

Board of Trustees
Strategic Planning Committee

June 27, 2024 at 9:00 am

Zoom Meeting – No Physical Location Available

The public is invited to view the meeting on YouTube. The link to the Board of Trustees YouTube page can be found the Board website: <https://www.maine.edu/board-of-trustees/>

AGENDA

Tab 1 UMS Strategic Plan Key Performance Indicators (KPIs) and Related Deliverable Documents

Tab 2 UMS Three Year Fundraising Plan

Items for Committee decisions and recommendations are noted in red.

Note: Times are estimated based upon the anticipated length for presentation or discussion of a particular topic. An item may be brought up earlier or the order of items changed for effective deliberation of matters before the Committee.

University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Second Review of UMS Strategic Plan Key Performance Indicators (KPIs) and Plan Deliverables Document

INITIATED BY: Emily Cain, Chair

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION: The Strategic Plan is a working document that is constructed and implemented by internal and external stakeholders to the System to bring about unified change.

BACKGROUND: Trustee Cain, Acting Vice Chancellor Dorsey, and Vice Chancellor for Academic and Student Affairs St. John will lead a follow-up discussion of strategic plan deliverable materials presented at the May Strategic Planning Committee Meeting, to include:

- Second review of UMS Strategic Plan Key Performance Indicators (KPIs) and associated metrics
- UMS Strategic Plan Deliverables List and associated timelines (plan for the plans)
- Process considerations for timeline or deliverable adjustments and progress updates

Attachments

[UMS Strategic Plan Goals and Plans](#)

[UMS Strategic Plan KPIs](#)

| Action Item | Due Date | Strat Plan Page # |
|---|-----------------|-------------------|
| Student Success Actions | | |
| Goal 2.1: By October 1, 2023, each university will identify goals to increase persistence and completion rates for undergraduates through 2027-28. | October 1, 2023 | 5 |
| Goal 2.2: In 2024-28, UMS will monitor implementation and achievement of outcomes for each university annually and adapt strategies and investments where needed to meet those goals. | 2024-2028 | 5 |
| Action 3: UMS will be the state-wide leader in adult degree completion, credentialing, industry certifications, and licensure preparation. By May 2024, UMS will create a plan and establish targets in each of these areas to be achieved by 2028. | May 2024 | 5 |

Goal 3.1: UMS will deliver degree completion, credentialing, and certification programs that achieve national recognition for their innovative delivery methods and accelerated rates of success and completion.

5

Goal 3.2: UMS will continue to expand its competency-based education portfolio and be a national leader in providing opportunities that measure skills and learning with an emphasis on degree completion in high-demand occupational programming.

5

2027-2028 5

Goal 3.3: UMS will measure progress in each of these areas annually through 2027-28.

Action 4: Through our array of programs and services, UMS will bring education to all learners regardless of where they are physically or in their educational journey by supporting them across the calendar year and across their lifetimes through plans to be developed by June 2024.

June 2024 5

March 2024 6

Action 5: UMS will strengthen Maine Community College System (MCCS) and Early College pathways to our universities by March 2024.

Research Actions

2023-2024 6

Action 1: UMS will further establish and invest in system-wide infrastructure to grow the research and plan to be developed in 2023-24.

October 1, 2023 6

Goal 1.6: Each university and the law school will set measurable goals by October 1, 2023 for research and economic and workforce development outcomes through 2027-28.

June 2024 7

Action 4: Serve as an engine for innovation for Maine businesses, non-profits, state and local governments, communities, and the K-12 schools through plans to be developed by June 2024.

Teaching Actions

Goal 1.2: With assistance from System staff, the universities will design financial, business, and learning platform models that support changes in programmatic focus beginning in spring 2024 and expanding incrementally through 2028.

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| Spring 2024 | 7 |
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Goal 4.1: Provide a career-relevant experience for every student in every UMS degree program by 2028.

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| 2028 | 8 |
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Action 5: UMS will centrally support academic High Impact Practices (HIPs)— structured learning opportunities that include internships, service-based projects, and related activities— beginning in spring 2024 and expanding incrementally through 2028.

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| Spring 2024 | 8 |
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Service Actions

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| Goal 2.2: Increase badges and micro-credentials tied to service learning experiences through a plan to be developed in spring 2024. | Spring 2024 | 8 |
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Financial Sustainability Actions

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| Action 2: Each university will build on spring 2023 direct admissions initiatives by developing and implementing a comprehensive direct admissions plan for the fall 2024 recruitment cycle. | Fall 2024 | 8 |
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| Goal 2.2: Evaluate the impact of direct admissions on enrollment in summer 2024 and revise enrollment strategies and the use of resources accordingly for the fall 2025 recruitment cycle and beyond. | Summer 2024 | 8 |
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| Action 3: UMS will partner with the universities and law school to identify and implement by spring 2024 new operational efficiencies leading to cost reductions for each institution in the System. | Spring 2024 | 9 |
|--|-------------|---|

Effective Academic Portfolio Actions

| | | |
|---|--------------------|----------|
| <p>Action 3: In partnership with the Faculty Governance Council, the individual faculty senates and assemblies, and the System-wide Assessment Committee, develop a process for the effective assessment of program learning outcomes in multi-university programs by the end of fall 2023.</p> | <p>Fall 2023</p> | <p>9</p> |
| <p>Goal 3.1: Implement regular outcomes assessment of multi-university programs in spring 2024.</p> | <p>Spring 2024</p> | <p>9</p> |
| <p>Action 4: Use the Annual Academic Program Report (AAPR), a provost-led review conducted each spring and summer using university academic data, to evaluate the effect of new academic programs on existing programs in the same field to ensure the continuing viability of all programs in that field beginning in summer 2023.</p> | <p>Summer 2023</p> | <p>9</p> |

Effective Infrastructure Portfolio

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|---|----------|---|
| | May 2024 | 9 |
| Action 1: Develop a system-wide capital plan and priorities for capital investment by May 2024. | | |

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|---|-----------|---|
| | June 2024 | 9 |
| Goal 1.2: Assess the utility and return on investment of our instructional sites and centers across the state by June 2024. | | |

Destination for Public Higher

| | | |
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| Action 1: By May 2024, develop a data-driven plan to attract more in-state and out-of-state students to our universities and law school, and implement that plan in 2024-28. | May 2024 | 10 |
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| Action 3: Coordinate enrollment management marketing and develop a system-wide marketing plan by spring 2024. | Spring 2024 | 10 |
|---|-------------|----|

Spring 2024 10

Goal 4.2: Identify research-based goals for environmental sustainability incrementally beginning in spring 2024 and implement those goals through 2028.

Place To Work Actions

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| Action 1: Increase our capacity to address student and employee mental health as a prerequisite for student persistence, completion, and well-being, and employee effectiveness and well-being through plans to be developed by spring 2024. | Spring 2024 | 10 |
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Opportunities for Learning Actions

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| Action 2: UMS will double the number of its fully online academic programs by 2028. | 2028 | 11 |
|---|------|----|

Unified Accreditation Actions

Action 1: Through the Unified Catalog and Repaving MaineStreet initiatives, UMS will eliminate structural barriers to transfer and course registration and refine a course-search mechanism to make locating any class offered by any of our universities simple and fast by June 2024.

June 2024

12

Goal 3.7: Universities identified as needing to update time frames for academic program reviews will complete those updates and implement their new or revised time frames by the end of spring 2024.

Spring 2024

12

Goal 3.8: UMS will work with its library directors to resolve a key issue identified in the system-wide 2021 libraries strategic plan: the need for funding adequate to ensure equitable access to online and physical library resources across the System. A solution will be identified by early fall 2023 and implemented incrementally through 2028.

Fall 2023

12

Goal 3.9: Working with campus-level faculty governance bodies, the chief academic officers, the UMS Faculty Governance Council, and institutional research staff, UMS will determine by June 2024 how assessment data from the individual universities will be collected and represented in system-wide accreditation reporting and related reporting.

June 2024

12

Status

Completed on October 1, 2023.

Ongoing. Progress is tracked through existing university-level and UMS reporting mechanisms (e.g. academic reports, institutional research reports, assessment reports) and by the four Vice Chancellors (for goals aligned with their areas of responsibility).

Components of this plan are in development in three areas, and the plan will be finalized by September 2024. Specifically: 1) Adult degree completion initiatives in marketing, recruitment, new programming, and related efforts were launched at all seven universities in January 2024; the Board will receive an update on this work at its May 2024 meeting. 2) AVC Sullivan and VC St. John have shared a draft revenue model for micro-credentialing with VC Low; revenue targets will be reflected in the plan along with enrollment targets and related goals. 3) Industry certifications are tracked at the campus level (currently there is no single format or tracking mechanism). VCs St. John and Dorsey are exploring software solutions for licensure tracking in response to recently updated federal regulations. This would include Industry certifications that appear in two forms - certifications (including licensure) connected to academic programs and certifications that could be non-credit.

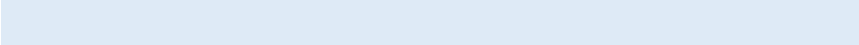
Ongoing. AVC Claire Sullivan's micro-credentialing work has been recognized for excellence by UPCEA, a prominent U.S. association of university continuing education professionals, through inclusion in the national Micro-Credentialing Consortium (ongoing). VC St. John is exploring similar avenues for recognition for UMS degree completion and certification programs. Additionally in conjunction with the VCASA, the VCSI Office has been charged with researching emerging delivery methods, innovation, and national degree completion strategies.

Ongoing. UMPI launched new CBE programming in Psychology in Fall 2023, and has filed Intent to Plan proposals for two new programs in Early Childhood Education. Expansion of CBE programming to additional fields is expected in 2024-25. CBE enrollment grew 84.57% from May 2023 to May 2024.

Ongoing. Adult degree completion outcomes are tracked and assessed through enrollment reporting and the Annual Academic Program Review (AAPR) process. Micro-credentialing/digital badging outcomes are reported monthly by the Associate VC for Micro-Credentialing (and will be included in the tracking noted in Row 8. CBE outcomes are tracked and assessed through UMS enrollment reporting, the Annual Academic Program Review (AAPR) process, and related reports. **Metrics in each category will be included in the September 2024 plan referenced above and annual tracking will begin at that time.**

In progress; report to to be finalized by August 2024. Through university-level adult degree completion initiatives (as outlined above), new Early College and Maine Community College System transfer pathways, and direct admission pathways, UMS is reaching all populations of learners at all levels of learning regardless of their physical location.

Completed in principle in March 2024; launching in Fall 2024. UMS and MCCS agreed March 2024 to launch the Maine Direct (direct admissions) program in Fall 2024. Through this agreement, MCCS students will be offered admission to UMS programs for which they qualify upon completing 30 MCCS credits and subsequently completing their A.A. degree. On the Early College front, student career exploration pathways that are aligned with UMS college majors have been added to the student application portal (ExploreEC) to provide students with clear and transparent information about how courses they are taking apply to academic programs, offering a seamless pathway to seek degrees.



In Progress: UMS Research and Innovation Services memo distributed by VCRI Office to UMS leadership describing the depth and breadth of direct services available to faculty, staff, and administrators across the System (12/19/23). Discussed access and how to direct questions with the VCRI Research Leaders Group. VCRI Research Leaders Group is meeting quarterly and, together with UMS Presidents, will develop an addendum to the UMS Research and Development Plan FY20-FY24 (<https://umaine.edu/researchplan/>) by 12/6/2024.

Completed. UMS Presidents submitted measurable goals for research, economic, and workforce development outcomes through 2027-2028 to the System office by 10/1/23. The VCRI Office has complemented these reports through 1:1 consultations with UMS presidents in AY 23-24 to understand the campus "research identity" that each UMS president would like to advance taking into account their operating context and regional location, and also through collaboration with other UMS campuses to realize statewide impacts. Advocated for top federal appropriations request priorities from UMS presidents aimed at supporting these outcomes. Themes and trends from all of these related engagements with UMS presidents will be incorporated into the revised research plan to be delivered by 12/6/2024.

In Progress: There is a plethora of activity UMS-wide focused on the state's innovation infrastructure, including, for example, multiple pre-service teacher preparation programs with collaborations with K-12 schools as well as the Maine Department of Education focused on innovation engineering. With state government, non-profits, and communities there are partnerships UMS-wide through cooperative agreements, grants, and contracts to further innovation in economic development. Corporate, industry, and business engagement is ongoing and has a renewed level of intensity particularly through SPIRE at UMaine and the Alford-foundation funded Maine Center. The next step is to organize this information in a way that raises visibility and opportunities for synergies. The UMS Research Leaders Group will initiate a Systemwide effort to collect and compile this information. Revise report delivery date to 12/6/2024 to allow more engagement with faculty and staff during the start of AY 2024-2025 to ensure proper Systemwide engagement and adequate time to assemble the plan.



Ongoing. Work is underway as there have been several Intent to Plans/MOUs or other arrangements presented in 2023-24 to support collaborative academic programs emerging under unified accreditation that focus on both financial and academic considerations (nursing, engineering, recreation, education, GIS), for the expansion of competency-based education across the System, and also for how our current learning platform can be utilized to offer consistency to learners across the System.

In progress. Through a combination of Research Learning Experiences (RLEs), internships, and career-focused service-learning and micro-credentialing opportunities, we expect to meet this goal by 2028.

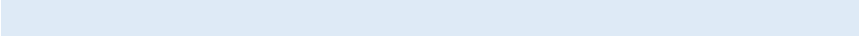
In progress (through the programming cited above).

In progress. This goal is tied in part to adoption of a UMS micro-credentialing revenue model (drafted in March 2024 and under consideration as of May 2024). We will finalize the plan by September 2024.

We expect these plans to be finalized in Summer 2024.

On track for Summer 2024 completion as of May 2024.

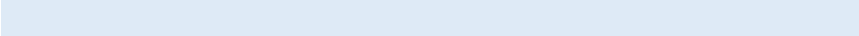
Completed. As part of the FY25 budget build process, Universities and the Law School identified a number of operation efficiencies to not only provide long term savings, but also savings that directly contribute to the FY25 budget balancing process. Each Institution was asked to summarize efficiencies at part of their March 20 FFT budget presentation. Among the many initiatives noted in the presentations include various administrative efficiencies like workforce management, space elimination or reduction, expansion of conference services, various energy related investments including energy audits and HVAC improvements, and several others.



Completed. A model for assessing multi-university program was developed by the System-Wide Academic Assessment Committee (SWAAC) in Spring 2023 in consultation with the VCASA and the UMS Faculty Governance Council.

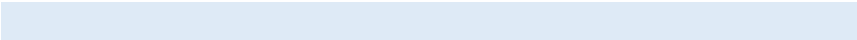
Not yet underway. We expected to pilot this assessment with the multi-university THOR (Tourism, Hospital, and Outdoor Recreation) minor in Fall 2024. As of May 2024, the THOR minor has been approved at five of our universities and its approval at a sixth university is expected shortly.

In progress. Data collection is underway as of June 2024, and the evaluation described in Action 4 will be in place for the 2024-25 AAPR cycle.



Near Completion: Our Universities submitted their short and long term capital plans as part of the FY25 budget development process. The 1 year capital plan for FY25 is part of the FY25 budget that will be sent to Trustees later this month for approval. The FFT Committee will review the 1 year plan as part of their June agenda and the 5 year plans this summer. As a reminder, the FFT Committee scheduled 1-2 campuses at most of their 2024 meetings to present their capital plans in detail and provide an opportunity for Q&A.

Near Completion: Finance and Administration have been working with each of our Institutions to inventory and pull relevant information related to all of our off site instructional sites and centers across the State. A first draft of those templates are due at the end of the first week of May (May 8th). The System will review materials and pull together into a comprehensive report for Trustees. It is our expectation to meet the June deliverable date for this report.



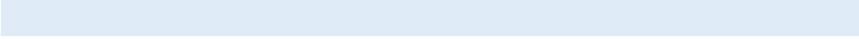
In progress. The shared objective of all new adult degree completion, direct admission, and transfer pathways work undertaken since May 2023 has been to increase in-state and out-of-state enrollment. A plan summarizing work to date and identifying next steps will be finalized by October 2024.

In progress. With a transition in system marketing personnel, this work was shifted to the VCSI Office and a system-wide marketing plan is being developed with input from the universities. The work will be completed Summer 2024.

In progress. In Spring 2025, the VCRI Research Leaders group will collect information from each UMS president and the UMS capital planning group to document current and future initiatives that will advance this goal. Notable activities include the University of Maine's Energy Center Project (UMEC), the University of Southern Maine's Carbon Neutrality goals, and there are a variety of efforts across the System to bring sustainability into dining and other campus operations. AY 24-25 will be used to gather and integrate these efforts into a synthesized report to share with the FFT committee.

In progress. Oversight of this work to be assigned pending hire of new CHRO anticipated start date of Summer 2024 so a small working has been formed to work through several initiatives and goals that speak to this action with work in progress that relates to UMS enhancing access to mental health resources by promoting awareness and increasing adoption of telehealth and other on-demand resources. This includes a current procurement process for our EAP program, through which we are hoping to provide concierge-level and identity-based professional referencing across a variety of modalities (phone, video, in-person). The more robust overarching plan will be completed later Summer 2024.

In progress. In Fall 2022, UMS offered 162 online academic programs, as defined by and housed in the UMS Academic Program Inventory. As of May 2024, 30 more online programs have been added. These include existing in-person programs converted for online delivery, and new programs developed in online modalities. By adding converted/new online programs at a rate of 33 per year over the next four years, we will achieve our goal of doubling our original offerings by 2028.



The first goal is nearing completion; the second goal was completed in March 2024. 1) Elimination of remaining structural barriers to transfer and course registration is dependent on completion of the RePaving MaineStreet project. 2) A new system-wide course-search mechanism was piloted in Spring 2023, refined in Fall 2023/Spring 2024, and offered again in Spring 2024. This course-search tool will now be available to all undergraduate students in all academic terms.

In progress. Reports from the chief academic officers are due to the VCASA on June 28, 2024. They will be compiled in an overall report on program review time frames in July 2024, and new or revised time frames will be in place as of September 2024 (wherever not already in operation).

Completed in September 2023.

Not yet underway. We expect to begin this work in Fall 2024 using the Tourism, Hospitality, and Outdoor Recreation (THOR) minor as our pilot program.

| UMS | Action | Metric | Current Value/Baseline |
|---------------|--|--|---|
| 1. Enrollment | Increase undergraduate and graduate enrollment | Fall to Fall Enrollment Counts | UMS Total 24,808 Undergraduate 20,004 Law+Grad 4,804 *Excludes Early College |
| 2. Retention | Increase first to second year retention | Percentage of students retained Fall to Fall | 75.2% |

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| <p>3. Economic and Workforce Development</p> | <p>Applying the Annual Academic Program Report (AAPR) in alignment with State of Maine in-demand jobs data, UMS will deliver relevant academic offerings</p> | <p>Job placement of new UMS graduates within 12 months of degree earned</p> | <p>Not currently tracked system-wide</p> |
| <p>4. Research</p> | <p>UMS will further establish and invest in system-wide infrastructure to grow the research and development enterprise at our universities pursuant to a plan to be developed in 2023-24</p> | <p>Year over year headcount of students engaged in RLE and Pathway to Careers opportunities</p> | <p>54 course sections, 501 students</p> |

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| 5. Transfer | UMS will eliminate structural barriers to transfer and course registration. | Fall to Fall growth of MCCS and other transfer students into UMS universities | 1,870 transfers into UMS across all universities in Fall 2022 |
| 6. Fiscal and Infrastructural Sustainability | Assess the fiscal health of each UMS university | The system consolidates four key ratios into one comprehensive index that reflects the financial well-being of the institution. The Composite Financial Index. | Varies by university, reported annually. Current UMS baseline for FY22 is 2.7 |

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| <p>7. Institutional Equity and Environment</p> | <p>Growth in diversification of faculty, staff, and student population</p> | <p>Self reporting of workplace satisfaction and workplace belonging by faculty, staff and students via the Campus Climate Survey (DEI)</p> | <p>Campus Climate Survey 2022 results indicated overall positive ratings from staff of 72% and faculty 62% positive. National CUPA data offers a 62% reporting general satisfaction.</p> |
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| Target Value | Target Rationale |
|--|--|
| <p>UMS total: 26,978 (8.75% increase over 5 years broken down as 80% of growth in undergraduate enrollment and 20% in graduate enrollment)</p> | <p>The total increase is predicated on headcount and credit-hour targets identified by four universities in their October 1, 2023 goals, and analysis of enrollment trends by VCASA and UMS Institutional Research staff. Individual university goals will vary.</p> |
| <p>80% (to be achieved by fall 2028) This tar</p> | <p>The Target Value is grounded in historic UMS retention (return rates) data and recently released IPEDS data. It represents a 4.8% increase over the baseline.</p> |

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| <p>TBD: Data tracking methodology proposal July 2024, anticipating of 2024 implementation</p> | <p>Using in-demand jobs data by the Maine Department of Labor Center for Workforce Research and Information that reflects state and labor market information, and assists employers, educators, trainers, and the public in making decisions that promote economic opportunity and efficiency.</p> |
| <p>In Pilot Phase with target value TBD</p> | <p>The pilot program, funded in the first instance by the Harold Alfond Foundation, to implement and rigorously assess the impact of early-stage engagement in research for first- and second-year students on student success and retention.</p> |

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| <p>2,057 (10% increase by fall 2026)</p> | <p>Completion of the UMS-MCSS Maine Direct transfer agreement and the UM Black Bear Advantage agreement, coupled with additional/updated transfer pathways and articulation agreements System-wide, is expected to foster growth in transfer numbers.</p> |
| <p>3.0 and Above</p> | <p>Scores below a 3.0, including negative scores, are an indication of financial stress. Higher scores indicate stronger financial health and the ability to weather financial difficulties. A CFI of 3.0 is the standard threshold for institutional financial health and will be the minimum UMS target.</p> |

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| 2025 Campus Climate Survey results in a 3% increase in positive ratings in both staff and faculty categories | The UMS Campus Climate Survey was conducted across the UMS in early 2022 with universities individual results being returned in fall 2022. The survey should be repeated every three years with a UMS plan for participating again in the survey in 2025. |
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University of Maine System
Board of Trustees

AGENDA ITEM SUMMARY

NAME OF ITEM: Presentation and Discussion of the UMS Three Year Fundraising Plan

INITIATED BY: Emily Cain, Chair

BOARD INFORMATION: X

BOARD ACTION:

BOARD POLICY:

UNIFIED ACCREDITATION CONNECTION: The Strategic Plan is a working document that is constructed and implemented by internal and external stakeholders to the System to bring about unified change.

BACKGROUND: The Board of Trustees requested that by March 31, 2024, “the Chancellor develop a quantitative three year plan to increase System fundraising with particular attention to the universities that do not have independent foundations, and without causing conflicts with the existing or projected individual foundation fundraising plans.” A plan was submitted to the Board Office in advance of the due date.

At the request of Trustee Cain, Chancellor Malloy and Executive Director of The Maine Center, Seth Goodall, will present an overview of the fundraising plan and offer additional information required in order for Trustees to assess the plan and determine next steps.

[Attachment](#)
[UMS 3-Year Fundraising Plan](#)

University of Maine System(UMS) Three Year Fundraising Plan Overview

Presentation to UMS Board of Trustees Strategic Planning Committee

June 27, 2024

Chancellor Dannel Malloy



Snapshot of Higher Ed Development & UMS Universities (excluding UM-UMM & USM)

1 Higher ed development programs across the U.S. are very similar & dependent on personnel.

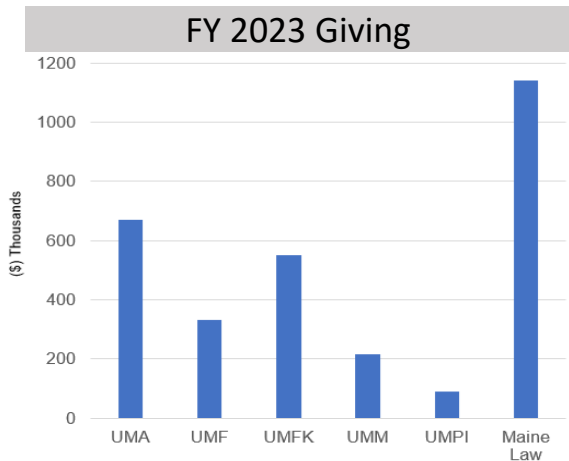
| | |
|-----------------------------------|--|
| Annual Fund | Annual support from alumni, friends, and parents. Lifeblood of programs. |
| Major Gifts | Gifts (\$25,000+) from donors that are fostered by major gift officers, faculty, volunteers, and/or related to projects. |
| Planned Gifts | Donor creates a financial or estate plan where they decide to give something of value to an organization at a future date. |
| Foundation & Corporate | Institutional donors encompass the hundreds of thousands of private foundations, public trusts, governmental donors, aid agencies, etc. |
| Alumni Relations | Alumni generate invaluable word-of-mouth marketing, connections, and are the most loyal supporters. Successful alumni programs begin with the student. |

Key U.S. Statistics

- 75% of costs of fundraising is personnel¹
- Top 3 duty of presidents @ 6.7 days/month²
- 1.3% of university budgets is on fundraising¹
- Median staffing is 1 admin + 2 fundraisers³
- 900% ROI for universities similar to UMS¹
- Alumni are 1st or 2nd source of higher ed support, with 8% typically giving back⁴

2 UMS universities' programs are currently under resourced with competing priorities.









1. **Under Resourced:** limited resources for proper time and attention, especially for major gifts.
2. **Limited Strategic Approach:** strategy is limited to mainly annual funds, events, and one-off gifts.
3. **Competing Priorities for Presidents:** limited focus area due competing priorities.
4. **Under-Resourced Alumni Relations:** despite strong affinity, resourcing levels limit engagement.
5. **Collaboration/Centralization Opportunity:** universities are independent, except for a shared data base and leveraging expertise of UM and USM foundations on a limited basis



1. 2019 Advancement Investment and Fundraising Results, Council for Advancement and Support of Education (CASE), Research Brief 4.
2. Jackson, Robert L. (2013) "The Prioritization of and Time Spent on Fundraising Duties by Public Comprehensive University Presidents," International Journal of Leadership and Change: Vol. 1: Iss. 1, Article 9.
3. Nadel-Hawthorne, Sarah; Schmidt, Anthony; & Bichsel, Jacqueline. (2022, April). The Development, Fundraising, and Alumni Relations Workforce in Higher Education (Research Report). CUPA-HR.
4. 2019 Voluntary Support of Education, Trends in Alumni Giving, Council for Advancement and Support of Education (CASE), Research Brief, April 2019.

A Comparative View Across UMS Universities¹

Development programs across UMS' universities vary in maturity, size, scope and resources.

| University | Foundation | Development Director ² , Staff & Budget | Total Giving (FY 23) | Annual Fund (FY23) | Data Base Utilization ³ | Webpages & Online Giving | Planned Giving Strategy | Alumni & Alumni Donors (FY 23) |
|---|------------|---|----------------------|---|------------------------------------|--------------------------|-------------------------|---|
|  THE UNIVERSITY OF MAINE | ✓ | <ul style="list-style-type: none"> • Jeff Mills (100%) • 39 FTE Staff • \$7.1M Budget | \$43.8M | <ul style="list-style-type: none"> • \$1.9M • 7,350 Donors | Ascend | ✓ | ✓ | <ul style="list-style-type: none"> • 109,796 Total • 104,496 Solicitable • 5,041 Donors / 5% Participation |
|  UNIVERSITY OF SOUTHERN MAINE | ✓ | <ul style="list-style-type: none"> • Ainsley Wallace (100%) • 21 FTE Staff • \$1.8M Budget | \$11.3M | <ul style="list-style-type: none"> • \$463K • 2,334 Donors | Ascend | ✓ | ✓ | <ul style="list-style-type: none"> • 62,000 Total • 61,050 Solicitable • 1,296 Donors / 2% Participation |
|  UMA UNIVERSITY OF MAINE AT AUGUSTA | ✗ | <ul style="list-style-type: none"> • Vacant (Hiring) • 0.5 FTE Staff • \$7.2K Budget | \$671K | <ul style="list-style-type: none"> • \$3.4K • 8 Donors | Ascend | ✓ | ✗ | <ul style="list-style-type: none"> • TBD Total • 3,783 Solicitable • ~5 Donors / 0.5% Participation |
|  UNIVERSITY OF MAINE FARMINGTON | ✗ | <ul style="list-style-type: none"> • Jaime O'Connor (25%) • 1.25 FTE Staff • \$238K Budget | \$332K | <ul style="list-style-type: none"> • \$56K (FY 22) • 454 Donors | Ascend | ✓ | ✗ | <ul style="list-style-type: none"> • 25,522 Total • 17,586 Solicitable • 273 Donors / 2% Participation |
|  UNIVERSITY OF MAINE FORT KENT | ✓ | <ul style="list-style-type: none"> • Shannon Ludgon (75%) • 0.75 FTE Staff • \$66K Budget | \$551K | <ul style="list-style-type: none"> • \$20K • 131 Donors | Ascend | ✓ | ✗ | <ul style="list-style-type: none"> • 6,929 Total • ~6,000 Solicitable • 110 Donors / 2% participation |
|  THE UNIVERSITY OF MAINE at Machias | ✗ | Led by UMaine Foundation | \$217K | n/a | Ascend | ✓ | ✗ | <ul style="list-style-type: none"> • 5,568 Total • 4,330 Solicitable • 7 donors / 0% participation |
|  University of Maine at PRESQUE ISLE North of Ordinary | ✓ | <ul style="list-style-type: none"> • Deborah Roark (25%) • 0.75 FTE Staff • \$85K Budget | \$90K | <ul style="list-style-type: none"> • \$13K • 89 Donors | Ascend | ✓ | ✗ | <ul style="list-style-type: none"> • 6,739 Total • 5,665 Solicitable • 41 Donors / 1% participation |
|  MAINE LAW UNIVERSITY OF MAINE SCHOOL OF LAW | ✓ | <ul style="list-style-type: none"> • Chris Haley (100%) • 3 FTE Staff (FY 25) • \$498 Budget (FY 25) | \$1.1M | <ul style="list-style-type: none"> • \$527K • 374 Donors | Abila | ✓ | ✓ | <ul style="list-style-type: none"> • 4,082 Total • 3,786 Solicitable • 448 Donors / 12% participation |



1. Data is self-reported by each respective university may be rounded and/or estimated based tracking, categorization of budget allocations, time spent on fundraising, etc.
2. Percentage represents the estimated time spent on development work versus other responsibilities (i.e. alumni, external affairs, etc.)
3. Universities across UMS, except for Maine Law, are transitioning their donor data bases to a centralized platform called Ascend. UMaine Foundation leads fundraising at UMM within existing structures but does have a major gifts officer focused on the UMM.

Requests and Recommendations of Support from Across UMS

UMS' universities, including UMaine, USM and Maine Law Foundations, provided recommendations on opportunities for the UMS to support development and fundraising. Individual meetings and interviews were held and/or feedback was received from key leaders. Key themes emerged:

Marketing & Comms
 Data & Analytics **Additional Personnel**
 Established Goals **Admin Support** Climate of Philanthropy
 Annual Fund Support Researcher Gift Processing
 Travel Funding **Financial Support** IT Investments
 Planned Giving Experts **Grant Writing** Major Gift Officer
 Back Office Support **Alumni Relations** Coordination Across UMS

Options for Increasing Development and Fundraising at UMS Universities (excluding UM-UMM & USM)

- Key Drivers for Growth**
1. Increase Staffing
 2. Prioritizing for Presidents
 3. Foster Collaboration & Accountability
 4. Increase Centralized UMS Support
 5. Develop System-wide opportunities
 6. Strengthen Alumni Relations
 7. Enhance Comms & Marketing

| | Option 1 Maintain Current State and Increase Internal Collaboration | Option 2 Modest investment & Strategic UMS Engagements | Option 3 Building a UMS Center of Excellence & Accelerating UMS Engagements |
|-------------------------|--|--|---|
| Assumptions | <ul style="list-style-type: none"> No new investment and/or personnel No additional centralization of services Increase collaboration w/UMS forum to expand opportunities and minimize inadvertent competition b/t universities Incrementally fundraising as priority for Presidents, where time allows Leverage expertise and admin support of UM & USM foundations, time allowing Chancellor supports engagement on significant donor prospects, as needed | <ul style="list-style-type: none"> 1 UMS personnel to support centralized annual fund infrastructure Ensure each university has 1.5 FTE for fundraising (~3 FTE required across UMS) Increase collaboration w/UMS forum to expand opportunities and minimize inadvertent competition b/t universities Increase as priority for Presidents UMS coordinates large institutional donors, w/Chancellor's leadership Leverage UM & USM's (expertise & admin) Chancellor strategically supports on significant donor prospects, as needed | <ul style="list-style-type: none"> 3 UMS personnel to (1) support centralized annual fund & processing, (2) major gifts & planned giving, and (3) data management and research Ensure each university has 1.5 FTE for fundraising (~3 FTE required across UMS) Increase collaboration w/UMS forum to expand opportunities and minimize inadvertent competition b/t universities 4 days/month priority for Presidents UMS coordinates large institutional donors, w/Chancellor's leadership Chancellor strategically supports significant donor prospects, as needed |
| Fundraising Strategy | <ul style="list-style-type: none"> Annual Fund delivered individually Ad hoc corporate & institutional gifts | <ul style="list-style-type: none"> Annual Fund delivered centrally Ad hoc Corporate & Institutional | <ul style="list-style-type: none"> Annual Fund Major Gifts Planned Giving Corporate & Inst'l |
| Donor Base | <ul style="list-style-type: none"> Alumni Local corporations and foundations | <ul style="list-style-type: none"> Alumni Local corporations & foundations Selective regional & national institutions | <ul style="list-style-type: none"> Alumni Major donors Corporations & foundations Regional & national institutions |
| Investment ² | \$0 | \$600K | \$900K |
| In Year 3 ³ | \$1-2M | \$3M | \$8-10M |



1. Investment amounts are not included in current FY 25 proposed budgets. All investment proposals require an additional budget. Potential sources of funds to support the first two years' new development & fundraising efforts are being identified but would likely be coming from strategic initiatives or reserve funds. Investments may be modified but would likely reduce likelihood of goals due to fundraising being staffing dependent.

2. New funding is anticipated to increase late in Year 1 but will take 2-3 years to reach a sustained level. Amounts determined based on conservative estimates through increasing collaboration and prioritization at the universities, and using the ROI of fundraising investment in higher ed based on previously noted research by the Council for Advancement and Support of Education (CASE).

Recommended Next Steps

- 1 **Leadership Engagement & Support:** further discussion with UMS Trustees and Presidents to ensure prioritization, next steps, timeline for implementation, etc.
- 2 **Engage Consultant(s):** explore engaging expert consultant(s) to work with the universities (excluding UM/UMM & USM) in developing fundraising goals, priorities and tailored strategies.
- 3 **Foster System-Wide Collaboration:** encourage collaboration and knowledge-sharing among universities to leverage collective strengths and resources.
- 4 **Allocate Resources Strategically:** advocate for the allocation of new resources to support fundraising initiatives, ensuring equitable distribution across institutions.
- 5 **Embrace Innovative Approaches:** encourage a shift in mindset towards innovative approaches to fundraising, through technology, alumni networks, and alternative funding sources.