University of Maine System
UMM-UM Primary Partnership
Task Team Charter on Administration

July 9, 2016
Revised August 1, 2016

Reviewed and Approved by the Administrative Task Team
and Submitted by
Carol H. Kim
Vice President for Research and
Dean of the Graduate School
University of Maine
EXECUTIVE SUMMARY

The primary objective of this task team is to study administrative service functions and determine which areas have the best opportunity for collaboration, consolidation, unification, or other arrangements that will reduce administrative costs and increase organizational effectiveness at University of Maine (UM) and the University of Maine at Machias (UMM) while maintaining or improving the student experience and services at UMM.

A comprehensive list of administrative service functions that were common to both UM and UMM was provided to the team. The team then selected five primary administrative areas to study for the initial July 6, 2016 report to the Chancellor. These areas include:

1. Admissions
   a. Registrar
   b. Bursar
   c. Financial Aid
2. Marketing/Communications
3. Human Resources
4. Student Affairs
5. Research Administration

Four secondary areas were selected for study (International Student Recruitment and Support, Internship Support, Research and Commercialization, Information Technology) for a subsequent report to the Chancellor.

UMM and UM representatives from each of the primary administrative areas met with the team and described key functions and daily operations of their offices. Each group then met to determine efficiencies and potential integration of administration functions. They were asked to draft a report that would include:

- List of key functions
- Proposed integration (by function) and budget implications
- Implementation requirements and timeline
- Benchmarks and measures
OVERALL RECOMMENDATIONS

Each of the subcommittees have identified efficiencies and potential cost savings through the review of key functions. The recommendations can be summarized as follows:

1. Existing UMM staff may be trained in relevant or adaptable current protocols and procedures by UM staff while verifying that appropriate APLs are followed (or that APLs are appropriately edited and/or eliminated); little to no resources would be required.

2. Existing UM staff may assume additional duties to assist UMM staff; resources would be required.

3. When redundancies in key office functions are identified, a decision may have to be made to eliminate or reorganize so that the redundancy is eliminated and a cost savings is realized.

4. A global MOU with master language should be created with a separate agreement for each functional area.

5. An audit or assessment of each functional area will be completed in a timely manner to track progress and efficacy.

KEY RECOMMENDATIONS

Enrollment Management
- General guidance/consultation regarding the UMM Admissions operation by UM Interim Vice President for Enrollment Management
- Management of out-of-state recruiting efforts on behalf of both UM and UMM

Registrar
- Match standard course time blocks (dependent of Academic Team outcomes)
- Obtain software for UMM catalog database to match UM
- Obtain software for curriculum approval process for both UM and UMM

Bursar Office
- Management of Student Health Insurance Program Billing/Remittance common business process
- Develop Past Due Account Collection/Collection Agency Referral common business practices

Financial Aid
- Alignment of business processes where appropriate, including PeopleSoft setup and processing
- Streamline forms that are used for the same purpose so edits can more easily be made for both campuses
Marketing/Communications
• Overhaul UMM website, both for recruitment/marketing and intranet
• Develop stories to promote unique strengths of institutions

Human Resources
• Director of HR for UM to serve as Director for UMM, reporting to Chief HR Officer of the System with dotted lines to the President of UM and to the top official of UMM
• An HR Business Officer at UM to spend 40%-50% effort at UMM or from UM to provide strategic and operational HR support
• The HR Director, other HR Business Partners, or admin staff from UM will supplement the primary assigned HRBP

Student Affairs
• Inclusion of UMM in UMaine student affairs leadership meetings and provide open access for consultation and support

Research Administration
• ORSP to serve as UMM’s sponsored programs office. A Memorandum of Understanding which remains to be articulated and/or approved describes the roles of each branch campus

TIME SENSITIVE ITEMS

Enrollment Management
• July 7, 2016: UM’s Interim Vice President for Enrollment Management will be the Consulting Director of UMM Admissions Office on a six-month contract
• August 1, 2016: Associate Director of UMM Admissions Office will be appointed.

Bursar Office
• July 1, 2016: Begin GL reconciliation assistance for period ending 6/30/2016
• July 15, 2016: Begin review of past due account collection procedure process

Human Resources
• Mid-July, 2016: Communications to campus regarding HR changes and access to HR services
• August, 2016: Initiate Manager training and continue work on process flow

Student Affairs
• Immediate: Training, purchasing, consultation, and support services to be extended to UMM from UM
• Summer 2016: UMM and UM staff meet for a review of current practices to achieve integrated, effective, and efficient services
• Summer 2016: Reporting and Collaboration Agreement to be discussed and implemented

NOTES

1. The administrative integration of several of the offices will be dependent on the outcomes of the Academic Team. In particular, the recommendations for the Registrar’s subcommittee report will depend on a number of factors including which information technology support system is chosen for the UMM office.

2. This report assumes that UM and UMM partnership leaders are co-accountable for strategic outcomes at UMM, and therefore each will consult with the other regarding organizational changes that may impact their collaboration. For example, in the event that an employee relocates or retires from UMM, it is recommended that UMM not fill the position without first consulting with the UM counterpart. Similarly, UMM counterpart leaders should be consulted on UM organizational changes that would impact UMM.
BACKGROUND AND CHARTER

- The UM-UMM Primary Partnership charge is for the two institutions to develop a pathway that moves both forward in a mutually advantageous way (Task Team Charter in Appendix 1). The goals of this Partnership include building on One University principles to take advantage of synergies that can develop across multiple administrative units, achieving better levels of service and/or economies of scale that more than offset any associated expenses.

- This Task Team is to study the administrative services functions and determine which areas have the best opportunity for collaboration, consolidation, unification, or other arrangements that will reduce administrative costs, increase organizational effectiveness and/or student services/success, including recruitment and retention and overall brand enhancement.

Team

- The Administration Task Team (ATT) members are:
  - Carol Kim, Vice President for Research and Dean of the Graduate School
  - Jeff St. John, Senior Associate Provost for Academic Affairs
  - Robert Dana, Vice President for Student Life and Dean of Students
  - Melvin Adams, Dean of Enrollment and Student Services (replaced by Kay Kimball, Provost)
  - Amy Lentz, Executive Assistant to the President
  - Marianne Thibodeau, Director of the Library
  - Consultant to the group: Larry Lewellen
  - Group facilitator: Dave Stevens

Process Utilized

The team was provided with a list of key administrative functions common to both campuses. The list was then transformed into a matrix (Appendix 2) to serve as an evaluation tool for each of the team members to score the effect of the administrative function on organizational effectiveness, economy of scale, the student experience, financial impacts, personnel impacts, and brand impacts from the perspective of their campus. The scores were compiled, shared with the committee and discussed as a group. From this matrix, a list of primary and secondary priorities were established as follows:

Primary Priorities – Phase I

1. Admissions
   a. Registrar
   b. Bursar
   c. Financial Aid
2. Marketing/Communications
3. Human Resources
4. Student Affairs
5. Research Administration
Secondary Priorities – Phase II

1. International Student Recruitment and Support
2. Internship Support
3. Research and Commercialization
4. Information Technology (due to a temporary reduction in UMM IT staff, this priority is already being addressed by Dick Thompson and his staff)

Although not originally identified as a primary priority, the offices of the Registrar, Financial Aid, and the Bursar were included in this first report because Admissions is so closely tied to the functions of these other offices. In response to the time constraints confronting the Administrative Task Team, it was decided to tackle the list of administrative functions by priority for the Chancellor’s report due July 6, 2016.

Each UMM and UM functional administrative area was asked to meet with the Administrative Task Team to discuss the key functions of their offices. They were then asked to meet together to determine efficiencies and potential integration of administration functions. The findings for each functional area can be found in the next section of this report.

Findings

The following are the subcommittee reports from the functional administrative areas:

1. Enrollment Management
   a. Registrar
   b. Bursar
   c. Financial Aid
2. Marketing/Communications
3. Human Resources
4. Student Affairs
5. Research Administration
1. Enrollment Management

Key Functions

1. Recruitment
   - Travel during fall and spring
   - Historic application data by region and/or school
   - High School Visits
   - College fairs
   - Transfer fairs
   - Transfer transcript review days
   - Parent information nights
   - Mock interviews
   - Application review days
   - Transcript review days

2. Admissions
   - Communication plan
   - Invitations for events
   - Follow up for inquiries
   - Follow up for missing documents with applicants
   - Email and letter campaigns by academic program
   - Decision letters
   - Application processing
   - Document verification
   - File review
   - Application review day processing
   - General phone and email response
   - Merit scholarship calculations and determinations
   - Creation of new communication plans as needed

3. Marketing
   - Search name purchases
   - Search piece design
   - Travel piece design
   - View book design
   - Travel video creation
   - Commercial creation
   - All brochure and publication design
   - Student marketing
4. Yield Events
   • Open House
   • Accepted Student Days
   • Summer Orientation
   • Fall Welcome Weekend
   • Spring Orientation
   • Campus tours
   • High School visits to campus
   • Guidance counselor updates/receptions
   • Alumni receptions and social events
   • Out of state evening receptions
   • Counselor conferences

Proposed Integration and Budget Implications

UM’s Interim Vice President for Enrollment Management will serve in the role of Consulting Director of UMM Admissions Office on a six-month contract (starting July 7, 2016), renewable for up to six additional months.

Responsibilities:
   • General guidance/consultation regarding the UMM Admissions operation and its evolving shape and direction (subject to presidential approval of any major changes in budget allocation, staffing, and/or operation);
   • Management/direction of out-of-state recruiting efforts by UM admissions recruitment team on behalf of both UM and UMM;
   • Implementation of UM/UMM 2+2 admissions program as identified by the chief academic officers at UM and UMM;
   • Oversight/management of generation of promotional materials, including a revised viewbook and a recruitment TV slot;
   • Provide guidance, direction, and advice to the UMM Associate Director of Admissions;
   • Inform and consult with the UMM president regarding collaborative admissions efforts.

Associate Director of UMM Admissions Office will be appointed on a fixed-length, year-long renewable contract (starting August 1, 2016). The AD will be drawn from UM’s Enrollment Management leadership team and will be guaranteed return rights to the UM Admissions operation at the end of one year.

Responsibilities:
   • Managing/Directing day-to-day operation of the UMM Admissions Office
   • Supervision, direction and development of UMM Admissions staff
   • Overseeing Admissions Office budget
   • Directing regional and in-state recruitment for UMM
   • Serving as a member of the UMM President’s Cabinet
   • Reporting to and keeping the UMM president informed regarding admissions efforts and results
Helping to plan and oversee the generation of admissions promotional materials
Coordinating in-state and out-of-state admissions efforts related to UMM
Collaborating with UMaine regarding 2+2 admissions efforts
Serving and representing UMM on the UMS Enrollment Management group

Reporting structure:
- The UMM president will retain on-going oversight responsibility for all aspects of the UMM Admissions office and operations and must approve any major changes therein. Both the consulting director and the senior associate director will keep her informed with regular updates and opportunities for her to provide input.

- The Consulting Director reports (dotted line) to the UMM president in an advisory, informational, and consultative capacity and seeks her approval for any major changes to the UMM admissions operation. He is not authorized to make any personnel changes/decisions but can provide recommendations to the AD and the president (who has final authority regarding personnel changes).

The Associate Director reports directly to the UMM president and serves on the UMM President’s Cabinet. She works collaboratively with other members of the PC and has direct managerial authority and responsibility for the admissions staff and budget. She works collaboratively with the Consulting Director who provides direction, support, and advice/recommendations.

Benchmarks and Measures
- Increased applications to UMM
- Increased enrollments at UMM
- Larger fall 2017 first-year class at UMM
1.a. Student Records/Registrar’s Office

Key Functions

1. Maintain Curriculum
   • Maintain catalog course data and all curriculum changes
   • Class Scheduling; Final Exam Scheduling; Events/Ad hoc Scheduling
   • Classroom Inventory
   • Build and Maintain Degree Audits
   • Course Registration Set up

2. Maintain Students’ Records
   • Implement program changes; Advisor Changes
   • Term Cancellations & Withdrawals; Course Withdrawals
   • Leaves of Absence; Study Away
   • Transfer Credit processing; Apply Degree Audit Exceptions; Process Grade Changes
   • Name, Address Changes
   • Transcript Production; Degree Verifications; Enrollment Verifications
   • Requests for amendments to students’ records
   • Immunization tracking

3. End of Term Processing
   • Create Grade Rosters; Lapsing process for Incompletes; Repeat process
   • Graduation processing; Academic Standing; Honors & Awards

4. Technical Maintenance
   • Additional MaineStreet tables
   • NSC Enrollment and Degree Verify transmissions
   • Infosilem set-up and maintenance
   • MaineStreet Security
   • Office Website
   • Reporting
   • ImageNow Document system
   • SIS Modifications
   • Quarterly Patch Testing

5. Communication
   • Newsletter/Calendar
   • Confidentiality

6. Other
   • Athletic Eligibility
   • New England Regional Student Program
   • Veterans Benefits
**Proposed Integration**

Kimberly Page (UM), Linda Reid (UM) and Mary Stover (UMM) met to review the list of functions performed in each Registrar’s Office. A summary of the functions and relevant information about the process for each of the two offices was created. Possible areas of collaboration, and areas where no efficiencies would be gained, were identified under both the current structure of two institutions, and with two curricula and two sets of academic policies (Appendix 3).

The collaborative work being carried out by the Academic Team focused on alignment of UM’s and UMM’s curricula will hopefully yield additional efficiencies. We recognize that the work required to implement a modified curriculum will require a considerable amount of implementation time, given the work required to transform all of the necessary database structures. Depending on the scope of the project, we estimate that at least one year’s advance notice would be required for any such implementation, since Student Records is always working on catalog and schedule planning at least a year in advance.

We also understand that the UM Office of Student Records and the UMM Registrar's Office will need to work together to implement database solutions to support the academic collaborations that are still being developed by both institutions’ faculty.

We did identify four possible areas where collaboration might work to enhance services to students and/or to increase efficiencies:

1. **Diploma Production.** UMM currently orders diplomas from Jostens in Minnesota. Orders are usually placed twice a year in order to minimize shipping and handling costs. Orders for back-dated or specially configured diplomas also incur additional charges. We would like to explore the possibility of the UM Office of Student Records producing diplomas for UMM. If this can be done more cheaply, there would be savings to the budget. It would also allow a faster turn-around time for diplomas. If explorations prove that this item is feasible, then diplomas for UMM’s May 2017 graduates may be able to be ordered through the UM Office of Student Records. The UMM Academic Affairs Office picks up the cost of this item. It is anticipated that UMM would pay the UM Office of Student Records for this service.

2. **Matching Standard Time Blocks.** UMM will explore the possibility of modifying its standard time block structure to match UM’s recently adopted model so that the Infosilum course scheduling system may be considered. Adoption of the same standard time blocks would increase the possibilities for faculty collaborations and make it possible for students at either campus to fit designated “collaborative” courses into their schedules. Making such a change would require the input and approval of UMM faculty, and would need to be approved by early February for a Fall 2017 implementation.

3. **Catalog Database.** The UM Office of Student Records is currently using third-party software to maintain all catalog information. We recommend looking into the cost of adding an additional license so that the same type of catalog information could be stored
and used by UMM to publish an online catalog. Maintenance of the biennial catalog is currently done manually using MS Word. It’s anticipated that the additional cost could well be a prohibitive factor.

4. Curriculum Approval Process. The UM Office of Student Records and the UMM Registrar’s Office would both like to see a work-flow process implemented to track curriculum approvals and changes. The process is currently a manual, paper-based process at both institutions. The UM Office of Student Records is currently exploring the product of a third-party vendor that would considerably enhance the efficiency of the process for faculty, approving administrators and the Registrar’s/Records Offices.

Implementation Requirements and Timeline

- Look into cost of additional license for Acalog
- Investigate possibility of using third party software to track curriculum approvals (to feed into Acalog)
- UMM look into possibility of adopting UM time blocks for easier faculty collaborations; student scheduling opportunities
- Explore cost-effectiveness of diplomas being produced by UM Office of Student Records
- Consider under Institutional Research area.
- Already collaborating through UMS Registrars’ group
- UMM relies on work of OSR office in this area

Measures of success should include:
1. Actual alignments that can be achieved in time blocks, course catalogs, etc.
2. Efficiencies gained or costs introduced
3. Enhancement of student experience, at least by anecdotal information
4. Degree to which these changes support or inhibit potential academic integration
1.b. Bursar Office

Key Functions

1. Student tuition and fee assessment
2. Application of student waivers, payments and financial aid
3. Refunding of excess financial aid to students
4. Student billing and collection
5. MaineStreet System Table setup and maintenance
6. Customer Service/Communications
7. Management of Third Party Contracts and Billing
8. Management of Student Health Insurance Program Billing/Remittance
9. General Ledger Account Reconciliation
10. Past Due Account Collection
11. TouchNet E-Commerce Management
12. Banking/Credit Card Management

Proposed Integration
Integration of most student financials related functions will require thorough revision of business process to reach a greater degree of commonality. Historically, each campus has worked independently to create business process that fits their individual needs and capabilities. Resolving the differences will be necessary for a successful full integration.

The following key functions are targeted for potential integration under this proposed partnership. The degree of business process review and revision required greatly impacts the timing and is indicated for each area. There are no specific budget implications identified other than to state that the UMM Student Financials area is severely under-staffed (estimated 1 FTE required), resulting in a work schedule difficult to sustain and leaving some key administrative functions not supported as they should be. We have identified several areas where the UM staff can begin to help to fill some of that gap with existing resources.

1. Management of Student Health Insurance Program Billing/Remittance
   Common business process exists, although there would still be some duplication of effort until the 2017/18 academic year.

2. Past Due Account Collection/Collection Agency Referral
   Common business practices need to be developed to achieve a fully integrated process. Once commonality in procedure is achieved, a fully integrated approach will require little additional effort.

3. General Ledger Account Reconciliation
   Common business practices exist. UM can provide the expertise, but without a complete integration, this will involve duplication of effort.
4. TouchNet E-Commerce Management

With some minor revisions in business process, this can become a fully integrated process, involving little or no extra effort by UM staff.

Implementation Requirements and Timeline

UM Bursar staff will need appropriate system access to UMM student accounts, general ledger accounts, bank accounts and insurance data.

Proposed Timeline

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 1, 2016</td>
<td>• Begin GL reconciliation assistance for period ending 6/30/2016</td>
</tr>
<tr>
<td>July 15, 2016</td>
<td>• Begin review of past due account collection procedure process to achieve common practices</td>
</tr>
<tr>
<td></td>
<td>• Begin integrated TouchNet e-commerce payment transaction processing</td>
</tr>
<tr>
<td></td>
<td>• UM begins processing daily health insurance updates</td>
</tr>
<tr>
<td>November 1, 2016</td>
<td>• Begin review of other key functions where commonality may be achieved, leading to further integration</td>
</tr>
<tr>
<td>February 1, 2017</td>
<td>• Implement integrated past due account collection process</td>
</tr>
</tbody>
</table>

Suggested measures include:

(a) Past due account aging statistics will be used to identify success of an integrated collection approach.
(b) Degree to which common accounting methods enhance or inhibit the UMM/UM leader partnership and decision-making
(c) Synergies gained or costs increased
(d) Degree to which these integration efforts support or inhibit academic integration
1.c. Financial Aid

Key Functions
1. Processing of financial aid applications and completion of federal verification.
3. Disbursement of financial aid to student accounts.
4. Evaluate appeals for special circumstances that may result in increased financial aid.
5. Evaluate students according to institutional Satisfactory Academic Progress policies and adjust aid as necessary.
6. Complete Return to Title IV calculations for students who withdraw from the institution, and return funds as necessary to the federal Department of Education and the state of Maine.
7. Manage all federal and state aid programs including Pell grants, state grants, SEOG, Federal Work-Study, Perkins loans, Direct loans and PLUS loans.
8. Manage all institutional aid programs including merit scholarships, need-based aid, athletic aid, department/college scholarships and other institution specific programs.
9. Manage the processing of alternative/private loans for students.
10. Reconcile major fund accounts on a monthly basis.
11. Complete various reports and surveys for government and outside agencies.
12. Process aid for students taking summer courses.
13. Maintain all related communications and forms, as well as the website.
14. Participate in events for students such as Open Houses and Orientation.
15. Administer the SALT program.

Proposed Integration
1. Alignment of business processes where appropriate, including PeopleSoft setup and processing.
2. Streamline forms that are used for the same purpose so edits can more easily be made for both campuses.
3. Utilize the same resources to generate reports and surveys.
4. Collaborate on training opportunities.
5. Utilize staff from both campuses to stay up to date on federal and state policy.
6. Cross-campus participation on University and UMS committees.
7. Utilize the breadth and depth of knowledge from the UM staff to support the single professional staff member located in UMM.

Implementation Requirements and Timeline
Financial aid is in a unique situation compared to other administrative areas. UM and UMM began collaborating in January 2016 after the Director of Financial Aid at UMM resigned. We agreed to initiate the partnership on a trial basis so that we could determine its feasibility and how it would impact staffing levels, performance and student service. After the first couple of months it was clear that both offices felt the partnership was workable, and we quickly found ways to streamline processes and collaborate to get the work done.

In January 2016, Sarah Doheny was added to the Participation Agreement for UMM as Director of Financial Aid and Connie Smith was established as the lead in coordinating communication
and daily work. We’ve spent the last six months evaluating each business process as we move through the annual cycle, and identifying opportunities for improvement and efficiency. Over those six months we have successfully achieved many of the items on the ‘Proposed Integration’ list.

The current state is that we are essentially functioning as one office. We support each other as we work through the financial aid cycle. The staff in UM provide support for the Assistant Director at UMM as needed to troubleshoot issues, learn new program areas and make professional judgements. We have attended each other’s orientation events and will provide physical coverage in UMM when the Assistant Director is on vacation. An UM staff member will serve on the SAP Appeals Committee for UMM. We have worked together to develop forms, communications and publications. Staff members from UM and UMM, representing multiple functional areas, have jointly served on a search committee to hire an Administrative Specialist for UMM Financial Aid and Billing. The Assistant Director in UMM will join UM staff meetings via Google Hangout so we can keep up to date on what is happening in both offices and discuss policy and procedure issues that impact both campuses.

Moving forward we will continue to build on this integration. So far it has been accomplished with much success.

**Benchmarks and Measures**
- Ensure that critical processes are happening in a timely matter, i.e. FAFSA processing, verification, packaging and reconciliation.
- Complete annual Fiscal Operations Report and Application to Participate (FISAP) by Department of Education deadline.
- Appropriate fiscal year-end adjustments are made no later than June 30th.
- Students, faculty and staff report being satisfied by the level of service from each financial aid office.
- A travel budget in the range of $7,000-$10,000 will be required, to be funded by UMS HR

**Budget Implications**
Again, we are in a unique situation because a full-time staff member from UMM resigned, and current staff from UM have stepped in to fill the gaps. To date UMM has realized a savings of what equates to $72,000 annually or $6,000 a month. That will increase beginning July 1st when the UMM ends its contract with Chris Bell at a rate of $12,000 annually, or $1,000 per month. Existing staff at UMM, and the staff at UM, will take over the work Chris Bell was doing.
2. Marketing/Public Relations

Key Functions
1. News and media relations (with all associated design and content)
   - Press releases
   - Social media
   - Institutional magazines/newsletters
2. Internal communications
3. Website design and content
4. Marketing materials (non-recruitment related)

Proposed Integration
UM’s Marketing & Communications and UMM’s Public Relations/Marketing offices primarily focus on external and internal communications, marketing and website content. Marketing targeted toward recruitment is a function addressed in the Admissions/Enrollment offices at both institutions.

The UMM Office of Public Relations has one employee, who currently works 10 hours per week. Due to time restrictions, UMM’s public relations work is confined to press releases, limited communications (e.g. campus event notifications), and updates on social media. UM’s Division of Marketing and Communications staff has expertise in website development, design, photography and videography. In addition, UM’s extensive contacts in the media can help broaden the scope of UMM’s marketing reach.

The subcommittee proposes integration in the following areas, which were deemed to be high priorities:

1. Website Content
   UMM’s website is currently undergoing a major overhaul. Phase I of the project, a completely redesigned site focused on recruitment and marketing, is scheduled to go live on August 1st. Phase II of the project will focus on upgrading UMM’s intranet site. The subcommittee recommends that Mike Kirby, UM’s manager of digital communications, coordinate with UMM's IT contact sited in Farmington to work with UMM staff doing web-related management and maintenance to help address existing and foreseeable web-related needs, including content management, search optimization, web analytics and back-end virtual server space. A digital projects specialist, level of FTE yet to be defined, and who is dedicated to UMM as a member of the UM digital communications team under Mike Kirby’s management, is recommended. This position would leverage the resources, expertise and team synergy that has resulted in the past 18 months of UM's work on the next generation of umaine.edu.

   Long term resource impact:
   Additional funding for a digital communications position dedicated to UMM and compensation for the manager's added responsibility in overseeing UMM web, (job description, duties, %FTE, reporting structure and total cost to be determined).
2. Marketing
The majority of UMM’s marketing strategy is focused on recruitment. The subcommittee strongly feels that further discussion about marketing should be postponed until the Admissions/Enrollment integration has developed further.

The subcommittee agrees, however, that there are opportunities to develop stories focused on unique programs at each institution that will highlight student opportunities available at both campuses. Such marketing will also promote the partnership. Members of both offices will work together to identify and produce these stories to be distributed to a broad audience.

Lastly, UM has carefully cultivated relationships with media outlets that have not traditionally published UMM stories. UM can help broaden UMM’s audience outside of Washington County.

Resource impact: Little to none

3. Design Services
UMM currently outsources most of its design needs on a job-by-job basis. UM has a team of designers with access to the latest design software. With the use of UMM’s Style Guide, UM design experts can help format marketing materials, reports, presentations and publications.

Resource impact: It is anticipated that UMM will not utilize UM’s design services enough to have a significant impact.

4. Photography & Videography Services
UMM also outsources its limited use of photographic and video materials. UM has negotiated contracts with both photographers & videographers who work on a project basis. UMM may be able to take advantage of better rates to obtain updated photos and produce videos to be used in marketing, including recruitment marketing as appropriate.

Resource impact: Potential cost savings for UMM

Integration Requirements and Timeline
The above recommendations have broad support from marketing staff at both institutions, and work on the above proposals can begin almost immediately. The Subcommittee agreed that keeping at least one half time FTE public relations staff at UMM is important to market UMM’s unique identity as Maine’s Coastal University, to coordinate internal communications and to help generate stories regarding the partnership. Further discussion on collaboration with admissions recruitment (if deemed appropriate) is needed. Funding for a web technician should also be discussed in the coming months.
Benchmarks and Measures

1. Website Content
   Benchmark: Launch of a fully functioning website
   Measures: Normal metrics for web utilization and audience reach

2. Marketing
   Benchmark: Increased media coverage at both institutions
   Measures: None specified

3. Design Services
   Benchmark: None specified
   Measures: Satisfaction of UMM leadership with UM design services

4. Photography & Videography Services
   Benchmark: None specified
   Measures: Potential cost reductions for UMM without loss of perceived quality
3. Human Resources Report

Key Functions
1. Cabinet Leadership
2. Strategic HR Consulting
3. Position Control
4. Recruitment
5. Performance Consulting, Workforce Management
6. Payroll
7. Equal Opportunity
8. Title IX Coordination
9. Benefits Enrollment and Counseling

Proposed Integration
It should be noted that the Human Resources functions across the System have gone through an Administrative Review and have been organized into a pattern of staffing and functions that report directly to the Chief HR Office of the UM System, with a dotted line to the campus Presidents. There are already positions at the System, or in the Centers of Excellence, or located at various campuses, which serve multi-campus constituencies. As such, the ability to move into a primary partnership between the two campuses is enhanced. We also realize that this partnership is different from other multi-campus services; a structure of strategic Human Resources leadership and services is required to optimize the mission of each campus and the Primary Partnership.

As part of the System HR staffing, UM HR includes a Director of HR and seven (7) HR Business Partner generalist positions (2 Senior HR Business Partners, 1 Associate Director/HRBP, 1 HRBP & Faculty HR Consultant, and 3 HR Business Partners); and, an HR Business Partner focused on workers compensation/unemployment administration. UM is also served by the following System-level services and Centers of Excellence: Employee Benefits Center, Payroll, Compensation, Equal Opportunity, Labor Relations, and Learning & Organizational Development. As part of the System HR staffing, UMM HR includes a 50% Director of HR UMM is also served by the following System-level services and Centers of Excellence: Employee Benefits Center, Payroll, Compensation, Equal Opportunity, Labor Relations, Learning & Organizational Development. 

Suggestions for integration have been identified and are as follows:
1. Director of HR for UM will also serve as Director for UMM, reporting to Chief HR Officer of the System with dotted lines to the President of UM and to the top official of UMM.
2. One of the HR Business Officers at UM will spend approximately 40%-50% of effort as needed, either on-site or from UM, to provide strategic and operational HR support
3. The HR Director, other HR Business Partners, or admin staff from UM will supplement the primary assigned HRBP as needed to ensure best collaboration, education, effectiveness and efficiency.
4. HR services will be available to the Cabinet, managers and employees of UMM as needed at any time by direct contact or by contacting the front office of UM HR and being connected to available staff.

5. Cabinet Leadership - UMHR will attend at least twice per month, if invited

6. Strategic HR Consulting - UMHR available each week on campus and from UM; initially we will have a primary HRBP on campus at least one day each week and one day virtually, and additional visits from other HR partners and leaders so that we have a full group effort of familiarization and positive service level to the campus; after a successful transition is achieved then the on-campus presence will likely be one day per week, supplemented by primary HRBP and overall group availability by phone, Google Hangout, etc.

7. Support of Recruitment - UMM Managers will be trained on best practices on recruitment and will research best sources and place advertisements and postings; UMHR will provide recruitment and search guidance

8. Position Control - UMM Cabinet will approve/disapprove all hires and position actions

9. Performance Consulting, Workforce Management - UMHR will normally provide during the one day per week on campus or from Orono.

10. Payroll - payroll services are provided through the System Payroll office, with 100% FTE staffing on site at UMM.

11. Equal Opportunity - EEO consulting and investigations will be provided through the EO Center of Excellence, accessed either directly or through the UMHR.

12. Title IX Coordination - A UM HRBP will serve as the Title IX Coordinator for UMM in partnership with a Student Life leader as a deputy coordinator.

13. Benefits Enrollment and Counseling - this is provided through the Employee Benefits Center for the system, which can be accessed either directly or through the UMHR phone tree.

14. Workers compensation & Unemployment administration--this can be provided by the current administrator at UM; impact on FTE unlikely but will be examined.

Implementation Requirements and Timeline
Implementation will require approval to proceed; clear communication to managers and employees at UMM; and some manager/supervisor training. We believe it will also be important to examine process flow for payroll, recruitment, etc. to seek greater efficiencies and clarity of roles.

Timeline if approved:
a. July—overlap assigned UMHR individual and Kimberly Page; examine process flows; communications to campus mid-July regarding HR changes, how to access HR services
b. August—Manager training; continue work on process flow

Benchmarks and Measures
- From a budgetary standpoint, we believe we can serve UMM from UM with existing HR Business Partner staffing and be able to reduce the 50% FTE position held by Kim Page.
- The arrangement will provide additional attention to the HR function at UMM, being part of a larger HR department, and provide more diverse HR resources.
• The arrangement will provide professional development to HR staff at UM, from serving a campus with a different mission, leadership and workforce environment.
• Having shared HR leadership across the UM-UMM partnership will also allow HR to be a strategic consulting resource for enhancing the integration and performance of the partnership.
• Given that the campus will be served by the group of HR Business Partners at UM, this can potentially eliminate the 50% FTE position at UMM as a savings at the System level.
• A travel budget in the range of $7,000-$10,000 will be required; this is to ensure regular visits by a UM HRBP, and periodic visits by the Senior HRBP and others.
• Professional development

Potential Metrics:
• Survey of service satisfaction for UMM Cabinet and campus after 60 days, 6 months, and 12 months—availability, level of expertise, results.
• Survey of UM Cabinet and UMM Cabinet as to HR contributions to overall success of integration.
4. Student Affairs Report

Key Functions

1. Shared training in all functional and content areas with an emphasis on the use of technologies such as Polycom, Google hangout, and Zoom to avoid the necessity and cost of transporting numbers of UMM students and staff to Orono. As an example, student staff is trained for Campus Recreation and Residence Life. We could partner and involve colleagues from UMM in the UM trainings with special tracks for issues that do not intersect. This can include student and professional staff and involve training and consultative support throughout the year. We are also available to provide crisis support and case reviews for high-risk students.

2. Title IX investigations, support services, case adjudications, prevention and annual climate surveys. Relatedly, UM could provide support services regarding Clery responsibilities (Crime Reporting), conduct code expertise, conduct committee training and general support around conduct matters including use of Maxient which is the data - base system for conduct issues. Campus staffs could also participate on Appeals committees.

3. Consultancy and support on student related matters including student organizations, policy concerns, free speech, student engagement, civic engagement, event planning, and retention. We can also offer expertise in certifying and supporting student Veterans and in the alcohol, tobacco, and other drug areas.

4. Career Services including access to Career Link, which also gives access to GoinGlobal, access to all online resources including password protected sites such as FOCUS, which includes an interest inventory.

5. Involvement at the Engineering Job Fair, Career Fair, Health Professions Career Day and other events such as CareerFest and Federal Jobs workshops. UMM staff members could participate in any of our trainings and case study meetings.

6. Access to "Careers To Go" program which include presentations along with PowerPoint slides for 5 topics: Career Center Services Overview, Resume Writing, Cover Letters, Interviewing, and Professionalism.

7. It is also possible for UMM faculty to assign a "Career To Go" workshop which could be followed by a google hangouts session to answer questions and the 2+2 Health Professions students could meet with UM STEM/Health Professions Career Consultant via phone or Skype.

8. With planning and resource allocation, a UM staff member could go to UMM to meet with students and present workshops.
9. Campus Activities and Engagement staff could advise students from UMM who attend the annual National Association of Campus Activities meeting and enable block booking of campus acts to keep costs as low as possible. UMM students could also attend UM leadership conferences, series, and trainings. Training and consultative support could also be offered in Greek Life.

10. UMM counselors could attend UM case conferences and receive clinical and prevention consultation from UM staff.

11. UM resources in multiculturalism and LGBTQ services could be shared. These include events, trainings, consultation, physical resources, and student organizational development.

12. UM could offer security reviews, facility safety analyses, access to police best practice documents, and consultation on high risk or standard campus safety matters.

13. The University of Maine holds weekly conduct related case management and high-risk student behavior reviews. UMM could access these resources both for individual cases, for consultation, and for planning purposes.

14. The University of Maine has student wellness resources. These include materials, consultancy, access to programs, and peer education. These programs can be ported in whole or part to UMM.

15. The University of Maine has an ombuds who is skilled at systems analyses, student centered problem solving, bureaucracy reduction and red tape cutting. This is a skill set that could, on an as needed basis, be shared with UMM.

16. Purchasing- We could work with selected vendors to purchase bags, t-shirts, and promotional items for orientation, student organizations, and office programs.

**Proposed Integration**

To be most effective and to provide full support, lead staff at UMM could be integrated into UMaine student affairs leadership meetings and given open access for consultation and support. UMaine staff will be available for on-site visits and collaborations. In addition, in an effort to reduce travel costs and time away from campus collaboration, meetings could occur via Polycom, periodic visits to UM by UMM staff, and periodic visits to UMM by UM staff. It is recommended for maximal effect, impact and support that UMM appoint an on – campus designated lead who could have a dual report to UMaine student affairs. To assure effective integration discussions between UMaine and UMM staff should begin as soon as possible. It is expected that there will be positive budget impacts initially as joint purchasing and shared training occur, however the full impact of integration will be determined as we explore staffing, responsibilities, and mission.
**Implementation Requirements and Timeline**
It is recommended that a reporting and collaboration agreement be discussed and implemented this summer and that training, purchasing, consultation, and support services be extended to UMM from UMaine immediately. It will be critically important that UMM and UM staff meet for a review of current practices with the intent of achieving integrated, effective, and efficient services.

**Benchmarks and Measures**
Current organizational structures and practices reviewed by December 15, 2016 with all appropriate collaborative agreements in place by March 1, 2017.
5. Office of Research and Sponsored Programs (ORSP)

Key Functions
1. Enhances UM’s research, teaching and public service missions by efficiently processing proposals and awards, according to the law, in cooperation with investigators, for the benefit of UM’s students, Maine’s citizens and extramural sponsors
2. Maximizes the recovery to UM of overhead costs associated with extramurally-sponsored programs
3. Minimizes liability and financial risk to the institution
4. Assists in the identification of, and access to, extramural programs that will further the UM’s signature and emerging programs
5. Promotes a working environment that allows senior administrative staff to successfully fulfill their leadership roles.

Proposed Integration (by function with budget implications)
The Vice President for Research and Dean of the Graduate School and the Chief Business Officer of UM have proposed to the Chief Business Officer at the University of Maine at Machias (UMM) that ORSP serve as UMM’s sponsored programs office. The proposal, in the form of a Memorandum of Understanding (Appendix 4), describes the roles of each branch campus with respect to (a) the preparation of UMM proposals for extramural support, and (b) the management of awards to UMM from external sponsors. In general, the MOU explains that UM’s ORSP will provide the same sponsored programs services to UMM that ORSP currently provides to UM academic departments (e.g. Earth Sciences, Chemistry, etc.) and organized research units (e.g. Climate Change Institute, Center on Aging, etc.) The MOU also describes the sponsored-programs-related tasks for which UMM faculty and Staff will be responsible under the new integration arrangement.

Budget Implications: Insofar as UMM’s current sponsored programs portfolio is relatively small, UM does not anticipate significant additional labor costs. ORSP currently is not in a position to estimate the budgetary impact on UMM of the new integration arrangement. UM does expect to reduce the System’s risk exposure by enhancing the overall management of the external awards received by UMM during the five-year period covered by the MOU.

Implementation Requirements and Timeline
The MOU will become effective when all parties have signed and will remain in effect for five years.

Benchmarks and Measures
Parties to the MOU will review implementation progress, make necessary changes, and develop measures of success during the first year.
Appendix 1: Task Team Charter on Administration

Charter Purpose

- To establish the roles and responsibilities of the UMM-UM primary partnership task team on: *Administrative functions*.

Administrative Task Team Purpose

- The UM/UMM Primary Partnership charge is for the two institutions to develop a pathway that moves both forward in a mutually advantageous way. The goals of this Partnership include building on *One University* principles to take advantage of synergies that can develop across multiple administrative units, achieving better levels of service and/or economies of scale that more than offset any associated expenses.

Charge

- The Administrative Task Team has responsibility for successful completion of the analysis of administrative options and a set of recommendations approved by the Team Sponsors and delivered to the Chancellor by 6 July 2016.

- The Task Team is to use the first two steps of the four-step process of: **analysis**, **design**, implementation and audit.

- This Task Team is to study the administrative services functions and determine which areas have best opportunity for collaboration, consolidation, unification, or other arrangements that will reduce administrative costs, increase organizational effectiveness and/or student services/success, including recruitment and retention.

- The Task Team’s updates and draft reports are due to the Sponsors on a schedule determined by the Sponsors.

- Chancellor Page is the final decision-maker of questions about this charter and what recommendations are presented to the BOT for consideration.

Task Team Sponsors

- President Hunter and President Swain.
Team Composition

- The Task Team will consist of three members from each campus, chosen by the respective presidents and led by an individual or individuals chosen by the Presidents from the Task Team. The Task Team may then choose, or appoint external sub-teams for reviewing particular administrative functions, areas or offices as they deem appropriate, as long as all assigned areas of review are covered.

- The Task Team members are: (list)
  - Carol Kim, Vice President for Research and Dean of the Graduate School
  - Jeff St. John, Associate Provost for Academic Affairs
  - Robert Dana, Vice President for Student Life and Dean of Students
  - Melvin Adams, Dean of Enrollment and Student Services (replaced by Kay Kimball)
  - Amy Lentz, Executive Assistant to the President
  - Marianne Thibodeau, Director of the Library
  - Consultant to the group: Larry Lewellen
  - Group facilitator: Dave Stevens

- Because of the close relation between this administrative task and the System-level Administrative Reviews, the Task Team is expected to consult regularly and as necessary with the Vice Chancellor for Finance and Administration, Rebecca Wyke or her functional designees.

Scope of Effort

- Includes all non-academic and non-governance functions (See the list developed by President Swain, attached here as an Appendix 2.)

Key Deliverables

1. A list of every functional area reviewed, together with analytical and design methods/processes and inputs used for each area as well as stakeholders consulted.
2. Common lexicon (definitions) of relevant terms and concepts.
3. Itemized decision points and action items for each functional area with supporting rationales.
4. Suggested phases / timeline for transition of each functional area, including leadership, charter and timelines for those functional areas recommended for priority or initial deployment
5. Identification of prioritized list of UMaine functional areas to be extended to UMM
6. Develop principles of shared operation (i.e., a global MoU), with consideration of office-specific particulars
7. Identify policy and content asymmetries [e.g., tuition variance; add/drop/withdrawal policies, separate catalogs]
8. Statement of the potential financial impact and/or benefits of each of the recommendations.
Assumptions for the Team to Incorporate and/or Test as Part of its Work
1. There are efficiencies and improvements that can be found in all functional areas due to scale and collaboration (the bias is to the positive).
2. It is important to maintain or strengthen student- and community-focused service at the campus level.
3. The Task Team will fully consider functional area expertise and stakeholder needs in developing their recommendations.

Key Design Concepts to Consider
• Prioritization should be to those functional areas that are believed to hold the most immediate promise for efficiencies and increasing student services/success.
• FY17 enrollment processes should not be disrupted or diminished.
• Resources for leadership and effective change management will be made available to the team.
• The team will analyze area needs and opportunities in order to consider multiple models for each area, arriving at recommendations for optimally meeting overall goals.
# Appendix 2: Evaluation Matrix

<table>
<thead>
<tr>
<th>Administrative Functions UM/UMM Primary Partnership</th>
<th>Financial Impact</th>
<th>Brand Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Function Name</td>
<td>Advances Organiz.</td>
<td>Leads to economy of scale</td>
</tr>
<tr>
<td>Example</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Areas at both institutions having front and back office functions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Admissions and enrollment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Athletics, fitness and recreation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Bursar operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Career Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Community Liaison (e.g., venue reservations)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Disabilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. Distance Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>h. Early College</td>
<td></td>
<td></td>
</tr>
<tr>
<td>i. Library</td>
<td></td>
<td></td>
</tr>
<tr>
<td>j. Marketing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>k. Public relations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>l. Registrar operations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>m. Student services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>i. Activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii. Conduct processes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Health records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iv. Residential Life processes and records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Areas of capacity need at UMM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Alumni relations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Grants management</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Evaluation Matrix - Appendix 2.xlsx*
<table>
<thead>
<tr>
<th>Function name</th>
<th>Advances Organiz. Effectiveness</th>
<th>Leads to economy of scale</th>
<th>Enhances student experience</th>
<th>UMM</th>
<th>UM</th>
<th>Personnel impacts</th>
<th>UMM</th>
<th>UM</th>
<th>Practical components</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>d. Institutional &amp; market research</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Instructional design</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. International students recruitment and support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g. Internship support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>h. Research and commercialization</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>i. Website oversight</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. University Services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Accounts payable and travel</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Business oversight</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Facilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Human Resources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Information Technology</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Procurement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Emergency Response</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Instructions:

You can use both positive and negative numbers (+ = positive impact, - = negative impact)

If you think the row and column intersection is "high" than place a "3" in the cell
If you think the row and column intersection is "medium" than place a "2" in the cell
If you think the row and column intersection is "low" than place a "1" in the cell
If you think there is no opportunity, then place a "0" in the cell row and column intersection is "low" than place a "1" in the cell
If you do not have an educated guess (or better) than leave blank
## Appendix 3: Registrar’s Office Table

<table>
<thead>
<tr>
<th>Key Functions</th>
<th>Orono Student Records</th>
<th>Machias Registrar’s Office</th>
<th>Possible area of collaboration</th>
<th>No efficiencies gained under current structure</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Maintain Curriculum</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain catalog course data and all curriculum changes</td>
<td>Use Acalog data to maintain and publish online</td>
<td>Use MS Word to maintain and publish to website</td>
<td>Look into cost of additional license for Acalog</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Maintain catalog data in MaineStreet</td>
<td>Maintain catalog data in MaineStreet</td>
<td>Investigate possibility of using third party software to track curriculum approvals (to feed into Acalog)</td>
<td>Two different curricula and approval processes</td>
</tr>
<tr>
<td>Class Scheduling</td>
<td>Departments enter data in Infosilem; Data interfaces with MaineStreet; Classroom data loaded to R25 to mesh with event scheduling</td>
<td>Division Chairs submit class data to Registrar’s Office Registrar’s Office staff inputs data Use Schedule25 to schedule classrooms</td>
<td>UMM look into possibility of adopting UM time blocks for easier faculty collaborations; student scheduling opportunities</td>
<td>Two different curricula; two different instances of R25; Infosilem not in use at UMM</td>
</tr>
<tr>
<td>Final Exam Scheduling</td>
<td>MaineStreet process</td>
<td>MaineStreet process</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Events/Ad hoc Scheduling</td>
<td>Done in Registrar’s Office</td>
<td>Off-campus groups work w/faculty admin assistant On-campus groups work w/admin</td>
<td></td>
<td>Two different databases; implementation of 25Live will make processes more efficient</td>
</tr>
<tr>
<td>Category</td>
<td>Task 1</td>
<td>Task 2</td>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>--------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Classroom Inventory</td>
<td>Annual Review of Room contents Update as requested</td>
<td>Two different locations; two different databases</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Build and Maintain Degree Audits</td>
<td>Maintain in MaineStreet Academic Advising</td>
<td>Maintain in MaineStreet Academic Advising</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Two different gen ed requirements; Two different curricula</td>
<td></td>
</tr>
<tr>
<td>Course Registration Set up</td>
<td>Term activations Enrollment appointments PIN’s Enrollment Security Academic calendar table</td>
<td>Term activations Enrollment appointments PIN’s Enrollment Security Academic calendar table Permission #’s for faculty to override prerequisites</td>
<td>Two different schedules and institutions</td>
<td></td>
</tr>
<tr>
<td>Maintain Students’ Records</td>
<td>Processed by college staff; verified by OSR</td>
<td>Processed in Registrar’s Office</td>
<td>MaineStreet submission and approval workflow in process will make more efficient</td>
<td></td>
</tr>
<tr>
<td>Implement program changes</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advisor Changes</td>
<td>Processed through major departments</td>
<td>Processed in Registrar’s Office</td>
<td>Not processed in UM OSR</td>
<td></td>
</tr>
<tr>
<td>Term Cancellations &amp; Withdrawals</td>
<td>Batch process for suspended students; otherwise one-by-one</td>
<td>Processed one-by-one</td>
<td>More efficient to process at point of receipt</td>
<td></td>
</tr>
<tr>
<td>Course Withdrawals</td>
<td>Processed through college</td>
<td>Process manually after drop deadline</td>
<td>Policies differ for withdrawals done after deadline</td>
<td></td>
</tr>
<tr>
<td>Process</td>
<td>Description</td>
<td>Notes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leaves of Absence</td>
<td>Maintain on Program/Plan stack</td>
<td>Use MaineStreet Comments</td>
<td>Processed one at a time</td>
<td></td>
</tr>
<tr>
<td>Study Away</td>
<td>Use Form of Study</td>
<td>Use MaineStreet Comments</td>
<td>Processed one at a time</td>
<td></td>
</tr>
<tr>
<td>Transfer Credit processing</td>
<td>MaineStreet automated rules</td>
<td>MaineStreet automated rules</td>
<td>Two different curricula; absolutely curriculum dependent</td>
<td></td>
</tr>
<tr>
<td>Apply Degree Audit Exceptions</td>
<td>Implement Course Substitutions and adjustments to students’ programs</td>
<td>Implement Course Substitutions and adjustments to students’ programs</td>
<td>Two different curricula</td>
<td></td>
</tr>
<tr>
<td>Process Grade Changes</td>
<td>MaineStreet Workflow</td>
<td>MaineStreet Workflow</td>
<td>Process already streamlined</td>
<td></td>
</tr>
<tr>
<td>Name, Address Changes</td>
<td>Address and Preferred Name – MaineStreet Student Self-Service</td>
<td>Address and Preferred Name – MaineStreet Student Self-Service</td>
<td>Primary Name Changes w/required documentation processed one-by-one; volume small</td>
<td></td>
</tr>
<tr>
<td>Transcript Production</td>
<td>Use NSC transcript process; Process mailed transcripts locally</td>
<td>Use NSC transcript process for electronic transcripts</td>
<td>UMM archived transcripts only available in paper format locally</td>
<td></td>
</tr>
<tr>
<td></td>
<td>MaineStreet Self-Service transcripts</td>
<td>Mailed requests On demand</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>On demand</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Degree Verifications</td>
<td>Via Email or Phone</td>
<td>NSC verifications only</td>
<td>UMM archived transcripts available in paper format locally</td>
<td></td>
</tr>
<tr>
<td>Enrollment Verifications</td>
<td>Requests via MaineStreet and in person</td>
<td>Only a few in-person or emailed requests</td>
<td>Two different institutions; two processes</td>
<td></td>
</tr>
</tbody>
</table>

35
<table>
<thead>
<tr>
<th>Requests for amendments to students’ records</th>
<th>Process approved requests for retroactive enrollment changes</th>
<th>Research requests for administrative withdrawals and collect information to help inform decisions by VPAA; Process administrative withdrawals</th>
<th>Exceptions rare and handled on case-by-case basis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Immunization tracking</td>
<td>Documents imaged at Shared Processing Center; Collect, code info in MaineStreet; communicate w/students via Message Center</td>
<td>Not performed in UMM Registrar’s Office</td>
<td>Not performed in UMM Registrar’s Office</td>
</tr>
</tbody>
</table>

**End of Term Processing**

<table>
<thead>
<tr>
<th>Create Grade Rosters</th>
<th>Batch process</th>
<th>Batch process</th>
<th>Two separate institutions; two separate processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lapsing process for Incompletes</td>
<td>Batch process</td>
<td>Batch process</td>
<td>Two separate institutions; two separate processes</td>
</tr>
<tr>
<td>Repeat process</td>
<td>Batch process</td>
<td>Batch process</td>
<td>Two separate institutions; two separate processes</td>
</tr>
<tr>
<td>Graduation processing</td>
<td>Commencement planning; communicate w/colleges re: applicants; Colleges certify completion; OSR posts degrees; Produces and mails diplomas</td>
<td>Communicate w/advisors; Use Degree Audits to clear in Registrar’s Office; Diplomas from Jostens; Post degrees; Mail diplomas</td>
<td>Explore cost-effectiveness of diplomas being produced by Orono Office of Student Records</td>
</tr>
<tr>
<td>Academic Standing</td>
<td>Run process; Colleges review; notify students via Message Center</td>
<td>Run process, review; send info to Academic Affairs Office for letters to students</td>
<td>Policies differ; two institutions; two processes</td>
</tr>
<tr>
<td>-------------------</td>
<td>---------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>Honors &amp; Awards</td>
<td>Dean’s List and other academic awards; Class Rank (by level); Coordinate collection of Honors society inductions and add to student’s academic record</td>
<td>Dean’s List-run process; send info to Academic Affairs; when letters sent; sent to Public Relations &amp; legislature</td>
<td>Policies differ; two institutions; two processes</td>
</tr>
<tr>
<td><strong>Technical Maintenance</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional MaineStreet tables</td>
<td>Academic Structure, Grading Schemes</td>
<td>Academic Structure, Grading Schemes</td>
<td>Two different institutions</td>
</tr>
<tr>
<td>NSC Enrollment and Degree Verify transmissions</td>
<td>Batch processes</td>
<td>Batch processes</td>
<td>Two different institutions; no efficiencies</td>
</tr>
<tr>
<td>Infosilem set-up and maintenance</td>
<td>Create and maintain course combinations based on curricula</td>
<td>Not using</td>
<td>UMM not using this software</td>
</tr>
<tr>
<td>MaineStreet Security</td>
<td>Maintain for all Orono Campus Solutions users</td>
<td>Maintain for all Machias Campus Solutions users</td>
<td>Application of security roles differs</td>
</tr>
<tr>
<td>Office Website</td>
<td>Manage OSR website</td>
<td>Manage Academic Policies &amp; Procedures website</td>
<td>Two different institutions; two different websites</td>
</tr>
<tr>
<td>Reporting</td>
<td>Fulfill requests for data, both ad hoc and cyclical business process requirements</td>
<td>Campus IPEDS Coordinator (complete 6 surveys); Common Data Set; US News &amp; World Report;</td>
<td>Consider under Institutional Research area.</td>
</tr>
<tr>
<td><strong>ImageNow Document System</strong></td>
<td><strong>Image archived records; Help departments create workflow solutions; Maintain security access</strong></td>
<td><strong>Not using due to lack of staff time</strong></td>
<td><strong>UMM not using</strong></td>
</tr>
<tr>
<td>-----------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>----------------------------------------</td>
<td>-------------------</td>
</tr>
<tr>
<td><strong>SIS Modifications</strong></td>
<td><strong>Analyze and request SIS modifications for improved services or fixes and test mods prior to implementation</strong></td>
<td><strong>Work w/UMS Registrars and UMS IT to implement improvements to system; participate in testing</strong></td>
<td><strong>Already collaborating through UMS Registrars’ group</strong></td>
</tr>
<tr>
<td><strong>Quarterly Patch Testing</strong></td>
<td><strong>Provide testing</strong></td>
<td><strong>UMM relies on work of OSR office in this area</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Communication**

<table>
<thead>
<tr>
<th><strong>Newsletter/Calendar</strong></th>
<th><strong>Distribute Newsletter and calendar to academic departments</strong></th>
<th><strong>Prepare and distribute annual timeline for schedule production to Division Chairs; communicate w/students about drop and withdrawal deadlines</strong></th>
<th><strong>Deadlines and policies differ</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Confidentiality</strong></td>
<td><strong>FERPA Training to MaineStreet users; campus FERPA resource</strong></td>
<td><strong>FERPA Training to MaineStreet users; campus FERPA resource</strong></td>
<td><strong>Site-based service</strong></td>
</tr>
<tr>
<td>Other</td>
<td>NCAA certification</td>
<td>USCAA certification</td>
<td>Rules and criteria differ</td>
</tr>
<tr>
<td>----------------------</td>
<td>--------------------</td>
<td>---------------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>Athletic Eligibility</td>
<td>Submit NEBHE annual report; inform Bursar when adjustments need to be made</td>
<td>Submit NEBHE annual report; inform CBO when adjustments need to be made</td>
<td>Two different curricula</td>
</tr>
<tr>
<td>New England Regional Student Program</td>
<td>Manage and audit records for eligibility</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Veterans Benefits</td>
<td>Not handled by OSR</td>
<td>Registrar’s assistant certifies enrollments and explains benefits to students and families</td>
<td>Student progress to degree key element of certification; two different curricula</td>
</tr>
</tbody>
</table>
Appendix 4: MEMORANDUM OF UNDERSTANDING
between
The University of Maine at Machias
and
The University of Maine

BY THIS AGREEMENT, the University of Maine at Machias, located in Machias, ME (hereinafter referred to as “UMM”) and the University of Maine, located in Orono, ME (hereinafter referred to as “UM”), jointly known as the “Parties”;

WHEREAS UMM wishes to engage UM to perform specified professional services relating to (a) the preparation and submission of sponsored program proposals; and (b) the management of extramural awards;

WHEREAS UM possesses the capacity and expertise necessary to assist UMM in (a) the preparation and submission of sponsored program proposals; and (b) the management of extramural awards;

NOW THEREFORE the Parties, for considerations hereinafter set forth, do hereby agree as follows:

ARTICLE 1 – SCOPE OF WORK

A. UM’s Office of Research and Sponsored Programs (ORSP) will serve as UMM’s Office of Research and Sponsored Programs, and will make available to UMM the same level of pre- and post-award services that it provides to academic departments and organized research units on the UM campus. Such services include, but are not limited to, the following:

1. During the Pre-award Stage:
   • Day-to-day oversight of pre-award activities;
   • Assisting in the preparation of proposals, including budgets, budget justifications and scopes of work;
   • Adherence to UM’s Proposal Submission Policy and Timeline (Attachment A);
   • Utilization of UM’s Proposal Approval Routing System (PARS);
   • Applying appropriate Facilities and Administrative (F&A) cost recovery rates;
   • Determining whether collaborating entities will be classified as sub-recipients or contractors (vendors);
   • Submitting proposals in digital format;
   • Providing an institutional authorization signature;
   • Processing and approving of internal pre-award documents;
• Reviewing, negotiating and executing awards;
• Initiating request to the University of Maine System (UMS) Accounting Department for the creation of general ledger projects and departments, as appropriate;
• Entering approved budgets into the general ledger; and
• Submitting the Grants and Contracts Allocation Form (GCAF) to the UMS Accounting Department so that direct cost sharing and F&A costs and cost sharing can be recorded in the general ledger project.

2. During the Post-award Stage:
• Day-to-day oversight of post-award activities;
• Approving internal post-award documents;
• Creating sub-recipient awards;
• Monitoring sub-recipient awards;
• Creating and submitting invoices to the sponsor for all campus billed awards;
• Requesting special drawdowns against letter of credit awards as may be needed. The UMS Accounting Department will continue to make weekly drawdowns based upon activity posted in the general ledger.
• Processing, approving, and submitting budget and award modifications;
• Requesting and processing requests for change of Principal Investigator (PI) to the sponsor;
• Correcting and signing effort certifications distributed by UM to UMM PI’s and other supported personnel; and
• Preparing closeout documents.

B. UMM’s PI’s will fulfill the responsibilities described in Attachment B entitled, “The Post Award Role & Responsibilities of a Principal Investigator at the University of Maine”, and ensure compliance with federal and state regulations, UMS Administrative Practice Letters (APL) and the following UM policies:
• Compliance with UM Proposal Submission Policy and Timeline (Attachment B); Institutional Humane Care and Use of Animals in Research (IACUC);
• Institutional Protection of Human Subjects of Research (IRB);
• Responsible Conduct in Research (RCR);
• Conflict of Interest (COI);
• Research involving Recombinant DNA or Infectious Agents (rDNA); and
• Export Control Regulations (EAR).
ARTICLE 2 – KEY PERSONNEL

The individuals responsible for the work described herein at UM are the Vice President for Research and the Director of Research and Sponsored Programs.

The individual responsible for the work described herein at UMM are the President and Chief Business Officer.

ARTICLE 3 – PERIOD OF PERFORMANCE

This MOU shall commence on the date of the last signature, and shall continue for five years, through June 30, 2021. At that time, the Parties may extend its terms by mutual written agreement.

ARTICLE 4 – RECOVERED FACILITIES AND ADMINISTRATIVE (INDIRECT) COSTS

The Facilities and Administrative (F&A) rates negotiated by UMS with its cognizant Federal agency apply to all sponsored programs awarded to UMM. F&A recovered on UMM awards will be returned to UMM and may be used by UMM as unrestricted university funds.

ARTICLE 5 - DAY-TO-DAY PROJECT MANAGEMENT

UMM agrees to manage the sponsored awards that it receives in the same way that “local units” do at UM. A local unit at UM —usually an academic department or cross-disciplinary research center— on behalf of the Principal Investigator, attends to the management of project personnel, the purchasing of project equipment, supplies and materials, the monthly monitoring and reconciliation of project income, expenses, and balances, and the oversight of work performed by sub-awardees and contractors (vendors).

ARTICLE 6 – NARRATIVE REPORTING ON SPONSORED PROGRAMS AWARDED TO UMM

UMM Principal Investigators (PIs) shall be responsible for all technical and narrative reporting, and for meeting technical and narrative reporting deadlines on all awards made to UMM and jointly-managed under this MOU.

ARTICLE 7 – FISCAL REPORTING ON SPONSORED PROGRAMS AWARDED TO UMM

UMM and UM will share responsibility for managing the finances of sponsored programs awarded to UMM. On a quarterly basis, representatives of the Parties will review the financial reporting requirements for UMM’s awards for the next quarter and arrange for any required financial reports to completed and submitted to the appropriate parties according to the terms of the corresponding sponsor agreements.
ARTICLE 8 – EQUIPMENT PURCHASED IN WHOLE OR IN PART FROM SPONSORED PROGRAM AWARDED TO UMM.

Responsibility for, and title to, all equipment purchased with funds awarded by extramural sponsors to UMM shall rest with UMM.

ARTICLE 9 – CONFLICT RESOLUTION

UMM and UM shall continue to supervise their respective employees. To the extent questions or concerns arise relating to the implementation and maintenance of this MOU, the Parties agree to meet and confer in good faith. If the individuals responsible for tasks cited in this MOU cannot agree on any issue relating to the implementation and maintenance of this MOU, UMS General Counsel or his/her designee shall make the final decision.

ARTICLE 10 – ASSUMPTION OF RISK

UMM, during the proposal preparation stage, will provide UM with a UMM general ledger chartfield combination (generally unrestricted) to which any unallowed costs, project cost overruns, or sponsor fines can be charged. If UMM and UM agree that UMM, through action or inaction, is responsible for project charges which cannot be covered by a sponsor award, UM will cover such costs from unrestricted funds at its disposal.

If UMM and UM agree that UMM, through action or inaction, is responsible for project charges which cannot be covered by a sponsor award, UMM will cover such costs from unrestricted funds at its disposal. IF UM and UMM cannot agree on which party is responsible for an unallowed cost, the conflict resolution procedure described in Article 9 shall apply.

ARTICLE 11 – TERMINATION

This MOU may be terminated by either party upon thirty (30) days written notice to the other party. Upon receipt of such notice, UM shall take the necessary actions to transfer all sponsored programs responsibilities back to UMM which then will be responsible for any and all outstanding purchase orders and other commitments relating to UM’s work under this MOU. UMM shall pay for cost and non-cancellable commitments incurred prior to the specified date of termination.

ARTICLE 12 – EXTENT OF THIS MOU

This MOU represents the entire understanding between UMM and UM and supersedes all prior negotiations, representations or agreements, either written or oral.
IN WITNESS WHEREOF, the parties hereto have entered into this MOU as of the day and year first written above.

_________________________________________
UNIVERSITY OF MAINE AT MACHIAS
Stuart Swain, Ph.D.
Acting President
Date: ________________________

_________________________________________
UNIVERSITY OF MAIN AT MACHIAS
Mark Hatt
Chief Business Officer
Date: ________________________

_________________________________________
UNIVERSITY OF MAINE
Susan J. Hunter, Ph.D.
President
Date: ________________________

_________________________________________
UNIVERSITY OF MAINE
Carol H. Kim, Ph.D.
Vice President for Research & Dean of the Graduate School
Date: ________________________

_________________________________________
UNIVERSITY OF MAINE
Claire Strickland
Chief Business Officer
Date: ________________________

ATTACHMENTS:
Attachment A - UM Proposal Submission Policy and Timeline
ATTACHMENT A

UNIVERSITY OF MAINE
Office of Research & Sponsored Programs
Proposal Submission Policy & Timeline

The University of Maine requires all proposals be reviewed and approved by the Office of Research & Sponsored Programs. This policy applies regardless of whether UM is the lead agency submitting directly to the funder, or whether UM will be a subcontractor or collaborator under another institution/organization’s submission. It also applies regardless of the method of submission, e.g. paper copy or electronic.

Pre-proposals, pre-applications, concept papers, and letters or notices of intent, hereinafter referred to collectively as pre-proposals, are treated a bit differently. 1. A pre-proposal that does not require a detailed budget does not need to be seen by ORSP. The exception to this is when Fastlane, grants.gov, or another electronic system requires an authorized institutional endorsement for submission. 2. A pre-proposal submitted to an external sponsor requiring a detailed budget, but no cost share, must be reviewed by ORSP but does not need to be routed through PARS. 3. A pre-proposal submitted to an external sponsor requiring a detailed budget with UM cost share must be reviewed by ORSP and must also be routed through PARS. 4. A pre-proposal submitted to an internal UM competition requiring a detailed budget will not be required to go through PARS; however, it is recommended that ORSP review the budget.

Given the growing complexity of the proposal submission process, it is critical that principal investigators adhere to these internal deadlines in order that staff members in the Departments, Labs, Centers, and ORSP have time to work through the many issues that arise before submitting a proposal by the sponsor’s deadline.

<table>
<thead>
<tr>
<th>Action</th>
<th>Minimum Full Business Days Required for Processing &amp; Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notice to ORSP of Pending Submission</td>
<td>When PI commits to proposal submission</td>
</tr>
<tr>
<td>1st draft of budget, justification, and abstract sent to ORSP for review</td>
<td>15 Full Business Days</td>
</tr>
<tr>
<td>PARS routing initiated with ORSP approved budget and justification</td>
<td>10 Full Business Days</td>
</tr>
</tbody>
</table>
review and ask questions. The 10 day time frame takes into consideration the fact that some approvers may be traveling or out of their offices.

**Solid working draft of full application sent to ORSP for review** - A version of the sponsor proposal application that includes all complete required forms and attachments with the exception of the project narrative/description which can be a work in progress at this stage. This allows 2 working days for ORSP initial review and 1 working day for PI to complete edits prior to submitting the final draft to ORSP.

| 8 | Full Business Days |

**Final version of full application with approved PARS and completed/signed Sub-recipient commitment forms (if applicable) sent to ORSP for review & submission** – This allows 1 working day for ORSP final review and 4 working days for system and sponsor validations*. Other institutions that utilize a 5 day deadline include UNH, Vermont, UMass, MIT, and UConn.

*Electronic Submission Validation*: In some cases systems like grants.gov can take up to 48 hours to validate a proposal before it is forwarded to the sponsor. The sponsor’s validation may take up to an additional 48 hours before the proposal is considered received on time. Any proposals receiving errors must then be revised and re-submitted and must go through the same validation process again prior to the proposal due date.

| 5 | Full Business Days |
New Late Submission Policy

Scenarios Requiring Approval from the Associate Vice President for Research:

1. If notice of intent to submit a proposal is received less than 5 full business days prior to the submission due date it will not be submitted unless approved by the Associate Vice President for Research (AVPR), David Neivandt.

2. Final full proposals received for submission on the due date will not be submitted unless approved by the Associate Vice President for Research (AVPR), David Neivandt.

Approval Process: Approval from the AVPR for either scenario will require a justification explaining the reason for the lateness and why an exception should be granted. The Principal Investigator should send the request for approval with their justification via email to David Neivandt at DNeivandt@umche.maine.edu with a copy to the ORSP Pre-Award Proposal Manager, Laura Ward at lauraw@maine.edu. The AVPR will then determine if there is adequate time to allow for submission. Please note that if approval for submission is granted, it will be processed by ORSP in the order it was received.

Any late proposal not requiring AVPR approval, as well as those that have been approved by the AVPR for submission, will be treated as follows: ORSP will make every effort to submit late proposals, but cannot guarantee that such proposals will be adequately reviewed, or submitted by the sponsor deadline. If ORSP determines that a proposal does not meet the minimum University and sponsor policies, the proposal will be returned without submission. In certain instances a proposal may be submitted to the sponsor but later withdrawn or declined if issues arise due to the lack of time to properly review proposed materials and/or receive proper internal approvals.

Please note that late proposals force ORSP to shift priority away from those that were submitted in a timely manner to those that were not. This is unfair to those principal investigators following policy.

Additional time requirements: Proposals including sub-awards, cost share, or requests of $5 million or more require additional coordination, documentation, and approvals. Additional time should be allocated.

Hardcopy proposals: ORSP requires the PI to make their own arrangements for photocopying and submitting hardcopy proposals and thus it is recommended to allow a few extra days to accommodate this process. If the proposal requires a signed form or letter from ORSP, an electronic or hardcopy will be sent to the PI for inclusion.
**The Post-Award Role & Responsibilities of a Principal Investigator at the University of Maine**

The role of the principal investigator is to direct the performance of sponsored research, instructional activities, and programs in compliance with the terms of the sponsor agreement, University policies and procedures, and applicable laws and regulations. While project related tasks may be delegated by the principal investigator to co-investigators, professional staff, students, and other personnel associated with the project, the responsibilities detailed below rest solely with the principal investigator.

<table>
<thead>
<tr>
<th>PHASE OF GRANT</th>
<th>PRINCIPAL INVESTIGATOR/DEPARTMENT RESPONSIBILITIES</th>
<th>NOTES/TIMING</th>
<th>OFFICE OF RESEARCH &amp; SPONSORED PROGRAMS RESPONSIBILITIES</th>
<th>NOTES/TIMING</th>
</tr>
</thead>
</table>
| Compliance     | **COMPLY with all University of Maine System, University of Maine & governmental policies and procedures related to project management including, but not limited to:**  
  - All UMS APL and OMB Circulars A-21, A-110 and A-133 (PDF) | Throughout the life of the grant it is expected that the P.I. will execute the project as outlined in the funded proposal. | Provide guidance and interpretation of award terms and conditions, UMS Administrative practice Letters, University of Maine policies and procedures, OMB Circulars etc. |
|                | **IMMEDIATELY REPORT instances of waste, fraud and abuse of funds relating to the sponsored award to the ORSP Director or the Vice President for Research** | Refer to [UMS APL IV-J (PDF)](https://example.com) | Take immediate action to resolve the problem or report the allegation to the appropriate party | Refer to [UMS APL IV-J (PDF)](https://example.com) |
|                | **FOLLOW all University of Maine System and University of Maine policies and procedures with regard to human subjects, recombinant DNA and infectious agents, animal care, and radiation safety** | The P.I. has the responsibility to notify the appropriate committee of governing body if changes to the project affect required protocols. | |

ORSP REV. 9/19/13
<table>
<thead>
<tr>
<th>PHASE OF GRANT</th>
<th>PRINCIPAL INVESTIGATOR/DEPARTMENT</th>
<th>OFFICE OF RESEARCH &amp; SPONSORED PROGRAMS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>RESPONSIBILITIES</td>
<td>RESPONSIBILITIES</td>
</tr>
<tr>
<td>Compliance</td>
<td>Per the University’s Intellectual Property Policy, the P.I. must initiate materials transfer agreements if the project requires biological materials from a source external to UMaine. Initiate the disclosure process through the Department of Industrial Cooperation (for Intellectual Property) and ORSP (for Financial Conflict of Interest).</td>
<td></td>
</tr>
<tr>
<td>(continued)</td>
<td>COMPLY with Export Control Regulations including Deemed Export Attestation Requirements (PDF)</td>
<td></td>
</tr>
<tr>
<td>Project Start-Up</td>
<td>REVIEW and APPROVE award agreement Contact ORSP with questions related to the timely implementation of a sponsored award agreement</td>
<td>Receive &amp; log award, negotiate terms, reconcile discrepancies in terms of agreement</td>
</tr>
<tr>
<td></td>
<td>REVIEW and APPROVE subcontracts</td>
<td>Draw up subcontracts</td>
</tr>
<tr>
<td></td>
<td>REQUEST an Advance Project</td>
<td>As needed to begin incurring project expenses prior to institutional acceptance of an award</td>
</tr>
<tr>
<td></td>
<td>PERMIT to the certifications and statement made by P.I. at time of PARS submission</td>
<td>Throughout the life of the project</td>
</tr>
<tr>
<td>PHASE OF GRANT</td>
<td>PRINCIPAL INVESTIGATOR/DEPARTMENT RESPONSIBILITIES</td>
<td>NOTES/TIMING</td>
</tr>
<tr>
<td>---------------</td>
<td>-----------------------------------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td>Award Management</td>
<td>KNOW and COMPLY with the terms and conditions of award</td>
<td></td>
</tr>
<tr>
<td></td>
<td>HIRING: FOLLOW appropriate HIRING procedures outlined by the Office of Equal Opportunity and Office of Human Resources</td>
<td>Train, oversee, and evaluate project staff/students subject to the plan contained in the funded proposal and the Office of Human Resources' policies and procedures. The primary responsibility of the principal investigator is to ensure the safety of personnel and the environment. If training is necessary, it is the principal investigator's responsibility to arrange for training and to properly document that training has occurred, and that it meets the intervals prescribed by the University's Department of Safety and Environmental Management.</td>
</tr>
<tr>
<td></td>
<td>ENSURE all federal, state, local government, and University safety policies and procedures are enforced and communicated effectively to project personnel AND that all personnel supported by and assigned to the project conduct themselves in a professional manner, with respect for the rights of others with whom they interact</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Purchasing: • COMPLY with UM Purchasing Policy • FOLLOW UM Inventory procedures • DON'T move, lend, lease or sell grant/university property prior to obtaining clearance from the Directors of Purchasing &amp; ORSP</td>
<td></td>
</tr>
<tr>
<td></td>
<td>CENTER regularly with the sponsor's program officer and financial administrator, and share all written communications with ORSP</td>
<td></td>
</tr>
<tr>
<td>PHASE OF GRANT</td>
<td>PRINCIPAL INVESTIGATOR/DEPARTMENT</td>
<td>OFFICE OF RESEARCH &amp; SPONSORED PROGRAMS</td>
</tr>
<tr>
<td>---------------</td>
<td>----------------------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td></td>
<td>RESPONSIBILITIES</td>
<td>RESPONSIBILITIES</td>
</tr>
<tr>
<td></td>
<td>NOTES/TIMING</td>
<td>NOTES/TIMING</td>
</tr>
<tr>
<td>Award</td>
<td>SPEND according to allowable</td>
<td>Provide assistance in determining</td>
</tr>
<tr>
<td>Management</td>
<td>cost guidelines</td>
<td>allowable vs. unallowable costs</td>
</tr>
<tr>
<td>(continued)</td>
<td>See UMS APL VIII-C (PDF)</td>
<td>As needed</td>
</tr>
<tr>
<td></td>
<td>and UMS APL IV-I (PDF)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>IDENTIFY all program income,</td>
<td>Refer to UMS APL VIII-G (PDF)</td>
</tr>
<tr>
<td></td>
<td>propose the allocation of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>program income, monitor the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>receipt of program income, and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>review program income reported</td>
<td></td>
</tr>
<tr>
<td></td>
<td>by ORSP to the project sponsor.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Refer to UMS APL VIII-G (PDF)</td>
<td>Refer to UMS APL VIII-G (PDF)</td>
</tr>
<tr>
<td></td>
<td>As needed</td>
<td>As needed</td>
</tr>
<tr>
<td>Budget</td>
<td>Budget Modification:</td>
<td>Provide general coordination</td>
</tr>
<tr>
<td>Modification</td>
<td>• SUBMIT request for budget</td>
<td>and guidance, in conjunction</td>
</tr>
<tr>
<td></td>
<td>revision to ORSP, as appropriate</td>
<td>with the System Accounting</td>
</tr>
<tr>
<td></td>
<td>• NOTIFY ORSP if no response</td>
<td>Department, on proper accounting for</td>
</tr>
<tr>
<td></td>
<td>has been received within 10</td>
<td>program income</td>
</tr>
<tr>
<td></td>
<td>days See UMS APL VIII I (PDF)</td>
<td>• Report program income as</td>
</tr>
<tr>
<td></td>
<td></td>
<td>required by Sponsor</td>
</tr>
<tr>
<td>Review of</td>
<td>The project account should be</td>
<td>• Provide general coordination and</td>
</tr>
<tr>
<td>project</td>
<td>reconciled on a monthly basis.</td>
<td>guidance on revision of budget and</td>
</tr>
<tr>
<td>account:</td>
<td>If auditors or ORSP disallow an</td>
<td>program plans, • Document requests, and</td>
</tr>
<tr>
<td></td>
<td>unauthorized expenditure, the</td>
<td>subsequent action taken, of</td>
</tr>
<tr>
<td></td>
<td>P.I. is responsible for clearing</td>
<td>approvals for budget and</td>
</tr>
<tr>
<td></td>
<td>the expenditure either by</td>
<td>program plan revisions</td>
</tr>
<tr>
<td></td>
<td>transferring the charge to</td>
<td>received from P.I.s</td>
</tr>
<tr>
<td></td>
<td>another allowable account (e.g.</td>
<td>• Submit requests for revision of</td>
</tr>
<tr>
<td></td>
<td>the closing account) or by</td>
<td>budget, when required, to</td>
</tr>
<tr>
<td></td>
<td>personally reimbursing the</td>
<td>sponsor</td>
</tr>
<tr>
<td></td>
<td>University,</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Has authority to request</td>
</tr>
<tr>
<td></td>
<td></td>
<td>documentation in support of</td>
</tr>
<tr>
<td></td>
<td></td>
<td>questioned charges</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Monitor project activity as</td>
</tr>
<tr>
<td></td>
<td></td>
<td>needed</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Coordinate periodic financial</td>
</tr>
<tr>
<td></td>
<td></td>
<td>reviews</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Provide general guidance re:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>budget review &amp; GL Inquiry</td>
</tr>
<tr>
<td></td>
<td></td>
<td>As needed</td>
</tr>
<tr>
<td>PHASE OF GRANT</td>
<td>PRINCIPAL INVESTIGATOR/DEPARTMENT RESPONSIBILITIES</td>
<td>NOTES/TIMING</td>
</tr>
<tr>
<td>---------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------</td>
<td>--------------</td>
</tr>
</tbody>
</table>
| Award Management    | **Cost Transfers:**  
• PREPARE Project Adjustment Form or Labor Distribution Adjustment if necessary  
• MAINTAIN supporting documentation for cost transfers subject to audit  
See UMS APL VIII-K (PDF) and Policy & Procedure for Sponsored Projects Cost Transfers (Word)  
Requests should be prepared and submitted as soon as the discrepancy is noted; and MUST be submitted within 90 days of the month-end of the originally posted charge. |              | • Provide general coordination and guidance regarding cost transfers  
• Approve/deny cost transfer requests  
• Forward request to OIRBS for processing if approved |              |
|                     | **Subrecipient monitoring:**  
• ENSURE they are fulfilling their obligations  
• VERIFY expenses  
• APPROVE invoices  
• MAINTAIN a record of all correspondence  
See UMS APL VIII-O (PDF) | Monthly       | • Send subrecipient monitoring checklist to P.I. at start of project  
• Send/copy subrecipient invoices to P.I. for review and approval  
• Issue & retain subrecipient's A-133 certification form (one should be filed each fiscal year of performance) | On going     |
|                     | **Progress Reports:**  
PREPARE and SUBMIT technical reports to sponsor  
See UMS APL VIII-J (PDF) | As described in award terms & conditions | Prepare and submit financial reports to sponsor | As described in award terms & conditions |
|                     | **Time & Effort Reports:**  
REVIEW for accuracy  
APPROVE RETURN to ORSP  
See UMS APL VIII-E (PDF) | Within 60 days of receipt | Generate, distribute, collect, record and file Time & Effort reports | Three times per year: Spring, Summer, Fall |

ORSP Rev. 3/19/13
<table>
<thead>
<tr>
<th>PHASE OF GRANT</th>
<th>PRINCIPAL INVESTIGATOR/DEPARTMENT</th>
<th>OFFICE OF RESEARCH &amp; SPONSORED PROGRAMS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>RESPONSIBILITIES</td>
<td>RESPONSIBILITIES</td>
</tr>
</tbody>
</table>
| Award Management (continued) | Sponsor invoicing:  
- APPROVE project expenses in a timely manner  
- KNOW sponsor guidelines, only incur allowable expenses  
- USE accurate chartfield combinations (particularly account and fund codes)  
See UMS APL VIII-C (PDF) , and  
APL VIII-J (PDF) | Sponsor invoicing | PER terms of agreement |
| | ASAP after incurred | | |
| | Modification of awards:  
ALL ORSP if an award needs to be modified (including but not limited to: change in scope of project, P.I. &/or key personnel, level of effort, or transfer of work)  
See UMS APL VIII-I (PDF) | P.I. should report any employee change of status resulting from termination, transfer, death and illness, or anticipated sabbatical leave. | Provide general coordination and guidance on program plan revision  
- Document requests, and subsequent action taken, of approvals for program plan revisions received from P.I.s  
- Submit requests for revision of program plans, when required, to sponsor | As needed |
| Award Closeout | APPLY for No-Cost extension if needed (requested via PARS) | If needed, request extension prior to award end date. Refer to award terms. Generally a minimum of 30 days prior to end date for first time requests. Allow an additional week for processing (By ORSP). | Review No-Cost extension requests and submit to sponsor if approved | Allow a week for ORSP to review and process request |
| | OBTAIN from ORSP a list of documents necessary to close-out the project (e.g. patents and equipment lists)  
See UMS APL VIII-L (PDF) | Prior to award end date | Provide general guidance & technical assistance to P.I./Department re: Close-Out procedures | Ongoing/As needed |
<p>| | REVIEW expenditures; RESOLVE any discrepancies | Prior to award end date | | |</p>
<table>
<thead>
<tr>
<th>PHASE OF GRANT</th>
<th>PRINCIPAL INVESTIGATOR/DEPARTMENT RESPONSIBILITIES</th>
<th>NOTES/TIMING</th>
<th>OFFICE OF RESEARCH &amp; SPONSORED PROGRAMS RESPONSIBILITIES</th>
<th>NOTES/TIMING</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>CHANGE</strong> employee pay source (or verify stop date on employee data sheet)</td>
<td>Prior to award end date</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>REMOVE/STOP</strong> any recurring charges</td>
<td>Prior to award end date</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>REMIND</strong> sub-recipient to submit final invoices</td>
<td>Prior to award end date</td>
<td>Sub-recipient close out: Final invoices from sub-recipient, final report etc.</td>
<td>First 30 days after award end date</td>
</tr>
<tr>
<td></td>
<td><strong>COMPLETE</strong> final review of project account, look for charges posted after the project end date (and remove)</td>
<td>First 30 days after award end date</td>
<td>Final sponsor invoicing</td>
<td>30-60 days after end date</td>
</tr>
</tbody>
</table>
|               | **DEFICIT RESOLUTION** | First 30 days after award end date | • Assist P.I. with deficit resolution  
• Charge designated closing account if deficit still remains | 30-60 days after end date |
|               | **ASSISTANCE in award close-out (may be asked to prepare Equipment List, Patent list etc.)** | 30-60 days after end date | Inform P.I./Dept. of documents needed for close-out | 30-60 days after end date |
|               | **SUBMIT** final technical report to sponsor with COPY to ORSP | 30-60 days after end date | Submit final financial report to sponsor | 30-90 days after end date |
|               | | | Reconcile and close account | 30-90 days after end date |
|               | | | Return remaining funds to sponsor, if applicable | 30-90 days after end date |
|               | **RETAI**n records for 7 years See [UMS APL IV-D (PDF)](#) | | Retain records for 7 years See [UMS APL IV-D (PDF)](#) | |

ORSP Rev. 9/19/18
Quick Links

- Office of Research & Sponsored Programs:  http://www.umaine.edu/orsp/

Resources

For a full list of resources, please consult our Resource Guide:  