tr>
<tr>
<td>• Q&amp;A Routine and Annual Reports</td>
</tr>
<tr>
<td>➢ TRI Annual Report</td>
</tr>
<tr>
<td>➢ UVM Foundation Report</td>
</tr>
<tr>
<td>➢ Capital Projects Progress Report</td>
</tr>
<tr>
<td>10. Strategic Initiative Project Update</td>
</tr>
<tr>
<td>11. Other Business*</td>
</tr>
<tr>
<td>• Review of work plan and preview of next meeting agenda</td>
</tr>
<tr>
<td><strong>ADJOURN</strong></td>
</tr>
</tbody>
</table>

*Executive Session as needed.  
Times are approximate
At this meeting, the Committee will receive status updates and continue discussions on current Provost’s Office initiatives. Time will be reserved following my report to allow an opportunity for Committee members to ask questions on routine reports submitted for informational purposes (see list at end of memo). The Committee will consider action items outlined below.

**ACTION ITEMS**

**Approval of Previous Meeting Minutes**
The minutes for the February 3, 2012 meeting are included as Attachment 1.

*Action:* Motion to approve the minutes.

**Curricular Affairs Committee Recommendation**
The Faculty Senate reviewed and approved the creation of a new on-line Post-Baccalaureate Certificate of Study for Speech-Language Pathology Assistants. Report B

*Action:* Resolution approving the creation. Attachment 2

**Resolution Approving Vermont State 4-H Foundation as an Affiliated Organization**
4-H clubs both in Vermont and nationally previously operated as tax exempt entities via a group IRS ruling (GEN 2704) from the U.S. Department of Agriculture (USDA), as administered by the National Institute of Food and Agriculture (NIFA). However, Land Grant Universities were notified by the USDA during the summer of 2010 that the group exemption would sunset in March 2011, a deadline that has since been extended to July 2012, and Extension Services was charged by the USDA with “choosing the most appropriate means of maintaining the tax exemption of Vermont 4-H Clubs and Affiliates”.

Since UVM was originally notified of this change, a decision was made that 4-H Clubs, which do not have independent legal status, would be administered as educational activities of Extension Services and derive their tax exempt status from that of UVM. That process is nearly complete. In addition to the 118 4-H Clubs around the State, consideration was also given to the status of the Vermont State 4-H Foundation, whose sole purpose is to encourage, advance and promote the 4-H program administered by UVM Extension. As the Vermont State 4-H Foundation is a legally separate 501(c)(3) entity, which will not rely on the University for its tax exempt status, the State Foundation fits squarely within the confines of the University’s
Affiliated Organization’s Policy, which states that board approval is required to grant affiliated organization status to an entity established solely for the benefit and support of the University or a University unit, program or activity. As such, this matter is now before the Committee for appropriate approval.

Under the terms of the Affiliated Organization’s Policy, UVM and the State Foundation need to enter into a Memorandum of Understanding (MOU) to make clear the relationship between UVM and the 4-H Foundation, and specify the rights and responsibilities of each therein. This MOU has not yet been finalized.

Action: Resolution approving the Vermont State 4-H Foundation, Inc. as an Affiliated Organization. Attachment 2

Reaffirmation of Equal Opportunity Statements
The Equal Employment Opportunity/Affirmative Action Policy and Equal Opportunity in Education Programs and Activities and Non-Harassment Policy Statements and are due for annual review by the Board for compliance purposes and fall under the purview of this Committee. The former has minor amendments as the result of refinements in federal laws protecting veterans.

The Committee will be asked to re-affirm both policies as amended and included as Appendices A & B to Attachment 2.

Action: Resolution Reaffirming Equal Opportunity Statements. Attachment 2

STATUS UPDATES

Standardizing Graduate Education Requirement Practices - Over the past year, representatives from the Graduate College and a number of University Offices with which graduate students intersect met to standardize and improve the University’s practices regarding graduate education. Included as Attachment 3 in your meeting materials is a summary of changes including the definition of full-time and part-time graduate student and continuous graduate registration fees. Cindy Forehand, Associate Dean of the Graduate College, will be in attendance at the meeting to address questions.

Program Viability Review - At the EPIR meeting of May 20, 2011, Provost Knodell presented a plan for program viability review process at UVM. Brian Reed, Associate Provost for Curricular Affairs will provide an update on plans for implementation in relation to the determination of criteria and metrics for assessing programs’ strategic value and financial attractiveness.

General Education - Julie Roberts, Faculty Senate President, will report on the implementation of a writing pilot, a forerunner to the proposed university-wide writing program.
**Vermonters’ Access to UVM** - Concerns about low completion rates in high school and the high costs of post-secondary education have spawned efforts to improve higher education at the national level and in Vermont. Brian Reed, Associate Vice Provost for Curricular Affairs will provide an overview of what UVM does and plans to do to make the University accessible to Vermonters.  **Attachment 4**

**Collegiate Learning Assessment** - Brian Reed, Associate Provost for Curricular Affairs will report on a trial of the Collegiate Learning Assessment (CLA) during the fall 2011 semester. The CLA is a standardized examination that uses a "value-added" model to examine a university's contribution to student learning.

**DISCUSSION ITEMS**

**Provost’s Report** - Included as **Attachment 5** is my report that gives focused attention to the Strategic Value and Financial Attractiveness component of the Strategic Initiatives Project (SIP); the results of the campus community survey on the SIP investment proposals; and plans for an enhanced and expanded Humanities Center.

Time will be reserved at the end of my report to allow an opportunity for questions on routine reports submitted for informational purposes (see list below).

**Strategic Initiatives Project Update** - I will continue the Committee of the Whole discussion on the results of the work of the Strategic Initiatives Project (SIP), paying special attention to the Strategic Value and Financial Attractiveness criteria and metrics and the prioritized list of proposed investments. (see attachment 9 in the Committee of the Whole section)

**Review of Committee Work Plan** - Time has been reserved at the end of the meeting to review the draft work plan for the year and preview agendas topics for our next meeting. **Attachment 6**

**ROUTINE REPORTS**

Report by the Chair of the Faculty Senate Curricular Committee – **Report B**  
Annual Transdisciplinary Research Initiative Report – **Report C**  
UVM Foundation Report – **Report D**  
EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES COMMITTEE
BOARD OF TRUSTEES
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

A meeting of the Educational Policy and Institutional Resources Committee of the Board of Trustees of the University of Vermont and State Agricultural College was held on Friday, February 3, 2012 at 11:15 a.m. in the Livak Ballroom, 417-419 Dudley H. Davis Center.

MEMBERS PRESENT: Chair Donna Sweaney, Co-Vice Chair Bill Botzow, Co-Vice Chair Jeffrey Davis, Christopher Bray, Frank Cioffi, Kyle DeVivo, David Potter, Dale Rocheleau, and Jeanette White

TRUSTEES ABSENT: John Hilton and Bill Ruprecht

OTHER TRUSTEES PRESENT: Interim President John Bramley, ex-officio

REPRESENTATIVES PRESENT: Faculty Representatives Richard Galbraith, Stephanie Kaza and Cathy Paris; Staff Representative Lesley Boucher and Amanda McIntire; Alumni Representative Ted Madden; Student Representatives Gavin Caster and Tyler Wilkinson-Ray; and Graduate Student Representative Jude Paul Dizon

REPRESENTATIVES ABSENT: Alumni Representative Krissy Pisanelli and Graduate Student Representative Ashley Gunn

PERSONS ALSO PARTICIPATING: Jane Knodell, Senior Vice President and Provost; Domenico Grasso, Vice President for Research and Dean of Graduate Studies; Mara Saule, Dean of Libraries and Learning Resources; David Todd, Chief Information Officer; Wanda Heading-Grant, Chief Diversity Officer; and Jane Kolodinksy, Chair of the Department of Community Development and Applied Economics

Chair Donna Sweaney called the meeting to order at 11:15 a.m.

Chair Sweaney announced that Alumni Representative Krissy Pisanelli will be stepping down following this meeting and expressed the Committee’s appreciation for her service.

Approval of Minutes

A motion was made, seconded and voted to approve the minutes of the October 21, 2011 meeting.

Provost’s Report

Provost Jane Knodell introduced Vice President for Research and Dean of the Graduate College, Domenico Grasso, who announced that after many years, five Ph.D. programs will be combined into one Ph.D. Program for Cellular, Molecular and Biomedical Science. Dean Grasso thanked
Chris Berger, Cindy Forehand, Mary Tierney, Rick Morin and Tom Vogelmann for their efforts in combining resources to create this new program.

**Report by the Faculty Senate Curricular Affairs Committee Chair**

Cathy Paris, Faculty Senate Curricular Affairs Committee Chair, gave a brief report highlighting that the Committee and the Faculty Senate have approved a proposal to create a Cross-College Master of Science Program in Food Systems. This program will serve as a vital intellectual center for the food systems transdisciplinary research initiative, bringing together graduate students and faculty from around the University for research seminars, service-learning projects, travel immersion courses, and other endeavors. The recent decision to make Food Systems the focus of a transdisciplinary Spire of Excellence underscores the opportunity for UVM to build a distinctive reputation for research and scholarship in this emerging field, and makes the creation of a Food Systems master’s degree both fitting and necessary. Provost Knodell acknowledged Steering Committee Chair of the Transdisciplinary Research Initiative Spire in Food Systems, Jane Kolodinsky, for her work in putting together the proposal.

**Action Items**

The Faculty Senate reviewed and approved the creation of a Cross-College Master of Science Program in Food Systems.

Chair Sweaney presented the following resolution for approval and offered an opportunity for discussion:

**Resolution Approving Creation of Cross-College Master of Science Program in Food Systems**

RESOLVED, that the Board of Trustees approves the creation of a Cross-College Master of Science Program in Food Systems, as approved and advanced by the Provost and the President on January 19, 2012.

A motion was made, seconded and it was unanimously voted to approve the resolution for recommendation to the full Board.

In recognition of Frank Livak’s leadership on the outdoor track and field facility, his generosity, his life-long relationship with the University, his history as a stand-out cross-country and track and field competitor and the scope of his philanthropy and impact at UVM, it is proposed that the outdoor track and field be formally named The Frank H. Livak ’41 Track and Field Facility.

Chair Sweaney presented the following resolution for approval and offered an opportunity for discussion:
Resolution Approving Naming of Outdoor Track and Field Facility

WHEREAS, the University’s new outdoor track and field facility was opened on October 15, 2011, at a cost of $2.6 million, and

WHEREAS, a generous leadership gift from Frank Livak ’41 made construction of the facility possible and punctuated a period of tremendous philanthropy from this individual;

NOW, THEREFORE, BE IT RESOLVED, that the new outdoor track and field facility shall be named “The Frank H. Livak ’41 Track and Field Facility.”

A motion was made, seconded and it was unanimously voted to approve the resolution for recommendation to the full Board.

Academic Technology Plan Status Update

Dean of Libraries & Learning Resources Mara Saule reported on the UVM academic technology planning process. Launched in the fall of 2010, the academic technology planning process has a two-fold purpose of identifying academic technology goals and specific objects that will advance the University’s commitment to academic excellence and align with the University’s strategic goals, and secondly, to identify and prioritize Technology Innovation Fund (TIF/student technology fee) investments in support of academic technology goals. The current planning process includes drawing upon campus surveys, focus groups, interviews, and benchmark data to draft an Academic Technology Plan. Ongoing priorities for investment include significantly expanding wireless, improving classroom technologies, and supporting students and faculty in optimally using University systems. In addition, three categories of objectives have emerged: Research Collaboration Infrastructure; Instructional Technology Infrastructure; and Technology Support and Innovation.

The next steps include analyzing implementation approaches and resource needs for the priorities in each of the three categories.

At 12:00 p.m., Chair Sweeney recessed the meeting.

At 1:30 p.m., the meeting reconvened.

Campus Climate Survey Results & Recommendations

Chief Diversity Officer Wanda Heading-Grant presented the results of the Campus Climate Survey which had been conducted in April 2011 among faculty, staff and students. Surveys were completed by 1,905 faculty and staff; and 2,791 students. The Center for Rural Studies was responsible for data and analysis. Highlights included several findings:

- Overall, satisfaction with UVM experience is high among faculty, staff and students; faculty, staff and students also feel that UVM is an inclusive place to work and study.
• Faculty, staff and students feel a sense of respect from students and staff, though less so from senior administrators and advisors.
• Very few faculty, staff or students reported having been sexually harassed in the past year; however, a large minority of faculty, staff and students has reported experiencing bias and/or discrimination during their time at UVM.

Dr. Grant made the following recommendations:

• Faculty, staff, and student focus groups be convened by the end of May 2012 and results shared at a future Board of Trustees meeting.

• A comprehensive diversity professional development plan for faculty, staff, students, and administrators be developed by May 2012 and implemented by Fall 2012.

• A working group of experts, scholars, and key University officials be immediately identified, and that group be charged with developing a three year assessment plan by May of 2012.

Referencing the Dashboard Indicators (Report H), Trustee David Potter expressed his concern with the number of “red arrows” concerning the satisfaction indicators. Dr. Heading-Grant responded that in terms of satisfaction and respect, the responses on the survey were high and that “satisfaction” means a lot of things to different people, e.g., salary, pay raises, environment, etc. Trustee Bill Botzow also expressed discouragement concerning the red arrows and pointed out that obviously there is a lot of work to do and inquired as to whether certain areas can be targeted. Dr. Heading-Grant responded that more information is needed in order to target certain areas. Provost Knodell also acknowledged that the additional training on diversity and civility that Dr. Heading-Grant referred to in her report and that training should start at the top in order to address the satisfaction concerns.

Provost Knodell commended Dr. Heading-Grant and Professor Kolodinsky for their work.

**Strategic Initiative Project**

Provost Knodell, having presented a full report at the Committee of the Whole in the morning, used the time to address any questions Committee members might have. Trustee Dale Rocheleau requested a copy of the risk assessment for internationalization document be sent to the Trustees again.

**Other Business**

Provost Knodell informed the Trustees that an update of the Strategic Initiatives Project will comprise a large part of the May agenda. A status report on internationalization will also be presented at that time.

In response to a question concerning identifying any areas of academic weakness that have been identified in the Strategic Initiatives Project, Provost Knodell pointed out that any areas of academic weakness would come out of the Strategic Value Assessment exercise which will be
discussed only in a *theoretical* way this spring in terms of what the criteria and metrics should be, and then next fall, interpretation of the results from the analysis will begin.

Trustee Bill Botzow asked the question, “Are people having fun?” Provost Knodell suggested asking the faculty, staff and students on the Committee to respond. After several faculty and student Committee members responded affirmatively, Staff Representative Amada McIntire reported that, working in Human Resource Services in employee relations, she works with faculty and staff regarding issues in the workplace and the biggest concern she has heard has been the post-retirement benefits issue. She said that people may not be necessarily having “fun,” but they are feeling hopeful and feel that the University is turning a corner particularly with the potential of changes in leadership and they are looking for some clear communication from the top down. Ms. McIntire thanked Trustee Botzow for asking the question.

**Adjournment**

There being no further business, the meeting was adjourned at 2:55 p.m.

Respectfully submitted,

Donna Sweaney, Chair
Resolution Approving On-Line Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants

RESOLVED, that the Board of Trustees approves the creation of an on-line Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants as approved and advanced by the Provost on April 18, 2012 and the President on April 20, 2012.

Resolution Approving On-Line Certificate of Graduate Study in Public Health

RESOLVED, that the Board of Trustees approves the creation of an on-line Certificate of Graduate Study in Public Health as advanced by the Provost and the President on May 17, 2012.

Resolution Approving a New Astronomy Minor

RESOLVED, that the Board of Trustees approves the creation of a new Astronomy Minor as advanced by the Provost and President on May 17, 2012.

Resolution Approving the Vermont State 4-H Foundation, Inc. as an Affiliated Organization

RESOLVED, that the Board of Trustees hereby approves the Vermont State 4-H Foundation, Inc. as an affiliated organization of the University of Vermont in support of 4-H programs administered by UVM Extension Services, subject to the execution of a Memorandum of Understanding pursuant to the University’s Affiliated Organization’s Policy.

BE IT FURTHER RESOLVED, that the President is authorized to enter into such a Memorandum of Understanding for a term of three years.

Resolution Reaffirming Equal Opportunity Statements

RESOLVED, that the Board reaffirms the Equal Employment Opportunity/Affirmative Action Policy Statement as amended and attached hereto as Appendix A, and the Equal Opportunity in Educational Programs and Activities and Non-Harassment Policy Statement, attached hereto as Appendix B, both effective as of May 19, 2012.
Appendix A

Equal Employment Opportunity/Affirmative Action Policy Statement

Policy Statement

The University of Vermont and State Agricultural College is committed to a policy of equal employment opportunity and to a program of affirmative action in order to fulfill that policy. The University will accordingly recruit and hire into all positions the most qualified persons in light of job-related requirements, and applicants and employees shall be treated in employment matters without regard to unlawful criteria including race, color, religion, ancestry, national origin, place of birth, sex, sexual orientation, disability, age, positive HIV-related blood test results, status as a disabled or Vietnam Era Veteran, genetic information, or gender identity or expression, or status as a disabled veteran, recently separated veteran, other protected veteran or Armed Forces service medal veteran, as these terms are defined under applicable law, or any other factor or characteristic protected by law.

In addition, the University of Vermont recognizes that discriminatory harassment and sexual harassment are forms of unlawful discrimination, and it is, therefore, the policy of the University that discriminatory harassment and sexual harassment will not be tolerated. The University also prohibits unlawful harassment on the basis of other characteristics protected by law.

Further, employees and applicants will not be subjected to harassment or retaliation because they have engaged in or may engage in the following: filing a complaint or assisting or participating in an investigation regarding alleged discrimination or harassment as prohibited in the policy statement above; filing a complaint or assisting or participating in an investigation, compliance evaluation, or any other activity related to the administration of the Vietnam Era Veterans’ Readjustment Assistance Act of 1974 ("VEVRAA"), Section 503 of the Rehabilitation Act of 1973 ("Rehabilitation Act"), or the Affirmative Action provisions of federal, state or local
Equal Employment Opportunity/Affirmative Action Policy Statement

law; opposing any act or practice made unlawful by VEVRAA, requiring equal employment opportunities for individuals with disabilities, disabled veterans, or veterans of the Vietnam Era; recently separated veterans, other protected veterans, or Armed Forces service medal veterans; or exercising any rights under VEVRAA or the Rehabilitation Act.

Sources: Titles VI and VII of the Civil Rights Act of 1964; the Immigration Reform and Control Act of 1986; Title IX of the Education Amendments of 1972; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; the Age Discrimination Act of 1975; Sections 503 and 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; Section 402 of the Vietnam-Era Veterans Readjustment Assistance Act of 1974; Executive Order 11246 as amended; the Genetic Information Nondiscrimination Act of 2008; and the Vermont Fair Employment Practices Act, all as amended; and such other federal, state and local non-discrimination laws as may apply.

Note: This Statement of Policy is the official University of Vermont Equal Educational Opportunity Policy Statement and supersedes all prior policy statements regarding its subject matter. It may be modified only by written statement issued by the President as Chief Executive Officer of the University or by formal action by the University of Vermont and State Agricultural College Board of Trustees. This Policy Statement is designed to express the University’s intent and commitment to comply with the requirements of federal, state and local non-discrimination laws. It shall be applied coextensively with such laws, and shall not be interpreted as creating any rights, contractual or otherwise, that are greater than exist under such non-discrimination laws. Persons seeking to participate in educational opportunities offered by the University must consult position and program descriptions to determine criteria for eligibility. All such criteria shall be established in a manner consistent with the legal requirements herein referenced.

Contacts

Questions regarding this policy statement or compliance with its provisions may be directed to:

Chief Diversity Officer and
Special Assistant to the President for Multicultural Initiatives
University of Vermont
346 Waterman Building
Burlington, VT 05405
(802) 656-8426

Questions may also be directed to government agencies having oversight and enforcement authority with respect to the referenced laws. A complete listing of such agencies may be obtained from the Office of Affirmative Action and Equal Employment Opportunity.

The President is the University official responsible for the interpretation and administration of this policy.
**Related Documents/Policies**

Equal Opportunity in Educational Programs and Activities Policy Statement  
http://www.uvm.edu/~uvmppg/ppg/student/equaledu.pdf

Sexual Harassment Policy – Employees  
http://www.uvm.edu/~uvmppg/ppg/hr/sexharasemp.pdf

Procedures for Investigating and Resolving Discrimination Complaints  

**Effective Date**

Approved by:

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<td>Daniel M. Fogel</td>
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<td>A. John Bramley</td>
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<th>Chair, Board of Trustees</th>
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<td>Robert Cioffi</td>
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Equal Opportunity in Educational Programs and Activities and Non-Harassment

Policy Statement

The University of Vermont and State Agricultural College is committed to a policy of equal educational opportunity. The University therefore prohibits discrimination on the basis of unlawful criteria such as race, color, religion, national or ethnic origin, age, sex, sexual orientation, marital status, disability, or gender identity or expression, as those terms are defined under applicable law, in admitting students to its programs and facilities and in administrating its admissions policies, educational policies, scholarship and loan programs, athletic programs, and other institutionally administered programs or activities made available to students at the University. The University also prohibits harassment, as defined in the Vermont Statutes at Title 16, section 11(a)(26). Unlawful harassment is a form of discrimination and is therefore prohibited. Sources: Title VI of the Civil Rights Act of 1964; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Section 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; the Vermont Public Accommodations Act; and such other federal, state, and local non-discrimination laws as may apply.

Note: This Statement of Policy is the official University of Vermont Equal Educational Opportunity Policy Statement and supersedes all prior statements regarding its subject matter. It may be modified only by written statement issued by the President as Chief Executive Officer of the University or by formal action by the University of Vermont and State Agricultural College Board of Trustees. This Policy Statement is designed to express the University's intent and commitment to comply with the requirements of federal, state and local non discrimination laws. It shall be applied co-extensively with such laws, and shall not be interpreted as creating any rights, contractual or otherwise, that are greater than exist under such non discrimination laws. Persons seeking to participate in educational opportunities offered by the University must consult position and program descriptions to determine criteria for eligibility. All such criteria shall be established in a manner consistent with the legal requirements herein referenced.
Contacts

Questions regarding this policy statement or compliance with its provisions may be directed to:

Dean of Students
University of Vermont
41-43 South Prospect Street
Burlington, VT 05405
(802) 656-3380

or to:

Chief Diversity Officer and
Special Assistant to the President for Multicultural Initiatives
University of Vermont
346 Waterman Building
Burlington, VT 05405
(802) 656-8426

Questions may also be directed to government agencies having oversight and enforcement authority with respect to the referenced laws. A complete listing of those agencies may be obtained from the Office of Affirmative Action and Equal Opportunity.

The President is the University official responsible for the interpretation and administration of this policy.

Related Documents/Policies

Equal Employment Opportunity/Affirmative Action Policy Statement
http://www.uvm.edu/~uvmppg/ppg/general_html/affirm.pdf

Harassment – Students
http://www.uvm.edu/~uvmppg/ppg/student/studentharas.pdf

Procedures for Investigating and Resolving Discrimination Complaints

Sexual Harassment Policy – Students
http://www.uvm.edu/~uvmppg/ppg/student/sexhrasstudent.pdf
Effective Date

Approved by:

____________________  President
A. John Bramley   Daniel M. Fogel  Date

____________________  Chair Board of Trustees
Robert Cioffi  Date
Standardizing Graduate Education Credit Requirement Practices
May 18, 2012

Board of Trustees
Education Policy and Institutional Resources Committee

Prepared by:
Cynthia Forehand, Associate Dean of the Graduate College
Over the past year, representatives from the Graduate College and a number of University Offices with which graduate students intersect met to standardize and improve our practices regarding graduate education. The initiation of these meetings was driven by our need to ensure compliance with federal regulations regarding financial aid eligibility. The Research, Scholarship and Graduate Education Committee of the Faculty Senate and the Provost and Council of Deans provided input during the process and the changes have been approved by the Graduate Education Committee, the Provost and relevant Administrative Offices. The changes are detailed below.

**Definition of Full Time and Part Time Student:** UVM currently has multiple definitions of Full Time student related to graduate students. These include the typical undergraduate definition of 12 credits for Full Time, the 6 hour definition for funded students and the 6 hour definition for continuous registration. Federal regulations for student aid prevent us from maintaining differential definitions of full time and the general consensus among our constituents (and national norms in graduate education) is that the undergraduate definition does not fit graduate education. Therefore, we have formally adopted the following effective Fall 2012:

- 9 credit hours defines a Full Time graduate student
- 5 credit hours defines a half time graduate student

As the Student Health Center Fee is required for Full Time Students, this fee is now required at 9 credits (rather than 12) for graduate students and is automatically included in the Comprehensive Fee for 9 credits.

Graduate students are required to have health insurance at 9 credits, and are eligible to purchase the UVM student health insurance at 5 credits.

**Continuous Graduate Registration:** Continuous Graduate Registration is used for students who are actively working toward their degree completion and have completed all credits required for the degree, but have not completed all graduation requirements; students must enroll each semester for Continuous Registration and pay a Continuous Registration Fee each semester until all degree requirements are completed. The types of activities students are completing in the Continuous Graduate Registration phase include removing incomplete grades, passing the comprehensive examination, research/scholarship, and/or completing and defending a thesis or dissertation. Historically, the Continuous Registration Fee has been the same regardless of effort level. With the requirement by Student Financial Services that effort level be tracked, we are requesting that the fee vary to reflect the effort level and characteristics associated with each level.

- Students who are working at the full time level of nine or more credit equivalency register for GRAD 903 in their discipline, pay a Continuous Registration fee of $300*, and must pay the Health Center Fee required of full time students ($295*).
- Students working at less than full time, but at least half time level (five to eight credit equivalency) register for GRAD 902 in their discipline, pay a Continuous Registration
fee of $200*, and must pay the Health Center Fee ($295*) if they elect to purchase the UVM health insurance.

- Students working at less than half time (one quarter to 4 credit equivalency) register for GRAD 901 in their discipline and pay a Continuous Registration Fee of $100*.

*All fees are pending approval by the Board of Trustees in May, 2012.

The following chart describes the characteristics of each level of registration and the effort hours expected of students at each level. The faculty advisor provides a grade that reflects the satisfactory (or unsatisfactory) quality and quantity of effort. As Half Time and Full Time have specific federal financial aid implications, these levels require permission for registration to ensure the faculty advisor knows the level of effort for which the student is registering.

<table>
<thead>
<tr>
<th>Designation</th>
<th>Effort Expectation</th>
<th>Credit Equivalency</th>
<th>Attributes of Enrollment Designation</th>
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<tbody>
<tr>
<td>GRAD 901</td>
<td>Less than Half Time – 1-16 hours effort per week</td>
<td>¼ to 4(^1)</td>
<td>Catcard, library, fitness center and bus privileges</td>
</tr>
<tr>
<td>GRAD 902(^2)</td>
<td>At least Half Time, but less than Full Time – 20-32 hours effort per week</td>
<td>5-8</td>
<td>Catcard, library, fitness center and bus privileges; loan deferral, eligible to enroll in UVM Student Health insurance, federal financial aid eligibility, eligible for GTA/GRA funding</td>
</tr>
<tr>
<td>GRAD 903</td>
<td>Full Time – at least 36 hours effort per week</td>
<td>9 or more</td>
<td>Catcard, library, fitness center and bus privileges; loan deferral, health insurance required(^3), federal financial aid eligibility, eligible for GTA/GRA funding, ski pass eligibility</td>
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</tbody>
</table>

\(^1\) Typically, students would register for 1-4 credits for an effort of 4-16 hours/week. However, for minimal required effort, such as sitting for a comprehensive exam a couple of days into the semester with no other requirements, students may register for ¼ credits.

\(^2\) Students funded as a GTA, GRA or GA must be enrolled at least half time, so must register for GRAD 902 or GRAD 903.

\(^3\) Students enrolled in GRAD 903 must provide proof of health insurance coverage or purchase UVM Student Health Insurance and must pay the UVM Student Health fee.
Concerns about low completion rates in high school and the high costs of post secondary education have spawned efforts to improve access to higher education at the national level and in Vermont. This report is to provide an overview of what UVM does and plans to do to make the University accessible to Vermonters.

The University has continued its efforts to improve access to Vermonters and to help ensure their success, and there are indicators that we have been effective. It is noteworthy that retention rates and persistence to graduation of Vermont undergraduates have improved steadily in recent years and are now at record highs, 7-10 percentage points better than for out-of-state students. The first-to-second year retention for Vermonters now stands at 91.2%; the five-year graduation rate is 77.8% (see tables, pp 6 and 7). Applications from Vermont high school students are up 10% compared to last year, with more than 2,260 Vermont high school seniors applying. Nearly 70% of Vermont applicants were offered admission in 2012, providing many students across the state access to a UVM education. The number of applications received this year has exceeded any of the previous 30 years.

Paths to UVM for Vermonters

The following is a list of current and planned actions to provide and publicize access routes to prospective students.

- We publicize on the UVM Admissions website the various ways prospective students can get credit through Advanced Placement (AP) exams, college-level coursework taken while they are in high school, the College Level Examination Program (CLEP), and transfer credit. [http://www.uvm.edu/admissions/undergraduate/applying/?Page=other.html](http://www.uvm.edu/admissions/undergraduate/applying/?Page=other.html)

- We have asked each of the undergraduate schools and colleges to consider adding a link to the above information to their websites in order to increase its visibility to prospective students and their families.

- Information about our Dual Enrollment Program, our Academically Talented high school student program (reduced course tuition), and listings of fall, spring and summer entry-level courses for high school students (on-line and on-campus courses) are posted on the Continuing Education web pages, along with information for parents and guidance counselors. [http://learn.uvm.edu/high-school-2/summer-courses/](http://learn.uvm.edu/high-school-2/summer-courses/)
• UVM’s **online courses** (over 100 offerings) are now listed by fall, winter, spring, and summer sessions on the UVM website [http://learn.uvm.edu/online/](http://learn.uvm.edu/online/), to help provide remote access to our academic offerings. The Division of Continuing Education has begun promoting awareness of these offerings to high school students and guidance counselors.

• UVM’s Division of Continuing Education recently established a designated **pre-college program** aimed at providing University-level courses to high school students throughout Vermont. [http://learn.uvm.edu/high-school-2/summer-courses/](http://learn.uvm.edu/high-school-2/summer-courses/). The UVM Pre-College Program features a month-long session in July that includes introductory-level credited courses, complimentary workshops on topics such as SAT preparation, seminars designed to help students prepare for online teaching/learning, and other enrichment activities. CE has worked directly with Vermont guidance counselors, teachers and administrators to raise awareness of this new program. Last year 172 Vermont high school students enrolled. As of April 25, 2012, 168 Vermont high school students had enrolled and more were anticipated.

• By means of summer courses offered through the Division of Continuing Education, UVM provides Vermont students attending other colleges the opportunity to earn credits at UVM while they are home for the summer, and at a 15% discount on tuition. As of April 25, 2012, 138 Vermont students had enrolled as visiting undergraduates and more were anticipated.

• UVM’s Division of Continuing Education also manages a **Guaranteed Admissions Program** (GAP) that allows students who may not be ready for UVM’s degree program after high school to work with academic advisors and sign a contract in order to complete a series of courses. Students earning a 3.0 or higher in 18 credits are guaranteed admission to UVM. Over the course of the academic year and summer session, there are 150-200 GAP students enrolled at the University. [http://learn.uvm.edu/guaranteed-admission-program/](http://learn.uvm.edu/guaranteed-admission-program/)

• As noted in the On-line Catalog, degree students may, under certain conditions, receive **credit by examination** [http://www.uvm.edu/academics/catalogue2010-11/?Page=allpolicies.php&SM=policymenu.html&policy=Credit%20by%20Examination](http://www.uvm.edu/academics/catalogue2010-11/?Page=allpolicies.php&SM=policymenu.html&policy=Credit%20by%20Examination)

• Students can enroll in upper level courses with **instructor permission**, based on the instructor’s assessment of the student’s qualifications and the availability of seats in the class [www.uvm.edu/~rgweb/forms/download/instructorpermission.pdf](http://www.uvm.edu/~rgweb/forms/download/instructorpermission.pdf).

• We are in the process of creating a student portal with a special tab for transfer students. This will be an important support for the Vermonter transfer students. Vermonters comprised 53% of all transfer students (236 out of 444) in fall 2011.

• During the Spring 2012 semester we created a special ad hoc committee that is reviewing transfer credit processes and policy to ensure they are optimal, not a deterrent to prospective transfer students.
The central administration is actively seeking to increase articulation agreements with partner institutions. Our articulation agreements now include:

- Community College of Vermont/UVM College of Arts and Sciences
- Community College of Vermont/UVM College of Education and Social Services
- Saint Michael’s College/UVM Engineering 3 + 2
- Vermont Technical College/UVM Dairy Farm Management 2+2
- Vermont Technical College/UVM Engineering

Outreach Efforts to Publicize UVM to Vermonters

The University of Vermont continues a strong commitment to working with Vermont residents and high schools to publicize opportunities for students at UVM.

- The Admissions Office devotes three seasoned admissions counselors and one staff member focused on Vermont outreach
- We visit every public high school (approximately 70) and most independent schools in Vermont annually to meet students and counselors
- UVM offers free application to all Vermont residents who apply by Nov. 1
- UVM hosts the largest college fair in Vermont on our campus (rotates every other year to St. Mikes). We attend approximately 8-10 other college fairs throughout the state - essentially every one offered.
- UVM hosts an on-campus reception for all admitted students each March where admitted students interact with students, faculty and staff.
- The Admissions Office sponsors six high school counselor breakfasts around the state and a counselor workshop every other year to provide updated information about enrollment options for Vermont students.
- UVM has a high school counselor Advisory Board, made up of 15 counselors and representatives from Upward Bound and Vermont Student Assistance Corporation (VSAC)
- UVM Admissions officers make 6-10 presentations annually to students and parents at programs sponsored by VSAC
- We provide quarterly email updates (and an annual printed update) for guidance counselors about admissions updates
- We host a sophomore campus visit program for Upward Bound students annually
• The Admissions Office hosts an annual meeting with Community College of Vermont (CCV) advisors to discuss transfer and advising options for prospective transfer students

• We participate in College Pathways programs sponsored by VSAC and targeted at helping Vermont sophomores and juniors with the college admissions process (3 programs in March)

• We co-sponsor the “Three-for-All” bus trip for targeted ALANA, limited income and first generation 9th grade students from Vermont high schools to expose them to three universities (UVM, St. Michael’s College and Champlain College). All Vermont high schools are invited to nominate students to attend.

• UVM Admissions Officers speak at approximately 10-15 parent programs across the state, targeted at high school junior students and their parents

• UVM Admissions staff members are frequent presenters at Consortium of Vermont Colleges professional development workshop with Admissions professionals and high school counselors across the state

Financial Aid to Vermonters

Since fiscal year 2006, UVM has increased aid for Vermonters by 91%, from $8.2 million to $15.6. During the same period, enrollment has increased by 10% or 311 students. Over 70% of all Vermont students receive financial aid and the average award is $6,308 and 45% increase since FY 06.

Our Vermont financial aid is focused on access with 70% of all aid being awarded on the basis of financial need and 30% for merit. Starting with the entering class of fall, 2008, UVM committed to ensuring all Pell-eligible Vermont students had no loans to cover tuition. At that time, 20% of Vermont students were Pell-eligible. This year the percent of Pell-eligible Vermonters enrolled at UVM is almost 31% and we have maintained our commitment.

In addition to the access focus of our financial aid, UVM offers significant funding to acknowledge strong high school performance and to help attract Vermont’s best and brightest students. These merit scholarship programs include:

• Green and Gold Scholarships, a full tuition award to the top student at each of Vermont’s public high schools.

• Vermont Scholars Award, a $4,500 annual award for students who rank in the top 10% of their graduating class (with 1800 or higher on the SAT).

• Patrick Family Scholarship, a $2,000 annual award for students who rank in the top 20% of their graduating class (with 1800 or higher on the SAT).
Because UVM’s funding from the state of Vermont is low (our appropriation is the third lowest in the country per thousand dollars of income) the University’s tuition has always been high. It is widely believed that UVM’s high tuition is precluding UVM as an option for Vermonters, but in fact, the last three years have seen more Vermont undergraduates attending UVM than at any time in nearly 20 years. This is despite the recession and the shrinking pool of Vermont high school graduates.

To understand this phenomenon it is important to realize there is a difference between UVM’s sticker price and the true cost of attendance. Consider the significant institutional dollars that UVM devotes to scholarships and grants overall:

- About three-quarters of in-state undergraduates receive scholarships and/or grants (gift aid).
- The average tuition reduction brought about by gift aid is 50 percent.
- One-third of Vermonters (not including the children of UVM and Vermont State Colleges employees, who receive tuition remission), pay no tuition at all.

To keep the University affordable, UVM has devoted an increasing proportion of institutional resources to scholarships and grants for in-state students. From 2006 to 2011, in-state tuition grew by 29 percent, but institutional gift aid for Vermonters rose over 100 percent, from about $8 million to over $16 million. As a result, the average loan burden for Vermont students has remained stable at around $21,000 over the past three years, despite students’ growing needs. This debt burden, which is just slightly above the national average for public universities, is not to be minimized. However, we retain over 90% of our Vermont first-year students to the second year and we graduate almost 80% of Vermonters, (figures that are 20 percentage points above national averages for public universities), so our Vermont students leave UVM with a foundation to manage their debt. More than 87% of the respondents to last year’s one-year survey of graduates (31% response rate) indicated they were currently employed and 75.3% of those employed had found jobs that were either “closely related (40.3%)” or “somewhat related” (35.0%) to their career goals.

The debate over UVM’s costs will continue, but Vermonters - traditional and non-traditional students alike - are voting by their enrollments, and they are succeeding in record numbers at Vermont’s University.

In summary, the University of Vermont understands well its role as a land grant institution and its mission to serve the state of Vermont. We are committed to continued efforts to promote access and support to Vermonters while maintaining high academic standards.
The University of Vermont  
Trends In One-, Two-, and Three-Year Retention Rates for Fall 1996 to Fall 2010 First-time, First Year Cohorts

### Vermont First-Time, First Year Cohorts

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<thead>
<tr>
<th>First Year Cohort Entering In:</th>
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**Note:** Three-year retention rates may be higher than two-year retention rates because students who have done study abroad return for their senior year and more than offset students who fail to return for their last year.

OIR: 10/21/2011
The University of Vermont  
Graduation Rates for First-Time, First Year Students Entering UVM  
from Fall 1995 to Fall 2007 by Residence

### Vermont First-Time, First Year Cohorts

<table>
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<tr>
<th>First-Year Cohort Entering In:</th>
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OIR: 6/23/11
Provost’s Report
May 18, 2012

Board of Trustees
Educational Policy and Institutional Resources Committee

Prepared By
Provost Jane E. Knodell

In this report, I will give focused attention to the Investment Proposal and the Strategic Value/Financial Attractiveness components of the Strategic Initiatives Project, the Humanities Center, and I will provide an update on the Campus Climate Survey.

Strategic Initiatives Project
The overarching goal of the Strategic Initiatives Project (SIP) is to identify strategic investments that will ensure the University’s future success while at the same time developing a sustainable long-term financial model. In short, we are taking action to both implement and resource our strategic plan. The SIP team is currently comprised of 48 members including deans, Faculty Senate leadership, vice presidents and faculty members. The group is broken into five teams. Three of these teams are identifying the most critical investments necessary in several areas aligned with the goals of our strategic plan: Diversity & Internationalization; Student Success & Satisfaction/General Education; and TRI & Research. The Net Revenue Enhancement team is identifying opportunities for increasing revenue to support these investments. The Cost Structure and Productivity Improvement team is examining our current resource allocation and identifying opportunities to reallocate existing resources in support of the strategic investments.

Investment Proposals
Since our last meeting, the investment teams have concluded much of their work. They developed and submitted 14 proposals in support of the most strategic actions identified within their areas (a full list of the proposals is included as Appendix A of this report). The estimated total cost of the fourteen proposals is approximately $13 million in continuing funds, though progress in these areas is possible at more modest investment levels. The proposals were reviewed and endorsed by the full SIP team and posted for campus comment. A total of 937 individuals including students (undergraduate and graduate), staff members and faculty members responded to the survey. Respondents were asked to rate each investment proposal on a simple high/medium/low priority scale and were given the opportunity to provide open-ended comments for each proposal (survey results can be found on the SIP website). The proposal that received the most support in the area of Diversity & Internationalization included an expansion of study abroad opportunities. Support for the study abroad proposal was followed by a proposal to expand access to UVM to new immigrant and refugee populations from the Burlington area, as
well as to bolster the existing Abenaki Outreach Program. The proposal that received the most support in the area of Student Success and Satisfaction/General Education was the establishment of a comprehensive, campus-wide writing program that will form the cornerstone of the General Education project. Support for the writing program was followed by a proposal to promote student career planning and preparation within the broader context of academic and co-curricular engagement. The proposal that received the most support in the area of TRI & Research was a program to provide internal seed grants that will support the preliminary work necessary for developing competitive grant applications and also provide internal mini-grants in scholarly areas in which external support may not be possible. The internal grant proposal was followed by a proposal to significantly expand graduate programs at UVM through the creation of new graduate research assistantships. The full SIP Team will reconvene in early May to consider the results of the campus comment period and will then prioritize these investments.

Strategic Value/Financial Attractiveness Analysis
The Strategic Value/Financial Attractiveness (SVFA) analysis is a component of the work of the Cost Structure and Productivity Improvement team. This work has focused entirely and exclusively on creating methods and associated analyses (still to be performed) that will enable the campus community to engage in well-informed conversations about the future of various academic programs across the University. The SVFA will provide information about the relative alignment of the various academic programs with UVM’s mission, as well as the financial attractiveness of these programs. Using a set of broadly shared criteria and metrics to assess programs, SVFA can be used to understand cost structures and identify opportunities for investment. The SVFA approach will generate consistent relative numeric scores that are intended as a starting point to structure an informed discussion about academic programs. It is a structured and disciplined approach to generate some of the information and insight needed for informed discussion in the following areas:

- How effective are various academic programs in fulfilling important University goals? This is the matter of identifying strategic value (SV).
- How successful are various academic programs in making financial contributions to the University? This is the matter of assessing financial attractiveness (FA).

Once the strategic value and financial attractiveness of various programs are assessed, the campus can consider which programs are candidates for enrichment, continued support, or consolidation or reduction. None of these decisions would follow from the SVFA analysis alone: further qualitative investigation of programs, including their trajectories, impact, and opportunities, will need to be done. However, the SVFA analysis provides a useful and important comprehensive, consistent basis on which to structure and advance a consideration of UVM’s academic programs.

As noted in my last report to you, I had hoped to have consensus on the criteria and metrics by which we measure Strategic Value by January, 2012. It became clear that campus needed more time to explore this tool that will ultimately help us come to agreement on how we can better structure our academic offerings. As a community we are participating in a process by which we will adopt the criteria and metrics (you can read more about this in the SVFA section of the SIP
website). This process has included an SVFA Town Meeting with the Faculty Senate; an SVFA Town Meeting with Department Chairs; the development of draft criteria and metrics by the SIP Team; a formal response to those criteria and metrics by a group of University Distinguished Professors and University Scholars; a formal response to those criteria and metrics by the Executive Council of the Faculty Senate; and a Joint Committee of the Faculty Senate and the administration charged with recommending a final set of criteria and metrics that addresses issues and concerns identified as part of the above engagement activities. The Joint Committee will conclude its work in early May and present it to the Faculty Senate, the Provost and the President for final consideration.

The Financial Attractiveness component of this work is largely formula-driven and is less subjective than the Strategic Value criteria. While we will continue to refine the formula, it is less open to discussion and debate than the Strategic Value aspect of this work.

A full report summarizing the results of all streams of work associated with the Strategic Initiatives Project is included in the Committee of the Whole meeting materials.

**Humanities Center**
The Humanities Center was established by a resolution of the Board of Trustees in 1994. The stated goal in the original proposal was for the Center to function as the University’s main institutional site for promoting cross-disciplinary work in the humanities as broadly conceived and throughout the University. In the spring of 2011, based on the opportunity that the TRI process presented to revitalize University-wide research in the humanities, knowing that interdisciplinary humanities work is of value in and of itself, and that it also has significant potential to inform and complement research in the Spires of Excellence, I charged a working group with examining the Center’s original goals and to make recommendations regarding how those goals might be achieved or whether they should be modified or even expanded.

The working group has concluded its examination of the Humanities Center. Among its findings: there is a real demand and enthusiasm for multidisciplinary conversation at UVM; that a meaningful and sustained commitment to the connective role of the humanities across disciplinary and collegiate boundaries is a critical element in fostering excellence in the liberal arts; and that there is a need for a more robust and clearly defined institutional site for bringing together students, faculty, visiting scholars and artists, and the community at large to explore topics of cultural, artistic, philosophical and scientific significance from a variety of humanities-related perspectives.

I am in agreement with the working group’s assessments on all fronts. I am in the process of discussing the recommendations of the working group with colleagues in the College of Arts and Sciences and with other campus constituencies. I am also working to identify physical space and staffing support for the Center. An enhanced, expanded and more identifiable Center will coordinate and maximize a number of existing humanities efforts and will also launch new research, curricular and community outreach initiatives.
Campus Climate Survey
At the February, 2012 EPIR meeting, Chief Diversity Officer Wanda Heading-Grant highlighted several findings from the Campus Climate Survey (CCS) results and recommended three courses of action.

Conduct Focus Groups
We believe a focus group process will help us better understand and address the areas of negative response in the CCS. The focus group process will conclude in May, and its results will guide further recommendations in this area.

Professional Development & Training
The CCS indicated a need to facilitate a greater understanding of bias, discrimination and sexual harassment, as well as University policies and expectations around these issues. In the comments section of the survey, respondents requested that additional training be made available regarding diversity, cultural competency and civility. To that end, a small working group is meeting to research and review best practices in these areas and a comprehensive strategic diversity professional development plan will be developed by the end of May.

Benchmarking
The CCS provided an initial internal assessment of our campus climate. In order to generate a more comprehensive assessment, we must undertake additional assessment and measurement efforts. A working group has been convened to develop a three-year strategic diversity assessment plan by the end of May.

An update on all three of these recommendations will be provided at the October Board meeting.
More detailed information on SIP investment proposals is available in the Investment Proposal section of the SIP website.

**SIP Investment Proposals - Diversity & Internationalization**

*Expansion of Study Abroad*
We propose several interrelated steps with respect to study abroad, with the goals of (a) expanding the number of UVM students who study abroad to 50% by FY 18 (currently 37%), (b) broadening availability of study abroad to currently underrepresented student cohorts, and (c) ensuring availability of appropriate study abroad alternatives for currently underserved disciplines on campus.

*New American Outreach and Access, and Abenaki Outreach Program*
This two-pronged proposal seeks to expand access to UVM to new immigrant and refugee populations from the Burlington area as well as to bolster the existing Abenaki Outreach Program. Both programs include significant educational support for their respective families and local communities.

*Global/Multicultural Development Workshops*
As part of a larger program of multicultural training and development for faculty, staff, and students, we propose to establish ongoing faculty/staff workshops on domestic and international diversity, to include topics such as intercultural communication, cultural literacy, equity pedagogy, leadership in the context of diversity—and associated teaching/learning strategies.

**SIP Investment Proposals – Student Success and Satisfaction/General Education**

*A Comprehensive Undergraduate Writing Program for UVM*
This proposal seeks to establish a comprehensive, campus-wide writing program that will form the cornerstone of the General Education project.

*Integrating Student Career Development at UVM*
This work group has been charged with proposing a comprehensive model to promote student career planning and preparation within the broader context of academic and co-curricular engagement.

*The First-Year Experience Program*
This proposal seeks the creation of two new positions and associated programs to enhance current programs focused on increasing first-year student success.
Expansion of Residential Learning Communities (RLC)
This proposal seeks the addition of two RLCs to make an RLC experience available to most students who want it.

Effective Course Delivery
The work of this group is to develop a proposal for promoting optimal overall course delivery that includes an informed decision-making model to guide thinking about how best to deliver curricula with the human and financial resources available; and propose mechanisms to support faculty in course redesign and innovation.

SIP Investment Proposals – Transdisciplinary Research Initiative & Research
Establishment of Institutional Grant Programs
This proposal seeks to establish on-going institutional research-grant programs. Seed grants will support preliminary work for developing competitive grant applications for extramural funding. Mini-grants will support scholarly works with no expectation that they will lead to external grant applications.

Expansion of Graduate Programs
This proposal seeks to significantly expand graduate programs at UVM through the creation of new graduate research assistantships.

Creation of Faculty Reserve Accounts
This proposal aims to provide researchers with the ability to accumulate unrestricted funds that may be carried over from year to year and used to support research-related activities.

Evaluation and Expansion of Shared Resources
This proposal aims to evaluate existing resources that are shared amongst multiple investigators and to identify potential new shared resources that would enhance UVM’s research competitiveness.

Health-Services Research Investment
This proposal seeks to expand UVM’s capability in the areas of health-services research, and analysis and assessment of health-care-financing reform initiatives. It is in response to Vermont’s recent initiative to reform the financing and delivery of health care.

Investment in UVM’s Spires of Excellence
This proposal seeks to provide research investment to UVM’s currently-approved Spires of Excellence and to meet the resource needs articulated by each Spire’s Steering Committee.
# 2012 Workplan for UVM BOT Educational Policies & Institutional Resources Committee

<table>
<thead>
<tr>
<th>3-Feb-12</th>
<th>18-May-12</th>
<th>26-Oct-12</th>
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<tr>
<td><strong>UVM Foundation</strong></td>
<td>VP Update</td>
<td>VP Update</td>
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<td><strong>Strategic Diversity Initiatives</strong></td>
<td>Campus Climate Survey &amp; Recommendations</td>
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<td><strong>Facilities &amp; Technology and Capital Projects</strong></td>
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<td>Annual Deferred Maintenance</td>
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<td><strong>Academic &amp; Student Life</strong></td>
<td>CAC Update</td>
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<td>Academic Technology Plan</td>
<td>Program Viability Review</td>
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<td><strong>Research &amp; Graduate Education</strong></td>
<td>VP Report</td>
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<td><strong>Committee Priorities</strong></td>
<td>Internationalization</td>
<td>Strategic Initiative Project</td>
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<td>Strategic Initiative Project</td>
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<td>DAR VP</td>
<td>TRI Annual Report</td>
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<td>Capital Projects</td>
<td>UVM Foundation Report</td>
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<td>CAC Report</td>
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<td>Capital Projects</td>
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<td><strong>Additional Topics to be scheduled:</strong></td>
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<td><strong>Academic Quality</strong></td>
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<td><strong>Policies for Cyclical Review</strong></td>
<td>As Necessary: Academic Freedom</td>
<td>AA/EO Statements (reaffirmed annually)</td>
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Draft 4/20/2012
THE UNIVERSITY OF VERMONT  
BOARD OF TRUSTEES  

VERMONT AGRICULTURAL COLLEGE BOARD  

Chair Jeanette White, Vice Chair David Potter, Secretary Kesha Ram, Bill Botzow, Carolyn Branagan, Christopher Bray, Harry Chen, Joan Lenes and Donna Sweaney  

Saturday, May 19, 2012  

7:30 a.m. - 8:30 a.m.  

Chittenden Bank Room (413)  
Dudley H. Davis Center  

AGENDA  

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<thead>
<tr>
<th>Item</th>
<th>Enclosure</th>
<th>Discussion Leader</th>
<th>Time</th>
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<tbody>
<tr>
<td>Call to Order</td>
<td></td>
<td>Jeanette White</td>
<td>7:30 a.m.</td>
</tr>
<tr>
<td>1. Approval of February 4, 2012 meeting minutes</td>
<td>Attachment 1</td>
<td>Jeanette White</td>
<td>7:30 – 7:35</td>
</tr>
<tr>
<td>2. Election of Officers – Chair, Vice Chair and Secretary</td>
<td></td>
<td>Jeanette White</td>
<td>7:35 – 7:40</td>
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<tr>
<td>3. Overview of the June 24-29, 2012 Food Systems Summit</td>
<td></td>
<td>Cynthia Belliveau</td>
<td>7:40 – 8:25</td>
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<td>4. Other Business*</td>
<td></td>
<td>Jeanette White</td>
<td>8:25 – 8:30</td>
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<td>ADJOURN</td>
<td></td>
<td></td>
<td>8:30 a.m.</td>
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* Executive Session as needed.
Vermont Agricultural College Board - Executive Summary

Saturday, May 19, 2012

Prepared By: Jeanette White, Chair

ACTION ITEMS

Background: The minutes for the February 4, 2012 meeting are included in Attachment 1.

Action: Motion to approve the minutes.

Election of Officers

This is the annual meeting for the Vermont Agricultural College Board. The bylaws state that we will elect a Chair, Vice Chair and Secretary to serve one-year terms.

Action: Nominate, discuss and vote on Chair, Vice Chair and Secretary to serve one-year terms.

DISCUSSION ITEMS

I. Overview of the June 24-29 Food Systems Summit

Dean of Continuing Education Cynthia Belliveau will provide an overview of the June 24-29 Food Systems Summit.

II. Other Business

Time will be reserved at the end of our meeting for other business as necessary.
VERMONT AGRICULTURAL COLLEGE
BOARD OF TRUSTEES

A meeting of the Vermont Agricultural College Board of Trustees of the University of Vermont and State Agricultural College (the Board) was held on Saturday, February 4, 2012, at 7:30 a.m., in the Chittenden Bank Room of the Dudley H. Davis Center.

MEMBERS PRESENT: Chair Jeanette White, Vice Chair David Potter, Secretary Kesha Ram, Bill Botzow, Carolyn Branagan, Christopher Bray, Joan Lenes, Harry Chen and Donna Sweaney

MEMBERS ABSENT: None

OTHER TRUSTEES PRESENT: Kyle DeVivo

ALSO PARTICIPATING: Interim President John Bramley, Vice President of Finance and Administration Richard Cate, Vice President for University Relations and Campus Life Tom Gustafson, Provost Jane Knodell, Dean of Extension Doug Lantagne, Vice President for Research and Dean of the Graduate College Domenico Grasso, Associate Dean Melody Burkins, Director of Community Relations Joe Spiedel

Chair Jeanette White called the meeting to order at 7:30 a.m.

Approval of Minutes

A motion was made, seconded and voted to approve the minutes from the October 22, 2011 meeting.

Overview of Work Currently Taking Place in the Complex Systems Spire

Vice President for Research and Dean of the Graduate College Domenico Grasso and Associate Dean Melody Burkins provided an overview of the work currently underway in the Complex Systems Spire.

Adjournment

There being no further business, the meeting adjourned at 8:30 a.m.

Respectfully submitted,

Kesha Ram, Secretary
**AGENDA**

<table>
<thead>
<tr>
<th>Item</th>
<th>Enclosures</th>
<th>Discussion Leader</th>
<th>Times</th>
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<tbody>
<tr>
<td><strong>Call to Order</strong></td>
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<td></td>
<td>8:00 a.m.</td>
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<tr>
<td>1. Approval of February 4 and March 9, 2012 meeting minutes</td>
<td>Attachments 1 &amp; 2</td>
<td>David Daigle</td>
<td>8:00-8:05</td>
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<tr>
<td>2. Wilbur Trust Update</td>
<td>Report F</td>
<td>David Daigle</td>
<td>8:05-8:10</td>
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<tr>
<td>3. Election of Officers – Chair, Vice Chair and Secretary</td>
<td></td>
<td>David Daigle</td>
<td>8:10-8:15</td>
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<tr>
<td>4. Other Business*</td>
<td></td>
<td>David Daigle</td>
<td><strong>8:15-8:30</strong></td>
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<td><strong>8:30 a.m.</strong></td>
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*Executive Session as needed.
**Time is approximate
The University of Vermont Board - Executive Summary

Saturday, May 19, 2012

Prepared by: David Daigle, Chair

The Board will review the Wilbur Trust Report and elect officers for the year. The remainder of the meeting is reserved for executive session as needed.

ACTION ITEMS

Approval of Previous Minutes
The February 4 and March 9, 2012 meeting minutes are included as Attachments 1 & 2.

Action: Motion to approve the minutes.

Election of Officers
This is the annual meeting for the University of Vermont Board. The bylaws state that we will elect a chair, vice-chair and secretary to serve one-year terms.

Action: Nominate, discuss and vote on chair, vice-chair and secretary to serve one-year terms.

ROUTINE REPORTS

Wilbur Trust Report – Included in your meeting materials as Report F is a summary report of the University of Vermont Wilbur Trust Fund financial report from December 2011 through April 2012.

EXECUTIVE SESSION

As necessary, I will entertain a motion to enter into Executive Session for the purpose of discussing the appointment/evaluation of a public officer.
UNIVERSITY OF VERMONT
BOARD OF TRUSTEES

A meeting of the University of Vermont Board of the University of Vermont and State Agricultural College Board of Trustees was held on Saturday, February 4, 2012, at 7:30 a.m., in the Boulder Society Room, 411 Dudley H. Davis Center.

MEMBERS PRESENT:  Chair David Daigle, Robert Cioffi, Deborah McAneny, Dale Rocheleau, and Lisa Ventriss

ABSENT:  Secretary Samuel Bain, Ian Boyce, John Hilton Jr. and Vice Chair William Ruprecht

ALSO PARTICIPATING:  UVM Foundation President & CEO Rich Bundy

Chair David Daigle called the meeting to order at 7:35 a.m.

Approval of Minutes

A motion was made, seconded, and voted to approve the November 17, 2011 meeting minutes.

Wilbur Trust Update

The Board reviewed the Wilbur Trust reports and the Annual Wilbur Trust Recipients report.

Executive Session

At 7:38 a.m., Chair Daigle requested a motion to enter into Executive Session to discuss the evaluation and appointment of public officers.

The motion was made, seconded, and voted to move into Executive Session.

The meeting was re-opened to the public at 8:20 a.m.

Election of New Board Members

Chair Daigle requested a motion to appoint Robert Brennan and to re-appoint Lisa Ventriss to the Board, effective March 1, 2012, each for a six-year term.

A motion was made, seconded and voted to approve the aforementioned appointments. Lisa Ventriss abstained from voting.
Adjournment

There being no further business, the meeting adjourned at 8:27 a.m.

Respectfully submitted by,

David Daigle, Chair
A meeting of the University of Vermont Board of the University of Vermont and State Agricultural College Board of Trustees was held on Friday, March 9, 2012, at 3:00 p.m., via conference call.

MEMBERS PRESENT: Chair David Daigle, Secretary Samuel Bain, Robert Cioffi, Dale Rocheleau, and Lisa Ventriss

ABSENT: Vice Chair William Ruprecht, Robert Brennan and Deborah McAneny

Chair David Daigle called the meeting to order at 3:00 p.m.

Executive Session

At 3:01 p.m., the Chair entertained a motion to enter into executive session for the purpose of discussing the appointment of a public officer.

The meeting was re-opened to the public at 3:10 p.m.

Election of New Board Member

Chair Daigle requested a motion to appoint Dr. Richard Gamelli, effective immediately for a six-year term, to fill the remaining vacancy on the University of Vermont Board.

A motion was made, seconded and it was voted to approve Dr. Gamelli’s appointment.

Adjournment

There being no further business, the meeting adjourned at 3:11 p.m.

Respectfully submitted by,

David Daigle, Chair
Saturday, May 19, 2012

8:30 a.m. – 11:00 a.m.

Livak Ballroom (417-419)
Dudley H. Davis Center

AGENDA

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<th>Item</th>
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<th>Discussion Leader</th>
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<tr>
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<td>8:30 a.m.</td>
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<tr>
<td>1. Approval of March 12, 2012 meeting minutes</td>
<td>Attachment 1</td>
<td>Robert Cioffi</td>
<td>8:30-8:35</td>
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<tr>
<td>2. Public Comment</td>
<td></td>
<td>Robert Cioffi</td>
<td>8:35-8:50</td>
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<td>3. Committee Reports</td>
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<td>8:50-9:20</td>
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<tr>
<td>Educational Policy &amp; Institutional Resources</td>
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<td>Donna Sweaney</td>
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<td>Budget, Finance &amp; Investment</td>
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<td>Sam Bain</td>
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<tr>
<td>Audit</td>
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<td>Mark Young</td>
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<tr>
<td>Board Governance</td>
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<td>Frank Cioffi</td>
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<tr>
<td>4. VT Agricultural College Board</td>
<td></td>
<td>Jeanette White</td>
<td>9:20-9:25</td>
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<tr>
<td>5. UVM Board</td>
<td></td>
<td>David Daigle</td>
<td>9:25-9:30</td>
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<tr>
<td>6. Approval of Consent Agenda</td>
<td>Attachment 2</td>
<td>Robert Cioffi</td>
<td>9:30-9:45</td>
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<td>7. Executive Session*</td>
<td></td>
<td>Robert Cioffi</td>
<td>9:45-10:45</td>
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<tr>
<td>8. Other Business</td>
<td></td>
<td>Robert Cioffi</td>
<td>10:45-11:00</td>
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<td>ADJOURN</td>
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*Executive Session as necessary.

Times are approximate
BOARD OF TRUSTEES
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE

The Board of Trustees of the University of Vermont and State Agricultural College held a special meeting on Monday, March 12, 2012 at 1:00 p.m. in Memorial Lounge, room 338 Waterman Building.

MEMBERS PRESENT: Chair Robert Cioffi*, Samuel Bain*, Bill Botzow*, Interim President John Bramley, Carolyn Branagan, Christopher Bray*, Robert Brennan*, Frank Cioffi, David Daigle*, Jeff Davis*, Kyle DeVivo*, Dennis Mahoney, David Potter*, Kesha Ram, Dale Rocheleau*, Bill Ruprecht*, and Lisa Ventriss*

MEMBERS ABSENT: Vice Chair Harry Chen, Secretary Donna Sweaney, Joan Lenes, Debbie McAneny, Governor Peter Shumlin, Jeanette White, and Mark Young

ALSO PARTICIPATING: Vice President for Legal Affairs and General Counsel Francine Bazlueke, Vice President for Executive Operations Gary Derr, Vice President for Finance and Administration Richard Cate and Vice President for University Relations and Campus Life Thomas Gustafson

*via conference phone

Chair Robert Cioffi called the meeting to order at 1:05 p.m.

Approval of Previous Meeting Minutes

A motion was made, seconded and it was voted to approve the minutes from the February 4, 2012 meeting as presented.

Public Comment

There were no requests for public comment.

Election of Board Chair

Frank Cioffi, Chair of the Nominating Committee, reminded Trustees that, in accordance with the University Charter, the Chair is elected at the first meeting following the election of new Trustees. He presented the following resolution for approval:

Resolution Approving Appointment of Board Chair

RESOLVED, that the Board hereby accepts the recommendation of the Nominating Committee and approves the appointment of Robert Cioffi as Chair, effective immediately.

Trustee Frank Cioffi asked for additional nominations. No further nominations were made.

A motion was made, seconded and unanimously voted to approve the resolution as presented.
Chair’s Report

Chair Cioffi thanked the Board for the opportunity to serve as Chair for another year. He welcomed new trustees Robert Brennan and Dennis Mahoney and welcomed back Lisa Ventriss who was re-elected to a full six-year term. He reported that the UVM Board met this past Friday and invited Trustee David Daigle, Chair of the UVM Board, to report on the outcome of their meeting.

Trustee Daigle reported that the UVM Board elected Dr. Richard Gamelli to fill the final vacancy on the Board. Dr. Gamelli is Provost & Senior Vice President of Health Sciences at Loyola University Chicago, having served as Dean of the Stritch School of Medicine before assuming his current positions in 2011 and 2010 respectively. He has enjoyed a long and distinguished career as a surgeon. Prior to his career at Loyola, Dr. Gamelli spent five years as a faculty member at UVM, during which time he was vice-chair of Surgery. Dr. Gamelli is a graduate of the UVM of the College of Medicine. He brings to the Board decades of experience in academic medicine and will bring that specialized skills set to the board during his service.

Chair Cioffi concluded his report by acknowledging highlights of UVM athletics this past weekend. Specifically, the advancement of the UVM men’s basketball team to the NCAA tournament and the UVM ski team’s first NCAA National Championship since 1994, and the sixth in the program’s history. He offered congratulations on behalf of Board to both teams, to Director of Athletics Robert Corran, and to the entire athletics staff.

President’s Report

Interim President Bramley began by informing the Board of the unexpected passing of Abraham Kurganoff, a sophomore in the College of Education and Social Services, who was found dead in his room on campus early this morning. The cause of death is unknown at this time.

President Bramley next offered a brief update on admissions. The current applicant pool is 21,769, about 2% down from last year. Vermont applications are up 14% and out-of-state applications are down by 4%. He acknowledged that there is a lot of competition for out-of-state students, with many students looking at in-state options. ALANA student applications are up 4%. He reported that the quality of the applicant pool is comparable to last year and that quality, value and reputation are playing strongly in Vermont. The slight drop in out-of-state applications is a probable consequence of demographic changes, with strong competition for students in the market and more students looking at in-state options. The target for the first year first time class size is around 2,460 students. Decisions are being made and communicated earlier and he expects the incoming class to be on target without using the wait list. He noted the attendance of nearly 3,800 students at two very large admitted students’ events and that deposits are ahead of last year by 21%.

President Bramley acknowledged the smooth transition to the new legislative team under the leadership of Vice President Gustafson. He reported that he and members of the administration have expended significant time in the Legislature, and with our Congressional delegation, and that the team has done well. Additionally, President Bramley said that he has testified before both the State Senate and House Appropriations Committees and both Education Committees. UVM is on target with the appropriation to be level-funded at $40.7M and for a one-time appropriation of $3.25M for our
Science, Technology, Engineering or Math (STEM) initiative. President Bramley advised that he has also met with the Institution Committees to reinforce his offer to forego a capital appropriation in light of the challenges the State is facing, as a result of Irene and other factors, and that that offer has been warmly welcomed. Finally, he mentioned that the President-elect has been introduced to senior members of the administration, many legislators, and that the President-elect Sullivan has also met with our Congressional delegation.

President Bramley next said that, given some negative public relations last summer, he feared that the University, with its new fundraising Foundation, might lose momentum in fundraising. It appears, however, that his concerns were not warranted. Currently, outright gifts, pledges and bequests stand at $20M, equal to last year, with four months remaining in the fiscal year. He added that there is optimism about several additional large gifts before the year’s end. It is his view that the Foundation and its Board are functioning well. President Bramley extended congratulations to the Foundation CEO Richard Bundy and his team.

President Bramley then offered a status update on the Strategic Initiatives Project (SIP). The campus continues to be very engaged in this process led by Provost Knodell. The various ideas for investment in 1) diversity and internationalization; 2) student success and satisfaction; and 3) TRI and research have been vetted by various constituents and their recommendations have been shared with the community for review and feedback by April 6. Work exploring various structural reorganizations and cost savings continues and will be forwarded for campus evaluation shortly. The Provost is also engaging the faculty in conversations around the strategic value and financial attractiveness of academic programs. SIP has been a major undertaking this year and the Provost has made unprecedented efforts to engage the campus. This process will provide the President-elect Sullivan with an invaluable set of community vetted ideas and data to help him establish future directions for the University. The Board will hear the outcomes of this work in May.

Provost Bramley moved on to offer updates on two important searches currently under way. The search for the Dean of the College of Arts and Sciences is nearing its final stages and the search for the UVM Budget Director to replace Ted Winfield is being initiated.

President Bramley concluded his remarks by stating he is honored and excited to have President Obama visit campus on March 30. However, he acknowledged that it is a major logistical challenge to address security and other logistical issues associated with 4,000 people attending an event with the President of the United States.

Chair Cioffi offered an opportunity for questions.

Trustee Botzow inquired how UVM currently compares with its peers with regards to fundraising efforts. President Bramley offered to obtain the information from Rich Bundy to share with the Board.

Trustee Ruprecht asked if there was any news to report on the efforts of the group that the Governor established to examine the relationship between Vermont and UVM, on which President Bramley serves ex-officio. President Bramley advised that the group is scheduled to meet again toward the end of the month after which he expects to have an update.
Trustee Bain asked President Bramley to share the administration’s perspective on the admissions experience for this year and trending in future. President Bramley responded that, although there are concerns regarding demographic challenges with the typical 18-22 regional market, he is heartened by the level of interest in the University, the quality of the applications, and attendance during admitted student days.

Trustee Potter inquired if there will be any overlap of presidents during the transition and if President-elect Sullivan will have any input in the selection of the Dean of the College of Arts and Sciences.

Chair Cioffi responded that there will be no overlap; however, President-elect Sullivan is committed to a smooth transition and work is well under way. In addition to the time that the President-elect and his wife spent on campus during the week of the announcement, he spent two days in Washington, D.C. the following week meeting with members of the administration and our Congressional delegation. He will return to campus at the end of this month and has visits planned in April and May. He and his wife will move to Vermont at the end of June and he begins his Presidency on July 15.

President Bramley added that candidates for the Deanship of the College of Arts and Sciences will be invited to campus visits in early April and that President-elect Sullivan will have opportunities to meet with candidates and interact in the process.

Trustee Bain asked if the University looks at patterns of untimely deaths of students. President Bramley replied that there is an extensive process that unfolds when there is an untimely death on campus, including communications with family and campus members and counseling support. Vice President Gustafson added that a team from the medical side does track patterns, and he offered to get the information requested from the Director for the Center of Health and Wellbeing and to share it with the Board.

Trustee Bray inquired whether, in view of the recent change of administration in the City of Burlington, UVM will reach out to Mayor-elect Weinberger. President Bramley responded that he passed along his congratulations following the election and that he will be engaging with the Mayor-elect on the city agreement over next few months. Chair Cioffi added that President-elect Sullivan also reached out to offer his congratulations.

Approval of Presidential Appointment

Chair Cioffi presented the following resolution for approval:

**Resolution Approving Presidential Appointment**

RESOLVED, that the University of Vermont and State Agricultural Board of Trustees unanimously elects, authorizes and approves the appointment of E. Thomas Sullivan as President of the University, upon terms and conditions consistent with the University Charter, Bylaws and *University Manual*, effective July 15, 2012.

A motion was made, seconded and unanimously voted to approve the resolution as presented.
Chair Cioffi shared that President-elect Sullivan and his wife Leslie are looking forward to returning to campus at the end of this month. As part of the transition process, the President-elect plans to reach out to trustees individually over the next few months. Additionally, Chair Cioffi noted that he has asked Presidential Search Committee members to serve as a “transition team” to assist, advise, and support the early stages of the Sullivan presidency.

**Action Items**

- **Committee and Chair Assignments**

Chair Cioffi introduced a resolution concerning Committee assignments. He requested that the assignments be amended to include the appointment of Dr. Richard Gamelli to the Educational Policy & Institutional Resources Committee and to the UVM/FAHC Affiliation Agreement Work Group. He further requested that the assignments be amended to reflect that Trustee DeVivo will move to the Budget, Finance & Investment Committee and Trustee Mahoney will serve on the Educational Policy & Institutional Resources Committee.

**Resolution Approving Committee and Chair Appointments**

RESOLVED, that the Board of Trustees approves the Committee and Chair appointments for 2012 as presented today and appearing as appendices A and B to this document [as amended].

A motion was made and seconded to consider the resolution. An opportunity for discussion was offered. There being no further discussion, the Board unanimously voted to approve the Committee and Committee Chair assignments as amended.

Chair Cioffi stated that the UVM Foundation Work Group has completed its assigned task of providing guidance to the administration and assistance to the Board in the resolution of issues relating to the start-up of the Foundation, which began formal operations on January 1, 2012. There being no further work required, he discharged the Work Group.

He concluded by noting that he has been asked whether there will be a Development and Alumni Relations Committee reinstated. He reported that oversight of the University’s development and advancement programs and campaigns will continue to fall under the purview of the Educational Policy & Institutional Resources.

**University Operating Procedures Applicable to the President’s Official Residence**

Chair Cioffi next introduced a proposed University Operating Procedures Applicable to the President’s Official Residence, included as attachment 3 in the meeting materials. It is intended to outline responsibilities for utilizing and maintaining the President’s Official Residence. The Board will be asked periodically to re-assess the suitability of the residence for its intended purposes, and the soundness of the procedures.

The Chair entertained a motion endorsing the proposed University Operating Procedures Applicable to the President’s Official Residence and offered an opportunity for discussion.

There being none, a motion was made, seconded and it was unanimously voted to endorse the operating procedures as proposed.
Executive Session

At 1:35 p.m., Chair Cioffi entertained a motion to enter into executive session for the purpose of discussing contracts, civil actions and a personnel matter. He noted that the session was expected to last approximately 25 minutes and that action was anticipated following. The motion was made, seconded and approved. All in attendance were excused from the meeting with the exception of Vice Presidents Fran Bazluke, Richard Cate, Thomas Gustafson, and Gary Derr. All Vice Presidents with the exception of Fran Bazluke were excused for the last topic.

At 2:15 p.m. the meeting was re-opened to the public.

Other Business

Chair Cioffi presented the following resolution:

**Colchester Business Park Roadway**

RESOLVED, that the Board hereby authorizes the Vice President for Finance and Administration to conduct and conclude negotiations with and, as appropriate, sign an agreement with the State of Vermont regarding the roadway at the Colchester Business Park, such agreement to be consistent with the material terms the administration has proposed on this day.

A motion was made, seconded and unanimously voted to approve the resolution as presented.

Adjournment

There being no further business the meeting was adjourned at 2:17 p.m.

Respectfully submitted,

Robert Cioffi, Chair
### The University of Vermont and State Agriculture College

#### Board of Trustees Standing Committees

**For Approval March 12, 2012**

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<tr>
<th></th>
<th>Audit (7)</th>
<th>Board Governance (6)</th>
<th>Budget, Finance &amp; Investment (10)</th>
<th>Educational Policies &amp; Institutional Resources (11)</th>
<th>Executive (7)</th>
<th>University of Vermont Board (9)</th>
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*C = chair*  
*VC = vice chair*  
*Co-VC = co-vice chair*  
*Sec’y = secretary*
## Appendix B

### The University of Vermont and State Agriculture College

**Board of Trustees Other Committees**

**For Approval March 12, 2012**

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C = chair  
VC = vice chair  
Co-VC = co-vice chair  
Sec’y = secretary  

*membership also serves as an Advisory Group for Senior Administration Appointments  
**also includes constituency group members
CONSENT AGENDA

May 19, 2012

COMMITTEE OF THE WHOLE

(As recommended by the Executive Committee on 4/16/12)

Resolution Accepting Statement on Executive Compensation

WHEREAS, in October 2011 the President was charged with preparing an assessment of issues associated with executive compensation;

WHEREAS, the President presented the results of that assessment (Statement on Executive Compensation) to the Executive Committee on April 16, 2012 and the Committee recommended remittance to the Full Board for acceptance;

BE IT RESOLVED, that the Board hereby accepts the President’s Statement on Executive Compensation appearing as appendix A to this document; and

BE IT FURTHER RESOLVED, that the Board instructs the administration to proceed with steps consistent with the report’s recommendations.

(As recommended by the Board Governance Committee on 2/27/12)

Resolution Dissolving the Current Honorary Degree Work Group; Endorsing the President’s Adoption of a University Operating Procedures Applicable to Honorary Degrees and Commencement Speaker; and Adopting Revisions to Delegation and Retention of Board Authority

RESOLVED, that the Board hereby dissolves the current Honorary Degree Work Group and endorses the President’s proposed University Operating Procedures Applicable to Honorary Degrees and Commencement Speaker appearing as appendix B to this document;

BE IT FURTHER RESOLVED, that the Board adopts the revisions to its Resolution Regarding Delegation and Retention of Board Authority appearing as appendix C to this document.

Resolution Approving Amendments to Educational Policy & Institutional Resources Committee Charge

RESOLVED, that the Board hereby approves amendments to the Educational Policy & Institutional Resources Committee charge appearing as appendix D to the document.
Resolution Regarding Honorary Degrees

BE IT RESOLVED, that the Board delegates authority to the Executive Committee to authorize the President to offer and confer honorary degrees at the 2013 Commencement pursuant to the status report provided today.

EDUCATIONAL POLICY AND INSTITUTIONAL RESOURCES

Resolution Approving On-line Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants

RESOLVED, that the Board of Trustees approves the creation of an on-line Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants as approved and advanced by the Provost on April 18, 2012 and the President on April 20, 2011.

Resolution Approving the Vermont State 4-H Foundation, Inc. as an Affiliated Organization

RESOLVED, that the Board of Trustees hereby approves the Vermont State 4-H Foundation, Inc. as an affiliated organization of the University of Vermont in support of 4-H programs administered by UVM Extension Services, subject to the execution of a Memorandum of Understanding pursuant to the University’s Affiliated Organization’s Policy.

BE IT FURTHER RESOLVED, that the President is authorized to enter into such a Memorandum of Understanding for a term of three years.

Resolution Reaffirming Equal Opportunity Statements

RESOLVED, that the Board reaffirms the Equal Employment Opportunity/Affirmative Action Policy Statement as amended and attached hereto as Appendix E, and the Equal Opportunity in Educational Programs and Activities and Non-Harassment Policy Statement, attached hereto as Appendix F, both effective as of (May 19, 2012).

BUDGET, FINANCE & INVESTMENT

Tuition Charges for Fiscal Year 2013

RESOLVED, that the Board of Trustees hereby approves increases in the following tuition rates effective with the 2012-2013 academic year:

a. In-state tuition from $12,888 to $13,344 per year, or $556 per credit hour.

b. Out-of-state tuition from $32,528 to $33,672 per year, or $1,403 per credit hour.

c. Medical student in-state tuition from $29,220 to $30,070 per year. Medical student out-of-state tuition from $51,150 to $52,630 per year.
**Online Tuition Rate**

RESOLVED, that the Board of Trustees hereby approves the continuation of variable tuition rates for programs that are offered exclusively online. Consistent with the Board resolution in 2011, online tuition rates for the fall 2012 semester are set at a minimum rate of $556 and a maximum rate of $1,403 per credit hour for the 2012-13 academic year. The rate will be determined by the Provost, based on demand for the program and assessment of the national market place for similar online programs.

**Room and Meal Plan Rates, Fiscal Year 2013**

RESOLVED, that the Board of Trustees hereby approves room and meal plan rates for Fiscal Year 2013 as follows:

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<tr>
<td>Unlimited Access (+250 Points)</td>
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**Student Fees for Fiscal Year 2013**

RESOLVED, that the Board of Trustees approves increases to student fees from $1,896 to $1,940 effective with the 2012-2013 academic year.

**Graduate Student Senate Fee for Fiscal Year 2013**

RESOLVED, that the Board of Trustees approves the Graduate Student Senate fee in the amount of $20 for the academic year.

**Graduate Continuous Registration Fee for Fiscal Year 2013**

RESOLVED, that the Board of Trustees approves increases to the Graduate Continuous Registration fee from the same amount of $100 per semester regardless of effort level to varying the fee at less than half-time $100 per semester, half to full-time $200 per semester and, full-time $300 per semester effective with the 2012-2013 academic year.
Fiscal Year 2013 Budget Planning Assumptions: General Fund

RESOLVED, that the Board of Trustees hereby approves the budget planning assumptions for Fiscal Year 2013, which lead to a General Fund operating expense budget for the University of $299,575,000, and hereby authorizes the President to proceed with detailed budget preparation in accordance with these assumptions.

**Bond Refunding**

A Resolution on bond refunding will be forthcoming after the Trustee Bond Refunding Work Group meeting May 17, 2012.

*(As recommended by the ISC April 25, 2012)*

**Reaffirm Divestiture from Sudan**

WHEREAS, the Board of Trustees approved a resolution for Divestment from Sudan on May 20, 2006;

WHEREAS, the resolution was amended by the Executive Committee on June 12, 2006, to include annual review and reaffirmation;

WHEREAS, the Committee on Socially Responsible Investing was dissolved as part of a new committee structure approved by the Board in September 2006 and implemented in November 2006; and

WHEREAS, the Board established a Socially Responsible Investing (SRI) Work Group in September 2008;

NOW, THEREFORE BE IT RESOLVED, that the Board of Trustees reaffirms its Resolution for Divestment from Sudan, as adopted by the Board on May 18, 2006, and amended by the Executive Committee on June 12, 2006 *(as stated below)*;

BE IT FURTHER RESOLVED, that the Budget, Finance and Investment Committee, will review this resolution on an annual basis.

**Resolution for Divestment from Sudan**

WHEREAS, the University’s Policy Statement on Moral, Social and Ethical Considerations in Investment and Shareholder Resolutions holds that the primary objective of investment by the University is to provide a satisfactory return on investment for the support of University operations based upon the Prudent Investor Rule; and

WHEREAS, the Policy Statement also holds, however, that the policy of fiscal prudence shall not preclude the University from considering moral, ethical, and social criteria in determining companies in which to invest; and
WHEREAS, a balanced group of the University community has been convened as the Committee on Socially Responsible Investing and has studied the issue of genocide in the Darfur region of Sudan and has made recommendations to the Investment Committee of the Board of Trustees;

THEREFORE, BE IT RESOLVED, that the University adopt and implement a policy of targeted divestment from companies doing business with or otherwise aiding the governing regime of Sudan based on the model developed by the Sudan Divestment Task Force;

BE IT FURTHER RESOLVED, that the University implement its divestment policy to the fullest extent consistent with its fiduciary responsibilities; and

BE IT FURTHER RESOLVED, that the Committee on Socially Responsible Investing will review and reaffirm this resolution on an annual basis.

Contract Approvals:

Resolution Approving Contract with Apple, Inc. for Computer Depot Equipment Resale Purchase

BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is hereby authorized to execute a contract with Apple, Inc. for Computer Depot equipment resale purchase for a period of three years, in an amount not to exceed $2,500,000 per year. Contract dates are July 1, 2012, through June 30, 2015.

Resolution Approving Contract with Presidio Networked Solutions

BE IT RESOLVED, that the Vice President for Finance and Administration, in consultation with the Chief Information Officer, is authorized to enter into a contract with Presidio Networked Solutions for Cisco systems network equipment through December 31, 2013 in an amount not to exceed $2,500,000.

Resolution Approving Contract with Sodexo Inc.

BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is authorized to exercise the three-year renewal option of the Sodexo contract from 2002, including the related collection and transmission of fees and charges associated with the operation of the meal plan for students and any related services defined under the contract. As renewed on July 1, 2012, the contract will run until June 30, 2015, in an amount not to exceed $55,000,000, all of which will be funded by student fees.

Resolution Approving Contract with Staples, Inc.

BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is hereby authorized to execute a contract with Staples, Inc. for general office supplies
for the period of two years, starting July 1, 2012, through June 30, 2014, at a not-to-exceed amount of $2 million.

**Resolution Approving Contract with Philips Medical Capital**

BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is authorized to enter into a two-year renewal lease option with Philips Medical Capital, for the lease of a Magnetic Resonance Imaging magnet beginning August 1, 2012, through July 31, 2014, for an amount not to exceed $862,536.

**Resolution Approving Agreement with TIAA-CREF**

BE IT RESOLVED, that the Vice President for Finance and Administration, or his successor or designee, is authorized to enter into a three-year agreement with TIAA-CREF for the management of a Voluntary Employee Beneficiary Association (VEBA) plan beginning July 1, 2012, for a fee not to exceed $75,000 and contributions on behalf of employees in the amount stipulated in the relevant employment contracts and agreements, which is estimated to be approximately $2,500,000 over the contract period.
Statement on Executive Compensation

A. John Bramley, Interim President

Executive Summary

On October 10, 2011, the Chair of the Board of Trustees charged the President with preparing an assessment of issues associated with executive compensation exclusive of specifics associated with presidential compensation, which the Board would be addressing separately. The charge specifically requested the President to address the following:

1. Are UVM compensation policies and the policy infrastructure sound and adequate in terms of legal compliance considerations and best/common practices? Are there internal policy conflicts or policy "gaps"?

2. What is the extent of actual compliance with existing policies? What procedures and criteria exist for authorized exceptions to policies, and are they adequate?

3. Are the policies optimally streamlined and organized? Is there a set of overarching compensation principles shared by all categories of employees?

4. What data do we collect relative to which we set, monitor and assess salaries? To whom are the data made available?

Based on a review of policies and procedures as well as employment documents and reports along with a review of actual practices, the following summarizes the findings on each issue:

1. Are UVM compensation policies and the policy infrastructure sound and adequate in terms of legal compliance considerations and best/common practices? Are there internal policy conflicts or policy "gaps"?

2. What is the extent of actual compliance with existing policies? What procedures and criteria exist for authorized exceptions to policies, and are they adequate?

Conclusion: UVM compensation policies and the related infrastructures are sound and adequate and are legally compliant and in-line with best and common practices both in higher education and in the general labor industry. There are recommendations below that would provide increased clarity and definition current policies.
Conclusion: There is widespread compliance with existing policies and procedures with appropriate review mechanisms that include higher level of approval for certain actions and for all exceptions.

3. Are the policies optimally streamlined and organized? Is there a set of overarching compensation principles shared by all categories of employees?

Conclusion: The policies are streamlined and organized and made available through posting on various University websites. The University has several overarching compensation principles and philosophies that are consistently reflected in University policies and procedures. It is recommended that particular practices detailed below be formalized in a university operating procedure. These principles and philosophies apply to all categories of employees, however, better expression in the documents is needed.

4. What data do we collect relative to which we set, monitor and assess salaries? To whom are the data made available?

Conclusion: Data are collected on levels of staff employees based on appropriate job markets (i.e. regional vs. national). This is used to set salary ranges for classified positions as well as determine salaries for positions where ranges are not predetermined. It is recommended that an annual summary report be prepared and made available broadly to the University community.

The following provides background as well as supporting policies and procedures along with recommended changes to address findings and the conclusions cited above. (Note: This Statement focuses primarily on issues applicable to executives other than the president, but is some instances the president is included.)

Background

In February 2000, the University of Vermont Board of Trustees adopted the Report of the Ad Hoc Committee on Compensation (Attachment 1), which contains the following statement on Philosophy of Compensation:

“UVM’s philosophy of compensation supports the institution’s mission, goals, and values and the University’s commitment to provide an exceptional educational experience to our students at a reasonable cost, as well as continuing to fulfill our important research and outreach mission. All that we do, including compensating our employees, must serve these purposes.

Recruiting and retaining high quality faculty and staff, and assessing and rewarding their performance, are essential elements of our ability to succeed as a quality university. UVM is committed to compensating employees competitively, equitably, and based on performance.”
Further the Report defined three principles upon which UVM’s compensation philosophy is based:

1. “Compensation must directly relate to the larger goals of fulfilling our mission as a university and improving the educational quality and competitiveness of UVM.

2. Compensation should be determine based on the following factors:
   a. Performance
   b. Contribution to University Goals
   c. Market competitiveness
   d. Equity

3. Compensation should be viewed as salary plus benefits.”

In January 2007, Former President Daniel Fogel issued the statement entitled Parameters for Compensation at UVM (Attachment 2). This statement reflected advances from earlier documents in that for the first time it specifically identified “attention to the basic needs of lower-paid employees as an element of equity” and addressed the role of the collective bargaining process. It further affirmed that compensation should be guided by these parameters:

- Performance, including advancement of University and unit vision, mission and goals
- Market competitiveness
- Equity, including attention to basic needs
- Recognition of the role of collective bargaining for unionized employees

These statements and others have formed and inform the basis of the University’s compensation philosophy and to further advance the University’s compensation program various policies and procedures are in place, including:

- Compensation Policy/Practices (Attachment 3)
- Policy on Off-Cycle Base Salary Adjustments for Non-Represented Staff (Attachment 4)
- Bonus Program for Non-Represented Classified Staff (Attachment 5)
- Statement on Compensation contained in the UVM Staff Handbook (Attachment 6)
- Statement regarding Total Compensation: The Surprising Value of UVM Benefits (Attachment 7)
- University Policy on Relocation (Attachment 8)
• Annual guidelines regarding wage and salary increases for non-represented staff (Attachment 9)

Officers of Administration

The staff at the University are grouped based primarily on exempt and non-exempt (excluding groupings by represented and non-represented) in compliance with the United States Department of Labor Fair Standards Act (FSLA). Within each group there is further delineation based on a job classification system of specific duties and responsibilities. A group of senior leaders not covered by the classification system and designated officers of administration (officers). This group largely consists of vice presidents, deans, associate vice presidents, associate deans (not all) and other senior level officials (total count: 45 positions). For the purpose of this Statement, officers are considered executives. Policies related to officers are contained in the University Manual which is approved by the Board of Trustees, specifically “Part 400: University Officers; Vice Presidents and Other Officers of the University” (Attachment 10 Part 400, page 42 as well as a list of officers of administration). This section addresses many issues related to officers including recruitment, performance review, resignation, severance, grievance process, and by reference a link to benefits specific to Officers.

While many of the statements, policies, and procedures described above are addressed and applicable to all employees, in particular all exempt and non-exempt as well as represented and non-represented employees, there appears to be an absence of specific references to inclusion or exclusion of executive level employees—officers. It is reasonable to assume that these policies do apply to officers, but that is not expressly stated. The recruitment process is controlled by University policies and procedures, in particular those maintained by the offices of Financial Analysis and Budgeting, Human Resource Services, and Affirmative Action.

This document does not specifically address issues related to presidential compensation. On January 27, 2012, the Chair of the Board of Trustees issued on behalf of the Board of Trustees a summary of information gathered by the Annual Review Subcommittee on Presidential Compensation (Attachment 11).

Most of the UVM Officer positions are included in the 2010 CUPA-HR Administrative Compensation Survey (with the exception of two: director of compliance and associate vice president for development) and therefore the survey can provide benchmark salary for setting purposes, specifically national market medians. The salary data are as of December 1, 2011. In benchmarking against CUPA-HR data, the category of public research extensive universities was used as the comparative group. The most recent data highlights include the following:

• Officers’ salaries average 101% (i.e. 1% above median) of the market median.

• In the group of officers that report directly to the Board of Trustees, president or provost and are not deans the range 82% to 138% of market median with an average of 1% above median.
• For vice presidents reporting to either the president or provost the range is 92% to 117% of market median with an average of 4% above median.

• In the group of officers that report to the provost and are deans the range is 74% to 124% of market median with an average of 4% below median.

• The remainder of the officers range from 66% to 155% of market median with an average of 5% above median.

• The officers’ salaries range from $105,000 to $468,924.

Further, the president is required as part of the annual review process (Attachment 12) to provide a report on the “status of his or her direct reports, including their proposed compensation for the upcoming year (emphasis added).

Previously there was a practice of awarding officers non-base compensation including signing bonuses, performance bonuses, and deferred compensation agreements, however that practice ceased in 2009. Currently, there are a limited number of non-base compensation or benefits provided to officers:

• Vehicle allowance (1) – President.

• Burlington Country Club Membership (3)– Dean of the School of Business, Dean of the College of Education and Social Services, Vice President for Student and Campus Life (note that there is no cost associated with the membership as it is part of our agreement with Burlington Country Club and individuals are subject to income tax for personal use).

The non-base compensation/benefits for the president are covered under Board of Trustee policies and procedures (Attachment 13). There are no policies or procedures that expressly define an approval process for setting officers’ salaries or any non-base compensation/benefits beyond those above.

Recommendation: The following practices be included in the recommended university operating procedure to address officers’ benefits and non-base compensation/benefits:

• Hiring officials (defined as the position that the recruited position reports to) can offer base salary at 110% of the CUPA HR average of quartile 2 and 3 for public research extensive universities. Requests to exceed 110% must be approved by the hiring officials’ immediate supervisor and when the president is the hiring official the request is submitted to the Executive Committee of the Board of Trustees.

• Any off-cycle increase falls under the existing policy for off-cycle base salary adjustments (Attachment 4). Adjustments up to 110% can be made by the officer’s supervisor. Requests to exceed 110% must be approved by the supervising official the request is submitted to the Executive Committee of the Board of Trustees. Off-cycle increases are limited to addressing
“market and equity issues relative to recruitment, retention and organizational change during a fiscal year.” (Attachment 4)

- All non-base compensation or benefits for officers must be approved by the Executive Committee of the Board of Trustees.

Faculty Appointment for Officers

A related issue for officers (such as deans or provost) is the need to create an underlying secondary, non-tenured or tenured faculty appointment with a base salary for people recruited from outside the University. Faculty appointed to officer positions who are currently faculty members at the University have an existing base faculty salary. The Office of Institutional Research has utilized a protocol to recommend a faculty base salary which considers benchmark data both within the department/unit, external benchmarks, and years of service (Attachment 14 See below).

**Recommendation:** That the protocol currently used by the Office of Institutional Research be included in the recommended university operating procedure related to determining an appropriate faculty base salary (Attachment 14 see below) and that the faculty salary be set at the time of appointment to the secondary position.

The *University Manual* addresses the issue of adjustments by the supervising senior officer to the faculty salary for officers assuming or resuming their faculty appointment as follows: “the faculty salary may include appropriate consideration of administrative experience gained as well as factors including salary range of faculty of the same rank in the academic unit, academic experience and expertise, standing in the academic discipline and duties to be performed.” This adjustment is done by the supervising senior official in consultation with the Dean of the College or School in consultation with the department chair or equivalent. Further, the faculty base salary for positions covered by collective bargaining agreements is adjusted according to the appropriate collective bargaining agreement. It is the discretion of the supervising senior officer to determine any merit increases added to the faculty base salary. For faculty appointments in the college of medicine the salary is incremented using the average of increases in the person’s academic department.

**Recommendation:** The *University Manual* be amended to include both practices related to adjustments to faculty base salaries.

Administrative Leave of Absence for Deans and other Officers

The *University Manual* addresses the issue of one semester leave of absence for deans who are non-reappointed and have an existing tenure or contract right to resume a faculty appointment (Section 301.5.4). Similarly, the *University Manual* addresses the issue of one semester leave of absence for officers of administration who are non-reappointed who have an existing tenure or contract right to resume a faculty appointment (section 404.2.2). The *University Manual* does not address the issue of administrative leaves of absence for deans or officers of administration who voluntarily resign their administrative appointment and have an existing tenure or contract right to resume a faculty appointment. In many cases appointment letters address this issue with
some inconsistencies, specifically the length of service required to be afforded an administrative leave as well as the length of the administrative leave (i.e. six months versus one year). Further, there are inconsistencies about the rate of compensation during the administrative leave (faculty bases salary versus administrative salary.) There is also no provision for leaves of absence for officers of administration who do not have an existing tenure or contract right to resume a faculty appointment. Further, there are inconsistencies about the amount of professional development funds provided to officers during the administrative leave.

**Recommendation:** The *University Manual* be amended to address the following issues related to administrative leaves for officers (also in section 301 related to deans) and/or included in the recommended university operating procedure:

- Specify appropriate terms for leaves of absence (not to exceed six months) for administrators who voluntarily resign their administrative appointment prior to assuming an existing tenure or contract right to resume a faculty appointment.
- Specify the length of service (three years) as an officer prior to eligibility for administrative leave.
- Clarify that administrative leaves are at faculty salary, not officer salary.
- Change wording to “sabbatical leave” from administrative leave.
- Specify that there are no provisions for leaves of absence for officers of administration who do not have an existing tenure or contract right to resume a faculty appointment.
- Specify that the amount of professional funds provided to officers during an administrative leave period is determined by the number of years of service as an officer times the amount of professional development funds provided for in the faculty collective bargaining agreement, up to a maximum of three years. These funds are only available during the administrative leave period and do not carry forward.

**Comprehensive Review**

Senior Leaders undergo a comprehensive review no more often than at three, and at no less than five year intervals (*Attachment 15 – Review and Evaluation of Senior Leaders*). Deans are required to undergo a third year review and a periodic comprehensive review at intervals of no longer than five years (*Attachment 10 - University Manual* Section, 301.4, page 30). This process is coordinated by the Vice President for Executive Operations. At the conclusion of the review process, in particular the five-year comprehensive review, there is no provision allowing the supervisor (president or provost) the ability to adjust base compensation based on a successful review. While not specifically analogous, the process is similar to the faculty promotion. The collective bargaining agreement addresses promotion increases.

**Recommendation:** The appropriate amendments to *University Manual* or inclusion in the university operating procedure to allow the supervisor to award a base increase of up to 10% of base for a successful comprehensive review. Supervisors can increase base salary to 110% of the CUPA HR Administrative Compensation Survey for public research extensive universities. Requests to exceed 110% must be approved by the president for deans and vice presidents reporting to the provost by the Executive Committee of the Board of Trustees for senior officials reporting to the president.
**Recommendation:** The Policy on the Review and Evaluation of Senior Leaders be modified to more clearly define “senior leader”. It is recommended that the policy be revised to limited applicability to vice presidents.

**Summary of Staff Labor Market Data**

The University of Vermont’s salary and compensation program is managed by the Office of Human Resource Services under the direction of the Associate Vice President for Human Resource Services reporting to the Vice President for Finance and Administration. A major area of responsibility includes compliance with all federal and state regulations related to the classification and compensation of employees, in particular the United States Department of Labor Fair Labor Standards Act (FSLA). In 2003, the University completed a comprehensive review and analysis of the classification and compensation system for all non-faculty employees both represented and non-represented. This resulted in standardized position descriptions for all classified positions and includes salary ranges based on market analysis (note: these ranges are regularly reviewed and adjusted based on a similar analysis and inflation). This group of non-faculty employees (staff) are separated into three distinct groups for wage and salary analysis based on the differences in the local, regional, and national market used for recruitment and retention purposes, specifically:

- Eighteen non-exempt positions for which the University recruits locally and benchmarks using data in Gallagher & Flynn’s New England Salary Survey.
- Ninety-three mid-level professional positions for which the University recruits both regionally and nationally and benchmarks using the College and University Professional Association for Human Resources (CUPA-HR) Mid-level Administrative and Professional Salary Survey.
- Forty-eight high-level professional positions where the University recruits nationally and benchmarks using the CUPA-HR Administrative Compensation Survey.

In benchmarking against survey data, the University matches only those positions that are similar enough to UVM positions to ensure data integrity. Based on those matches, the University compares individual and averages salaries against survey average and or median survey data. For the CUPA-HR Administrative Compensation Survey, the University benchmarks against doctoral granting institutions and uses average data from two budget quartiles ($310.2M - $571M and $571M - $1,096.1M). For the CUPA-HR Mid-level Administrative and Professional Salary Survey, the University benchmarks against doctoral granting institutions and uses average data from two budget quartiles ($308.5M - $562.6M and $562.6M - $1,096.1M).

The April 2011 analysis of compensation which examined calendar year 2010 found the following results:

- Our highest level professional salaries average 4% above the national market median
- Mid-level professional salaries average 4% above the national market median

- Non-exempt wages/salaries average the local market median, of those:
  - 3% below market for **represented** positions (note: one percent of salary is for union dues.
  - 3% above market for **non-represented** positions

In addition, when considering these average wages relative to benchmarks, it is important to observe that UVM compensation rates vary considerably relative to market averages:

- Top level professional classifications range from 63% to 156% of market median with an average of 104% (i.e. 4% above median)

- Mid-level professional classifications range from 59% to 139% of market median with an average of 105%

- Non-exempt classifications range from 91% to 114% of market with a median of 102%

- (Note: Athletic Department coaches follow practices for university/college coaches and there non-base compensation and bonuses are not addressed in this Statement.)

**Conclusion**

In summary, compensation practices for officers of administration have reflected and been consistent with University policies and statements related to compensation. However, certain elements have not been as clearly expressed or detailed in existing policies and procedures to create a clear appearance of transparency. The result of this has been frustration and anger amongst some members of the community. The recommendations contained here are meant to address this concern and provide a greater degree of transparency and prescribed lines of approval. It is reasonable, that policies and practices related to benchmarking, in particular in relation to national data, apply to officers as well. These are positions where the university often recruits nationally and data exists that can be used to set salary and other benefits. Further, people in these positions, whether recruited from within the University or outside, can reasonably be expected to be compensated based on national averages for their position.
### Attachment 10
(Supplement – List of Officers)

<table>
<thead>
<tr>
<th>Officers of Administration (as of December 1, 2011)</th>
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<tbody>
<tr>
<td>Associate Dean, College of Medicine</td>
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<tr>
<td>Associate Dean, College of Medicine</td>
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<tr>
<td>Associate Provost Curricular Affairs</td>
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<tr>
<td>Associate Provost Faculty Affairs and Internationalization</td>
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<td>Associate Vice President for Budget and Resource Management</td>
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<td>Associate Vice President for Development</td>
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<td>Associate Vice President for Human Resource Services</td>
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<tr>
<td>Associate Vice President for Research Administration</td>
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<tr>
<td>Associate Vice President for Student and Campus Life</td>
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<tr>
<td>Associate Vice President for Student and Campus Life and Dean of Students</td>
</tr>
<tr>
<td>Chief Compliance Officer</td>
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<tr>
<td>Chief Diversity Officer</td>
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<tr>
<td>Chief Information Offices</td>
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<tr>
<td>Chief Internal Auditor</td>
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<tr>
<td>Dean of Extension</td>
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<tr>
<td>Dean, College of Agriculture and Life Sciences</td>
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<tr>
<td>Dean, College of Arts &amp; Sciences</td>
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<td>Dean, College of Education and Social Services</td>
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<tr>
<td>Dean, College of Engineering and Mathematical Sciences</td>
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<td>Dean, College of Medicine</td>
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<td>Dean, College of Nursing and Health Sciences</td>
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<td>Dean, Continuing Education</td>
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<td>Dean, Honors College</td>
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<tr>
<td>Dean, Libraries and Learning Resources</td>
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<td>Dean, Rubenstein School</td>
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<td>Dean, School of Business</td>
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<td>Director of Admissions</td>
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<td>Position</td>
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<td>Director of Athletics</td>
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<td>Director of Institutional Research</td>
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<td>Director of Physical Plant</td>
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<td>Director of Residential Life</td>
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<td>Director of University Communications</td>
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<td>Director Student Financial Services</td>
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<tr>
<td>President</td>
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<tr>
<td>Provost and Senior Vice President</td>
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<tr>
<td>University Controller</td>
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<tr>
<td>University Registrar</td>
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<tr>
<td>Vice President for Development</td>
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<tr>
<td>Vice President for Enrollment Management</td>
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<tr>
<td>Vice President for Executive Operations and Chief of Staff</td>
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<tr>
<td>Vice President for Federal State and Community Relations</td>
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<tr>
<td>Vice President for Finance and Administration</td>
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<tr>
<td>Vice President for Legal Affairs and General Council</td>
</tr>
<tr>
<td>Vice President for Research and Dean of the Graduate College</td>
</tr>
<tr>
<td>Vice President for Student and Campus Life</td>
</tr>
</tbody>
</table>
Steps in Establishing a Faculty Salary for Individuals Initially Hired Into an Administrative Position

Establishing an Initial Faculty Salary

- Obtain a copy of the individual’s curriculum vitae to determine their (a) academic discipline and (b) the year of their highest degree.

- Obtain a copy of the most recent edition *Oklahoma State University Faculty Salary Survey by Discipline*. The OSU salary survey is conducted annually. It provides average, high, and low salaries by academic rank for each discipline at the participant institutions. Data are also provided for “All Ranks.” The institutions invited to participate are major public universities that award doctorates in a least five (5) different discipline areas.

- The OSU participant institutions come from the following current Carnegie Classifications which were established in 2005: Research Universities – Very High Research Activity; Research Universities – High Research Activity; and Doctoral/Research Universities. UVM is classified as a Research Universities – High Research Activity [Note: The Carnegie Classifications are updated and revised approximately every five to seven years. From 2000(?) to 2005, the Carnegie Classifications in the OSU survey were: Doctoral/Research Universities – Extensive and Doctoral/Research Universities – Intensive. UVM was classified as a Doctoral/Research I University in the 2000 Classification.]

- UVM is currently classified as a Research Universities – High Research Activity. However, some consideration may be given to a candidate who is coming from a Research Universities – Very High Research Activity where salaries tend to run higher than UVM’s classification.

- It may be necessary to adjust the relevant OSU salary data to bring them current to the base year for which a UVM faculty salary is to be determined. For example, if asked in November 2011 (i.e., the 2011-12 academic year) to provide a faculty salary for a new senior administrative candidate, the most recent OSU data are for the 2010-11 academic year. Therefore, the OSU salary data would need to be increased in order to estimate 2011-12 salary data. Data on faculty salary increase trends from the American Association of University Professors (AAUP) annual faculty salary report can be used for this calculation. [Note: In some instances, it is necessary to calculate a faculty salary where there will be a two year difference between the year the candidate will begin their UVM appointment and the most current OSU data. Example: One might be asked to calculate an 2012-13 faculty salary early in 2011-12 when the most current OSU and AAUP data are for the 2010-11. This will require one additional calculation to estimate a 2012-13 “OSU” salary. In this example, a 2011-12
UVM salary would be incremented by the salary increase percent in the full-time bargaining unit collective bargaining agreement. ]

- Once a faculty salary has been estimated using the data and methodology described above, some salary supplements may be given for the candidate’s (a) up to ten percent for one’s previous scholarly activity and (b) up to ten percent for one’s previous administrative experience. [Note: These salary supplements were proposed in a May 2001 document prepared by Professor Robert Low at the request of UVM’s incumbent Provost.]

- If UVM salary are available, one should plot the candidate’s estimated salary with the current salaries of faculty at the same rank in (a) the appropriate UVM department and (b) the appropriate UVM college or school. These salaries should be plotted against “years since highest degree” a proxy measure of years of experience.

- The above information with appropriate analyses should be forwarded to the appropriate UVM administrator for a final decision.

**Setting a Faculty Salary When Actually Moving to a Primary Faculty Appointment**

- With an initial faculty salary having been previously determined, this process is relatively simple. The protocol has been established to apply the salary increase pools in the appropriate full-time bargaining unit collective bargaining agreements. It is recommended that the individual components of the salary increase pools be used instead of the total salary increase pool. That is, use the separate salary increases for (a) across-the-board; (b) market/compression; and (c) performance should be used in making current the individual’s faculty salary. Using the individual salary increase components not only provides more useful information, it also allows one determine if the calculations for market/compression adjustments exceed the dollar increase caps in the collective bargaining unit. I recommend showing as much detail as possible.

- Once these calculations have been prepared, the impacts of adding up to an additional ten percent each for (a) one’s UVM scholarly activity and (b) one’s UVM administrative experience.

- These data and analysis is then forwarded to the appropriate UVM senior administrator for review and decision.

*Final Note: It must be remembered that there is an element in negotiation, especially in the determination of the initial faculty salary.*

Accepted by the Board of Trustees:
University Operating Procedure

HONORARY DEGREES; COMMENCEMENT SPEAKER

Overview

The University annually considers nominations for Honorary Degree recipients and a Commencement Speaker. This University Operating Procedure sets forth the process and criteria applicable to the selection process.

Procedures

The University President shall annually appoint an advisory committee comprised of the presidents of the Faculty Senate, Graduate Student Senate, Student Government Association, and Staff Council; two faculty members selected by the Faculty Senate Executive Council; The University of Vermont and State Agricultural College Foundation, Inc., chief executive officer or his/her designee; the Alumni Council President or his/her designee; and two administrators or staff member selected by the President. The President will also appoint a chair.

The President shall initiate the nominations process in September of each year, which shall proceed on a timetable that will allow for the timely selection of honorary degree recipients and a Commencement Speaker who will appear at the Commencement ceremony taking place in May of the year following the academic year in progress. The advisory committee will be asked to review diligently the nominations submitted and to recommend to the President 3-5 Honorary Degree candidates.

The President will consult with the advisory committee on the selection of Commencement Speaker whom may also be eligible to receive an honorary degree. The final decision of the Commencement Speaker is the President’s.

The advisory committee will also be asked to review nominations for honorary degrees that may be awarded at ceremonies or special events other than Commencement.
Criteria

To be eligible for consideration for the award of an Honorary Degree, a nominee must be recognized as accomplished in at least one of three areas:

1. Outstanding achievement or service at or for the benefit of the University of Vermont.
2. Outstanding achievement or service in or for the benefit of the State of Vermont.
3. Outstanding achievement or service in the nation or the world.

Of particular importance is to identify Honorary Degree candidates and a Commencement Speaker who reflect University values or have achieved distinction in endeavors aligned with institutional goals and strategic priorities.

Also to be considered is the following in evaluating nominees:

- Sustained and dedicated commitment to public life and service
- Significant contributions to the advancement of knowledge
- Significant contribution to the University’s ability to achieve its mission

Forms

Commencement Speaker and Honorary Degree Nominations Form: 

Timeline for Honorary Degree Process:
http://www.uvm.edu/president/?Page=honorarydegrees/nom_for_hon_degree.html

Contacts

Questions related to the daily operational interpretation of this policy should be directed to:

University Vice President for Executive Operations

Effective Date

Approved by:

__________________________________________  Date:

A. John Bramley, Interim President

Endorsed by the Board of Trustee: __________________________
Resolution Regarding Delegation and Retention of Board Authority
(see appended chart)

WHEREAS, this Board has, in its Bylaws and through such policies and resolutions as it may issue from time to time, delegated to the President and other officers of the University certain authority and responsibility for the management of the University and its programs, activities and operations; and

WHEREAS, this Board recognizes the need for prompt and timely management decisions made by qualified University personnel, and thus, through such delegations, authorizes officers of the University to negotiate and enter into contracts and other arrangements to facilitate the objectives of University programs and activities and to conduct related operations; and

WHEREAS, in making such delegation, the Board also assigns to such officers responsibility to make informed and prudent decisions in the best interests of the University and to maintain accountability to the Board through prompt and accurate reports on University programs, activities and operations, including their financial status and impact;

NOW, THEREFORE, BE IT RESOLVED that, subject to its retained authority and responsibility for the general oversight of the University, and reserving to itself the power to act on its own initiative as necessary to the fulfillment of its own fiduciary and legal duties, the Board hereby delegates to the President and the officers of the University authority and responsibility to negotiate and enter into contracts and other arrangements to facilitate the objectives of University programs and activities and to conduct related operations, and hereby also recognizes the authority the Board delegates to the Faculty Senate as expressed in the Faculty Senate Constitution and Bylaws, except for the following, which shall require Board approval:

(1) statements of institutional mission, principles and values;

(2) the institutional strategic plan and associated goals, and related strategic financial plans and goals, and all material revisions thereto;

(3) the establishment and dissolution of University-affiliated corporations and foundations, and University membership in other corporate entities (but not institutional memberships in professional associations);

(4) the appointment of University Trustees to the boards of other corporate entities or public bodies in their capacity as University Trustees;
(5) the appointment and employment of the President, election of the other officers of the Board and the University in accordance with the University Bylaws, and authorization of severance payments in excess of the standard amount University policy specifies for officials who report to the President;

(6) the creation or elimination of an academic unit, curriculum, research or service endeavor as defined in Faculty Senate protocols; and approval of faculty medical or other clinical practice plans;

(7) the award of honorary degrees;

(8) matters the Faculty Senate may appeal to the Board under the Senate Constitution and Bylaws;

(9) the naming of buildings and academic programs;

(10) through its Investment Subcommittee of the Budget, Finance and Investment Committee ("Investment Subcommittee"), the selection, retention and termination of investment advisors and managers for the Long-Term Investment Pool; provided that: the Board must itself approve policies for the Long-Term Investment Pool and the Limited Term Asset Pool, the endowment spending rate, the endowment management fee, declaration of financial exigency, and the dissolution, merger or the sale or pledge or transfer of all or substantially all of the University’s assets;

(11) the institutional annual budget and acceptance of the annual audited financial statements;

(12) tuition, room and board rates, student fees, and in-state status regulations for purposes of determining tuition;

(13) the purchase, sale, exchange, or transfer of complete or partial interests in real property, regardless of location, at a value that equals or exceeds $500,000; authorization of acceptance of compensation in eminent domain proceedings; the lease or sublease of property with annual or aggregate rental value that equals or exceeds $500,000, and renewals thereof; the pursuit or acceptance of historic preservation designation for University property; and adoption of, and material revisions to, a Campus Master Plan;

(14) payments in lieu of taxes;

(15) the issuance of bonds and approval of the institutional debt policy;
(16)(15) the procurement of loans, lines or credit, or other financing, and performance as surety, in amounts or at a value that equals or exceeds $1,000,000;

(17)(16) contracts for facilities construction or renovation and the purchase or sale of goods, equipment or services at an aggregate cost of $1,000,000, including increases in project costs for previously approved projects whose value in aggregate equals or exceeds $1,000,000; provided that (and subject to the provisions of (18) below), the Board shall approve all contracts for consulting services whose aggregate value equals or exceeds $250,000, and the Board shall also authorize, through its Investment Subcommittee, the selection and retention of all investment advisors regardless of contract cost;

(18)(17) the selection and retention of independent audit firm to conduct the annual audit of financial statements and/or compliance audits, regardless of contract cost; contracts at an aggregate cost of $10,000 or more for non-audit consulting services with the audit firm that is conducting the annual audit of financial statements;

(19)(18) the material terms of collective bargaining agreements and, within the context of annual budget preparation and approval, the annual salary pool for non-union-represented employees;

(20)(19) the settlement of claims and/or lawsuits at a cost that equals or exceeds $250,000, regardless of insurance coverage; and authorization to file and/or settle lawsuits in which the Board or a University officer is a named party or a Board-approved policy is in dispute;

(21)(20) all self-governance matters reserved to the Board in the University Bylaws, including without limitation the election, of Board officers, approval of Board Committee appointments, or as otherwise required or permitted by law; and

(22)(21) revisions to University Bylaws; matters required by law, Bylaws, and/or contract; and such other authority as the Board is required to exercise without delegation as a matter of law, or that, in the future and prospectively, it wishes to retain or retrieve in the exercise of its fiduciary duties and sole discretion;

AND BE IT FURTHER RESOLVED, that notwithstanding such delegations, through the President or his designees, the administration shall report periodically on matters of institutional management and operations as the Board may direct and/or as may be appropriate and desirable, including without limitation periodic reporting on gifts and grants; and
BE IT FINALLY RESOLVED, that this resolution shall supersede all preexisting delegations prospectively.

Adopted by the Board of Trustees: September 11, 2004
Approved as revised by the Executive Committee: March 14, 2005
Approved as revised by the Board of Trustees: May 19, 2007
Approved as revised by the Board of Trustees: May 17, 2008
Approved as revised by the Board of Trustees: September 5, 2008
Approved as revised by the Board of Trustees: February 7, 2009
Approved as revised by the Board of Trustees: February 6, 2010
Approved as revised by the Board of Trustees: March 8, 2010
Approved as revised by the Board of Trustees: February 5, 2011
Approved as revised by the Board of Trustees: March 14, 2011

Approved as revised by the Board of Trustees:
Board Reserved Rights and Delegations\(^1\)

NOTE: Numbers in brackets [ ] correspond to paragraphs in Resolution Regarding Delegation and Retention of Board Authority, as rev. 3/14/11.

<table>
<thead>
<tr>
<th>Real Estate</th>
<th>Financial</th>
<th>Fiduciary</th>
<th>Personnel</th>
<th>Academic</th>
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</thead>
<tbody>
<tr>
<td>Land purchase/sale, or transfer of real property or interests therein, at value ≥ $ 500K; eminent domain proceedings compensation ([13])</td>
<td>Issuance of bonds and approval of institutional debt policy ([15])</td>
<td>Selection and retention of independent audit firms for the annual financial audit and/or compliance audits (regardless of cost); also consulting contracts at an aggregate cost of ≥$10K for non-audit consulting services with the audit firm conducting the annual financial audit ([18])</td>
<td>Appointment and employment of President (contract, evaluation, termination) ([5])</td>
<td>Creation or elimination of academic units, curriculum, research or service endeavors, as defined in Faculty Senate protocols ([6])</td>
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<td>Historic preservation designation ([13])</td>
<td>Procurement of loans, lines of credit, financing, or UVM as performing as surety ≥$ 1 million ([16])</td>
<td>Acceptance of the annual financial audit report ([11])</td>
<td>Election of University officers designated in the Bylaws ([5])</td>
<td>Approval of faculty medical or other clinical practice plan ([6])</td>
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<td>Leases/subleases with annual or aggregate rental value of ≥ $ 500K; renewals thereof ([13])</td>
<td>Contracts for facilities construction or renovation projects ≥ $ 1 million; including increases in projects costs for previously approved projects whose aggregate value is ≥ $1 million ([17])</td>
<td>Creation or dissolution of a UVM-affiliated corporation or Foundation ([3])</td>
<td>Election of Board officers ([5])</td>
<td>Adoption of strategic plan and goals, and related strategic financial plans and goals, and all material revisions thereto ([2])</td>
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<tr>
<td>Campus Master Plan and material revisions thereto ([13])</td>
<td>Contracts for goods, equipment, services ≥ $ 1m ([17])</td>
<td>UVM corporate membership in other legal entities ([3])</td>
<td>Approval of Board Committee appointments ([21])</td>
<td>[Award of honorary degrees ([22])</td>
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<td>Payments in lieu of Taxes (PILOT) ([14])</td>
<td>Consulting contracts ≥ $ 250K ([17])</td>
<td>Bylaws ([22])</td>
<td>[Award of honorary degrees ([22])</td>
<td>Naming of academic programs ([9])</td>
</tr>
</tbody>
</table>

\(^1\) In addition to the rights expressly reserved to the Board in the numbered paragraphs of its resolution, the Board in a general statement of resolution reserves to itself the power to act on its own initiative as necessary to the fulfillment of its own fiduciary and legal duties.

\(^2\) See “Fiduciary” for special rules regarding audit firms \([18]\)
<table>
<thead>
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<th><strong>Fiduciary</strong></th>
<th><strong>Personnel</strong></th>
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<tr>
<td>Naming of buildings [9]</td>
<td>Selection and retention of the independent audit firm for the annual financial statements audit and selection and retention of an independent audit firm for compliance audits (regardless of contract cost); and consulting contracts at an aggregate cost of $&gt;10K for non-audit consulting services with the audit firm conducting the annual financial statements audit; all non-audit consulting services contracts whose aggregate value equals or exceeds $ 250K [18]</td>
<td>Statements of institutional mission, principles or values (e.g., Our Common Ground) [11]</td>
<td>Appointment of UVM trustees to external boards or other public bodies in their capacity as UVM trustees [4]</td>
<td>Matters appealable to the Board under Senate Constitution and Bylaws [8]</td>
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<tr>
<td>Tuition, room &amp; board rates; student fees, and in-state status regulations for purposes of determining tuition [12]</td>
<td>Matters required by law, Bylaws, or contract; Board self-governance actions reserved to the Board, including the election, of Board officers [21]</td>
<td>Authorization of severance payments to officers of administration who report to the President in excess of the severance amount specified in the University Manual [5]</td>
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<td>Contracts for facilities construction or renovation projects ≥ $ 1 million, including increases in projects costs for previously approved projects whose value is ≥ $ 1 million [17]</td>
<td>Approval of annual budget [11]</td>
<td>Adoption of strategic plan and goals, and related strategic financial plans and goals, and all material revisions thereto [2]</td>
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<td>Material terms of collective bargaining agreements and, within the context of annual budget preparation and approval, the annual salary pool for non-union-represented employees [19]</td>
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<td>Acceptance of the annual audited financial statements [11]</td>
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<tr>
<td><strong>Real Estate</strong></td>
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<td><strong>Personnel</strong></td>
<td><strong>Academic</strong></td>
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<tr>
<td>Filing or settlement of claims or lawsuits at a cost ≥ $250K, regardless of insurance coverage</td>
<td>Via BFI Investment Subcommittee, selection, retention and termination of investment advisors and managers for the Long-Term Investment Pool; provided that, the Board must itself approve policies for the LTIP and the Limited Asset Pool, the endowment spending rate, endowment management fee, declaration of financial exigency, and dissolution, merger, or the sale or pledge or transfer of all or substantially all of the University's assets</td>
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<tr>
<td>Payment in lieu of taxes</td>
<td>Initiation or settlement of claims or lawsuits at a cost ≥ $250,000, regardless of insurance coverage, and/or authorization to file or settle lawsuits in which the Board or a University officer is a named party or in which a Board-approved policy is in dispute</td>
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<tr>
<td>Acceptance of annual audited financial statements</td>
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<tr>
<td>Acceptance of gifts and grants reports</td>
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</tr>
</tbody>
</table>

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³ This includes workers’ compensation claims and lawsuits.
UNIVERSITY OF VERMONT AND STATE AGRICULTURAL COLLEGE
BOARD OF TRUSTEES
COMMITTEE ON EDUCATIONAL POLICY
AND INSTITUTIONAL RESOURCES

The Committee shall have responsibility for overseeing the development and status of strategic, long-range University programmatic and resource use plans and related plan objectives.

The Committee shall oversee matters relating to educational policies and programs, including student enrollment; rates and fees associated with enrollment, and financial aid; the quality of student and campus life; accreditation, academic programs, and degrees; research and scholarship, instructional, and service activities; and faculty affairs.

The Committee shall oversee strategic planning relating to diversity and promote the achievement of diversity goals across a broad spectrum of University programs and activities.

The Committee shall oversee matters relating to the procurement, use, quality, condition, and disposition of the University’s buildings and other facilities, and its assets, infrastructure, technologies, and other institutional resources.

The Committee shall oversee the University’s development and advancement programs and campaigns.

The Committee will exercise its charge in a manner consistent with University governance, including the Board’s reserved rights and delegations of authority.

Approved by the Board of Trustees: September 9, 2006
Amended by the Board of Trustees:
Operational Elaboration of Charge

The subject matter of the Committee may include:

- Enrollment management policies, plans and programs, including admissions; student body enrollment and composition; and retention and graduate rates
- The University’s strategic diversity and campus climate priorities and initiatives
- Tuition and room and board rates, student fees, and financial aid
- Quality of student life, including policies and programs relating to academic excellence; the health, safety, and general welfare of students; residential life; and co-curricular activities, such as athletics
- University and academic program accreditation status
- Curriculum development and revision, and the creation or elimination of academic units and programs
- Awarding of honorary degrees
- Faculty affairs, including faculty recruitment, composition, and retention
- Research and scholarship (including external support), instructional, and service activities
- Annual and special fundraising campaigns, and institutional advancement initiatives, including programs to foster productive relationships with alumni and other communities of friends of the University, as well as corporate and foundation, and governmental relations
- Campus master plans
- Quality, condition, and adequacy of the physical assets of the University, including real property, grounds, campus infrastructure and technologies, and equipment, and the acquisition, use, and disposition of such resources
- Construction and capital renovation or improvement projects
- Naming of campus facilities
- Such other matters consistent with its charge as may be referred to the Committee by the Board Chair
Equal Employment Opportunity/Affirmative Action Policy Statement

Policy Statement

The University of Vermont and State Agricultural College is committed to a policy of equal employment opportunity and to a program of affirmative action in order to fulfill that policy. The University will accordingly recruit and hire into all positions the most qualified persons in light of job-related requirements, and applicants and employees shall be treated in employment matters without regard to unlawful criteria including race, color, religion, ancestry, national origin, place of birth, sex, sexual orientation, disability, age, positive HIV-related blood test results, status as a disabled or Vietnam Era Veteran, genetic information, or gender identity or expression, or status as a disabled veteran, recently separated veteran, other protected veteran or Armed Forces service medal veteran, as these terms are defined under applicable law, or any other factor or characteristic protected by law.

In addition, the University of Vermont recognizes that discriminatory harassment and sexual harassment are forms of unlawful discrimination, and it is, therefore, the policy of the University that discriminatory harassment and sexual harassment will not be tolerated. The University also prohibits unlawful harassment on the basis of other characteristics protected by law.

Further, employees and applicants will not be subjected to harassment or retaliation because they have engaged in or may engage in the following: filing a complaint or assisting or participating in an investigation regarding alleged discrimination or harassment as prohibited in the policy statement above; filing a complaint or assisting or participating in an investigation, compliance evaluation, or any other activity related to the administration of the Vietnam Era Veterans’ Readjustment Assistance Act of 1974 ("VEVRAA"), Section 503 of the Rehabilitation Act of 1973 ("Rehabilitation Act"), or the Affirmative Action provisions of federal, state or local
law; opposing any act or practice made unlawful by VEVRAA, requiring equal employment opportunities for individuals with disabilities, disabled veterans, or veterans of the Vietnam Era, recently separated veterans, other protected veterans, or Armed Forces service medal veterans; or exercising any rights under VEVRAA or the Rehabilitation Act.

Sources: Titles VI and VII of the Civil Rights Act of 1964; the Immigration Reform and Control Act of 1986; Title IX of the Education Amendments of 1972; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; the Age Discrimination Act of 1975; Sections 503 and 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; Section 402 of the Vietnam-Era Veterans Readjustment Assistance Act of 1974; Executive Order 11246 as amended; The Genetic Information Nondiscrimination Act of 2008; and the Vermont Fair Employment Practices Act, all as amended; and such other federal, state and local non-discrimination laws as may apply.

Note: This Statement of Policy is the official University of Vermont Equal Educational Opportunity Policy Statement and supersedes all prior policy statements regarding its subject matter. It may be modified only by written statement issued by the President as Chief Executive Officer of the University or by formal action by the University of Vermont and State Agricultural College Board of Trustees. This Policy Statement is designed to express the University’s intent and commitment to comply with the requirements of federal, state and local non-discrimination laws. It shall be applied co-extensively with such laws, and shall not be interpreted as creating any rights, contractual or otherwise, that are greater than exist under such non-discrimination laws. Persons seeking to participate in educational opportunities offered by the University must consult position and program descriptions to determine criteria for eligibility. All such criteria shall be established in a manner consistent with the legal requirements herein referenced.

Contacts

Questions regarding this policy statement or compliance with its provisions may be directed to:

Chief Diversity Officer and
Special Assistant to the President for Multicultural Initiatives
University of Vermont
346 Waterman Building
Burlington, VT 05405
(802) 656-8426

Questions may also be directed to government agencies having oversight and enforcement authority with respect to the referenced laws. A complete listing of such agencies may be obtained from the Office of Affirmative Action and Equal Employment Opportunity.

The President is the University official responsible for the interpretation and administration of this policy.
Related Documents/Policies

Equal Opportunity in Educational Programs and Activities Policy Statement
http://www.uvm.edu/~uvmppg/ppg/student/equaledu.pdf

Sexual Harassment Policy – Employees
http://www.uvm.edu/~uvmppg/ppg/hr/sexharasemp.pdf

Procedures for Investigating and Resolving Discrimination Complaints

Effective Date

Approved by:

__________________________________________  __________________________
President                                     Date

__________________________________________  __________________________
Daniel M. Fogel, A. John Bramley                Date

__________________________________________  __________________________
Chair, Board of Trustees                        Date

Robert Cioffi
Equal Opportunity in Educational Programs and Activities and Non-Harassment

Policy Statement

The University of Vermont and State Agricultural College is committed to a policy of equal educational opportunity. The University therefore prohibits discrimination on the basis of unlawful criteria such as race, color, religion, national or ethnic origin, age, sex, sexual orientation, marital status, disability, or gender identity or expression, as those terms are defined under applicable law, in admitting students to its programs and facilities and in administering its admissions policies, educational policies, scholarship and loan programs, athletic programs, and other institutionally administered programs or activities made available to students at the University. The University also prohibits harassment, as defined in the Vermont Statutes at Title 16, section 11(a)(26). Unlawful harassment is a form of discrimination and is therefore prohibited. Sources: Title VI of the Civil Rights Act of 1964; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Section 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990; the Vermont Public Accommodations Act; and such other federal, state, and local non-discrimination laws as may apply.

Note: This Statement of Policy is the official University of Vermont Equal Educational Opportunity Policy Statement and supersedes all prior statements regarding its subject matter. It may be modified only by written statement issued by the President as Chief Executive Officer of the University or by formal action by the University of Vermont and State Agricultural College Board of Trustees. This Policy Statement is designed to express the University's intent and commitment to comply with the requirements of federal, state and local non discrimination laws. It shall be applied co-extensively with such laws, and shall not be interpreted as creating any rights, contractual or otherwise, that are greater than exist under such non discrimination laws. Persons seeking to participate in educational opportunities offered by the University must consult position and program descriptions to determine criteria for eligibility. All such criteria shall be established in a manner consistent with the legal requirements herein referenced.
Contacts

Questions regarding this policy statement or compliance with its provisions may be directed to:

Dean of Students
University of Vermont
41-43 South Prospect Street
Burlington, VT 05405
(802) 656-3380

or to:

Chief Diversity Officer and
Special Assistant to the President for Multicultural Initiatives
University of Vermont
346 Waterman Building
Burlington, VT 05405
(802) 656-8426

Questions may also be directed to government agencies having oversight and enforcement authority with respect to the referenced laws. A complete listing of those agencies may be obtained from the Office of Affirmative Action and Equal Opportunity.

The President is the University official responsible for the interpretation and administration of this policy.

Related Documents/Policies

Equal Employment Opportunity/Affirmative Action Policy Statement
http://www.uvm.edu/~uvmppg/ppg/general_html/affirm.pdf

Harassment – Students
http://www.uvm.edu/~uvmppg/ppg/student/studentharas.pdf

Procedures for Investigating and Resolving Discrimination Complaints

Sexual Harassment Policy – Students
http://www.uvm.edu/~uvmppg/ppg/student/sxharasstudent.pdf
Effective Date

Approved by:

________________________            President
A. John Bramley Daniel M. Fogel

________________________            Date

________________________            Chair Board of Trustees
Robert Cioffi

________________________            Date
Grant and Contract Awards
January 1, 2012 – March 31, 2012
May 18, 2012

Board of Trustees
Committee of the Whole

Prepared By
Ruth Farrell, Associate Vice President for Research Administration
HIGHLIGHTS OF SPONSORED PROJECTS
AWARDED 01/01/12 to 03/31/12

During this three-month period, grants and contracts totaling $24,037,360 were awarded to UVM. Awards being reported in this period include:

- New funding from the Vermont Agency of Agriculture, Food, and Markets to characterize methane-producing microorganisms in dairy cow waste anaerobic digesters. With increasing challenges associated with the storage of dairy waste and costs with its removal, methane digesters have emerged in the dairy sector as a method for converting manure into renewable energy.

- Continued funding from the National Development and Research Institute, Inc. for a National Institutes of Health (NIH) - funded project that uses a co-parenting framework to study the impact of transient domesticity in poor African American families.

- New funding from MITRE Corporation for a one year research program to construct an online instrument -- hedonometer.org -- that will present real-time measurements and analyses of population-level happiness through the analysis of written expressions recorded in open social media.

- Continued funding from the U.S. Department of Education for a five-year project that provides individual supports and services for the academic, physical, and social inclusion of students with intellectual disabilities in academic courses, extracurricular activities, and other aspects of the institution of higher education's regular postsecondary program including internships leading to gainful employment.

- New funding for an NIH-funded collaboration with the University of Pittsburg that examines functional aging, or disability-free survival, in older adults -- the long-term survivors of the Cardiovascular Health Study (CHS) cohort, now age 80 and older. UVM’s role in the project includes the maintenance of stored samples and the completion of specific assays aimed at understanding specific trajectories for functional aging.

- A new award for a collaborative project with the University of New Hampshire funded by the U.S. Department of Agriculture, National Institute of Food And Agriculture, to assist organic dairy farmers with meeting the demands of new and emerging milk markets.

- New funding from the Vermont Department of Fish & Wildlife to assess the Stonecat population in the only two rivers it is known to populate in Vermont, the Missisquoi and LaPlatte. Stonecat is an endangered catfish and species of great conservation need.
<table>
<thead>
<tr>
<th>COLLEGE DEPARTMENT</th>
<th>PRINCIPAL INVESTIGATOR</th>
<th>SPONSOR</th>
<th>PROJECT TITLE</th>
<th>START DATE</th>
<th>END DATE</th>
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<td>University of Nebraska</td>
<td>HorseQuest Community of Practice</td>
<td>1/1/2012</td>
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<td>Wright, Andre-Denis G</td>
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<td>Enhancing Food Security in Underserved Populations in the Northeast Through Sustainable Regional Food Systems</td>
<td>3/1/2012</td>
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<td>Nutrition and Food Sciences</td>
<td>Donnelly, Catherine W</td>
<td>3M Company</td>
<td>Evaluation of 3M Listeria Recovery Broth for Detection of Listeria Populations Injured by Acid, Heat and Nitrite</td>
<td>11/1/2011</td>
<td>7/15/2012</td>
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<td>New Hampshire Plant Growers Association</td>
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<td>Ecological Management for Sustained Maple Forest Health and Productivity</td>
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**Rubenstein School of the Environment and Natural Resources**

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Total 153 $19,262,456 $4,774,904 $24,037,360
Report of the Curricular Affairs Committee of the Faculty Senate
May 18, 2012

Board of Trustees
Educational Policy and Institutional Resources

Prepared By
Catherine Paris, Chair of the Curricular Affairs Committee

Reviews of Proposals to Initiate, Alter or Terminate an Academic Program:

Completed Reviews:

- Approval of an online Post-Baccalaureate Academic Certificate of Study for Speech-Language Pathology Assistants
  NOTE: This is also an action item for this Board meeting.

The Curricular Affairs Committee approved a proposal from the Department of Communication Sciences and Disorders (CSD) in the College of Nursing and Health Sciences and Continuing Education (CE) to create a new online Post-Baccalaureate Certificate of Study for Speech-Language Pathology Assistants (SLP-A). The proposed academic certificate is for individuals who seek to assist certified Speech–Language Pathologists (SLP) in treating the diverse needs of children with communication disabilities and their families in the school setting. It is appropriate for any individual with a baccalaureate degree. The proposed courses provide an opportunity to explore the field of speech-language pathology as a career and facilitate a path to enrollment in a master's degree program in speech pathology with the completion of at least four of the required six prerequisites for graduate work in CSD. The proposed one-year certificate program, comprising a set of six required courses and one elective, would replace the current course sequence for school-based SLP-As that has been offered through CE and CSD since 2004. The particular strength of the proposed post-baccalaureate program is that it draws on the expertise of practicing professionals and incorporates currently available coursework.

The rationale for the proposed new academic certificate program is compelling. First, there is a need for trained SLPs and SLP-As as the number of children with communication disorders, including autism, is increasing. The national SLP job growth over the next 10 years is expected to grow by 19%, which is faster than most professions. Additionally, with the entire SLP-A certificate offered online, this CE program has a national reach. Providing innovative ways to extend the resources of the University beyond the traditional scope of degree programs is consistent with the
University's mission and long-range planning goals. Programs such as this one provide a vehicle for academic departments to expand graduate programs to new students, both in state and out of state. As Vermont's land-grant institution, the University's mission is “to create, interpret, and share knowledge, to prepare our students to lead productive, responsible, and creative lives, and to apply knowledge for the benefit of Vermont and society as a whole” (UVM Strategic Plan 2003-2008).

Costs/Funding

Few additional resources will be needed in the implementation of this online post-baccalaureate academic certificate program. The program will utilize existing courses and faculty from CSD and Romance Languages and Linguistics, and no additional equipment, space, or library resources are requested. The certificate program will be funded by tuition dollars generated by student enrollments. Financial support to administer the program will be provided by Continuing Education.

Additional information regarding the proposal approved by the Curricular Affairs Committee can be obtained by contacting the Trustee Coordinator.

● Approval of a new Astronomy Minor

The Curricular Affairs Committee approved a proposal from the Physics Department and the College of Arts and Sciences for a new minor in Astronomy. The Astronomy minor, requiring 16 credits of coursework, is expected to appeal to a variety of students, from Physics majors seeking a B.A., who may choose Astronomy to fulfill their degree requirement for a minor to Secondary Education majors, who may wish to gain expertise in Astronomy to bring to their teaching. The Physics Department anticipates that about 30-40 students per year will opt for the Astronomy minor.

Costs/Funding

No new resources are required to offer this minor. Physics faculty members as part of their normal workload plans are already teaching courses required for the minor.

Note: The Astronomy minor has not, as of the drafting of this report (04/19/12), been approved by the Senate. It will be taken up at their May 17, 2012 meeting. Upon recommendation of the Faculty Senate, this action item may be presented for Committee consideration.

Academic Program Review

Completed Reviews:

- Environmental Sciences

Note: The Environmental Sciences APR report has not, as of the drafting of this report (04/19/12), been approved by the CAC. It will be taken up at their May 9, 2012 meeting.
Reviews in Progress:

- Graduate Program in Curriculum and Instruction

Other Academic Actions

Completed Actions:

The CAC recently:

- Approved a name change for the Cell and Molecular Biology Program, which will henceforth be known as the Cellular, Molecular, and Biomedical Sciences Program. The CMB acronym will be maintained.

- Collaborated with the Graduate College to clarify the approval process for proposals to substantially change curricula, named tracks or concentrations, and degree delivery format (“Appendix B” reviews).

- The Diversity Curriculum Review Committee (DCRC), a subcommittee of Curricular Affairs, reviewed more than 25 course proposals and a half a dozen diversity course transfer proposals. In addition, it continued to work on faculty development around the diversity curriculum and to revise and clarify DCRC policy. The DCRC will present its report to Curricular Affairs at the CAC’s May meeting.

The CAC is:

- Receiving regular updates on the development of UVM’s General Education program.
- Collaborating with the Provost’s Office to implement the revised Academic Program Review process.
- Working with the Provost’s Office and the Graduate College to revise UVM’s Course Action Form.
- Participating in UVM’s Strategic Initiatives Project.
- Reviewing UVM’s Credit by Examination Policy.

Under Consideration:

- A proposal from the College of Education and Social Services to reactivate a minor in Coaching is expected to be considered at the May 9 CAC meeting for recommendation to the Faculty Senate on May 17. Upon recommendation of the Faculty Senate, this action item may be presented for Committee consideration.

- A proposal from the Graduate College, the Department of Medicine in the College of Medicine and Continuing Education to establish a new Certificate of Graduate Study in Public Health. This proposal is expected to be considered at the May 9 CAC meeting for recommendation to the Faculty Senate on May 17.
Upon recommendation of the Faculty Senate, this action item may be presented for Committee consideration.

- A proposal from the Graduate College to formally establish the James M. Jeffords Center for Research and Policy Studies.
I. Introduction
The Transdisciplinary Research Initiative (TRI) was designed to help map the University’s existing and emerging capabilities; to identify those research, teaching, and public service areas that hold the strongest potential for distinction; and to use the findings to guide us in pursuit of our goal of becoming a recognized center for learning and discovery in selected fields (Spires of Excellence). The initiative’s focus during academic year 2009-10 was on the identification of the initial Spires of Excellence: Complex Systems; Food Systems; and Neuroscience, Behavior & Health. During the 2010-11 academic year we began the process of building the administrative infrastructure necessary to support the Spires. Simultaneously, the faculty members associated with these three research areas established communication networks, identified opportunities for collaboration, and further explored the Spires to identify particular areas of focus.

This year can be characterized as the year in which Spire Steering Committees took full ownership of their charge to develop transdisciplinary excellence at UVM by hosting innovative outreach events; bringing in distinguished colleagues from around the world for lectures and seminars; launching innovative curriculum ideas in both undergraduate and graduate education; developing competitive grant submissions with state and regional partners. They also developed distinctive “Spire voices” in communications on their websites, twitter feeds, and research listservs and continued to actively engage the campus community in their scholarship, from students to senior administrators.

II. Spire Leadership: Steering Committees & TRI Advisory Committee (TRIAC)

Spire Steering Committees: As in 2010-11, all three Spire Steering Committees continued to be led by a designated Chair and Vice Chair (or Co-Chair in the case of Food Systems) and continued to hold regular meetings, usually biweekly. In 2011-12, Steering Committees were also given the authority by the Provost and Vice President for Research to make changes to their committee membership as needed. For Food Systems, changes to membership included several additional and valuable members, including former Associate Provost and former Dean of the College of Agriculture and Life Sciences, Professor Rachel Johnson. In NBH, the previous years’ Vice Chair chose to step down from the committee due to time-sensitive research
demands and another committee member, Professor Mark Bouton, took on a leadership role as Vice Chair with Chair Rae Nishi. Additionally, Professor Rex Forehand joined the committee in place of Tim Stickle, who is on sabbatical this academic year. Finally, Complex Systems leadership and membership remained largely the same as in 2010-11, with the addition of a Vermont Complex Systems Center Affiliate, UVM alum, and Site Leader for the MITRE Vermont Office, Dr. Brian Tivnan, to regular committee meetings.

**Transdisciplinary Research Initiative Advisory Committee (TRIAC):** Also in 2011-12, the Transdisciplinary Research Initiative Advisory Committee (TRIAC), a conjoint committee of senior administrators and the Faculty Senate Research, Scholarship, and Graduate Education (RSGE) Subcommittee, began to hold regular meetings and set up a website for more information about the TRI. Led by RSGE Chair Richard Galbraith and Vice President for Research and Dean of the Graduate College Domenico Grasso, TRIAC recognizes its charge as the oversight of, and assistance to, all Spires in matters concerning their progress, including meeting stated metrics and goals.

**Appendix A** lists all current Spire Steering Committee and TRIAC members.

**III. Faculty Recruitment – Spire-Related and Spire-Driven Faculty Recruitments**

Each spring, Deans are asked to submit a slate of faculty recruitments proposed for the following academic year. These proposed recruitments are evaluated in the context of four critical areas: contribution to undergraduate education; contribution to graduate education; the research foci of the positions; and their potential contribution to strategic priorities such as Spires of Excellence. The Deans proposed a highly strategic slate of tenure-track recruitments for academic year 2011-12, of which 27 were authorized. The research foci of 21 of these positions were in direct alignment with one of our Spires of Excellence. This maximized the use of existing resources and furthered our efforts to build critical mass in Spire areas.

The Spire-related faculty hiring protocol that was developed in academic year 2010-11 ensures that members of the Spire Steering Committees have the opportunity to meet with candidates when they are interviewed on campus, after which they provide a written assessment of the candidate’s potential contribution to the Spire directly to the Search Committee. We are making progress in this more collaborative and cross-college approach to evaluating and selecting candidates, but it is also true that we have further work to do to move some departments away from our former more insular process.

Academic year 2011-12 marked the inaugural Spire-driven faculty recruitment. That is, a new position was created (funded from the internal reallocation of existing resources) for the express purpose of meeting a pressing area of research need as identified by the faculty Steering Committee leading the Neuroscience, Behavior and Health Spire. In this case, the NBH committee identified human genetics as its highest area of need. Working in accord with the Spire-driven faculty hiring protocol, the recruitment was conducted this year. We are in the final stages of that process and are considering a highly-qualified candidate.
IV. FY 12 Investments
Among our long-term goals for the Spires is the expectation that they will generate external funding to support the majority of their research activities. It is necessary, however, to provide them with continuing funding to support their basic administrative needs. In academic year 2011-12, continuing base budgets were established for each Spires as follows:

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<td>Administrative Staffing (salary and benefits)</td>
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<td>Operating and programming Support</td>
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Each Spire was also allotted $10,000 from discretionary funds to provide grant proposal writing support. To be sure, these investments are modest in comparison to our expectations for the Spires. We need to identify and provide additional administrative support that will be essential to their success. Investments beyond administrative support will be considered in the context of the entire slate of strategic investments that is established by way of the Strategic Initiatives Project. In addition to the above administrative investments was the investment of salary, benefits and start-up resources in support of the Spire-driven hire in human genetics. This investment will likely exceed $350,000.

V. Plans for Future Spires
There is a general consensus on campus that we should allow the three initial Spires to grow and develop to a reasonable extent before pursuing additional Spires. After consultation with Faculty Senate leadership and TRIAC, we have decided that during academic year 2012-13 we will let campus know that there will be a formal identification and designation process during the following year, in 2013-14. There will be no pre-specified areas from which the new Spires will be selected. Faculty members will have a full year to self-organize around topic areas that are of most interest to them in anticipation of the process that will commence the following year. This timeline will allow our new president to be on campus, and the SIP process to be underway, before we consider creating more Spires.

VI. Annual Steering Committee Reports
In 2011-12, all three Spire Steering Committees actively advanced their charge to develop transdisciplinary excellence at UVM. Utilizing the resources given to them for administrative support and outreach coordination by the Office of the Provost, all three Spires hosted innovative outreach and informational events, including the MacMillan Trust Symposium on the Brainy Side of Exercise attended by faculty, staff and students from UVM and local colleges, schools and communities (NBH), a research workshop with UVM faculty and state government leaders (Food Systems), and a globally-viewed (in 32 countries), TEDx program and launch of a student reading group (Complex Systems). Complex Systems and NBH also held a distinguished speaker series, with two invitees to campus jointly sponsored by both Spires.

The three Spires also invested in the planning and development of innovative curriculum for both undergraduate and graduate education (e.g. the 2012 launch of a M.S. in Food Systems), wrote and submitted multiple competitive grants and peer-reviewed publications, and focused strategic communications on redesigning their websites, making regular postings to widely-viewed twitter feeds, and maintaining constant communication with colleagues – both on and off campus – through ever-growing research and education listservs. Spires were also actively involved in reviewing potential “Spire-Aligned” and “Spire-Driven” hires.
Preliminary communications with NSF lead us to be optimistic that an Integrative Graduate Education and Research Training (IGERT) grant will be funded in the area of Smart Grids - Technology, Human Behavior and Policy. This proposal involves both the Complex Systems and Neuroscience, Behavior and Health Spires, and leverages our research collaboration with Sandia National Laboratories. UVM has been one of only two states in the country that have not successfully competed for IGERT funding. This 2.6 million dollar award over 5 years would be a testament to the benefits of developing collaborative research emphases at UVM.

With support and strategic guidance from the Office of the Vice President for Research (OVPR), all three Spires were involved in the UVM Transportation Research Center review process that distributed over $1,000,000 in research funds to competitive, transdisciplinary projects that aligned transportation and Spire research interests. Spire related interests by UVM undergraduates and graduate students were also highlighted by OVPR and the Honors College in the annual Student Research Conference, with 157 of the 328 student projects submitted reported as “Spire-Aligned.” This included 65 student projects in Complex Systems, 44 in Food Systems, and 70 in Neuroscience, Behavior & Health.

A detailed list of the 2011-12 achievements as submitted by the three Spire Steering Committees can be found in Appendix B.
Appendix A

**2011-12 Transdisciplinary Research Initiative (TRI)**
Spire Steering Committee Membership & TRI Advisory Council (TRIAC) Membership

**Complex Systems Steering Committee**
- Professor Peter Dodds, Department of Mathematics & Statistics, *Chair*
- Professor Joshua Bongard, Department of Computer Science, *Vice Chair*
- Professor Jason Bates, Department of Medicine and School of Engineering
- Professor Christopher Danforth, Department of Mathematics & Statistics
- Professor Christopher Koliba, Department of Community Development & Applied Economics
- Professor David Novak, School of Business Administration
- Brian Tivnan, Ph.D., UVM Complex Systems Center Affiliate, MITRE Chief Engineer, Modeling & Simulation Department; Site Leader, MITRE-Burlington

**Food Systems Steering Committee**
- Professor Jane Kolodinsky, Department of Community Development & Applied Economics, *Co-Chair*
- Professor Naomi Fukagawa, Department of Medicine, *Co-Chair*
- Linda Berlin, Center for Sustainable Agriculture and Department of Nutrition & Food Science
- Professor Pablo Bose, Department of Geography
- Professor Rocki-Lee DeWitt, School of Business Administration
- Assistant Professor Tyler Doggett, Department of Philosophy
- Assistant Professor Charles Hulse, Rubenstein School of Environment and Natural Resources
- Professor Rachel Johnson, Department of Nutrition and Food Sciences
- Professor Ernesto Mendez, Department of Plant & Soil Science

**Neuroscience, Behavior and Health Steering Committee**
- Professor Rae Nishi, Department of Anatomy & Neurobiology, *Chair*
- Professor Mark Bouton, Department of Psychology, *Vice Chair*
- Professor Brian Flynn, Department of Family Medicine and Office of Health Promotion Research
- Associate Professor Hugh Garavan, Department of Psychiatry, Psychology
- Professor Sharon Henry, Department of Rehabilitation & Movement Science
- Professor Timothy Stickle, Department of Psychology – on sabbatical
- Professor Rex Forehand, Department of Psychology (replacement for Professor Stickle)
- Associate Professor Haley Woodside-Jiron, Department of Education

**Transdisciplinary Research Initiative Advisory Council (TRIAC)**
- Senior Vice President, Provost, and Professor Jane Knodell, College of Arts and Sciences
- Vice President for Research, Dean of the Graduate College, and Professor Domenico Grasso, College of Engineering and Mathematical Sciences
- Associate Dean and Professor Cynthia Forehand, College of Medicine
• Professor Richard Galbraith, College of Medicine
• Associate Professor Maureen Neumann, College of Education and Social Services
• Professor Rory Waterman, College of Arts and Sciences
• Associate Research Professor Terri Donovan, Rubenstein School of Environment and Natural Resources
• Professor George Osol, College of Medicine
• Professor George Pinder, College of Engineering and Mathematical Sciences
• Professor Sharon Henry, College of Medicine
• Professor Barbara McIntosh, School of Business Administration
• Associate Professor Feng-Qi Zhao, College of Agriculture and Life Sciences
• Associate Professor Paul Deslandes, College of Arts and Sciences
• Associate Professor Jeanene Light, University Libraries and Information Services
### 2011-12 Transdisciplinary Research Initiative (TRI)
#### Steering Committee Achievements

**Food Systems**

In 2011-12, the UVM Food Systems Initiative (FS) worked meet all of its early (Year One) goals and metrics set in Spring 2011. Details are listed in the chart below.

<table>
<thead>
<tr>
<th>Food Systems Goal</th>
<th>2011-12 Metric or Activity</th>
<th>Current Status</th>
<th>Source of Support and/or Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Develop New Knowledge</strong></td>
<td>Ensure UVM records number of UVM faculty proposals submitted and grants awarded around FS themes</td>
<td>Steering Committee request of SPA to run monthly reports on FS designation</td>
<td>UVM Sponsored Programs Administration (SPA)</td>
</tr>
<tr>
<td></td>
<td>Award 2011-12 FS Planning Grants</td>
<td>3 reviewed/1 awarded 2012; reporting due July 2012</td>
<td>UVM Deans’ Support &amp; Funding</td>
</tr>
<tr>
<td></td>
<td>Award FS Pilot Funds</td>
<td>11 proposals invited for full submission are under review</td>
<td>UVM Deans’ Support &amp; Funding (CALS, COM, EXT)</td>
</tr>
<tr>
<td></td>
<td>Award UVM/Community Mini-Grants for FS</td>
<td>Grant round ending; reports due June 1</td>
<td>CRS Food Systems Special Grant Funds</td>
</tr>
<tr>
<td><strong>Develop New Leaders</strong></td>
<td>Work with UVM Summer Institute</td>
<td>Event scheduled for June 2012</td>
<td>UVM Continuing Education Support</td>
</tr>
<tr>
<td></td>
<td>Help students secure UVM Participation in National “Real Food Challenge,” or RFC</td>
<td>RFC formally signed by UVM Interim President Bramley on 22 March 2012</td>
<td>UVM student-led effort / UVM administration supporting institutional change</td>
</tr>
<tr>
<td></td>
<td>Host a UVM Food Day</td>
<td>Event held October 2011; Next UVM Food Day planned for Oct 2012</td>
<td>UVM FS Spire Steering Committee Operating Budget</td>
</tr>
<tr>
<td><strong>Share Knowledge</strong></td>
<td>Host Food Summit Public Conference &amp; Food Systems NE Sustainable Ag Leaders group meeting</td>
<td>Event scheduled for June 2012</td>
<td>UVM Continuing Education Support: Linda Berlin, liaison</td>
</tr>
<tr>
<td></td>
<td>Host 2nd Annual Food Systems Symposium</td>
<td>Event held November 2011 with great inclusion of UVM FS partners</td>
<td>UVM FS Spire Steering Committee Operating Budget</td>
</tr>
<tr>
<td></td>
<td>Launch of UVM Food Systems Masters’ Program</td>
<td>MS Program approved and accepting students for Fall 2012; Applications due May 1; Three FS prefix graduate level courses approved; one cross-listed course</td>
<td>USDA Challenge Grant provided funds for program development (PIs: Kolodinsky and Trubek); UVM Graduate College</td>
</tr>
<tr>
<td><strong>Share Knowledge (continued)</strong></td>
<td>Creation of UVM FS Courses</td>
<td>Continue to need coordination of FS courses across campus</td>
<td>Partners in the effort: CAS, CALS, Public Health, FS, RSENR, ENVS, Honors College</td>
</tr>
<tr>
<td>---------------------------------</td>
<td>-----------------------------</td>
<td>----------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Increase FS Outreach &amp; Engagement</strong></td>
<td>Food Systems Steering Committee supporting regular Twitter, blog, email updates about national, local, and campus FS events</td>
<td>FS Spire Steering Committee Operating Budget (administrative coordination)</td>
<td></td>
</tr>
<tr>
<td><strong>Increase Communication About FS Relevance and Importance on Campus</strong></td>
<td>Conversations with Deans Vogelman, Goldberg, Lantagne, Watzin and Gund Director Ricketts through Steering Committee Invitation (more Deans/Directors meetings planned for 2012)</td>
<td>FS Spire Steering Committee Operating Budget (administrative coordination)</td>
<td></td>
</tr>
<tr>
<td><strong>Increase Transdisciplinary FS Publications</strong></td>
<td>Submitted article for Journal of Food Systems Agriculture and Community Development Under revision: Walking the Talk of Food Systems at a Small Land Grant University</td>
<td>Authors: Kolodinsky, Fukagawa, Roche, Belliveau, Johnson</td>
<td></td>
</tr>
<tr>
<td><strong>Continue Transdisciplinary FS Discussions</strong></td>
<td>Continuation of the Brown Bag Series of last year—panel discussion around a relevant topic—e.g. Labeling of GMOs</td>
<td>FS Spire Steering Committee Operating Budget</td>
<td></td>
</tr>
<tr>
<td><strong>Sustaining Leadership</strong></td>
<td>Develop a plan to institutionalize Food Systems Initiative at UVM</td>
<td>Discussion for transition from volunteer steering committee to identified leader(s) and formal organization (e.g. Center or Institute)</td>
<td>Ongoing FS leadership discussions with Provost and Vice President for Research</td>
</tr>
</tbody>
</table>

**Complex Systems**

In the 2011-12 Academic Year, the UVM Complex Systems Spire significantly developed a timely, strategic focus and saw numerous goals met and accomplishments achieved.

The Complex Systems’ Spire strategic focus choice of “Big Data” -- finalized in Summer 2011 and chosen for its transdisciplinary research potential as well as its ability to bring a diversity of faculty, students, and external partners to the Spire effort -- pre-dated by almost a year the March 2012 announcement of $200M for a national focus on “big data” and data-driven research by the Obama Administration.

Goals and achievement highlights by the Complex Systems Spire in 2011-12 include:

- A highly successful UVM TEDx event in Fall 2011 introducing UVM complex systems expertise and collaborations through an event entitled “Big Data, Big Stories." Event highlights include:
  - 150 RSVPs for campus event (the maximum allowed by TEDx guidelines)
  - 540 unique online viewers of webcast
- 32 different countries represented by viewers of web-streamed event  
- “TEDx Editor’s Pick” Award for UVM TEDx talk by Neil Johnson, guest speaker from Miami University (Professor Johnson’s talk has attracted several thousand views on the UVM Complex Systems Center website)  
- 100s of on-line views of all UVM TEDx videos bringing new visitors to Complex Systems Center site  

2011-12 Goal Met: Annual Complex Sociotechnical Systems Conference (First one in Fall with a theme of Big Data).  

✓ Co-authorship of an article in Science, one of the world’s most distinguished and widely-read science journals, by Complex Systems Steering Committee member Brian Tivnan  

2011-12 Goals Met: Continued Growth of UVM Recognition as an Outstanding Transdisciplinary Research Institution.  

✓ Successful launch of a campus-wide Complex Systems Spire Lecture Series to introduce UVM and the public to complex systems ideas and innovations:  
- Four internationally renowned speakers brought to campus, many with potential to be on Advisory Board. Speakers had diverse expertise in complex systems: a cardiologist from McGill; a computational neuroscientist from the Salk Institute, the most published living computer scientist and a member of the National Academy of Sciences, the National Academy of Engineering, and the Institute of Medicine; a scientist from Sandia National Laboratories; and a Chief Scientist of a rapidly-expanding web company (bit.ly);  
- Each lecture is professionally recorded and video-embedded on the Vermont Complex Systems Center website in the TEDx model for continued sharing and outreach  

2011-12 Goals Met: Develop of Regular Series of Talks & Lectures using TEDx Style with Video Recordings on Website; Identify and Invite Potential Spire External Advisory Board Candidates to Campus  

✓ Successful Complex Systems Center website redesign and expansion of the “CSC” listserv throughout Vermont, the U.S., and the world  
- 7000 unique visitors to Vermont Complex Systems Center website  
- Analytics show that visitors to site come from over 95 different countries  
- Website visitor views up from approximately 10 views/day over past two years to almost 30 views/day this year  
- Almost 350 UVM faculty and staff subscribing to the “CSC” listserv  
- Incorporation of Facebook and Twitter to outreach  

2011-12 Goals Met: Continued development of Complex Systems Center website as a knowledge repository Improve Web-based Outreach; Create System to Capture Website Hits and Viewing of Recorded Talks  

✓ Spire support of a Complex Systems Center biweekly journal club for faculty and students, with event attracting 20-30 faculty and students from across campus for each meeting  

2011-12 Goals Met: Expand Reading Groups and Increase Inclusion; Work On Connections Across Campus To Continue Bringing People Out Of Disciplinary Silos
Support of Complex Systems Steering Committee member involvement in larger UVM research discussions with key external partners, including State of Vermont legislative and government interests as well as industry. In 2011-12, this included the Spire’s involvement in discussions around the Vermont Governor’s STEM education initiative, an effort to study Vermont’s education system as a complex system, and ongoing UVM complex systems project development with IBM Fellow John Cohn, a long-time supporter of complex systems and science education.

2011-12 Goal Met: Continued Growth of UVM Recognition as an Outstanding Transdisciplinary Research Institution

Participated in Vermont Advanced Computing Core facility (VACC) discussions to align long-term Spire goals with potential VACC development as a data storage and processing system that will complement traditional supercomputing (Spring 2012 submission of capital project request by the VACC and Enterprise Technology Services (ETS) for cyber infrastructure were influenced by these discussions)

2011-12 Goal Met: Help Develop VACC as a Data Storage and Processing System, Complementing Traditional Supercomputing

Participated in campus-wide searches for “Spire-Aligned Hires.” Advocated for a first cohort of complex systems “Spire-Driven Hires” at UVM, with specific focus on expertise in behavioral economics, computational social science, computational finance, and/or digital humanities

2011-12 Goals Met: Complete the Spire-Aligned Candidate Interview Assistance Process; Identify Three Tenure-Track lines of Greatest Need to Spire for Proposal to Provost

Plans for the Complex Systems Spire in 2012-13 include:

- Formal creation of an Advisory Board for the Complex Systems Spire
- Development of timely and innovative UVM courses in 'data science' for both undergraduates and graduate students
- Tighter integration with colleges and units on campus who are not yet well-represented in campus complex systems activities and discussions
- Tighter integration with both the Food Systems and NBH Spires in co-sponsorship of events, scholarly exchange, and achieving common goals

Neuroscience, Behavior and Health

In the 2011-12 academic year, the Neuroscience, Behavior and Health Spire continued to develop its base of interest and foster collaborative, interdisciplinary research.

Goal 1: raise UVM and public awareness of NBH through website (http://www.uvm.edu/~nbhspire)

Metric 1: hits on webpage
- 11/7/2010 - 11/7/2011:
  - 914 page views; 514 unique
  - 10,588 page views; 8624 unique

Goal 2: Have an impact on engaging the public and the UVM community about NBH

Metric 2a: participation in NBH Forum (Feb 6-7, 2012)
  - 140 participants
    - 6 Dartmouth; 6 St. Michaels
    - 23 high school students
    - 31 UVM faculty members
    - 29 UVM grad students
    - 13 UVM staff members and postdocs
    - 24 UVM undergrads
    - 12 UVM prospective students for NGP

Metric 2b: participation in Macmillan Symposium (March 26, 2012): The Brainy Side of Exercise
  - 403 on-site participants
    - 116 Non-UVM (community members plus other schools)
    - 81 UVM faculty/administration
    - 83 UVM grad students
    - 86 UVM undergrads
    - 33 UVM staff members and postdocs
    - 4 speakers
  - Plus live web stream

Metric 2c: Sponsored Presidential Burack Lectures
  - 4/5/2012
    - Thomas Schroeder
    - "Improving Health in America: Why change comes so hard"
  - 4/9/2012
    - Louis Ptacek and Ying-Hui Fu
    - "Genetics of Headache, Epilepsy and related disorders"
  - 4/18/2012
    - Joel Nigg
    - "ADHD: Mechanisms, causes, and future directions for research"

Goal 3: Identify opportunities for collaborations in research

Metric 3: participation and development of projects in three Focus Groups and provide seed monies ($7000 microgrants) to foster research collaboration in new areas

Addictive Behaviors group
  - 10 faculty members
    - CAS, COM, CESS
    - 7 departments
  - Microgrant: Neural mechanisms of stress-induced relapse of drug seeking behavior
    - CAS and COM faculty (ANNB and Psychology)
Stress, Trauma, Anxiety, Mood Disorders, & Pain (STAMP) Group
- 11 members
  - CAS, COM, CESS, CNHS
  - 7 departments
- Microgrant: Genetic Factors Influencing Development of Chronic Pain, Treatment Response, and Neural Reactivity
  - COM faculty (Psychiatry and ANNB)

Developmental Interventions Group
- 12 members
  - CAS, COM, CESS, CNHS
  - 10 departments
- Microgrant: Parent training & exercise: Implications for stress reduction and positive adjustment for families of children with ADHD or ASD
  - CAS, CNHS, CESS
- Also awarded pilot grant from CDCI (Center for Disability and Community Inclusion)

**Goal 4:** Increase the number of NBH associated faculty on campus  
**Metric 4:** Participate in search process for new hires
- **Spire related**
  - Developmental neurobiologist (Biology)
  - Developmental psychologist (Psychology)
  - Neuroscientist/physical therapist (Rehabilitation and Movement Science)
  - Chair, Neurological Sciences
- **Spire driven**
  - Human geneticist
The UVM Foundation began formal operations on January 1, 2012, and as an overarching comment, we are pleased to report that the transition from the University to the new organization has been extremely smooth. With the major elements of that transition now complete, the Foundation Board of Directors, Leadership Council and staff have focused their efforts on meeting the key metrics in the Foundation’s business plan for FY12 related to fundraising, campaign planning, alumni relations, stewardship, operations, and staff development. Significant progress in all six areas has been achieved, and we look forward to issuing a full report on our accomplishments in the Foundation’s first annual report this fall.

Until then, reports from the various standing committees of the UVM Foundation Board of Directors and Leadership Council, which met in late April, will provide a sense of our work and overall positive trajectory over the course of the past year.

Alumni Association (Ted Madden, President): The Alumni Association/UVM Foundation ad hoc governance work group concluded their work to determine how best to incorporate the Association’s activities into the governance structure of the UVM Foundation and recommended that the Alumni Association Board of Directors be established as a standing committee of the UVM Foundation, with full responsibility for establishing, executing, and evaluating programs and policies that engage alumni in the life of the institution. Currently, the foci of the Association’s engagement activities are athletics, career services, diversity, admissions, awards, class council, and alumni house. Details of the Association’s recent activities in these areas are provided separately in the Association President’s report.

Key initiatives identified by the Association in the coming fiscal year include the establishment of club/chapter programs in five new markets; efforts to establish a clearer brand for the association; and the establishment of an enhanced member benefit program.

Progress continues on the Association’s signature project – renovation of Alumni House – with exterior stabilization work nearing completion and significant efforts underway to conclude the fundraising effort for that project within the next year.
Audit Committee (Max Ansbacher, Chair): The Audit Committee reported that KPMG had completed the Foundation’s 2011 audit and issued an unqualified opinion, the highest opinion a CPA firm can provide. At close of business on December 31, 2011, the UVM Foundation had $1,589,274 in total liabilities and net assets. KPMG continues its work on the Foundation’s first 990 and 2011 tax return documents, which, when completed will be posted to the Foundation website, www.uvmfoundation.org, for public access.

Development Committee (Karen Meyer, Chair): The Development Committee reported that total fundraising production (new outright gifts, pledges and deferred commitments) stood at $30.3 million as of April 30. This total is significantly ahead of last year’s final result of $20.4 million. With two months remaining in the fiscal year, total commitments are projected to be somewhere between $40 and $49 million, which could make FY12 the most productive fundraising year in UVM history.

New Commitments
On a more positive note, the Foundation’s major gift team is now nearly complete, with major gift officers in nearly every undergraduate college. As a result, the number of personal visits with major gift donors is projected to be 1,850 by year end (an increase of 14% over last year’s 1,620) and is further projected to grow to 2,500 in FY13 (a 54% total increase in two year’s time).

The expanded team of major gift has significantly increased the number of prospective major gift donors we’re currently cultivating, from 1100 households at this time in 2011 to more than 1850 currently (an increase of 68%).

The Foundation and the University have partnered to announce several major commitments in recent months, including the following:

- A $1.5 million estate provision from Richard Fisher ’47 to establish a professorship in electrical engineering in the College of Engineering and Mathematical Sciences.
- UVM Foundation board member Don McCree ’83 and his wife, Gabby, made a $1 million pledge to be used for scholarship support. They have agreed to allow us to use a portion of their commitment as a challenge fund to attract even more scholarship gifts.
- A $500,000 gift from William Davis ’71 and his father, Robert ’41, to support the Alumni House renovation.
- A $250,000 Green & Gold Professorship in pathology from professor emeritus Dr. Roy Korson.
- A $500,000 cash gift from Dr. Ray W. Collins Jr.’35, ’38 COM to support an endowed scholarship in nursing.
- Additionally, the Class of 2012 has decided to establish a need-based scholarship that they are marketing as “The Gift of UVM” as their Senior Class Gift this year.
Executive Committee (Eugene Kalkin, Chair): Board and Committee chair Eugene Kalkin reported that the Executive Committee met three times since our fall meetings, during which time the committee approved the Foundation’s Fund Administration, Gift Acceptance, Investment, and Endowment Naming policies, and passed a resolution to establish and maintain Morgan Stanley accounts for accepting and selling gifts of securities. All Board approved policies are available for public consumption on the Foundation web site – www.uvmfoundation.org. The Executive Committee also reviewed the draft FY13 business plan, which they will approve in its final form in June.

Finance & Investment Committee (Rob Brennan, Chair): The Finance & Investment Committee has been deeply involved in the development of the policies and guidelines reported by Eugene Kalkin in the Executive Committee report. At the April meeting, the committee spent considerable time discussing a draft pooled endowment agreement to facilitate the University of Vermont serving as the initial fund manager for the UVM Foundation endowment. Foundation senior management has been authorized to complete negotiations with the University on this agreement, barring any significant deviations from the current draft, and the Foundation hopes to make its initial investment of endowment assets by July 1. The committee also reviewed the Foundation’s proposed FY13 budget, which we anticipate will be finalized and approved by the Foundation Board in June, coincident with approval of the FY13 business plan.

Governance Committee (John Hilton, Chair): The Governance Committee recommended, and the board approved, staggered terms for the inaugural members of the Foundation Board of Directors. They are:

<table>
<thead>
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<tbody>
<tr>
<td>Pam McDermott</td>
<td>Mimi Reardon</td>
<td>Zack Gund</td>
</tr>
<tr>
<td>J. Brooks Buxton</td>
<td>Bill Ruprecht</td>
<td>John Hilton</td>
</tr>
<tr>
<td>Don McCree</td>
<td>Karen Meyer</td>
<td>Steve Ifshin</td>
</tr>
<tr>
<td>Max Ansbacher</td>
<td>Scott Segal</td>
<td>Michele Cohen</td>
</tr>
<tr>
<td>Eugene Kalkin</td>
<td>Dan Burack</td>
<td>Steve Grossman</td>
</tr>
<tr>
<td>Bill Shean</td>
<td>Jim Keller</td>
<td>Richard Ader</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Robert Brennan</td>
</tr>
</tbody>
</table>

All members of the inaugural board are eligible for reappointment to a second three-year term, so members of the class of 2013 could serve until 2016 if they choose – and likewise 2017 for the class of 2014, etc. It should be noted that four members of the board are not included in
the staggered board terms by virtue of their *ex officio* status – the University President, the Chair of the Board of Trustees, the President of the Alumni Association, and the President & CEO of the UVM Foundation.

The committee also recommended, and the full board approved, a Foundation Director’s Conflict of Interest Policy and disclosure form, which will be completed by all members of the board on an annual basis. The audit committee will be responsible for managing any conflicts identified through this process.

Finally, the committee recommended twenty-three individuals for consideration as new members of the Foundation Leadership Council. The full board approved the roster, and invitations are now pending with the proposed class. Once the invitees have made their decisions, the Foundation will announce the new class and will welcome these individuals to our growing organization in October.

Last, but by no means least, it should be noted that eleven new employees have joined the UVM Foundation team since last fall. Our staff members are our greatest assets, and each of these individuals is already making their own significant contributions to the UVM Foundation’s overall success. We are very pleased they have joined our team and we know the UVM community will enjoy working with this new cohort of dedicated advancement professionals.

Their photos and titles are listed on the following page:
Carla Beecher  
Senior Director of Communications

James Gauthier  
Assistant Director of Annual Giving

Teresa Tierney  
Donor Stewardship Assistant

Stacy Fender  
Assistant Director of Annual Giving

Charley Thompson  
Director of Major Gifts, College of Engineering and Mathematical Sciences

Trish Shabazz  
Director of Major Gifts, College of Education and Social Services

Deb Dever  
Director of Major Gifts, College of Nursing and Health Sciences

Patrick McBride  
Director of Major Gifts for Athletics

Trish Hartigan  
Development Program Associate, College of Medicine

Jesse Bridges  
Associate Director of Major Gifts, Athletics

Sarah S. Wasilko  
Assistant Director of Alumni Relations
Capital Project Progress Report
May 18, 2012

Board of Trustees
Educational Policy and Institutional Resources Committee

Prepared by
Robert B. Vaughan
Director of Capital Planning and Management

The Greening of Aiken

Engineer/Architect: Maclay Architects
General Contractor: Pizzagalli Construction
Est. Completion Date: Summer 2012
Size: 40,289 gross square feet
Project Cost: $13.0 million
Project Description: The project will address the deferred maintenance issues of the building including the renovation of heating and ventilating systems, installation of air conditioning, renovation of classrooms, offices and student spaces, improving the energy efficiency of the building envelope and constructing an addition to the existing footprint to house a solarium.
Status: Currently on schedule and on budget.

Project Update: The dedication for the renovation was held on Friday, April 27th. Several exterior components, including landscaping will be addressed during the summer months. Work is also progressing on the installation of the “Living Machine” in order to become operational.

Major Deferred Maintenance Projects

While there are numerous smaller projects being undertaken from deferred maintenance funds in the Physical Plant budget, the following updates include some of the major work items:

- Waterman Building – work was completed on roof repairs to the southern flat roof and balcony, including replacing the flashing and eave drip edges in the valleys of the roof and replacement of the balustrade above the main east entrance during the fall semester. The next phase of work will include additional insulation to be added to the main attic space to prevent ice build up at the roof edge and flat roof replacements on the northern section of the building.
- Southwick – (Phase I) exterior painting of the west facing window frames and columns was completed. Necessary repairs to the west facing slate roof and cupola are anticipated to occur during the summer months.
- Wheeler House – The west side exterior porch renovation and exterior painting is complete. A new accessible ramp will be installed on the southwest corner of the house during the summer of 2012.
Englesby Renovation

Engineer/Architect: Gale Associates & Black River Design (exterior), Haynes & Garthwaite (interior)
General Contractor: Milbrook (exterior)
Est. Completion Date: Fall 2012
Size: 9,000 SF
Project Cost: $875,000
Project Description: The deferred maintenance on both the exterior and interior will be addressed. The exterior work will replace the roofing materials, repair and paint the wood trim, and rebuild and repoint the masonry. Interior work will include replacement of the boiler, several electrical and mechanical components such as replacement of an electrical cabinet, upgrading for GFI receptacles, and installation of exhaust air in bathrooms. Other interior scope includes the renovation work in the kitchen, three second floor bathrooms, painting, carpeting and the refurbishment of the entire third floor. The scope will also include the addition of a central air conditioning system.
Status: Currently on schedule and on budget.

Project Update: The exterior work to repair deferred maintenance on the roof, wood trim work, and masonry is currently in construction. The interior work remains in the design phase.

Mason/Simpson/Hamilton Residential Complex –Phase II

Engineer/Architect: SAS Architects
General Contractor: Summit/Catamount
Est. Completion Date: Fall 2012
Size: 87,636 gross square feet
Project Cost: $ 4.0 million
Project Description: Phase two of the project, slated for completion in August 2012, will address similar interior renovations to Mason and Hamilton Halls that were completed in phase one for Simpson Hall. The combined work scope for these two buildings will replace stair tower railings and flooring to meet code compliance, the comprehensive renovation of 136 student rooms, 18 group restrooms, the addition of 9 ADA compliant gender neutral shower and toilet rooms, 9 new trash and recycle rooms, new energy efficient lighting throughout the complexes and new heat recovery units at each hall. The new work in Simpson and Hamilton creates ADA accessibility to common amenities on each residential floor. The renovation of Mason Hall will upgrade the existing elevator and create 5 ADA compliant student rooms on each floor for a total of 20 rooms to provide an accessible residential hall within the complex to house students with a variety of specialized needs. Renovation to the dining hall and associated residential hall common areas completed in 2010 provide ADA compliant access to all main lobbies, complex lounges and dining facilities.
Status: Currently on schedule and on budget.
Project Update: The construction of the phase II project is scheduled to begin at the end of May 2012.

If you have any questions concerning the Capital Projects, please contact Robert B. Vaughan, Director of Capital Planning and Management, at 802-656-1304 or by e-mail at Robert.Vaughan@uvm.edu.

Note: With the completion of one capital project since the last report, the following capital project is no longer included: Rowell Renovation, PFG Athletic Track, and Soccer/Lacrosse Field (Phase I).
## Wilbur Trust Investment Pool Review

**May 19, 2012**

**Board of Trustees**  
**University of Vermont Board**

Prepared By  
Lindsey Donovan, Assistant Controller

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### Beginning Balance July 1, 2011

<table>
<thead>
<tr>
<th>Pool</th>
<th>Balance</th>
<th>Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long Term Investment Pool</td>
<td>19,241,148</td>
<td>342.5</td>
</tr>
<tr>
<td>Separate Investment Pool</td>
<td>649,541</td>
<td></td>
</tr>
<tr>
<td><strong>Total Balance at July 1, 2011</strong></td>
<td><strong>$19,890,689</strong></td>
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</tbody>
</table>

### Ending Balance February 29, 2012

<table>
<thead>
<tr>
<th>Pool</th>
<th>Balance</th>
<th>Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long Term Investment Pool</td>
<td>18,757,591</td>
<td>343.8</td>
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<tr>
<td>Separate Investment Pool*</td>
<td>591,795</td>
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</tr>
<tr>
<td><strong>Total Balance at February 29, 2012</strong></td>
<td><strong>$19,349,386</strong></td>
<td></td>
</tr>
</tbody>
</table>

* Separate Investment Pool Detail

<table>
<thead>
<tr>
<th>Pool</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Och Ziff*</td>
<td>106,563</td>
</tr>
<tr>
<td>CF Private Equity Partners III</td>
<td>273,225</td>
</tr>
<tr>
<td>CF Venture Partners IV</td>
<td>101,104</td>
</tr>
<tr>
<td>CF Intl Private Equity Partners III</td>
<td>110,904</td>
</tr>
<tr>
<td><strong>Total Separate Investment Pool</strong></td>
<td><strong>$591,795</strong></td>
</tr>
</tbody>
</table>

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*Special (side pocket) investments.  
To be distributed as liquidated by manager.  
Not transferable to UVM account since in Fund II.
### Students - Quality Input Performance Indicators

<table>
<thead>
<tr>
<th>No.</th>
<th>Dashboard Indicators</th>
<th>Value</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Headcount ALANA Undergraduate</td>
<td>428</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>First-time First Year Acceptance Rate</td>
<td>71.5%</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>First-time First Year Yield</td>
<td>26.3%</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>First-Time First Year SAT Total (Critical Reading and Math)</td>
<td>1142</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Percentage of FTFY Students Ranked in top 25%</td>
<td>55.4%</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>GRE Data: Graduate Students Entering UVM</td>
<td>1132</td>
<td></td>
</tr>
</tbody>
</table>

### Students - Quality Outputs/Outcomes Performance Indicators

<table>
<thead>
<tr>
<th>No.</th>
<th>Dashboard Indicators</th>
<th>Value</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.</td>
<td>First Year Retention Rate</td>
<td>84.3%</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Four Year Graduation Rate</td>
<td>50.1%</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Six Year Graduation Rate</td>
<td>69.0%</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Total Doctorate Degrees Awarded</td>
<td>35</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>GRE Data: Students Graduating from UVM</td>
<td>1132</td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>VSA Core Learning Outcomes Performance</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Faculty Research Indicators

<table>
<thead>
<tr>
<th>No.</th>
<th>Dashboard Indicators</th>
<th>Value</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>13.</td>
<td>Sponsored Awards - Total</td>
<td>$117,600,710</td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>Number of Faculty Citations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>Total Research Expenditures</td>
<td>$105,920,000</td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>Sponsored Research Expenditures</td>
<td>$77,250,000</td>
<td></td>
</tr>
</tbody>
</table>

### Financial Quality Performance Indicators

<table>
<thead>
<tr>
<th>No.</th>
<th>Dashboard Indicators</th>
<th>Value</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>17.</td>
<td>Budget to Actual</td>
<td>1.095</td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td>Debt Burden Ratio</td>
<td>2.64%</td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td>Viability Ratio</td>
<td>1.60</td>
<td></td>
</tr>
<tr>
<td>20.</td>
<td>Moody's Credit Rating</td>
<td>A1/P1</td>
<td></td>
</tr>
<tr>
<td>21.</td>
<td>Standard and Poor's Rating</td>
<td>A+/A1</td>
<td></td>
</tr>
<tr>
<td>22.</td>
<td>Total Voluntary Support</td>
<td>$17,908,074</td>
<td></td>
</tr>
<tr>
<td>23.</td>
<td>Endowment Value</td>
<td>$209,169,741</td>
<td></td>
</tr>
</tbody>
</table>

### Assessment of Most Recent Change

<table>
<thead>
<tr>
<th>No.</th>
<th>Dashboard Indicators</th>
<th>Value</th>
<th>Index</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Students - Quality Input Performance Indicators</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Students - Quality Outputs/Outcomes Performance Indicators</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Faculty Research Indicators</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Financial Quality Performance Indicators</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----</td>
<td>----------------------</td>
<td>-----------</td>
<td>-------------------</td>
</tr>
<tr>
<td>24.</td>
<td>UVM Graduates Enrolled in Graduate Schools [Recent Graduates Survey]</td>
<td>OR/ Index</td>
<td>16.4%</td>
</tr>
<tr>
<td>25.</td>
<td>UVM Graduates Employed Full Time [Recent Graduates Survey]</td>
<td>OR/ Index</td>
<td>88.7%</td>
</tr>
<tr>
<td>26.</td>
<td>Percentage of Seniors who Worked on a Research Project (NSSE)</td>
<td>OR/ Index</td>
<td>27%</td>
</tr>
<tr>
<td>27.</td>
<td>Percentage of Seniors who participated in an Internship, Practicum, or Field Experience (NSSE)</td>
<td>OR/ Index</td>
<td>76%</td>
</tr>
<tr>
<td>28.</td>
<td>Percentage of Seniors Who Plan To Do or Have Done Community Service or Volunteer Work (NSSE)</td>
<td>OR/ Index</td>
<td>71%</td>
</tr>
<tr>
<td>29.</td>
<td>Percentage of Seniors Who Participated in Study Abroad (NSSE)</td>
<td>OR/ Index</td>
<td>23%</td>
</tr>
<tr>
<td>30.</td>
<td>Undergraduate Satisfaction with Advising [Recent Graduates Survey]: Percentage Rating Good or Excellent</td>
<td>OR/ Index</td>
<td>44.4%</td>
</tr>
<tr>
<td>31.</td>
<td>Percentage of Seniors Rating UVM Academic Advising Excellent or Good [NSSE]</td>
<td>OR/ Index</td>
<td>70%</td>
</tr>
<tr>
<td>32.</td>
<td>Undergraduate Satisfaction with the Quality of UVM Faculty [Recent Graduates Survey]: Percentage Rating Good or Excellent</td>
<td>OR/ Index</td>
<td>75.9%</td>
</tr>
<tr>
<td>33.</td>
<td>Overall Satisfaction with UVM Experience Scores of 6 or higher [Recent Graduates Survey]:</td>
<td>OR/ Index</td>
<td>90.2%</td>
</tr>
<tr>
<td>34.</td>
<td>Percentage of Seniors Rating Overall UVM Experience Excellent or Good [NSSE]</td>
<td>OR/ Index</td>
<td>89%</td>
</tr>
<tr>
<td>35.</td>
<td>Percentage of Graduates Saying They Would Attend UVM if They Had to Do It Over [Recent Graduates Survey]: Definitely-Probably</td>
<td>OR/ Index</td>
<td>73.0%</td>
</tr>
<tr>
<td>36.</td>
<td>Percentage of Seniors Saying The Would Attend UVM if They Had to Do It Over [NSSE]: Definitely-Probably</td>
<td>OR/ Index</td>
<td>75%</td>
</tr>
<tr>
<td>37.</td>
<td>Graduates Satisfaction UVM Academic Reputation [Recent Graduates Survey]: Percentage Rating Good or Excellent</td>
<td>OR/ Index</td>
<td>58.0%</td>
</tr>
<tr>
<td>38.</td>
<td>Graduates Satisfaction UVM Student/Faculty Relations [Recent Graduates Survey]: Percentage Rating Good or Excellent</td>
<td>OR/ Index</td>
<td>60.5%</td>
</tr>
</tbody>
</table>