Date: 23 January 2013

To: Pathway 1 Committee Members, University of Maine Blue Sky Plan

From: Mick Peterson, Faculty Senate Representative to Blue Sky Pathway 1

Subject: Faculty Senate Suggestions and Willingness to Aid the Furtherance of Pathway 1 Goals

The following material has been developed and is supported by the Faculty Senate Executive Committee.

Attached to this document in Appendix 1 are the Blue Sky Plan descriptions of the Initiatives and Strategies of Pathway 1: Serving Our State: Catalyzing Maine’s Revitalization. The Faculty Senate has reviewed various topics under this Pathway and has identified some of the listed strategies for which we would like to offer special aide and support in their accomplishment.

Identifying Signature Strength and Key Emerging Growth Area

Among the stated initiatives are to “increase support in signature strength areas” and to “invest in key emerging growth areas.” One of the stated strategies is "to review signature strength and emerging growth areas for priority funding initiatives, to be submitted in Spring 2013." These statements under the Pathway 1 raise the concern that any and all academic and research programs on campus should have an equal opportunity to make the case and present arguments as to why their domain or area should be viewed as a signature area of strength or a new and emerging growth area for priority funding.

In Section I below, to accommodate this concern, we propose descriptive definitions for “signature strength areas” and “key emerging growth areas.” We also propose a definition for “foundation programs.”

In Section II we propose a set of questions to be used in soliciting units to propose programs to be considered for designation as either a “signature strength area” or a “key emerging growth area” for priority additional funding.

Applicants are requested to document the case for selection of their nominated area and must respond to a selected but standard set of key measures for assessing scholarly performance and eminence. It is expected that the profile from a set of responses for an area based primarily in the humanities would look very different from a profile from a set of responses for an area based primarily in the sciences, yet all applicants should respond to the same basic set of questions. Those campus programs currently receiving additional funds as a “signature strength area” or “key emerging growth area” should respond also to the final additional question.

In Section III we propose a process for soliciting requests for proposals from the faculty and a process for reviewing and rating proposals and making recommendations to the administration.

1 The Faculty Senate Executive Committee includes Harlan Onsrud, President, Michael Grillo, Past President, Mick Peterson, Vice President and Chair, Program Creation, Review & Reorganization, Kathryn Slott, Secretary, Robert Rice, Board of Trustees Representative, Richard Borgman and Judy Kuhns-Hastings, Co-Chairs, Academic Affairs, Roy Turner, Chair, Committee on Committees, Jim Mc Clymer and Tom Sanford, Co-Chairs, Financial and Institutional Planning, Robert Rice and Howard Segal, Co-Chairs, Library Advisory Committee, Robert Gunderson, Chair, Research and Scholarship, Emmanuel Boss and Claire Sullivan, Co-Chairs, Service and Outreach, Andrew Reeve and Michael Scott, Co-Chairs, University Environment, Martha Novy-Broderick and Michael Scott, Co-Chairs, Ad-Hoc Committee on IT
This specific proposal was circulated to all elected Faculty Senators and 71% of respondents to the survey indicated Strong Support or Support for the proposed initiative.

We hope you are open to our suggestions. In addition to myself, if desired, a delegation from the Executive Committee of the Faculty Senate would be very pleased to meet with members of Pathway 1 to discuss the ideas and specifics as set forth in this document. We believe that many faculty members and campus units would look forward to responding to a call for proposals as outlined in this document.

**Other Pathway 1 Initiatives and Strategies**

In regard to other significant actions or initiatives that may arise under the auspices of the Pathway 1 team, we request that they first be divulged and announced as “proposed recommended actions and initiatives.” In this way, students, faculty and staff across the campus will have substantive opportunities to react to them and comment prior to implementing or pursuing any final actions or initiatives. Our experience is that open comment periods have a very positive effect on improving most initiatives.

Please feel free to call upon the Faculty Senate at any time to help achieve the initiatives and strategies set forth for accomplishment under Pathway 1 over the months and years ahead.

We look forward to receiving your response to the ideas expressed in this document.
Preamble

In keeping with its core mission as a comprehensive university, signature strength and growth areas may emerge and have emerged across the full spectrum of disciplinary domains represented at the University of Maine. Any and all academic and research programs on campus are encouraged to make the case and present arguments as to why their domain or area should be viewed as a signature area of strength or a new and emerging growth area for priority funding. All areas seeking designation as a priority area are being asked to respond to the same basic set of core questions. However, since a profile of excellence for an area based primarily in the humanities or arts may be expected to look very different from that for an area based primarily in the sciences, the Signature Strength and Emerging Growth Areas (SSEGA) Review Panel will be directed to consider each proposal against the reputation and eminence of national and international peers within the same domain.

I. Definitions

Signature Strength Areas
Signature Strength Areas contribute to gaining eminence for the University of Maine. They distinguish the University of Maine among peer institutions regionally, nationally, and/or internationally. Signature Strength Areas attract research funding, students, and faculty from throughout the country and world. They incorporate one or more scholarly programs that are often inter- and multidisciplinary, focusing on the most compelling challenges and opportunities as we look to the future. These are programs that also address critical education needs for Maine people and the state and national economy, and provide opportunities for residents of Maine to produce products and knowledge that are recognized as best in class. Signature programs will be the source of, and define, the new Maine economy. Signature Programs are dynamic and evolve to continuously meet the most pressing needs of the times. Signature programs must include a sufficient number of full-time regular faculty members to allow them to be sustainable over time. Signature Programs allow the University of Maine to compete successfully with other American Research Universities as measured by the statistically validated measures of quality adopted by The Center for Measuring University Performance.

Key Emerging Growth Areas
Key emerging growth areas have all the same characteristics of a signature strength area but have not yet achieved the same level of national/international reputation or critical mass of performance. They support comprehensively the full breadth of research, teaching and service missions and have accomplished an emerging track record of success with external support from a variety of sources. They have particularly strong promise for addressing acute education needs for Maine people and the state and national economy and for providing opportunities for residents of Maine to produce products and knowledge that will be the source of, and define, the new Maine economy.

Foundational Areas
These areas represent the core disciplinary instructional and scholarly values of Maine's flagship university that support state economic and social development. The core knowledge of these areas will always be needed as a critical component in the education of any well-rounded student. These disciplinary domains must be supported by every comprehensive university. Foundational academic programs do not exist in an institutional vacuum, but are the framework that provides basic and advanced training to students as well as research and outreach in support of citizens, government, and the private sector in Maine. Foundational areas include programs that support the traditional natural resource based economy in Maine, as well as newer social and technical skills and services for Maine.

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2 The Mission Statement of the University of Maine begins with the following sentences: The University of Maine advances learning and discovery through excellence and innovation in undergraduate and graduate academic programs while addressing the complex challenges and opportunities of the 21st Century through research-based knowledge. Opportunity for all members of the University of Maine community is a cornerstone of our mission. The University welcomes students, research partners, and collaborators into an atmosphere that honors the heritage and diversity of our state and nation. Founded in 1865, the University of Maine is a Land and Sea Grant institution and the flagship campus of the University of Maine System. This vibrant and dynamic university serves the residents of Maine, the nation, and the world through our acclaimed programs in teaching, research, and outreach.

MAINE’S LAND GRANT AND SEA GRANT UNIVERSITY
A Member of the University of Maine System
II. Information to Enable Assessment of an Area for Designation as a University of Maine Signature or Key Emerging Growth Area

1. Please state the name of the area, domain or program that you are nominating for designation as a University of Maine signature strength area or key emerging growth area.

2. Please indicate whether you consider this area, domain or program to be primarily:
   ___ an existing signature strength area at the University of Maine
   ___ a key emerging growth area at the University of Maine

3. Please state the titles of the academic degrees and/or academic programs (e.g. graduate certificates) affiliated with the proposed signature area.

4. Please summarize the compelling research and/or scholarship challenges the proposed signature area is addressing. (750-word limit)

5. Please summarize the importance of this domain in addressing critical needs for Maine people and the state and national economy. (750-word limit including references to published documentation of need)

6. Please summarize the inter- and multidisciplinary aspects of this scholarly and research domain providing specific examples of past campus progress or work. Also, please include a description of any cross-disciplinary efforts that have been or could be mutually strengthening to multiple domains and particularly in collaboration with Foundational Programs. (500-word limit)

7. If designated as a University of Maine signature strength area or key emerging growth area, what primary needs would you like to see met through additional financial support? What is your vision for growing resources for your area and for the university if so designated? (500-word limit)

8. Please list the names and academic ranks of full-time regular faculty members (tenured, tenure-track or long-term contract exceeding five years) that are directly affiliated with the proposed signature area. Each scholar listed should compute their Google Scholar Profile, if they have not already done so (see http://scholar.google.com/intl/en/scholar/citations.html). The accumulated Citations, h-index and i10-index from the past five years should be reported after each name in the faculty list. For this application, no full-time faculty member name should be included on the list that does not include these values.

9. Please list the names and academic ranks of additional faculty members (adjunct, short-term contract, cooperating) directly or formally affiliated with the proposed signature area. Although not required, we highly recommend reporting the accumulated Google Scholar Citations, h-index and i10-index from the past five years for each scholar listed.

10. For the past five years, please list the number of graduates of the affiliated academic degrees or programs (listed under 2 above) and indicate the names of the graduates and their states of residency (if from the U.S.) or countries of citizenship.

<table>
<thead>
<tr>
<th>Title of Academic Degree or Academic Program</th>
<th>State or Country of Citizenship of Graduate</th>
<th>Academic Year</th>
<th>Numbers of Graduates*</th>
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<tbody>
<tr>
<td>BS Xyz Studies</td>
<td>Maine</td>
<td>2007-2008</td>
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<td>BS Xyz Studies</td>
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* Please attach an Appendix to this application that lists the names of the graduates in each category in each year.

11. Publication and/or Creative Activity Competitiveness: For the full-time regular faculty members affiliated with the area (listed under 8 above), please list the following information for the past five academic years (July 1, 2007 through June 30, 2012).
   A. Books Published (as author or editor of the volume)
   B. Book Chapters Published
   C. Fully Refereed Journal Articles Published
   D. Fully Refereed Conference Proceedings Published
   E. Juried Creative Activities (creative writing, performances, exhibitions, readings, concerts, etc.)

Notes:
1. Please provide full citations in a standard form for the field.
2. This documentation may be compiled from the annual reports filed in the Faculty/Staff Profile Database found at https://library.umaine.edu/fsprofile/login.aspx
3. Do NOT list the lettered items above by faculty member but, rather, compile the productivity of all faculty members in the proposed signature area under each of the lettered items. That is, the books published by all faculty members listed under item 6 above should be listed under A, etc.
4. Fully Refereed means that the full article (not abstract) was submitted by the editor to external academic reviewers and the work underwent revisions by the author(s) as required by the reviewers and editor prior to acceptance for publication.
5. Juried means that the creative activity was submitted to a competitive process for acceptance and was among a limited number accepted by scholarly judges for performance, exhibition or publication.

12. Research and Award Competitiveness and Eminence: For the full-time regular faculty members affiliated with the area (listed under 8 above), please list the following information for the past five academic years (July 1, 2007 through June 30, 2012).
   A. Grants Awarded
   B. Special Recognitions, Awards and Honors Received
      • National and International Recognitions, Awards and Honors
      • State, Local and Campus Recognitions, Awards and Honors
   C. Gifts Received

Notes:
1. For Grants Awarded please provide full information including: year of grant, title of project, funding agency, combined amount awarded to UMaine PIs affiliated with the proposed signatory area, months of award, date awarded, and whether an internal or external award. For multi-university grants, only the portion of the grant awarded to the researcher(s) listed on this application may be listed. For a multi-investigator grant, only the portion of the grant attributable to the researcher(s) listed on this application may be listed. Double or multiple reporting of award amounts on this application among universities or within this university will be deemed to be an ethical breach of responsible reporting.
2. For Special Recognitions, Awards and Honors Received, please list title or description of honor received (among other honors, please include invited conference keynote presentations), date, and recipient of honor. List first the
compiled National and International recognitions followed by the compiled State, Local and Campus Recognitions.

3. For Gifts Received, please list gifts that support directly or substantially the signature or growth area and be certain to include: year of gift, title of gift, donor, purpose of gift or activity it supports, and dollar amount that is reasonably apportioned as received by the signature strength or key emerging growth area.

4. The documentation in this section may be compiled readily from the annual reports filed in the Faculty/Staff Profile Database found at https://library.umaine.edu/fsprofile/login.aspx

5. Do NOT list the lettered items above by faculty member but, rather, compile the productivity of all faculty members in the proposed signature strength or emerging growth area under each of the lettered items.

13. From the documentation under the previous two items, please provide a short narrative on the quality of scholarship produced by the current faculty affiliated with this area. (500-word limit).

NOTE: The following question should be answered by those programs recognized currently or in the recent past as a University of Maine signature strength or key emerging growth program and that received additional funding as a result of that designation. The potential past signature strength programs that received additional designated funding include: engineering, environmental and sustainability studies, renewable energy, alternative fuel research, and STEM education and literacy. The potential past key emerging growth programs that received additional designated funding include: Biomedical Sciences, New Media/InterMedia, Arts, and Humanities.

14. Please indicate the amount of additional funds that this area or academic program received from the administration during each of the past five academic years as a result of being designated as a University of Maine signature strength or key emerging growth program. (To be confirmed through Office of Senior Vice President for Administration and Finance.)

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<th>Year Range</th>
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III. Requests for Proposals

In this section we set forth a suggested process for soliciting requests for proposals from the faculty and a process for reviewing and rating proposals and making recommendations to the administration.

1. The request for proposals (RFP) should incorporate the definitions listed in Section I and the questions contained in Section II. It should be widely announced and distributed among the faculty.

2. The Signature Strength and Emerging Growth Areas (SSEGA) Review Panel will consist of ten persons co-designated by the President of the University of Maine and the President of the Faculty Senate, or their designees.

3. The SSEGA Review Panel will include wide-ranging expertise from all colleges. It will include primarily, but not exclusively, faculty, the majority of whom shall have served as a principal investigator on at least one proposal successfully funded through the UMaine Office of Sponsored Programs within the past five years. Panel members must recuse themselves from any access to, discussion or assessment of proposals in which they have a conflict of interest.

4. The peer review process will use both internal and external reviewers. The SSEGA Review Panel will solicit a minimum of three internal reviews and two external reviews for each proposal taking into account conflicts of interest and areas of expertise. The reviewers for each proposal will include: (a) peer faculty members (typically external) in the area of expertise; (b) other faculty members that can speak to the overall quality of the proposal; and (c) campus administrators that can speak to the proposal’s relationship to State and National needs and priorities. A controlled online survey form for submitting all reviews and automatically collating the results is preferred. The proposal review form should request separate numeric and written quality rankings from reviewers on most of the responses in the proposal as well as an overall written and numeric assessment.
5. The SSEGA Review Panel or its designee will collate the scores for each proposal and rank them by score from highest to lowest incorporating the comments of all reviewers.

6. The SSEGA Review Panel will meet to discuss the proposals and the reviews. This discussion will go beyond the numerical scores to reconcile differences in reviewers’ perspectives and to address additional substantive matters. After discussion, the members of the panel will submit a written anonymous 1 to 5 ranking of each proposal. (1) High priority funding; (2) Priority funding; (3) Recommend if funding available; (4) Do not fund at this time; (5) Oppose funding. SSEGA Review Panel members may rank only up to one proposal as (1) High priority funding and may rank only up to three proposals as (2) Priority funding. Using the average scores, the SSEGA Review Panel will rank in order the proposals it considers as the top five Signature Strength Areas and the top five areas Emerging Growth Areas on the campus. These ranked lists along with the full documentation for the top five proposals in each area will be forwarded to the Provost and President for funding consideration.
Summary of Blue Sky Pathway Initiatives and Strategies
Blue Sky Project Implementation Plan (2012-2013)

Pathway 1: Serving Our State: Catalyzing Maine’s Revitalization
Chair: Jake Ward, Assistant Vice President of Research, Economic Development and Governmental Relations
Co-Chair: Ivan Manev

Initiatives:
- Enhance our impact on the economic and social fabric of Maine, including strengthening existing campus/private sector partnerships, while increasing our total partnerships by 50% by 2017.
- Continue to match and more closely align UMaine research strengths with the seven Maine Technology Sectors for Economic Development.
- Align technology and educational programs with Maine’s economic development needs.
- Reaffirm and integrate the core goals of a liberal arts education in community/culture with innovation and economic development.
- Prepare UMaine graduates for Maine’s future workplace needs.
- Increase commercialization and the number of small businesses developed as a result of technology spin-offs.
- Enhance UMaine organizational support for promoting regional economic impact.
- Use our resources to highlight Maine’s rich cultural heritage, and relate the arts and humanities better to economic development.
- Continue to increase support in signature strength areas, including engineering, environmental and sustainability studies, renewable energy, alternative fuel research, STEM education and literacy.
- Identify, promote and invest in key emerging growth areas, such as biomedical sciences, new media, and the arts and humanities.

Strategies
- Reorganize/restructure relevant UMaine units such as the Foster Center for Student Innovation and the Department of Industrial Cooperation into a new Division of Innovation and Economic Development by Fall 2012 to increase and support an outreach infrastructure. Restructure the Associate Vice President for Research, Economic Development and Government Relations position into the Vice President for Innovation and Economic Development to lead campus efforts for innovation and economic development more effectively and enhance working relationships with academic units, such as the Maine Business School, School of Economics, Advanced Manufacturing Center and the Pulp and Paper Process Development Center. Initially funded by current budget with current personnel, the new Vice President and staff will develop a comprehensive plan for engagement with state and regional economic development leaders by Spring 2013.
- Establish the UMaine Humanities Center through the College of Liberal Arts and Sciences. Stimulus funding provided in Spring 2012 from a three-year, $300,000 grant from the Presidential Request for Visions of University Excellence (PRE-VUE) Program.
- Working though the Provost and deans, establish interdisciplinary Faculty Task Groups to review signature strength and emerging growth areas for priority funding initiatives, to be submitted in Spring 2013.
  - Invest research funding to promote growth in Signature Areas. Programs in this category are expected to become world leaders in their fields within five years, become largely self-sufficient, and graduate into sustainability, based on their ability to generate external funding from all sources. Programs are necessarily interdisciplinary and make strategic use of all assets and aspects of the University of Maine.
  - New and Emerging Growth Areas represent those programs that may have not yet achieved critical mass or reputation, but have begun to capitalize on an interdisciplinary collaboration; have a track record of success with external support from a variety of sources; and have the integration of the research, teaching and service mission. Targeted investment, often in the form of matching support, helps promote the collaboration and incents the drive to go to the next level. It is anticipated, and history has shown, that these programs grow from the collaboration of individual researchers and research groups across campus.