



Board of Regents of the University of Wisconsin System
Office of the Secretary
1860 Van Hise Hall
Madison, Wisconsin 53706
(608) 262-2324

To: Each Regent

From: Judith A. Temby  PUBLIC MEETING NOTICE

RE: Agendas and supporting documents for meetings of the Board and Committee to be held at UW-Whitewater University Center, 800 W. Main Street, Whitewater, WI 53190 on September 10 and 11, 2009.

Thursday, September 10, 2009

- 9:00-10:00 a.m.: Campus Tour, departing from University Center
- 10:00-11:00 a.m.: UW-Whitewater: On the Move -- Presentation by Chancellor Richard Telfer – All Regents
Room 275, University Center
- 11:00-12:00 noon: Business, Finance, and Audit Committee with all Regents invited,
Room 275, University Center
- a. Information Technology Issues
 - 1. Review and Approval of Human Resources System Project Planning, Scope, and Budget
[Resolution 1.2.a.1.]
 - 2. Project Status Report of Major Information Technology Projects as Required by *Wis. Stats. s.13.58(5)(b)(3)*
- 12:00-1:15 p.m.: Lunch, Hamilton Center, University Center
- 1:15-1:45 p.m.: Joint meeting of Education Committee and Business, Finance, and Audit Committee, Room 275, University Center
- b. The University of Wisconsin School of Medicine and Public Health: The Wisconsin Partnership Fund for a Healthy Future – Acceptance of the Fifth Annual Report
- 1:15 p.m.: Capital Planning and Budget Committee, Room 261, University Center
- 1:45 p.m.: Education Committee meeting (reconvened), Room 275, University Center
- 1:45 p.m.: Business, Finance, and Audit Committee meeting (reconvened), Room 259, University Center

Friday, September 11

7:30 a.m.: Breakfast for Regents and UW-Whitewater Students, Room 261, University Center

9:00 a.m.: Board of Regents meeting, Room 275, University Center

Persons wishing to comment on specific agenda items may request permission to speak at Regent Committee meetings. Requests to speak at the full Board meeting are granted only on a selective basis and should be made in advance of the meeting, to the Secretary of the Board at the above address.

Persons with disabilities requesting an accommodation to attend are asked to contact Judith Temby in advance of the meeting at (608) 262-2324.

Information regarding agenda items can be found on the web at:

<http://www.uwsa.edu/bor/meetings.htm> or may be obtained from the Office of the Secretary, 1860 Van Hise Hall, Madison, Wisconsin 53706 (608)262-2324.

The meeting will be webcast at <http://www.uwex.edu/ics/stream/regents/meetings/> on Thursday, September 10, 2009 at 10:00 a.m. until approximately 12:00 p.m., and Friday, September 11, 2009 at 9:00 a.m. until approximately 12:00 p.m.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1. Education Committee - September 10, 2009
Room 275, University Center
University of Wisconsin-Whitewater
Whitewater, Wisconsin

10:00 a.m. All Regents Invited – Room 275, University Center

- UW-Whitewater: On the Move – Presentation by Chancellor Richard Telfer

11:00 a.m. Business, Finance, and Audit Committee – All Regents Invited – Room 275, University Center

- Information Technology Issues
 1. Review and Approval of Human Resources System Project Planning, Scope, and Budget
[Resolution 1.2.a.1.]
 2. Project Status Report for Major Information Technology Projects as Required by Wis.Stats.s.13.58(5)(b)(3)

12:00 p.m. Lunch – Hamilton Center, University Center

1:15 p.m. Joint Meeting of the Education and the Business, Finance, and Audit Committees – Room 275, University Center

- The University of Wisconsin School of Medicine and Public Health: The Wisconsin Partnership Fund for a Healthy Future –Acceptance of the Fifth Annual Report.

1:45p.m. Education Committee – Room 275, University Center

- a. UW-Milwaukee: Charter School Status Report:
 1. Contract Extension for the School of Early Development and Achievement;
[Resolution I.1.a.(1)]
 2. *Adequate Yearly Progress* Status of UW-Milwaukee Charter Schools.
- b. Program Authorization: UW-Madison Doctor of Nursing Practice.
[Resolution I.1.b.]
- c. UW-Whitewater: Presentation of Campus Academic Plan.
- d. 2009 Report on Remedial Education in the UW System.
- e. Report of the Senior Vice President:
 1. Education Committee Priorities and Interests for 2009-2010.

f. Consent Agenda:

1. Approval of the Minutes of the June 4, 2009, Meeting of the Education Committee;
2. Approval: UW-Stout Mission Revision;
[Resolution I.1.f.(2).]
3. UW-Oshkosh: Program Authorization of B.S. in Kinesiology;
[Resolution I.1.f.(3)]
4. UW-Whitewater: Program Authorization of B.B.A. in Entrepreneurship;
[Resolution I.1.f.(4)]
5. UW-Extension Faculty Personnel Rules;
[Resolution I.1.f.(5)]
6. UW-Madison Faculty Personnel Rules.
[Resolution I.1.f.(6)]

g. Additional items may be presented to the Education Committee with its approval.

The University of Wisconsin-Milwaukee
Charter School Contract Extension
for the School of Early Development and Achievement

EDUCATION COMMITTEE

Resolution I.1.a.:

That, upon recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Board of Regents approves the extension of the charter school contract with the School of Early Development and Achievement, Inc., together with amendments to the contract, maintaining a charter school known as the School of Early Development and Achievement or SEDA.

**UNIVERSITY OF WISCONSIN-MILWAUKEE
OFFICE OF CHARTER SCHOOLS
SCHOOL FOR EARLY DEVELOPMENT AND ACHIEVEMENT
CHARTER RENEWAL**

Executive Summary

BACKGROUND

Wisconsin Statute 118.40 grants authority for the University of Wisconsin-Milwaukee (University) to authorize charter schools within the city of Milwaukee (City). The central purpose of the charter school legislation is to eliminate a significant portion of statutory requirements and administrative regulations imposed on public schools and in turn demand public accountability tied to actual performance. The authorization of a charter school requires the creation of a charter (contract) that specifies the requirements under which the school will operate and provides protection to the University and the Board of Regents. An initial contract is granted for a five-year period during which the school must demonstrate progress toward stated goals.

The charter renewal process is based on the evaluation of continuous school improvement efforts through monthly site visits and a summative evaluation that is initiated two years prior to the terminal date of an existing contract. The decision to extend or not to extend a contract is made in time to allow for the possibility of school closure and the requisite parental notice accompanying such action. Renewal of a contract is usually for an additional four or five-year period. A school may, however, be given a shorter renewal period if the evaluation reveals specific changes that require closer monitoring. Renewal of a contract is based on evidence of meaningful progress on key measures of performance that include: student well-being, academic success, faithfulness to the charter, ability to communicate and transmit the mission, parent and student satisfaction, staff satisfaction with professional and organizational growth, viability of the charter school, fiscal stability of the charter school, and contractual compliance.

Charter schools are financed through a combination of state and federal aid and private donations. The University provides no funds for the operation of the charter schools. The UW-Milwaukee Office of Charter Schools (Office) is financed through a fee, currently about 1%, of each school's base state aid, charged to each charter school. No University funds are provided to support the Office. Each charter school must have in force specific insurance coverage, determined by the UW-Milwaukee Risk Management Department, and must, through its insurance program indemnify and hold harmless the Board of Regents of the University of Wisconsin System, its officers, employees, and agents for any claims or liabilities occurring in connection with the school or its contractors' performance under the contract. The present model contract allows UW-Milwaukee to terminate the contract at any time if student health or safety is in question or with proper notification for: lack of student academic progress, financial insolvency, noncompliance with applicable law or the contract, falsification of information, insufficient enrollment, or the failure to meet school opening requirements.

The School for Early Development and Achievement, Inc., was granted an initial charter on December 8, 2000, to operate the School for Early Development and Achievement (SEDA), the third charter school authorized by UW-Milwaukee. In September 2005, the Board of Regents authorized the extension of SEDA's charter school contract for an additional four years, and the School is again up for renewal. Chancellor Santiago and the Office of Charter Schools requests that the School for Early Development and Achievement charter be extended for a period of three (3) years.

REQUESTED ACTION

Approval of Resolution I.1.a., authorizing the extension of the charter school contract with the School for Early Development and Achievement, Inc., to operate a public school known as the School for Early Development and Achievement.

DISCUSSION

The mission of SEDA is to "increase the developmental competencies and educational achievement of children birth through age eight as a solid foundation for success throughout life." SEDA began operation in September of 2001 and continues to operate at its present location, 2020 W. Wells, Street, Milwaukee, Wisconsin. SEDA is a unique, laboratory school utilizing early intervention strategies to serve a three-year old kindergarten through grade two students. Sixty-seven (67) students were enrolled in 2008-09. The projected enrollment for 2009-10 is 100. SEDA provides a full inclusion environment for special education students that make up about thirty-four percent (34%) of the enrollment.

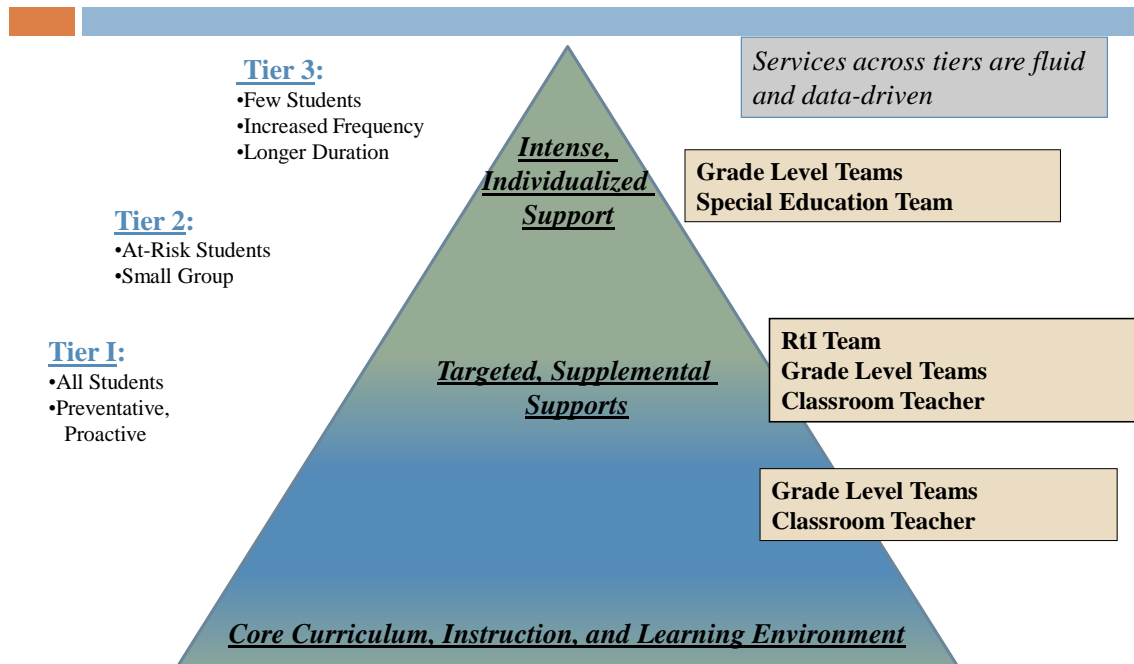
SEDA is sponsored by the Milwaukee Center for Independence (MCFI), whose executive director, Dr. Howard Garber, is the principle architect of the SEDA vision. Under his leadership MCFI has played an important supporting role in the development and continued growth of the school. SEDA has survived two very difficult school years, 2007-08 and 2008-09, in which school leadership proved to be a major problem. This has been remedied with the employment of a highly competent, dedicated administrator who has significantly moved the school toward fulfillment of its mission and vision.

The program focus includes: 1) individualized, balanced early literacy instruction; 2) collaborative, professional, data-driven decision-making; 3) full inclusion classroom setting using a Response to Intervention Model; and 4) comprehensive educational support services to families.

The SEDA Instructional model is the strength of the school program. In collaboration with parents, SEDA teachers develop an individualized learning plan, the SEDA Plan, for each pupil. The SEDA Plan includes age-appropriate academic and social learning benchmarks drawn from the SEDA curriculum and parent consultations. The performance benchmarks are identified through initial screening and serve as the template for individual performance goals and outcomes. All decisions related to classroom organization, instructional planning and implementation, and student progress reporting is based on pupil performance data.

SEDA has adopted a Response to Intervention (RtI) model for providing early intervention services. RtI provides a framework to share problem-solving resources to attain positive academic outcomes for all pupils. Following the RtI model, SEDA organizes intervention resources in a manner that allows for intensive, individualized support as pupils display increased learning difficulties. With RtI, SEDA students receive individualized academic support, have ambitious goals set for school performance, and are closely monitored to ensure identified goals.

SEDA Response to Intervention (RtI) System for Academic and Behavioral Supports



Three types of data are gathered in the SEDA RtI Practice. These are as follows: 1) universal screening data obtained upon school entrance that are used to identify pupils who are not making academic or behavioral progress at expected rates (rates based on benchmarks); 2) data obtained through diagnostic assessment that are used to determine what students can and cannot do in important academic and behavioral domains; and 3) data obtained through progress monitoring that are used to determine if academic or behavioral interventions are producing desired effects.

Evaluation Findings Summary

SEDA strives to accomplish its mission while working with a population of primary age children that consists of approximately two-thirds regular and one-third special education students. Further, almost all of the “regular” education students fall into the designation of “children at risk.” To accomplish its mission, SEDA’s educational environment addresses both

academic and social-emotional needs. The school environment provided is reflected in the school's per-student expenditure, which exceeded \$25,000 for the 2008-09 school year. The high level of expenditure provides a pupil/teacher ratio of approximately 10:1. Teachers are dually certified in regular and special education. Each classroom also has a classroom aide. Additional special education support is contracted for on an as-needed basis. Taken together, the level of support is outstanding and maximizes individual attention. The individual attention given to each student and the frequent, in-depth communication with parents have led to a high level of parental satisfaction. Individual students, some with severe disabilities, have made remarkable progress.

SEDA has a well-defined curriculum, which consists of language and literacy, mathematical thinking, social studies, physical development and health, scientific thinking, art, and music therapy. Benchmarks and performance indicators are specified by grade level for each curricular strand. All SEDA instructional benchmarks are aligned with State standards. SEDA employees receive professional development curricula and receive support for extension of learning in all areas of the curriculum.

It is very difficult to quantify overall student growth for SEDA. The range of abilities and disabilities is such that it requires an almost individual review of each child's progress. Student progress for many special education students can only be reviewed through anecdotal records. Because SEDA serves only 3K through Grade 2 students, proficiency levels on the Wisconsin Knowledge and Concepts Examination are not determined. Consequently, student progress in literacy and mathematics is measured through the use of curriculum-based assessment tools designed to support the Response to Intervention Model. The assessments presently used are as follows: Creative Curriculum Assessments, Assessment Evaluation and Programming System (AEPSi) test, Young Children's Test (Y-CAT), "Get It, Got It, Go," Dynamic Indicators of Basic Early Literacy Skills (DIBELS), and Curriculum-Based Measures for Mathematics (Saxon). Results of curriculum-based assessments are reported to parents via quarterly updates to each child's SEDA Plan. Overall, classroom measures such as "Get It, Got It, Go," DIBELS, and Saxon Mathematics show positive growth for most students with the growth of non-disabled students exceeding, as expected, the growth of disabled students.

It is understood that assessment of primary grade regular education and special education students cannot be done in the same manner that assessment is accomplished for older students. That is the reason why state assessment systems begin with grade three. Many "classroom" measures such as those discussed in the evaluation report exist; most are not normed, however, and it is difficult to determine expected performance. Recognizing the difficulty of the task, it is essential that SEDA develop a comprehensive, systematic student assessment system. The present array of classroom measures does not provide adequate information on which to base judgment regarding the school as a whole.

There appears to be a clear understanding (parents, students, and teachers) about the standards for behavior at SEDA. The school is safe and orderly. Classrooms are well-organized, and firm and consistent communication techniques are utilized. Atypical displays of behavior related to specific disabilities are prevalent but are effectively managed by staff members.

Classmates routinely ignore disability-related inappropriate behavior and demonstrate a willingness to assist peers displaying atypical behavior.

SEDA maintains a schedule of professional development that addresses the needs of school initiatives and pupil outcomes. As a component of the annual performance review process, SEDA employees identify professional development needs and seek to identify opportunities with content that addresses the identified needs through the extension of their education. SEDA staff members have access to a variety of professional development opportunities provided through the Milwaukee Center for Independence Human Resources Department, the Wisconsin Department of Public Instruction, and higher education institutions. In addition, SEDA employs a mentor teacher who provides classroom consultation and support services to initial educators.

Leadership has been SEDA's greatest weakness during the last three years, both at the Board and administrative levels. Prior to the appointment of the current principal, administrative leadership was inconsistent and fostered low morale and high mobility among the faculty and staff. The 2007 faculty survey noted great dissatisfaction among almost all certified employees. Unfortunately, the Board did not monitor the situation closely enough and did not take corrective action in a timely manner. The Board also failed to codify or monitor curriculum, instruction, and assessment programs to make certain that changes led to improvement rather than disarray.

Faculty and staff satisfaction has increased dramatically under the new leadership. Programs have been stabilized and assessment programs appropriately put in place. The Board recently codified the 2009 SEDA Procedures and Policies document which includes: 1) Pedagogical Standards (detailed curriculum and instruction methodology guidelines linked to pupil performance benchmarks and school-wide, comprehensive assessment procedures); 2) Personnel Performance Standards (job descriptions and duties matched to pedagogical practice, performance appraisal guidelines, and rubrics); and 3) Board Monitoring Standards (Specific duties and monitoring responsibilities for the Personnel Committee, Instruction and Assessment Committee, and the Finance Committee).

SEDA has complied with all applicable laws and regulations and the provisions of its charter contract. SEDA is not an ordinary school. The provision of services for the children with severe disabilities is expensive. State and federal aid cover only a small portion of the school's expenses. The support of the Milwaukee Center for Independence (MCFI) is essential for SEDA's existence. Annual school audits show that appropriate internal controls and procedures are in place. SEDA has complied with financial reporting requirements. SEDA maintains no financial reserve. State and federal funding, as stated above, provide less than half of SEDA's operating budget. The rest of the funding is provided directly through MCFI and a capital campaign, which has raised \$21,350 and has additional pledges of \$195,000. As long as MCFI is willing to fund SEDA, the school is financially sound.

SEDA, with support from MCFI, is a viable organization, which serves the needs of a very special population of students. The efforts of the school, along with the financial support of MCFI, have created a program that addresses the needs of these students and that, in many cases, has made gains possible that would not have occurred in a less rich and intensive environment.

While the problems that occurred during the 2006-07 and 2007-08 school years severely compromised SEDA's progress, the school deserves the opportunity to continue repairing the problems and to provide outstanding service to children.

Charter Renewal Recommendation

While the Evaluation Committee found many portions of the SEDA program commendable it was determined that the new principal who was hired in November, 2008, has not had enough time to overcome all of the problems created by the previous administration and that more time is needed to restore the program. The Office of Charter Schools will continue to closely monitor the following requirements for continual improvement:

1. The Board shall, through policy and action, codify and monitor the SEDA curriculum, instruction, and assessment systems.
2. The Board shall, through personnel policy and action, support school leadership, and the retention of administrative and instructional staff.
3. The Board shall require the administration to develop and implement a comprehensive, systematic student assessment system which establishes goals for individual student achievement, guides instruction, and provides a clear picture of overall student achievement. As part of this goal, the Board shall require that all students capable of participating in the NWEA Measures of Academic Progress (MAP-P) assessment be assessed three times during each school year.

On the basis of the evaluation and SEDA's response to initial concerns, the Evaluation Committee recommends that the SEDA charter be extended for three additional years. (Five years is the maximum extension.) A longer extension is not recommended because the problems created by the prior administration have not been fully resolved and closer monitoring with another full evaluation in two years is warranted. UW-Milwaukee Legal Affairs negotiated a new contract with the SEDA School Board. The contract meets all requirements of the UW-Milwaukee model charter school agreement. SEDA is prepared to operate in accordance with all applicable state and federal requirements for charter schools.

It is recommended that the School for Early Development and Achievement receive a three-year charter renewal.

The full Evaluation Report prepared by the UW-Milwaukee Office of Charter Schools for the Board of Regents may be found at:
<http://www.uwsa.edu/bor/agenda/2009/UWMCharterSchoolSEDAEval.pdf>.

The SEDA Charter Contract may be found at:
<http://www.uwsa.edu/bor/agenda/2009/UWMCharterSchoolSEDAContract.pdf>.

RELATED REGENT POLICIES

Regent Resolution 7905 (May 7, 1999).

Program Authorization (Implementation)
Doctor of Nursing Practice
University of Wisconsin-Madison

EDUCATION COMMITTEE

Resolution I.1.b.:

That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Chancellor be authorized to implement the Doctor of Nursing Practice.

**NEW PROGRAM AUTHORIZATION
Doctor of Nursing Practice
University of Wisconsin-Madison**

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised June 2009), the new program proposal for a Doctor of Nursing Practice at the University of Wisconsin-Madison is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin five years after its implementation. The University of Wisconsin-Madison and System Administration will conduct that review jointly, and the results will be reported to the Board.

The Doctor of Nursing Practice (DNP) is being phased in nationally as the standard for advanced practice nursing by the American Association of Colleges of Nursing (AACN). The proposed DNP program will replace master's-level preparation of advanced practice nurses at UW-Madison. The Master of Science (MS) in Nursing will continue to be available for students pursuing the Master of Science/Master of Public Health dual degree or the Ph.D. in Nursing.

UW-Madison has offered a master's degree in nursing since 1964 and currently enrolls approximately 200 master's-level students. The MS-Nursing prepares nurse practitioners (NP) in the areas of acute care, adult, gerontology, pediatrics, psychiatric-mental health and women's health, and clinical nurse specialists (CNS) in adult, gerontology, pediatrics, psychiatric-mental health and women's health. Students may add preparation for careers in nursing education. In order to continue to prepare advanced practice nurses for the state of Wisconsin and beyond, the master's degree in nursing must be transformed to a clinical doctoral degree.

REQUESTED ACTION

Approval of Resolution I.1.b., authorizing the implementation of the Doctor of Nursing Practice at UW-Madison.

DISCUSSION

Program Description

The DNP program will prepare advanced practice nurses as clinical nurse specialists (CNS) or nurse practitioners (NP). Building on current strengths in faculty and mindful of the needs of the state of Wisconsin, the DNP program will offer three clinical foci: adult/gerontology, pediatrics, and psychiatric-mental health nursing. Within the adult/gerontology specialty, students may tailor their programs to focus on acute care or women's health. In addition to clinical specialization, students may enroll in extra coursework to prepare for careers in nursing education.

The curriculum will require a minimum of 72 credits and 3 years of full-time study for students who enter with a Bachelor of Science in Nursing (BS in Nursing), or 31 credits and 2 years of part-time study for students who have previously completed an MS-Nursing degree and seek to upgrade their advanced practice degree to a DNP. The curriculum has three core components: systematic evaluation of practice (21 credits for BS-prepared students); leadership/policy (15 credits for BS-prepared students); and practice (33-39 credits for BS-prepared students). The components will be met through a combination of coursework, supervised clinical hours, and a scholarly project. Students interested in dual preparation as an advanced practice nurse and nurse educator may add a nine-credit nursing education focus. The curriculum will be delivered in a mix of distance-delivered courses and face-to-face instruction based on the mode that is most appropriate for the learning goals and course requirements.

The DNP program builds on the curricular strengths of the existing master's program, but has been organized and designed to assure congruence with the AACN Essentials of Doctoral Education for Advanced Nursing Practice listed below. The DNP program has enhanced content in the areas of organizational and systems leadership, inter-professional collaboration, and information systems/technology to improve clinical care and health outcomes. A minimum of 1,000 hours of post-baccalaureate practice is required as part of the program. The scholarly project (new for the DNP) serves as a capstone experience that demonstrates synthesis of the student's work and serves as the foundation for future scholarship. The scholarly project will be completed over the course of two semesters. It will be designed by the student in collaboration with his/her faculty mentor and a clinical sponsor. Students will be expected to produce a final report that is suitable for publication in peer-reviewed journals, books, or government reports.

Program Goals and Objectives

The proposed DNP program will prepare the graduate to:

1. Integrate nursing science with knowledge from the biophysical, psychosocial, analytical, and organizational sciences as the basis for advanced level nursing practice.
2. Develop and evaluate new practice approaches based on nursing theories and theories from other disciplines.
3. Employ consultative and leadership skills with intra-professional and inter-professional teams to create change in complex health care delivery systems.
4. Lead the evaluation of evidence to determine and implement the best evidence for practice.
5. Function as a practice specialist in collaborative knowledge-generating research.
6. Demonstrate leadership in the development of institutional, local, state, federal, and/or international health policy.
7. Use information systems technology to evaluate outcomes of care, care systems, and quality improvement.
8. Develop, implement, and evaluate interventions to improve health status, access patterns, and address gaps in care of individuals, aggregates, or populations.
9. Demonstrate advanced levels of clinical judgment, systems thinking, and accountability in designing, delivering, and evaluating evidence-based care to improve patient outcomes.

10. Guide, mentor, and support other nurses to achieve excellence in clinical nursing practice.

Relation to Institutional Mission

The University of Wisconsin-Madison offers the largest array of health professional programs in Wisconsin. It also has a long history of preparing advanced practice and doctorally prepared nurses. Continuing this tradition is necessary for a major research university with a strong academic health center. The mission of the DNP program – to prepare leaders in advanced nursing practice – is congruent with the mission of UW-Madison. The common themes include an emphasis on knowledge generation, diversity, partnerships, innovation, interdisciplinary work, and the Wisconsin Idea. The DNP program, like the larger University, embraces its mission to engage in scholarly activity, impart knowledge, and serve the state of Wisconsin and beyond.

Program Assessment

The School of Nursing has a comprehensive, faculty-approved assessment plan to evaluate the academic programs offered in nursing. The plan includes review of data associated with student progress, retention and post-graduation performance (such as attainment of professional certification), employment status, employer satisfaction, and public and professional service. The School of Nursing also engages in continuous review of its curricula by examining courses for redundancy, currency of content, and consistency with professional guidelines.

In the DNP program, the attainment of student learning outcomes and progress towards program goals is evaluated in a number of ways. Students will be evaluated to determine if course objectives are met through course papers, group projects, and examinations. In a health assessment laboratory course, students will complete a simulated physical exam on a standardized patient. Student performance in clinical coursework will be evaluated by the clinical preceptor and faculty supervisor at mid-semester and at the end of each semester using a competency-based evaluation tool. In their final clinical experiences, students are expected to apply content from all components of the program in the clinical setting and transition to more independent practice. Integration of research and practice will be evaluated in the capstone scholarly project that involves translating evidence to practice with a goal to influence care and improve health outcomes. The student assessment data are then reported to the curriculum committee and departmental council for annual review relative to progress on program goals. In this process, strategic decisions are made for quality program improvement.

UW-Madison will seek accreditation for the DNP through the Commission on Collegiate Nursing Education (CCNE).

Need

In 2008, the UW System's Senior Vice President for Academic Affairs convened a Nursing Education Task Force. The Task Force Report was shared with the Board of Regents in February, 2009. The Task Force Report documented workforce shortages in nursing both

nationally and in Wisconsin. Among the report's findings was recognition of the need to increase opportunities for graduate-level advanced practice nursing programs in the UW System. The development of multiple UW System DNP programs was presented as a way to enhance statewide access and to meet the need for advanced practice nursing education in Wisconsin.

The demand for advanced practice nurses (both CNSs and NPs) remains strong. Wisconsin and the Midwest have the lowest rate of NPs in the nation (USDHHS, 2000). A 2005 report of the Council on Graduate Medical Education predicted a national shortfall of 85,000 physicians and a potential need for 150,000 more nurse practitioners, certified midwives, and physician assistants nationally by 2020. The US Bureau of Labor Statistics and Wisconsin workforce data identify nursing as one of the fastest growing occupations, in part because of anticipated expansion of the health care industry and an emphasis on cost-containment leading to increased utilization of advanced practice nurses, and in part because of the aging CNS and NP workforce. Health care access disparities with regard to geographic, racial/ethnic, and socioeconomic factors are apparent in Wisconsin. While 28% of Wisconsin citizens live in rural areas, only 11% of physicians have practices serving rural populations. Medically underserved communities also exist in urban areas. Health care delivery models that will leverage physician resource and broaden "team care models" are likely to expand. These models depend on advanced practice professionals such as DNPs. Consequently, there is a strong need for UW-Madison to continue to educate these health professionals.

As members of the largest health profession, nurses are poised to have an impact on issues that affect the quality, delivery, and cost of health care across the country. Increasingly, nurses will need to be prepared to apply research findings to practice and to identify clinical and organizational questions in need of study. The link between higher levels of nursing education and better patient outcomes is well established. The increasing complexity of the health care environment requires the highest level of knowledge and practice expertise to assure high-quality patient outcomes.

The proposed DNP may fill some of the pressing need for nurse educators, given the training option for nursing education. According to AACN's report on *2006-2007 Enrollment and Graduations in Baccalaureate and Graduate Programs in Nursing*, U.S. nursing schools turned away approximately 43,000 qualified applicants to baccalaureate and graduate nursing programs in 2006. Approximately 70 percent of the nursing schools responding pointed to faculty shortages as a reason for not accepting all qualified applicants into nursing programs. In addition, the average age of nursing faculty in all ranks is 50 or older (AACN October 2006). An estimated 35% of vacant positions in 329 colleges could be filled by Master's or DNP prepared nurses (AACN, July 2006).

Plans are to initiate the program with students who are already prepared as MS-level advanced practice nurses and who will enroll for two years of part-time study. Starting in Year 3, BS-prepared nurses will be admitted to full-time (3 years) or part-time (5 years) study.

Projected Enrollment

Year	1st year	2nd year	3rd year	4th year	5th year
New students admitted					
BS prepared	0	0	25	25	25
MS prepared	25	25	25	25	25
Continuing students					
BS prepared	0	0	0	25	50
MS prepared	0	25	25	25	25
Total enrollment	25	50	75	100	125
Graduating students					
BS prepared	0	0	0	0	12
MS prepared	0	25	25	25	25

Comparable Programs

Three other DNP programs have been authorized within the UW System: UW-Milwaukee (Fall 2009 implementation); UW-Oshkosh (Summer 2010 implementation); and UW-Eau Claire (Summer 2010 implementation). The proposed DNP would be the only one in the UW System to offer primary specializations in pediatric nursing and in psychiatric-mental health nursing. Other DNP programs in Wisconsin are at Marquette University and at Concordia University. Edgewood College (Madison) is also considering a DNP.

Currently there are 84 DNP programs in the USA. By the end of the decade, all of the major research universities in the Midwest are planning to implement DNP programs. DNP programs are already in place at the University of Minnesota, the University of Illinois, the University of Iowa, and Purdue University.

Collaboration

The Schools of Nursing in the UW System have a history of collaboration, for example, through the coordinated online bachelor's nursing program (BSN@Home) and UW-Madison's collaboration with UW-La Crosse on the BS-Nursing program at Gundersen-Lutheran Medical Center. The Deans and Associate Deans of the Schools of Nursing at UW-Milwaukee, UW-Oshkosh, UW-Eau Claire, and UW-Madison have been working collaboratively to plan the DNP programs. One result of these conversations is that UW-Madison and UW-Milwaukee will collaborate in offering a psychiatric-mental health nursing program.

Diversity

One of the UW-Madison School of Nursing's strategic goals is to foster a climate that enhances diversity. It is an expectation that faculty, staff, and students will work toward creating an environment that welcomes diversity of race, gender, religion, class, sexual orientation and identity, and thought. The School has a Director of Diversity and Community Initiatives who provides guidance to faculty and staff on recruitment strategies, climate issues, and integration of cultural knowledge, skills, and attitudes into the curriculum. Student recruitment strategies include exhibiting at regional nursing meetings and career fairs, subscribing to nursing electronic

search resources, responding in a timely manner to program inquiries, and conducting program information sessions throughout the year. The School's recruitment initiatives have been successful at the baccalaureate level. The number of underrepresented minority undergraduate students enrolled has increased from 30 (6%) in fall 2003, to 87 (12.5%) in fall 2008. The increase for undergraduate male students has been similar, from 26 (5%) to 87 (12.5%) over the same time period. At the graduate level the School has seen only a slight increase in the number of students from underrepresented minority populations from 10 (5.4%) in fall of 2003, to 15 (5.7%) in the fall of 2008. The percent of male graduate students has increased from 5 (2.7%) to 14 (5.3%) during the same period.

Climate issues are being addressed through ongoing continuing education and professional development. Faculty and staff participate in offerings from UW-Madison's Office for Equity and Diversity, including: the Leadership Institute; the Excellence Through Diversity Institute; Seeking Educational Equity and Diversity Seminar (SEED); and Seeking Educational Equity and Diversity by the Experienced Doers (SEED). In addition, a book club focusing on diversity issues has been initiated within the School of Nursing for faculty, staff, and students. Integration of cultural awareness and competence across the nursing curriculum is an ongoing process. There are several required core courses that include substantial learning experiences to develop students' knowledge and appreciation of how culture impacts health. For example, in Nursing 702, *Health Promotion and Disease Prevention in Diverse Communities*, students complete assignments that are directly linked to increasing cultural competence. In the clinical management and field courses (Nursing 606, 613, 614, 615, 616), there is also content related to assessing, implementing, and evaluating nursing practice in a culturally sensitive and competent manner. The integration of cultural content will continue to be assured by using the existing Graduate Program Committee to both review course content and direct curricular change as needed.

Evaluation from External Reviewers

Five external reviewers provided thoughtful comments, including suggestions that improved the quality of the DNP proposal. They highlighted as strengths the emphasis on health promotion, cultural diversity, research in the clinical environment, quality and safety, ethics, and the range of elective choices that expose students to interdisciplinary learning. The flexibility offered by hybrid delivery and the quality of the faculty were also identified as strengths. Reviewers also suggested expanding the curricular elements related to leadership, management, and finance. The School of Nursing responded to suggestions by making changes in curricular offerings and requirements.

Resource Needs

The DNP will be funded from the resources currently used to support the MS-Nursing program. Funds will be shifted from the MS to the DNP as the enrollment shifts. There are sufficient faculty and instructional staff to implement the proposal at the planned level of enrollment. The faculty and instructional staff for this program will be drawn from among the School of Nursing's twenty-one tenure track faculty and twenty-one clinical faculty or instructional academic staff (IAS) who have taught in the MS program. The estimated FTE

faculty and instructional academic staff needed to provide instruction for the DNP program in Years 1, 2, and 3 will be 2.0, 3.5 and 4.0 FTE respectively. In addition both faculty and instructional academic staff will be involved in curriculum development and serve as academic advisors.

The non-instructional academic staff will serve the program by providing faculty and student support, administering financial aid, coordinating program assessment, and overseeing clinical resources. Classified staff will be responsible for admissions processing and data management, and oversight of program web applications. As the BS-entry student enrollment increases, the non-instructional staff need will increase from 1 FTE in the first year to 2.35 FTE once the program is fully enrolled and includes both MS- and BS-entry students.

Supplies and expenses include costs for faculty to travel to clinical sites, postage, telephone, printing, instructional technology (teleconferencing, software, web-hosting), and marketing. Tuition for the DNP program will be at the level of graduate student tuition.

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.b., authorizing the implementation of the Doctor of Nursing Practice at the University of the Wisconsin-Madison.

RELATED REGENT POLICIES

University of Wisconsin System Academic Planning and Program Review (November 10, 1995)
Academic Informational Series #1 (ACIS-1.0, revised June 2009)

BUDGET

	First Year		Second Year		Third Year	
	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
CURRENT COSTS						
Personnel						
Faculty (note 1, 2)	1.75	\$166,250	2.50	\$237,500	2.75	\$269,088
Instructional Staff (note 1, 2)	0.25	\$15,000	1.00	\$60,000	1.25	\$77,250
Non Instructional Staff	1.00	\$52,484	1.50	\$71,642	2.35	\$122,117
Non-personnel						
Supplies & Expenses		\$15,551		\$15,225		\$12,754
Equipment (note 3)						\$200,000
Subtotal	3.00	\$249,285	5.00	\$384,367	6.35	\$681,209
ADDITIONAL COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel		0		0		0
Non-personnel		0		0		0
TOTAL COSTS		\$249,285		\$384,367		\$681,209
CURRENT RESOURCES						
General Purpose Revenue(GPR)		\$249,285		\$384,367		\$681,209
Subtotal		\$249,285		\$384,367		\$681,209
ADDITIONAL RESOURCES						
GPR Reallocation (list sources)		0		0		0
Fees		0		0		0
TOTAL RESOURCES		\$249,285		\$384,367		\$681,209

Note 1: Faculty salaries are based on an average tenure-track professor salary of \$95,000 and an instructional staff average salary of \$60,000.

Note 2: Salary increases are calculated at 3% only for the third year because there are no salary increases expected in F10 and F11.

Note 3: Funding for regularly scheduled upgrade to clinical simulation center.

**UNIVERSITY OF WISCONSIN-WHITewater:
PRESENTATION OF CAMPUS ACADEMIC PLAN**

EXECUTIVE SUMMARY

BACKGROUND

In the effort to improve its effectiveness and spend its meeting time on substantive discussion of the academic issues facing the University of Wisconsin System and its institutions, the Board of Regents Education Committee in conjunction with the Office of Academic and Student Services has implemented a more streamlined process for considering institutional reports on academic planning, re-accreditation, and general education to the Board of Regents, and has shifted its focus to institutional academic plans.

At its February 2008 meeting, the Education Committee agreed on a new process whereby UW institutions will periodically present a campus academic plan. Presentations to the Committee will allow Committee members to direct their attention to a more comprehensive understanding of each institution's academic program planning and array, as well as the alignment of that array to each institution's distinct mission and identity.

The UW-Whitewater Campus Academic Plan summarizes the institution's academic program array including existing, new, and proposed academic programs and initiatives. It is built on the strengths of UW-Whitewater's four colleges—Arts and Communications, Business and Economics, Education, and Letters and Sciences—and in concert with the University's Mission and Strategic Plan.

REQUESTED ACTION

For information purposes only; no action is required.

DISCUSSION

The University of Wisconsin-Whitewater is a comprehensive university offering a broad range of bachelor's degree programs, as well as master's degrees in selected fields. UW-Whitewater has long been known for the strength of its business and education programs. Its select mission is to provide a range of undergraduate programs and degrees, including interdisciplinary programs, in letters, sciences, and the arts, as well as programs and degrees leading to professional specialization. UW-Whitewater also offers graduate education built upon its undergraduate emphases and strengths, with particular emphasis on professional programs in the fields of business, education, communication, and human services.

UW-Whitewater's strategic plan guides academic programming on campus and articulates a commitment to the development of the individual, the growth of personal and professional integrity, and respect for diversity and global perspectives. These objectives are met by providing academic and co-curricular programs that emphasize the pursuit of knowledge and understanding, and a commitment to service within a safe and secure environment.

In addition to being strongly mission-driven, UW-Whitewater's academic programs seek mastery of shared baccalaureate learning outcomes for all students. Throughout 2009-2010, the campus is undertaking a local effort to align its general education goals more specifically to the Association of American Colleges & Universities' LEAP outcomes and the UW System's shared baccalaureate learning goals. The entire campus will be engaged in activities and discussions around a common campus theme, "Why Are We Here?"

As a student-centered academic community of engaged faculty, staff and students, UW-Whitewater enthusiastically embraces a mission of access for students across a range of academic abilities and situations, and is fully committed to Inclusive Excellence, the UW System's strategic framework for diversity and equity. It strives to create and maintain a positive and inviting environment for multicultural students, students with disabilities, and nontraditional students, and to provide support services and programs for them to ensure their success.

The Academic Support Services unit serves students who are academically talented through a variety of pre-college, remedial skill-building, tutorial, advising, and programmatic initiatives. The unit's efforts have helped to place the University at the forefront of engaging multicultural/disadvantaged students as scholars, and produced educational outcomes which include significant student participation in undergraduate research, internships, study abroad, and enrollment in graduate study. The success of the unit has resulted in the University earning several prominent awards related to excellence in enhancing educational diversity from pre-college to graduate study.

UW-Whitewater has embraced the charge from the Board of Regents to provide access to students with disabilities above and beyond other UW schools, and has a reputation as one of the most accessible campuses in the nation. In the past three years, the Center for Students with Disabilities (CSD) has seen a 23% increase in the number of students served, with a current CSD enrollment of 531 students. CSD provides training and support to the campus to create a welcoming learning and living climate for students. The Center's fee-based retention program, Project ASSIST, has an average 84% retention rate for first-to-second year students. The campus has also developed Universal Design Policies and Practices for the development, design, and construction of new facilities. UW-Whitewater is the proud home of the National Champion Wheelchair Basketball team.

Finally, as part of its access mission, UW-Whitewater offers selected programs online, including the MBA, Master of Science Education or MSE in Professional Development, MSE in Library Media and Technology at the graduate level, and undergraduate degree programs in Business, Liberal Studies, and Political Science. The campus began offering online courses in 1997 and fully online academic programs in 1998. Enrollments have increased rapidly since inception. All online programs maintain a strong commitment to both access and academic quality.

Hands-on and applied learning are central to the student's academic experience at UW-Whitewater, and the university operationalizes this approach in a variety of ways designed to meet the needs of the community and region. The College of Arts & Communications provides outstanding cultural programming in the arts, as well as offering student-operated radio

and television stations. The undergraduate research program at Whitewater, which pairs faculty and undergraduate students in real research projects and offers opportunities for presentation to peers at state and national research conferences, enjoys active participation and continued growth. While research activity crosses all university academic units, much of the current research is in the sciences and is focused on water quality issues, a particular concern of the Milwaukee 7 Water Council.

Outreach activity in the College of Business and Economics is housed in the seven centers within the new Hyland Hall Kachel Center for Innovation and Business Development. These centers (including the Small Business Development Center, the Wisconsin Innovation Service Center, the Fiscal and Economic Research Center, the Global Business Resource Center, the Wisconsin Center for IT Services, the Low Income Taxpayer Clinic, and the Volunteer Income Tax Assistance Center) provide teams of faculty, staff, and students who offer expertise and support for individual, regional, and state business and economic development opportunities and concerns, while creating real-world laboratories for student learning. The new Whitewater University Technology Park, a joint venture between the City of Whitewater and the University, will increase opportunities for faculty and students, providing an innovation center and space for new high-tech businesses and research opportunities. Currently, the Kachel Center in Hyland Hall is also home to an entrepreneur-in-residence.

New and emerging academic programs at UW-Whitewater include (but are not limited to):

- The Integrated Science and Business Major-Water Emphasis, an interdisciplinary program specifically geared toward students interested in working in water-related businesses. This program was developed in part as a response to the Milwaukee 7 Water Council's efforts to make the Milwaukee Region the world water hub for freshwater research, economic development, and education.
- A new Entrepreneurship major built upon what was a popular emphasis in the General Business major. This program supports strong student interest in entrepreneurial business start-ups, a very successful Warhawk Business Plan Competition run by the CEO student organization, and extensive student involvement in small business outreach activities.
- A redesign of the Multimedia major to a Multimedia Game Development major, to meet the needs of changing markets and rapidly emerging technologies.
- A new urban education certificate, that will better prepare students to teach in urban and inner-city schools, which includes coursework to enhance understanding as well as an urban student teaching experience and/or involvement with the UW System Urban Teaching Center in Milwaukee.
- A public health minor, an interdisciplinary minor that would bring together Safety, Biology, and Anthropology coursework

Several academic initiatives are also currently underway in the area of sustainability. One such initiative is the Savanna Project, a training and discussion forum for expanding the role of sustainability in teaching and learning on the UW-Whitewater campus. Another introduces issues of sustainability and Cap and Trade into the core business curriculum. Fall 2009 saw the start of several new learning communities (LCs) devoted to sustainability, including the “Green Business is Good Business” LC and the “Conscious Capitalists” LC. Two new programs under consideration in the College of Letters and Sciences include Environmental Studies and Green Chemistry.

In the development of new academic programs and areas of emphasis (both curricular and co-curricular), UW-Whitewater remains guided by its mission, a focus on its strategic plan, and a commitment to the principles and programs articulated in its Growth Agenda. Additional information on the UW-Whitewater Strategic Plan is available at:

http://www.uww.edu/strategic_plan.pdf

RELATED REGENT POLICY

University of Wisconsin System Academic Planning a Program Review (November 2007)
Academic Informational Series #1 (ACIS-1, revised June 2009).

2009 Report on Remedial Education In the University of Wisconsin System

Executive Summary

Background

In November 1988, the Board of Regents passed a resolution requiring students with Mathematics or English deficiencies to take remedial coursework (Resolution 5088). The Board required a report on the status of remedial education in the UW System on an annual basis. In 1997, the Board of Regents passed Resolution 7382, which changed the reporting cycle from one to three years. The current report focuses on data from fall 2005 through fall 2007, in relation to demographic and academic variables. It also shows first-to-second-year retention rates for the fall 2006 cohort, and six-year graduation rates for the fall 2002 cohort.

As the report indicates, the UW System and its institutions are attentive to the set of circumstances surrounding the need for remediation. In addition to the steps taken by UW institutions to reduce that need (selected examples of which are included in the report), the UW System is involved in a variety of initiatives working to increase the readiness of both incoming and current students for college-level work. Some of these initiatives—like the *KnowHow2Go Network* and the Collaboration with the PK-12 Community to Enrich College Preparation in Math—are a part of the UW System's *Growth Agenda for Wisconsin*. *KnowHow2Go* is working to raise college aspirations in young people and teach them how to successfully access higher education. The PK-12 collaboration includes the identification of competencies needed for college preparation and aligning those with academic standards for high school. The UW System is working collaboratively with the Wisconsin Technical College System, the Wisconsin Association of Independent Colleges and Universities, and the PK-12 community to address math preparation for Wisconsin students as they progress from school, to college, and beyond. Work to date is focused on Math Competency Alignment, through a task force consisting of college and high school math educators from throughout the state, and the Early Math Placement Tool, which will provide high school students with a means of determining how well prepared they are to handle college-level math early enough to enable them to take additional math coursework in high school.

Other efforts include the UW System's participation in Making Opportunity Affordable (MOA) and the American Diploma Project. MOA is a Lumina Foundation-funded project working to increase the level of college degree attainment, in particular for under-represented students in states throughout the country. Wisconsin is one of 11 states selected and funded to do a year of planning and the UW System is the lead entity working in partnership with the state's technical colleges, private colleges, and the Department of Public Instruction to increase access to higher education. Wisconsin is also one of 35 states participating in the American Diploma Project (ADP) Network, dedicated to making sure that every high school graduate is prepared for college or careers through better alignment of both expectations and high school curricula to post-secondary demands.

Requested Action

The purpose of the Remedial Education report is to provide information on remedial education in the UW System. No action is requested at this time.

Discussion

New freshmen who are admitted to the University of Wisconsin System come with varying levels of preparedness for success in college-level Math and English. Although the majority of new freshman leave high school with a level of preparation that meets or exceeds that which is required by their respective UW institution, some students who are admitted have deficiencies that need to be remedied through additional coursework. The UW System requires all students who have been identified as being under-prepared in the areas of Math or English to take remedial coursework prior to the completion of their first 30 credits. The ultimate goal of this requirement is to ensure that all new freshmen possess the necessary competencies to succeed in higher education. The individual UW institutions determine how these required remedial classes are offered and oversee the specific curriculum, standards, and methods of instruction.

Remedial Education in the UW System

During the three-year period covered in the 2009 report on *Remedial Education in the UW System*, the percentage of new freshmen who were required to take Math remediation increased from 17.0 percent to 21.3 percent. During the same period of time, the percentage of students who needed English remediation decreased slightly, from 7.8 percent to 6.7 percent.

The retention rates for remedial students are also addressed in the 2009 report as a measure of success for remedial education programs. Specific focus is on the retention of new freshmen to the second year of college. The data indicate a positive effect on retention for students who were identified as needing remediation and completed remedial coursework within their first year. Second-year retention rates for students who both needed and completed remediation are very close to the rates for students who did not require remediation. This holds true for the retention rates of students needing and completing either Math or English remediation (77 percent for Math and 71 percent for English). These rates are significantly higher than the second-year retention rates of students who were required to take remediation but did not complete the requirement within the first year (43.4 percent for Math and 31.6 percent for English).

Six-year graduation rates of the fall 1999 freshmen class cohort provide a picture of the long-term success of students who required Math and English remediation. The data presented in the report show the graduation rates of new freshmen who started at one UW institution and graduated from any institution within the UW System. Of the new freshmen who needed and completed remediation in the first year, 51.1 percent needing Math remediation and 44.1 percent needing English remediation graduated within six years. By contrast, the six-year graduation rate of students who did not require Math remediation was 67.5 percent; the six-year graduation rate of students who did not require English remediation was 67.2 percent.

Conclusion

The majority of students admitted to the UW System are ready for and capable of pursuing college-level Math and English courses. However, every year some students are admitted who are considered to have the potential to succeed but have deficiencies in Math or English. The UW System requires and provides remedial courses for these students. Students identified as needing remediation who successfully complete their remedial courses are retained to the second year at rates comparable to students not needing remediation. Almost half of these students graduate with a baccalaureate degree within six years.

Related Policies

Regent Resolution 5088, revised by Resolution 5957 and 5958 (November 1991), and Resolution 7382 (February 1997), which changed the reporting cycle for the Remedial Report.

Report on Remedial Education in the UW System: Demographics, Remedial Completion, Retention, and Graduation September 2009

Introduction

This report provides information on new freshmen, beginning in the fall of an academic year, who were identified as needing Math and/or English remediation in the UW System. A section is also included on UW institutional efforts to reduce remediation and promote the success of students who need remediation. The report contains six main sections and two appendices:

- Section I: Trends in Math and English Remediation
- Section II: Math and English Remedial Requirement by Selected Characteristics of New Freshmen
- Section III: Math and English Remediation Completion in the First Year
- Section IV: Retention Rate by Math and English Remediation
- Section V: Six-Year Graduation Rate by Math and English Remediation
- Section VI: Efforts to Reduce Remediation and Promote Student Success
- Appendix A: University of Wisconsin System Regent Policy Document: Section IV, 4-8 Remedial Education Policy
- Appendix B: Math and English Remediation Required and Completed by UW Institution, Fall 2005-Fall 2007

Report Highlights

- ◆ The percentage of new freshmen requiring Math remediation has risen from 17.0 percent to 21.3 percent over the most recent three-year time period spanning fall 2005 to fall 2007. The percentage of new freshmen requiring English remediation decreased slightly from 7.8 percent in fall 2005, to 6.7 percent in fall 2007.
- ◆ Compared to Math remediation, students are more likely to complete English remediation in their first year.
- ◆ The second-year retention rate of students completing Math and/or English remediation in their first year is comparable to the second-year retention rate of students who did not require remediation.
- ◆ For students who require Math and/or English remediation, completing the requirement in their first year enhances a student's chances of obtaining a bachelor's degree within six years.
- ◆ UW institutions are involved in a variety of efforts with the goal of reducing the need for Math and English remediation. One set of efforts involves UW faculty working with high schools to align mathematics curricula. UW institutions are also modifying courses using new technologies and techniques to ensure that students who need remediation succeed in their coursework. Additional support is provided to students including workshops/labs with peer and/or faculty assistance and other supplemental learning services.

Section I: Trends in Math and English Remediation

Charts 1 and 2 provide data on the percent of new freshmen needing Math and English remediation from fall 1990 to fall 2007. Over the period since the last report, from fall 2005 to fall 2007, the percentage of new freshmen who were required to take Math remediation increased from 17.0 percent to 21.3 percent. During the same period of time, the percentage of new freshmen needing English remediation declined from 7.8 percent to 6.7 percent. Overall, Math remediation was required more than English remediation. Appendix B contains UW institutional-level data, showing the number and percent of new freshmen requiring Math and English remediation for the fall 2005 through fall 2007.

The percentage of new freshmen needing Math remediation in fall 2007 (21.3%) is higher than the 20.6 percent of new freshmen needing Math remediation in fall 1990, when the Board of Regents last modified the remedial education policy. Over the past 18 years, the percentage of students requiring Math remediation was the lowest in fall 2000 (10.2%) and has been rising since then. The percentage of new freshmen needing English remediation in fall 2007 (6.7%) is lower than the 10.1 percent needing English remediation in fall 1990.

Chart 3 provides data on the percent of new freshmen needing both Math and English remediation from fall 1990 to fall 2007. In fall 2007, 4.5 percent of new freshmen required both Math and English remediation. Over the past 18 years, the percentage of new freshmen needing both Math and English remediation was the highest in fall 1990 (5.3%) and was the lowest in fall 1999 (3.1%).

Chart 1
New Freshmen Needing Math Remediation

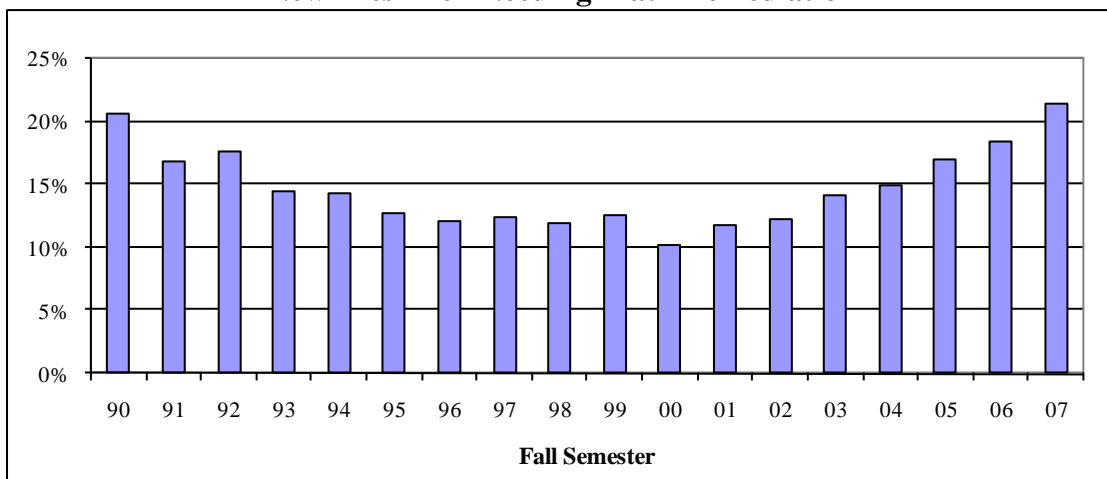


Chart 2
New Freshmen Needing English Remediation

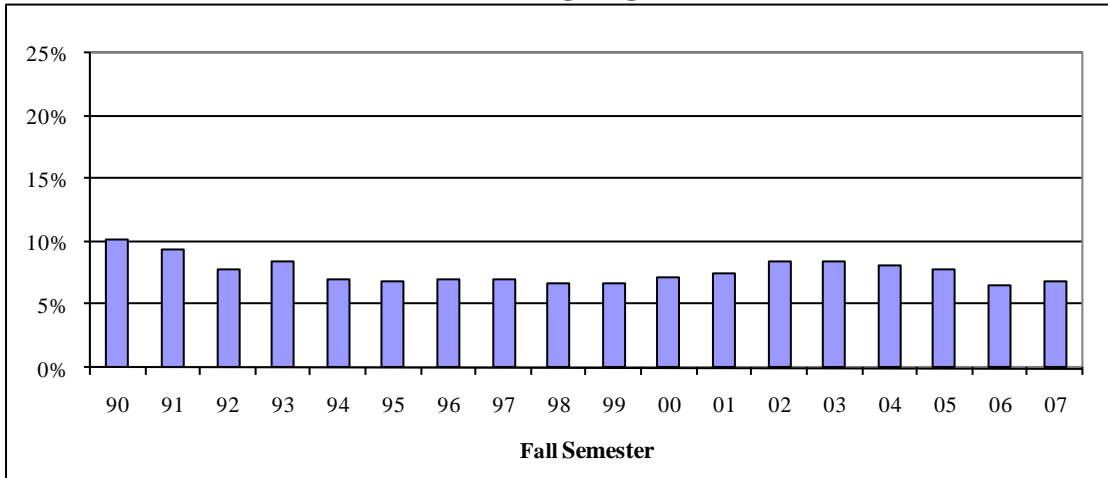
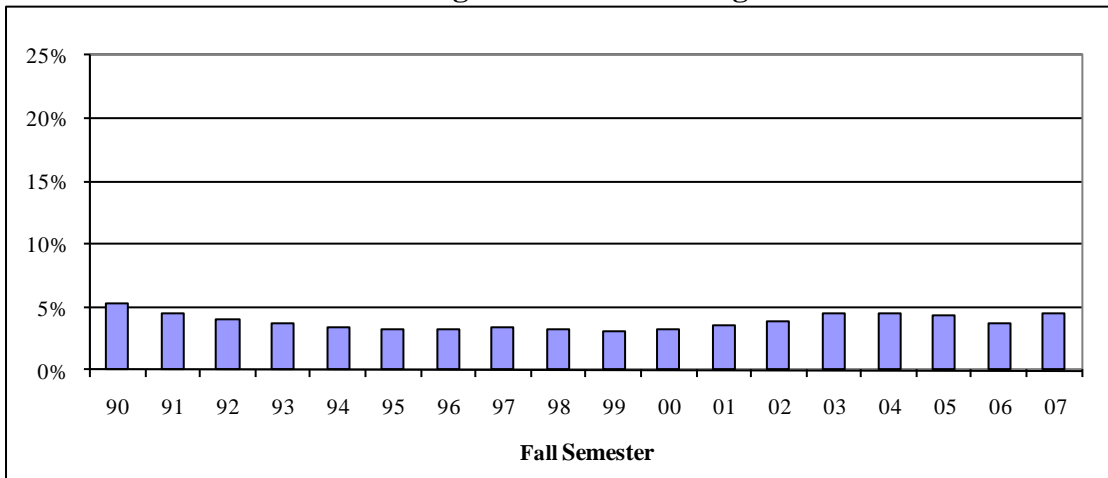


Chart 3
New Freshmen Needing Both Math and English Remediation



Section II: Math and English Remedial Requirement by Selected Characteristics of New Freshmen

Tables 1 and 2 show the numbers and percentages of all new freshmen who needed remediation in relation to demographic and academic variables. Table 1 provides the data regarding students who needed Math remediation and Table 2 provides the data regarding students who needed English remediation. Both tables cover a three-year span from fall 2005 through fall 2007.

In all three years, a higher percentage of females were required to take Math remediation (males 19.1% and females 23.2%, in 2007). Conversely, a slightly higher percentage of males needed English remediation (males 7.3% and females 6.3%, in 2007). The percentage for both males and females needing Math remediation increased (males from 14.6% to 19.1% and females from 18.9% to 23.2%). However, for both males and females, the percentages needing English remediation declined slightly from fall 2005 to fall 2007 (males from 8.1% to 7.3% and females from 7.6% to 6.3%).

The need for remediation is closely related to performance on the ACT examination and to high school class rank: the higher the student's ACT score and class rank, the less likely the need for remediation. In fall 2007, 66.7 percent of students achieving an ACT Math score of 18 or below needed Math remediation. Similarly, 30.2 percent of students achieving an ACT English score of 18 or below needed English remediation. For students who ranked in the lowest quartile of their high school class, 55.4 percent required Math remediation and 17.1 percent required English remediation, contrasting sharply with the highest quartile in which 7.6 percent required Math remediation and 2.2 percent required English remediation. However, in fall 2007, only 4.8 percent of UW new freshmen were in the lowest quartile, while 44.5 percent were in the highest quartile. Grouping the new freshmen into bottom and top half of high school rank, 44.4 percent of the students from the bottom half of their high school class required Math remediation and 15.2 percent needed English remediation. This compares to 15.4 percent of students in the top half who required Math remediation and 4.7 percent who needed English remediation. (Note that the percentages provided in this paragraph are based on the proportion of students for whom high school rank and/or ACT score were available.)

Students of color entering the UW System as new freshmen required more Math remediation (35.1% in fall 2007) and English remediation (20.4% in fall 2007) than White/International students. Among students of color, African Americans were most likely to require Math remediation (55.4% in fall 2007) and English remediation (31.4 % in fall 2007).

New freshmen age 20 and over were more likely to require Math remediation than students age 19 and below in all three years. In fall 2007, 43.7 percent of students age 20 and over needed Math remediation, while 20.2 percent of students age 19 and below needed Math remediation. New freshmen age 20 and over comprised 4.8 percent of the new freshmen class in fall 2007. Students age 20 to 24 were more likely to require English remediation than students in other age groups in fall 2005, 2006, and 2007.

New freshmen who received a Pell Grant have a higher rate requiring Math and English remediation than non-Pell recipients. In fall 2007, of new freshmen who received a Pell Grant, 32.7 percent needed Math remediation and 13.3 percent needed English remediation. This compares to 18.6 percent of non-Pell recipients who needed Math remediation and 5.2 percent of non-Pell recipients who needed English remediation.

Table 1
New Freshmen Needing Math Remediation
as a Percent of All New Freshmen
by Student Characteristic

Category	Characteristic	Fall 2005			Fall 2006			Fall 2007		
		All New Fresh	Need Remed	%	All New Fresh	Need Remed	%	All New Fresh	Need Remed	%
Gender	Male	13,410	1,956	14.6%	13,615	2,219	16.3%	14,331	2,743	19.1%
	Female	16,225	3,074	18.9%	15,727	3,158	20.1%	16,321	3,782	23.2%
ACT Math Score*	18 or Lower	5,409	3,100	57.3%	5,646	3,386	60.0%	5,517	3,679	66.7%
	19	1,564	402	25.7%	1,618	497	30.7%	1,769	666	37.6%
	20-21	3,541	561	15.8%	3,656	602	16.5%	3,487	803	23.0%
	22-26	10,339	482	4.7%	10,361	460	4.4%	10,770	767	7.1%
	27-36	6,356	20	0.3%	5,859	17	0.3%	6,618	23	0.3%
H.S. Rank*	Bottom Quartile	1,057	471	44.6%	985	511	51.9%	1,205	668	55.4%
	3rd Quartile	4,286	1,406	32.8%	4,191	1,531	36.5%	4,358	1,804	41.4%
	2nd Quartile	8,264	1,709	20.7%	8,157	1,860	22.8%	8,294	2,149	25.9%
	Top Quartile	11,426	704	6.2%	10,943	683	6.2%	11,125	844	7.6%
Race/ Ethnicity	African American	865	461	53.3%	903	484	53.6%	1,005	557	55.4%
	American Indian	233	61	26.2%	207	57	27.5%	256	69	27.0%
	Southeast Asian	522	132	25.3%	520	120	23.1%	566	150	26.5%
	Other Asian	592	75	12.7%	639	88	13.8%	605	102	16.9%
	Hispanic/Latino	688	193	28.1%	712	216	30.3%	839	271	32.3%
	<i>Students of Color Subtotal</i>	2,900	922	31.8%	2,981	965	32.4%	3,271	1,149	35.1%
	White/International	26,735	4,108	15.4%	26,361	4,412	16.7%	27,381	5,376	19.6%
Age	19 and Under	28,316	4,514	15.9%	28,002	4,878	17.4%	29,195	5,889	20.2%
	20 to 24	881	323	36.7%	886	337	38.0%	914	407	44.5%
	25 to 34	282	126	44.7%	302	117	38.7%	373	174	46.6%
	35 and Over	156	67	42.9%	152	45	29.6%	170	55	32.4%
Pell Grant	Recipient	4,960	1,361	27.4%	5,113	1,512	29.6%	5,857	1,917	32.7%
	Not a Recipient	24,675	3,669	14.9%	24,229	3,865	16.0%	24,795	4,608	18.6%
Total	All Char.	29,635	5,030	17.0%	29,342	5,377	18.3%	30,652	6,525	21.3%

* Subtotals do not necessarily sum to 100% due to missing data.

Table 1 (Math)

- ◆ The percentage of new freshmen requiring Math remediation increased from fall 2005 to fall 2007.
- ◆ Women were more likely to require Math remediation than men.
- ◆ The data show a relationship between performance on ACT and need for Math remediation.
- ◆ There is also a relationship between high school class rank and need for Math remediation.
- ◆ Among students of color, African Americans are most likely to require Math remediation.
- ◆ Older students are more likely to require Math remediation.
- ◆ Pell Grant recipients are more likely to require Math remediation than non-Pell recipients.

Table 2
New Freshmen Needing English Remediation
as a Percent of All New Freshmen
by Student Characteristic

Category	Characteristic	Fall 2005			Fall 2006			Fall 2007		
		All New Fresh	Need Remed	%	All New Fresh	Need Remed	%	All New Fresh	Need Remed	%
Gender	Male	13,410	1,082	8.1%	13,615	917	6.7%	14,331	1,040	7.3%
	Female	16,225	1,234	7.6%	15,727	974	6.2%	16,321	1,022	6.3%
ACT English Score*	18 or Lower	5,850	1,760	30.1%	5,959	1,587	26.6%	5,631	1,699	30.2%
	19	1,742	133	7.6%	1,746	74	4.2%	1,837	108	5.9%
	20-21	4,454	185	4.2%	4,739	100	2.1%	4,831	84	1.7%
	22-26	9,263	64	0.7%	9,078	23	0.3%	9,953	31	0.3%
	27-36	5,900	5	0.1%	5,618	5	0.1%	5,909	1	0.0%
H.S. Rank*	Bottom Quartile	1,057	200	18.9%	985	157	15.9%	1,205	206	17.1%
	3rd Quartile	4,286	698	16.3%	4,191	561	13.4%	4,358	640	14.7%
	2nd Quartile	8,264	782	9.5%	8,157	661	8.1%	8,294	680	8.2%
	Top Quartile	11,426	347	3.0%	10,943	248	2.3%	11,125	242	2.2%
Race/ Ethnicity	African American	865	308	35.6%	903	313	34.7%	1,005	316	31.4%
	American Indian	233	22	9.4%	207	13	6.3%	256	22	8.6%
	Southeast Asian	522	175	33.5%	520	116	22.3%	566	137	24.2%
	Other Asian	592	80	13.5%	639	58	9.1%	605	68	11.2%
	Hispanic/Latino	688	122	17.7%	712	89	12.5%	839	124	14.8%
	<i>Students of Color Subtotal</i>	2,900	707	24.4%	2,981	589	19.8%	3,271	667	20.4%
	White/International	26,735	1,609	6.0%	26,361	1,302	4.9%	27,381	1,395	5.1%
Age	19 and Under	28,316	2,186	7.7%	28,002	1,779	6.4%	29,195	1,940	6.6%
	20 to 24	881	92	10.4%	886	94	10.6%	914	92	10.1%
	25 to 34	282	27	9.6%	302	15	5.0%	373	20	5.4%
	35 and Over	156	11	7.1%	152	3	2.0%	170	10	5.9%
Pell Grant	Recipient	4,960	772	15.6%	5,113	654	12.8%	5,857	778	13.3%
	Not a Recipient	24,675	1,544	6.3%	24,229	1,237	5.1%	24,795	1,284	5.2%
Total	All Char.	29,635	2,316	7.8%	29,342	1,891	6.4%	30,652	2,062	6.7%

* Subtotals do not necessarily sum to 100% due to missing data.

Table 2 (English)

- ◆ The percentage of new freshmen requiring English remediation decreased from fall 2005 to fall 2007.
- ◆ Men were slightly more likely to require English remediation than women.
- ◆ The data show a relationship between performance on ACT and need for English remediation.
- ◆ There is also a relationship between high school class rank and need for English remediation.
- ◆ Among students of color, African Americans are most likely to require English remediation.
- ◆ Students age 20 to 24 are most likely to require English remediation.
- ◆ Pell Grant recipients are more likely to require English remediation than non-Pell recipients.

Section III: Math and English Remediation Completion in the First Year

Charts 4 and 5 provide trend data for the percent of new freshmen who completed remediation in the first year, from fall 1990 to fall 2007. Over the period since the last report, from fall 2005 to fall 2007, the percentage of new freshmen who completed Math remediation in the first year remained steady between 57 percent and 60 percent (59.2% in fall 2007). During the same period of time, the percentage of new freshmen who completed English remediation in the first year increased from 73.6 percent to 75.4 percent. Appendix B contains UW institutional-level data, showing the number and percent of new freshmen who completed remediation in the first year from fall 2005 to fall 2007.

For new freshmen who entered the UW System in fall 2007 and required remediation, the first year Math remediation completion rate was the highest since 1994 and the first year English remediation completion rate was the highest since 2000. Compared to Math remediation, students are more likely to complete English remediation in their first year.

Chart 4
Math Remediation Completed in the First Year

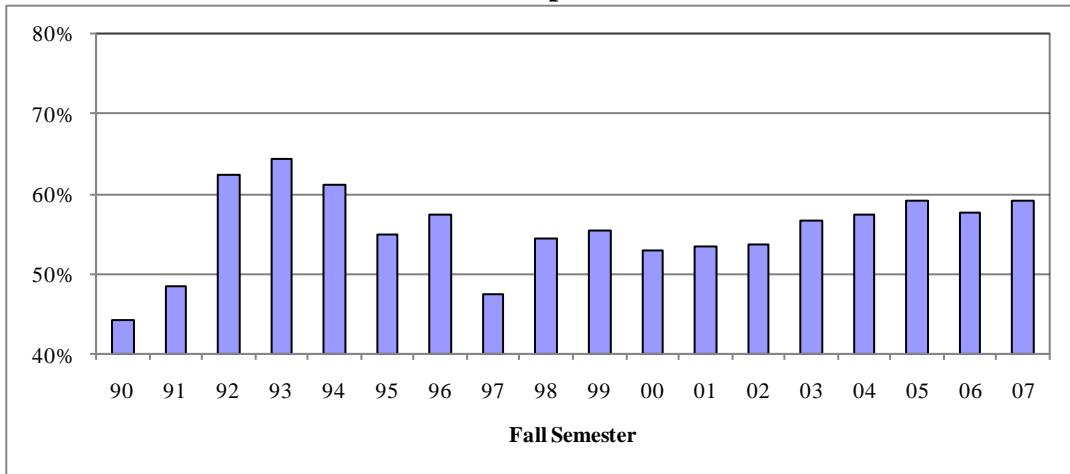
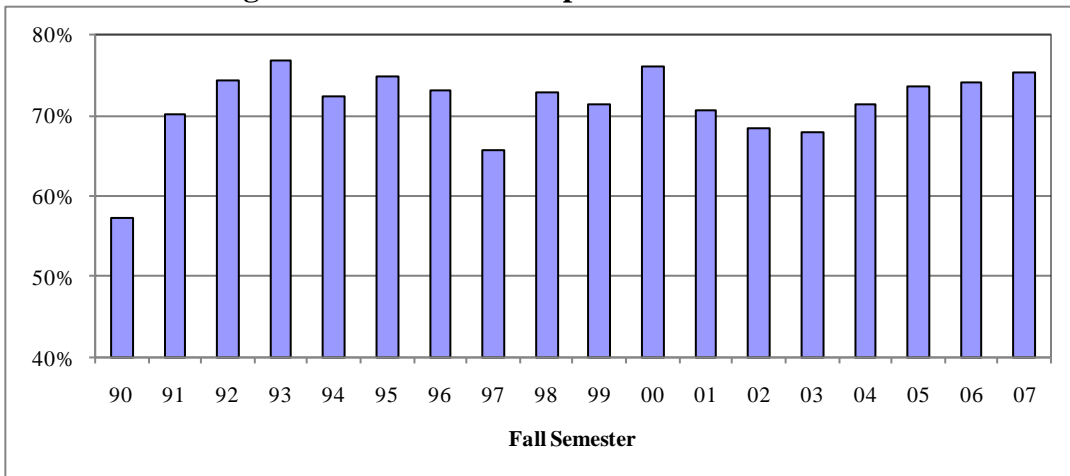


Chart 5
English Remediation Completed in the First Year



Tables 3 and 4 provide the numbers and percentages of new freshmen needing and completing remediation in the first year by selected student characteristics. Table 3 shows the data for students who completed Math remediation in the first year and Table 4 provides the data for students who completed English remediation in the first year. Both tables cover a three-year span from fall 2005 through fall 2007.

In general, for new freshmen needing remediation, students of color were less likely to complete Math and English remediation during their first year than White/International students. Of the new freshmen entering in fall 2007, 47.7 percent of students of color who needed Math remediation completed the remedial requirement in the first year, comparing with 61.7 percent of white/International students. African Americans and American Indians have lower rates of Math remediation completion in the first year than other students of color. Among all students, Southeast Asians have the highest rate of English remediation completion in the first year (81.8% in fall 2007).

Pell Grant recipients identify new freshmen from lower income families. In all three years, students who received a Pell Grant were less likely to complete Math and English remediation in the first year than non-Pell Grant recipients. Of the new freshmen entering in fall 2007 and needing Math remediation, 54.7 percent of Pell Grant recipients completed the requirement in the first year while 61.1 percent of non-Pell recipients completed the requirement in the first year.

Table 3
Students Completing Math Remediation in the First Year
as a Percent of All New Freshmen Needing Math Remediation
by Student Characteristic

Category	Characteristic	Fall 2005			Fall 2006			Fall 2007		
		Need Remed	Compl in the First Year	%	Need Remed	Compl in the First Year	%	Need Remed	Compl in the First Year	%
Race/ Ethnicity	African American	461	184	39.9%	484	169	34.9%	557	228	40.9%
	American Indian	61	28	45.9%	57	27	47.4%	69	28	40.6%
	Southeast Asian	132	92	69.7%	120	74	61.7%	150	91	60.7%
	Other Asian	75	46	61.3%	88	52	59.1%	102	63	61.8%
	Hispanic/Latino	193	115	59.6%	216	121	56.0%	271	138	50.9%
	<i>Students of Color Subtotal</i>	922	465	50.4%	965	443	45.9%	1,149	548	47.7%
	White/International	4,108	2,505	61.0%	4,412	2,660	60.3%	5,376	3,317	61.7%
Pell Grant	Recipient	1,361	724	53.2%	1,512	796	52.6%	1,917	1,048	54.7%
	Not a Recipient	3,669	2,246	61.2%	3,865	2,307	59.7%	4,608	2,817	61.1%
Total	All Char.	5,030	2,970	59.0%	5,377	3,103	57.7%	6,525	3,865	59.2%

Table 4
Students Completing English Remediation in the First Year
as a Percent of All New Freshmen Needing English Remediation
by Student Characteristic

Category	Characteristic	Fall 2005			Fall 2006			Fall 2007		
		Need Remed	Compl in the First Year	%	Need Remed	Compl in the First Year	%	Need Remed	Compl in the First Year	%
Race/ Ethnicity	African American	308	205	66.6%	313	204	65.2%	316	226	71.5%
	American Indian	22	15	68.2%	13	4	30.8%	22	17	77.3%
	Southeast Asian	175	135	77.1%	116	98	84.5%	137	112	81.8%
	Other Asian	80	54	67.5%	58	42	72.4%	68	52	76.5%
	Hispanic/Latino	122	81	66.4%	89	59	66.3%	124	83	66.9%
	<i>Students of Color Subtotal</i>	707	490	69.3%	589	407	69.1%	667	490	73.5%
	White/International	1,609	1,214	75.5%	1,302	996	76.5%	1,395	1,064	76.3%
Pell Grant	Recipient	772	547	70.9%	654	479	73.2%	778	585	75.2%
	Not a Recipient	1,544	1,157	74.9%	1,237	924	74.7%	1,284	969	75.5%
Total	All Char.	2,316	1,704	73.6%	1,891	1,403	74.2%	2,062	1,554	75.4%

Section IV: Retention Rates by Math and English Remediation

Figures 1 and 2 exhibit second-year retention rates of fall 2006 new freshmen. Comparisons are presented regarding the retention rates of students who needed remediation and those who did not. Further comparisons are shown among those who required remediation with respect to the completion of this requirement. Figure 1 presents retention rates in relation to Math remediation; Figure 2 presents retention rates in relation to English remediation.

The figures show that students who required remediation were less likely to be retained to the second year than students who did not need remediation. However, for those who needed and completed remediation during their first year, second-year retention rates were comparable to the rates for the students who did not need remediation. About 77 percent of students who needed and completed Math remediation were retained to the following year, while only 43.4 percent of those who needed but did not complete the requirement were retained. Similarly, almost 71 percent of students who needed and completed English remediation were retained to the following year, compared with only 31.6 percent of students who needed but did not complete remediation.

Students who needed remediation were also less likely to be retained to the third year than students who did not need remediation. Among students who required remediation, those who completed the requirement in the first year had a much higher third-year retention rate than students who did not complete the requirement. Of the new freshmen who needed and completed Math remediation in the first year, 56.8 percent were retained to the third year, while only 29.4 percent of those who needed but did not complete the Math requirement were retained to the third year. Similarly, the third-year retention rate was 52.4 percent for students who needed and completed English remediation during their first year, compared with 23.4 percent for those who did not complete the English requirement during their first year.

These findings may indicate the positive effect of the remediation programs offered at UW institutions on retention rates. Other factors that may influence these outcomes include differences among students in the number of semesters they are enrolled during the first year, and student support services which provide training and other assistance to students who need improved study techniques, learning strategies, and other higher education survival skills.

Key Findings

Figure 1 (Math)

- ◆ Math remediation was required by 18.3 percent of new freshmen in fall 2006.
- ◆ Of the new freshmen who did not require Math remediation, 78.2 percent were retained to the second year and 66.9 percent were retained to the third year.
- ◆ Of those who needed and completed Math remediation during their first year, 77.0 percent were retained to the second year, compared with 43.4 percent for those who did not complete the requirement during their first year.
- ◆ Of those who needed and completed Math remediation during their first year, 56.8 percent were retained to the third year, compared with 29.4 percent for those who did not complete the requirement during their first year.

Figure 2 (English)

- ◆ English remediation was required by 6.4 percent of new freshmen in fall 2006.
- ◆ Of the new freshmen who did not require English remediation, 76.4 percent were retained to the second year and 64.2 percent were retained to the third year.
- ◆ Of those who needed and completed English remediation during their first year, 71.0 percent were retained to the second year, compared with 31.6 percent for those who did not complete the requirement during their first year.
- ◆ Of those who needed and completed English remediation during their first year, 52.4 percent were retained to the third year, compared with 23.4 percent for those who did not complete the requirement during their first year.

Figure 1

**Second Year Retention Rate at Institution Where Started
for New Freshmen Entering Fall 2006
by Completion of Math Remedial Requirement**

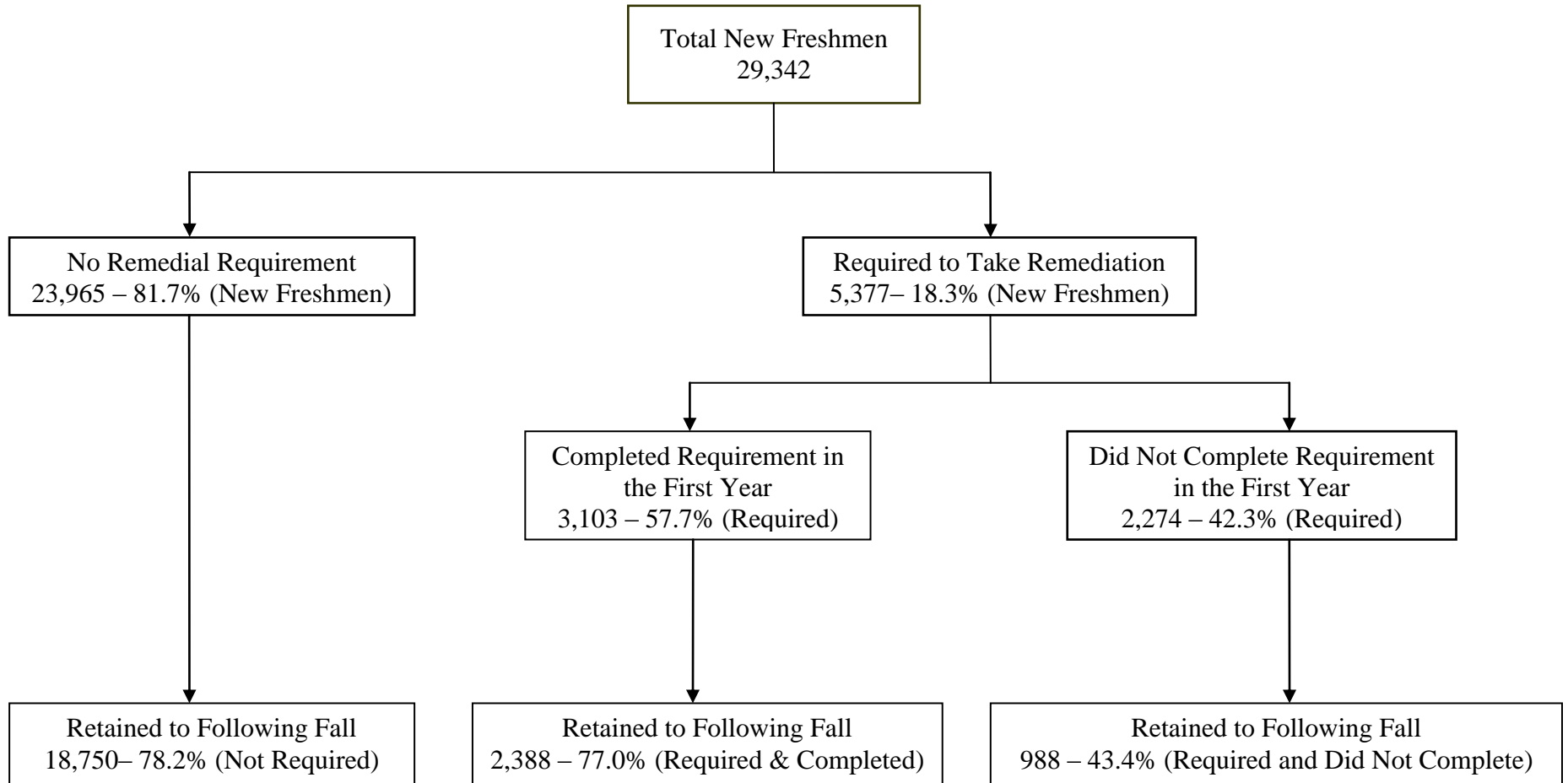
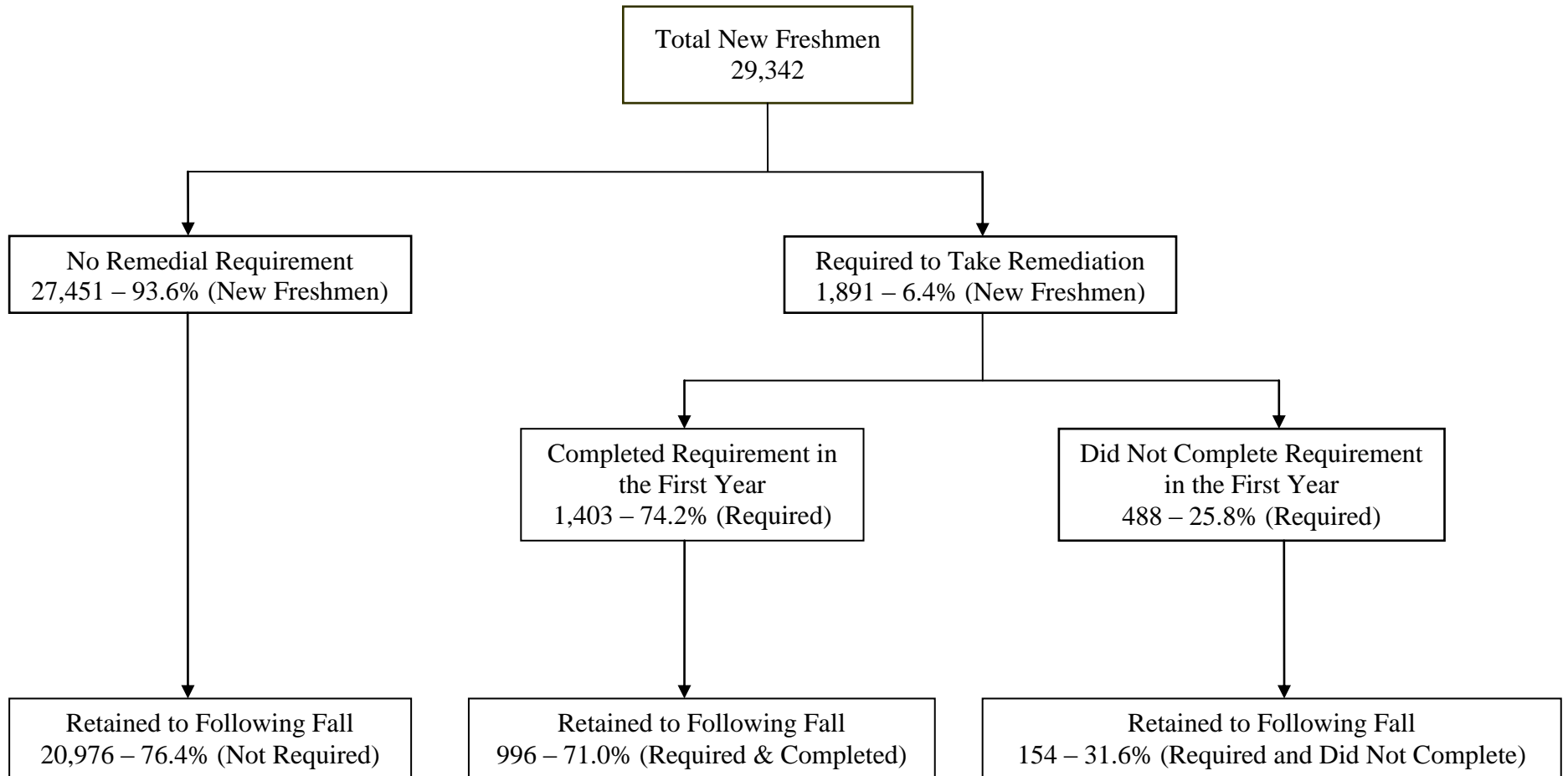


Figure 2

**Second Year Retention Rate at Institution Where Started
for New Freshmen Entering Fall 2006
by Completion of English Remedial Requirement**



Section V: Six-Year Graduation Rates by Math and English Remediation

Figures 3 and 4 exhibit six-year graduation rates of new freshmen entering full-time in fall 2002. These graduation rates are for all students who started at one UW institution and graduated from any institution within the UW System. Comparisons are presented regarding the graduation rates of students who needed remediation and those who did not. Further comparisons are shown among those who required remediation with respect to the completion of this requirement. Figure 3 presents six-year graduation rates in relation to Math remediation; Figure 4 presents six-year graduation rates in relation to English remediation.

While graduation rates of new freshmen identified as needing remediation are lower than those of new freshmen who do not require remediation, a significant percentage of students requiring remediation successfully complete their undergraduate education. Since all students identified as needing remediation are required to complete their remediation long before graduation, it is difficult to isolate the specific impact of remedial programs on the ability to complete a baccalaureate degree within six years. There are a variety of additional intervening factors that may influence a student's likelihood of graduating with a baccalaureate, including finances, family obligations, social issues, employment opportunities, and personal motivation.

Key Findings

Figure 3 (Math)

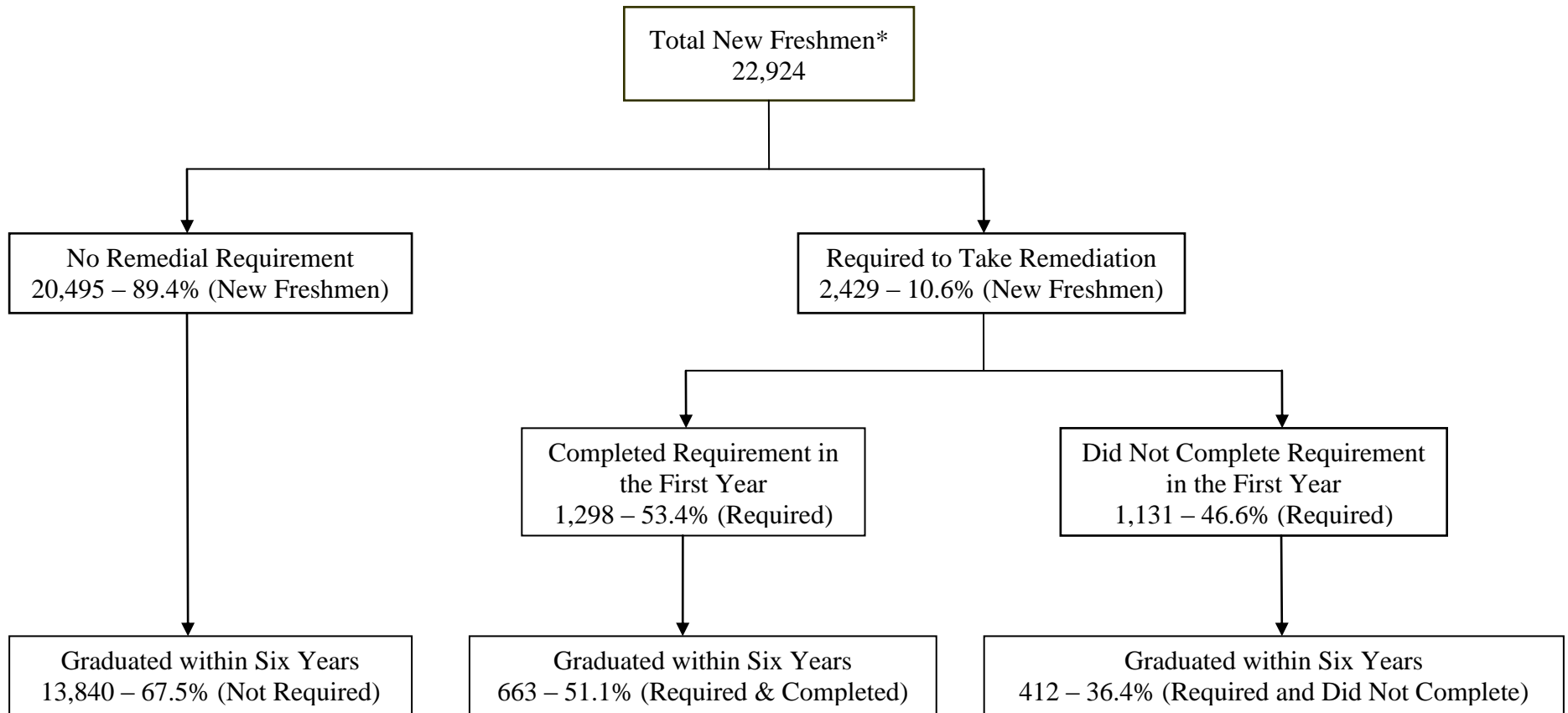
- ◆ Math remediation was required by 10.6 percent of new freshmen entering full-time in fall 2002.
- ◆ Of students who did not require Math remediation, 67.5 percent graduated in six years.
- ◆ Of those who needed Math remediation, 53.4 percent completed the requirement during their first year.
- ◆ Of those who needed and completed Math remediation during their first year, 51.1 percent graduated in six years, compared with 36.4 percent for those who did not complete the requirement during their first year.

Figure 4 (English)

- ◆ English remediation was required by 8.0 percent of new freshmen entering full-time in fall 2002.
- ◆ Of students who did not require English remediation, 67.2 percent graduated in six years.
- ◆ Of those who needed English remediation, 68.1 percent completed the requirement during their first year.
- ◆ Of those who needed and completed English remediation during their first year, 44.1 percent graduated in six years, compared with 31.5 percent for those who did not complete the requirement during their first year.

Figure 3

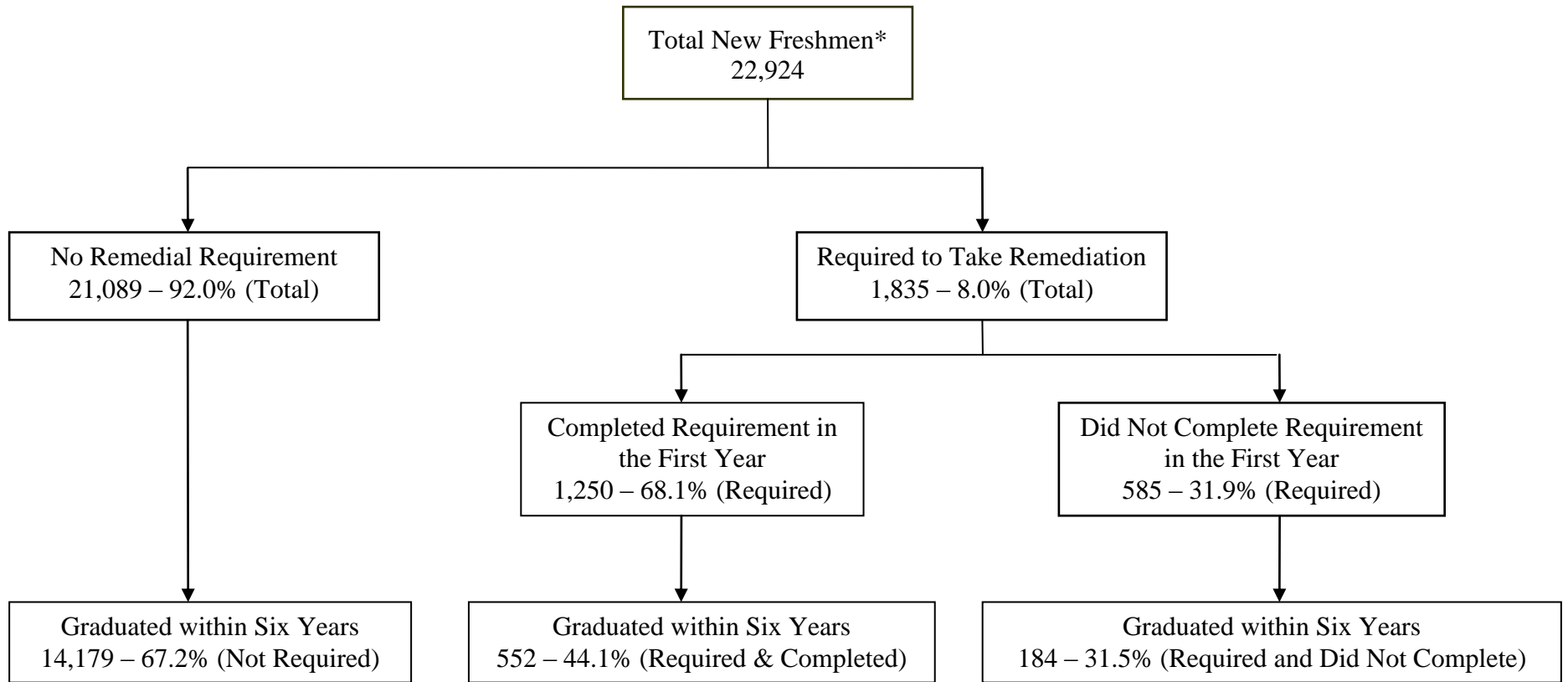
**Six Year Graduation Rate at Any UW Institution
for Full-Time New Freshmen Entering Fall 2002
by Completion of Math Remedial Requirement**



* UW Colleges were excluded.

Figure 4

**Six Year Graduation Rate at Any UW Institution
for Full-Time New Freshmen Entering Fall 2002
by Completion of English Remedial Requirement**



* UW Colleges were excluded.

Section VI: Efforts to Reduce Remediation and Promote Student Success

UW institutions are using a variety of tactics to reduce the need for Math and English remediation, as well as to ensure that the students who need remediation are retained and graduate.

The following is a selection (but by no means comprehensive list) of institutional efforts to reduce the need for Math and English remediation.

- ◆ Collaboration with high schools to align the mathematics curricula.

UW-Stout received a UW System Growth Agenda Grant to collaborate with instructors at Menomonie High School in an effort to better align curricula at the high school and college levels. The goal of this partnership, which will begin in August 2009 and run through the 2009-10 academic year, is to better prepare high school students for success in college mathematics courses.

At UW-La Crosse, the *MathCAST: Collaboration and Alignment to Advance Student Learning in Mathematics project* was recently funded through a UW System Growth Agenda Grant. In order to advance systemwide initiatives, the *MathCAST* project brings together a regional partnership to ensure the preparation and retention of students in rigorous college mathematics courses through 9-14 curriculum alignment, the development of technology-enhanced content modules, and the implementation of a college readiness program that will serve as a vehicle for improving the mathematics achievement of *all* students, especially those from underserved populations.

- ◆ Intervention programs with pre-college populations.

Remediation prevention services provide intervention programs for infants to high school students, designed to eradicate difficulties early enough to foster effective pre-collegiate preparation. The UW-Eau Claire Human Development Center, an interdisciplinary clinical program, offers low-cost assessment, intervention, and school consultation services for children and young adults. The Center helps clients with difficulties that include underachievement, developmental disabilities, learning disabilities, and poor reading skills, all of which have the potential to lead to the need for remedial education at the college level.

Examples of efforts to ensure the success of students who need remediation include:

- ◆ Use of new delivery models for remedial courses.

In spring 2009, UW-Green Bay piloted a new delivery model for remedial mathematics. Instead of the standard 14 week, 3 hour/week, every-other-day class meeting schedule, the course was delivered in an intensive 7 week module in which the students met 5 days a week for either 55 or 80 minutes a day. The course utilized a pedagogical approach whereby content was delivered and practiced daily in the classroom setting. The textbook had a sophisticated online homework and learning support component, and an undergraduate teaching assistant was available to assist students in the classroom and outside the class, either in one-on-one or small group tutorial sessions. The pilot was very successful: 87% of the participants in the pilot section passed the course. Student satisfaction was also very

high. Based on the successful pilot, the program will expand in fall 2009 to include all sections of remedial mathematics.

At UW-Milwaukee, students who are required to take remedial mathematics courses may choose to take the traditional semester-long 090 and 095 classes, or instead elect courses that are mastery-based, self-paced, and technology-supported combinations of 090/095 and 095/105. Students who choose these self-paced options advance quickly—often through three class-levels of mathematics in one semester, and do so with grades of A and B.

- ◆ Providing additional support for students in remedial Math and English courses.

UW-Parkside piloted two sections of Structured Learning Assistance (SLA) in ACSK 015: Elementary Algebra. These sections include an extra hour of workshop led by either mathematics professionals or senior mathematics students. The workshop leader attends all sessions of the class and leads a weekly workshop where students are able to review concepts, ask questions about the homework, and participate in quiz and test reviews.

UW-Platteville's Peer Assisted Learning Program (PAL) is based on the Supplemental Instruction Program used on many campuses. Students who have successfully completed a course participate in the course with the enrolled students, and offer alternative learning sessions outside the classroom. These sessions are in addition to the support offered by the instructors during office hours. The "PALs" offer tutoring, reviews for exams, and laboratory assistance at times when teaching staff are not available. It is not unusual for students to meet with the PALs during late afternoons, evenings, or on weekends.

UW-Whitewater plans to require additional interventions with students who need remedial coursework. Students will be required to enroll in a specific New Student Seminar section for their first semester and have a Career Inventory Program Assessment. These students will be assigned to an Academic Advisor in the Advising Center. They will not only be required to have their mandatory two meetings with their advisor but will be required to have an eight-week grade review. These students will have their grades checked in weeks six-seven and grades will be reviewed in week eight with their advisor. This same procedure will be repeated in the second semester of attendance.

- ◆ Summer bridge programs to give students a head-start on developing college success skills and completing remedial requirements.

UW-La Crosse's Academic Success Institute (ASI) provides a transitional bridge for students between high school and college. Students in the program are: 1) first-generation college students (neither parent earned a bachelor's degree); 2) members of a historically underserved group (multicultural student); or 3) economically disadvantaged. Most of the students in ASI are required to successfully complete the summer program before entering as first year students at UW-La Crosse in the fall semester. ASI students are enrolled in a remedial English course and take a Math workshop in the summer. The summer program extends into the freshman year with additional support for the students as they progress in their coursework.

- ◆ Development of a common set of learning outcomes and professional development for faculty teaching the courses.

UW Colleges English faculty have adopted a uniform set of composition learning outcomes for all composition courses including English 098. These learning outcomes are shared with all instructors and with all students. A workshop is planned for August to discuss implementation. The workshop is open to all English faculty and instructional academic staff members. The English faculty also hosted a Reaching At-Risk Students Workshop with over 100 UW System participants and have developed a web-based resource for instructors.

Each year, a UW Colleges-wide workshop is held, bringing developmental mathematics instructors, including faculty from the mathematics department, together to share and discuss pedagogical practices designed to increase student learning and motivation, use of technology in the classroom, and developing critical thinking and problem solving skills.

Appendix A

University of Wisconsin System Regent Policy Documents

(Source: <http://www.uwsa.edu/bor/policies/rpd/rpd4-8.htm>)

SECTION IV, 4-8 REMEDIAL EDUCATION POLICY

1. New freshman who are admitted to Institutions of the University of Wisconsin System in accord with criteria approved by the Board of Regents and whose scores on English or mathematics placement or proficiency tests indicate a low probability for success in college level courses in either or both of those subjects shall be required to complete successfully the necessary remedial courses prior to completion of 30 credits. Institutions may grant exceptions to individual students; however, they must clearly document the reasons for such exceptions.
2. Remedial courses in English and mathematics shall not generate credit toward a degree from Institutions in the University of Wisconsin System.
3. Remedial courses in English and mathematics offered by Institutions of the University of Wisconsin System may be taught by faculty and staff they employ, through the University of Wisconsin-Extension, or through contractual arrangements with local VTAE Units. An Institution's remedial courses should be available for students on its campus. The faculty of the University of Wisconsin System shall control the content, standards, and methods of instruction in its remedial courses.
4. The appropriate credit load for all students enrolled in remedial courses will be determined by the Institution. The Institution will be expected to advise students carefully about the appropriate number of credits based on students' high school performance and test scores. Beginning in fall of 1990 each Institution will provide an annual report to System Administration on the number of new freshman identified as needing remediation in English and/or mathematics and the number who successfully completed remedial courses in English and/or mathematics. The president will use this information to compile an annual report for the Board of Regents. *
5. No later than Fall 1991, all remedial courses in the University of Wisconsin System shall be offered on a fee recovery basis.
6. By October 1989, the University of Wisconsin System shall develop a detailed statement of the minimum college-level skills and competencies students are expected to have in mathematics and English upon entrance to the University. This statement shall be widely circulated and periodically updated. It should form the basis for college-preparatory courses in mathematics and English offered by secondary schools and for remedial courses offered by the University.
7. An initial screening for these competencies shall include admitted freshmen's scores on the ACT and any other additional performance criteria that each University of Wisconsin System Institution may choose. Students who score above the University of Wisconsin System established level on the ACT mathematics and English subtests are expected to have a high probability of success in college-level courses and may be exempted from further testing. For students who score below the University of Wisconsin System-established level, each Institution shall determine the specific instruments and performance criteria used for placement in college-level or remedial courses. Information about the University of Wisconsin System-established level on ACT mathematics and English subtests and each Institution's instruments and performance criteria shall be made available to the secondary schools and to potential University of Wisconsin students.
8. The University of Wisconsin System will cooperate with the Department of Public Instruction in developing a plan for assessing English and mathematics skills of high school students throughout the state. Examination results shall be made available to students, their parents, and their schools. Students whose scores suggest they are unlikely to place into college-level English and mathematics courses upon entering college shall be encouraged to take courses in high school that are designed to improve their English and mathematics competencies and lessen the possibility of their placing into remedial courses.

*Reporting period changed to once every three years by Res. 7382, 2/7/97.

History: Res. 5088 adopted 11/11/88; amended by Res. 5957 and 5958, 11/91.

Appendix B

New Freshmen Needing and Completing Math Remediation in the First Year, by UW Institution Fall 2005 through Fall 2007

Institution	Fall 2005				Fall 2006				Fall 2007			
	# Req Rem	% of Total New Freshmen	# Compl	% Compl of Rem Req	# Req Rem	% of Total New Freshmen	# Compl	% Compl of Rem Req	# Req Rem	% of Total New Freshmen	# Compl	% Compl of Rem Req
UW-Madison	63	1.0%	38	60.3%	40	0.7%	15	37.5%	42	0.7%	26	61.9%
UW-Milwaukee	1,251	28.8%	785	62.7%	1,290	31.5%	824	63.9%	1,771	38.5%	1,117	63.1%
UW-Eau Claire	197	9.5%	170	86.3%	181	8.9%	160	88.4%	111	5.5%	93	83.8%
UW-Green Bay	149	16.1%	102	68.5%	174	16.9%	134	77.0%	197	19.6%	148	75.1%
UW-La Crosse	63	3.6%	45	71.4%	70	4.0%	57	81.4%	81	4.6%	61	75.3%
UW-Oshkosh	163	10.0%	118	72.4%	169	9.6%	114	67.5%	627	35.6%	377	60.1%
UW-Parkside	458	52.2%	176	38.4%	517	57.0%	186	36.0%	531	55.8%	268	50.5%
UW-Platteville	575	46.1%	323	56.2%	619	43.0%	320	51.7%	595	38.5%	322	54.1%
UW-River Falls	125	10.3%	51	40.8%	147	11.3%	63	42.9%	141	11.0%	83	58.9%
UW-Stevens Point	141	9.2%	108	76.6%	166	10.1%	136	81.9%	152	9.4%	116	76.3%
UW-Stout	92	5.4%	64	69.6%	84	5.5%	56	66.7%	99	6.6%	79	79.8%
UW-Superior	140	40.5%	77	55.0%	114	36.5%	66	57.9%	124	35.4%	93	75.0%
UW-Whitewater	343	20.0%	296	86.3%	342	18.9%	281	82.2%	428	20.7%	347	81.1%
UW Colleges	1,270	30.8%	617	48.6%	1,464	35.6%	691	47.2%	1,626	38.8%	735	45.2%
TOTAL	5,030	17.0%	2,970	59.0%	5,377	18.3%	3,103	57.7%	6,525	21.3%	3,865	59.2%

Note: UW institutions use incoming students' scores on the UW System Mathematics Placement Test, ACT/SAT Math subscores, or a combination of these scores to determine if mathematics remediation is needed. Cutoff scores for mathematics remediation differ across the UW institutions.

**New Freshmen Needing and Completing English Remediation
in the First Year, by UW Institution
Fall 2005 through Fall 2007**

Institution	Fall 2005				Fall 2006				Fall 2007			
	# Req Rem	% of Total New Freshmen	# Compl	% Compl of Rem Req	# Req Rem	% of Total New Freshmen	# Compl	% Compl of Rem Req	# Req Rem	% of Total New Freshmen	# Compl	% Compl of Rem Req
UW-Madison	0	0.0%	0	N/A	0	0.0%	0	N/A	0	0.0%	0	N/A
UW-Milwaukee	791	18.2%	621	78.5%	602	14.7%	491	81.6%	713	15.5%	585	82.0%
UW-Eau Claire	13	0.6%	12	92.3%	14	0.7%	13	92.9%	15	0.7%	12	80.0%
UW-Green Bay	61	6.6%	57	93.4%	87	8.5%	79	90.8%	83	8.3%	78	94.0%
UW-La Crosse	34	1.9%	19	55.9%	15	0.9%	6	40.0%	26	1.5%	4	15.4%
UW-Oshkosh	42	2.6%	23	54.8%	25	1.4%	15	60.0%	35	2.0%	23	65.7%
UW-Parkside	348	39.6%	248	71.3%	389	42.9%	282	72.5%	378	39.7%	260	68.8%
UW-Platteville	59	4.7%	41	69.5%	59	4.1%	37	62.7%	80	5.2%	56	70.0%
UW-River Falls	29	2.4%	24	82.8%	19	1.5%	13	68.4%	98	7.6%	84	85.7%
UW-Stevens Point	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
UW-Stout	326	19.1%	254	77.9%	193	12.7%	154	79.8%	124	8.3%	96	77.4%
UW-Superior	79	22.8%	48	60.8%	54	17.3%	40	74.1%	68	19.4%	54	79.4%
UW-Whitewater	139	8.1%	132	95.0%	133	7.4%	133	100.0%	145	7.0%	143	98.6%
UW Colleges	395	9.6%	225	57.0%	301	7.3%	140	46.5%	297	7.1%	159	53.5%
TOTAL	2,316	7.8%	1,704	73.6%	1,891	6.4%	1,403	74.2%	2,062	6.7%	1,554	75.4%

NA = "Not Applicable" or "Not Available"

Note: UW institutions use incoming students' scores on the UW System English Placement Test, ACT/SAT English subscores, or a combination of these scores to determine if English remediation is needed. Cutoff scores for English remediation differ across the UW institutions.

EDUCATION COMMITTEE

Resolution I.1.f.(2):

That, upon recommendation of the Chancellor of the University of Wisconsin-Stout and the President of the University of Wisconsin System, the Board of Regents approves the University of Wisconsin-Stout's revised mission statement.

**REVISED MISSION STATEMENT
UNIVERSITY OF WISCONSIN-STOUT
(APPROVAL)**

EXECUTIVE SUMMARY

BACKGROUND

Chapter 36.09(b), Wis. Stats., requires that "the Board, after public hearing at each institution, shall establish for each institution a mission statement delineating specific program responsibilities and types of degrees to be granted."

The University of Wisconsin-Stout requests approval for its revised Mission Statement. A campus committee led by the Provost and charged by the Chancellor developed the new mission statement to more accurately reflect UW-Stout's designation and identity as the UW System's polytechnic institution. The revised mission was extensively reviewed by the campus community and unanimously endorsed by all three governance groups. Copies of UW-Stout's current mission and its proposed revised mission are attached.

UW-Stout's revised mission statement underwent initial review at the June 4, 2009, meeting of the Education Committee. On July 28, 2009, a public hearing was held on the UW-Stout campus, presided over by Regents Mark Bradley and Aaron Wingad, and attended by members of the campus community. Approximately 30 individuals attended the hearing, including representatives from the Chancellor's Advisory Council, Faculty Senate, Senate of Academic Staff, Stout Student Association, and the Mission Development Committee. The community was invited through announcements in two area newspapers, the Eau Claire Leader-Telegram and Dunn County News.

REQUESTED ACTION

Approval of Resolution I.1.f.(2), approving UW-Stout's revised mission statement.

Select Mission of the University of Wisconsin-Stout (Current)

University of Wisconsin-Stout, as a special mission institution, serves a unique role in the University of Wisconsin System. UW-Stout is characterized by a distinctive array of programs leading to professional careers focused on the needs of society. These programs are presented through an approach to learning which involves combining theory, practice and experimentation. Extending this special mission into the future requires that instruction, research and public service programs be adapted and modified as the needs of society change.

- The university offers undergraduate and graduate programs leading to professional careers in industry, commerce, education and human services through the study of technology, applied mathematics and science, art, business, industrial management, human behavior, family and consumer sciences, and manufacturing-related engineering and technologies.
- The university integrates the humanities; arts; and natural, physical and social sciences into its undergraduate programs. Experiences in these areas provide a foundation for the major field of study, promote continuing personal and professional growth, and prepare the student to deal constructively with issues and opportunities of the future. The university places special emphasis upon student development.
- The university's programs center on human development and interpersonal relationships, efficient and effective practices in industry, commerce, education and human services and the relationships of individuals to their environment and to society.
- The university develops new educational strategies, provides opportunities to learn through involvement and experimentation, and creates a climate of inquiry. The university experiments with new instructional methods in the interest of improving the learning process.
- The university expects scholarly activity including research, scholarship, development and creative endeavor that supports its programs at the baccalaureate level, its select graduate programs and its select mission.
- The university, through outreach and public service, addresses the needs of society and contributes to the welfare of the state and to its economic and technological development and cooperates with University of Wisconsin-Extension.
- The university cooperates with the other University of Wisconsin institutions; the Wisconsin Technical College System, and other state and national agencies; and participates in statewide, national, and international programs.

Select Mission of the University of Wisconsin-Stout (Revised)

University of Wisconsin-Stout is a career-focused, comprehensive polytechnic university where diverse students, faculty and staff integrate applied learning, scientific theory, humanistic understanding, creativity and research to solve real-world problems, grow the economy and serve a global society.

Approved by the UW-Stout Faculty Senate, Senate of the Academic Staff, and the Stout Student Association in Spring 2009.

Program Authorization (Implementation)
B.S. in Kinesiology
University of Wisconsin-Oshkosh

EDUCATION COMMITTEE

Resolution I.1.f.(3):

That, upon recommendation of the Chancellor of the University of Wisconsin-Oshkosh and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.S. in Kinesiology.

**NEW PROGRAM AUTHORIZATION
Bachelor of Science-Kinesiology Major
University of Wisconsin-Oshkosh**

EXECUTIVE SUMMARY

BACKGROUND

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised June 2009), the proposal for a Bachelors of Science in Kinesiology at the University of Wisconsin-Oshkosh is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin five years after its implementation. UW-Oshkosh and System Administration will conduct that review jointly, and the results will be reported to the Board.

The proposed B.S. in Kinesiology represents the progression of an academic program from an educational emphasis to a major. The Department of Kinesiology wishes to provide more programmatic focus to the discipline of Kinesiology by taking a successful existing baccalaureate program emphasis in Kinesiology and enhance its core structure. This change focuses on the development of the Exercise Science and Health Promotion Emphasis into the Kinesiology major. The program will provide a foundation for understanding the structure and function of the human body during movement activities. The proposed Kinesiology major will be housed in the Department of Kinesiology in the College of Letters and Science.

REQUESTED ACTION

Approval of Resolution I.1.f.(3), authorizing the implementation of the B.S. in Kinesiology at the University of Wisconsin-Oshkosh.

DISCUSSION

Program Description

The Kinesiology program is meant to prepare students for a variety of career opportunities in the human movement science industry and consists of three educational tracts: Exercise & Fitness, Strength & Conditioning, and Healthcare-Science. Students in the Exercise & Fitness track will be trained to provide direct intervention, assisting the general public in understanding how to build and maintain physical fitness while improving health and wellness. The students in the Strength & Conditioning emphasis will be trained to practically apply knowledge and skills to assess, motivate, educate, and appropriately manage athletes for the primary goal of sports performance. The students in the Healthcare-Science emphasis will acquire a solid academic foundation for pursuing an advanced degree in health professions. Since the program is organized to prepare students for a variety of careers, the course requirements for the different emphases are distinct.

In order to graduate with a major in Kinesiology students must complete 120 degree credits, of which 49 are required general education credits. In the Exercise & Fitness Emphasis, students must also complete 64 credits required by the major (including the Core Science, the Common Kinesiology, and the Exercise & Fitness courses), for a total of 113 credits; these students also take 7 credits in electives. In the Strength & Conditioning Emphasis, students must complete 65 credits required by the major (including the Core Science, the Common Kinesiology, and the Strength & Conditioning courses), for a total of 114 credits; these students also take 6 credits of electives. In the Healthcare-Science emphasis, students must complete 82 credits in the major. In this emphasis, however, they are only required to complete an additional 35 credits in general education courses because the required math and additional science courses meet some of the general education requirements. Furthermore, there are 15 credits of electives built into the emphasis. There are a total of 117 required credits for this emphasis and the students take an additional 3 credits of electives.

At the end of their program students may participate in a variety of high-impact practices or culminating experiences. The internship requirements for the program include a minimum of 12 credits (~420 hours). Students gain experience within the Exercise & Fitness or Strength & Conditioning field, as well as the completion of a major project. In the Healthcare-Science emphasis, options for the students include a senior thesis, an internship, or a service-learning independent study. Additionally, the program will offer undergraduate student research opportunities for students who choose this option.

Program Goals and Objectives

The core objective of the Bachelor of Science in Kinesiology is to ensure that graduates of the program can critically assess movement from a perspective of general health enhancement through exercise (i.e. Exercise & Fitness emphasis), performance enhancement (i.e. Strength & Conditioning emphasis), and as a foundation for understanding function and disease (i.e. Healthcare-Science emphasis). Each of these emphasis areas are guided by disciplinary research and standards set forth by the industry's leading national organizations. To that end, the objectives of the program align with the professional organizations in the field of Kinesiology. Furthermore, the Kinesiology Department and the major will continue to work towards inclusive excellence with a focus on health enhancement for all people, independent of race, ethnicity, sexual orientation, or gender.

Core Learning Outcomes include:

- Knowledge of exercise physiology and the general effects of exercise on the human body;
- Pathophysiology and risk factors of exercise in a diverse population of clients;
- Understanding of the effects of exercise on some disease states in order to manage patients;
- Understanding of nutrition and weight management;
- Maintaining the safety of all clients; and
- Understanding of human behaviors contributing to activity, pulmonary, metabolic and orthopedic issues.

Relation to Institutional Mission

The curriculum builds on an existing emphasis already offered in the Department of Kinesiology which aligns with the University of Wisconsin-Oshkosh Strategic Directions and includes a focus on community, teaching, and scholarship through research, internships, and teaching excellence. The proposed Kinesiology major incorporates a strong experiential learning component facilitated through one-on-one learning opportunities in the class/laboratory, off-campus practica and internships, and other collaborative experiences. The proposed Kinesiology major will have a strong scientific and research base, providing students with the knowledge to be responsive to “explore and engage the challenges that confront regional, national and global communities, using their intellectual and creative abilities to understand, investigate, and solve problems” (UW-Oshkosh Academic Program Plan). Furthermore, the proposed Kinesiology major directly relates to the mission of the University of Wisconsin Oshkosh, which is to “provide students with access to a high-quality, affordable, comprehensive education that enables them to develop their general intellectual capacities, specific interests, and abilities through academic programs and personalized student development services.”

Program Assessment

Program Level: The program will be evaluated using the academic program review process that is already a part of UW-Oshkosh’s governance process. The program will seek Commission on Accreditation of Allied Health Professions (CAAHEP) accreditation. Once accredited, the program will be required to submit yearly reports demonstrating compliance. The current Strength and Conditioning minor has met the criteria for academic programs identified by the National Strength and Conditioning Association and will continue to remain in compliance with this rigorous set of standards.

Student achievement reflecting how well students are meeting the core learning programs will be used to assess the program. Students will demonstrate their competency by obtaining certification through the American College of Sports Medicine and the National Strength and Conditioning Association (NSCA). Other means of program evaluation will include senior exit interviews and alumni surveys. The faculty in the Department of Kinesiology will be responsible for administering the exit and alumni surveys as well as analyzing and interpreting the data collected. In an annual program review meeting, the faculty will identify possible program responses for future implementation. Following implementation, changes will be reviewed for their effectiveness in subsequent years.

Faculty Staff Assessment: Faculty and academic staff members will be evaluated by student opinion surveys and the peer review process. These data will be utilized by instructors as a means to continually improve their courses and teaching methods. The data will be examined by renewal committees at the department, college, and university levels for competency of faculty and staff teaching performance.

Need

The need for healthcare practitioners involved in preventing disease is going to grow over the next several decades. The Bureau of Labor Statistics indicates that careers in the Fitness

Industry will increase 27% from 2006 to 2016. Careers in the fitness industry associated with the elderly or people with disabilities will increase by 58%, careers in the fitness industry related to children will increase by 22%, and careers associated with universities will increase 12%. Diseases in which the effects can be reduced through exercise are increasing rapidly in the population. These diseases include diabetes, cardiovascular disease, obesity, some forms of cancer, and many others. Additionally, more people are learning of the benefits of exercise and a healthy lifestyle, but fewer are learning how to incorporate these lifestyle changes into their daily habits. The students trained in the Kinesiology program will be able to meet the health and fitness needs of American society. The program's Exercise & Fitness emphasis will seek accreditation by the Commission on Accreditation of Allied Health Professions (CAAHEP), ensuring that UW-Oshkosh students are being taught the proper knowledge, skills, and abilities to be successful professionals. Upon graduation, students will be prepared to sit for the American College of Sports Medicine's (ACSM) Health and Fitness Specialist Certification, which is nationally accredited by the National Commission for Certifying Agencies (NCCA). The ACSM is also the leading organization in sports medicine and exercise science. Students are not required to meet this certification standard, but will be mentored to do so. Graduates of this program will be employable in the commercial, corporate, and community fitness industry. Employees in these sectors will perform tasks such as health risk assessments, exercise programming, group fitness instruction, and outpatient rehabilitation programs.

The Certified Strength and Conditioning Specialist or CSCS certification is the gold standard of strength and conditioning certifications and will enhance student resumes upon graduation. More and more job settings are requiring credible, national certifications of employees. The CSCS is the only strength training and conditioning certification to be nationally accredited by the NCCA and has been nationally accredited since 1993. According to the NSCA, more people are becoming recertified each year as 21,311 individuals were recertified as of December 31, 2008, compared to 17,014 being recertified as of December 31, 2005. More recent statistics provided by the NSCA indicate that 93% of employers (n=770) of NSCA-certified individuals believe that their certified employees will greatly improve athletic performance in their clients. The same survey found that 92% of employers in a university/college setting felt that hiring a Certified Strength and Conditioning Specialist (CSCS) improved the credibility of their organization. Finally, 78% of all NCAA Division I National Championship teams had at least one CSCS certified professional on their strength and conditioning staff. As mentioned, the objectives of the academic program are closely aligned with the objectives of the NSCA; thus Oshkosh Kinesiology graduates will be well qualified to work with athletes to improve athletic performance.

Program Enrollment Projections

In 2007, the programs in the Kinesiology Department were the sixth most popular majors at UW-Oshkosh. In fact, the Exercise Science & Health Promotion (ESHP) emphasis has reached its enrollment capacity of 120 students (total accepted enrollment). The admissions process for this program is selective and will help the Department maintain acceptable enrollment levels in its courses. In previous semesters, approximately 10% of student applicants were not admitted. It is expected that this number will grow as the admissions process becomes more selective due to greater interest from high-performing students. Currently, there are 124

students accepted in the program and there are another 90 students designated as pre-ESHP who have declared the major, but have not yet been accepted into the program. Once it is established, the major will limit the number of new students accepted to thirty students per year. Attrition rates based on past data in the program indicate that attrition is less than 5% annually.

TABLE 1

Projected Student Enrollment					
	1 st year	2 nd year	3 rd year	4 th year	5 th year
New students admitted to the major	30	60	30	30	30
Continuing students (admitted to the major)	90	90	120	120	120
Students graduating	30	30	30	30	30
Total enrollment	120	150	150	150	150

Comparable Programs

Four UW System institutions offer a curriculum that is similar to the Exercise & Fitness emphasis in the proposed Kinesiology major: UW-La Crosse, UW-Eau Claire, UW-Milwaukee, and UW-Madison. All of these programs prepare students to work in health services, such as preventative physical health care in fitness establishments. Most of these programs, including the Department of Kinesiology at UW Oshkosh, suggest certification for their students by the American College of Sports Medicine. There are no Strength & Conditioning Emphases at the other public universities in the state. All of these Kinesiology programs are operating at or near capacity, including the current emphasis offered at UW-Oshkosh. Without the new Kinesiology major at UW-Oshkosh, there would be approximately 150 students who would not be served by the UW System. Assuming these students would be interested in transferring, the other UW System programs would not have the capacity to meet the current demand.

Collaboration

The program will develop collaborations with health care programs in the region in order to place students for internships. The Kinesiology department is currently collaborating with other departments on campus (specifically, Psychology and Biology) to develop research projects. Future plans are in place to collaborate on research activities, grant writing, and possibly even the sharing of graduate students. Recently, members of the Kinesiology Department have started a relationship with the UW System Women & Science program. This program works to improve opportunities for women and minorities in science, technology, engineering, and mathematics (STEM) fields. As an interdisciplinary field of study, Kinesiology is well suited to aid in the integration of these underserved groups into the Kinesiology profession, science, and into academe. The Department, in general, has collaborations with faculty members at the University of Wisconsin-Madison and Marquette University.

Diversity

UW-Oshkosh is committed to finding ways to expand the diversity of its student body and faculty. This goal is reflected in the Academic Program and Student Outcomes Assessment Plan and in the goals to meet the strategic challenges for the student body and faculty composition as identified by the University. The University has in place academic and student support programs specifically created for students of color through the Center for Academic Support and Diversity and the Center for Academic Resources, and these programs will be available to Kinesiology students.

The Department of Kinesiology feels strongly that all students, regardless of race, sex, gender identity or expression, religion, color, creed, disability, sexual orientation, national origin, ancestry, socioeconomic status, or age should be given access to the benefits of higher education. In order to attract students from diverse backgrounds into the program, the Kinesiology major will be represented at various campus events, including precollege programs and Multicultural Preview Days. The Department plans to continue improving its recruitment of a diverse student population by working to promote Kinesiology to the cultural and ethnic-based student groups at the University. Department faculty members have spent time teaching in the summer precollege programs designed to recruit youth from varied backgrounds and heritage; they have also worked closely with the Women & Science program which is devoted to improving diversity in the sciences. In addition, Kinesiology faculty and staff will establish a strong relationship with the Office of Undergraduate Admissions staff, particularly the recruitment specialists. The Department of Kinesiology also understands the importance of having a diverse faculty and intends to pursue additional methods to recruit women and minorities and to collaborate with university-wide recruitment efforts.

The Kinesiology major entails a rigorous curriculum that supports diversity in its outcomes. One of the objectives of the proposed program is to prepare professionals to work with individuals to improve physical abilities. Students who choose to major in Kinesiology will be taught to respect and integrate respect for personal, cultural, and national differences while working to better their health, physical fitness, and physical performance. The coursework and projects focus on the specific needs and individualized treatment of clients who come from diverse backgrounds. In several courses, professionals from the Oshkosh region are invited to class to provide perspectives from many backgrounds, experiences, and programs of study. Furthermore, the Department supports diversity by preparing students to understand the cultural norms of different groups including nutritional intake and behavioral/social activity norms.

In addition, students' practicum and internship experiences may allow them to work in diverse settings. These settings include a community center for older individuals, the university wellness center, the athletic department, rehabilitative settings, and the employee fitness center. Students work with clients from a wide variety of age group, focusing particularly on older individuals. They will also work with clients who have a large variety of fitness levels, including clients who may have severely debilitating diseases, older adults, and college and high school athletes. The employee fitness program allows the students to work with the campus faculty and academic staff. This group of people is considerably more ethnically and culturally diverse than the population of greater Oshkosh.

Finally, the Department of Kinesiology looks forward to establishing relationships with other local clinical sites that serve Hmong and Native populations in the Oshkosh community. When students enter the internship experience, they may choose sites from around the region, nation, or world. The Department strongly encourages students to leave the area for the internship in order to broaden their experience. Previous students have had internships in Florida, Illinois (Chicago), South Carolina, Texas, Colorado, New Jersey, Arizona, and Michigan. Students have returned from these internships with a broader understanding of diversity, culture, and the nation.

Evaluation from External Reviewers

The program was reviewed by two external reviewers and received strong endorsements as well as some specific suggestions for program improvements. One reviewer suggested that the program add courses in counseling, behavior modification, design of basic instruments, kinesiology across the lifecycle, and a course on technological advances in the field. In fact, courses currently within the major do include components on behavior modification, design of instruments, and technological advances. The Department agreed to look into adding elective courses in the additional areas. The second reviewer suggested the addition of a course in Wellness Coaching. The program faculty concurred with this suggestion, as well, and plan to add this course for Fall 2010. Both reviewers recommended that the program maintain a curriculum aligned with American College of Sports Medicine (ACSM) guidelines and the National Strength and Conditioning Association (NSCA) standards. The program will apply for program certification through these high-quality agencies in 2011. One reviewer suggested that the Department build a group of likely internship sites across the state and country. The Department already provides this service to students so as not to limit the internship choices of students to Wisconsin only, and to allow for greater experience with diverse populations. Finally the reviewer also suggested that the Department change the name of the Healthcare-Science Emphasis to the Health Science Emphasis. The faculty agrees that the term Health Science is broader and more indicative of the range of possible future careers, so this change will be made at the time of the implementation of the new major.

Resource Needs

The Kinesiology program is built on the foundation of courses that are currently funded via general program revenue (GPR). The proposed major in Kinesiology will require 9.3 FTE (already in place) as follows:

Department Chair/Professor	1.0 FTE
Athletic Training Professors	3.3 FTE
Motor Learning/Biomechanics Professor	1.0 FTE
Strength and Conditioning Academic Staff	1.0 FTE
Ad Hoc, Part-time Instructional Staff	2.0 FTE
Classified staff	1.0 FTE

Supplies and Expenses required by the proposed major will include office supplies, phone, fax, and computer charges, duplicating services, copy machine maintenance, mileage reimbursement for internship site visits, and general maintenance of certain lab areas. The

library funds will be used for adding new journals, ordering academic software, and maintaining and updating the department collection and databases.

BUDGET FORMAT: AUTHORIZATION TO IMPLEMENT

Estimated Total Costs and Resources

	FIRST YEAR		SECOND YEAR		THIRD YEAR	
CURRENT COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff	8.3	\$576,044	8.3	\$593,324	8.3	\$611,123
Graduate Assistants	0		0		0	
Non-instructional Academic/Classified Staff	1.0	\$ 51,918	1	\$ 53,475	1	\$ 55,079
Non-personnel						
Supplies & Expenses		\$9,212		\$9,488		\$ 9,772
Library		\$1,737		\$1,789		\$1,842
Subtotal	9.3	\$638,911	9.3	\$658,076	9.3	\$677,816
ADDITIONAL COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel	0	0	0		0	0
Nonpersonnel		0		0		0
TOTAL COSTS		\$638,911		\$658,076		\$677,816
CURRENT RESOURCES						
General Purpose Revenue		\$638,911		\$658,076		\$677,816
Subtotal		\$638,911		\$658,076		\$677,816
ADDITIONAL RESOURCES						
Reallocation		0		0		0
Subtotal		0		0		0
TOTAL RESOURCES		\$638,911		\$658,076		\$677,816

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.f.(3), authorizing the implementation of the B.S. in Kinesiology at the University of Wisconsin-Oshkosh.

RELATED REGENT POLICIES

University of Wisconsin System Academic Planning and Program Review (November 10, 1995) Academic Informational Series #1 (ACIS-1.0, revised June 2009).

Program Authorization (Implementation)
B.B.A. in Entrepreneurship
University of Wisconsin-Whitewater

EDUCATION COMMITTEE

Resolution I.1.f.(4):

That, upon recommendation of the Chancellor of the University of Wisconsin-Whitewater and the President of the University of Wisconsin System, the Chancellor be authorized to implement the B.B.A. in Entrepreneurship.

NEW PROGRAM AUTHORIZATION
Bachelor of Business Administration in Entrepreneurship
University of Wisconsin-Whitewater

EXECUTIVE SUMMARY

BACKGROUND AND HISTORY

In accordance with the procedures outlined in Academic Planning and Program Review (ACIS-1.0, revised June 2009), the new program proposal for a Bachelor of Business Administration (BBA) in Entrepreneurship at the University of Wisconsin-Whitewater is presented to the Board of Regents for consideration. If approved, the program will be subject to a regent-mandated review to begin five years after its implementation. UW-Whitewater and System Administration will conduct that review jointly, and the results will be reported to the Board.

In 1988, UW-Whitewater instituted an emphasis in Entrepreneurship within the General Business major in the College of Business & Economics (COBE). Designed to be interdisciplinary, with required coursework in Management, Finance, and Marketing, the emphasis was subsequently reassigned to the College's Department of Management. Since its establishment, interest in the Entrepreneurship emphasis has climbed dramatically, growing from approximately 20 students to more than 120 students in the past ten years. As global competition has intensified and job security continues to wane, the importance of an "entrepreneurial mindset," which includes the ability to seek out and recognize new growth opportunities in both new and existing ventures, has likewise increased in importance. In the summer of 2006 the College of Business & Economics (COBE) formed an external Entrepreneurship and Innovation Advisory Committee composed primarily of highly successful entrepreneurs. This Committee urged strong consideration for enhancing the entrepreneurship curriculum, including the addition of an entrepreneurship major. Faculty governance groups on the UW-Whitewater campus, including the University Curriculum Committee and Faculty Senate, supported this recommendation by approving the proposed change from an existing emphasis in Entrepreneurship to the major within the BBA degree in 2008.

According to the 2008 Kauffman Foundation report, *Entrepreneurship in American Higher Education*, "entrepreneurship is one of the fastest-growing subjects in today's undergraduate curricula. In the past three decades, formal programs (majors, minors, and certificates) have more than quadrupled, from 104 in 1975 to more than 500 in 2006. The development of discrete courses in entrepreneurship has been exponential." Consistent with the need to develop new "mindsets" for business development, the goals of the proposed BBA in Entrepreneurship are to provide students with the confidence and knowledge to start their own businesses based on viable, high-impact opportunities, and/or to provide them with the tools to bring entrepreneurial and innovative thinking to existing businesses.

REQUESTED ACTION

Approval of Resolution I.1.f.(4), authorizing the implementation of the BBA in Entrepreneurship at the University of Wisconsin-Whitewater.

DISCUSSION

Program Description

Entrepreneurship is the art and science of conceptualizing, screening, planning, launching, and operating a new enterprise. Entrepreneurship can be applied to new for-profit and not-for-profit enterprises, as well as enterprises with existing operations. The Entrepreneurship major brings together faculty and courses from across business disciplines (including Marketing, Management, and Finance) to provide a foundation for developing the knowledge and skills it takes to launch and operate an enterprise in a manner consistent with a sustainable environment.

The credits required for a Bachelor's of Business Administration (BBA) degree are 120 for all majors in the College. All students completing a BBA degree in any major must complete 54 units of lower- and upper-division Core College of Business and Economics requirements, and complete 20 hours of community service in addition to the major. The major in Entrepreneurship will consist of 27 credits, including a sophomore-level "Introduction to Entrepreneurship" course, 3 required junior-level, and 3 required senior-level courses in Marketing, Entrepreneurship, and Finance, and six credits of junior- or senior-level electives in COBE in consultation with an advisor. This major can be completed within 4 years, averaging 15 credits per semester.

The program will be housed in the Department of Management. The Program Coordinator will be a faculty member in the Department who will oversee the day-to-day operations of the program, advise students, oversee the curriculum, and work with the Entrepreneurship and Innovation Advisory Committee. Moreover, Hyland Hall, UW-Whitewater's new business building, has a Center for Entrepreneurship and Innovation, designed to spawn economic growth.

Program Goals and Objectives

Upon completion of the Entrepreneurship major, graduates will have the abilities and confidence to start and grow new business ventures, and become forces for innovation and growth within existing companies. The learning outcomes, or skill-based objectives, that support the two broader objectives are to provide students with the ability to:

- identify and explain issues confronting diverse entrepreneurial and family businesses;
- evaluate the viability of businesses and new business proposals, as well as opportunities within existing businesses;
- develop familiarity with entrepreneurial management and growth through strategic plans, consulting projects, and/or implementing their own businesses;

- prepare a start-up business plan emphasizing financing, marketing, and organizing;
- create and defend an entrepreneurial marketing plan based on limited resources; and
- develop *pro forma* financial statements and understand the advantages and disadvantages of various forms of both new venture financing and growth financing for existing businesses.

Relation to Institutional Mission

The mission of the University of Wisconsin-Whitewater is to further “the development of the individual, the growth of personal and professional integrity and respect for diversity and global perspectives.” The goals of the mission are met by “providing a safe and secure environment in which academic and co-curricular programs emphasize the pursuit of knowledge and understanding and a commitment to service.” The proposed BBA in Entrepreneurship will contribute to this mission by fostering personal and professional integrity and educating students about global perspectives in their pursuit of knowledge. It will also develop their commitment to the community they live in. Specifically, the proposed major in Entrepreneurship advances Point Five of Whitewater’s mission, “to serve as a regional cultural and economic resource center through its service initiatives.”

The Strategic Plan of the University of Wisconsin-Whitewater plays an important part in the advancement of Whitewater’s mission. It specifies five major components that each program must consider in pursuit of sustainable excellence in support of the Select Mission of the University: programs and learning; scholar-educator community; diversity and global perspectives; regional engagement; and professional and personal integrity. The BBA in Entrepreneurship supports the University’s Strategic Plan in the following ways:

Programs and learning: UW-Whitewater’s objective is “to expand and extend learning [by providing] dynamic and accessible educational and co-curricular programs. This will be accomplished, in part, by focusing on attracting and supporting academically motivated and involved students who demonstrate a strong work ethic and passion for success.” Entrepreneurship allows students to pursue their passion for business ventures in their individual areas of expertise or interest, exemplified by high levels of intrinsic motivation.

Scholar-educator community: The nature of the Entrepreneurship major requires close faculty-student interaction, so students and faculty work together to create “new knowledge” as new ventures are developed.

Diversity and global perspectives: In the global economy, a number of studies show that the discipline of entrepreneurship attracts diverse participants. Entrepreneurship becomes attractive as a career path because it allows individuals an opportunity to “control their own destiny,” cited by many entrepreneurs as a reason they started a business. Entrepreneurship plays a vital role in the global economy that students face upon graduation. Faculty and administrators in this program will seek to increase the number of students from underserved populations and infuse the curriculum with diverse perspectives taught by a diverse faculty.

Regional engagement: Given that entrepreneurship students have a strong desire for

experience-based learning, many of the proposed program's courses involve working closely with area businesses to address current challenges. In some cases, Whitewater students launch their own regional businesses. UW-Whitewater holds a student-sponsored Collegiate Entrepreneurs Organization Business Plan Competition, which has been a great success in its first two years of operation. The College expects the competition to increase in importance and to help spur new business growth in Wisconsin.

Professional and personal integrity: The College infuses coverage of ethics, personal responsibility, diversity, and social responsibility in coursework for all majors. Moreover, COBE faculty have endorsed AAUP's Code of [Ethical] Conduct, and all BBA students are asked to sign a statement adhering to the principles of this Code.

The proposed program also fulfills a primary goal in the College's current strategic plan. COBE's strategic planning process involves significant input from the private sector as well as campus stakeholders, and was cited as a "best practice" in the recent AACSB (American Association of Colleges and Schools of Business) reaccreditation review of the College. Participants in the strategic planning process and advisory board members stress the need for COBE to adapt to the changing demands of the business education marketplace as well as the economic needs of the state. The entrepreneurship major will play a significant role in that adaptation.

Program Assessment

The Program Coordinator will be responsible for the assessment of the program, using a variety of direct and indirect assessment methods. Program faculty incorporate course-embedded assignments linked to specific learning outcomes in their courses, and evaluate these assignments annually to determine if outcomes are met. Based on this evaluation, faculty will incorporate modifications to the curriculum and the program as a whole, as appropriate.

In addition, Entrepreneurship students receive ongoing individual feedback from faculty and advisory board members through participation in co-curricular activities directly related to the major, including the Business Plan Contest and other competitions, which provide real-time assessments of student capabilities and needs. Students may also select a senior-level internship as one of their elective courses. Internship supervisors complete a questionnaire assessing the performance of each intern at the end of the internship. Entrepreneurship students enrolled in Administrative Policy, a capstone course in the Management Department, will take a content exam, the results of which will be analyzed by program faculty.

UW-Whitewater requires all graduating seniors to complete an online exit survey. Results of the survey are separated by major and semester, and are available on the Institutional Research web site. Program faculty will analyze results from this survey in assessing program effectiveness. Post-graduate surveys will be sent to Entrepreneurship program alumni on a systematic basis. Survey results will not only provide information for further refinement of the program, but will also offer a vehicle to stay actively engaged with UW-Whitewater Entrepreneurship graduates. The Entrepreneurship and Innovation Advisory Board will be

actively involved in advising program faculty on course and program content creation, as well as post-delivery critiques to permit ongoing refinement of the curriculum and programs. All academic programs are required to undergo a self-study and review in UW-Whitewater's Audit & Review process every five years. The self-study will coincide with the UW System joint review. Further, AACSB, the accrediting body for programs in the College, requires an overall assurance of learning assessment. COBE underwent its latest AACSB review in 2008, and received the rating of having met all standards for reaccreditation. Finally, program faculty are in the process of implementing a systematic longitudinal analysis that will include regular post-graduation surveys based on a model used by Carthage College to assess their ScienceWorks Entrepreneurial Studies Program.

Need

By definition, entrepreneurs create their own employment and employment for others outside the traditional employer-employee framework. Annual studies confirm that nationwide net new job creation comes from small entrepreneurial companies. While the exact employer demand for entrepreneurship majors is not quantifiable, a recent study by the Small Business Association (SBA) found that entrepreneurial start-up rates correlated more closely with an increase in a state's overall wealth and its per capita income than other factors tested.

Other advantages to the Wisconsin economy and President Reilly's Growth Agenda that UW-Whitewater entrepreneur majors will provide may include:

- higher levels of innovation and response to market niches
- the tendency to spawn additional entrepreneurial companies;
- greater loyalty to local and regional suppliers;
- increased involvement in local and regional community activities.

Wisconsin's entrepreneurial start-up rate continues to rank significantly lower than that of other states. Small businesses still face relatively high failure rates, which makes evident the need for entrepreneurial education to both inspire entrepreneurship as a career option and to teach students how to effectively run a business.

Governor Doyle has made entrepreneurship a centerpiece of his Grow Wisconsin plan, in recognition of the contributions made by entrepreneurs to employment and wealth creation. Eric Grosso, State Labor Economist with the Wisconsin Department of Workforce Development (DWD), acknowledged that the Department does not issue projections with regard to self-employment. He did confirm, however, that entrepreneurs are, in fact, the state's major job generators and that southeastern Wisconsin is in dire need of higher levels of entrepreneurial activity. DWD is also concerned with Wisconsin's low number of college graduates relative to neighboring states, and he speculated that an entrepreneurship major might attract a new pipeline of students.

UW-Whitewater is also mindful of its mission to serve students primarily in the southeastern Wisconsin region, which is in need of business development. It is also worth noting that over 85% of UW-Whitewater graduates remain in Wisconsin after graduation.

Student Demand

In spring 2008, 35 students interested in entrepreneurship evaluated the proposed entrepreneurship major. Students expressed near-unanimous support for the program, especially in terms of the range of courses offered and the experiential nature of the program.

Projected Enrollment (5 years)

Year	Implementation year	2nd year	3rd year	4th year	5th year
New students admitted	10*	15	18	20	20
Continuing students	39*	44	47	49	49
Total enrollment	49	59	65	69	69
Graduating students		11	15	17	20

*Business majors are admitted to UW-Whitewater as Pre-business, and so it is likely that there are many more who intend to major in entrepreneurship. The estimate of 20 new students in the fifth year is extrapolated from the number of General Business majors admitted in the junior year and the percentage of those who usually declare the Entrepreneurship emphasis. The number of continuing students (39) is based on the number of students majoring in the General Business-Entrepreneurship emphasis in fall, 2008. Both of these numbers are expected to increase as the major becomes more visible.

Comparable Programs in Wisconsin

Currently, no comprehensive university in the UW System offers an Entrepreneurship major, although several others offer minors, certificates and emphases. UW-Madison is the only UW System institution to offer an undergraduate Entrepreneurship major. UW-Whitewater's focus is to serve students primarily in the southeastern Wisconsin region, a region in dire economic straits with a high rate of unemployment.

Almost all private institutions in Wisconsin offer at least a course in entrepreneurship, and Marquette University will begin a certificate program in Entrepreneurship in fall 2009.

Comparable Programs Outside Wisconsin

In the past three decades, formal programs (majors, minors and certificates) in entrepreneurship have more than quadrupled nationwide, from 104 in 1975, to more than 500 in 2006. The development of discrete courses in entrepreneurship has been described as "exponential." Close to Wisconsin, the University of Minnesota's Entrepreneurship Studies program, which requires 20 credits of coursework for the major and 16 for the minor, is the fastest growing and fourth largest undergraduate major at Minnesota's Carlson School of Management.

Collaboration

UW-Whitewater program faculty will work with colleagues at other System campuses who may be interested in expanding their certificates, emphases, or minors in Entrepreneurship, and will explore opportunities for off-campus students to take coursework through distance education technology and/or online options. Collaborative efforts have already begun, as evidenced by the following:

- Expertise of UW-Whitewater program faculty was tapped in the planning of the UW System Summit on Entrepreneurship, which took place in April 2009. The Summit was organized to allow UW System faculty to share best practices in Entrepreneurship education.
- UW-Whitewater program faculty and faculty at UW-Parkside have begun a collaborative project on gender issues in entrepreneurship.
- The UW-Whitewater student entrepreneurship organization, the Collegiate Entrepreneurs Organization or CEO, has initiated programming in conjunction with students from other campuses in the state. These campuses participated in UW-Whitewater's Entrepreneurship Collaboration in March of 2009, an event featuring talks by academic, government, and entrepreneurial speakers, including students.

UW-Whitewater has a strong commitment to regional service, and COBE faculty participate in many collaborative efforts with local and regional agencies and businesses. One example is the **Milwaukee 7** economic group, in which program faculty participate in various ways. Recognizing that entrepreneurship is the key to a vibrant and growing economy, the Milwaukee 7 launched **BizStarts**, an effort focused on stimulating entrepreneurial activity in the seven-county area in southeastern Wisconsin. A component of BizStarts is **BizLearn**, a high-profile initiative driven by community leaders, which has brought all higher education institutions (public and private universities and technical colleges) together to share best practices and stimulate growth in entrepreneurship education opportunities. BizStarts leaders have expressed substantial support for the proposed entrepreneurship major.

Diversity

A number of studies show that the discipline of entrepreneurship attracts diverse participants. Across the nation, in recent years, both women and minorities have been starting businesses at rates greater than or equal to white males, because entrepreneurship offers an opportunity to “control one’s own destiny” and be judged more clearly on one’s own merit. A recent study by the company *Intuit* predicts that the next several years will show even stronger interest in entrepreneurship by women, minorities, and immigrants. The Entrepreneurship program within the BBA will respond to that interest by seeking to enroll more students from underrepresented populations. The curriculum includes several courses and curricular modules that are infused with diverse perspectives in Business education, in general, and entrepreneurship, in particular.

Students of color currently hold important board positions in the Collegiate Entrepreneurs Organization and play important roles in determining the activities and direction of that student organization. Data from UW-Whitewater's Equity Scorecard project reveal that students of color hold leadership positions in student organizations at higher rates than their overall percentage on campus. These data were cited as a measure of Excellence in UW-Whitewater's *Equity Scorecard Report* completed in 2007. Currently, entrepreneurship classes frequently use guest experts, and care is taken to ensure that these experts and successful role models represent diverse groups. The Program Coordinator is currently working on a paper regarding women's motivation and commitment to entrepreneurial networks, involving two of the major women's entrepreneurship networks in southern Wisconsin. Diverse faculty are currently teaching entrepreneurship courses and, as the major develops and additional faculty are needed, efforts will be made to hire instructors from diverse backgrounds.

The proposed major in Entrepreneurship will help the University's Minority Business Program (MBP) to support the success of students of color. The MBP Program Director reports increasing interest in entrepreneurship coursework and the coordinator of the proposed program will seek to raise enrollment of underserved populations by at least 5% within the first few years of the program's full enrollment target. Moreover, in responding to an Equity Scorecard finding that showed that the percentage of students of color who declared pre-Business upon enrolling as freshmen and were still in COBE programs two years later was lower than that of white students, COBE has implemented a Summer Business Institute to attract and prepare students of color for its programs. Incoming freshmen are brought on campus for a week in summer to learn about business programs, including an introduction to entrepreneurship, and the skills necessary to be successful in business. In addition, the College has implemented a supplemental instruction program to help all students achieve the admission requirements of the College so that they can progress toward business degrees.

Finally, UW-Whitewater's mission includes an explicit commitment to meet the needs of students with disabilities. All classroom buildings, including Hyland Hall, the new business building, are fully accessible to students with disabilities. All residence halls meet ADA standards for accessibility, and UW-Whitewater is currently constructing a residence hall that includes a number of suites specifically designed to meet the needs of students with disabilities. The Center for Students with Disabilities (CSD) provides a wide range of services for students with disabilities, and the Whitewater campus as a whole has been cited as one of the most accessible campuses nationally by *Mobility Magazine*.

Evaluation from External Reviewers

Two professors of entrepreneurship, from UW-Parkside and Carthage College, reviewed the proposed program. It was also reviewed by three area business representatives who provided letters strongly endorsing the new major, including the CEO of Serigraph who is also the President of BizStarts Milwaukee, the CEO of LANSARE who is a member of the UW System Growth Agenda Task Force on Technology Transfer and Entrepreneurship, and the President of the Wisconsin Technology Council.

Reviewers cited a number of strengths, including growth in entrepreneurship as an area of study, the decline of “old school” economic development, and the need to “nurture an entrepreneurial culture.” Breadth of courses, experiential learning opportunities, and leverage of resources were cited as strengths, and were viewed as providing “a wide range of excellent skills to the students.” Reviewers also noted that the reputation of UW-Whitewater’s College of Business & Economics, including the expertise of COBE faculty, makes it an excellent choice to offer this major. They also discussed the need for greater entrepreneurship as a means of addressing the current state of Wisconsin’s economy and its low entrepreneurial start-up rates.

Reviewers cited challenges facing the program, including current economic conditions, which may make it more difficult for graduates to find funding to launch new ventures, the need to include not only the “nuts and bolts of economic development, but also the theory and understanding behind it.”

Resource Needs

Current costs: A total of 1.75 FTE will support the new Entrepreneurship major. Currently, four faculty members contribute to the emphasis in Entrepreneurship, three of whom are in the Management Department, and one of whom is in the Marketing Department. That includes the Program Coordinator, who will have .75 FTE devoted to the Entrepreneurship program, and a .25 course release. Each of the other three faculty has a .25 FTE assigned to Entrepreneurship, and .75 FTE assigned to other courses in their “home” departments. There is a .05 FTE allocated for a graduate assistantship shared with other programs. Because all but one of the courses for the proposed major have already been taught at least once, the rotation for teaching the courses for the Entrepreneurship program has already been established by the Management, Marketing, and Finance Departments to account for faculty teaching loads under the existing FTE distribution. The Management Department will hire an instructional academic staff to cover Management sections. The GPR Reallocation on the Budget Format shows the redistribution of GPR funds for the above FTE assignments that the Departments of Management, Marketing, and Finance have allocated to support this major. Thus, sufficient funding currently exists to offer the Entrepreneurship BBA in COBE, and there is no need for additional faculty at the present time. Additional faculty resources may be necessary in the future if this program undergoes the “exponential” growth that has been occurring in Entrepreneurship at other institutions.

Additional Resources: UW-Whitewater anticipates that the new major will generate future private sector financial support, in particular, both for Entrepreneurship and COBE programs, in general. With virtually no publicity, a total of \$10,000 in private sector funding for the independent studies in Entrepreneurship, and several offers of contributions of expertise (attorneys, accountants, and other alumni) and/or scholarships and facilities (Foundations Bank, Hyland Hall) have been made. These amounts are included in the Budget Format as “Independent Studies.”

RECOMMENDATION

The University of Wisconsin System recommends approval of Resolution I.1.f.(4), authorizing the implementation of the BBA in Entrepreneurship at the University of Wisconsin-Whitewater.

RELATED REGENT POLICIES

University of Wisconsin System Academic Planning and Program Review (November 10, 1995)
Academic Informational Series #1 (ACIS-1.0, revised June 2009)

**BUDGET FORMAT: Estimated Total Costs and Income
UW-Whitewater BBA in Entrepreneurship**

	FIRST YEAR		SECOND YEAR		THIRD YEAR	
CURRENT COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel						
Faculty/Instructional Staff *	1.75	\$204,750	1.75	\$220,500	1.75	\$223,020
Graduate Assistants	.05	\$1,040	.05	\$1,040	.05	\$1,060
Non-instructional Academic/Classified Staff	.12	\$3,360	.12	\$3,360	.12	\$3,428
Non-personnel						
Supplies & Expenses		\$4,000		\$4,000		\$4,000
Capital Equipment		0		0		0
Library (not including databases)		\$1,000		\$1,000		\$1,000
Computing		\$1,600		\$1,600		\$1,600
Other (Define) CEO funding**		\$4,000		\$4,000		\$4,000
Subtotal		\$219,750		\$235,500		\$238,108
ADDITIONAL COSTS	#FTE	Dollars	#FTE	Dollars	#FTE	Dollars
Personnel (Ad Hoc Instructional Staff)	0.25	\$5,000	0.25	\$5,000	0.25	\$5,100
Nonpersonnel						
Other – Independent Studies		\$10,000		\$12,000		\$15,000
Subtotal		\$15,000		\$17,000		\$20,100
TOTAL COSTS		\$234,750		\$252,500		\$258,208
CURRENT RESOURCES						
General Purpose Revenue (GPR)		\$215,750		\$215,750		\$218,043
Gifts and Grants						
Fees						
Other (Define)-SUFAC funding for CEO		\$4,000		\$4,000		\$4,000
Subtotal		\$219,750		\$219,750		\$222,043
ADDITIONAL RESOURCES						
GPR Reallocation (Specify source)		\$20,750		\$20,750		\$21,165
Gifts and Grants—for students' Independent Studies		\$10,000		\$12,000		\$15,000
Fees						
Other (Define)						
Subtotal		\$30,750		\$32,750		\$36,165
TOTAL RESOURCES		\$250,500		\$252,500		\$258,208

*based on average salaries

**CEO is the student-sponsored Collegiate Entrepreneurs Organization

Amendments to
Faculty Personnel Rules
University of Wisconsin-Extension

EDUCATION COMMITTEE

Resolution I.1.f.(5):

That, upon recommendation of the Chancellor of the University of Wisconsin-Extension and the President of the University of Wisconsin System, the Board of Regents approves the amendments to the UW-Extension Faculty Personnel Rules.

FACULTY PERSONNEL RULES UNIVERSITY OF WISCONSIN-EXTENSION

EXECUTIVE SUMMARY

BACKGROUND

Section UWS 2.02, Wisconsin Administrative Code (“Faculty Rules: Coverage and Delegation”) requires that rules, policies, and procedures developed by each institution in the System pursuant to Chapters UWS 3, 4, 5, 6 and 8 must be approved by the Board of Regents before they take effect.

The proposed revisions to the UW-Extension Faculty Personnel Rules include: changes to Chapter 1, Chapter 2, and Chapter 6 of the Faculty Policies and Procedures; and changes to Article 1, Article 4, Article 5, Appendix IB, and Appendix IIB of the Articles of Faculty Governance. New appendices to Article 5 are also proposed. Most of the changes in the Extension Faculty Personnel Policies were necessitated by the creation of UWS 7 of Wisconsin Administrative Code on the “Dismissal of Faculty in Special Cases.”

The proposed revisions were approved by the UW-Extension Faculty Senate between January 2008 and July 2009, and are recommended by Chancellor David Wilson. They have been reviewed by the UW System Office of General Counsel, which has determined that the changes meet the requirements of Wisconsin Administrative Code.

Following are three versions of each of the relevant sections of the UW-Extension Faculty Policies and Procedures: (A) the original versions before changes; (B) versions with proposed changes highlighted and deletions crossed out; and (C) clean copies as these sections would read subsequent to Board approval.

REQUESTED ACTION

Approval of Resolution I.1.f.(5), approving the revisions to the UW-Extension Faculty Personnel Rules.

DISCUSSION

Changes to the UW-Extension Faculty Policies and Procedures

The proposed change to UW-Extension Faculty Policies and Procedures, Chapter 1, “Definitions,” is the replacement of the nomenclature “administrative units,” to “faculty governance units,” in 1.02 and 1.13. These revisions were approved by the UW-Extension Faculty Senate in January 2008.

The creation of Chapter UWS 7 resulted in minor changes to Chapters 2 and 6.

Changes to the UW-Extension Articles of Faculty Governance

The changes in Article 1 reflect the changes made to subsequent articles of UW-Extension's Faculty Governance rules, as explained below. Article 4 was revised to codify the place of the faculty in all personnel processes associated with faculty. The revised Article ensures that personnel decisions require the presence of the faculty governance unit Chair. The changes to Article 4 were passed by the Faculty Senate in January 2008.

The changes in Article 4 required the name changes in Chapter 1, section 1.02 and section 1.13, and Article 1 section 1.03 and section 1.17.

The proposed changes to UW-Extension Article 5, "Faculty Tenure Advisory Committee (FTAC)," pertain to rules and regulations for the faculty tenure process, particularly the contents of the faculty member's portfolio in application for tenure. The first change is to the Faculty Articles of Governance, Article 5.06(3), adding that a rationale for a recommendation must accompany the recommendation. Section 5.06(4) was altered by adding the right to reconsideration requested by a candidate, and clarifies the deadlines for responses to the recommendations of the FTAC. Further, under 5.06, Procedures, section 5 was eliminated. It included the wording: "Quorum rule. Seven members shall constitute a quorum at any meeting."

In two cases, entirely new appendices were created for Article 5. These new appendices do not supplant the existing appendices but, rather, supplement them. A new Appendix IC Section IV, named "Criteria Used to Evaluate Candidates for Faculty Appointments, Granting of Tenure, and Promotion in Rank," was created in lieu of Section IV (Criteria of Education and Experience) and Section V (Criteria for Evaluation for Rank Change). In essence, the change emphasizes the importance of faculty scholarship for criteria used to determine changes in rank.

Appendix IIB, Section II, "UWEX Guidelines for Nominations for Tenure," was revised to include a longer preamble to the instructions for the preparation of the portfolio outlined in the newly created Appendix IIC, Section III. Appendix IIB Section II (B) adds language regarding a narrative created by the candidate that details the entirety of the candidate's work. Appendix IIB Section IIIC now includes language regarding the candidate's program development and accomplishments.

RECOMMENDATION

UW System Administration recommends approval of Resolution I.1.f.(5), approving the revisions to the UW-Extension Faculty Personnel Rules.

UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 1 – ORIGINAL VERSION

DEFINITIONS

- 1.01 Academic department.** An academic department, hereinafter referred to as "department," is a group of faculty members recognized by the faculty, the chancellor, and the board of regents, as dealing with a common field of knowledge or as having a common or closely related disciplinary or interdisciplinary interest which recommends faculty for rank and academic tenure. Departments are established, restructured, and discontinued by the chancellor in consultation within the appropriate voting bodies.
- 1.02 Administrative unit.** An administrative unit is a group of voting body members dealing with a common field of knowledge or having interdisciplinary programming responsibilities. It differs from a department in that it does not grant faculty rank or academic tenure. However, administrative units may recommend faculty rank and tenure action to the department and the appropriate administrator. Administrative units are established, restructured, and discontinued by the chancellor in consultation with the appropriate voting bodies.
- 1.03 Board of Regents or board.** "Board of Regents" or "board" means the Board of Regents of the University of Wisconsin System.
- 1.04 Chancellor.** The chief executive officer of Extension is the chancellor, hereinafter referred to as "chancellor."
- 1.05 Dean.** "Dean" means the executive head of any administrative grouping of faculty, and includes, but is not limited to, persons titled "dean."
- 1.06 Faculty status.** "Faculty status" means a right to participate in the faculty governance of Extension, according to its policies and procedures and its articles of faculty governance. Faculty status does not confer faculty rank or tenure, or convert an academic staff appointment into a faculty appointment.
- 1.07 Institution.** "Institution" means any university, or an organizational equivalent designated by the board. As used throughout these policies and procedures, "Extension" means the institution designated as University of Wisconsin-Extension.
- 1.08 Notice periods.** When an act is required by these policies and procedures to be done within a specified number of days:
- (1) Day shall mean calendar day,
 - (2) The first day shall be the day after the event, such as receipt of a notice or conclusion of a hearing.
 - (3) Each day after the first day shall be counted, except that a Sunday or legal holiday shall not be counted if it would be the final day of the period.
- 1.09 President.** "President" means the President of the University of Wisconsin System.
- 1.10 Senate.** The Senate consists of members of the voting body elected by the voting body to exercise the governance powers vested in the faculty.

- 1.11 Staff categories.** The following staff categories are established within Extension:
- (1) "Faculty" ("tenure track" or "ranked") means persons who hold the following ranks:
 - (a) Professor
 - (b) Associate professor
 - (c) Assistant professor
 - (d) Instructor
 - (2) "Academic staff" means professional and administrative personnel, other than faculty and classified staff, with duties that are primarily associated with higher education institutions or their administration. Academic staff appointments include, but are not limited to, the position titles identified in 36.15(1)(b), Wis.Stats.
 - (3) Limited appointments, including, but not limited to, the position titles identified in 36.17(2), Wis. Stats.
 - (4) Other appointments, including, but not limited to, the position titles identified in 36.19 Wis. Stats.
 - (5) Emeritus faculty and emeritus academic staff.
- 1.12 University Committee.** The University Committee is the executive committee of the Faculty Senate.
- 1.13 Voting body.**
- (1) The voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:
 - (a) The ranked faculty; and
 - (b) Academic staff members who have been granted "faculty status" by the senate and the chancellor upon the recommendation of the appropriate department or administrative unit.

Revised October, 1997

UW-EXTENSION FACULTY POLICIES AND PROCEDURES

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Chapter UWEX 1 – WITH EDITS TRACKED

DEFINITIONS

- 1.01 **Academic department.** An academic department, hereinafter referred to as "department," is a group of faculty members recognized by the faculty, the chancellor, and the board of regents, as dealing with a common field of knowledge or as having a common or closely related disciplinary or interdisciplinary interest which recommends faculty for rank and academic tenure. Departments are established, restructured, and discontinued by the chancellor in consultation within the appropriate voting bodies.
- 1.02 **Administrative-Faculty governance unit.** An ~~administrative-faculty governance~~ unit is a group of voting body members dealing with a common field of knowledge or having interdisciplinary programming responsibilities. It differs from a department in that it does not grant faculty rank or academic tenure. However, ~~administrative-faculty governance~~ units may recommend faculty rank and tenure action to the department and the appropriate administrator. ~~Administrative-Faculty governance~~ units are established, restructured, and discontinued by the chancellor in consultation with the appropriate voting bodies.
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 - (4) Other appointments, including, but not limited to, the position titles identified in 36.19 Wis. Stats.
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- (1) The voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:
 - (a) The ranked faculty; and
 - (b) Academic staff members who have been granted "faculty status" by the senate and the chancellor upon the recommendation of the appropriate department or ~~administrative~~ faculty governance unit.

Revised October, 1997

Revised January 2008

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UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 1 – CLEAN COPY

DEFINITIONS

- 1.01 Academic department.** An academic department, hereinafter referred to as "department," is a group of faculty members recognized by the faculty, the chancellor, and the board of regents, as dealing with a common field of knowledge or as having a common or closely related disciplinary or interdisciplinary interest which recommends faculty for rank and academic tenure. Departments are established, restructured, and discontinued by the chancellor in consultation within the appropriate voting bodies.
- 1.02 Faculty governance unit.** A faculty governance unit is a group of voting body members dealing with a common field of knowledge or having interdisciplinary programming responsibilities. It differs from a department in that it does not grant faculty rank or academic tenure. However, faculty governance units may recommend faculty rank and tenure action to the department and the appropriate administrator. Faculty governance units are established, restructured, and discontinued by the chancellor in consultation with the appropriate voting bodies.
- 1.03 Board of Regents or board.** "Board of Regents" or "board" means the Board of Regents of the University of Wisconsin System.
- 1.04 Chancellor.** The chief executive officer of Extension is the chancellor, hereinafter referred to as "chancellor."
- 1.05 Dean.** "Dean" means the executive head of any administrative grouping of faculty, and includes, but is not limited to, persons titled "dean."
- 1.06 Faculty status.** "Faculty status" means a right to participate in the faculty governance of Extension, according to its policies and procedures and its articles of faculty governance. Faculty status does not confer faculty rank or tenure, or convert an academic staff appointment into a faculty appointment.
- 1.07 Institution.** "Institution" means any university, or an organizational equivalent designated by the board. As used throughout these policies and procedures, "Extension" means the institution designated as University of Wisconsin-Extension.
- 1.08 Notice periods.** When an act is required by these policies and procedures to be done within a specified number of days:
- (1) Day shall mean calendar day,
 - (2) The first day shall be the day after the event, such as receipt of a notice or conclusion of a hearing.
 - (3) Each day after the first day shall be counted, except that a Sunday or legal holiday shall not be counted if it would be the final day of the period.
- 1.09 President.** "President" means the President of the University of Wisconsin System.
- 1.10 Senate.** The Senate consists of members of the voting body elected by the voting body to exercise the governance powers vested in the faculty.

- 1.11 Staff categories.** The following staff categories are established within Extension:
- (1) "Faculty" ("tenure track" or "ranked") means persons who hold the following ranks:
 - (a) Professor
 - (b) Associate professor
 - (c) Assistant professor
 - (d) Instructor
 - (2) "Academic staff" means professional and administrative personnel, other than faculty and classified staff, with duties that are primarily associated with higher education institutions or their administration. Academic staff appointments include, but are not limited to, the position titles identified in 36.15(1)(b), Wis.Stats.
 - (3) Limited appointments, including, but not limited to, the position titles identified in 36.17(2), Wis. Stats.
 - (4) Other appointments, including, but not limited to, the position titles identified in 36.19 Wis. Stats.
 - (5) Emeritus faculty and emeritus academic staff.
- 1.12 University Committee.** The University Committee is the executive committee of the Faculty Senate.
- 1.13 Voting body.**
- (1) The voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:
 - (a) The ranked faculty; and
 - (b) Academic staff members who have been granted "faculty status" by the senate and the chancellor upon the recommendation of the appropriate department or faculty governance unit.

Revised October, 1997
Revised January 2008

UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 2 – ORIGINAL VERSION

DELEGATION

- 2.01 Faculty Senate.** The Senate shall develop institutional policies and procedures pursuant to implementation of the University of Wisconsin System personnel rules for faculty. These policies and procedures shall be forwarded by the Chancellor to the President and by the President to the Board for its approval prior to their taking effect. Such policies and procedures, unless disapproved or altered by the board shall be in force and effect as Rules of the Regents.
- 2.02 Faculty Hearings Committee.** A Faculty Hearings Committee shall be created to serve as the hearings committee for the purposes of Chapters UWEX 3, UWEX 4, UWEX 5, UWEX 6, and UWEX 8. The committee shall consist of six members of the faculty elected by the faculty at large to three-year terms, two elected each year. The method of election and nomination of candidates shall be established by the Senate. The committee shall establish its own operating procedures, subject to the limitations and requirements in these Chapters. The committee shall elect its own chair annually at its first meeting following election of the committee.
- 2.03 Faculty Tenure Advisory Committee.** A Faculty Tenure Advisory Committee shall be created to make recommendations to the dean in accordance with UWEX 3.05(1), 3.05(1)(b), and 3.06. The committee shall consist of eleven members of the tenured faculty in Extension elected to staggered three-year terms. The function, procedures, and method for election and nomination of candidates for committee membership shall be as prescribed in Article 5 of the UWEX Articles of Faculty Governance.

Revised October, 1997

UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 2-WITH EDITS TRACKED

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UW-EXTENSION FACULTY POLICIES AND PROCEDURES

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Revised October, 1997
Revised January 2008

UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 6 – ORIGINAL VERSION

COMPLAINTS, GRIEVANCES AND HEARINGS

- 6.01** **Complaints.** Complaints are allegations by the administration, students, faculty members, academic staff members, classified staff members, or members of the public concerning conduct by a faculty member which violates University of Wisconsin System rules and policies, or which adversely affects the faculty member's performance of his/her obligation to the University of Wisconsin System, but which are not serious enough to warrant dismissal under Chapter UWEX 4.
- (1) Complaints shall be in writing to the Chancellor or to another administrator or the Secretary of the Faculty who shall forward it to the Chancellor, describing specifically the alleged misconduct.
 - (2) The Chancellor may recommend an informal discussion and settlement of the complaint before reviewing and taking action. The informal discussion and settlement route shall follow the upward levels of supervision and employment; department or administrative unit, dean. If the complaint is not settled by this route, it shall be returned to the Chancellor.
 - (3) If the Chancellor deems the complaint substantial, he/she may take disciplinary action, or he/she may refer the complaint to the Faculty Hearings Committee, established in Chapter UWEX 2.02, for a hearing.
 - (4) The Chancellor shall notify the faculty member who is the subject of the complaint in writing of the specific allegations, the identity of the person or party who made the complaint, and his/her disposition of the complaint.
 - (5) The hearing body shall hold a hearing according to procedures described in Chapter UWEX 6.03 and 6.04 on a complaint at the request of the Chancellor, or at the request of the faculty member concerned if the Chancellor invokes a disciplinary action without requesting a hearing. This request must be made in writing, addressed to the chair of the hearing body or Secretary of the Faculty within 20 days after receipt of notice of the Chancellor's disciplinary action.
 - (6) The burden of proof of the existence of misconduct shall be on the person or party making the complaint.
 - (7) After the hearing the hearing body shall recommend to the Chancellor; dismissal of the complaint, or invocation of specific disciplinary actions, or modification or affirmation of the disciplinary action imposed by the Chancellor.
 - (8) The decision of the Chancellor on the recommendation of the hearing body, or on the complaint in the absence of a hearing body recommendation, shall be final, except that the board, at its option, may grant a review on the record.
 - (9) The faculty member shall not again be investigated or penalized for the same alleged misconduct after a final decision on a previous complaint.

6.02 Grievances.

- (1) A grievance is a personnel problem, perceived by a faculty member to involve unfair treatment or violation of the faculty member's rights and privileges accorded by law, UW-Extension policy, or established UW-Extension practice.
- (2) The Faculty Hearings Committee, established in Chapter UWEX 2.02, shall hear faculty grievances in accordance with these policies and procedures. Dismissals, layoffs, and non-renewals which are otherwise appealed in accordance with these Chapters may not be grieved under this Chapter.
- (3) Prior to filing a request for a hearing before the hearing body, the complaining faculty member shall attempt to discuss the grievance with his/her supervisor, department chair, dean, or other appropriate administrative official. The faculty member shall notify the appropriate administrative official of a desire to discuss the grievance within 120 calendar days after the grievant knew or should have known about the incident which gave rise to the grievance. This provision may be waived by the hearing body in exceptional cases.
- (4) The request for a hearing shall be made in writing to the chair of the hearing body or Secretary of the Faculty either within 60 calendar days of the meeting between the grievant and the appropriate administrative official or within 180 calendar days from the time the grievant knew or should have known about the incident which gave rise to the grievance. The grievance shall be described in detail, providing information on the nature of the disputed action, time, place, and relevant surrounding circumstances. It shall also state what informal settlement attempts were made, or state the grievant's reasons for not making such attempts.
- (5) A hearing committee shall have 30 days to consider the request, 10 days to inform the faculty member of the decision on whether to grant a hearing, and 90 additional days to conduct the hearing. If the decision is to grant a hearing, the relevant unit of UW-Extension will be informed at the same time. These time limits may be extended by mutual consent of the parties or by order of the hearing committee.
- (6) The grievant bears the burden of proof at a grievance hearing.
- (7) The hearing body may refuse to hear a grievance if:
 - (a) Appropriate informal settlement efforts were not made by the faculty member; or
 - (b) The request does not state a grievance or fails to state a cause of action upon which the Chancellor can grant relief; or
 - (c) The matter was previously grieved and heard by the committee; or
 - (d) Following a request for information, a prehearing conference or exchange of evidence and witness lists by the parties, the committee decides that no credible evidence supporting the grievance will be forthcoming.
- (8) The Chancellor shall make a decision on the grievance within 30 calendar days after receiving the report of the hearing body.

- (9) The decision of the Chancellor on the recommendation of the committee, or on the grievance in the absence of a committee recommendation, shall be final except that the Board, upon petition of a grievant or the committee or other faculty body, may grant a review on the record.
- (10) In deciding whether or not to grant a discretionary review the Board of Regents will consider the following:
 - (a) does the case involve substantial constitutional claims?
 - (b) is there a serious concern that the Chancellor has abused his/her discretion or exceeded his/her authority?
 - (c) could the decision made at the institutional level have systemwide implications?
 - (d) is the final institutional decision based upon facts not supported by the record, resulting in material prejudice to the individual seeking review?

6.03 Hearings Committee.

- (1) The UW-Extension Faculty Hearings Committee specified in Chapter UWEX 2.02 shall hear all appeals, complaints, and grievances under Chapters UWEX 3, 4, 5, 6, and 8.
- (2) The Hearings Committee not only hears evidence, but is also responsible for conducting the hearing in accordance with Chapter UWEX 6.04:
 - (a) The Committee applies the policies and procedures relevant to a hearing;
 - (b) The Committee rules on requests of the parties and on procedural issues;
 - (c) The Committee schedules and sets the parameters for a hearing; and
 - (d) The Committee selects the moderator of the hearing proceedings.
- (3) Following a hearing, the Committee shall provide to the Chancellor and the parties involved a report consisting of a summary of the evidence, findings of fact, and recommendations and access to a verbatim record of the hearing, which may be a sound recording.

6.04 Hearings Committee Procedures. Whenever the UW-Extension Faculty Hearings Committee holds a hearing under Chapters UWEX 3, 4, 5, 6, or 8, the following conditions and rules shall apply.

- (1) Anyone who participated in the decision of the action being appealed or grieved, who is a material witness, who participated in the investigation of the matter of the hearing for either party, or who otherwise has a conflict of interest, shall not be qualified to participate as a member of the Hearings Committee for that hearing. The Committee may by its own action or at the request of either party, disqualify any one of its members for any of the above reasons by a majority vote. If one or more of the Hearings Committee members disqualify themselves or are disqualified, the remaining members will select a number of replacements equal to the number who have been disqualified to serve.
- (2) If the Hearings Committee requests, the Chancellor shall provide legal counsel after consulting with the Committee concerning its wishes in this regard. The function of legal counsel shall be to advise the Committee, consult with them on legal matters, and such other responsibilities as shall be determined by the Committee within the provisions of the policies and procedures adopted by the institution.

- (3) Not later than 30 days following the filing of a request for a hearing, unless otherwise specified in the rules, a hearing shall be held except time limits in which to conduct a hearing may be extended by mutual consent of the parties or by order of the Hearings Committee.
- (4) Hearings shall be conducted in open session except as a closed session is permitted under section 19.85, Wis. Stats. In the case of a hearing involving a tenure decision, the faculty member involved has the right to demand an open hearing.
- (5) The Hearings Committee shall determine whether a pre-hearing conference is necessary.
- (6) The Hearings Committee shall not be bound by common law or statutory rules of evidence and may admit evidence having reasonable probative value, but shall exclude immaterial, irrelevant, or unduly repetitious testimony. Admissibility of evidence is governed by 227.45 Wis. Stats. The Hearings Committee shall give effect to recognized legal privileges.
- (7) Additional procedures may be established by the Hearings Committee.
- (8) The following due process rights apply to both parties involved in the matter of the hearing:
 - (a) At least 10 days' written notice of the hearing;
 - (b) The right to advance notice of the names of witnesses and advance access to documentary evidence which may be called forward or entered as evidence at the hearing by the other party;
 - (c) The right to testify on his/her own behalf;
 - (d) The right to counsel and other appropriate representatives;
 - (e) The right to offer witnesses;
 - (f) The right to confront and cross-examine adverse witnesses;
 - (g) The right to enjoy and exercise all the rights and privileges of a United States citizen and the right and privileges of appropriate professional codes of ethics; and
 - (h) The right to a decision based on the hearing record.
- (9) The Hearings Committee may call witnesses and/or have access to documentary evidence which is in the control of either party.
- (10) Nothing in these procedures shall prevent the settlement of cases by mutual agreement between the two parties at any time prior to a final decision by the Chancellor; or when appropriate, with the Board's approval prior to a final decision by the Board.
- (11) Adjournments shall be granted to enable either party to investigate evidence as to which a valid claim of surprise is made.

UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 6 – WITH EDITS TRACKED

COMPLAINTS, GRIEVANCES AND HEARINGS

6.01 **Complaints.** Complaints are allegations by the administration, students, faculty members, academic staff members, classified staff members, or members of the public concerning conduct by a faculty member which violates University of Wisconsin System rules and policies, or which adversely affects the faculty member's performance of his/her obligation to the University of Wisconsin System, but which are not serious enough to warrant dismissal under Chapter UWEX 4.

- (1) Complaints shall be in writing to the Chancellor or to another administrator or the Secretary of the Faculty who shall forward it to the Chancellor, describing specifically the alleged misconduct.
- (2) The Chancellor may recommend an informal discussion and settlement of the complaint before reviewing and taking action. The informal discussion and settlement route shall follow the upward levels of supervision and employment; department or administrative unit, dean. If the complaint is not settled by this route, it shall be returned to the Chancellor.
- (3) If the Chancellor deems the complaint substantial, he/she may take disciplinary action, or he/she may refer the complaint to the Faculty Hearings Committee, established in Chapter UWEX 2.02, for a hearing.
- (4) The Chancellor shall notify the faculty member who is the subject of the complaint in writing of the specific allegations, the identity of the person or party who made the complaint, and his/her disposition of the complaint.
- (5) The hearing body shall hold a hearing according to procedures described in Chapter UWEX 6.03 and 6.04 on a complaint at the request of the Chancellor, or at the request of the faculty member concerned if the Chancellor invokes a disciplinary action without requesting a hearing. This request must be made in writing, addressed to the chair of the hearing body or Secretary of the Faculty within 20 days after receipt of notice of the Chancellor's disciplinary action.
- (6) The burden of proof of the existence of misconduct shall be on the person or party making the complaint.
- (7) After the hearing the hearing body shall recommend to the Chancellor; dismissal of the complaint, or invocation of specific disciplinary actions, or modification or affirmation of the disciplinary action imposed by the Chancellor.
- (8) The decision of the Chancellor on the recommendation of the hearing body, or on the complaint in the absence of a hearing body recommendation, shall be final, except that the board, at its option, may grant a review on the record.
- (9) The faculty member shall not again be investigated or penalized for the same alleged misconduct after a final decision on a previous complaint.

6.02 **Grievances.**

- (1) A grievance is a personnel problem, perceived by a faculty member to involve unfair treatment or violation of the faculty member's rights and privileges accorded by law, UW-Extension policy, or established UW-Extension practice.

- (2) The Faculty Hearings Committee, established in Chapter UWEX 2.02, shall hear faculty grievances in accordance with these policies and procedures. Dismissals, layoffs, and non-renewals which are otherwise appealed in accordance with these Chapters may not be grieved under this Chapter.
- (3) Prior to filing a request for a hearing before the hearing body, the complaining faculty member shall attempt to discuss the grievance with his/her supervisor, department chair, dean, or other appropriate administrative official. The faculty member shall notify the appropriate administrative official of a desire to discuss the grievance within 120 calendar days after the grievant knew or should have known about the incident which gave rise to the grievance. This provision may be waived by the hearing body in exceptional cases.
- (4) The request for a hearing shall be made in writing to the chair of the hearing body or Secretary of the Faculty either within 60 calendar days of the meeting between the grievant and the appropriate administrative official or within 180 calendar days from the time the grievant knew or should have known about the incident which gave rise to the grievance. The grievance shall be described in detail, providing information on the nature of the disputed action, time, place, and relevant surrounding circumstances. It shall also state what informal settlement attempts were made, or state the grievant's reasons for not making such attempts.
- (5) A hearing committee shall have 30 days to consider the request, 10 days to inform the faculty member of the decision on whether to grant a hearing, and 90 additional days to conduct the hearing. If the decision is to grant a hearing, the relevant unit of UW-Extension will be informed at the same time. These time limits may be extended by mutual consent of the parties or by order of the hearing committee.
- (6) The grievant bears the burden of proof at a grievance hearing.
- (7) The hearing body may refuse to hear a grievance if:
 - (a) Appropriate informal settlement efforts were not made by the faculty member;
or
 - (b) The request does not state a grievance or fails to state a cause of action upon which the Chancellor can grant relief; or
 - (c) The matter was previously grieved and heard by the committee; or
 - (d) Following a request for information, a prehearing conference or exchange of evidence and witness lists by the parties, the committee decides that no credible evidence supporting the grievance will be forthcoming.
- (8) The Chancellor shall make a decision on the grievance within 30 calendar days after receiving the report of the hearing body.

- (9) The decision of the Chancellor on the recommendation of the committee, or on the grievance in the absence of a committee recommendation, shall be final except that the Board, upon petition of a grievant or the committee or other faculty body, may grant a review on the record.
- (10) In deciding whether or not to grant a discretionary review the Board of Regents will consider the following:
- does the case involve substantial constitutional claims?
 - is there a serious concern that the Chancellor has abused his/her discretion or exceeded his/her authority?
 - could the decision made at the institutional level have systemwide implications?
 - is the final institutional decision based upon facts not supported by the record, resulting in material prejudice to the individual seeking review?

6.03 Hearings Committee.

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- The Hearings Committee not only hears evidence, but is also responsible for conducting the hearing in accordance with Chapter UWEX 6.04:
 - The Committee applies the policies and procedures relevant to a hearing;
 - The Committee rules on requests of the parties and on procedural issues;
 - The Committee schedules and sets the parameters for a hearing; and
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- Following a hearing, the Committee shall provide to the Chancellor and the parties involved a report consisting of a summary of the evidence, findings of fact, and recommendations and access to a verbatim record of the hearing, which may be a sound recording.

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- Anyone who participated in the decision of the action being appealed or grieved, who is a material witness, who participated in the investigation of the matter of the hearing for either party, or who otherwise has a conflict of interest, shall not be qualified to participate as a member of the Hearings Committee for that hearing. The Committee may by its own action or at the request of either party, disqualify any one of its members for any of the above reasons by a majority vote. If one or more of the Hearings Committee members disqualify themselves or are disqualified, the remaining members will select a number of replacements equal to the number who have been disqualified to serve.
- If the Hearings Committee requests, the Chancellor shall provide legal counsel after consulting with the Committee concerning its wishes in this regard. The function of legal counsel shall be to advise the Committee, consult with them on legal matters, and such other responsibilities as shall be determined by the Committee within the provisions of the policies and procedures adopted by the institution.

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- (3) Not later than 30 days following the filing of a request for a hearing, unless otherwise specified in the rules, a hearing shall be held except time limits in which to conduct a hearing may be extended by mutual consent of the parties or by order of the Hearings Committee.
- (4) Hearings shall be conducted in open session except as a closed session is permitted under section 19.85, Wis. Stats. In the case of a hearing involving a tenure decision, the faculty member involved has the right to demand an open hearing.
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 - (h) The right to a decision based on the hearing record.
- (9) The Hearings Committee may call witnesses and/or have access to documentary evidence which is in the control of either party.
- (10) Nothing in these procedures shall prevent the settlement of cases by mutual agreement between the two parties at any time prior to a final decision by the Chancellor; or when appropriate, with the Board's approval prior to a final decision by the Board.
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Revised July 2009

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UW-EXTENSION FACULTY POLICIES AND PROCEDURES

Chapter UWEX 6 – CLEAN COPY

COMPLAINTS, GRIEVANCES AND HEARINGS

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- (3) Prior to filing a request for a hearing before the hearing body, the complaining faculty member shall attempt to discuss the grievance with his/her supervisor, department chair, dean, or other appropriate administrative official. The faculty member shall notify the appropriate administrative official of a desire to discuss the grievance within 120 calendar days after the grievant knew or should have known about the incident which gave rise to the grievance. This provision may be waived by the hearing body in exceptional cases.
- (4) The request for a hearing shall be made in writing to the chair of the hearing body or Secretary of the Faculty either within 60 calendar days of the meeting between the grievant and the appropriate administrative official or within 180 calendar days from the time the grievant knew or should have known about the incident which gave rise to the grievance. The grievance shall be described in detail, providing information on the nature of the disputed action, time, place, and relevant surrounding circumstances. It shall also state what informal settlement attempts were made, or state the grievant's reasons for not making such attempts.
- (5) A hearing committee shall have 30 days to consider the request, 10 days to inform the faculty member of the decision on whether to grant a hearing, and 90 additional days to conduct the hearing. If the decision is to grant a hearing, the relevant unit of UW-Extension will be informed at the same time. These time limits may be extended by mutual consent of the parties or by order of the hearing committee.
- (6) The grievant bears the burden of proof at a grievance hearing.
- (7) The hearing body may refuse to hear a grievance if:
 - (a) Appropriate informal settlement efforts were not made by the faculty member; or
 - (b) The request does not state a grievance or fails to state a cause of action upon which the Chancellor can grant relief; or
 - (c) The matter was previously grieved and heard by the committee; or
 - (d) Following a request for information, a prehearing conference or exchange of evidence and witness lists by the parties, the committee decides that no credible evidence supporting the grievance will be forthcoming.
- (8) The Chancellor shall make a decision on the grievance within 30 calendar days after receiving the report of the hearing body.
- (9) The decision of the Chancellor on the recommendation of the committee, or on the grievance in the absence of a committee recommendation, shall be final except that the Board, upon petition of a grievant or the committee or other faculty body, may grant a review on the record.
- (10) In deciding whether or not to grant a discretionary review the Board of Regents will consider the following:
 - (a) does the case involve substantial constitutional claims?
 - (b) is there a serious concern that the Chancellor has abused his/her discretion or exceeded his/her authority?
 - (c) could the decision made at the institutional level have systemwide implications?

(d) is the final institutional decision based upon facts not supported by the record, resulting in material prejudice to the individual seeking review?

6.03 Hearings Committee.

- (1) The UW-Extension Faculty Hearings Committee specified in Chapter UWEX 2.02 shall hear all appeals, complaints, and grievances under Chapters UWEX 3, 4, 5, 6, and 8. Also please see UWS 7 for additional rules and regulations: <http://www.legis.state.wi.us/rsb/code/uws/uws007.pdf>
- (2) The Hearings Committee not only hears evidence, but is also responsible for conducting the hearing in accordance with Chapter UWEX 6.04:
 - (a) The Committee applies the policies and procedures relevant to a hearing;
 - (b) The Committee rules on requests of the parties and on procedural issues;
 - (c) The Committee schedules and sets the parameters for a hearing; and
 - (d) The Committee selects the moderator of the hearing proceedings.
- (3) Following a hearing, the Committee shall provide to the Chancellor and the parties involved a report consisting of a summary of the evidence, findings of fact, and recommendations and access to a verbatim record of the hearing, which may be a sound recording.

6.04 Hearings Committee Procedures. Whenever the UW-Extension Faculty Hearings Committee holds a hearing under Chapters UWEX 3, 4, 5, 6, or 8, the following conditions and rules shall apply. Also please see UWS 7 for additional rules and regulations: <http://www.legis.state.wi.us/rsb/code/uws/uws007.pdf>

- (1) Anyone who participated in the decision of the action being appealed or grieved, who is a material witness, who participated in the investigation of the matter of the hearing for either party, or who otherwise has a conflict of interest, shall not be qualified to participate as a member of the Hearings Committee for that hearing. The Committee may by its own action or at the request of either party, disqualify any one of its members for any of the above reasons by a majority vote. If one or more of the Hearings Committee members disqualify themselves or are disqualified, the remaining members will select a number of replacements equal to the number who have been disqualified to serve.
- (2) If the Hearings Committee requests, the Chancellor shall provide legal counsel after consulting with the Committee concerning its wishes in this regard. The function of legal counsel shall be to advise the Committee, consult with them on legal matters, and such other responsibilities as shall be determined by the Committee within the provisions of the policies and procedures adopted by the institution.
- (3) Not later than 30 days following the filing of a request for a hearing, unless otherwise specified in the rules, a hearing shall be held except time limits in which to conduct a hearing may be extended by mutual consent of the parties or by order of the Hearings Committee.
- (4) Hearings shall be conducted in open session except as a closed session is permitted under section 19.85, Wis. Stats. In the case of a hearing involving a tenure decision, the faculty member involved has the right to demand an open hearing.
- (5) The Hearings Committee shall determine whether a pre-hearing conference is necessary.
- (6) The Hearings Committee shall not be bound by common law or statutory rules of evidence and may admit evidence having reasonable probative value, but shall

exclude immaterial, irrelevant, or unduly repetitious testimony. Admissibility of evidence is governed by 227.45 Wis. Stats. The Hearings Committee shall give effect to recognized legal privileges.

- (7) Additional procedures may be established by the Hearings Committee.
- (8) The following due process rights apply to both parties involved in the matter of the hearing:
 - (a) At least 10 days' written notice of the hearing;
 - (b) The right to advance notice of the names of witnesses and advance access to documentary evidence which may be called forward or entered as evidence at the hearing by the other party;
 - (c) The right to testify on his/her own behalf;
 - (d) The right to counsel and other appropriate representatives;
 - (e) The right to offer witnesses;
 - (f) The right to confront and cross-examine adverse witnesses;
 - (g) The right to enjoy and exercise all the rights and privileges of a United States citizen and the right and privileges of appropriate professional codes of ethics;
and
 - (h) The right to a decision based on the hearing record.
- (9) The Hearings Committee may call witnesses and/or have access to documentary evidence which is in the control of either party.
- (10) Nothing in these procedures shall prevent the settlement of cases by mutual agreement between the two parties at any time prior to a final decision by the Chancellor; or when appropriate, with the Board's approval prior to a final decision by the Board.
- (11) Adjournments shall be granted to enable either party to investigate evidence as to which a valid claim of surprise is made.

Revised July 2009

UW-EXTENSION ARTICLES OF FACULTY GOVERNANCE

ARTICLE 1 – ORIGINAL VERSION

Definitions of Terms Used in Articles 1-6

- 1.01** **Academic department.** An academic department, hereinafter referred to as "department," is a group of faculty members recognized by the faculty, the chancellor, and the board of regents, as dealing with a common field of knowledge or as having a common or closely related disciplinary or interdisciplinary interest. The faculty of the department shall have primary responsibility for academic and educational activities and related activities and faculty personnel matters in its fields of knowledge and interest in support of the outreach mission of Extension. Departments are established, restructured, and discontinued by the chancellor in consultation with the appropriate departmental voting bodies.
- 1.02** **Ad hoc committees.** Ad hoc committees are committees appointed by and reporting to, the University Committee or the senate, for a specific purpose and limited period.
- 1.03** **Administrative unit.** An administrative unit is a group of voting body members dealing with a common field of knowledge or having interdisciplinary programming interests. The voting body of the administrative units is responsible for carrying out programs in the unit's areas of knowledge and interest in support of the outreach mission of Extension. The administrative unit differs from a department in that it does not grant faculty rank or academic tenure. However, administrative units may recommend faculty rank and tenure action to the department and the appropriate administrator. Administrative units are established, restructured, and discontinued by the chancellor in consultation with the appropriate administrative unit voting bodies.
- 1.04** **Board of regents or board.** "Board of regents" or "board" means the Board of Regents of the University of Wisconsin System.
- 1.05** **Chancellor.** The chief executive officer of Extension is the Chancellor, hereinafter referred to as "chancellor."
- 1.06** **Chancellor's committees.** Chancellor's committees are appointed by the chancellor, serve at the chancellor's pleasure, and report to the chancellor. A record of membership and copies of charges to the committees shall be filed with the Secretary of the Faculty.
- 1.07** **Dean.** "Dean" means the executive head of any administrative grouping of faculty, and includes, but is not limited to, persons titled "dean."
- 1.08** **District director.** "District director" means the executive head of an administrative grouping of Cooperative Extension faculty and academic staff budgeted to a specific geographic area of the state.

- 1.09 Faculty Tenure Advisory Committee.** "Faculty Tenure Advisory Committee" means the committee elected by the tenured faculty of Extension for the purpose of advising the dean on promotion of faculty in tenure and rank.
- 1.10 Faculty status.** "Faculty status" means a right to participate in the faculty governance of Extension, according to its policies and procedures and its articles of faculty governance. Faculty status does not confer faculty rank or tenure, or convert an academic staff appointment into a faculty appointment.
- 1.11 Institution.** "Institution" means any university, or an organizational equivalent designated by the board. As used throughout these articles, "Extension" means the institution designated as University of Wisconsin-Extension.
- 1.12 President.** "President" means the president of the University of Wisconsin system.
- 1.13 Secretary of the Faculty.** The Secretary of the Faculty is appointed by the chancellor after consultation with the University Committee and is administratively responsible to the chancellor. The Secretary of the Faculty assists the University Committee and the senate and maintains appropriate records of the faculty.
- 1.14 Senate.** The senate consists of members of the voting body elected by the voting body to exercise the governance powers vested in the faculty.
- 1.15 Staff categories.** The following staff categories are established within Extension:
- (1) "Faculty" ("tenure track" or "ranked") means persons who hold the following ranks:
 - (a) Professor
 - (b) Associate professor
 - (c) Assistant professor
 - (d) Instructor
 - (2) "Academic staff" means professional and administrative personnel, other than faculty and classified staff, with duties that are primarily associated with higher education institutions or their administration. Academic staff appointments include, but are not limited to, the position titles identified in 36.15(1)(b), Wis. Stats.
 - (3) Limited appointments, including, but not limited to, the position titles identified in 36.17(2), Wis. Stats.
 - (4) Other appointments, including, but not limited to, the position titles identified in 36.19, Wis. Stats.
 - (5) Emeritus faculty and emeritus academic staff.
- 1.16 University Committee.** The University Committee is the executive committee of the faculty.
- 1.17 Voting body.**
- (1) The voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:
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- (b) Academic staff members who have been granted "faculty status" by the senate and the chancellor upon the recommendation of the appropriate department or administrative unit.
- (2) All academic staff members who were granted faculty status by action of the senate prior to the adoption of these articles shall continue to enjoy all rights previously granted to them.

Revised October, 1997
Revised October, 1998

UW-EXTENSION ARTICLES OF FACULTY GOVERNANCE

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ARTICLE 1- WITH EDITS TRACKED

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- (2) All academic staff members who were granted faculty status by action of the senate prior to the adoption of these articles shall continue to enjoy all rights previously granted to them.

Revised October, 1997
Revised October, 1998

UW-EXTENSION ARTICLES OF FACULTY GOVERNANCE

ARTICLE 1 – CLEAN COPY

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- (2) All academic staff members who were granted faculty status by action of the senate prior to the adoption of these articles shall continue to enjoy all rights previously granted to them.

Revised October, 1997
Revised October, 1998
Revised January, 2008

UW-Extension Changes to ARTICLES OF FACULTY GOVERNANCE
ARTICLE 4

ORIGINAL VERSION

The Administrative Unit

4.01 Administrative unit voting body.

- (1) The administrative unit voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:
 - (a) The ranked faculty;
 - (b) Academic staff members who have been granted “faculty status” by the senate and the chancellor upon the recommendation of the appropriate department or administrative unit.
 - (c) All academic staff members who were granted faculty status by action of the senate prior to the adoption of these articles shall continue to enjoy all rights previously granted to them.
- (2) If the administrative unit is deemed by the appropriate administrator or the chancellor to be too small to function effectively, the administrator or the chancellor may, for a specified period of time and with the approval of the University Committee, combine two or more administrative units for governance purposes.
- (3) Voting members of an administrative unit who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the administrative unit voting body.

4.02 Administrative unit voting body: functions.

- (1) The governance of the administrative unit is vested in its voting body which has jurisdiction over the interests of the administrative unit.
- (2) The administrative unit voting body has authority to make recommendations concerning appointments, non-renewals, dismissals, and salaries of the faculty which are transmitted through the administrative unit chair to the appropriate administrator. All decisions regarding the administrative unit’s faculty should be promptly communicated to the appropriate administrator. While initial faculty appointment decisions and promotion to tenure recommendations for faculty within the administrative unit are the responsibility of the appropriate academic department, administrative unit recommendations concerning such matters are transmitted from the chair of the administrative unit to the department and the appropriate administrator. The administrative unit voting body may, by annual vote, delegate to a committee or to the chair its authority to make recommendations with respect to:
 - (a) Faculty salaries;
 - (b) Academic staff and classified personnel needs of the administrative unit; and
 - (c) Faculty status recommendations to the senate and the chancellor as specified in Chapter UWEX 1.06 and Chapter UWEX 1.13 of the UWEX Faculty Policies and Procedures.
- (3) The administrative unit voting body may delegate to the professors of the administrative unit the authority to make recommendations to the department or the appropriate administrator for promotions to the rank of professor.

4.03 Administrative unit chair: selection.

- (1) All members of an administrative unit voting body shall express their preference for chair from among the voting body members of the administrative unit each year by secret ballot, and all ballots shall be forwarded to the appropriate administrator not later than March 1, except for those voting body members located in administrative units in the counties who shall forward their ballots no later than October 1. A voting member of the administrative unit who is on leave is eligible to participate in this balloting. The administrative unit voting body may, by annual vote, authorize a committee to count the votes before the ballot is forwarded to the appropriate administrator.
- (2) After considering the preference ballot and following consultation with the chancellor and with appropriate county committees or officials, the administrator appoints a chair.
- (3) The term of office of an administrative unit chair is one year effective July 1, except for those administrative unit chairs located in administrative units in the counties, for which the effective date is January 1. There is no limit to the number of years that may be served.
- (4) The functions of office management and administrative unit chair are not necessarily vested in the same position. In those counties having a department head (or county director) model, the role of office management may be appointed or specifically hired for that purpose and may be held by a person without faculty status. If the department head (or county director) does not have faculty status, the county administrative unit voting body would choose to elect an administrative unit chair that is different from the department head (or county director) to administer those duties defined in Article 4. If the department head (or county director) does have faculty status, the county administrative unit voting body may choose to elect that same person to administer those duties defined in Article 4.

4.04 Administrative unit chair: duties. The chair acts as the executive of the administrative unit, with duties including, but not limited to, the following:

- (1) Serves as the administrative unit's official channel of communication;
- (2) Calls meetings of the administrative unit voting body and presides over the meetings. The chair shall call a meeting at the request of at least 20 percent of the members of the voting body. Each administrative unit should meet at least twice per year;
- (3) Has charge of all official correspondence of the administrative unit, and of all administrative unit announcements in the catalogue or other university publications;
- (4) Determines that all necessary administrative unit records are kept;
- (5) Reports to the appropriate administrator regarding the activities and needs of the administrative unit; and
- (6) Takes action in case of emergency, pending a meeting of the administrative unit voting body.

UWEX UNIVERSITY OF WISCONSIN-EXTENSION ARTICLES OF FACULTY GOVERNANCE

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Article 4

VERSION WITH CHANGES TRACKED

The Administrative Unit Faculty Governance Unit

4.01 Administrative unit Faculty governance unit voting body.

1. ~~(1)~~ The administrative unit faculty governance unit voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:

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a. ~~(a)~~ The ranked faculty;

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b. ~~(b)~~ Academic staff members who have been granted “faculty status” by the senate and the chancellor upon the recommendation of the appropriate department or administrative unit.

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c. ~~(c)~~ All academic staff members who were granted faculty status by action of the senate prior to the adoption of these articles shall continue to enjoy all rights previously granted to them.

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2. ~~(2)~~ Faculty governance units can be identified as appropriate at the county level, the state staff level, the program level, and/or multi-county level by the University Committee with the approval of the Chancellor. At the request of the faculty members and voting individuals involved, a faculty governance unit may be deemed by the appropriate administrators or the chancellor to be too small to function effectively. If so deemed, the University Committee may, with the approval of the Chancellor, combine two or more faculty governance units, for a specified period of time for governance purposes.

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If the administrative unit is deemed by the appropriate administrator or the chancellor to be too small to function effectively, the administrator or the chancellor may, for a specified period of time and with the approval of the University Committee, combine two or more administrative units for governance purposes.

2.3. ~~(3)~~ Voting members of an administrative unit a faculty governance unit who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the administrative unit faculty governance unit voting body.

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4.02 Administrative unit Faculty governance unit voting body: rights and functions.

1. The function of a faculty governance unit is defined in the UW-Extension Policies and Procedures Chapter 1 (1.02) and Article 1 (1.03)

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- 2. The voting body of the faculty governance unit has jurisdiction over the governance interests of the unit.
- 3. The faculty governance unit has the authority to:
 - a. Make recommendations and provide input to the appropriate Academic Departments and appropriate administrators concerning:
 - i. Appointments
 - ii. Non-renewals
 - iii. Dismissals
 - iv. Rank and promotion action
 - v. Salaries
 - vi. Other personnel matters
 - b. Support the development of scholarship in all members of the unit through professional development and support for program development, implementation and advancement.
- 4. The faculty governance unit has the right to be informed on all issues over which it has authority.

The functions of the department head/office management and faculty governance unit are distinct functions.

The office management head must seek the advice from the faculty governance unit chair on matters over which the faculty governance unit has authority

OR

The faculty governance unit chair shall provide input or advice to the department head/office management head on matters over which the faculty governance unit has authority.

- 5. The faculty governance unit may, by annual vote, delegate to a committee or the chair, its authority to make recommendations or provide input as described in 4.02(3)(a) and:
 - a. Academic staff and classified personnel needs of the faculty governance unit.
 - b. Faculty status recommendations to the Faculty Senate and the Chancellor as specified in UW-Extension Faculty Policies and Procedures Chapter 1.06 and Chapter 1.13.

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- ~~a. (1) The governance of the administrative unit is vested in its voting body which has jurisdiction over the interests of the administrative unit.~~
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- ~~(a) Faculty salaries;~~
 - ~~(b) Academic staff and classified personnel needs of the administrative unit; and~~
 - ~~(c) Faculty status recommendations to the senate and the chancellor as specified in Chapter UWEX 1.06 and Chapter UWEX 1.13 of the UWEX Faculty Policies and Procedures.~~
- ~~(3) The administrative unit voting body may delegate to the professors of the administrative unit the authority to make recommendations to the department or the appropriate administrator for promotions to the rank of professor.~~

4.03 Administrative Faculty Governance unit chair: selection.

1. (1) The Secretary of the Faculty and Academic Staff shall facilitate an election of the faculty governance unit chair. All members of the faculty governance unit shall be eligible to vote. The election shall take place not later than March 1. A voting member of the faculty governance unit who is on leave is eligible to participate in the balloting. The Secretary of the Faculty and Academic Staff shall communicate the results of the election to all administrators in the Division in which the faculty governance unit is located.

~~All members of an administrative unit voting body shall express their preference for chair from among the voting body members of the administrative unit each year by secret ballot, and all ballots shall be forwarded to the appropriate administrator not later than March 1, except for those voting body members located in administrative units in the counties who shall forward their ballots no later than October 1. A voting member of the administrative unit who is on leave is eligible to participate in this balloting. The administrative unit voting body may, by annual vote, authorize a committee to count the votes before the ballot is forwarded to the appropriate administrator.~~

2. (2) The term of office of a faculty governance unit chair is one year effective July 1. There is no limit to the number of years that may be served.

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~~After considering the preference ballot and following consultation with the chancellor and with appropriate county committees or officials, the administrator appoints a chair.~~

~~(3) The term of office of an administrative unit chair is one year effective July 1, except for those administrative unit chairs located in administrative units in the counties, for which the effective date is January 1. There is no limit to the number of years that may be served.~~

~~1.3. (4) The functions of office management and administrative unit chair are not necessarily vested in the same position. In those counties having a department head (or county director) model, the role of office management may be appointed or specifically hired for that purpose and may be held by a person without faculty status. If the department head (or county director) does not have faculty status, the county administrative unit voting body would choose to elect an administrative unit chair that is different from the department head (or county director) to administer those duties defined in Article 4. If the department head (or county director) does have faculty status, the county administrative unit voting body may choose to elect that same person to administer those duties defined in Article 4. The election of the faculty governance unit chair is separate from the selection process for the department head/office management head. A person can serve in both the department head/office management head administrative role and the faculty governance unit chair if selected as such from the respective selection processes.~~

4.04 Administrative unit Faculty governance unit chair: duties. The chair acts as the executive of the administrative unit faculty governance unit, with duties including, but not limited to, the following:

~~1. (1) Serves as the administrative unit's faculty governance unit's official channel of communication in areas of developing scholarship, personnel matters and faculty salaries;~~

~~2. The faculty governance unit chair shall provide input or advice to the department head/office management head on matters over which the faculty governance unit has authority;~~

~~1.3. Coordinates with and serves on committees with appropriate administrators concerning faculty hiring, dismissal, personnel matters, promotion, professional development, and programmatic development, implementation and advancement;~~

~~2.4. (2) Calls meetings of the administrative faculty governance unit voting body and presides over the meetings. The chair shall call a meeting at the request of at least 20 percent of the members of the voting body. Each administrative~~

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- faculty governance unit should meet at least twice per year;
- ~~3.5.~~ (3) —Has charge of all official correspondence of the administrative faculty governance unit; ~~and of all administrative unit announcements in the catalogue or other university publications;~~
- ~~4.6.~~ (4) —Determines that all necessary administrative faculty governance unit records are kept;
- ~~5.7.~~ (5) —Reports to the appropriate administrators regarding the activities and needs of the administrative faculty governance unit; and
- ~~6.8.~~ (6) —Takes action in case of emergency, pending a meeting of the administrative faculty governance unit voting body.

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Revised October 2002
Revised January 2008

UNIVERSITY OF WISCONSIN-EXTENSION ARTICLES OF FACULTY GOVERNANCE

ARTICLE 4 – CLEAN COPY

The Faculty Governance Unit

4.01 Faculty governance unit voting body.

1. The faculty governance unit voting body consists of the following individuals who hold appointments of one-half time or more in the University of Wisconsin-Extension:
 - a. The ranked faculty;
 - b. Academic staff members who have been granted “faculty status” by the senate and the chancellor upon the recommendation of the appropriate department or administrative unit.
 - c. All academic staff members who were granted faculty status by action of the senate prior to the adoption of these articles shall continue to enjoy all rights previously granted to them.
2. Faculty governance units can be identified as appropriate at the county level, the state staff level, the program level, and/or multi-county level by the University Committee with the approval of the Chancellor. At the request of the faculty members and voting individuals involved, a faculty governance unit may be deemed by the appropriate administrators or the chancellor to be too small to function effectively. If so deemed, the University Committee may, with the approval of the Chancellor, combine two or more faculty governance units, for a specified period of time .
3. Voting members of a faculty governance unit who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the faculty governance unit voting body.

4.02 Faculty governance unit rights and functions.

1. The function of a faculty governance unit is defined in the UW-Extension Policies and Procedures Chapter 1 (1.02) and Article 1 (1.03)
2. The voting body of the faculty governance unit has jurisdiction over the governance interests of the unit.
3. The faculty governance unit has the authority to:
 - a. Make recommendations and provide input to the appropriate Academic Departments and appropriate administrators concerning:
 - i. Appointments
 - ii. Non-renewals
 - iii. Dismissals

- iv. Rank and promotion action
- v. Salaries
- vi. Other personnel matters
- b. Support the development of scholarship in all members of the unit through professional development and support for program development, implementation and advancement.
- 4. The faculty governance unit has the right to be informed on all issues over which it has authority.

The functions of the department head/office management and faculty governance unit are distinct functions.

The faculty governance unit chair shall provide input or advice to the department head/office management head on matters over which the faculty governance unit has authority.

- 5. The faculty governance unit may, by annual vote, delegate to a committee or the chair, its authority to make recommendations or provide input as described in 4.02(3)(a) and:
 - a. Academic staff and classified personnel needs of the faculty governance unit.
 - b. Faculty status recommendations to the Faculty Senate and the Chancellor as specified in UW-Extension Faculty Policies and Procedures Chapter 1.06 and Chapter 1.13.

4.03 Faculty Governance unit chair selection.

- 1. The Secretary of the Faculty and Academic Staff shall facilitate an election of the faculty governance unit chair. All members of the faculty governance unit shall be eligible to vote. The election shall take place not later than March 1. A voting member of the faculty governance unit who is on leave is eligible to participate in the balloting. The Secretary of the Faculty and Academic Staff shall communicate the results of the election to all administrators in the Division in which the faculty governance unit is located.
- 2. The term of office of a faculty governance unit chair is one year effective July 1. There is no limit to the number of years that may be served.
- 3. The election of the faculty governance unit chair is separate from the selection process for the department head/office management head. A person can serve in both the department head/office management head administrative role and the faculty governance unit chair if selected as such from the

respective selection processes.

4.04 Faculty governance unit chair duties. The chair acts as the executive of the faculty governance unit, with duties including, but not limited to, the following:

1. Serves as the faculty governance unit's official channel of communication in areas of developing scholarship, personnel matters and faculty salaries;
2. The faculty governance unit chair shall provide input or advice to the department head/office management head on matters over which the faculty governance unit has authority;
3. Coordinates with and serves on committees with appropriate administrators concerning faculty hiring, dismissal, personnel matters, promotion, professional development, and programmatic development, implementation and advancement;
4. Calls meetings of the faculty governance unit voting body and presides over the meetings. The chair shall call a meeting at the request of at least 20 percent of the members of the voting body. Each faculty governance unit should meet at least twice per year;
5. Has charge of all official correspondence of the faculty governance unit;
6. Determines that all necessary faculty governance unit records are kept;
7. Reports to the appropriate administrators regarding the activities and needs of the faculty governance unit; and
8. Takes action in case of emergency, pending a meeting of the faculty governance unit voting body.

Revised October 2002
Revised January 2008

UW-EXTENSION ARTICLES OF FACULTY GOVERNANCE

ARTICLE 5 – ORIGINAL VERSION

Faculty Tenure Advisory Committee

5.01 Membership.

- (1) The membership of the Faculty Tenure Advisory Committee shall consist of eleven members of the tenured faculty of Extension, elected for staggered three-year terms.
- (2) Each of the four Cooperative Extension community-based departments will elect two tenured faculty to the Faculty Tenure Advisory Committee; all other UW-Extension faculty departments will elect one tenured faculty member to this committee. If a department chooses not to elect a member, that position shall remain vacant until that department chooses to fill that position.
- (3) Members may not succeed themselves but are eligible for election again after two years.

5.02 Elections.

- (1) Each academic department shall determine its own procedures for nominating and electing members to the Faculty Tenure Advisory Committee.
- (2) Vacancies that occur mid term on the Faculty Tenure Advisory Committee shall be filled for the remainder of the term by the University Committee in consultation with the relevant department.
- (3) When a member of the Faculty Tenure Advisory Committee is unable to serve for a continuous six-month period during an elected term, that position shall be deemed vacant and filled according to (2) above.

5.03 Chair.

- (1) Each year, between March 1 and July 1, the Faculty Tenure Advisory Committee shall elect a chair from among its members according to procedures determined by the committee.

5.04 Functions.

The sole function of the Faculty Tenure Advisory Committee is to provide a recommendation to the dean, as required under Chapter UWEX 3.06, of the UWEX Faculty Policies and Procedures.

5.05 Meetings.

- (1) Regular meetings. The Faculty Tenure Advisory Committee shall meet as needed to conduct its business. Meeting dates for the next year shall be published no later than July 1 and shall be distributed to the committee members and appropriate deans.
- (2) Special meetings. The chair may call a special meeting of the Faculty Tenure Advisory Committee at any time and must do so at the request of a dean or four members of the committee. Notice of special meetings shall be distributed as soon as feasible to all Extension faculty, but under no circumstances may notice be provided less than 24 hours before the special meeting is scheduled to begin.

5.06 **Procedures.**

- (1) Presentation of candidate's documentation in support of promotion in tenure and rank. The Faculty Tenure Advisory Committee shall review the materials forwarded by the dean for consideration by the committee. Meetings of the Faculty Tenure Advisory Committee may be held in either open or closed session at the committee's decision, except that a Faculty Tenure Advisory Committee meeting held to review and/or deliberate on a candidate's application for tenure must be held in open session if that candidate so requests. In an open meeting, the candidate or, if he or she chooses, a representative of the candidate, may be present for all discussion and voting and may provide clarification and explanation if the committee so requests. No new material may be presented to the committee unless it has first been submitted to the dean. Following consideration of these materials, the committee shall vote upon its recommendation.
- (2) Voting and record of vote. Voting may be by written ballot, but ballots must be signed and preserved (forwarded to Secretary of the Faculty). If vote is by show of hands, only the number voting each way must be recorded. However, if a member of the committee requests at the time that the vote is taken, a roll call vote must be taken and each member's vote recorded. Advice on personnel recommendations shall include the text of the motion voted on by the Faculty Tenure Advisory Committee and the number of "ayes," "nays," and abstentions.
- (3) Record of committee advice. All advice and recommendations of the Faculty Tenure Advisory Committee to the dean shall accompany the relevant personnel papers through channels to the chancellor. Copies of the advice and recommendations provided to the dean shall be given to the department and to the candidate within 10 days of the committee's action.
- (4) Reconsideration of negative advice. If the Faculty Tenure Advisory Committee advises against a recommendation for tenure, a rationale shall accompany that recommendation. Within two weeks of receipt of the recommendation, the dean or department may request in writing a reconsideration on the grounds that the procedures followed were improper or that factors relevant to the decision were not properly considered. Within six weeks' time the committee must hear the dean or department and take a new vote. The chair of the committee shall set the date, time and location or medium of the meeting for reconsideration. The committee chair, after consultation with the party who requested the reconsideration, shall set the scope of the reconsideration process and shall communicate the scope of the reconsideration process to the dean, department and candidate at least five calendar days prior to the meeting for reconsideration.
- (5) Quorum rule. Seven members shall constitute a quorum at any meeting.

Revised October, 1997
Revised September, 2001

UW-EXTENSION ARTICLES OF FACULTY GOVERNANCE

ARTICLE 5 – WITH EDITS TRACKED

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- (3) Record of committee advice. All advice and recommendations of the Faculty Tenure Advisory Committee to the dean shall be a detailed written rationale consistent with the criteria for tenure and promotion in rank as expressed in Appendices IB and IIB of the UW-Extension Articles of Faculty Governance and shall accompany the relevant personnel papers through channels to the chancellor. Copies of the advice and recommendations provided to the dean shall be given to the department and to the candidate within 10 calendar days of the committee's action.
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UW-EXTENSION ARTICLES OF FACULTY GOVERNANCE

ARTICLE 5 – CLEAN COPY

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Revised October, 1997
Revised September, 2001
Revised June 2008

UW-EXTENSION

ARTICLE 5 OF FACULTY GOVERNANCE APPENDIX I.B

ORIGINAL VERSION

(This version, established in September, 1997, applies to faculty who began on the tenure track on or after July 1, 1998. This version is available by choice for faculty who began on the tenure track prior to July 1, 1998.)

CRITERIA FOR FACULTY APPOINTMENT AND PROMOTION IN UW-EXTENSION

I. Introduction

The effectiveness of the educational programs of the University of Wisconsin-Extension depends on the scholarship of its faculty. Quality faculty with the capacity to grow and mature professionally and with the ability to adjust to changing demands are imperative for University of Wisconsin-Extension to continue to be a vital force in meeting the needs of the people of Wisconsin.

Scholarship includes teaching, research, outreach, or integration. (See Boyer, E. L. (1990). Scholarship Reconsidered: Priorities of the Professoriate. San Francisco, CA. Jossey-Bass.)

Scholarship in UW-Extension is...

- creative, intellectual work;
- reviewed by the scholar's peers who affirm its value;
- added to our intellectual history through its communication; and
- valued by those for whom it was intended.

Information included in this document identifies general criteria for appointment of tenured and probationary faculty. Tenured faculty includes all professors and associate professors. The probationary faculty includes assistant professors and instructors.

II. Rank Appointments

Appointment of probationary or tenured faculty in UW-Extension at each of the four ranks is dependent on academic preparation, evidence of past and current performance, and an expectation of continued growth. An interpretation of each rank is as follows:

Instructor:

The faculty member is prepared to work as an independent scholar and has the capacity for professional maturity and leadership.

Assistant Professor:

The faculty member is developing as an independent scholar and gives evidence that within a few years professional maturity and leadership will be attained.

Associate Professor:

The faculty member has demonstrated, to the satisfaction of colleagues, attainment of professional maturity and leadership, and shows promise of continued professional growth.

Professor:

The faculty member has fully demonstrated professional maturity and leadership and continues professional growth.

It is the policy of UW-Extension to appoint probationary faculty only to those positions which encourage development to the rank of professor. The inherent qualifications requisite for appointment to the faculty at any rank are the same as those required for appointment at the highest level.

III. Appointments and Promotion

UW-Extension differs significantly from resident campuses with respect to program content, clientele, teaching methods, and financing. Therefore, criteria for appointment and promotion to rank and tenure of UW-Extension faculty are established to evaluate performance and scholarship in this unique situation. This document suggests criteria for evaluating contributions of the faculty to the mission of UW-Extension.

For initial appointment, renewal, promotion, or the granting of tenure, the qualifications and accomplishments of the candidate shall be evaluated on the candidate's education, experience, and professional activities as a scholar.

IV. Criteria of Education and Experience

UW-Extension faculty are required to have education and experience appropriate to their appointments. Candidates for tenure must demonstrate the desire and capacity for professional growth and continued productive scholarly study. Evidence of continued professional growth may be the following:

- A. Progress on an organized plan for scholarly development, and completion of course work or degrees when appropriate;
- B. Active participation in professional associations and conferences, and presentation of papers as appropriate; and

- C. Development of professional networks through active participation at workshops, program travel, study, and conferences.

For initial appointment to a faculty position, previous experience and formal education should be evaluated. To judge previous experience, evidence should be obtained from the candidate's employer and from colleagues in his/her own field. Consistency of performance over a period of years is usually an excellent predictor of future performance.

V. Criteria for Evaluation for Rank Change

- A. Evidence of successful scholarship as defined in Appendix I.B.
 B. Evidence of continuing professional development;
 C. Evidence of leadership in program development;
 D. Evidence of effective working relationships with colleagues and clientele;
 E. Contributions to the profession, department, and university; and
 F. Probability of positive future contributions to the profession, department, and university.

VI. Assessment of Scholarship

The effectiveness of the educational programs of the University of Wisconsin-Extension depends on the abilities and skills of its faculty. Quality faculty with the capacity to grow and mature professionally, with the ability to adjust to changing demands and needs of clients, customers, and colleagues, and with the commitment to do scholarly work are imperative for the UW-Extension to continue to be a vital force in meeting the needs of the people of Wisconsin.

These guidelines are presented to assist faculty in the assessment of their own scholarly work or the scholarly work of a faculty colleague. This assessment is to determine the presence of a rigorous, intellectual approach to issue identification, clarification, plan of action development, plan implementation, and appropriate evaluation of the resulting outcomes and impacts of the work. Scholarship, therefore, is an approach to the way faculty do their work that is:

- creative intellectual work;
- reviewed by the scholar's peers who affirm its value;
- added to our intellectual history through its communication; and
- valued by those for whom it was intended.

Scholarship may occur in many forms, such as academic presentations, exhibitions of work, creative performances, or publication of articles. Certainly one of the significant contributions of Extension work is the diversity of its manner of presentation to and incorporation in the lives of Wisconsin residents; however, across all of the diversity of Extension work,

the four elements of scholarship assessed in these guidelines are all present in substantive form.

Collaborative work is valued and encouraged. When reporting on scholarly collaborative work, faculty should clearly document their own contributions and how that contribution enhanced the collaborative effort.

It should be noted that not all scholarly work need be "successful" in the sense that the desired outcomes are always achieved, nor is all of the work of an Extension faculty member necessarily scholarly.

Listed after each of the four elements of scholarship are pertinent questions that can be used to assess scholarly work. These guidelines are applicable to all collegial assessments of scholarly work, reviews (e.g., annual, three-year, post-tenure) and promotion in tenure or rank. In the development of a portfolio, the candidate must provide evidence of all four components of scholarly work.

Scholarly work is shown through:

"Creative intellectual work"

To be considered as scholarship the work must be creative and intellectual in nature. The scholar has developed new knowledge, and/or incorporated creative methods of applying, sharing or presenting new or existing knowledge. The scholar demonstrates personal awareness of best practices plus existing knowledge available in the field. The scholar has clearly identified the need for new knowledge or an improved practice, and has developed that knowledge, method, or approach to appropriately fill the need.

- A. How does the work build upon the knowledge, research, or practice in the field?
- B. How does the work respond to an identified need, fill a need for new knowledge, a new approach, or a new method, or the creative adaptation of existing knowledge, approaches, or methods?
- C. How did the work result in the development of new information or the development of new or creatively adapted methods or approaches?

"Reviewed by the scholar's peers who affirm its value"

Through review and evaluation peers affirm the work of the scholar as it is shared in the form of academic presentations, exhibitions of work, creative performances, or publication of articles. This listing is not meant to be exclusive of other means by which the product of a scholar's work has undergone independent evaluation by those persons having comparable understanding of the discipline or activity and who can provide judgment as to the work's value or merit to the academic discipline.

Since evaluation of one's work is most valid when that judgment is independent, the scholar's peers, as opposed to collaborators, should do the evaluation. Collaborators can and do provide useful review, but such review is not peer review in the sense meant here. A "peer" or "one's peers" are persons working in the same academic discipline or who are familiar with the body of knowledge in that discipline, and may include person(s) whose professional work has been done outside of the University of Wisconsin-Extension.

- A. How has the scholar's work been shared in published articles, academic presentations, exhibitions of work, creative performances, or in other public venues in which peers independently evaluated this work?
- B. How has the scholar's work resulted in the receiving of an award, honor, or some other public recognition by peers?
- C. How has the scholar's work resulted in testimonials, letter of recommendation, or adaptations that affirm the value of this work?

"Added to our intellectual history through its communication"

It is important that faculty communicate their work and add to the existing body of intellectual history. Faculty members choose the various ways to share and similarly, the specific ways that they will make their work accessible to others. This may be accomplished through a variety of means including, but not limited to, presentations, publications (e.g., journal articles, hard copy and electronic papers), and other ways of sharing work with colleagues.

- A. How has the work been shared with colleagues?
- B. How has the work added to the body of knowledge?
- C. Where is the work accessible?

"Valued by those for whom it was intended"

The term "valued" is meant to convey the following meanings: persistence of use, impact, and duration of public use, scope, persistence of influence, and/or public appreciation. The "intended" portion of the statement is framed within the context of a primary audience. These audiences might be peers, educators, students, various publics, patrons, and/or customers.

- A. What actions did the intended audience take as a result of this work?
- B. What measurable impacts occurred as a result of the effort (e.g., individual, family, community -- knowledge gained, information shared, behavior change)?
- C. How were the developed materials or processes subsequently used by others?
- D. What were the implications, either positive or negative, beyond those anticipated for the intended clientele and/or community?

VII. Mission and Resource Support

The educational needs of Wisconsin citizens are constantly evolving. Accordingly, the response of UW-Extension should evolve to meet changing needs. Review of UW-Extension responses should be the responsibility of both the faculty and administration, with the faculty assuming primary responsibility, as required by law. Likewise, the capacity of the state to support its various functions may also be subject to change. It is in the interests of both individual UW-EXTENSION faculty and UW-Extension to recognize the factors of changing needs and resources and to incorporate them into the promotion process.

There may well be occasions in which promotions will be sought despite inhibiting fiscal situations, typically manifested in programmatic limitations or budgetary constraints, or conceivably both. Individual faculty should be informed of such restrictions as early as possible. UW-Extension administration has the responsibility to make faculty aware of potential restrictions as promptly as they are known, to assist faculty in revising their career decisions.

University of Wisconsin-Extension departments or administrative units (whichever entities have the programmatic budgetary responsibility) shall exercise their responsibility as charged under UWS 3.06(1)(b) to assess in the above-mentioned faculty personnel matters, their programmatic needs, their tenure density, and their budgetary situation. This should be done in such a way that maximum protection for the quality and the vitality of the department/unit is provided.

The Faculty Senate is charged with reviewing this document at least every three years, following consultation with the University Committee and the Faculty Tenure Advisory Committee. The process of the adoption and revision of this document is carried out in consultation with the Chancellor, or Chancellor's designee, and his/her concurrence is assumed unless he/she indicates otherwise.

**Established September 25, 1997
Revised September, 2001**

ARTICLE 5 OF FACULTY GOVERNANCE APPENDIX I.C

NEW APPENDIX TO SUPPLEMENT APPENDIX 1.B

(This version, established in June 2008 applies to faculty who began on the tenure track on or after July 1, 2009. This version is available by choice for faculty who began on the tenure track prior to July 1, 2009.)

CRITERIA FOR FACULTY APPOINTMENT AND PROMOTION IN UW-EXTENSION

I. Introduction

The effectiveness of the educational programs of the University of Wisconsin-Extension depends on the scholarship of its faculty. Quality faculty with the capacity to grow and mature professionally and with the ability to adjust to changing demands are imperative for University of Wisconsin-Extension to continue to be a vital force in meeting the needs of the people of Wisconsin. Faculty appointments, the granting of tenure, and promotion in rank at UW-Extension are based on a record of and potential for a consistent and high level of scholarship and scholarly activity.

Scholarship includes teaching, research, outreach, or integration. (See Boyer, E. L. (1990). Scholarship Reconsidered: Priorities of the Professoriate. San Francisco, CA. Jossey-Bass.)

Scholarship in UW-Extension is...

- creative, intellectual work;
- reviewed by the scholar's peers who affirm its value;
- added to our intellectual history through its communication; and
- valued by those for whom it was intended.

Information included in this document identifies general criteria for appointment of tenured and probationary faculty. Tenured faculty includes all professors and associate professors. The probationary faculty includes assistant professors and instructors.

II. Rank Appointments

Appointment of probationary or tenured faculty in UW-Extension at each of the four ranks is dependent on academic preparation, evidence of past and current performance, and an expectation of continued growth. An interpretation of each rank is as follows:

Instructor:

The faculty member is prepared to work as an independent scholar and has the capacity for professional maturity and leadership.

Assistant Professor:

The faculty member is developing as an independent scholar and gives evidence that within a few years professional maturity and leadership will be attained.

Associate Professor:

The faculty member has demonstrated, to the satisfaction of colleagues, attainment of professional maturity and leadership, and shows promise of continued professional growth.

Professor:

The faculty member has fully demonstrated professional maturity and leadership and continues professional growth.

It is the policy of UW-Extension to appoint probationary faculty only to those positions which encourage development to the rank of professor. The inherent qualifications requisite for appointment to the faculty at any rank are the same as those required for appointment at the highest level.

III. Appointments and Promotion

UW-Extension differs significantly from resident campuses with respect to program content, clientele, teaching methods, and financing. Therefore, criteria for appointment and promotion to rank and tenure of UW-Extension faculty are established to evaluate performance and scholarship in this unique situation. This document suggests criteria for evaluating contributions of the faculty to the mission of UW-Extension.

For initial appointment, renewal, promotion, or the granting of tenure, the qualifications and accomplishments of the candidate shall be evaluated on the candidate's education, experience, and professional activities as a scholar.

IV. Criteria Used to Evaluate Candidates for Faculty Appointments, Granting of Tenure, and Promotion in Rank

As stated in Section I, Introduction, scholarship is the foundational concept basic to faculty appointments, tenure, and promotion in rank in UW-Extension. Scholarly activity and behavior on the part of UW-Extension faculty is demonstrated throughout a faculty member's academic career – including teaching, research, service, and outreach. Documentation of scholarship should be demonstrated and evaluated with all criteria listed below:

A. Education and experience.

UW-Extension faculty are required to have education and experience appropriate to their appointments. Candidates for tenure must demonstrate the desire and capacity for professional growth and continued productive scholarly study.

For initial appointment to a faculty position, previous experience and formal education should be evaluated. To judge previous experience, evidence should be obtained from the candidate's employer and from colleagues in his/her own field. Consistency of performance over a period of years is usually an excellent predictor of future performance.

B. Continuing professional development and growth

Evidence of continued professional growth may be the following:

1. Progress on an organized plan for scholarly development, and completion of course work or degrees when appropriate;
2. Active participation in professional associations and conferences, and presentation of papers as appropriate; and
3. Development of professional networks through active participation at workshops, program travel, study, and conferences.

C. Leadership in program development

Evidence of leadership in program development may include development of work plans that include assessment of needs, identification of appropriate educational responses to those needs, assessment of outcomes, and related program activities.

D. Effective working relationships with colleagues and clientele

Such evidence may include description and documentation of opportunities to collaborate with colleagues and the results of those collaborations, examples of impact and outcomes resulting from experiences of clientele, and related descriptive and evaluative information selected by the candidate.

E. Contributions to the profession, department, and university

Documentation and descriptions of such contributions may include membership in and leadership of committees, organizations, and governance groups appropriate to the faculty member's position descriptions(s) and her/his profession.

For all the criteria listed above, a faculty member's scholarship, as demonstrated by scholarly activity and behavior, needs to be documented and evaluated by candidates themselves and by their faculty colleagues, as they work as UW-Extension educators on behalf of the citizens of the state, the university, and their profession. Guidelines for the assessment of scholarship are listed in Section V.

V. **Assessment of Scholarship**

The effectiveness of the educational programs of the University of Wisconsin-Extension depends on the abilities and skills of its faculty. Quality faculty with the capacity to grow and mature professionally, with the ability to adjust to changing demands and needs of clients, customers, and colleagues, and with the commitment to do scholarly work are imperative for the UW-Extension to continue to be a vital force in meeting the needs of the people of Wisconsin.

These guidelines are presented to assist faculty in the assessment of their own scholarly work or the scholarly work of a faculty colleague. This assessment is to determine the presence of a rigorous, intellectual approach to issue identification, clarification, plan of action development, plan implementation, and appropriate evaluation of the resulting outcomes and impacts of the work. Scholarship, therefore, is an approach to the way faculty do their work that is:

- creative intellectual work;
- reviewed by the scholar's peers who affirm its value;
- added to our intellectual history through its communication; and
- valued by those for whom it was intended.

Scholarship may occur in many forms, such as academic presentations, exhibitions of work, creative performances, or publication of articles. Certainly one of the significant contributions of Extension work is the diversity of its manner of presentation to and incorporation in the lives of Wisconsin residents; however, across all of the diversity of Extension work, the four elements of scholarship assessed in these guidelines are all present in substantive form.

Collaborative work and teamwork are valued, encouraged, and may be scholarly. Collaborative work is defined as work with agencies or clientele groups to address a local, regional, or state effort, priority or an identified need. Teamwork may be programmatic, cross-programmatic, or institutional and may address statewide or local priorities. Collaborations and teamwork are important within Extension and are an effective way of utilizing people and fiscal resources. When addressing a candidate's contributions with respect to collaboration and teamwork, it is important to highlight individual contributions as well as collective team results. Candidates must describe and assess their own contributions and how that contribution enhanced the collective effort.

It should be noted that not all scholarly work need be "successful" in the sense that the desired outcomes are always achieved, nor is all of the work of an Extension faculty member necessarily scholarly.

Listed after each of the four elements of scholarship are pertinent questions that can be used to assess scholarly work. These guidelines are applicable to all collegial

assessments of scholarly work, reviews (e.g., annual, three-year, post-tenure) and promotion in tenure or rank. In the development of a portfolio, the candidate must provide evidence of all four components of scholarly work.

Scholarly work is shown through:

"Creative intellectual work"

To be considered as scholarship the work must be creative and intellectual in nature. The scholar has developed new knowledge, and/or incorporated creative methods of applying, sharing or presenting new or existing knowledge. The scholar demonstrates personal awareness of best practices plus existing knowledge available in the field. The scholar has clearly identified the need for new knowledge or an improved practice, and has developed that knowledge, method, or approach to appropriately fill the need.

- A. How does the work build upon the knowledge, research, or practice in the field?
- B. How does the work respond to an identified need, fill a need for new knowledge, a new approach, or a new method, or the creative adaptation of existing knowledge, approaches, or methods?
- C. How did the work result in the development of new information or the development of new or creatively adapted methods or approaches?

"Reviewed by the scholar's peers who affirm its value"

Through review and evaluation peers affirm the work of the scholar as it is shared in the form of academic presentations, exhibitions of work, creative performances, or publication of articles. This listing is not meant to be exclusive of other means by which the product of a scholar's work has undergone independent evaluation by those persons having comparable understanding of the discipline or activity and who can provide judgment as to the work's value or merit to the academic discipline.

Since evaluation of one's work is most valid when that judgment is independent, the scholar's peers, as opposed to collaborators, should do the evaluation. Collaborators can and do provide useful review, but such review is not peer review in the sense meant here. A "peer" or "one's peers" are persons working in the same academic discipline or who are familiar with the body of knowledge in that discipline, and may include person(s) whose professional work has been done outside of the University of Wisconsin-Extension.

- A. How has the scholar's work been shared in published articles, academic presentations, exhibitions of work, creative performances, or in other public venues in which peers independently evaluated this work?
- B. How has the scholar's work resulted in the receiving of an award, honor, or some other public recognition by peers?
- C. How has the scholar's work resulted in testimonials, letter of recommendation, or adaptations that affirm the value of this work?

"Added to our intellectual history through its communication"

It is important that faculty communicate their work and add to the existing body of intellectual history. Faculty members choose the various ways to share and similarly, the specific ways that they will make their work accessible to others. This may be accomplished through a variety of means including, but not limited to, presentations, publications (e.g., journal articles, hard copy and electronic papers), internet and other web-based material, and other ways of sharing work with colleagues.

- A. How has the work been shared with colleagues?
- B. How has the work added to the body of knowledge?
- C. Where is the work accessible?

"Valued by those for whom it was intended"

The term "valued" is meant to convey the following meanings: persistence of use, impact, and duration of public use, scope, persistence of influence, and/or public appreciation. The "intended" portion of the statement is framed within the context of a primary audience. These audiences might be peers, educators, students, various publics, patrons, and/or customers.

- A. What actions did the intended audience take as a result of this work?
- B. What measurable impacts occurred as a result of the effort (e.g., individual, family, community -- knowledge gained, information shared, behavior change)?
- C. How were the developed materials or processes subsequently used by others?
- D. What were the implications, either positive or negative, beyond those anticipated for the intended clientele and/or community?

VI. Mission and Resource Support

The educational needs of Wisconsin citizens are constantly evolving. Accordingly, the response of UW-Extension should evolve to meet changing needs. Review of UW-Extension responses should be the responsibility of both the faculty and administration, with the faculty assuming primary responsibility, as required by law. Likewise, the capacity of the state to support its various functions may also be subject to change. It is in the interests of both individual UW-EXTENSION faculty and UW-Extension to recognize the factors of changing needs and resources and to incorporate them into the promotion process.

There may well be occasions in which promotions will be sought despite inhibiting fiscal situations, typically manifested in programmatic limitations or budgetary constraints, or conceivably both. Individual faculty should be informed of such restrictions as early as possible. UW-Extension administration has the responsibility to make faculty aware of potential restrictions as promptly as they are known, to assist faculty in revising their career decisions.

PORTFOLIO FORMAT

University of Wisconsin-Extension departments or administrative units (whichever entities have the programmatic budgetary responsibility) shall exercise their responsibility as charged under UWS 3.06(1)(b) to assess in the above-mentioned faculty personnel matters, their programmatic needs, their tenure density, and their budgetary situation. This should be done in such a way that maximum protection for the quality and the vitality of the department/unit is provided.

The Faculty Senate is charged with reviewing this document at least every three years, following consultation with the University Committee and the Faculty Tenure Advisory Committee. The process of the adoption and revision of this document is carried out in consultation with the Chancellor, or Chancellor's designee, and his/her concurrence is assumed unless he/she indicates otherwise.

Established September 25, 1997

Revised September, 2001

Revised June 2008

ARTICLE 5 OF FACULTY GOVERNANCE

APPENDIX II.B – ORIGINAL VERSION

(This version, established in September, 1997, applies to faculty who began on the tenure track on or after July 1, 1998. This version is available by choice for faculty who began on the tenure track prior to July 1, 1998.)

UWEX Guidelines for Nominations for Tenure

I. Introduction

Faculty who aspire to achieve tenure should make early plans to attain this academic achievement. Major responsibility for a strong record of accomplishment rests with the faculty member. Progress should be periodically reviewed and documented.

The policies and procedures outlined in this document will be followed when nominating Extension faculty for tenure. Chapters UWEX 3.04, 3.05, 3.06, 3.07, and 3.08 and Article 5 and Appendix I of the UWEX Articles of Faculty Governance explain the basic policy. Copies of these documents are available in the UW-Extension Employee Handbook via the world wide web (<http://www.uwex.edu/secretary>) and are available in other formats from the UW-Extension Secretary of the Faculty (501 Extension Building, 432 North Lake Street, Madison, WI 53706; 608-262-4387).

The granting of tenure is based on a consistent and high level of scholarship, not on years of experience. Early tenure consideration may be granted at the time of hire, based on scholarship prior to UW-Extension employment. Generally, tenure may only be granted after a minimum of four years of probationary faculty employment in UW-Extension, based on performance and scholarship in UW-Extension. If prior experience does not warrant early tenure consideration at time of hire, then the consistency of performance and scholarship necessary for tenure cannot be ascertained from less than four years of UW-Extension probationary faculty employment. Therefore, in no case other than in those cases where early tenure consideration has been granted at the time of hire, should a portfolio for tenure application be based on less than the four years of UW-Extension probationary faculty employment.

Tenure must be achieved (approved by the Board of Regents or the president on behalf of the Board) by the end of the sixth year of UW-Extension probationary faculty employment. Under related statutes and personnel rules, the maximum probationary period for a full-time appointment is seven years. No faculty member will be allowed to apply for or be considered at the institutional level for tenure during a seventh and terminal year of UW-Extension probationary faculty employment. (See Chapter UWEX 3, Faculty Appointments, for the complete policy on faculty appointments.)

The annual appointment letter for all probationary faculty will include the latest date to receive an affirmative tenure decision. Throughout the probationary period, the administration shall advise a faculty member through annual reviews of the probability that programmatic priorities and budgetary support will justify tenure. However, despite budgetary and program constraints, the faculty member will not be prevented from applying for tenure through the normal review process for granting tenure.

II. The Nomination Process: Departments and the Faculty Tenure Advisory Committee

Nominations for faculty budgeted to an academic department originate with the department and are transmitted through the chair to the dean, who then forwards them to the Faculty Tenure Advisory Committee for advice.

Nominations for faculty budgeted to an administrative unit (Chapter UWEX 1.02) rather than an academic department may originate via recommendation from the administrative unit to the academic department or directly by the academic department. In the latter case, to have full knowledge of the status of the faculty member before acting on a tenure application, the department needs to contact and involve the appropriate administrative unit. Therefore, the department chair must request a letter from the head of the administrative unit or district director for each department member who has indicated an intent to apply for tenure during the coming year. This letter should address stability of funding for the position, assessment of long-term organizational need, and administrative assessment of the faculty member's performance based upon the annual review process. This letter, along with the portfolio described on the following pages, should accompany a department's recommendation to the dean.

In accordance with Chapter UWEX 3.06, the dean shall seek the advice of the Faculty Tenure Advisory Committee for each tenure recommendation forwarded from a department. The Faculty Tenure Advisory Committee's sole function is to advise the appropriate dean regarding tenure decisions. The Committee's advice shall be based on a review of the material forwarded by the dean for each candidate and take the form of a positive or negative recommendation to the dean.

Every application for tenure must conform to the general guidelines published in UWEX Guidelines. In addition, each academic department may have more specific guidelines. It is the department's responsibility to assess and monitor compliance with its own department guidelines.

The Faculty Tenure Advisory Committee will receive a faculty member's application only after the department has recommended to the dean that the faculty member be awarded tenure. Therefore, it would be inappropriate for Faculty Tenure Advisory Committee members to hold applicants to specific requirements included in

department guidelines but not included in the UWEX Guidelines. The primary purpose for Faculty Tenure Advisory Committee involvement is to ensure that tenured faculty meet the highest level of academic excellence. The Faculty Tenure Advisory Committee will assess the overall quality of professional performance and scholarship and assure that the applicant is performing at a level commensurate with expectations for tenured faculty performance at UW-Extension.

III. Preparation of Portfolio

A candidate's tenure application takes the form of a portfolio normally submitted through his/her department. The candidate is responsible for initiating and producing the portfolio used in the tenure review process. It is the candidate's responsibility to:

- select, provide and organize the components submitted in the portfolio
- meet the time table outlined for portfolio submission
- seek assistance from the program unit, department and/or peers as needed

The content of the portfolio should follow the format outlined in the UWEX Tenure Portfolio Contents.

UWEX TENURE PORTFOLIO CONTENTS

The candidate supplies items described in sections A - F.

A. PROFESSIONAL RESUME (no more than 5 pages)

Include:

- Formal education and other significant relevant professional development
- Relevant employment (indicate UW-Extension employment and percent of time employed by UW-Extension)
- Professional and University contributions and recognition
- Experience with grants, collaborations, and supervision
- Publications or materials developed
- State, regional or national presentations
- Program materials developed

B. POSITION DESCRIPTION(S)

Include position descriptions for programming appointment, administrative appointment, or other significant candidate roles for which a description exists. If a significant change has occurred in a candidate's responsibilities, the candidate may wish to include any relevant explanation.

C. PROGRAM DEVELOPMENT: PLANS OF WORK AND ACCOMPLISHMENT REPORTS

The portfolio is intended to be a collection of relevant professional material developed over the probationary period of the faculty member.

It is the responsibility of the individual probationary faculty member to plan, develop, maintain, implement and assess a multi-year program of work. The purpose of this section of the tenure portfolio is to demonstrate that the probationary faculty member has engaged in this, or a similar process, throughout the probationary period.

Candidates should include plan and report documents that they have prepared in response to department and/or administrative requirements, or for the general benefit of their own work and its review by faculty peers. In the absence of any explicit requirement to develop plan and report documents, the probationary faculty member may present a plan and report that chronicles the process and progress of program development.

Documentation presented in this section of the portfolio should reasonably address the following elements and detail the faculty member's role throughout the process:

- Situation statement
- Program objectives
- Faculty member's response/planned activities

- Impact/Outcomes
- Professional development in response to personal and programmatic needs

D. SUMMARY OF PROFESSIONAL CONTRIBUTIONS AND SCHOLARSHIP

(no more than 8 pages)

The purpose of this statement is to provide the candidate with an opportunity to reflect upon and assess professional contributions and scholarship. The candidate is responsible for analyzing career contributions, reflecting upon the most significant parts, developing a framework for describing the contributions, and explaining the impacts and implications for the intended audience, as well as for the profession. (See the introduction, criteria for evaluation for rank change, and assessment of scholarship found in Appendix I.B, Sections I, V., and VI.).

E. SUPPORT MATERIALS

The candidate may select materials that support and clarify the **Summary of Professional Contributions and Scholarship**. No more than 30 supportive exhibits are permitted. An exhibit is one item (newsletter, news release, teaching packet, etc.). Only relevant materials which help to explain or illustrate the narrative portion of the portfolio should be included. For all supportive materials the unique contribution of the candidate must be specified.

F. PAST THREE ANNUAL REVIEWS or, at the option of the applicant, a letter from the head of the administrative unit (or district director) that summarizes the past three annual reviews.

G. LETTERS OF RECOMMENDATION

The candidate supplies the names of individuals from whom letters of recommendation should be obtained. The Department Chair requests these letters and an additional letter from the candidate's District Director or equivalent administrator regarding the financial support and programmatic need for the position.

At least three and not more than five current letters of recommendation must be provided. Such letters should specifically evaluate the candidate's qualifications for the promotion and tenure.

Selection of writers is critical. As these letters are often used as a measure of the candidate's quality, they should be from faculty and non-faculty colleagues, administrators (i.e., administrative unit chairs, district directors, program leaders, etc.), subject matter experts (specialists), either tenured or non-tenured. References from persons not employed by UW-Extension may be included if such persons hold positions in another institution which is similar to that of the candidate and if such persons have the experience necessary to gauge the candidate's capabilities and contributions.

IV. Cover Letter for the Recommendation

The portfolio should be accompanied by a cover letter from the chair (or representative) of the department. This letter should state the recommended promotion precisely; for example: "Recommendation for promotion from Assistant Professor to Associate Professor with tenure" or "Recommendation for appointment as Associate Professor with tenure."

The letter should outline the candidate's present and future responsibilities in the department and/or administrative unit. It should also indicate the department's evaluation of the candidate's scholarship and should include a statement of reasons given by the department's executive committee (or representative committee) for recommending the candidate's promotion to a tenure position. In addition, the letter should contain a statement outlining the department's/unit's need for the candidate in terms of its academic mission and long-range plans.

V. Copies Required

The Faculty Tenure Advisory Committee requires eleven copies of the candidate's portfolio, eleven copies of support materials, and a letter from the appropriate dean requesting the advice of the committee.

VI. Early Tenure Consideration Granted at Time of Hire

Early tenure consideration may be granted at the time of hire, meaning that the tenure process may be initiated before or within the first twelve months of the employment date of a faculty member. Generally, tenure may only be granted after a minimum of four years of probationary faculty employment in UW-Extension. The granting of early tenure consideration granted at the time of hire begins when the candidate, the academic department and the appointment authority agree to a tenure consideration at time of hire. Candidates will be hired at the highest appropriate nontenure rank and if tenure is granted, the new rank will be effective at the time it is granted.

While portfolios for candidates who have been granted early tenure consideration at the time of hire may differ from those of other candidates, it is the responsibility of the candidate to provide materials that, at a minimum, address the elements of scholarship and document how they have met the criteria for evaluation for rank change and assessment standards found in Appendix I.B, Sections V. and VI. The tenure application portfolio will consist of existing materials that show evidence of professional performance and scholarship and other materials requested by the department.

The academic department chair must provide a written explanation of the circumstances of the request for early tenure consideration granted at the time of hire in the letter which is forwarded to the dean. This explanation must include the candidate's previous position(s) and the new appointment in UW-Extension.

Nominations for early tenure consideration granted at the time of hire will follow the same channels as other tenure nominations (see section II). The department committees and the Faculty Tenure Advisory Committee should consider relevant information relating to the professional achievements of such candidates. These committees may also need to schedule special meetings to consider such candidates. The Faculty Tenure Advisory Committee must consider and act on applications for tenure for those granted early consideration at the time of hire within 30 days of the request by the dean to do so.

VII. Meeting Dates and Deadlines for Tenure Nominations

Any meeting in a tenure proceeding may be held in closed session if the deliberating body votes to do so, with the exception that the candidate in question has the right to require that the proceedings be held in open session. Candidates can require that meetings to hear evidence and to take final action be held in open session. State Statute Section 19.85(1)(b) is the provision pertinent to tenure proceedings. For tenure proceedings within both department committees and the Faculty Tenure Advisory Committee, the individual candidates must be given advance notice of meetings and informed that they have the right to require open meetings.

The Faculty Tenure Advisory Committee regularly meets in November, February, and March. To be considered at one of these meetings, a faculty member's application must be forwarded from the department to the dean by the deadlines noted below (or the following Monday when those dates fall on a weekend). In special cases, such as a recommendation for early tenure consideration granted at the time of hire or a tenure due date (six years anniversary) that does not allow for delay until the next regularly scheduled meeting, the Faculty Tenure Advisory Committee may hold a special meeting at any time of the year.

For Review at a November Meeting

- **Department chair must forward materials to the appropriate dean by October 10.**
- **Dean must submit all materials to the Faculty Tenure Advisory Committee chair by October 17.**

For Review at a February Meeting

- **Department chair must forward materials to the appropriate dean by January 10.**
- **Dean must submit all materials to the Faculty Tenure Advisory Committee chair by January 17.**

For Review at a March Meeting

- **Department chair must forward materials to the appropriate dean by February 10.**

- **Dean must submit all materials to the Faculty Tenure Advisory Committee chair by February 17.**

The process of the adoption and revision of this document is carried out in consultation with the Chancellor, or Chancellor's designee, and his/her concurrence is assumed unless he/she indicates otherwise.

Approved by the Faculty Senate, September 25, 1997

Revised June, 2000

Revised September, 2001

Revised December 2004

PORTFOLIO FORMAT

ARTICLE 5 OF FACULTY GOVERNANCE APPENDIX II.BC

NEW APPENDIX TO SUPPLEMENT II.B – WITH EDITS TRACKED

(This version, established in ~~September~~June, 1997~~2008~~, applies to faculty who began on the tenure track on or after ~~July~~July 1, 1998~~2009~~. This version is available by choice for faculty who began on the tenure track prior to ~~July~~July 1, 1998~~2009~~.)

UWEX Guidelines for Nominations for Tenure

I. Introduction

Faculty who aspire to achieve tenure should make early plans to attain this academic achievement. Major responsibility for a strong record of accomplishment rests with the faculty member. Progress should be periodically reviewed and documented.

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The granting of tenure is based on a consistent and high level of scholarship, not on years of experience. Early tenure consideration may be granted at the time of hire, based on scholarship prior to UW-Extension employment. Generally, tenure may only be granted after a minimum of four years of probationary faculty employment in UW-Extension, based on performance and scholarship in UW-Extension. If prior experience does not warrant early tenure consideration at time of hire, then the consistency of performance and scholarship necessary for tenure cannot be ascertained from less than four years of UW-Extension probationary faculty employment. Therefore, in no case other than in those cases where early tenure consideration has been granted at the time of hire, should a portfolio for tenure application be based on less than the four years of UW-Extension probationary faculty employment.

Tenure must be achieved (approved by the Board of Regents or the president on behalf of the Board) by the end of the sixth year of UW-Extension probationary faculty employment. Under related statutes and personnel rules, the maximum probationary period for a full-time appointment is seven years. No faculty member will be allowed to apply for or be considered at the institutional level for tenure during a seventh and terminal year of UW-Extension probationary faculty employment. (See Chapter UWEX 3, Faculty Appointments, for the complete policy on faculty appointments.)

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PORTFOLIO FORMAT

The annual appointment letter for all probationary faculty will include the latest date to receive an affirmative tenure decision. Throughout the probationary period, the administration shall advise a faculty member through annual reviews of the probability that programmatic priorities and budgetary support will justify tenure. However, despite budgetary and program constraints, the faculty member will not be prevented from applying for tenure through the normal review process for granting tenure.

II. The Nomination Process: Departments and the Faculty Tenure Advisory Committee

Nominations for faculty budgeted to an academic department originate with the department and are transmitted through the chair to the dean, who then forwards them to the Faculty Tenure Advisory Committee for advice.

Nominations for faculty budgeted to an administrative unit (Chapter UWEX 1.02) rather than an academic department may originate via recommendation from the administrative unit to the academic department or directly by the academic department. In the latter case, to have full knowledge of the status of the faculty member before acting on a tenure application, the department needs to contact and involve the appropriate administrative unit. Therefore, the department chair must request a letter from the head of the administrative unit or district director for each department member who has indicated an intent to apply for tenure during the coming year. This letter should address stability of funding for the position, assessment of long-term organizational need, and administrative assessment of the faculty member's performance based upon the annual review process. This letter, along with the portfolio described on the following pages, should accompany a department's recommendation to the dean.

In accordance with Chapter UWEX 3.06, the dean shall seek the advice of the Faculty Tenure Advisory Committee for each tenure recommendation forwarded from a department. The Faculty Tenure Advisory Committee's sole function is to advise the appropriate dean regarding tenure decisions. The Committee's advice shall be based on a review of the material forwarded by the dean for each candidate and take the form of a positive or negative recommendation to the dean.

Every application for tenure must conform to the general guidelines published in [UWEX-UW-Extension](#) Guidelines. In addition, each academic department may have more specific guidelines. It is the department's responsibility to assess and monitor compliance with its own department guidelines.

The Faculty Tenure Advisory Committee will receive a faculty member's application only after the department has recommended to the dean that the faculty member be awarded tenure. Therefore, it would be inappropriate for Faculty Tenure Advisory Committee members to hold applicants to specific requirements included in

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PORTFOLIO FORMAT

department guidelines but not included in the UWEX-UW-Extension Guidelines. The primary purpose for Faculty Tenure Advisory Committee involvement is to ensure that tenured faculty ~~meet the highest level of academic excellence. The Faculty Tenure Advisory Committee will assess the overall quality of professional performance and scholarship and assure that the applicant is performing at a level commensurate with expectations for tenured faculty performance at UW-Extension demonstrate an individual record of and continuing potential for a consistent, high level of scholarship in accordance with applicable institutional criteria and guidelines.~~

III. Preparation of Portfolio

A candidate's tenure application takes the form of a portfolio normally submitted through his/her department. The candidate is responsible for initiating and producing the portfolio used in the tenure review process. It is the candidate's responsibility to:

- select, provide and organize the components submitted in the portfolio
- meet the time table outlined for portfolio submission
- seek assistance from the program unit, department and/or peers as needed

Candidates should refer to Appendix IBC, Section IV, for a listing of the criteria used to evaluate candidates for promotion in tenure and rank in UW-Extension. The five criteria are:

- Education and experience,
- Continuing professional development and growth,
- Leadership in program development,
- Effective working relationships with colleagues, and clientele, and
- Contributions to the profession, department, and university.

For all the criteria just listed, a candidate's scholarship, as evidenced by his/her scholarly activity and behavior, is documented and assessed using the materials contained in the portfolio.

The relationship between Appendix ICB, Section IV (Criteria for rank change) and Appendix IICB (Guidelines) is expressed in the following – NOT as a prescription of the relationship, but rather as a suggested approach to express the relationship.

As the candidate develops her/his portfolio,

- Much of the education and experience criterion are documented in Part A (Professional Resume).
- The criterion of continuing professional development and growth is addressed principally in Part A, Part B (Candidate's Position(s) in UW-Extension), and Part C (Summary of Program Development and Accomplishments).
- The criterion of leadership in program development is principally addressed in Part C and Part D (Statement of Professional Contributions and Scholarship).
- The criterion of effective working relationships with colleagues and clientele is addressed in Part C and Part D.

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PORTFOLIO FORMAT

- The fifth criterion of contributions to the profession, university, and department is addressed principally in Part A.

Part E (Support Materials), Part F (Past Three Annual Reviews Performance Evaluation), and Part G (Letters of Recommendations) are important sources of clarifying and corroborative information for all criteria.

The content of the portfolio should follow the format outlined in the UWEX Tenure Portfolio Contents.

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PORTFOLIO FORMAT

UWEX-UW-EXTENSION TENURE PORTFOLIO CONTENTS

The candidate supplies items described in sections A - F.

A. PROFESSIONAL RESUME (no more than 5 pages)

Include:

- Formal education and other significant relevant professional development
- Relevant employment (indicate UW-Extension employment and percent of time employed by UW-Extension)
- Professional and University contributions and recognition
- Experience with grants, collaborations, and supervision
- Publications or materials developed
- State, regional or national presentations
- Program materials developed

B. CANDIDATE'S POSITION(S) IN UW-EXTENSION DESCRIPTION(S)

Include position descriptions for programming appointment, administrative appointment, or other significant candidate roles for which a description exists. ~~If a significant change has occurred in a candidate's responsibilities, the candidate may wish to include any relevant explanation.~~ The candidate may provide a background narrative about her/his position(s) in UW-Extension to help readers better understand the work of the candidate.

C. SUMMARY OF PROGRAM DEVELOPMENT: PLANS OF WORK AND ACCOMPLISHMENTS REPORTS

(The purpose of this section is to summarize "what the candidate has done and how he/she did it".)

Documentation presented in this section of the portfolio should reasonably address the following elements and detail the faculty member's role throughout the process:

- Situation statement
- Program objectives
- Faculty member's response including: planned activities, implementations, and teaching
- Impact/Outcomes
- Program Evaluations
- Professional development in response to personal and programmatic needs

~~The portfolio is intended to be a collection of relevant professional material developed over the probationary period of the faculty member.~~

It is the responsibility of the individual probationary faculty member to plan, develop, maintain, implement and assess a multi-year program of work. The purpose of this section of the tenure portfolio is to ~~demonstrate that the probationary faculty member~~

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PORTFOLIO FORMAT

~~has engaged in this, or a similar process, summarize the process and progress of program development and accomplishments~~ throughout the probationary period. Candidates ~~should~~ may include ~~the most relevant parts of~~ plan and report documents, or their most relevant parts, or a summary based on these documents that they have prepared in response to department and/or administrative requirements, or for the general benefit of their own work and its review by faculty peers. ~~In the absence of any explicit requirement to develop plan and report documents, the probationary faculty member may present a plan and report that chronicles the process and progress of program development. (If desired, entire plans or reports may be put in the Supportive Materials Section of the Portfolio — Part E.)~~

Documentation presented in this section of the portfolio should reasonably address the following elements and detail the faculty member's role throughout the process:

- ~~Situation statement~~
- ~~Program objectives~~
- ~~Faculty member's response/ including: planned activities, implementations, and teaching~~
- ~~Impact/Outcomes~~
- ~~Program Evaluations~~
- ~~Professional development in response to personal and programmatic needs~~

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D. SUMMARY STATEMENT OF PROFESSIONAL CONTRIBUTIONS AND SCHOLARSHIP (no more than 8 pages) (The purpose of this section is to share the meaning of the work that has been accomplished.)

~~The purpose of this~~ This statement ~~is to~~ provides the candidate with an opportunity to reflect upon and assess professional contributions and scholarship. The candidate is responsible for analyzing career contributions, reflecting upon the most significant parts, developing a framework for describing the contributions, and explaining the impacts and implications for the intended audience, as well as for the profession. (See the introduction, criteria for evaluation for rank change, and assessment of scholarship found in Appendix I.B, Sections I, IV, V., and VI).

E. SUPPORT MATERIALS

~~The candidate may select materials that support and clarify the Summary of Professional Contributions and Scholarship. No more than 30 supportive exhibits are permitted. An exhibit is one item (newsletter, news release, teaching packet, etc.). Only relevant materials which help to explain or illustrate the narrative portion of the portfolio should be included. The Candidate is encouraged to carefully select the best supportive exhibits which help explain or illustrate the candidate's accomplishments and the narrative portions of the portfolio. No more than 30 exhibits are permitted~~ For all supportive materials the unique contribution of the candidate must be specified.

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PORTFOLIO FORMAT

- F. **PERFORMANCE EVALUATION PAST THREE ANNUAL REVIEWS** ~~or, at the option of the applicant, a letter from the head of the administrative unit (or district director) that summarizes the past three annual reviews.~~
This section of the portfolio will be a summary of the candidate's performance by the appropriate administrator in the form of a letter from the administrator or as the candidate's past annual reviews.

G. **LETTERS OF RECOMMENDATION**

The candidate supplies the names of individuals from whom letters of recommendation should be obtained. The Department Chair requests these letters and an additional letter from the candidate's District Director or equivalent administrator regarding the financial support and programmatic need for the position.

At least three and not more than five current letters of recommendation must be provided. Such letters should specifically evaluate the candidate's qualifications for the promotion and tenure.

Selection of writers is critical. As these letters are often used as a measure of the candidate's quality, they should be from faculty (tenured or non-tenured), ~~and non-faculty colleagues, collaborators, and/or administrators (i.e., administrative unit chairs, district directors, program leaders, etc.), subject matter experts (specialists), either tenured or non-tenured. References from persons not employed by UW~~
Extension may be included if such persons hold positions in another institution which is similar to that of the candidate and if such persons have the experience necessary to gauge the candidate's capabilities and contributions.

PORTFOLIO FORMAT

IV. Cover Letter for the Recommendation

The portfolio should be accompanied by a cover letter from the chair (or representative) of the department. This letter should state the recommended promotion precisely; for example: "Recommendation for promotion from Assistant Professor to Associate Professor with tenure" or "Recommendation for appointment as Associate Professor with tenure."

The letter should outline the candidate's present and future responsibilities in the department and/or administrative unit. It should also indicate the department's evaluation of the candidate's scholarship and should include a statement of reasons given by the department's executive committee (or representative committee) for recommending the candidate's promotion to a tenure position. In addition, the letter should contain a statement outlining the department's/unit's need for the candidate in terms of its academic mission and long-range plans.

V. Copies Required

The Faculty Tenure Advisory Committee requires eleven copies of the candidate's portfolio, eleven copies of support materials, and a letter from the appropriate dean requesting the advice of the committee.

VI. Early Tenure Consideration Granted at Time of Hire

Early tenure consideration may be granted at the time of hire, meaning that the tenure process may be initiated before or within the first twelve months of the employment date of a faculty member. Generally, tenure may only be granted after a minimum of four years of probationary faculty employment in UW-Extension. The granting of early tenure consideration granted at the time of hire begins when the candidate, the academic department and the appointment authority agree to a tenure consideration at time of hire. Candidates will be hired at the highest appropriate nontenure rank and if tenure is granted, the new rank will be effective at the time it is granted.

While portfolios for candidates who have been granted early tenure consideration at the time of hire may differ from those of other candidates, it is the responsibility of the candidate to provide materials that, at a minimum, address the elements of scholarship and document how they have met the criteria for evaluation for rank change and assessment standards found in Appendix I.B, Sections V. and VI. The tenure application portfolio will consist of existing materials that show evidence of professional performance and scholarship and other materials requested by the department.

The academic department chair must provide a written explanation of the circumstances of the request for early tenure consideration granted at the time of hire in the letter which is forwarded to the dean. This explanation must include the candidate's previous position(s) and the new appointment in UW-Extension.

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PORTFOLIO FORMAT

Nominations for early tenure consideration granted at the time of hire will follow the same channels as other tenure nominations (see section II). The department committees and the Faculty Tenure Advisory Committee should consider relevant information relating to the professional achievements of such candidates. These committees may also need to schedule special meetings to consider such candidates. The Faculty Tenure Advisory Committee must consider and act on applications for tenure for those granted early consideration at the time of hire within 30 days of the request by the dean to do so.

VII. Meeting Dates and Deadlines for Tenure Nominations

Any meeting in a tenure proceeding may be held in closed session if the deliberating body votes to do so, with the exception that the candidate in question has the right to require that the proceedings be held in open session. Candidates can require that meetings to hear evidence and to take final action be held in open session. State Statute Section 19.85(1)(b) is the provision pertinent to tenure proceedings. For tenure proceedings within both department committees and the Faculty Tenure Advisory Committee, the individual candidates must be given advance notice of meetings and informed that they have the right to require open meetings.

The Faculty Tenure Advisory Committee regularly meets in November, February, and March. To be considered at one of these meetings, a faculty member's application must be forwarded from the department to the dean by the deadlines noted below (or the following Monday when those dates fall on a weekend). In special cases, such as a recommendation for early tenure consideration granted at the time of hire or a tenure due date (six years anniversary) that does not allow for delay until the next regularly scheduled meeting, the Faculty Tenure Advisory Committee may hold a special meeting at any time of the year.

For Review at a November Meeting

- **Department chair must forward materials to the appropriate dean by October 10.**
- **Dean must submit all materials to the Faculty Tenure Advisory Committee chair by October 17.**

For Review at a February Meeting

- **Department chair must forward materials to the appropriate dean by January 10.**
- **Dean must submit all materials to the Faculty Tenure Advisory Committee chair by January 17.**

For Review at a March Meeting

- **Department chair must forward materials to the appropriate dean by February 10.**
- **Dean must submit all materials to the Faculty Tenure Advisory Committee chair by February 17.**

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PORTFOLIO FORMAT

The process of the adoption and revision of this document is carried out in consultation with the Chancellor, or Chancellor's designee, and his/her concurrence is assumed unless he/she indicates otherwise.

Approved by the Faculty Senate, September 25, 1997

Revised June, 2000

Revised September, 2001

Revised December 2004

Revised June 2008

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ARTICLE 5 OF FACULTY GOVERNANCE APPENDIX II.C

NEW APPENDIX TO SUPPLEMENT 11.B – CLEAN COPY

(This version, established in June 2008, applies to faculty who began on the tenure track on or after July 1, 2009. This version is available by choice for faculty who began on the tenure track prior to July 1, 2009.)

UWEX Guidelines for Nominations for Tenure

I. Introduction

Faculty who aspire to achieve tenure should make early plans to attain this academic achievement. Major responsibility for a strong record of accomplishment rests with the faculty member. Progress should be periodically reviewed and documented.

The policies and procedures outlined in this document will be followed when nominating Extension faculty for tenure. Chapters UWEX 3.04, 3.05, 3.06, 3.07, and 3.08 and Article 5 and Appendix I of the UWEX Articles of Faculty Governance explain the basic policy. Copies of these documents are available on the website of the Secretary of the Faculty and Academic Staff (<http://www.uwex.edu/secretary>) and are available in other formats from the UW-Extension Secretary of the Faculty (432 North Lake Street, Madison, WI 53706; 608-262-4387).

The granting of tenure is based on a consistent and high level of scholarship, not on years of experience. Early tenure consideration may be granted at the time of hire, based on scholarship prior to UW-Extension employment. Generally, tenure may only be granted after a minimum of four years of probationary faculty employment in UW-Extension, based on performance and scholarship in UW-Extension. If prior experience does not warrant early tenure consideration at time of hire, then the consistency of performance and scholarship necessary for tenure cannot be ascertained from less than four years of UW-Extension probationary faculty employment. Therefore, in no case other than in those cases where early tenure consideration has been granted at the time of hire, should a portfolio for tenure application be based on less than the four years of UW-Extension probationary faculty employment.

Tenure must be achieved (approved by the Board of Regents or the president on behalf of the Board) by the end of the sixth year of UW-Extension probationary faculty employment. Under related statutes and personnel rules, the maximum probationary period for a full-time appointment is seven years. No faculty member will be allowed to apply for or be considered at the institutional level for tenure during a seventh and terminal year of UW-Extension probationary faculty employment. (See Chapter UWEX 3, Faculty Appointments, for the complete policy on faculty appointments.

The annual appointment letter for all probationary faculty will include the latest date to receive an affirmative tenure decision. Throughout the probationary period, the administration shall advise a faculty member through annual reviews of the probability that programmatic priorities and budgetary support will justify tenure. However, despite budgetary and program constraints, the faculty member will not be prevented from applying for tenure through the normal review process for granting tenure.

II. The Nomination Process: Departments and the Faculty Tenure Advisory Committee

Nominations for faculty budgeted to an academic department originate with the department and are transmitted through the chair to the dean, who then forwards them to the Faculty Tenure Advisory Committee for advice.

Nominations for faculty budgeted to an administrative unit (Chapter UWEX 1.02) rather than an academic department may originate via recommendation from the administrative unit to the academic department or directly by the academic department. In the latter case, to have full knowledge of the status of the faculty member before acting on a tenure application, the department needs to contact and involve the appropriate administrative unit. Therefore, the department chair must request a letter from the head of the administrative unit or district director for each department member who has indicated an intent to apply for tenure during the coming year. This letter should address stability of funding for the position, assessment of long-term organizational need, and administrative assessment of the faculty member's performance based upon the annual review process. This letter, along with the portfolio described on the following pages, should accompany a department's recommendation to the dean.

In accordance with Chapter UWEX 3.06, the dean shall seek the advice of the Faculty Tenure Advisory Committee for each tenure recommendation forwarded from a department. The Faculty Tenure Advisory Committee's sole function is to advise the appropriate dean regarding tenure decisions. The Committee's advice shall be based on a review of the material forwarded by the dean for each candidate and take the form of a positive or negative recommendation to the dean.

Every application for tenure must conform to the general guidelines published in UW-Extension Guidelines. In addition, each academic department may have more specific guidelines. It is the department's responsibility to assess and monitor compliance with its own department guidelines.

The Faculty Tenure Advisory Committee will receive a faculty member's application only after the department has recommended to the dean that the faculty member be awarded tenure. Therefore, it would be inappropriate for Faculty Tenure Advisory Committee members to hold applicants to specific requirements included in department guidelines but not included in the UW-Extension Guidelines. The

primary purpose for Faculty Tenure Advisory Committee involvement is to ensure that tenured faculty demonstrate an individual record of and continuing potential for a consistent, high level of scholarship in accordance with applicable institutional criteria and guidelines.

III. Preparation of Portfolio

A candidate's tenure application takes the form of a portfolio normally submitted through his/her department. The candidate is responsible for initiating and producing the portfolio used in the tenure review process. It is the candidate's responsibility to:

- select, provide and organize the components submitted in the portfolio
- meet the time table outlined for portfolio submission
- seek assistance from the program unit, department and/or peers as needed

Candidates should refer to Appendix IC, Section IV, for a listing of the criteria used to evaluate candidates for promotion in tenure and rank in UW-Extension. The five criteria are:

- Education and experience,
- Continuing professional development and growth,
- Leadership in program development,
- Effective working relationships with colleagues, and clientele, and
- Contributions to the profession, department, and university.

For all the criteria just listed, a candidate's scholarship, as evidenced by his/her scholarly activity and behavior, is documented and assessed using the materials contained in the portfolio.

The relationship between Appendix IC, Section IV (Criteria for rank change) and Appendix IIC (Guidelines) is expressed in the following – NOT as a prescription of the relationship, but rather as a suggested approach to express the relationship.

As the candidate develops her/his portfolio,

- Much of the education and experience criterion are documented in Part A (Professional Resume).
- The criterion of continuing professional development and growth is addressed principally in Part A, Part B (Candidate's Position(s) in UW-Extension), and Part C (Summary of Program Development and Accomplishments).
- The criterion of leadership in program development is principally addressed in Part C and Part D (Statement of Professional Contributions and Scholarship).
- The criterion of effective working relationships with colleagues and clientele is addressed in Part C and Part D.
- The fifth criterion of contributions to the profession, university, and department is addressed principally in Part A.

Part E (Support Materials), Part F (Performance Evaluation), and Part G (Letters of Recommendations) are important sources of clarifying and corroborative information for all criteria.

PORTFOLIO FORMAT

The content of the portfolio should follow the format outlined in the UWEX Tenure Portfolio Contents.

UW-EXTENSION TENURE PORTFOLIO CONTENTS

The candidate supplies items described in sections A - F.

A. PROFESSIONAL RESUME (no more than 5 pages)

Include:

- Formal education and other significant relevant professional development
- Relevant employment (indicate UW-Extension employment and percent of time employed by UW-Extension)
- Professional and University contributions and recognition
- Experience with grants, collaborations, and supervision
- Publications or materials developed
- State, regional or national presentations
- Program materials developed

B. CANDIDATE'S POSITION(S) IN UW-EXTENSION

Include position descriptions for programming appointment, administrative appointment, or other significant candidate roles for which a description exists. The candidate may provide a background narrative about her/his position(s) in UW-Extension to help readers better understand the work of the candidate.

C. SUMMARY OF PROGRAM DEVELOPMENT AND ACCOMPLISHMENTS

(The purpose of this section is to summarize “what the candidate has done and how he/she did it”.)

Documentation presented in this section of the portfolio should reasonably address the following elements and detail the faculty member's role throughout the process:

- Situation statement
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- Professional development in response to personal and programmatic needs

It is the responsibility of the individual probationary faculty member to plan, develop, maintain, implement and assess a multi-year program of work. The purpose of this section of the tenure portfolio is to summarize the process and progress of program development and accomplishments throughout the probationary period. Candidates may include plan and report documents, or their most relevant parts, or a summary based on these documents that they have prepared in response to department and/or administrative requirements, or for the general benefit of their own work and its review by faculty peers.

- D. STATEMENT OF PROFESSIONAL CONTRIBUTIONS AND SCHOLARSHIP** (no more than 8 pages) (The purpose of this section is to share the meaning of the work that has been accomplished.)

This statement provides the candidate with an opportunity to reflect upon and assess professional contributions and scholarship. The candidate is responsible for analyzing career contributions, reflecting upon the most significant parts, developing a framework for describing the contributions, and explaining the impacts and implications for the intended audience, as well as for the profession. (See the introduction, criteria for evaluation for rank change, and assessment of scholarship found in Appendix I.B, Sections I, IV, V., and VI.)

- E. SUPPORT MATERIALS**

The Candidate is encouraged to carefully select supportive exhibits which help explain or illustrate the candidate's accomplishments and the narrative portions of the portfolio. No more than 30 exhibits are permitted. For all supportive materials the unique contribution of the candidate must be specified.

- F. PERFORMANCE EVALUATION**

This section of the portfolio will be a summary of the candidate's performance by the appropriate administrator in the form of a letter from the administrator or as the candidate's past annual reviews.

- G. LETTERS OF RECOMMENDATION**

The candidate supplies the names of individuals from whom letters of recommendation should be obtained. The Department Chair requests these letters and an additional letter from the candidate's District Director or equivalent administrator regarding the financial support and programmatic need for the position.

At least three and not more than five current letters of recommendation must be provided. Such letters should specifically evaluate the candidate's qualifications for the promotion and tenure.

Selection of writers is critical. As these letters are often used as a measure of the candidate's quality, they should be from faculty (tenured or non-tenured), non-faculty colleagues, collaborators, and/or subject matter experts.

IV. Cover Letter for the Recommendation

The portfolio should be accompanied by a cover letter from the chair (or representative) of the department. This letter should state the recommended promotion precisely; for example: "Recommendation for promotion from Assistant Professor to Associate Professor with tenure" or "Recommendation for appointment as Associate Professor with tenure."

The letter should outline the candidate's present and future responsibilities in the department and/or administrative unit. It should also indicate the department's evaluation of the candidate's scholarship and should include a statement of reasons given by the department's executive committee (or representative committee) for recommending the candidate's promotion to a tenure position. In addition, the letter should contain a statement outlining the department's/unit's need for the candidate in terms of its academic mission and long-range plans.

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While portfolios for candidates who have been granted early tenure consideration at the time of hire may differ from those of other candidates, it is the responsibility of the candidate to provide materials that, at a minimum, address the elements of scholarship and document how they have met the criteria for evaluation for rank change and assessment standards found in Appendix I.B, Sections V. and VI. The tenure application portfolio will consist of existing materials that show evidence of professional performance and scholarship and other materials requested by the department.

The academic department chair must provide a written explanation of the circumstances of the request for early tenure consideration granted at the time of hire in the letter which is forwarded to the dean. This explanation must include the candidate's previous position(s) and the new appointment in UW-Extension.

Nominations for early tenure consideration granted at the time of hire will follow the same channels as other tenure nominations (see section II). The department committees and the Faculty Tenure Advisory Committee should consider relevant information relating to the professional achievements of such candidates. These committees may also need to schedule special meetings to consider such candidates. The Faculty Tenure Advisory Committee must consider and act on applications for tenure for those granted early consideration at the time of hire within 30 days of the request by the dean to do so.

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Any meeting in a tenure proceeding may be held in closed session if the deliberating body votes to do so, with the exception that the candidate in question has the right to require that the proceedings be held in open session. Candidates can require that meetings to hear evidence and to take final action be held in open session. State Statute Section 19.85(1)(b) is the provision pertinent to tenure proceedings. For tenure proceedings within both department committees and the Faculty Tenure Advisory Committee, the individual candidates must be given advance notice of meetings and informed that they have the right to require open meetings.

The Faculty Tenure Advisory Committee regularly meets in November, February, and March. To be considered at one of these meetings, a faculty member's application must be forwarded from the department to the dean by the deadlines noted below (or the following Monday when those dates fall on a weekend). In special cases, such as a recommendation for early tenure consideration granted at the time of hire or a tenure due date (six years anniversary) that does not allow for delay until the next regularly scheduled meeting, the Faculty Tenure Advisory Committee may hold a special meeting at any time of the year.

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PORTFOLIO FORMAT

The process of the adoption and revision of this document is carried out in consultation with the Chancellor, or Chancellor's designee, and his/her concurrence is assumed unless he/she indicates otherwise.

Approved by the Faculty Senate, September 25, 1997

Revised June, 2000

Revised September, 2001

Revised December 2004

Revised June 2008

Amendments to
Faculty Personnel Rules
University of Wisconsin-Madison

EDUCATION COMMITTEE

Resolution I.1.f.(6):

That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the amendments to the UW-Madison Faculty Personnel Rules.

FACULTY PERSONNEL RULES UNIVERSITY OF WISCONSIN-MADISON

EXECUTIVE SUMMARY

BACKGROUND

Section UWS 2.02, Wisconsin Administrative Code (“Faculty Rules: Coverage and Delegation”) requires that rules, policies, and procedures developed by each institution in the System pursuant to Chapters UWS 3, 4, 5, 6 and 8 must be approved by the Board of Regents before they take effect.

The proposed changes to the UW-Madison Faculty Personnel Rules revise two distinct policy documents. They were approved by the UW-Madison Faculty Senate on December 3, 2007, and on May 5, 2008, respectively, and are recommended by Chancellor Carolyn “Biddy” Martin. They have been reviewed by the UW System Office of General Counsel, which has determined that the changes meet the requirements of Wisconsin Administrative Code.

Following are three versions of the two relevant sections of the UW-Madison Faculty Policies and Procedures: (A) the original versions before changes; (B) versions with proposed changes highlighted and deletions crossed out; (C) clean copies as these sections would read subsequent to Board approval.

REQUESTED ACTION

Approval of Resolution I.1.f.(6), approving the revisions to the UW-Madison Faculty Personnel Rules.

DISCUSSION

The first set of proposed revisions includes changes to sections 1.02.B. and 7.20 of the UW-Madison Faculty Policies and Procedures. The revisions implemented in these two sections clarify a 1979 document that lacked specificity regarding the rights of government agency employees assigned to UW-Madison with faculty appointments. The proposed changes remove ambiguity regarding the rights of federal and state agency employees with faculty appointments, including cases in which leaves of absence are sought. The revised version of 1.02 restricts these faculty rights to state or federal agency employees with appointments of at least 50% and who have continued employment by the state or federal agency.

The second set of proposed revisions includes changes to sections 5.20.C and 7.31.B of the UW-Madison Faculty Policies and Procedures. The changes proposed in these two sections revise the policy regarding the faculty governance rights of emeritus/emeriti, in particular as they pertain to membership on departmental executive committees. The revised language seeks to clarify and resolve confusion or misunderstanding on certain governance rights of emeritus/emeriti faculty.

RECOMMENDATION

UW System Administration recommends approval of Resolution I.1.f.(6), approving the revisions to the UW-Madison Faculty Policies and Procedures.

UW-Madison Faculty Policies and Procedures on University Faculty and Leave of Absence – ORIGINAL VERSION BEFORE CHANGES

1.02. UNIVERSITY FACULTY.

A. The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension. Use of these titles and the definition of fractional appointments are governed by Chapters 4, 5, and 7 of these rules.

B. In exceptional cases, an employee of a state or federal agency, whose salary is not paid by the university, but who is otherwise qualified for membership in the faculty, may be appointed to the faculty with the instructional, research, and service responsibilities of a tenure or tenure-track member. Such appointments require the affirmative recommendation of the concerned department(s) and dean(s), the approval of the University Committee, and must otherwise comply with the regulations set forth in Chapter 7 of these policies and procedures. Appointments governed by this subsection convey full membership in the university faculty but do not obligate the university for salary in the event of a change in the relationship between the faculty member and the employing agency or between the employing agency and the university.

C. As used throughout these rules, an “appointment” (unmodified) is a contractual agreement between an individual and a department, school, college, or other unit of the university. The elements of an appointment are (1) duties; (2) title; (3) percentage time commitment; (4) beginning and ending dates; (5) financial remuneration, if any; (6) departments or other units involved; and (7) governance rights. “Appointment” may also be modified: “Tenure appointments” and “probationary appointments” are defined in 7.01. A “joint appointment” involves more than one department. A “joint probationary appointment” or “joint tenure appointment” occurs when two or more departments share a continuing commitment to a faculty member under the provisions of 7.02. and 7.19. A “joint governance appointment” is defined in 5.12. and does not confer a continuing commitment or tenure.

7.20. LEAVE OF ABSENCE. For the purposes of these rules, a leave of absence is a temporary separation of a faculty member from the university during which the faculty member is not paid from funds administered by the university except for such fringe benefit programs as may be permitted by state regulations.

Probationary faculty who wish to be temporarily separated from the university will normally request a “temporary assignment” to an alternative activity. Temporary assignments are similar to leaves of absence except they do not interrupt the probationary period. A leave of absence will be approved for a probationary faculty member only for an activity that substantially interrupts the ability of the candidate to establish, within the normal probationary period, a record that would warrant the granting of tenure.

Leaves of absence and temporary assignments require the affirmative recommendation of the departmental executive committee and the approval of the dean. Because a leave of absence extends the time before action must be taken on a probationary appointment (see 7.04.E.), a leave of absence for a probationary faculty member requires the approval of the vice chancellor for academic affairs and provost in consultation with the University Committee.

Ordinarily, a leave of absence is granted for a maximum of one year, or a maximum of three semesters in three years even if no single absence exceeds one year, but under appropriate

circumstances upon recommendation of the executive committee and the dean, and with the approval of the University Committee and the vice chancellor for academic affairs and provost, it may be renewed. A leave of absence of more than two years requires approval by the UW System president, and a leave of absence of more than three years requires Board of Regents approval.

**UW-Madison Faculty Policies and Procedures on University Faculty and Leave of Absence -
VERSION WITH CHANGES MARKED**

University of Wisconsin-Madison

Faculty Document 2007b

3 December 2007

As adopted by the Faculty Senate at its meeting on 3 December 2007

**UNIVERSITY COMMITTEE RECOMMENDATION TO AMEND
FACULTY POLICIES AND PROCEDURES 1.02.B. AND 7.20.**

Background

Current *Faculty Policies and Procedures* 1.02.B. language dates back to 1978-79, when it was drafted by the University Committee. It was adopted by the Faculty Senate in September 1979. The provision was created as a mechanism to benefit and strengthen the relationship that the university enjoys with its governmental agency partners. The statute permits that exceptional agency employees may be granted the same university rights as those of their faculty colleagues, with whom they work and collaborate. Further, the appointment of agency personnel as faculty recognizes the significant value that their intellectual contributions add to the academic enterprise of the university.

Need for Language Clarification

The current *FPP* 1.02.B. language is less than specific regarding the status of state and federal agency employees' faculty appointments when their employment relationships or their agency assignments in Madison end. This lack of specificity creates an ambiguity that could lead to those individuals, i.e., federal and state agency employees with faculty appointments, having greater rights than university-payrolled faculty. The wording in the last sentence of the current *FPP* 1.02.B. could be read to suggest that, while not eligible for salary or benefits, an individual who is no longer in the state or federal agency employment relationship, upon which his/her appointment as a member of the faculty was based, could continue without limitation as a faculty member. Clearly, this is not a university-payrolled faculty right. For instance, a university-payrolled faculty member who retires and is granted emeritus/a status is no longer a member of the faculty, even if subsequently re-employed by his/her department. *FPP* does provide that during periods of re-employment emeritus/a faculty retain all governance rights held at the time of retirement, including membership in his/her departmental executive committee, but this is contingent on his/her re-employment, which is under the authority of the executive committee.

The membership of the 1978-79 University Committee, which wrote the *FPP* 1.02.B. language, included Professor Emerita Margo Melli (chair) and Professor Emeritus Bernard Cohen. Each was contacted to learn whether they had any recollection of an intent that appointment of state or federal agency employees as faculty would continue beyond their agency employment relationships. Although neither of them could recall discussions specific to the question, both were adamant that it was not envisioned that appointment as a faculty member under *FPP* 1.02.B. would go beyond the state or federal employment, unless an executive committee were to vote to offer a university-funded faculty appointment to an individual.

Further, because *FPP* 1.02.A. requires that university-funded faculty members hold "at least a one-half time appointment in UW-Madison," it seems appropriate that the employment funding requirement extend to state or federal agency-funded employees as well.

The University Committee believes that the amendments as recommended will remove any ambiguity from *FPP* 1.02.B. The amendment to *FPP* 7.20. is to clarify the rule for faculty appointed under *FPP* 1.02.B.

1.02. UNIVERSITY FACULTY.

A. The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension. Use of these titles and the definition of fractional appointments are governed by Chapters 4, 5, and 7 of these rules.

B. In exceptional cases, an employee of a state or federal agency, with at least a one-half time appointment in that agency, and whose salary is not paid by the university, but who is otherwise qualified for membership in the faculty, may be appointed to the faculty with the instructional, research, and service responsibilities of a tenure or tenure-track member. Such appointments require the affirmative recommendation of the concerned department(s) and dean(s), the approval of the University Committee, and must otherwise comply with the regulations set forth in Chapter 7 of these policies and procedures. Such appointments continue only for the duration of the individual's employment relationship with the state or federal agency while assigned in Madison. Appointments governed by this subsection convey full membership in the university faculty but do not obligate the university for salary in the any event. ~~of a change in the relationship between the faculty member and the employing agency or between the employing agency and the university.~~

C. As used throughout these rules, an "appointment" (unmodified) is a contractual agreement between an individual and a department, school, college, or other unit of the university. The elements of an appointment are (1) duties; (2) title; (3) percentage time commitment; (4) beginning and ending dates; (5) financial remuneration, if any; (6) departments or other units involved; and (7) governance rights. "Appointment" may also be modified: "Tenure appointments" and "probationary appointments" are defined in 7.01. A "joint appointment" involves more than one department. A "joint probationary appointment" or "joint tenure appointment" occurs when two or more departments share a continuing commitment to a faculty member under the provisions of 7.02. and 7.19. A "joint governance appointment" is defined in 5.12. and does not confer a continuing commitment or tenure.

7.20. LEAVE OF ABSENCE. For the purposes of these rules, a leave of absence is a temporary separation of a faculty member from the university during which the faculty member is not paid from funds administered by the university except for such fringe benefit programs as may be permitted by state regulations, or in the case of a faculty member appointed under 1.02.B. of these rules, a temporary separation of the faculty member from his/her agency assignment in Madison.

Probationary faculty who wish to be temporarily separated from the university will normally request a "temporary assignment" to an alternative activity. Temporary assignments are similar to leaves of absence except they do not interrupt the probationary period. A leave of absence will be approved for a probationary faculty member only for an activity that substantially interrupts the ability of the candidate to establish, within the normal probationary period, a record that would warrant the granting of tenure.

Leaves of absence and temporary assignments require the affirmative recommendation of the departmental executive committee and the approval of the dean. Because a leave of absence extends the time before action must be taken on a probationary appointment (see 7.04.E.), a leave of absence for a probationary faculty member requires the approval of the vice chancellor for academic affairs and provost in consultation with the University Committee.

Ordinarily, a leave of absence is granted for a maximum of one year, or a maximum of three

semesters in three years even if no single absence exceeds one year, but under appropriate circumstances upon recommendation of the executive committee and the dean, and with the approval of the University Committee and the vice chancellor for academic affairs and provost, it may be renewed. A leave of absence of more than two years requires approval by the UW System president, and a leave of absence of more than three years requires Board of Regents approval.

**UW-Madison Faculty Policies and Procedures on University Faculty and Leave of Absence –
CLEAN COPY WITH CHANGES**

University of Wisconsin-Madison

Faculty Document 2007b

3 December 2007

As adopted by the Faculty Senate at its meeting on 3 December 2007

**UNIVERSITY COMMITTEE RECOMMENDATION TO AMEND
FACULTY POLICIES AND PROCEDURES 1.02.B. AND 7.20.**

Background

Current *Faculty Policies and Procedures* 1.02.B. language dates back to 1978-79, when it was drafted by the University Committee. It was adopted by the Faculty Senate in September 1979. The provision was created as a mechanism to benefit and strengthen the relationship that the university enjoys with its governmental agency partners. The statute permits that exceptional agency employees may be granted the same university rights as those of their faculty colleagues, with whom they work and collaborate. Further, the appointment of agency personnel as faculty recognizes the significant value that their intellectual contributions add to the academic enterprise of the university.

Need for Language Clarification

The current *FPP* 1.02.B. language is less than specific regarding the status of state and federal agency employees' faculty appointments when their employment relationships or their agency assignments in Madison end. This lack of specificity creates an ambiguity that could lead to those individuals, i.e., federal and state agency employees with faculty appointments, having greater rights than university-payrolled faculty. The wording in the last sentence of the current *FPP* 1.02.B. could be read to suggest that, while not eligible for salary or benefits, an individual who is no longer in the state or federal agency employment relationship, upon which his/her appointment as a member of the faculty was based, could continue without limitation as a faculty member. Clearly, this is not a university-payrolled faculty right. For instance, a university-payrolled faculty member who retires and is granted emeritus/a status is no longer a member of the faculty, even if subsequently re-employed by his/her department. *FPP* does provide that during periods of re-employment emeritus/a faculty retain all governance rights held at the time of retirement, including membership in his/her departmental executive committee, but this is contingent on his/her re-employment, which is under the authority of the executive committee.

The membership of the 1978-79 University Committee, which wrote the *FPP* 1.02.B. language, included Professor Emerita Margo Melli (chair) and Professor Emeritus Bernard Cohen. Each was contacted to learn whether they had any recollection of an intent that appointment of state or federal agency employees as faculty would continue beyond their agency employment relationships. Although neither of them could recall discussions specific to the question, both were adamant that it was not envisioned that appointment as a faculty member under *FPP* 1.02.B. would go beyond the state or federal employment, unless an executive committee were to vote to offer a university-funded faculty appointment to an individual.

Further, because *FPP* 1.02.A. requires that university-funded faculty members hold "at least a one-half time appointment in UW-Madison," it seems appropriate that the employment funding requirement extend to state or federal agency-funded employees as well.

The University Committee believes that the amendments as recommended will remove any ambiguity from *FPP* 1.02.B. The amendment to *FPP* 7.20. is to clarify the rule for faculty appointed under *FPP* 1.02.B.

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A. The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension. Use of these titles and the definition of fractional appointments are governed by Chapters 4, 5, and 7 of these rules.

B. In exceptional cases, an employee of a state or federal agency, with at least a one-half time appointment in that agency, and whose salary is not paid by the university, but who is otherwise qualified for membership in the faculty, may be appointed to the faculty with the instructional, research, and service responsibilities of a tenure or tenure-track member. Such appointments require the affirmative recommendation of the concerned department(s) and dean(s), the approval of the University Committee, and must otherwise comply with the regulations set forth in Chapter 7 of these policies and procedures. Such appointments continue only for the duration of the individual's employment relationship with the state or federal agency while assigned in Madison. Appointments governed by this subsection convey full membership in the university faculty but do not obligate the university for salary in any event.

C. As used throughout these rules, an "appointment" (unmodified) is a contractual agreement between an individual and a department, school, college, or other unit of the university. The elements of an appointment are (1) duties; (2) title; (3) percentage time commitment; (4) beginning and ending dates; (5) financial remuneration, if any; (6) departments or other units involved; and (7) governance rights. "Appointment" may also be modified: "Tenure appointments" and "probationary appointments" are defined in 7.01. A "joint appointment" involves more than one department. A "joint probationary appointment" or "joint tenure appointment" occurs when two or more departments share a continuing commitment to a faculty member under the provisions of 7.02. and 7.19. A "joint governance appointment" is defined in 5.12. and does not confer a continuing commitment or tenure.

7.20. LEAVE OF ABSENCE. For the purposes of these rules, a leave of absence is a temporary separation of a faculty member from the university during which the faculty member is not paid from funds administered by the university except for such fringe benefit programs as may be permitted by state regulations, or in the case of a faculty member appointed under 1.02.B. of these rules, a temporary separation of the faculty member from his/her agency assignment in Madison.

Probationary faculty who wish to be temporarily separated from the university will normally request a "temporary assignment" to an alternative activity. Temporary assignments are similar to leaves of absence except they do not interrupt the probationary period. A leave of absence will be approved for a probationary faculty member only for an activity that substantially interrupts the ability of the candidate to establish, within the normal probationary period, a record that would warrant the granting of tenure.

Leaves of absence and temporary assignments require the affirmative recommendation of the departmental executive committee and the approval of the dean. Because a leave of absence extends the time before action must be taken on a probationary appointment (see 7.04.E.), a leave of absence for a probationary faculty member requires the approval of the vice chancellor for academic affairs and provost in consultation with the University Committee.

Ordinarily, a leave of absence is granted for a maximum of one year, or a maximum of three semesters in three years even if no single absence exceeds one year, but under appropriate circumstances upon recommendation of the executive committee and the dean, and with the approval of the University Committee and the vice chancellor for academic affairs and provost, it may be renewed. A leave of

absence of more than two years requires approval by the UW System president, and a leave of absence of more than three years requires Board of Regents approval.

UW-Madison Faculty Policies and Procedures on Executive Committee Membership and Emeritus/Emerita Faculty – ORIGINAL VERSION BEFORE CHANGES

5.20. DEPARTMENTAL EXECUTIVE COMMITTEE: MEMBERSHIP

A. Each department or its functional equivalent has an executive committee consisting of:

1. All members of the department who are associate professors or professors and to whom the department has a continuing commitment of one-half time or more.
2. Professors and associate professors in the department to whom the department has a continuing commitment of less than one-half time, but for whom that department was the principal sponsor of the appointment. (See Chapter 7 of these rules.)
3. Other faculty members having tenure who have been granted joint executive appointments by action of that executive committee. (See 5.12.A.)

B. Members of an executive committee who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the executive committee.

C. Faculty members who retire and are appointed subsequently to the academic staff retain their membership on the executive committee unless they elect not to do so.

7.31. EMERITUS/EMERITA FACULTY

A. Emeritus/emerita faculty titles are conferred by the chancellor upon recommendation of the departmental executive committee and the dean.

B. Emeritus/emerita faculty retain all faculty governance rights held at the time of their retirement

during any academic year in which they hold an academic staff appointment from their department totaling at least 20% of a full-time academic year appointment

UW-Madison Faculty Policies and Procedures on Departmental Executive Committee Membership and Emeritus/Emerita Faculty - VERSION WITH CHANGES MARKED

University of Wisconsin-Madison

Faculty Document 2045a

5 May 2008

As adopted by the Faculty Senate at its meeting on 5 May 2008

UNIVERSITY COMMITTEE RECOMMENDATION TO AMEND FACULTY POLICIES AND PROCEDURES 5.20.C. AND 7.31.B.

Background

The University Committee has recently been asked to provide an interpretation of the language in *Faculty Policies and Procedures* 5.20.C. regarding whether an emeritus/a faculty member who is appointed by a unit other than her/his department would retain membership on her/his departmental executive committee. The current language in 5.20.C. could be broadly interpreted so that any appointment to the academic staff would qualify for continued departmental executive committee membership without the consent of the department. However, the University Committee believes that existing language in 7.31.B. illuminates how 5.20.C. should be read. That is: “*Emeritus/emmerita faculty retain all faculty governance rights held at the time of their retirement during any academic year in which they hold an academic staff appointment from their department totaling at least 20% of a full-time academic year appointment.*”

The following amendments will serve to make parallel the language between 5.20.C. and 7.31.B. and resolve any future confusion or misunderstanding.

5.20. DEPARTMENTAL EXECUTIVE COMMITTEE: MEMBERSHIP

A. Each department or its functional equivalent has an executive committee consisting of:

1. All members of the department who are associate professors or professors and to whom the department has a continuing commitment of one-half time or more.
2. Professors and associate professors in the department to whom the department has a continuing commitment of less than one-half time, but for whom that department was the principal sponsor of the appointment. (See Chapter 7 of these rules.)
3. Other faculty members having tenure who have been granted joint executive appointments by action of that executive committee. (See 5.12.A.)

B. Members of an executive committee who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the executive committee.

C. Faculty members who retire and are appointed subsequently, by the department in which they held tenure, to ~~the~~ an academic staff position totaling at least 20% of a full-time academic year appointment, may be granted, by that departmental executive committee, ~~retain their~~ membership on the executive committee during the academic year in which they hold that academic staff appointment ~~unless they elect not to do so~~ (also see 7.31.B.).

7.31. EMERITUS/EMERITA FACULTY

A. Emeritus/emmerita faculty titles are conferred by the chancellor upon recommendation of the departmental executive committee and the dean.

B. Emeritus/emmerita faculty retain all faculty governance rights held at the time of their retirement during any academic year in which they hold an academic staff appointment from their department totaling at least 20% of a full-time academic year appointment, subject to the provisions of 5.20.C.

UW-Madison Faculty Policies and Procedures on Executive Committee Membership and Emeritus/Emerita Faculty – CLEAN COPY WITH CHANGES

University of Wisconsin-Madison

Faculty Document 2045a

5 May 2008

As adopted by the Faculty Senate at its meeting on 5 May 2008

**UNIVERSITY COMMITTEE RECOMMENDATION TO AMEND
FACULTY POLICIES AND PROCEDURES 5.20.C. AND 7.31.B.**

Background

The University Committee has recently been asked to provide an interpretation of the language in *Faculty Policies and Procedures* 5.20.C. regarding whether an emeritus/a faculty member who is appointed by a unit other than her/his department would retain membership on her/his departmental executive committee. The current language in 5.20.C. could be broadly interpreted so that any appointment to the academic staff would qualify for continued departmental executive committee membership without the consent of the department. However, the University Committee believes that existing language in 7.31.B. illuminates how 5.20.C. should be read. That is: “*Emeritus/emmerita faculty retain all faculty governance rights held at the time of their retirement during any academic year in which they hold an academic staff appointment from their department totaling at least 20% of a full-time academic year appointment.*”

The following amendments will serve to make parallel the language between 5.20.C. and 7.31.B. and resolve any future confusion or misunderstanding.

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A. Each department or its functional equivalent has an executive committee consisting of:

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2. Professors and associate professors in the department to whom the department has a continuing commitment of less than one-half time, but for whom that department was the principal sponsor of the appointment. (See Chapter 7 of these rules.)
3. Other faculty members having tenure who have been granted joint executive appointments by action of that executive committee. (See 5.12.A.)

B. Members of an executive committee who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the executive committee.

C. Faculty members who retire and are appointed subsequently, by the department in which they held tenure, to an academic staff position totaling at least 20% of a full-time academic year appointment, may be granted, by that departmental executive committee, membership on the executive committee during the academic year in which they hold that academic staff appointment (*also see 7.31.B.*).

7.31. EMERITUS/EMERITA FACULTY

A. Emeritus/emmerita faculty titles are conferred by the chancellor upon recommendation of the departmental executive committee and the dean.

B. Emeritus/emmerita faculty retain all faculty governance rights held at the time of their retirement during any academic year in which they hold an academic staff appointment from their department totaling at least 20% of a full-time academic year appointment, subject to the provisions of 5.20.C.

Revised September 1, 2009

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.2. Business, Finance, and Audit Committee

Thursday, September 10, 2009
Room 259 University Center
UW-Whitewater
Whitewater, Wisconsin

10:00 a.m. All Regents – Room 275 University Center

- UW-Whitewater Presentation: “UW-Whitewater: On the Move”

11:00 a.m. Business, Finance, and Audit Committee - All Regents Invited – Room 275 University Center

a. Information Technology Issues

1. Review and Approval of Human Resources System Project Implementation
[Resolution 1.2.a.1.]

2. Project Status Report for Major Information Technology Projects as Required by Wis.Stats.s.13.58(5)(b)(3)

12:00 p.m. Lunch

1:15 p.m. Joint Meeting of the Business, Finance, and Audit Committee and Education Committee – Room 275 University Center

- b. The University of Wisconsin School of Medicine and Public Health: The Wisconsin Partnership Fund for a Healthy Future – Acceptance of the Fifth Annual Report.

1:45 p.m. Business, Finance, and Audit Committee – Room 259 University Center

c. UW-Whitewater Presentation: “Streamlining Facilities Maintenance”

d. Update on Financial Aid

1. Status of Wisconsin Higher Education Grants
2. Veterans Remissions

- e. Committee Business
 - 1. Approval of the Minutes of the July 9, 2009 Meeting
 - 2. Report on Quarterly Gifts, Grants, and Contracts (4th Quarter)
 - 3. UW-Madison Contractual Agreement with Pfizer, Inc.
[Resolution I.2.e.3.]
 - 4. UW-Madison Contractual Agreement with Amgen, Inc.
[Resolution I.2.e.4.]
 - 5. CDC Recommended Waiver of Certification of Medical Necessity Requirement for Faculty, Limited Appointees, and Academic Staff Use of Sick Leave
[Resolution I.2.e.5]
 - 6. 2009-10 Committee Priorities
- f. Report of the Senior Vice President
- g. Additional items may be presented to the Committee with its approval.

Review and Approval of Human Resource
System Project Implementation

REVISED

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon recommendation of the President of the University of Wisconsin System, the Board of Regents approve: (a) the System Administration's Project Implementation Plan for the HRS Project and (b) the FY 2010 implementation budget for that project, in each case subject to the negotiation of amendments to the existing HRS system contract with Huron Consulting satisfactory to the Regent President and the System President. It is understood that the Board of Regents will annually review the Project Implementation Plan and that its Business, Finance, and Audit Committee will receive regular reports on the status of the project and the performance of Huron Consulting's contractual obligations, beginning in October 2009, and continuing at every regularly-scheduled two-day Board meeting until implementation is complete.

UNIVERSITY OF WISCONSIN IMPLEMENTATION OF THE HUMAN RESOURCE SYSTEM

EXECUTIVE SUMMARY

BACKGROUND

The UW System issued an RFP for software to replace its legacy Appointment, Payroll and Benefits System (APBS) in January 2000. The University had just completed replacing its legacy financial system and planned next to replace its twenty-five year old legacy payroll system. The University acquired the Lawson Human Resource System and began implementation in late 2001. The APBS project was suspended in 2005 after two missed “go-live” dates and substantial cost overruns. Several external risk assessments concluded that the additional costs and reduced functionality might make additional investments in the project unwise. UW System Administration ended the project, having expended \$28 million.

In 2005 the Wisconsin Department of Administration issued an RFP for a set of applications to replace the legacy financial and human resources systems for all state agencies except the University. The state acquired Oracle’s PeopleSoft suite of products in early 2006. The University worked with DOA’s procurement office to acquire Oracle’s PeopleSoft Human Capital Management software suite in June 2006. The state began its Integrated Business Information System (IBIS) project in late 2006 with implementation planning. The age and fragility of the University’s legacy payroll system, coupled with the opportunity to work in parallel with the state on the PeopleSoft suite of administrative products prompted the University to begin another planning effort to replace its legacy payroll and benefits system.

Planning for the UW project began in late 2007. In the spring of 2008, the state announced that the IBIS project was being postponed. The University decided that it faced significant risks by continuing to rely on the outdated, fragile legacy system, and decided to move forward with the planning project. The planning project was successfully concluded in August 2009 with an Implementation Plan that includes a detailed analysis of all required work, a timeline for a phased implementation, and a budget.

REQUESTED ACTION

Approval of Resolution 1.2.a.1

That, upon recommendation of the President of the University of Wisconsin System, the Board of Regents approves the Human Resource System implementation budget for fiscal year 2010 and project implementation plan, subject to annual review and approval.

DISCUSSION

The University of Wisconsin Payroll and Benefits Systems are some of the last locally-written, mainframe-based administrative programs supporting the entire university system. Most of them were written in the mid-1970s in programming languages that have become obsolete. The Payroll and Benefits systems are comprised of twelve separate but integrated programs most of which run on a 1970s era IBM 3270 mainframe. Over 700 additional programs and systems have been developed to supplement the Payroll and Benefits systems because they are too inflexible to support human resource management.

The University is proposing to replace these systems with the Oracle's PeopleSoft Human Capital Management system, a product employed by hundreds of corporations and higher education institutions across the country. The new system, designed to service institutions and employees for decades to come, will ensure full compliance with regulatory and legal requirements related to personnel information and recordkeeping. The scope of the Human Resource System (HRS) Project encompasses the replacement of the core Human Resource, Benefit, and Payroll business processes for the thirteen four-year universities; the thirteen two-year UW-Colleges campuses; the state-wide UW-Extension offices and UW System Administration. The impact of this replacement of foundational administrative functionality affects each and every current employee of the University of Wisconsin System, all retirees, and any potential employee of the System. The system includes payroll, time and leave management, benefits administration, recruitment and affirmative action, and personnel management.

After implementation of the new system campuses will begin to move to a paperless workflow using a comprehensive "self-service" process. Sensitive employee data, including social security numbers and bank account numbers, will be better protected. Recruitment and retention efforts will be streamlined. The mainframe computer and hundreds of disconnected HR management programs will be retired.

Planning for this implementation has been thorough. Management and governance of the project follows industry-standard best business practices. Difficult decisions were made to modify university business practices rather than modifying the application. The planning team developed a detailed project implementation plan, including key dates and funding requirements. In a recent review of the planning project, the Huron Consulting Group's quality assurance team found that the HRS Project is well structured and organized, with support and commitment at all levels across the University. They also highlighted that it is critical for project success that full staffing be maintained; major milestones be identified and met; and communications among all constituencies be continuous. The planning sessions have helped reaffirm that the existing legacy system needs to be replaced.

The University contracted with Huron Consulting Group to provide management support and expertise in PeopleSoft functional and technical areas where the University has limited or no experience. An integral part of the implementation plan calls for University staff to learn from the Huron experts and take over complete management of the system as the project is completed. There will be further background provided on the Huron Consulting Group at the Board meeting.

The implementation project will be done in three phases. The first phase will be completed by June 2011 and will provide the majority of functionality for payroll, base benefits, human

resources, time and absence reporting, financial integration, and basic reporting. The remaining phases will be completed in the first half of 2012. The total project cost is \$81.4 million and includes \$12 million for HRS planning during fiscal years 2008-2010. Implementing the new payroll and benefits system during fiscal years 2010-2012 is estimated to cost about \$61.5 million and necessary changes to the University's financial recordkeeping system (to create an interface with the payroll system) will cost \$7.9 million. Included in these estimates is a \$6.3 million reserve to cover unforeseen expenses.

**Estimated HRS Planning and Implementation Expenditures
(Reported in Millions of Dollars)**

	Planning	Implementation				Total
	FY08-FY10 Planning Total	FY10	FY11	FY12	Implementation Total	
Consulting resources	7.7	21.1	16.2	1.7	39.0	46.7
UW resources	3.9	8.1	10.3	2.5	20.9	24.8
Non-Labor Costs	0.4	1.2	0.9	1.1	3.2	3.6
Contingency	-	3.0	2.8	0.5	6.3	6.3
HRS and SFS Interface Project TOTAL COSTS	12.0	33.4	30.2	5.8	69.4	81.4

The UW System will not ask the State for any additional resources to support HRS implementation. Instead, the University will reallocate existing funds to accomplish this vital project while protecting core educational operations.

The UW System will receive \$12 million in rebates as part of the Microsoft class action settlement, which will be applied to HRS. The UW System already has set aside \$19 million in anticipation of the HRS project. To cover remaining costs, the UW System will allocate \$7.5 million annually in operating funds over the next seven years, depending on the final cost of the project (from \$75.1 million to \$81.4 million). UW institutions will not have operating budgets reduced to fund the HRS project.

Accountability is an integral part of the implementation project. In addition to the semi-annual status report of all major projects, the Board will receive reports on the progress of the HRS project. In keeping with best business practices, the HRS project will be reviewed periodically by an external firm. Additionally, the Huron Consulting Group conducts its own periodic quality assurance reviews. Both the external and Huron quality assurance reviews focus on project status and the project team's ability to achieve the project goals, objectives, and milestones. The project's implementation plan is posted on the HRS website at: <http://hrs.uwsa.edu/about/implementationplan.pdf>. Attached for additional information is a white paper on the Human Resource System.



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September 2, 2009

All Members of the
Wisconsin Legislature
State Capitol, Madison, WI 53707

Dear Legislators:

The University of Wisconsin System has been working to keep you apprised of major developments so that you are better prepared as state policymakers, and to respond to constituents' questions. As we prepare to move forward with the Human Resource System (HRS) project, we wanted you to have an advance copy of the enclosed summary, which will be presented to our Board of Regents next week. Please feel free to share this information with others.

I hope you will take the time to review this information, which covers a lot of ground. The following are a few key points that I intend to emphasize in my discussion with the Regents:

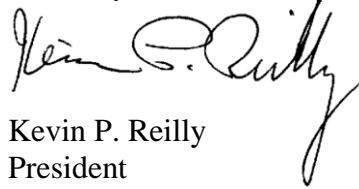
- 1) This is an important project, affecting 67,000 UW System employees who reside in every county and legislative district. They rely on this system for their monthly paychecks and benefits, and we are trying to avoid a major disruption in that system that would have serious consequences. Continued use, even for a few extra years, of the current outdated system built in the 1970s poses a significant risk to the UW and the state.
- 2) The HRS project is not about installing a single computer program. Rather, it is a multi-year effort to modernize hundreds of business practices, integrate recordkeeping systems, eliminate redundancies, and better safeguard employees' personal data.
- 3) UW System has overhauled its IT management practices. New UW policies and procedures require comprehensive semi-annual reporting to the Board and the Legislature, meeting or exceeding requirements in WI Act 20 and recommendations made by the 2008 Assembly Taskforce on IT Failures.
- 4) We are making tough choices to control costs. Recognizing today's challenging fiscal environment, we've already reduced the project budget by \$8 million – nearly ten percent – by reducing the project scope, re-negotiating contracts, and assigning our own employees to the project whenever possible.

- 5) No state funds are being requested for implementing this project. The costs are significant, but they are in line with similar projects at other universities. At next week's meeting, the Board will be asked to approve a one-year budget for the project. Additional expenditures beyond that period will be subject to further reviews and approvals.

We are committed to a high level of transparency for this project. In keeping with that commitment, I have already met with the Governor and legislative leaders in both houses, from both parties, to discuss this vital effort. We will be launching a new HRS website to provide additional information, and I would be happy to meet with any interested legislator who wants to learn more about HRS after the September 10-11 Regent meeting. I welcome your input and advice as the University works to address these major challenges.

Thank you for your attention to this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Kevin P. Reilly". The signature is fluid and cursive, with a large, sweeping flourish at the end.

Kevin P. Reilly
President

Enclosure

Copy: Regents
Chancellors



Human Resource System (HRS)

A 21st-Century Business Solution

What is HRS?

With employees located at 13 four-year universities, 13 two-year colleges, 72 county extension offices, and several other locations, the University of Wisconsin System is the largest employer in the state. In any given month, the University issues paychecks to more than 67,000 faculty, academic staff, classified staff, and student employees. Allowing for normal turnover, the UW System issues approximately 100,000 tax forms to employees every year.

Delivering those paychecks and tax forms is a big job. Keeping accurate records about health insurance, accrued leave, and other benefits is equally complicated. Carrying out these tasks with an antiquated computer system poses significant challenges and risks.

The Human Resource System (HRS) project is a multi-year effort to modernize the UW System's recordkeeping systems and business practices. This is not as simple as installing a single computer program. Rather, it is the integration of hundreds of individual systems and a massive effort to redesign the workflow across multiple work units at all UW System institutions.

The UW System is deploying up-to-date technology to safeguard employee data and avert major problems associated with an increasingly fragile 35-year-old payroll system. The new system, designed to serve institutions and employees for decades to come, will ensure full compliance with a host of regulatory and legal requirements.

Aging system puts UW (and taxpayers) at risk

The UW System today does not have a single human resource system. Rather, UW institutions rely upon more than 700 "shadow systems" — individual computer programs at local offices that run independent of the master database. Often requiring that staff enter the same information two, three, or more times, these localized systems do not allow for reliable, accurate reporting. The existence of so many unconnected systems increases the likelihood that sensitive data may be vulnerable to theft or error.

At some point, the UW's old payroll system will fail. This will suddenly halt the flow of paychecks to employees in every Wisconsin county, immediately disrupting mortgage payments, car payments, credit card payments, and other routine financial transactions. In that situation, the University and the State would potentially face a significant liability, and the economic shocks would ripple across every community.

COBOL (Common Business Oriented Language) was developed in 1959, then standardized in 1968. Few colleges today offer instruction in COBOL, and the number of qualified programmers continues to decline. Most businesses have already replaced systems that utilize this obsolete language.

PeopleSoft is a modern software package that lets large businesses boost productivity by collecting personnel information in one place. This minimizes manual entries, improves data integrity, protects sensitive information, allows for better analysis, and ensures accountability. Many public and private universities, as well as major businesses, use PeopleSoft.

The clock is ticking. It will take about four years to prepare for and fully implement a project of this scope and complexity. That effort is underway and must continue.

The current UW payroll system was developed and installed in 1975, when VCRs were first being developed, and the Apple 1 computer was just being conceived. The old system runs on a mainframe computer, using millions of lines of code written in COBOL – a computer language that almost nobody uses anymore. The system functions today due to a group of dedicated UW staff. Like the payroll system itself, however, most of these employees are approaching or past their retirement age. Few young programmers today are willing to tie their future careers to an obsolete programming language.

Due to the old system's inflexible architecture, routine changes require days of work by many staff. Even minor programming changes can have unforeseen impacts on other parts of the system. This is true of most complex programs, but it is especially problematic with an old "handcrafted" program for which the only documentation resides in the head of the original programmer.

The current payroll system was not designed to handle evolving demands, such as the requirement to implement furloughs for all employees in FY 2010 and FY 2011. Full-time employees are required to take 8 days of unpaid leave, but professors with nine-month appointments take only 6 days. Part-time employees must take varying numbers of unpaid leave days, equal to a 3.065% pay reduction. Programmers are scrambling to accommodate this new requirement. Other potential changes, including those required by future legislative action, may impose additional unforeseen demands on the UW System, and would benefit from a more flexible system.

The separate system used for tracking and administering benefits is even more complex than the payroll system, and every UW campus has its own recruitment system. An independent student payroll system also must interface with the faculty and staff payroll. This hodgepodge of disparate systems results in enormous inefficiencies, and missed opportunities for sharing information about recruitments and candidate pools among multiple hiring campuses.

The outdated payroll system severely limits the UW's ability to implement "best practice" management strategies used by major American businesses and universities to control costs and manage human capital.

Using PeopleSoft, a modern suite of computer programs used by major businesses and universities around the globe, HRS will unite these systems for the first time. It will allow the UW to retire hundreds of redundant systems – saving approximately \$3 million per year – and vastly improve data security by housing information in a single data center. Sensitive data stored in a central repository can be better secured, efficiently monitored, and utilized to make strategic management decisions.

The Wisconsin Department of Administration (DOA) purchased PeopleSoft licenses in 2006 and intends to implement a similar Human Resource System for all state agencies in the near future. The UW System will provide any assistance that DOA may require as it configures the PeopleSoft system for use in other state agencies.

Implementing HRS is a major undertaking

Implementing HRS is an extraordinarily complex process. The University, like a very large business enterprise, has hundreds of business processes that must comply with University policies, state laws, federal laws, international tax treaties, and requirements imposed by hundreds of outside funding agencies. Unlike other businesses, however, the University employs people in unique personnel categories funded by various combinations of multiple state, federal, and private revenues.

Non-student UW employees generally fall into three categories: Faculty, Academic Staff, and Classified Staff. Some are paid for 12 months each year, while others are paid only during the academic year. Positions are funded through taxpayer support (GPR), tuition, student fees, federal grants, private grants, contracts, gifts, and other program revenues, and the mix of these funding sources can vary from semester to semester, and year to year.

Personnel costs comprise about 80 percent of the UW System's \$4.7-billion annual operating budget. Information from the payroll system is synchronized with other major systems dealing with financial management, student information systems, identity management, and many other areas. Major modifications will be required across each of these systems to achieve full integration.

In matching the University's needs to PeopleSoft's capabilities, the UW is re-engineering business processes to avoid altering the off-the-shelf software wherever possible. This is a major change from previous efforts, when UW staff insisted that new software be fully customized to accommodate existing business processes. This time, HRS project managers are looking for ways to adapt business practices to match the software's built-in capabilities. This is a conscious choice to control up-front costs, ensure a successful implementation, and reduce ongoing system maintenance costs.

In 2009, would you rely on a 1975 Chevrolet Nova for everyday transportation? Even if that vehicle runs fine now, maintaining an older, high-mileage car comes with a cost, and a risk. As the likelihood of mechanical failure increases, will replacement parts be readily available? Will you be able to find mechanics who know how to maintain it? What could you gain by upgrading to a car with anti-lock brakes, air bags, modern emissions controls, and other features? Do you wait until the car fails completely to begin shopping for a replacement?

Fit-Gap Case Study #1: *UW faculty members with traditional academic appointments are paid over 9 months, in equal payments. Many professors, especially those without summer income, would prefer to have their 9-month salary spread out over 12 months. This would require extensive modifications to PeopleSoft, adding nearly \$300,000 to HRS implementation costs. The modification would also require ongoing annual support of about \$145,000, bringing the 10-year cost of this single modification to over \$1.5 million. UW System's HRS team rejected this modification.*

Fit-Gap Case Study #2: *Faculty who are paid only during the 9-month academic year are still considered year-round employees. They have the option to pay additional insurance premiums to continue coverage through the summer, through multiple deductions from their May paychecks. PeopleSoft's built-in functionality would require that UW staff enter this data manually, requiring the equivalent of 13.75 dedicated staff each May and costing over \$200,000 annually. Modifying PeopleSoft to add this functionality will require 737 hours of work. However, the modification will better meet the UW's business needs, maintain employee morale, and will pay for itself. The HRS team approved this modification.*

Nearly 600 discrete UW business processes were reviewed to determine if they matched the PeopleSoft software or would need to be modified. Looking at the results of this "fit-gap" study, HRS project managers limited the number of modifications to a bare minimum. In fact, only 4% of the implementation costs will result from software modifications.

Even so, some modifications are needed to comply fully with legal and regulatory requirements, meaning that thousands of lines of code must be re-written. Where changes are unavoidable, UW project managers insist on having extremely detailed plans about the time and resources needed to close each gap.

Using this exhaustive process, the HRS team has developed detailed plans for about 530,000 hours of work required to move successfully from the old system to PeopleSoft. The UW System has spent more than a year creating this detailed blueprint of the human resources, payroll, and benefit processes at all 26 campuses, 72 county extension offices, and other units. This becomes the basis of a very detailed implementation plan.

UW and partners have expertise to succeed

Hundreds of staff from every UW System institution participated in the planning effort, and they are ready to begin the challenging work of implementation.

In-House Experts

The HRS implementation will be carried out by a professional team of experts, including a project manager who is a certified professional with years of successful project management experience in the private and public

sectors. The project team includes about 60 UW employees representing all areas of human resources, payroll, benefits, and information technology.

A project steering committee comprised of system and campus representatives makes business decisions, approves plans, and monitors the budget. The steering committee reports to an executive committee consisting of senior leadership from the campuses and system that must approve all major

changes to the plan and the budget. All groups ultimately report to the UW System Senior Vice President for Administration and Fiscal Affairs – the senior officer on this project.

Using the HRS planning documents as a blueprint, the UW System staff will direct all work on the HRS project, ensuring that critical tasks are accomplished within specified timeframes, and software modifications are made in accordance with exact specifications.

With a clear directive to hold down costs and maximize the project’s long-term viability, project managers are working diligently to hire more UW staff to work on HRS. No UW staff are being displaced by outside consultants. On the contrary, new and existing UW employees are being used wherever possible to perform critical functions and provide ongoing support in a cost-effective manner.

External Experts

To assist with key parts of the project where the UW lacks specific in-house technical expertise, the HRS team sought a consulting company with a successful history of helping universities implement PeopleSoft’s Human Capital management software suite. Using a standard state-mandated public procurement process, UW System selected Huron Consulting Group as the implementation partner on this project. Huron was selected because of its relevant experience, competitive costs, and other factors outlined in the request for proposals. Working with the highly qualified UW experts, Huron is the prime contractor, responsible and liable for the performance of any subcontractors.

Huron provides weekly progress reports to the HRS project manager, documenting the specific hours worked by individual consultants. Huron must also provide detailed quarterly reports to justify all time and materials billed to the project. If Huron fails to meet its quarterly goals, liquidated damages will be assessed.

Huron Consulting has worked with more than 175 higher education clients, including: North Dakota University System, University of Delaware, University of Florida, University of Massachusetts Amherst, University of Missouri System, University of Southern Mississippi, University of Utah, and University of Washington. Current clients include Brandeis University, Florida International University, University of Kansas, and University of Vermont.

HRS will add value to every UW System institution

HRS will safeguard against major personnel and payroll records failures and eliminate wasteful costs associated with outdated, redundant systems. There is no “good time” to embark on such a major project, but the probability that the current systems will fail will increase dramatically in coming years. At the same time, critical IT staff will be lost to retirement. Delaying the project now would mean higher costs later.

Along with providing an accurate, secure payroll and benefits system for all employees, the new system will enable a host of potential cost savings and improved services. Hundreds of isolated and disconnected HR management programs will be retired, freeing up significant time and costs now dedicated to maintaining them. Campuses will move to a paperless workflow, implementing a comprehensive “self-service” process where individual employees can access their own information

without relying on HR staff to answer individual calls. Recruitment and retention efforts will be streamlined, and tax-withholding procedures will be greatly simplified. Student payroll – serving some 34,000 student workers at any point in time – will be integrated with faculty and staff payroll records. When new statutory requirements are imposed or other required alterations are needed, changes will be vastly simpler, less labor intensive, and more reliable.

The old mainframe computer, which is expensive to upgrade and maintain, will be retired. Sensitive employee data, including social security numbers and bank account numbers, will be better protected. Access to this information by individuals with legitimate work-related needs will be even more rigorously monitored.

Planning and Implementation Costs

Implementation costs for the UW System's new HR System are significant, but appropriate for an organization of this size. Over several years, the complete transition from the old payroll and benefits system to the new HR System will cost about \$81.4 million, with the largest costs occurring in the first year of implementation (FY 2010).

Measure Twice, Cut Once:

In its April 2007 report, the Legislative Audit Bureau found that most problems with complex, high-risk IT projects resulted from inadequate planning. The UW System engaged in a meticulous planning process for HRS, making a strategic decision to get the project done right.

The Board of Regents will be asked to formally approve the one-year project budget in September 2009, and will provide formal approval for implementation expenditures in all subsequent years.

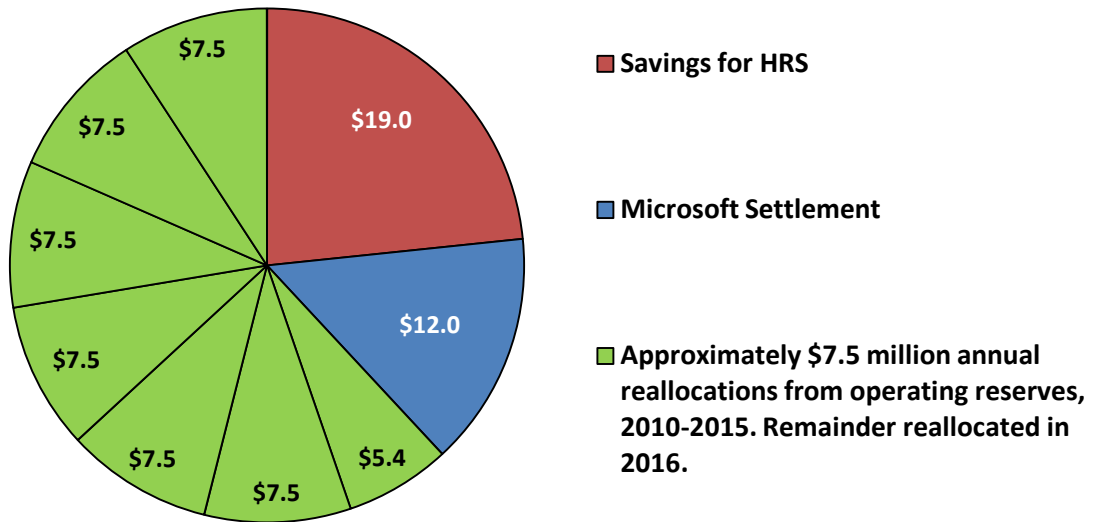
Where will the funding come from?

The UW System will not ask the State or students to provide any additional resources for HRS implementation. Instead, the University will reallocate existing revenues to accomplish this vital project while protecting core educational operations.

The UW System will receive \$12 million in technology rebates as part of a nationwide Microsoft class action settlement, and these will be applied entirely to HRS. Anticipating the growing need for this HRS project, the UW System has set aside \$19 million during recent years. To cover remaining costs, the UW System will reallocate \$7.5 million annually in operating reserves over the next seven years, depending on the final cost of the project.

This means that individual UW System institutions will not have annual operating budgets reduced to fund the HRS project. Using operating reserves in this way reduces near-term impacts on local universities and colleges but also diminishes the UW System's ability to manage future shortfalls in State funding or other revenues.

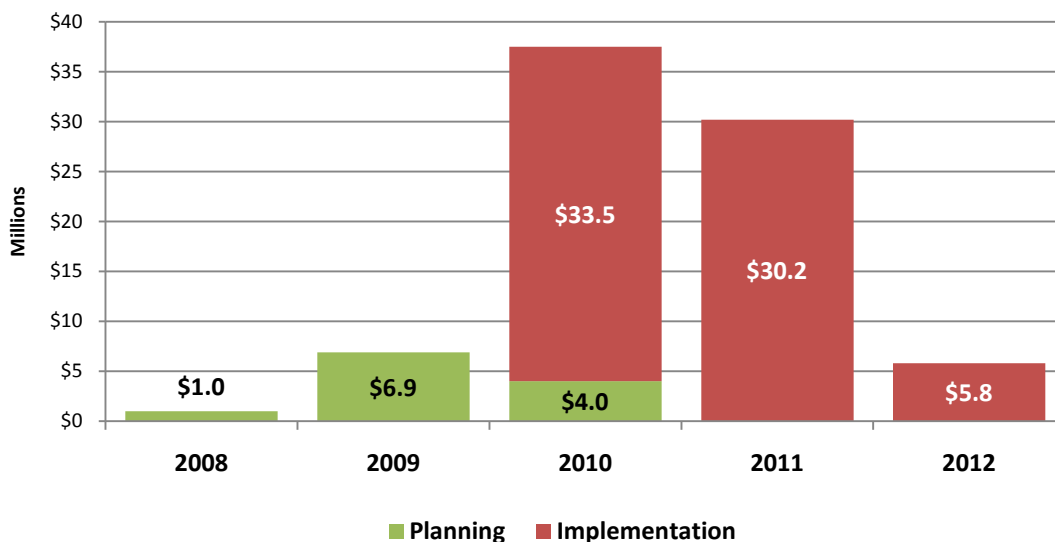
Where will Planning and Implementation Funds Come From?



When will the funds be expended?

The total project cost (\$81.4 million) includes \$12 million for HRS planning during fiscal years 2008-2010. Implementing the new payroll and benefits system during fiscal years 2010-2012 is estimated to cost about \$61.5 million and necessary changes to the University’s financial recordkeeping system (to create an interface with the payroll system) will cost \$7.9 million. Included in these estimates is a \$6.3 million reserve to cover unforeseen expenses. If reserve funds are not required, the total cost of the project will drop to \$75.1 million.

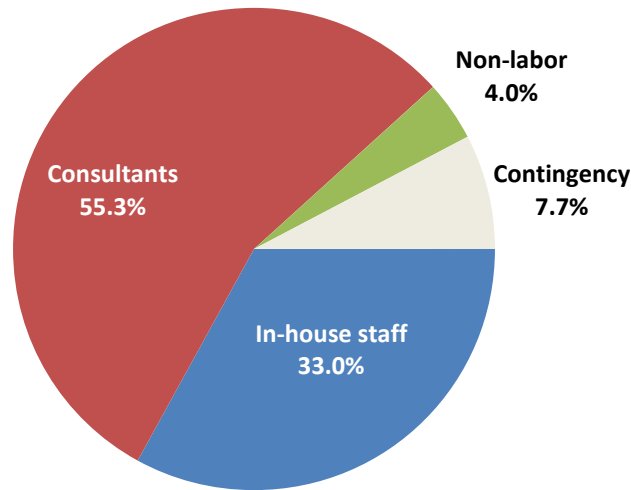
Projected Planning & Implementation Expenditures (by fiscal year)



These costs are comparable with other large enterprise management projects at Big Ten universities, some exceeding \$100 million. While the various projects are not identical, the magnitude of costs is instructive. It should also be noted that UW System is implementing across a system of universities and colleges – a much greater challenge than undertaking a similar project on a single university campus.

About 4% of the total planning and implementation budget will go to non-labor costs, for hardware, software, and other expenses. Salaries and benefits for in-house employees dedicated to the HRS project will account for about 33% of the costs, with outside experts (both on-site and off-site consultants) accounting for 55.3% of projected expenditures. The contingency funds, which will be held in reserve for unforeseen costs, account for about 7.7% of the project budget.

HRS Planning and Implementation Costs (by category)



UW System is approaching the HRS project like a major building construction project, with a plan to spread the costs over a number of years. Just as a home-buying family saves up for their down payment, then makes a monthly investment in the mortgage, the UW System has been planning for this expense over a number of years, and will reallocate funds in the future to pay off the investment.

Cost Controls and Oversight

Every March and September, the Regents and the Legislature receive a comprehensive report on major UW System IT projects, including implementation activities from the preceding year and plans for the year ahead. Once reviewed by the Regents, the reports are transmitted to State Legislators. This semi-annual public reporting process will continue.

UW System officials discussed HRS planning at the June 2008 and February 2009 meetings of the Board. When UW System officials decided to extend the planning phase of the project to maximize long-term success, the Regents were informed of this decision at a public meeting in June 2009.

At the September 2009 meeting, UW System officials will brief the Board of Regents on steps taken to manage costs, illustrating how the project budget was reduced by approximately \$8 million through a number of key actions:

- Ongoing efforts to hire UW staff to perform critical tasks, with a goal of ensuring that more work is done by in-house employees, relying less on higher-cost external consultants.
- Limiting the overall scope of the project.
- Engaging in an extensive planning process that will limit software modifications and provide detailed specifications for essential modifications.
- Requiring external consultants to continue providing immediate information about material events that may affect their ability to perform required services and fulfill all terms of the contract.
- Re-negotiating contracts with outside consultants to eliminate specific provisions that would have led to higher costs later.

At the September meeting, the Regents will review all major IT projects currently underway, including HRS. At that time, the Regents will be asked to approve the overall HRS implementation plan, and will be asked to vote on the implementation budget for FY 2010 only.

The HRS project budget will be re-visited annually by the Regents, with detailed progress reports and annual implementation budgets. The UW System will provide a formal report to the Regents any time there are significant changes to the project cost, timeline, or scope. This will continue until implementation is complete in 2012.

Learn more about HRS

For more information, see <http://hrs.uwsa.edu>

**UW SYSTEM INFORMATION TECHNOLOGY REPORT
PROJECT STATUS REPORT**

EXECUTIVE SUMMARY

BACKGROUND

2007 Wisconsin Act 20 requires the Board of Regents to provide in March and in September each year a specific and detailed progress report on all large (defined as costing over \$1 million) and high-risk projects to the Joint Committee on Information Policy and Technology. The Board policy on the format of these reports was approved in April 2008 [Resolution I.2.e.5.]. There are six major projects in this report.

REQUESTED ACTION

This report is for information only.

DISCUSSION AND RECOMMENDATIONS

Attached are progress reports on the UW System's six major information technology projects. They include the Oracle/PeopleSoft Campus Solutions (student information systems) implementations at UW-Eau Claire, UW-La Crosse, and UW-Stout, the Human Resource System planning project, the Identity and Access Management project, and the Legacy Budget project. All major projects are generally on target with respect to schedule, scope, and budget status.

RELATED REGENT POLICIES

25-2 Guide to plan and implement management information systems.

Project: Oracle/PeopleSoft Campus Solutions Implementation, UW-Eau Claire

Description: UW-Eau Claire is replacing existing mainframe-based student administrative systems with PeopleSoft Campus Solutions software, version 9.0. With the implementation of Campus Solutions, UW-Eau Claire will be operating the UW's "common system" for student administration. UW-Eau Claire's project will generally parallel the Campus Solutions projects at UW-La Crosse and UW-Stout.

UW-Eau Claire is implementing the following modules:

- Campus Community: Biographical and demographic information for Campus Solutions.
- Admissions: Functionality to process applicants and admit students.
- Financial Aid: Budgeting, packaging, awarding, disbursement, and monitoring of aid.
- Student Records: Functionality to support scheduling classes, registering students, producing transcripts, academic record maintenance, and posting degrees.
- Student Financials: Foundation for student financial data, including billing students, maintaining student accounts, tuition calculation, and processing payments.
- Campus Solutions Self-Service: Provides web access for students and faculty.

UW System Administration has contracted with CIBER, Inc. to provide project planning, and functional and technical consulting resources for the Campus Solutions projects at UW-Eau Claire, UW-La Crosse, and UW-Stout (Contract Number: LT-07-2379).

Project Schedule & Budget:

Schedule: Implementation began in spring 2008; all modules have been designed and developed. The modules will move into production over the course of the 2009-10 academic year.

Project budget for external consulting resources: \$2,761,308.

Source of funds: Common Systems (2/3) and Campus Resources (1/3)

Campus Solutions Implementation, UW-Eau Claire Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		STATUS COLOR INDICATORS
	Green	On target as planned
	Yellow	Encountering issues
	Red	Problems

Project Status Dashboard: Oracle/PeopleSoft Campus Solutions Implementation, UW-Eau Claire	Green	Yellow	Red
Schedule Status	x		
Scope Status	x		
Budget Status	x		
Other Issues (Staffing, Risks, etc.):	x		

Status of Project Planning and Documentation:

	Status
Governance structure	Established
Project Charter	Completed
Communication Plan	Completed
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Completed

Project: Oracle/PeopleSoft Campus Solutions Implementation, UW-La Crosse

Description: UW-La Crosse was operating a student information system that was costly to maintain and lacked the flexibility to meet the business needs of the institution and provide web-based services to their students. UW-La Crosse has replaced its existing system with PeopleSoft Campus Solutions software, version 9.0. With the implementation of Campus Solutions, UW-La Crosse will be operating the UW's "common system" for student administration. UW-La Crosse's project will parallel the Campus Solutions projects at UW-Eau Claire and UW-Stout.

UW-La Crosse is implementing the following modules:

- Campus Community: Biographical and demographic information for Campus Solutions.
- Admissions/Recruitment: Functionality to manage student recruitment, process applicants and admit students.
- Financial Aid: Budgeting, packaging, awarding, disbursement, and monitoring of aid.
- Student Records: Functionality to support scheduling classes, registering students, producing transcripts, academic record maintenance, and posting degrees.
- Student Financials: Foundation for student financial data, including billing students, maintaining student accounts, tuition calculation, and processing payments.
- Academic Advising: Functionality that gives students and faculty timely access to academic records and reports, including degree audit requirements for graduation.
- Campus Solutions Self-Service: Provides web access for students and faculty.

UW System Administration has contracted with CIBER, Inc. to provide project planning, and functional and technical consulting resources for the Campus Solutions projects at UW-Eau Claire, UW-La Crosse, and UW-Stout (Contract Number: LT-07-2379).

Project Schedule & Budget:

Project Schedule: Implementation began in spring 2008; all modules are operating successfully in full production status for the start of fall 2009 semester.

Project budget for external consulting resources: \$2,850,000.

Source of funds: Common Systems (2/3) and Campus Resources (1/3)

Campus Solutions Implementation, UW-La Crosse Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		STATUS COLOR INDICATORS
	Green	On target as planned
	Yellow	Encountering issues
	Red	Problems

Project Status Dashboard: Oracle/PeopleSoft Campus Solutions Implementation, UW-La Crosse	Green	Yellow	Red
Schedule Status	x		
Scope Status	x		
Budget Status	x		
Other Issues (Staffing, Risks, etc.):	x		

Status of Project Planning and Documentation:

	Status
Governance structure	Established
Project Charter	Completed
Communication Plan	Completed
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Completed

Project: Oracle/PeopleSoft Campus Solutions Implementation, UW-Stout

Description: UW-Stout was currently using Datatel's "Colleague" system for student administration processing. UW-Stout replaced its Datatel with PeopleSoft Campus Solutions software, version 9.0. By migrating to Campus Solutions, UW-Stout will improve access to, and enhance, reporting of student information. Furthermore, with the implementation of Campus Solutions, UW-Stout will be operating the UW's "common system" for student administration. UW-Stout's project will parallel the Campus Solutions projects at UW-Eau Claire and UW-La Crosse.

UW-Stout is implementing the following modules:

- Campus Community: Biographical and demographic information for Campus Solutions.
- Admissions: Functionality to process applicants and admit students.
- Financial Aid: Budgeting, packaging, awarding, disbursement, and monitoring of aid.
- Student Records: Functionality to support scheduling classes, registering students, producing transcripts, academic record maintenance, and posting degrees.
- Student Financials: Foundation for student financial data, including billing students, maintaining student accounts, tuition calculation, and processing payments.
- Academic Advising: Functionality that gives students and faculty timely access to academic records and reports, including degree audit requirements for graduation.
- Campus Solutions Self-Service: Provides web access for students and faculty.

UW System Administration has contracted with CIBER, Inc. to provide project planning and functional consulting resources for the Campus Solutions projects at UW-Eau Claire, UW-La Crosse, and UW-Stout (Contract Number LT-07-2379).

Project Schedule & Budget:

Schedule: Implementation has been completed. Implementation began in spring 2008; all modules are operating successfully in full production status for the start of fall 2009.

Project budget for external consulting resources: \$2,641,000.

Source of funds: Common Systems (2/3) and Campus Resources (1/3)

Campus Solutions Implementation, UW-Stout Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		STATUS COLOR INDICATORS
	Green	On target as planned
	Yellow	Encountering issues
	Red	Problems

Project Status Dashboard: Oracle/PeopleSoft Campus Solutions Implementation, UW-Stout	Green	Yellow	Red
Schedule Status	x		
Scope Status	x		
Budget Status	x		
Other Issues (Staffing, Risks, etc.):	x		

Status of Project Planning and Documentation:

	Status
Governance structure	Established
Project Charter	Completed
Communication Plan	Completed
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Completed

Project: Human Resource System (HRS) Project

Description: The current University of Wisconsin Payroll System has served the University of Wisconsin's needs since approximately 1975. More than 67,000 faculty, staff, student workers, and administrators from all University of Wisconsin institutions are paid through this system. Both technology and the needs of higher education have changed considerably since the legacy system was implemented. The legacy system lacks the functionality and efficiency that today's human resource environment demands and limits the UW's ability to deliver strategic human resource management capabilities and business process redesign efforts to our stakeholders. Replacing the legacy system with HRS will result in substantial benefits to the UW System by improving data integrity; increasing standardization of policies, practices, and service delivery; eliminating the numerous institutional shadow systems; and providing self-service to employees. UW System will be implementing Oracle's PeopleSoft Human Capital Management suite, version 9.0. Additional information on the HRS project is found in the enclosed white paper.

Phase 1: HRS Project Planning

- June 2007-October 2008: UW System Administration contracted with CIBER, Inc. to provide project planning consulting services (Contract Number: LV-07-2342). The engagement with CIBER concluded on October 10, 2008.

During this phase, the UW System team developed a base knowledge of the Oracle/PeopleSoft application and its fit with the current business processes. The team also began exposing the HRS interfaces to other UW IT systems in order to assess the overall impact on the UW technology environment. Three full-time and two part-time CIBER consultants were engaged on the project.

Deliverables for the period of June 2007 to September 2008 included a project charter, 15 fit/gap sessions with participation by over 500 UW staff, a pilot system with base functionality and sample UW data, a first pass at business process inventory with gaps, and a draft project plan. The draft plan provided high-level schedule and resource estimates for the design, configuration, and testing phases of HRS implementation. The preliminary assessment did not address resource estimates for complex areas of data conversion, modifications, reporting, and integration. The assessment did not include the level of detail required to provide an accurate budget or schedule for a major IT project.

- November 2008-Summer 2009: UW System Administration contracted with Huron Consulting Services (contract number: RG-09-2434) in January 2009 to provide project planning finalization. Upon the approval of the project plan and budget from phase 1, Huron Consulting will also provide implementation consulting services to the UW through this contract.

With the UW System's PeopleSoft knowledge base that is now in place and the engagement of Huron as consulting partner, the project team is validating and finalizing the project plan, and preparing the blueprint for implementation.

Deliverables will include: implementation options, detailed plan, detailed budget, risk mitigation plan, quality plan, technical change management approach, reporting strategy, project decision process, current and future state business process documentation, data conversion plan, and functional and technical specifications.

As of August 31, 2009, Phase 1 HRS Project Planning is concluded. The project will move into the Implementation Phase upon presentation and approval of the project plan and budget at the Board of Regents meeting, September 10-11, 2009.

Project Schedule & Budget for Phase 1:

Schedule: June 2007-Summer 2009

Budget as presented in January 2009: FY08-FY09: \$7,900,000

TOTAL Budget as amended in June 2009: FY08-August 2009: \$12,000,000

Source of funds: Common Systems

Phase 2: HRS Implementation

The project will move into the implementation phase upon approval by the Board of Regents. (This section will be updated following Board action.)

Human Resource System (HRS) Project Planning – Phase 1 Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		STATUS COLOR INDICATORS
	Green	On target as planned
	Yellow	Encountering issues
	Red	Problems

Project Status Dashboard: HRS Planning Project	Green	Yellow	Red
Schedule Status: Given the complexity of the PeopleSoft application and the system wide impact of this project, the UW took additional time (approx 6 months) to develop the detailed project plan that determines project schedule and cost.	x		
Scope Status	x		
Budget Status	x		
Other Issues (Staffing, Risks, etc.): HRS team is not fully staffed; need to fully staff project with skilled UW resources to minimize impact on schedule. Progress has been made during summer 2009 to more quickly fill open UW roles.		x	

Status of Planning and Documentation to Support HRS Implementation:

	Status
Governance structure	Established
Project Charter	Completed
Communication Plan	Completed
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Established

Project: Identity and Access Management (IAM) Project

Description: UW-Madison Division of Information Technology (DoIT) currently operates the Identification, Authentication, and Authorization system (IAA) for the UW System. The system supports hundreds of thousands of active and inactive identity records, and is currently growing at a rate approaching 80,000 records per year.

The University of Wisconsin System needs an efficient and secure way to manage identities and access to campus resources depending on an individual's relationship to the university. In FY08, UW System acquired Oracle's suite of Oracle Identity and Access Management (IAM) products and began planning and implementation during FY09. Simply stated, the purpose of IAM is to manage user identities and their access to resources. The IAM suite will enable the UW System to manage the rights and attributes of users who access the system. Implementation of the software will provide UW Common Systems with central, reusable identity and access management services ensuring that the right people have access to the right resources at the right time. It offers the potential for significantly improved management of employee and student data, along with improved management of user credentials and access to services. It will also help address security challenges the university faces. This enhanced functionality is the basis for, and essential to, a robust, reliable infrastructure platform.

IAM Project Web Site: <http://cs.uwsa.edu/iam/>

Expected Project Schedule & Budget:

Schedule: Project planning began in February 2008 and was completed in fall 2008 with the conclusion of a roadmap and architecture proposal from the consultants. The project is now in Phase 2 of a 4 phase implementation plan that lasts approximately 12-18 months. During the implementation, selected target applications will migrate to the new system, however, most application migration will occur after the fourth phase is completed. These migrations are projected to occur during FY10-12.

Project budget:

FY08-FY10: \$4,700,000

Source of funds: Common Systems

Identity and Access Management (IAM) Project Dashboard

(See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		STATUS COLOR INDICATORS
	Green	On target as planned
	Yellow	Encountering issues
	Red	Problems

Project Status Dashboard: Identity and Access Management (IAM) Project	Green	Yellow	Red
Schedule Status	x		
Scope Status	x		
Budget Status	x		
Other Issues (Staffing, Risks, etc.): We have been able to secure all the required staffing for the project.	x		

Status of Planning and Documentation to Support IAM Implementation:

	Status
Governance structure	Done
Project Charter	Done
Communication Plan	In Progress
Project Plan	Phase 1 Completed; Phase 2 underway Phases 3 – 4 On-going
Project Budget	Done
Quality Assurance Plan	In Progress

Legacy Budget System Project

Background:

The current Annual Budget Development and Position Control/October Payroll Systems are mainframe systems hosted at UW-Madison's Division of Information Technology (DoIT). The UW System will embark on a multi-year planning and replacement process for the systems. The first phase in this replacement cycle will require rewriting the Budget System interfaces, batch programs, and data conversions to function with the new PeopleSoft-based Human Resource System (HRS). The second phase will involve development of a business case with requirements, project planning, and the implementation of a new budget system solution that does not run on the mainframe. At the end of the second phase the budget systems will be retired from the mainframe.

The Annual Budget Development System is used by all UW institutions, including System Administration to develop both salary and non-salary budgets. All institutions have various shadow budget systems to assist them in this process; these shadow systems range from spreadsheets to institutional mainframe systems. The salary information for budget development is loaded from either a recent payroll or the previous year's budget that institutions use as their starting point for budget development. Institutions then distribute the unclassified merit in the budget system by person, fund, and program, and once approved by the Board of Regents, the merit distribution and funding is then loaded back to the payroll system.

The Position Control/October payroll System is used for statutorily required quarterly reporting to the State on the number of FTE the UW System has by funding source, and is also used in the earned October months to establish the payroll base on which the UW-System can receive funding for pay plan increases from the State. In addition, this information is used for Federal, American Association of University Professor (AAUP), Integrated Postsecondary Education Data System (IPED) and other reporting needs by offices in System Administration and at the campuses.

The current budget systems do not provide the features and functions that address contemporary business demands for integrated financial and budget planning. Preparing for the migration of these systems from the mainframe affords the UW an opportunity to review current business processes and requirements, and make improvements such as providing the ability for institutions to do long range planning and budget forecasting. There is not time enough in the HRS implementation plan to simply acquire a new budget system. Therefore, in the first phase of this project, it is necessary to build an interface between HRS and the legacy budget systems. The interface between the two budget systems and human resource/payroll functions are numerous and it is imperative that UW incorporate these requirements into the implementation of HRS. Phase two includes development of a business case with requirements, identification of potential solution options, acquiring a new budget system with enhanced functionality, and then the implementation of the new system.

Description – Phase 1: Legacy Budget System Interface to HRS

Phase 1 of the project will focus on the revamping of the Budget System interfaces, batch programs, and data conversions in FY2010 and FY2011.

Phase 1 Schedule: The release schedule of the Budget HRS-Budget System Interface Changes will align with the building, testing, and deployment of HRS: September 2009 – June 2011

Phase 1 Budget: \$3.8 million (FY10-FY11)

Source of funds: Common Systems

Phase 2: Planning the replacement of UW's Budget System.

UW will embark on a multi-year planning effort to replace the Budget System. Activities will include analysis of current business processes and requirements, opportunities for redesigning business processes, identification of potential solution options, and cost-benefit analysis of those potential solutions. At this point and until the business case and requirements are fully understood, the cost of purchasing and implementing a new system is unknown.

Expected project schedule and duration: Planning will begin in FY10; the duration of phase 2 is unknown.

Expected project budget for phase 2: No budget is requested for FY10.

Phase 1: Legacy Budget System Interface to HRS
 (See Appendix 1 for dashboard definitions):

<p>Determine the status for each of the categories below based on the criteria identified on the right and on the back of this page.</p> <p>Insert an X in the column that best describes the status of the category or color/shade the appropriate status box.</p> <p>If a category has a status of Yellow or Red describe the problem/issue and what actions will be taken to correct the problem/issue.</p>		STATUS COLOR INDICATORS
	Green	On target as planned
	Yellow	Encountering issues
	Red	Problems

Project Status Dashboard: HRS Planning Project	Green	Yellow	Red
Schedule Status:	x		
Scope Status	x		
Budget Status	x		
Other Issues (Staffing, Risks, etc.):	x		

Status of Planning and Documentation to Support Phase 1: Legacy Budget System Interface to HRS

	Status
Governance structure	Established
Project Charter	Completed
Communication Plan	Included with HRS Plan
Project Plan	Completed
Project Budget	Completed
Quality Assurance Plan	Included with HRS Plan

Appendix 1: Project Dashboard Definitions:

Project Status Category Descriptions
<p>Schedule Status (refers to target implementation date of phase or project)</p> <p>Green – Indicates that the project or phase will be completed on target or on the planned date.</p> <p>Yellow – Indicates that the project or phase <u>may be falling behind</u> and work needs to be done to determine if the project can recover and still complete on the scheduled date or if adjustments must be made to the schedule date.</p> <p>Red – Indicates that the project or critical tasks <u>have fallen behind</u> schedule and corrective action must be taken to make the scheduled date or the scheduled date must change.</p>
<p>Scope Status</p> <p>Green – We have not changed the scope in any way that will keep the implementation from meeting the objectives planned for the project.</p> <p>Yellow – The scope of the project has increased. Budget and implementation date are impacted by < 10%. Or the scope of the project has decreased but objectives are not substantially impacted.</p> <p>Red – The scope of the project is under review and changes are being requested that will mean the implementation will not meet the project objectives in some substantial way or doing them later will increase cost 10% or more above the original total cost of the project approved by the sponsors.</p>
<p>Budget Status</p> <p>Green – Currently on target with project budget.</p> <p>Yellow – Project is over budget by 10 – 25%.</p> <p>Red – Project is over budget by 25% or more.</p>
<p>Other Issues (Staffing, Risks, etc.)</p> <p>Green – No staffing, risks, or other issues/concerns exist.</p> <p>Yellow – Staffing concerns/issues exist that need to be monitored and possible adjustments made. Key staff departing. One or more risks or other issues may be surfacing which need to be monitored and contingency plans developed.</p> <p>Red – Staffing concerns/issues exist and will impact project schedule, budget, deliverables, risks, etc. Key staff lost. One or more risks or other issues have surfaced and will have an impact on budget, deliverables, staffing, scope, and/or schedule. Corrective action must be taken or contingency plans executed.</p>

**WISCONSIN PARTNERSHIP PROGRAM
2008 ANNUAL REPORT**

EXECUTIVE SUMMARY

BACKGROUND:

The Wisconsin Insurance Commissioner's Order of March 2000 approved the conversion of Blue Cross & Blue Shield United of Wisconsin to a for-profit stock corporation, and the distribution of the proceeds from the sale of stock to the UW School of Medicine and Public Health (SMPH) and the Medical College of Wisconsin. In accordance with the Insurance Commissioner's Order, thirty-five percent of the funds were allocated for public health initiatives and sixty-five percent for medical education and research initiatives to advance population health. The Wisconsin United for Health Foundation, Inc., (WUHF) was created by the Insurance Commissioner to oversee the distribution of the proceeds, to approve the first Five-Year Plan (2004-2009) of each school, and to review subsequent five-year plans and annual reports on expenditures.

The Insurance Commissioner's Order required the UW System Board of Regents to create an Oversight and Advisory Committee (OAC) consisting of four public members (health advocates), four SMPH representatives appointed by the Regents, and one member appointed by the Insurance Commissioner. In accordance with the Order, the OAC is responsible for directing and approving the use of funds for public health. The committee also reviews, monitors, and reports to the Board of Regents through the annual reports on the funding of medical education and research initiatives.

The SMPH, in collaboration with the OAC, developed the initial Five-Year Plan (2004-2009) describing the uses of the funds. The plan also called for the appointment of the Medical Education and Research Committee (MERC) by the SMPH to be composed of a cross-section of the faculty, representatives of the OAC, and leaders of the SMPH, to direct and approve the allocation for medical education and research initiatives.

Following approval of the Five-Year Plan by the Board of Regents in April 2003, the plan was reviewed and subsequently approved by WUHF in March 2004. Immediately thereafter, WUHF transferred the funds to the UW Foundation for management and investment based on the Agreement between the UW Foundation, the Board of Regents, and WUHF (Agreement). Since March 2004, the OAC and the MERC, collectively known as the Wisconsin Partnership Program, have been engaged in seeking proposals from community organizations and faculty, respectively, and in making awards in accordance with the Order, the Five-Year Plan, and the Agreement. During 2008, the SMPH, in collaboration with the OAC and the MERC, developed the second Five-Year Plan (2009-2014), which was presented and approved by the Board of Regents on December 4, 2008.

As required by the Insurance Commissioner's Order and the Agreement, the SMPH, in collaboration with the OAC, must develop annual reports on the Wisconsin

Partnership Program's activities and expenditures of funds for review by the Board of Regents.

REQUESTED ACTION:

For information purposes only; no action is required.

DISCUSSION:

In accordance with the Insurance Commissioner's Order and the Agreement, the 2008 Annual Report of the Wisconsin Partnership Program (WPP) covering the activities and expenditures from January 1 through December 31, 2008, is presented jointly to the Board of Regents Education and Business, Finance, & Audit Committees. The Annual Report describes the activities leading to the awarding of grants by the Oversight and Advisory Committee (OAC) and by the Medical Education and Research Committee (MERC) for projects that advance population health in Wisconsin.

Each award description includes the type of the award, name of the recipient, award amount, and a brief explanation of the project. In addition, concluded projects are identified. Detailed information on the outcomes of concluded projects is in the Annual Report's appendix. The appendix also includes the minutes indicating approval of the report by the OAC and the MERC, and the attestations of non-supplanting, which provide assurance that WPP funds will not supplant funds or resources otherwise available for the same project.

Year in Brief

2008 was an unusual year for the Wisconsin Partnership Program (WPP). It was filled with activities related to the planning, development, and the approval of the second Five Year Plan (2009-2014) of the WPP, as well as activities related to the development of the evaluation report, *Measuring our Progress: The Wisconsin Partnership Program Evaluation 2004-2008*. This report assessed progress related to strategic focus areas and provided guidance for future planning and direction.

Development of both the Five-Year Plan and the evaluation report required seeking information on the perceptions, opinions, and attitudes of key audiences within the SMPH, the University, and external groups. The extensive stakeholder input, acquired through interviews as well as responses to a public comment questionnaire, reflects the WPP's commitment to the people of Wisconsin and to establish meaningful partnerships crucial to success. Unfortunately, as 2008 drew to a close, the WPP was faced with a marked decline in the value of its endowment, resulting in the curtailment of future initiatives and existing programs.

Through July 31, 2009, the WPP has made 189 awards for a total of \$88.3 million for research, education, and public health initiatives. For the period covered by the 2008 Annual Report, the Medical Education and Research Committee awarded 13 new grants,

totaling \$7,381, 345. The grants included the following topics: *Recruitment of African Americans for Studies of Preclinical Alzheimer's Disease, A Community-wide Intervention to Promote Breast and Cervical Cancer Screening among Latinas, Wisconsin Children's Lead Levels and Educational Outcomes, Reducing Infant Mortality Disparities in Wisconsin, and Creating Disease-Specific Stem Cell Lines.*

As the year ended, the impact of the declining value of the WPP's endowment was a central focus of the committee. With the aid of financial projections, the MERC opted to reduce existing grants and to give attention to ensuring resources for the reapplications of the core targeted grants, such as *Survey of the Health of Wisconsin, Institute for Clinical and Translational Research, and Transformation of Medical Education*, scheduled for review in 2009.

During 2008, the Oversight and Advisory Committee spent considerable time developing the *Healthy Birth Outcomes Initiative* with the objective of reducing infant deaths and birth-outcome disparities for African American women in Wisconsin. The Committee committed up to \$10 million over the next five years to address this challenging public health problem with a concentrated effort in the communities of Milwaukee, Beloit, Kenosha, and Racine, where the infant mortality statistics are abysmal. The goals include:

- (1) Improving conditions that support healthy birth outcomes for African American women, and
- (2) Decreasing racial and ethnic health disparities in birth outcomes.

The initiative is a joint project of the WPP, SMPH faculty, community partners, and health experts at the state, county, and city levels, with the expectation that other funding partners in the targeted communities will participate as well.

Toward the end of the year, the full impact of the economic crisis on the OAC's ability to make awards became apparent. Consequently, the OAC decided to approve, but not immediately fund six applications for the Community Academic Partnership Fund. The OAC is currently reassessing the availability of funds for these approved applications and expects to make a final decision in September, 2009.

In conclusion, the work accomplished in 2008 through the development of the 2009-2014 Five-Year Plan and the evaluation report, *Measuring our Progress*, has set the programmatic agenda for the next five years. As grants are concluding, the SMPH is seeing evidence of the sustainable impact that the WPP's support has provided to faculty and community organizations as they work to improve the health of the people of Wisconsin through collaborations and partnerships statewide.

Wisconsin Partnership Program
University of Wisconsin School of Medicine and Public Health

Partnerships for a Healthy Wisconsin

2008 ANNUAL REPORT



education



research



community



health



University of Wisconsin
**SCHOOL OF MEDICINE
AND PUBLIC HEALTH**

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A Message from the Dean

The Wisconsin Partnership Program (WPP) concluded its fifth year in 2008. From all perspectives, its efforts have been incredibly successful. In its first five years, the WPP has awarded nearly \$70 million, through 180 initiatives, to faculty, nonprofit organizations, and government agencies. The WPP's impact has been notable—both to the people and programs supported by its grants, and to our transformation into a School of Medicine and Public Health.

My optimism about the future impact of the WPP is unwavering, despite the economic crisis our country has been facing. While we saw a marked decline in the value of the WPP's endowment by the end of 2008, because of the good stewardship of the UW Foundation, the decline has been less severe than that experienced by endowments at other institutions. Wise decision-making by the two governance committees of the WPP, combined with thoughtful strategic planning, will enable the Program to continue to push forward with an innovative agenda.

During 2008 the WPP awarded 13 new grants, totaling \$7,381,345, through the Medical Education and Research Committee (MERC). (See page 12.) Six grants were approved later in the year by the Oversight and Advisory Committee (OAC). By the end of 2008, the OAC opted to delay its decision on funding the six new grants pending a comprehensive financial assessment in the summer of 2009. Such decisions, as difficult as they are, illustrate the WPP's commitment to maintain the long-term strength and viability of the endowment. This approach will assure the availability of this resource in perpetuity to support a healthier Wisconsin for all.

Even though the OAC faced difficult financial choices, it wisely decided to move ahead with its support of the Healthy Birth Outcomes Initiative. In partnership with community organizations, this initiative will address the alarmingly high infant mortality rates among African American communities in Milwaukee, Racine, Kenosha, and Beloit.

The OAC launched this initiative by hosting the Wingspread Conference, entitled the Wisconsin Infant Mortality Summit, where national and state experts brought ideas and plans to the table. This was followed by the establishment of a steering committee co-chaired by two OAC members, Lorraine Lathen, MA, community health consultant and Executive Director of Jump at the Sun Consultants, Inc., and Philip Farrell, MD, PhD, former Dean of the UW School of Medicine and Public Health (UW SMPH) and Professor of Pediatrics and Population Health Sciences.

This Healthy Birth Outcomes Initiative is a high-priority project. I hope it will be the first in a series of focused efforts to significantly improve health in Wisconsin. Such efforts will provide countless opportunities for the OAC and MERC to join forces to address Wisconsin's challenging public health

issues. This program exemplifies the concept of "Partnership" that is both desirable and essential to the WPP's success.

"The WPP's impact has been notable—both to the people and programs supported by its grants, and to our transformation into a School of Medicine and Public Health."

Another important effort in 2008 was the collaborative work of both committees to produce the WPP's *Measuring Our Progress* evaluation report, a blueprint for measuring both progress and impact. This required analyzing input from more than 60 in-depth interviews with stakeholders and academic partners, as well as analyzing the results from a public survey with over 560 responses. This work was particularly valuable to the creation of the *2009-2014 Five-Year Plan*. It required considerable commitment from both committees, and in the end it led to a solid vision of making Wisconsin a healthier state for all.

We are beginning to see tangible evidence of the WPP's support leveraging external funding. To give just one example, the Geriatrics Section of the Department of Medicine recently received \$6.9 million from the National Institutes of Health (NIH) to create an Alzheimer's Disease Research Center. Earlier WPP grants for Alzheimer's disease—first in 2004 and later in 2008—helped build the research infrastructure that contributed to the success in competing for NIH funding. Other UW SMPH faculty, whose prior awards from the MERC funded initial research and education efforts, also received external funding: an additional \$3 million in 2008 alone, for a total of over \$5 million since 2004. In addition, the community-academic partnerships supported by the OAC leveraged \$5 million in additional funding in 2008, for a total of over \$22 million since 2004.

Another major milestone in the transformation of the School is the selection of Patrick Remington, MD, MPH, to become the first Associate Dean for Public Health. In his new role, he fulfills a mission central to the WPP and the UW SMPH: fully integrating public health and medicine. His background in the practice of public health and in academic medicine, coupled with his outstanding reputation in Wisconsin's public health community, will serve us well.

We spent our first five years establishing the WPP's foundation. In the second five years, our goal is to build upon the WPP's most successful efforts. In so doing, we will strategically focus investments in areas that will result in the greatest improvements in health and the reduction of health disparities in Wisconsin.

Robert N. Golden, MD

*Robert Turell Professor in Medical Leadership
Dean, UW School of Medicine and Public Health*

Introduction

The UW School of Medicine and Public Health (UW SMPH), in coordination with the Oversight and Advisory Committee (OAC) and the Medical Education and Research Committee (MERC), is pleased to present the 2008 annual report of the Wisconsin Partnership Program (WPP)—representing the successful conclusion of the first *Five-Year Plan*.

Covering activities and expenditures from January 1, 2008, through December 31, 2008, the annual report was prepared in accordance with the *Insurance Commissioner’s Order*, the *Agreement**, and the *2004-2009 Five-Year Plan*, all of which were created to guide the distribution of the funds resulting from Blue Cross and Blue Shield United of Wisconsin’s conversion to a for-profit corporation.

During 2008, the WPP, through its two governance committees, the OAC and the MERC, devoted significant time and effort to the development of the *2009-2014 Five-Year Plan*. Simultaneously, the WPP also assessed its past accomplishments through the development of an evaluation report, *Measuring Our Progress*. As a companion piece to the new *Five-Year Plan*, the evaluation report included recommendations, which set the direction and objectives of the WPP going forward.

Unfortunately, the Program’s grant -making activities were constrained during the last quarter of 2008 as it became apparent that the economic downturn had significantly affected the value of the WPP’s endowment. Consequently, the WPP was faced with the difficult decision of how best to manage its endowment in a period of declining resources. Nevertheless, the WPP is optimistic that, through prudent financial management, the Program will achieve the full implementation of the new *Five-Year Plan*, although at a slower pace than originally anticipated.

Through the development of the new *Five-Year Plan*, the WPP renewed its mission and vision to serve the public health needs of Wisconsin and to reduce disparities through research, education, and community partnerships—thus making Wisconsin a healthier state for all.

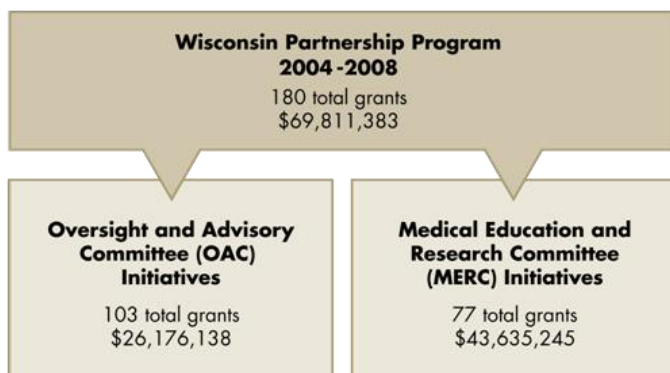


Figure 1: Wisconsin Partnership Program Organization and Funding Distribution, 2004-2008

Governing Committees

The WPP fulfills its charge through the work of two governing committees, the OAC and the MERC.

The primary responsibilities of the OAC are to:

- Direct and approve 35% of the available funds for Public Health Initiatives.
- Provide public representation through the OAC’s four community health advocates.
- Comment and advise on the MERC’s expenditures.

The primary responsibility of the MERC is to:

- Direct and approve 65% of the available funds for Medical Education and Research Initiatives that advance population health in Wisconsin.

Both committees are guided by their stewardship responsibility and by the Program’s mission and vision. For detailed information about the WPP, please visit the program’s Web site at wphf.med.wisc.edu.

**Also known as the Agreement between the Wisconsin United for Health Foundation, Inc. (WUHF), the University of Wisconsin Foundation, and the University of Wisconsin System Board of Regents.*

Members of the Oversight and Advisory Committee (OAC)

The OAC is a nine-member committee with four community members, four representatives of the UW SMPH, and an appointee of the Insurance Commissioner.

The Executive Committee carries out functions delegated by the OAC, such as discussing or reviewing grants and making recommendations to the OAC. The Public Health Education and Training (PHET) Subcommittee provides advice and recommendations to the OAC regarding public health education and training programs.

Health Advocate Appointees

Lorraine Lathen, MA, Secretary

Executive Director, Jump at the Sun Consultants, Inc.
Advocacy Category: Women’s Health

Douglas N. Mormann, MS, Vice Chair

Health Officer, La Crosse County Health Department
Advocate Category: Statewide Health Care

Gregory Nycz

Executive Director, Family Health Center of Marshfield, Inc.;
Director, Health Policy, Marshfield Clinic
Advocacy Category: Rural Health



June Martin Perry, MS (resigned October 2008)
President, Access to Success in Nonprofit Management and
Succession Planning
Advocacy Category: Urban / Community Health

Insurance Commissioner's Appointee

Martha E. Gaines, JD, LLM
Director, Center for Patient Partnerships; Clinical Professor of
Law, UW Law School

UW School of Medicine and Public Health

Appointees

Philip M. Farrell, MD, PhD
Professor, Departments of Pediatrics and Population Health
Sciences, UW SMPH

Michael Fleming, MD, MPH (resigned June 2008)
Professor, Department of Family Medicine, UW SMPH

Valerie J. Gilchrist, MD (appointed August 2008)
Professor and Chair, Department of Family Medicine, UW
SMPH

Susan L. Goelzer, MD, MS, CPE, Chair
Professor, Departments of Anesthesiology and Population
Health Sciences, UW SMPH

David A. Kindig, MD, PhD
Professor Emeritus, Department of Population Health
Sciences, UW SMPH

OAC Executive Subcommittee

Susan L. Goelzer, MD, MS, CPE, Chair
Douglas N. Mormann, MS, Vice Chair
Lorraine Lathen, MA, Secretary
June Martin Perry, MS

Public Health Education and Training (PHET) Subcommittee

Kristin Hill, MSHSA
Director, Great Lakes EpiCenter, Great Lakes Inter-Tribal
Council, Inc.

Jan Klawitter
Public Affairs Manager, Wisconsin State Laboratory of
Hygiene; Board Member, Wisconsin Public Health
Association

Lorraine Lathen, MA
Executive Director, Jump at the Sun Consultants, Inc.

Nancy McKenney, RDH, MS
Director, Workforce Development, Division of Public Health,
Wisconsin Department of Health Services

George C. Mejicano, MD, MS (Ex Officio)
Associate Dean, Continuing Professional Development;
Director, Office of Continuing Professional Development in
Medicine and Public Health

Douglas N. Mormann, MS, Chair
Health Officer, La Crosse County Health Department

Martin Schaller, MS
Executive Director, Northeastern Wisconsin Area Health
Education Center

Lora Taylor de Oliveira, MPH, MBA, RD
Director, Partnerships for Healthy Milwaukee, UW-
Milwaukee College of Health Sciences

Pa Vang, MUP
Program Manager, Center for Urban Community
Development, School of Continuing Education, UW-
Milwaukee

Members of the Medical Education and Research Committee (MERC)

The membership of the MERC is broadly representative of
the faculty, staff, and leadership of the UW SMPH, and also
includes representatives from the OAC. The MERC Executive
Subcommittee offers advice and comment on proposals and
policy to the full committee.

Leaders of Focus Areas of Excellence

Cynthia Czajkowski, PhD
Professor, Department of Physiology, UW SMPH
Focus Area: Emerging Opportunities in Biomedicine and
Population Health

Richard Moss, PhD
Professor and Chair, Department of Physiology, UW SMPH
Focus Area: Disease Genomics and Regenerative Medicine

Javier Nieto, MD, PhD, MPH
Professor and Chair, Department of Population Health
Sciences, UW SMPH
Focus Area: Wisconsin Population Health Research Network

Susan Skochelak, MD, MPH
Professor, Department of Family Medicine; Senior Associate
Dean for Academic Affairs, UW SMPH
Focus Area: Innovations in Medical Education

George Wilding, MD, MS
Professor, Department of Medicine; Director, UW Paul P.
Carbone Comprehensive Cancer Center, UW SMPH
Focus Area: Molecular Medicine and Bioinformatics



UW School of Medicine and Public Health

Administrators

Paul DeLuca, PhD, Chair

Professor, Department of Medical Physics; Vice Dean; Associate Dean for Research and Graduate Studies, UW SMPH

Jeffrey Grossman, MD, Vice Chair

Professor, Department of Medicine; Senior Associate Dean for Clinical Affairs, UW SMPH; President and CEO, UW Medical Foundation

Gordon Ridley

Senior Associate Dean for Administration and Finance, UW SMPH

Jeffrey Stearns, MD

Professor, Department of Family Medicine, UW SMPH; Associate Dean, Medical Education, Milwaukee Clinical Campus, UW SMPH; Director, Medical Education, Aurora Health Care

Basic Science Chairs

Norman Drinkwater, PhD

Professor, Department of Oncology, UW SMPH

Rodney Welch, PhD

Professor and Chair, Department of Medical Microbiology and Immunology, UW SMPH

Clinical Chairs

William Busse, MD

Professor and Chair, Department of Medicine, UW SMPH

Thomas Grist, MD

Professor and Chair, Department of Radiology, UW SMPH

Faculty with Population Health Experience

Cindy Haq, MD

Professor, Departments of Family Medicine and Population Health Sciences, UW SMPH

Patrick Remington, MD, MPH

Professor, Department of Population Health Sciences; Director, UW Population Health Institute; Faculty Director, MPH Program, UW SMPH

Faculty at Large

Sanjay Asthana, MD

Professor, Department of Medicine, UW SMPH

Molly Carnes, MD, MS

Professor, Department of Medicine, UW SMPH; Director, UW Center for Women's Health

Academic Staff

Mary Beth Plane, PhD

Senior Scientist, Department of Family Medicine, UW SMPH

Oversight and Advisory Committee (OAC)

Appointees

Susan L. Goelzer, MD, MS, CPE

Professor, Departments of Anesthesiology and Population Health Sciences, UW SMPH

Greg Nycz

Executive Director, Family Health Center of Marshfield, Inc.; Director, Health Policy, Marshfield Clinic

MERC Executive Subcommittee

Paul DeLuca, PhD, Chair

Jeffrey Grossman, MD, Vice Chair

William Busse, MD

Norman Drinkwater, PhD

Susan L. Goelzer, MD, MS, CPE (Ex-Officio)

Cindy Haq, MD

Patrick Remington, MD, MPH

George Wilding, MD, MS

Wisconsin Partnership Program Staff

Eileen Smith, Assistant Dean and Director

Cathy Frey, Associate Director

Christine Blakey, Administrative Assistant

Tonya Mathison, Administrative Manager

Shannon Sparks, Program Officer

Karla Thompson, Accountant

Board of Regents Liaison

Roger E. Axtell

Regent Emeritus and Liaison to the Wisconsin Partnership Program, UW System Board of Regents



Diversity Policy

The WPP is subject to and complies with the diversity and equal opportunity policies of the Board of Regents of the University of Wisconsin System and UW-Madison. The OAC and MERC developed a policy to ensure diversity within the programmatic goals and objectives of the WPP. The policy emphasizes the importance of a broad perspective and representation for the Program's goals, objectives, and processes.

The commitment to diversity is integral to the WPP's mission to serve the public health needs of Wisconsin and to reduce health disparities through initiatives in research, education, and community partnerships—thus making Wisconsin a healthier state for all. A broad perspective helps the WPP understand the most effective means to address population health issues and to improve the health of the public. The policy is available on the WPP's Web site, wphf.med.wisc.edu.

Open Meetings and Public Records Laws

The WPP conducts its operations and processes in accordance with the State of Wisconsin's Open Meetings and Public Records laws. Meetings of the OAC, the MERC, and their respective subcommittees are open to the public, in accordance with the law. Agendas, minutes, and approved documents are posted on the WPP's Web site, wphf.med.wisc.edu.



Oversight and Advisory Committee (OAC) Initiatives

The Oversight and Advisory Committee (OAC) provides public representation and direction to the Wisconsin Partnership Program (WPP) on the funding of public health initiatives.

The OAC funds three categories of initiatives:

- Community-Academic Partnership Fund (CAPF) (below).
- Public Health Education and Training Initiatives (page 9).
- Healthy Birth Outcomes Initiative (page 10).

Year in Brief

Since its inception in 2004, the OAC has awarded a total of \$26,176,138 to support 103 community-academic partnerships. Twenty-four of these funded projects concluded in 2008 (see the Appendix).

Two of the OAC's Public Health Education and Training (PHET) Initiatives awarded in 2004 also entered their final year. The Wisconsin Population Health Fellowship Program has recruited 20 fellows to date who have served 14 organizations across the state. Since its inception the Healthy Wisconsin Leadership Institute (HWLI) has delivered continuing education in public health to more than 700 government and private sector professionals. In the *2009-2014 Five-Year Plan*, the OAC committed to continue its support of the HWLI and the Fellowship Program. The committee also awarded supplemental funding to carry these two initiatives through March 2009, the end of the first *Five-Year Plan*.

There were several changes to the composition of the OAC throughout the year. Michael Fleming, MD, MPH, who had served as UW School of Medicine and Public Health (UW SMPH) appointee since 2006, stepped down from his position on the OAC in June 2008. June Martin Perry, MS, who had served as Health Advocate appointee since 2006, stepped down from her position in October 2008.

Joining the committee in 2008 was Valerie Gilchrist, MD, Professor and Chair of the Department of Family Medicine, UW SMPH. As chair of one of the largest departments of Family Medicine in the country, Dr. Gilchrist provides leadership to more than 700 faculty, residents, and staff across Wisconsin. Dr. Gilchrist is uniquely qualified to serve on the OAC with her experience as a family physician focusing on public and community health as well as her extensive experience as a leader in academic medicine.

The OAC invested significant time during 2008 in developing the *2009-2014 Five-Year Plan*. OAC members opened the year with a strategic planning session and for several months

continued in-depth discussions on the most effective means to enhance its stewardship responsibility, to strengthen established programs, and to identify collaborative opportunities with the Medical Education and Research Committee. The new *Five-Year Plan* reaffirms the OAC's commitment to the partnership model and maximizes health improvement by adding: (1) a sustainability grant category and (2) program-defined targeted funding initiatives that support the WPP's strategic goals.

The committee's first targeted funding initiative, the Healthy Birth Outcomes Initiative, gained significant momentum during the year. OAC members reviewed the commissioned white paper *Elimination of Racial and Ethnic Disparities in Birth Outcomes in Wisconsin* prepared by Richard Aronson, MD, MPH, which outlined a plan of action for the OAC. This report provided the basis for the Wisconsin Infant Mortality Summit, sponsored by the Johnson Foundation and co-sponsored by the UW SMPH, which took place in May. This summit successfully convened state and national experts to discuss infant mortality and created a coalition of partners to support an action plan for improving birth outcomes in Wisconsin.

Building upon this momentum, the OAC worked expeditiously to develop a work plan for the Healthy Birth Outcomes Initiative. Moreover, the committee pledged to commit up to \$10 million for the initiative over the next five years. OAC members Philip Farrell, MD, PhD, and Lorraine Lathen, MA, agreed to serve as co-chairs of the newly created Healthy Birth Outcomes Steering Committee, along with an additional 15 highly qualified committee members. (For more information on the Healthy Birth Outcomes Initiative, see page 10.)

Toward the end of the year, as the OAC was in the final stages of reviewing applications for the Community-Academic Partnership Fund (CAPF), the full impact of the economic crisis on the WPP's endowment became apparent. The OAC decided to approve but not immediately fund six CAPF applications. Members also began discussing budget reductions for ongoing CAPF grants. The OAC will reassess the availability of funding for the six approved 2008 applications in June 2009.

Community-Academic Partnership Fund (CAPF)

The Community-Academic Partnership Fund (CAPF) fosters partnerships between community-based organizations and UW SMPH faculty and staff, combining the strengths and skills of each partner. The premise of the program is that health issues in community settings can benefit from a collaborative approach to formulating local solutions.



Initiatives

The CAPF administers two types of grants:

- **Collaboration Development Grants** support small implementation programs, development or evaluation activities, community-needs assessment, capacity building initiatives, partnership development and pilot or feasibility projects. (Maximum grant amount of \$67,000.)
- **Collaboration Implementation Grants** fund more expansive population and public health projects that address priority health issues. (Maximum grant amount of \$475,000.)

Training and Technical Assistance

The OAC uses a standard, competitive Request for Partnerships (RfP) process. Training and technical assistance are available to ensure the greatest potential for success in developing and submitting proposals. In addition to the grant writing resources available on the WPP's Web site, WPP staff assist with capacity building. They also provide a connection between those in communities and in academic settings who share a common commitment to specific health issues.

Multi-Step Review

All CAPF grant applications undergo a uniform review, including (1) a technical review verifying eligibility and compliance with proposal requirements, (2) an external review consisting of independent and anonymous assessment and scoring by faculty and expert reviewers, and (3) a full committee review by the OAC of top-ranked proposals. As noted previously, the OAC in 2008 concluded its review of applications and decided to approve but not immediately fund six projects. Funding decisions will be made in June 2009.

Grant Monitoring

Funded partnerships are required to provide regular financial and progress updates which are reviewed by Program staff and reported to the OAC quarterly. Staff also conduct site visits of active grants.

Grant Outcomes

The 24 community-academic partnership grants that concluded in 2008 are listed below. The concluded projects are summarized on page 8, and detailed outcome reports on each project are available in the Appendix.

Implementation Grants:

- *Allied Drive Early Childhood Initiative*, Dane County Department of Human Services
- *At-Risk Adolescent Health Outreach, Prevention, and Services Collaborative Program*, Access Community Health Centers, Inc.

- *Beyond Lip Service: Integrating Oral Health into Public Health*, Division of Public Health, Wisconsin Department of Health Services
- *Breaking the Barriers to Health Care & Domestic Violence Prevention for Latino/Hispanic Immigrants*, UNIDOS Against Domestic Violence, Inc.
- *Co-op Care*, Wisconsin Federation of Cooperatives
- *First Breath: Enhancing Services to Healthcare Providers and Clients*, Wisconsin Women's Health Foundation, Inc.
- *Healthy and Active Lifestyles for Children and Youth with Disabilities: A Comprehensive Community-Based Partnership*, School District of La Crosse
- *Healthy Children, Strong Families*, Great Lakes Inter-Tribal Council Inc.
- *Milwaukee Homicide Review Commission*, Milwaukee Police Department
- *PeriData: A Rural/Urban Information Network*, Wisconsin Association for Perinatal Care
- *Safe Mom, Safe Baby: A Collaborative Model of Care for Pregnant Women Experiencing Intimate Partner Violence*, Aurora Sinai Medical Center
- *The Milwaukee Birthing Project: Improving Birth Outcomes for Mothers and Children*, Milwaukee Birthing Project

Development Grants:

- *Childhood Obesity Wellness Campaign*, Jefferson County Health Department
- *Development of a Wisconsin Public Health Laboratory Network*, Madison Department of Public Health
- *Family Teaming to Improve Health Outcomes in Youth*, Aurora Family Service
- *Fit Kids, Fit Cities*, Wisconsin Sports Development Corporation
- *Fluoridation for Healthy Communities*, Coulecap, Inc.
- *Green City, Active People*, Center for Resilient Cities
- *Health Care Task Force on Pre- and Inter-Conception Care: Optimizing Women's Health and Increasing Access to Primary and Preventive Health Services*, Aurora Women's Health Services
- *Increasing Breastfeeding Rates in Milwaukee County*, Milwaukee County Breastfeeding Coalition
- *Noj Zoo, Nyob Zoo (Eat Well, Live Well) – A Hmong Community Health Promoter Project*, Hmong American Women's Association, Inc.
- *Northern Wisconsin Child and Adolescent Psychiatry Access Project (CAPAP)*, St. Mary's Hospital
- *Planning a Multicultural Women's Education Program to Eliminate the Stigma of Depression*, Wisconsin United for Mental Health
- *Preventing Substance Abuse Among LGBTQ Youth in Wisconsin*, Diverse and Resilient, Inc.



Summary of Community-Academic Partnership Grant Awards that Concluded in 2008

Program Type		Baseline Progress in State Health Plan Objectives	
■ Implementation	12	■ Yes	6
■ Development	12	■ Not measured	18
Grant Duration		Measured in the Following Areas	
■ 12-24 months	11	■ Access to primary and preventive health services	4
■ 25-36 months	6	■ Intentional and unintentional injuries and violence	1
■ > 36 months	7	■ Tobacco use and exposure	1
Grant Expenditures		Academic Partner Role	
■ < 75%	2	■ Clinical services in community settings	1
■ 75-99%	15	■ Community-based research or evaluation	4
■ 100%	7	■ Community or social advocacy	2
Use of Funds		■ Consultation/technical assistance	13
■ Coalition development	2	■ Data collection/analysis	1
■ Data/information systems	2	■ Development of materials, curricula, survey or evaluation instruments, training manuals, clinical care tools, dissemination tools	3
■ Direct client services	1	Total Funds Awarded \$ 2,171,303	
■ Evidence-based program	8	Total Matching Funds \$ 2,194,000	
■ Health education	1	Additional Funding Leveraged \$ 5,020,000	
■ Implementation of national program model	1	Dissemination	
■ Needs assessment/plan	4	■ Abstracts/poster sessions	4
■ New partnership alliance	1	■ Publications/presentations to policy makers, media, or public	16
■ Pilot program	4	■ Scholarly presentations	7
■ Public advocacy and policy	1	■ Scholarly publications	4
■ Workforce training	1	■ Training materials	1
Results/Outcomes		Sustained Project	
■ Adoption of evidence-based practices	3	■ Yes	17
■ Community action plan	1	■ No, seeking funding	7
■ Curriculum and training materials	2		
■ Implementation plan	2		
■ New interventions implemented	9		
■ Organization formed	1		
■ Policies enacted and implemented	3		
■ Quality improvement program	2		
■ Research/data report	2		



Public Health Education and Training Initiatives

The Public Health Education and Training (PHET) Subcommittee offers advice and recommendations to the OAC in supporting education and training opportunities for Wisconsin's public health professionals and the broad public health workforce to ensure a sufficient and competent workforce. The subcommittee works closely with the Wisconsin Public Health Association, the Wisconsin Department of Health Services, and other public health education programs.

The PHET Subcommittee continues to be guided by four goals: (1) seek engagement from the broad public health workforce, (2) collaborate with the UW SMPH Office of Continuing Professional Development in Medicine and Public Health, the Medical College of Wisconsin, and other educational institutions, (3) develop programs in collaboration with community partners, and (4) review proposals and make recommendations as needed.

Initiatives and Outcomes

Three training programs are currently under way: the Wisconsin Population Health Fellowship Program, the Healthy Wisconsin Leadership Institute (HWLI), and Continuing Public Health Education. The Fellowship Program and HWLI, originally awarded in 2004, were both awarded supplemental funding in June 2008 for support through the end of the *2004-2009 Five-Year Plan*. The Fellowship Program received \$445,156 for the period July 1, 2008, to March 31, 2009. HWLI received \$118,546 for the period October 1, 2008, to March 31, 2009.

Wisconsin Population Health Fellowship Program

The Wisconsin Population Health Fellowship Program is an intensive two-year service-learning program for MS, MPH, or PhD graduates in public health or allied sciences. Its goal is to develop the next generation of public health practitioners who are skilled in planning, implementing, and evaluating public health programs. The third cohort of fellows graduated in 2008, and the program continues to facilitate retention of recent graduates within the Wisconsin public health workforce.

The Fellowship Program has the following outcomes:

- To date, the program has enrolled 20 fellows, and four of the 11 who completed the program have been employed in Wisconsin.
- Fellows in the program are intensively working with community organizations and contributing to public health in numerous ways. For example, fellows are engaged in projects aimed at:
 - Improvements in perinatal Hepatitis B vaccination and follow-up.
 - Analysis of public financing for public health.
 - Reducing STDs and teen pregnancy among African American youth.

- Quality improvement plans for local health departments.
- Nutrition and physical fitness.

Healthy Wisconsin Leadership Institute (HWLI)

The HWLI is an education and training resource supported by the UW SMPH and the Medical College of Wisconsin. Program components include the following:

Community Teams – Annually teams from around the state receive public health and collaborative leadership training during this one-year program as they mobilize their communities to address local health issues. The seven teams in the 2008 cohort are working on a range of issues including physical activity and nutrition, underage drinking, improving birth outcomes, and increasing access to mental health care.

Health Policy and Lifelong Learning and Mentoring – HWLI made the decision during 2008 to merge the Health Policy and the Lifelong Learning and Mentoring programs. Programming in 2008 included sessions on conflict management and collaborative leadership training.

The HWLI has the following outcomes:

- To date, there have been more than 700 participants in HWLI programs focused on improvements in public health practice.
- The second cohort completed the Community Teams program in 2008 and the 35 participants continue to work on their community health priorities. The third cohort is on track to complete the program in 2009.
- Distance modules in community health improvement, social marketing, and grant writing basics are helping to meet the needs of the broader public health workforce.

Continuing Public Health Education

As part of the UW SMPH, the Office of Continuing Professional Development in Medicine and Public Health (OCPD) focuses on education of the public health workforce.

A number of OCPD outreach efforts are ongoing:

- Collaborating with the Wisconsin Department of Health Services to compile a public health education inventory.
- Developing the learning concierge/educational counselor plan to facilitate professional development of the public health workforce.
- Providing logistical, technical, and educational support for continuing public health learning activities offered by HWLI.

Among 2008 outcomes, the OCPD:

- Conducted usability testing for TRAIN, a web-based learning management tool for public health professionals.
- Completed a scenario-based learner assessment plan in conjunction with the National Public Health Foundation



Healthy Birth Outcomes Initiative

In 2008, the OAC committed up to \$10 million over a five-year period to launch a long-term initiative to reduce infant deaths and birth outcome disparities for Wisconsin's African American women. This effort, called the Healthy Birth Outcomes Initiative, is the WPP's largest initiative since the Program's inception.

Data from the past several decades reveals that, relative to other states, Wisconsin's ranking based on African American infant mortality has fallen from among the best rates in the country to the worst. Earlier this decade, an African American baby born in Beloit, Kenosha, Milwaukee, or Racine had worse odds for survival than a baby born in Sri Lanka or Central America.

The initiative's goals include: (1) improving conditions that support healthy birth outcomes for African American women and (2) decreasing racial and ethnic health disparities in birth outcomes. To ensure broad-based support and implementation, the initiative is a joint project of UW SMPH faculty, other academic and community partners, and health experts at the state, county, and city levels.

In May, the OAC hosted the Wisconsin Infant Mortality Summit. Participants, who represented a broad range of public health expertise, created a framework for a strategic action plan and identified seven key priorities to help ensure success. As one of the first steps in implementing the plan, the WPP has become a key player in widespread public education and awareness efforts, which continue in 2009 and beyond.

The OAC also formed a 15-member Healthy Birth Outcomes Steering Committee chaired by Philip Farrell, MD, PhD, Professor of Pediatrics and Population Health Sciences, and

Lorraine Lathen, MA, Executive Director of Jump at the Sun Consultants, Inc. The Steering Committee consists of experts in maternal and child health related fields, experts in the health care provider and payer communities, and leaders in the targeted communities. Drawing on the combined expertise of the members and collaborating partners, the Steering Committee provides leadership and acts as a catalyst to generate public awareness and financial support for the initiative.

Through a request for proposal process, the Steering Committee plans to release funds for targeted communities in southeastern Wisconsin to define the scope of their problem, create broad links with community stakeholders, and design comprehensive community-wide plans. A key strategy is to maximize cooperation and coordination of efforts among diverse agencies and stakeholders.

Communities can receive implementation funds for an array of projects. Extending beyond traditional health promotion and disease prevention, these projects will emphasize improved access to high-quality health care, educational programs, and outreach interventions.

In addition, the Steering Committee has established a strong collaborative relationship with the Wisconsin Department of Health Services. By aligning the initiative with broader statewide efforts—and by taking to scale successful but largely under-funded services to improve the health of African American women—the WPP is seeking a significant reduction in preventable infant deaths within five to ten years.

The WPP will continue to provide long-term support for this initiative as a means of both addressing Wisconsin's health disparities and improving survival for the state's African American newborns.



Healthy Birth Outcomes Steering Committee

Left to right: Top row: Philip Farrell, Lorraine Lathen, Murray Katcher, Georgia Cameron, Ron Cisler
Bottom row: Tito L. Izard, Katherine Marks, Betty Stinson, Gwendolyn M. Perry-Brye
Members not photographed: C.C. Henderson, Sheri Johnson, Marilyn Kilgore, Tina Mason, Stephen C. Ragatz, Laurel Rice, Bill Solberg



Medical Education and Research Committee (MERC) Initiatives

The Medical Education and Research Committee (MERC) allocates funds to faculty for innovative education and research initiatives directed toward health promotion, disease prevention, and the diagnosis and treatment of disease. The MERC is committed to supporting a balanced portfolio of basic, clinical, translational, and applied public health research and education initiatives. Underlying the committee's work is the resolve to advance the transformation to a fully integrated School of Medicine and Public Health.

The MERC allocates two-thirds of the available funding to the following:

- Targeted Programs, which are a core focus of the MERC.
- Competitive Programs—which include the New Investigator Program and the Collaborative Health Sciences Program—awarded through a Request for Proposals process.

The remaining one-third of the funding is allocated by the Dean of the UW School of Medicine and Public Health (UW SMPH) to Targeted Strategic Programs responsive to emerging opportunities requiring immediate or short-term action.

The MERC and the Dean of the UW SMPH ensure that awards are in alignment with the overall mission, vision, and guiding principles of the Wisconsin Partnership Program (WPP) and are directed toward advancing population health.

Year in Brief

The MERC had an active year making awards, developing the *2009-2014 Five-Year Plan*, contributing to the evaluation of the WPP, and reorganizing the committee. There were many occasions for both discussion of future plans and assessment of progress and direction going forward. Because of the unexpected economic downturn, the MERC was also faced with planning for a decline in the value of the Program's endowment.

MERC awards were made early in 2008. So even though the economic outlook worsened toward the end of the year, the MERC was able to award 13 new grants to fund innovative research and education topics. Supplemental funding was also awarded to *Making Wisconsin the Healthiest State* for support through the end of the *2004-2009 Five-Year Plan*. Since its inception in 2004, the committee has allocated more than \$43 million and made a total of 77 awards aimed at benefiting the people of Wisconsin.

The 2008 awards, which included MERC's Targeted and Competitive Programs, ranged widely from reducing infant

mortality disparities in Wisconsin to creating disease-specific stem cell lines. In making these awards the MERC was intent on supporting a balanced portfolio of research and education initiatives that will impact individual and population health. Additionally, 10 grants successfully concluded in 2008 and are summarized on page 16. Many of these concluded grants received external funding to sustain the research and/or produced outcomes that were published in peer-reviewed journals.

The committee also spent considerable time and effort on the development of the new *Five-Year Plan*. After a productive strategic planning session in late 2007, the MERC began 2008 with the formation of three subcommittees focused respectively on research, education, and community engagement. The subcommittees ensured a thorough deliberation of ideas leading to specific recommendations for the plan.

The Community Engagement Subcommittee was of particular significance to the MERC. It emphasized the importance of partnerships and collaborations between the School and communities, as well as the critical role of community engagement in the transformation. The presence of Oversight and Advisory Committee (OAC) members on this subcommittee highlighted the objective of OAC/MERC collaborations as described in the new *Five-Year Plan*.

Simultaneously with the development of the *Five-Year Plan*, the MERC worked with the Evaluation Implementation Subcommittee to assess progress in the WPP's mission of improving the health of the people of the state. This activity, along with gathering feedback from key stakeholders, was helpful in developing the new *Five-Year Plan* and in discussing future priorities and long-term efforts to gauge the WPP's impact on improving health.

Assessment of the committee's structure, composition, and operations to determine its effectiveness and efficiency and to ensure maximum participation was also a high priority. The committee recommended decreasing its size from 20 to 13 members and designating an external member with expertise in public and community health. This reorganization was endorsed by the Dean of the UW SMPH with the expectation that a new committee would be appointed in early 2009.

As the year drew to a close, the impact of the declining value of the WPP's endowment was a central focus of the committee. With the aid of financial projections, the MERC opted to reduce existing grants and to give careful attention to ensuring resources for the reapplications of the core targeted grants scheduled for review during 2009. Emphasis was placed equally on honoring existing obligations to current grantees and on ensuring funding for the implementation of the *2009-2014 Five-Year Plan*, although at a reduced level than originally anticipated.



Categories of MERC Allocations

Targeted Programs – Targeted Programs (page 13) are typically multi-year projects designed to develop new approaches to health and health care issues. Decisions regarding allocation of grants are guided by the committee’s goals and objectives outlined in the *2004-2009 Five-Year Plan* and focus on the following five areas: (1) Innovations in Medical Education, (2) the Wisconsin Population Health Research and Clinical Trials Network, (3) Disease Genomics and Regenerative Medicine, (4) Molecular Medicine and Bioinformatics, and (5) Emerging Opportunities in Biomedicine and Population Health.

Competitive Programs – This category encompasses two types of competitive awards (page 14).

- **The New Investigator Program** is available to UW SMPH Assistant Professors. Emphasis is on education or research projects spanning the spectrum of basic, clinical, translational, or population health science and supporting innovative approaches leading to improvements in health. In 2008 funding was awarded to four initiatives from the 25 proposals submitted. (Maximum grant amount of \$90,000.)
- **The Collaborative Health Sciences Program** is available to UW SMPH Professors and Associate Professors, and Senior or Distinguished Scientists. Collaboration across the traditional boundaries of basic science, clinical science, social science, and/or population health science is required. The collaborations may be within the UW SMPH; or they may be with other UW-Madison schools or colleges, UW System campuses, the Medical College of Wisconsin, state agencies, or community organizations. In 2008 the MERC invited 21 full proposals from among 48 submitted preliminary proposals, and it awarded funding to five initiatives. (Maximum grant amount of \$500,000.)

Award Type (2004-2008)	# of Grants	\$ Amount	% of Total
Research			82%
Applied Population Health Research	20	\$10,983,295	25%
Clinical & Translational Research	20	\$16,023,734	37%
Basic Science Research	26	\$ 8,792,372	20%
Education			18%
Medical Education	5	\$ 4,583,510	11%
MPH Program	1	\$ 2,682,977	6%
Continuing Professional Education	5	\$ 569,357	1%
Total	77	\$43,635,245	100%

Table 1: MERC Awards by Type, 2004-2008. This breakdown of the award categories—by research and education—pertains to all MERC grants since 2004. The table demonstrates that significant funding is applied toward research and education projects that bring discovery and the transfer of knowledge to patient care and into communities.

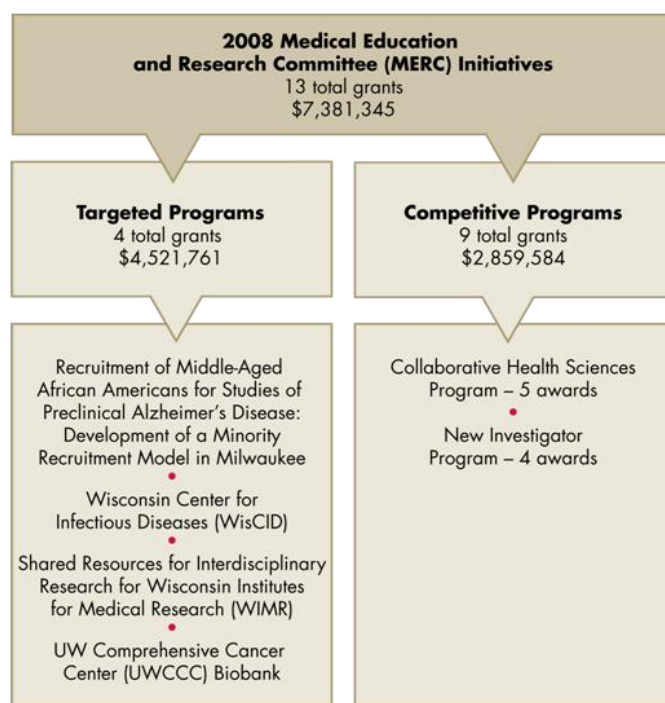


Figure 2: MERC Funding Categories and Awards for 2008



Multi-Step Review

All MERC grant applications undergo a rigorous review, including (1) a technical review verifying eligibility and compliance with proposal requirements, (2) an external review consisting of independent and anonymous assessment and scoring by faculty and expert reviewers, and (3) a full committee review of top-ranked proposals.

Grant Monitoring

For those proposals receiving funding, grant monitoring begins with financial and progress reports. The reports are reviewed by the MERC and feedback, if necessary, is provided. In addition, the recipients of awards over \$500,000 are required to make an annual presentation to the MERC highlighting their achievements and progress towards realizing goals. Detailed final reports are submitted at the completion of the project and discussed with MERC.

Targeted Program Awards in 2008

Wisconsin Center for Infectious Diseases (WisCID)

Bruce Klein, MD, Professor, Pediatrics, Internal Medicine, and Medical Microbiology and Immunology
Award: \$1,511,306 over four years

Despite advances made in reducing infectious diseases over the past hundred years, the overuse of antibiotics has driven the evolution of microbes that are resistant to the major antibiotics. The WPP funding will create a Wisconsin Center for Infectious Diseases (WisCID) that will investigate microbiological areas of public health importance and will then translate the research discoveries into preventive measures and novel therapies. The center will be designed to integrate the work of physicians and scientists to more easily apply the tools of microbiology, immunology, and public health when combating infectious and inflammatory disease. WisCID will link its efforts to those of state health professionals and agencies, including the Wisconsin Department of Health Services and the State Laboratory of Hygiene.

Recruitment of Middle-Aged African Americans for Studies of Preclinical Alzheimer's Disease: Development of a Minority Recruitment Model in Milwaukee

Mark A. Sager, MD, Professor, Department of Medicine
Award: \$90,000 over one year

This project will design and test interventions to delay or prevent the onset of Alzheimer's disease in at-risk populations. Funding provided by the MERC and its collaborative partners, the Center for Urban Population Health and the UW Institute for Clinical and Translational Research (ICTR), matches a sig-

nificant contribution by the Helen Bader Foundation. The aim of the project is to expand the Wisconsin Registry for Alzheimer's Prevention (WRAP) recruitment and baseline testing to include adult children of African Americans with Alzheimer's disease living in Milwaukee County. WRAP is designed to identify neuropsychological, genetic, and lifestyle markers of incipient Alzheimer's disease in asymptomatic adult children of parents with Alzheimer's disease.

UW Comprehensive Cancer Center (UWCCC) Biobank

Catherine Leith, MB, BChir, Associate Professor, Department of Pathology and Laboratory Medicine; Director UW CCC Biobank
Award: \$450,108 over two years

The goal of this project is to establish a global Biobank for the UW SMPH. This will begin with developing a centralized location for collection and storage of human tissues and other human biological material. The UWCCC Biobank will be used as a platform for an expansion that will incorporate samples from non-cancer related programs, such as the Survey of the Health of Wisconsin (SHOW) and the Wisconsin Network for Health Research (WiNHR). Instituting a single Biobank instead of multiple banks provides advantages in terms of specimen quality and accessibility, regulatory issues, and cost. In addition, access to high-quality tissue, blood, and other human biological material is essential to a wide variety of research—from cancer studies to population health.

Shared Resources for Interdisciplinary Research for Wisconsin Institutes for Medical Research (WIMR)

Robert N. Golden, MD, Robert Turell Professor in Medical Leadership; Dean of UW School of Medicine and Public Health; Vice Chancellor for Medical Affairs, UW-Madison
Award: \$2,470,347 over two years

WIMR will be the interdisciplinary research platform for the future, giving the UW SMPH the opportunity to implement research from basic discoveries to clinical and population health applications. The MERC's funding supports the first phase of WIMR by providing molecular biology resources and equipment to be shared by investigators, along with ancillary equipment necessary to operate the vivarium. These shared resources and services will help to implement the full capability of interdisciplinary research within WIMR, which is critical to the School's transformation to an integrated school of medicine and public health.



Competitive Program Awards in 2008

New Investigator Program

Evaluation of *Cuidádomo*: A Communitywide Intervention to Promote Breast and Cervical Cancer Screening among Latinas

Ana P. Martinez-Donate, PhD, Department of Population Health Sciences

Award: \$90,000 over two years

The Principal Investigator will study the effectiveness of *Cuidádomo*, a community program that promotes breast and cervical cancer (BCC) screening among Latinas in Dane County. *Cuidádomo* combines small-group education, a media campaign, and cultural-competency training for health care providers. This study will also estimate BCC screening rates among Latinas in Dane County and identify factors that contribute to Latinas' underuse of BCC preventive services. Results will shape future programs, with the goal of reducing BCC cases and deaths in this underserved population.

Genetic and Environmental Predictors of Serum Levels of 25-hydroxyvitamin D

Corinne D. Engelman, MSPH, PhD, Assistant Professor, Department of Population Health Sciences

Award: \$90,000 over two years

The Principal Investigator will use data from 300 people enrolled as part of the Survey of the Health of Wisconsin (SHOW)—which is also funded by the WPP—to check vitamin D levels of people of different skin colors and from different environments. Vitamin D is critical for health, and low levels in the blood are associated with bone disease, cancer, autoimmune diseases, infectious diseases, and type 2 diabetes. Sunlight absorbed through the skin is an important source of vitamin D, yet there is little data on how skin color and genetics affect levels of vitamin D in the blood.

Computed Tomography (CT) with Reduced Radiation Dose Using Prior Image Constrained Compressed Sensing (PICCS) Reconstruction

Christopher J. Francois, MD, Assistant Professor, Department of Radiology

Award: \$90,000 over two years

The Principal Investigator will test a technique invented at UW SMPH that could reduce the radiation dose needed for computed tomography (CT) by 90% or more. While CT scans have revolutionized the practice of medicine in the past 40 years, there is growing concern over patients' radiation exposure from these examinations. Since more than 60 million CT scans are performed every year in the United States, the technique could improve health care for many people, especially coronary patients undergoing angiography as well as pediatric patients.

Positron Emission Tomography Imaging of Tumor Angiogenesis

Weibo Cai, PhD, Assistant Professor, Department of Radiology

Award: \$90,000 over two years

The Principal Investigator aims to create new positron emission tomography (PET) scan markers that will allow radiologists to create personalized therapy to attack tumors. The intention is to create molecular imaging agents that will target a protein important for cancer progression. The new method will help identify patients who can benefit from a particular type of therapy, as well as guide the administration of the right drug at the right time. PET scans will show doctors whether the therapy is effective. This "personalized medicine" approach will also have applications for diseases or events such as heart attack and stroke.

Collaborative Health Sciences Program

Wisconsin Children's Lead Levels and Educational Outcomes

Marty Kanarek PhD, MPH, Professor, Department of Population Health Sciences

Award: \$500,000 over three years

Childhood lead poisoning is a key concern: it is estimated that elevations in blood lead for children in Wisconsin are more than twice the national average. The levels commonly seen in Wisconsin are not widely associated with serious health problems, but they may be linked to cognitive and behavioral problems. This study will examine the relation between early childhood lead poisoning and achievement in elementary school. Data from the Wisconsin Childhood Lead Poisoning Prevention Program will be linked to children's scores on the Wisconsin Knowledge and Concepts Examination. This cooperative study, developed by the UW SMPH Department of Population Health Sciences, the Wisconsin Department of Health Services, and the Wisconsin Department of Public Instruction, will serve as the foundation for studies examining the role of environmental exposures on childhood development and well-being.

Reducing Infant Mortality Disparities in Wisconsin

Gloria Sarto, MD, PhD, Professor Emeritus, Department of Obstetrics and Gynecology

Award: \$500,000 over three years

A new alliance, the Infant Mortality Collaborative (IMC), will investigate the factors in improved birth outcomes over the past several years within Dane County's African American community. In the second stage, the partners will direct the lessons learned toward improving birth outcomes in the African American community in Racine and other areas of Wisconsin that have inordinately high infant mortality rates. The IMC will engage partners within the local African American



communities. By bringing together the diverse strengths of community, government, and academic partners, the IMC aims to reduce infant mortality in Wisconsin. This program is a collaborative effort of UW SMPH faculty and those from the School of Social Work, the LaFollette School of Public Affairs, the Wisconsin Department of Health Services, the Department of Public Health for Madison and Dane County, and the City of Racine Health Department.

Menominee Smoking Cessation Clinical Trial

Stevens Smith, PhD, Associate Professor, Department of Medicine

Award: \$499,591 over three years

American Indians smoke at a much higher rate—32% nationally and 39% in Wisconsin—compared with the overall population rate of 20%. Smoking is the leading preventable cause of illness and death, but there is very little research into cessation programs for American Indians, who suffer higher rates of smoking-related illnesses. Dr. Stevens Smith and collaborators at the Menominee Indian Tribe of Wisconsin, UW-Milwaukee, and the UW Paul P. Carbone Comprehensive Cancer Center will test standard treatment versus a new smoking cessation treatment tailored for American Indians. This new study will recruit 150 smokers and will offer free smoking cessation medication as well as cessation counseling (either the standard treatment or the enhanced treatment that is tailored to be culturally appropriate). The goal is to learn how best to help Indian people quit smoking, in order to reduce smoking-related illness.

Closing the Gap on Pediatric Health Disparities: Discerning the Causes and Consequences of Iron Deficiency in Infancy

Pamela Kling, MD, Associate Professor, Department of Pediatrics

Award: \$500,000 over three years

Approximately 5,000 Wisconsin infants become iron-deficient annually. Although treatment is straightforward, there may be permanent health issues—a defect in brain development, or greater long-term risk for high blood pressure or heart disease. Hypothesizing that iron deficiency predisposes a child to genetic changes, the researchers will examine whether this deficiency can be predicted by risk factors during pregnancy or tests of iron status at birth. This partnership team brings together clinical and basic researchers and joins an existing screening program run by the Wisconsin Department of Health Services Maternal and Child Health Program. Newborn screening for iron status could be a cost-effective and minimally invasive public health strategy that prevents iron deficiency and improves both cognitive and health outcomes.

Patient-Specific Induced Pluripotent Stem Cell Models for Human Disease

Timothy Kamp, MD, PhD, Professor, Department of Medicine

Award: \$499,993 over three years

Co-principal investigators Kamp and James Thomson, PhD, and a team of co-investigators will create patient- and disease-specific induced pluripotent stem (iPS) cell lines. The iPS cells are similar to embryonic stem cells in their ability to differentiate into essentially any cell type in the body, but iPS cells can be generated from fibroblasts from a simple skin biopsy. Researchers will obtain skin biopsies from patients with a wide range of genetic diseases—from sickle cell anemia to inherited heart arrhythmias. The iPS cells harboring a specific genetic defect will then be differentiated into the cell types of interest and provide a model for human disease. These models can then be studied to advance understanding of the disease and potentially to develop new treatments.

Grant Outcomes

Of the 77 MERC grants that have been awarded since 2004, ten concluded in 2008 and are listed below. The concluded projects are summarized on page 16 and detailed outcome reports on each project are available in the Appendix.

Targeted Program:

- *Wisconsin Academy for Rural Medicine (WARM)*, Byron Crouse, Department of Family Medicine, UW SMPH

New Investigator Program:

- *Androgen Receptor as an Immunological Target for the Treatment of Prostate Cancer*, Douglas McNeel, Department of Medicine, UW SMPH
- *Cellular and Viral Determinants of Human Cytomegalovirus Lytic and Latent Replication Cycles*, Robert F. Kalejta, Department of Oncology, UW SMPH
- *Creation of a Bovine Cryptosporidium Vaccine to Reduce Outbreaks in Human Populations*, Laura J. Knoll, Department of Medical Microbiology and Immunology, UW SMPH
- *Does Treatment of Hypovitaminosis D Increase Calcium Absorption*, Karen E. Hansen, Department of Medicine, UW SMPH
- *Epidemiology of Antibiotic Resistance in Wisconsin Nursing Homes*, Christopher J. Crnich, Department of Medicine, UW SMPH
- *GLI2 Protein Stabilization in the Activation of Hedgehog Signaling Pathway in Prostate Cancer*, Vladimir Spiegelman, Department of Dermatology, UW SMPH
- *Molecular Mechanisms of Lung Organogenesis, Tumorigenesis, and Asthma*, Xin Sun, Department of Medical Genetics, UW SMPH
- *Novel Exploratory Approaches to Elucidating the Role of GRAIL in CD25+ T Regulatory Cell Biological Function*, Christine Seroogy, Department of Pediatrics, UW SMPH
- *Role of Ikaros in Cellular Proliferation*, Sinisa Dovati, Department of Pediatrics, UW SMPH



Summary of Medical Education and Research Grant Awards that Concluded in 2008

Program Type

■ New Investigator Program	9
■ Targeted Program	1

Investigator UW SMPH Department

■ Dermatology	1
■ Family Medicine	1
■ Medical Genetics	1
■ Medical Microbiology and Immunology ..	1
■ Medicine	3
■ Oncology	1
■ Pediatrics	2

Grant Duration

■ 12-24 months	7
■ 25-36 months	3

Grant Expenditures

■ 75-99%	2
■ 100%	8

Research Approach (Taxonomy)

■ Basic research	6
■ Type 1 translational research	2
■ Clinical research	1
■ Education	1

Timeline for Impact

■ 3-5 years	2
■ 5-7 years	6
■ Unknown	2

Topics

■ Cancer	3
■ Genetics	2
■ Infectious diseases	3
■ Medical education	1
■ Vitamin D	1

Outcomes

■ Advanced knowledge in the field	6
■ New discovery or innovative approach	4

Partnerships or Collaborations

■ UW SMPH	8
■ UW-Madison	8
■ Wisconsin	3
■ Regional	4
■ National	4
■ International	2

Dissemination Methods

■ Abstracts	5
■ Journal publications	10
■ Manuscripts submitted	9
■ Patent or license pending	4
■ Scholarly presentations	12

Journal Publications

■ <i>Cancer Research</i>	1
■ <i>Clinical and Experimental Immunology</i> .	1
■ <i>Developmental Dynamics</i>	1
■ <i>Journal of Allergy and Clinical Immunology</i>	1
■ <i>Journal of Biological Chemistry</i>	2
■ <i>Journal of Bone and Mineral Research</i> ..	1
■ <i>Journal of Virology</i>	1
■ <i>Nature Clinical Practice Rheumatology</i> .	1
■ <i>Prostate</i>	1

Total Funds Awarded **\$ 1,069,480**

Total Matching Funds **\$ 375,000**

Additional Funding Leveraged **\$ 3,212,000**

■ American Academy of Allergy Asthma and Immunology	1
■ American Heart Association	1
■ Department of Defense Prostate Cancer Research Program	1
■ National Institutes of Health	1
■ Private Foundation	1
■ UW-Madison Registrar's Office	1

Evaluation

In 2008 the Wisconsin Partnership Program (WPP) concluded an evaluation of progress toward achieving the goals of the *2004-2009 Five-Year Plan*. The final report, entitled *Measuring our Progress, The Wisconsin Partnership Program Evaluation 2004-2009*, is available on the WPP Website, wphf.med.wisc.edu.

The evaluation assessed progress related to strategic focus areas and provided guidance for future planning, which included the following activities:

- An assessment of major program strategies and whether key benchmarks were met.
- A descriptive and financial analysis of grants and funding decisions.
- Attitudes and perceptions of the WPP’s performance and priorities from UW School of Medicine and Public Health (UW SMPH) faculty and staff, as well as from external groups (e.g., providers, students, policymakers, health leaders, and community grantees).
- A qualitative review of Program documents and individual grant project files
- An assessment of the partnership model.
- Attitudes and perceptions of community grantees and their faculty or academic partners.
- Financial and operations review.
- Baseline assessment of grantee progress towards program objectives.
- Summary assessment and reporting of concluding grant results.

A major strategy for this evaluation was to gather information on the perceptions, opinions, and attitudes of our key audiences within the UW SMPH, the University of Wisconsin, and other external groups. The extensive stakeholder input—through intensive stakeholder interviews as well as responses to a public comment questionnaire—reflects our commitment to be responsive to the people of Wisconsin, to be better informed, and to help us establish meaningful partnerships crucial to our success.

Both stakeholders and survey respondents agreed that the WPP should prioritize funding towards public health and prevention. The three primary approaches for funded projects include community-based strategies, research activities and educating the current and future workforce. Among the highest ranked topic areas noted by respondents were obesity, alcohol/substance abuse, mental health, tobacco use, access to health care, and socioeconomic factors.

Overall, the WPP is beginning to observe positive trends in completed grants. Regarding the leveraging of additional funds, for example, the concluded awards have leveraged over \$27 million from external funding sources, which is a three-fold increase from an original investment of \$9 million. In addition, 72% of the funded community grants reported that their work was sustained one year after completion of the WPP-funded project.

Over the next five years, the WPP will increase its emphasis on measurable improvements in program-related health outcomes—which will further enhance progress towards Program objectives.

Table 2: Summary of Major Recommendations

The Joint Oversight and Advisory Committee (OAC) and Medical Education and Research Committee (MERC) Evaluation Subcommittee identified eleven central recommendations.

WPP Role in the School of Medicine and Public Health Transformation	The <i>Five-Year Plan</i> should describe WPP’s role in accelerating and advancing the School’s transformation through educational initiatives, faculty engagement and development, institutional incentives, research, and community engagement activities. The plan should describe strategies to help the public understand how the transformation will address the state’s evolving health and health care needs.
Faculty Development	The <i>Five-Year Plan</i> should dedicate resources for the development of existing faculty and recruitment of new senior faculty and leaders with public health expertise to support an integrated approach across the School’s basic and clinical departments and Centers.
Funding Strategies	The <i>Five-Year Plan</i> should incorporate the following funding approaches: <ul style="list-style-type: none"> ■ Develop a review process for current initiatives to determine which projects should be renewed for continuation funding. ■ Develop criteria for judging future initiatives that place greater emphasis on those that improve the health of the population, address the prevention of disease, and develop collaborative approaches to health and health care. ■ Identify a set of high funding priorities that align closely with the Dean’s strategic transformation goals and public health priorities of the state.

Table 2: Summary of Major Recommendations (Continued)

Community Engagement	The <i>Five-Year Plan</i> should emphasize community engagement throughout the WPP to strengthen the School’s capacity and expertise in public health and support the transformation.
Faculty Engagement and Development	The <i>Five-Year Plan</i> should identify approaches to engage the full spectrum of faculty, including basic science departments, in areas of public and population health. The plan should identify faculty incentives to promote community engagement.
Education	The <i>Five-Year Plan</i> should allocate resources for expanding the distance education component of the MPH program. The plan should also identify strategies to encourage and support medical student and other trainees, including graduate and allied health students, to pursue degrees in public health.
State Health Plan	The <i>Five-Year Plan</i> should identify strategies to help grantees understand the purpose, goals, and objectives of the <i>State’s Health Plan</i> (2010 or 2020) to address the priorities of the state.
Communication	The <i>Five-Year Plan</i> should clearly describe funding priorities along with specific grant program goals, with measurable outcomes and strategies that align with the WPP mission, vision, and guiding principles. As the School’s transformation proceeds, the WPP and the School should clarify its vision of a fully integrated SMPH as a national model.
Balanced Research and Education Portfolio	<p>The WPP should develop a conceptual framework for award allocation that emphasizes the improvement of overall health and the reduction of health disparities. The framework should measure the desired impact, direction, and balance of future MERC awards by:</p> <ul style="list-style-type: none"> ■ Identifying critical areas of concentration ■ Seeking to align with the state’s critical public health concerns ■ Committing to a routine strategic assessment of optimal allocation ■ Defining and applying short- and long-term metrics of success
Community Academic Partnership Fund	<p>To ensure the success of future partnerships, the OAC should:</p> <ol style="list-style-type: none"> 1. Encourage the diversity of expertise coming from a broad range of academic partners and work toward better matching of partner needs 2. Support networks to engage and offer appropriate incentives to academic partners 3. Formalize partnership development as an expectation of grant planning activities as an appropriate outcome of development grants 4. Develop support services and build partnership capacity to: <ul style="list-style-type: none"> ■ Include stronger evaluation components ■ Communicate partnership successes and raise Program visibility ■ Convey WPP grant management processes and expectations
Governance and Stewardship	WPP should exercise due diligence in complying with the recommendations and findings of the operations and financial review where appropriate.



Planning for the Future: 2009-2014 Five-Year Plan

For the past five years, the Wisconsin Partnership Program (WPP) has been dedicated to improving the health of Wisconsin residents through investments in research, education, and community partnerships that have spanned the state.

Having been guided by the initial *Five-Year Plan*, the WPP created a new plan in 2008 to chart our future course. The *2009-2014 Five-Year Plan* provides the direction, priorities, and categories of investments for our next phase of growth. Our goal is to build upon our most successful efforts and strategically focus investments in areas that will result in the greatest improvements in health and the reduction of health disparities.

To be responsive to the highest priority needs and to achieve our health improvement goals, the WPP developed an inclusive, multifaceted approach for wide-ranging stakeholder input when developing this new plan. Guiding the entire process was our role in the transformation of the UW School of Medicine and Public Health and valuable input from our two governing committees, the Oversight and Advisory Committee (OAC) and the Medical Education and Research Committee (MERC).

The *2009-2014 Five-Year Plan* reflects extensive stakeholder input and a continuing commitment to many of the core programs and directions established in the first five years. Additionally, several new programs and emphases have been included, such as:

- The OAC's Targeted Funding Initiatives and Collaboration Sustainability Grants.
- The MERC's new targeted competitive program and commitment to community engagement.
- Collaboration of the OAC and MERC.

These programs and areas of emphasis provide a clear direction for both committees over the next five years and underscore the significance of community engagement and collaborations. We look forward to meeting our newly established goals as we move forward with the WPP's future endeavors.

Financial Overview

Introduction

Funding for the Wisconsin Partnership Program (WPP) was provided pursuant to the *Agreement Between the Wisconsin United for Health Foundation, Inc. (WUHF), the University of Wisconsin Foundation, and the University of Wisconsin System Board of Regents* (the *Agreement*) dated March 25, 2004. Since that time a total of \$311,827,742 has been provided to fund the program. Of this amount \$30,000,000 was provided without spending restrictions and \$281,827,742 was provided as a permanently restricted endowment. Following four years of positive investment returns, investment declines during 2008 have reduced the value of the permanent endowment to \$260,777,417, which is below the original value of the endowment. As a result of this precipitous drop in the endowment and to ensure prudent stewardship, the WPP will not draw new revenues from the endowment to fund grants until the value is above the original investment. Consequently, the WPP reduced existing awards and curtailed new awards until additional income becomes available. Funds already withdrawn from the endowment remain available to fund these awards.

As prescribed in the *Agreement*, all Program revenues have been accounted for in segregated accounts at the UW Foundation and all Program expenditures have been accounted for in separate accounts within the UW School of Medicine and Public Health (UW SMPH). The *Agreement* also prescribed that the \$30,000,000 provided without spending restrictions needed to be expended within five years of the *Agreement* or any remaining funds be transferred to the permanently restricted endowment. As of December 31, 2008, all of these funds had been expended.

Administrative Budget

Administrative expenses were \$882,237 for the period of January 1, 2008 through December 31, 2008 compared to a 2008 budget of \$928,450. The UW SMPH also provides in-kind support for administrative expenses from the Offices of the Dean and Vice Dean, Fiscal Affairs, Human Resources, Legal Services, and Public Affairs. The administrative budget is approved annually by the Oversight and Advisory Committee (OAC) and the Medical Education and Research Committee (MERC). Allocation of costs in the Income Statement on page 22 is based on a 35%/65% split. Detail expenditures for the period are as follows:

Administrative Expenditures December 31, 2008	
Total Salaries	\$448,422
Total Fringe Benefits	\$172,238
Other Expenditures December 31, 2008	
Supplies	\$12,738
Travel	\$19,120
Reviewer Services	\$20,883
Evaluation	\$76,112
Other Expenses	\$132,724
Total	\$882,237
OAC (35%) Allocation	\$308,783
MERC (65%) Allocation	\$573,454

Grant Management

The WPP manages grant funds consistently, whether the funding is external to community organizations or internal to the University. Areas of grant management include the following.

- Individual projects are approved by the OAC, the MERC, or the UW SMPH Dean with the endorsement of the MERC, and are processed in accordance with UW-Madison policies and with broad oversight by the UW System Board of Regents.
- Every awarded project has a Memorandum of Understanding (MOU) (see the following section).
- Every proposal includes a non-supplanting certification (see the following Non-Supplanting Policy section).

Memorandum of Understanding

All applications approved for funding require a Memorandum of Understanding (MOU) between the WPP and the community organization or the faculty recipient. Acceptance of an award requires the grantee to be aware of and comply with the terms and conditions of the MOU. The MOU provides a mechanism for the OAC and MERC to monitor progress of their respective awards. Each MOU includes a timeline for progress reports, financial reports, final reports, and applicable compliance documents to the WPP.

Non-Supplanting Policy

As outlined in the *Decision of the Commissioner of Insurance in the Matter of the Application for Conversion of Blue Cross & Blue Shield United of Wisconsin*, funds from the WPP may not be used to supplant funds or resources available from other sources. The School has designed a review process for determination of non-supplanting, which was approved by WUHF.

Initial Award

All applicants and award recipients, whether internal or external, must complete a non-supplanting questionnaire developed by the UW SMPH. As part of the technical review process and MOU development, the Associate Dean for Fiscal Affairs reviews this questionnaire, along with financial statements from external recipients. In the case of internal awards, the Associate Dean also considers the UW SMPH budget and existing grant funding.

Any potential supplanting concerns are discussed with the applicant. Resolution may include a budget modification or reduction. Funds will not be awarded if it is determined that supplanting would or is likely to occur. Any unresolved supplanting questions are brought to either the OAC or the MERC, as appropriate. An appeal process is available in the case of a dispute between the Associate Dean and the recipient.

Subsequent Funding

As part of the financial reporting process, each recipient must certify that supplanting has not occurred. Recipients of multi-year awards must complete a new questionnaire each year.

Annual Report

Based on the non-supplanting determination made by the Associate Dean for Fiscal Affairs, the Dean of the UW SMPH has attested to compliance with the supplanting prohibition in the annual report. The UW-Madison Vice Chancellor for Administration has also attested that the UW-Madison and UW System have complied with the supplanting prohibition.

OAC Review and Assessment of the Allocated Percentage of Funds

As required in the addendum to the first Five-Year Plan and in the Agreement, the OAC reviewed and assessed the allocation percentage for public health and medical education and research initiatives on October 29, 2008.

After considering data provided from ongoing grant reporting and the preliminary results of the WPP evaluation, as well as the communication between the OAC and MERC on the development of the 2009-2014 Five-Year Plan, the OAC believed it had sufficient information to assess and advise on the allocation percentage.

The OAC unanimously agreed that the allocation of 35% for Public Health Initiatives and 65% for Medical Education and Research Initiatives should remain unchanged for 2009.

Accounting

The following financial report consolidates activities of the UW Foundation and the UW SMPH for the period January 1, 2008 through December 31, 2008. Revenues consist of investment income and market valuation and expenditures consist of administrative and program costs. All expenses and awards are reported as either Public Health Initiatives (OAC–35%) or Medical Education and Research Initiatives (MERC–65%). Approved awards have been fully accrued as a liability less current year expenditures, as shown on page 22.

Financial Reports—Unaudited

Balance Sheet	
December 31, 2008	
<i>Assets</i>	
Current Investments	\$40,733,715
Non-Current Investments	\$260,777,417
Total Assets	\$301,511,132
<i>Liabilities and Net Assets</i>	
Liabilities	
Accounts Payable	\$43,374
Grants Payable	\$28,167,115
Total Liabilities	\$28,210,489
Net Assets *	
Temporarily Restricted - spendable	\$12,523,226
Permanently Restricted - endowment	\$260,777,417
Total Net Assets	\$273,300,643
Total Liabilities & Net Assets	\$301,511,132
* - See further discussion on page 24.	

Income Statement	
For the Period January 1, 2008 through December 31, 2008	
<i>Revenues</i>	
Gifts Received	-
Investment Income	\$1,680,208
Realized gains/(losses) on investments	\$(86,167,697)
Total Revenues	\$(84,487,489)
<i>Expenditures</i>	
Public Health Initiatives	
Administrative Expenditures	\$308,783
Grant Expenditures	\$325,164
Medical Education & Research Initiatives	
Administrative Expenditures	\$573,454
Grant Expenditures	\$7,420,719
Total Expenditures	\$8,628,120
Net Increase/(Decrease) in Net Assets	\$(93,115,609)



Financial Notes

Cash and Investments

The financial resources that support grants for the period January 1, 2008 through December 31, 2008 are generated from funds released by the Wisconsin United for Health Foundation, Inc. (WUHF), as prescribed in the *Agreement*, as well as generated from investment income. All funds are housed and managed by the UW Foundation. As needed, funds are transferred to the School of Medicine and Public Health (SMPH) to reimburse expenses.

Income received on unrestricted funds is based on the performance of the underlying investments as well as endowment distributions from the permanently restricted funds. All expenses are charged against unrestricted funds. Income received on permanently restricted funds is based on the performance of the underlying investments. The only reductions to the permanently restricted funds are endowment distributions to unrestricted funds.

Current Investments

Current investments consist of participation in the UW Foundation expendables portfolio. The objective of the expendables portfolio is to preserve principal and provide a competitive money market yield. Typically, gifts placed in the expendables portfolio have a short-term horizon, usually less than three years. The expendables portfolio is mainly invested in short-duration, fixed-income securities. The UW Foundation has identified a level of the expendables portfolio that is unlikely to be withdrawn over a short-term horizon and therefore this percent is invested in higher returning asset classes.

Non-Current Investments

Non-current investments consist of participation in the UW Foundation endowment portfolio. The objective of the endowment portfolio is to achieve a long-term, annualized return that creates an income stream to fund programs, preserves the real value of the funds, and provides for real growth. To achieve this, the endowment is invested in a diversified portfolio that includes U.S. and international equity, fixed income, real assets, alternative assets, and cash equivalents.

The UW Foundation uses quantitative models along with qualitative analysis to maximize target return while minimizing risk. The UW Foundation recognizes that individual investments or asset classes within the endowment will be volatile from year to year, but believes that this risk will be mitigated through diversification of asset classes and investments within asset classes.

Liabilities – Grants Payable

Grants payable are recorded as of the date of the Oversight and Advisory Committee (OAC) or Medical Education and Research Committee (MERC) approval. The liability reflects the total amount of the grant award, which ranges from one to five years in length, less any expenditures incurred before December 31, 2008. Any subsequent modifications to grant awards are recorded as adjustments of the grant expenditures in the year the adjustment occurs. Grants payable at December 31, 2008 are as follows:

GRANTS PAYABLE			
Year	Public Health Initiatives (OAC-35%)	Medical Education and Research Initiatives (MERC-65%)	Total
December 31, 2009	\$9,786,855	\$11,806,208	\$21,593,063
December 31, 2010	\$1,572,662	\$3,436,047	\$5,008,709
Thereafter	-	<u>\$1,565,343</u>	<u>\$1,565,343</u>
Total	<u>\$11,359,517</u>	<u>\$ 16,807,598</u>	<u>\$28,167,115</u>

Net Assets

Based upon the *Agreement*, net assets are divided into two components:

- Temporarily restricted net assets: Funds that are subject to donor-imposed stipulations of the *Agreement* that are or will be met by actions of the Wisconsin Partnership Program and/or the passage of time.
- Permanently restricted net assets: Funds held in permanent endowment status with income available on an annual basis.

Income Statement

Revenues

Revenues for the period of January 1, 2008 through December 31, 2008 consist of two components: (1) investment income, which has been recorded as earned throughout 2008; and (2) net realized gains/(losses) on investments, which represents the difference between the original cost of investments and the sales proceeds (realized) or the fair market value at the end of 2008 (unrealized).

Investment income distributions to the spendable (unrestricted) funds are based on the UW Foundation spending policy applied to 100% of the market value of the endowment (permanently restricted) funds.

Expenditures

Expenditures for the period of January 1, 2008 through December 31, 2008 consist of grant awards, as described above, and administrative expenses. All expenses fall under one of the two major components identified in the *Five-Year Plan*:

- Public Health Initiatives (OAC–35%)
- Medical Education and Research Initiatives (MERC–65%)

Grant award expenditures by major component at December 31, 2008 are shown beginning on page 25.

During 2008, the OAC provided supplemental funding to two programs, the Wisconsin Population Health Fellowship Program and the Healthy Wisconsin Leadership Institute, which were originally funded in 2004 with ending dates of June 30, 2008 and September 30, 2008, respectively. The OAC agreed to extend the funding of these programs until the end of the *2004-2009 Five Year Plan* as follows:

- Wisconsin Population Health Fellowship Program – \$445,156 for the period of 7/1/08 through 3/31/09.
- Healthy Wisconsin Leadership Institute – \$118,546 for the period of 10/1/08 through 3/31/09.

The above amounts have been added to the respective Total Award as noted in the table on page 28. Please see further details on page 9.

In addition to the new awards identified in the table on page 29, the MERC, through the Strategic Allocation Fund administered by the Dean of the SMPH, provided supplemental funding in 2008 to the program, Making Wisconsin the Healthiest State. This program was originally funded in 2004 with an end date of August 31, 2008. Additional funding was provided until the end of the *2004-2009 Five Year Plan* as follows:

- Making Wisconsin the Healthiest State – \$97,344 for the period of 9/1/08 through 2/28/09.

This amount has been added to the Total Award as noted in the table on page 33. Please see further details on page 11.



2007 OAC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
DEVELOPMENT GRANTS				
Creating Healthy Rural Communities	S	59,250	15,459	43,791
Family Table Project	S/R	59,864	13,512	46,352
Fluoridation for Healthy Communities	S	67,000	-	67,000
Group Prenatal Care for Vulnerable Pregnant Teens: Building Self-Efficacy and Social Support	S/R	66,937	-	66,937
Healthiest Wisconsin 2020: A Partnership Plan to Improve the Health and Safety of the Public	S	66,873	-	66,873
(Kev Noj Qab Haus Huv Ntawm Pojniam Hmoob Lub Neej) Staying Healthy as a Hmong Woman: Building Capacity to Address Cancer Disparities	S/R	50,840	12,685	38,155
Oral Health Improvement for Adults with Developmental Disabilities	S	66,748	21,115	45,633
Promoting a Safe and Healthy Deaf Community	S	54,443	19,013	35,430
Reducing Mental Health Treatment Barriers in Adjudicated, Poor, Substance Abusing Women	S/R	67,000	-	67,000
Reducing Youth Substance Abuse through Brief Motivational Interviewing in Schools	S/R	66,972	-	66,972
Uniting a County	S	67,000	-	67,000
IMPLEMENTATION GRANTS				
Allied Drive Early Childhood Initiative	S/R	474,988	19,306	455,682
Changing the Culture of Palliative Care in Rural Wisconsin	S	413,221	91,246	321,975
Ecocultural Family Interview Project	S/R	474,943	193	474,750
Expanded Community Role in the Milwaukee Homicide Review Commission	S/R	474,164	35,600	438,564
Expanding & Sustaining the 'Safe Mom, Safe Baby' Project	S/R	400,944	-	400,944
Got Dirt? Garden Initiative	S/R	474,990	8,023	466,967
It Takes a Community to Help a Smoker	S/R	473,883	18,207	455,676
Keeping Kids Alive in Wisconsin	S	464,252	-	464,252
Reducing Tobacco Use Among LGBT Populations in Wisconsin	S	475,000	51,196	423,804
Underage Drinking - A Parent Solution	S	462,991	101,946	361,045
Total 2007 OAC Funding		\$ 5,282,303	\$ 407,501	\$ 4,874,802

* As necessary, the total award for grants that concluded during 2008 has been adjusted to reflect final total expenditures. Grants that concluded prior to January 1, 2008 are not included in the table.

† S = service (community based); E = education; R = research

2006 OAC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
PLANNING GRANTS				
Childhood Obesity Wellness Campaign	S	38,167	38,167	-
Family Teaming to Improve Health Outcomes for Youth	S	46,117	26,459	19,658
Fit Kids, Fit Cities	S	44,210	38,783	5,427
Fluoridation for Healthy Communities	S	47,842	47,842	-
Green City, Active People	S	47,000	36,709	10,291
Health Care Task Force on Pre- and Inter-Conception Care: Optimizing Women's Health and Increasing Access to Primary and Preventive Health Services	S	39,123	30,330	8,793
Increasing Breastfeeding Rates in Milwaukee County	S	46,730	23,092	23,638
Noj Zoo, Nyob Zoo (Eat Well, Live Well): A Hmong Community Health Promoter Project	S/E	50,000	40,365	9,635
Northern Wisconsin Child and Adolescent Psychiatry Access Project (CAPAP)	S	38,188	23,361	14,827
Planning a Multicultural Women's Education Program to Eliminate the Stigma of Depression	S	47,816	44,292	3,524
Preventing Substance Abuse Among LGBTQ Youth in Wisconsin	S	48,722	42,151	6,571
Schools and Clinics United for Healthy Children and Youth	S	50,000	15,789	34,211
IMPLEMENTATION GRANTS				
Coordinating Partnerships to Improve Access to Public Health Coverage	S	446,185	225,542	220,643
FIT WIC - FIT Families	S	450,000	191,139	258,861
Health Watch Wisconsin	S/E	447,700	249,520	198,180
Honoring Our Children Urban/Rural Outreach Project	S	450,000	96,656	353,344
Latino Geriatric Center	S/E	448,251	196,029	252,222
Measuring the Impact	S/R	396,894	108,849	288,045
Milwaukee Nurse-Family Partnership Program	S	449,376	71,225	378,151
Project Connect	S	450,000	183,076	266,924
Strong Rural Communities Initiative	S	299,815	251,108	48,707
Taking Care of Me: A Cancer Education and Screening Promotion Program for Hispanic/Latina Women	S/E	450,000	179,015	270,985
What Works: Reducing Health Disparities in Wisconsin Communities	S/R	429,461	123,465	305,996
Wisconsin Partnership for Childhood Fitness	S/R	446,568	71,377	375,191
Workforce Development: Advancing the Plan for a Diverse, Sufficient and Competent Workforce	S/E	450,000	108,259	341,741
PUBLIC HEALTH EDUCATION & TRAINING				
Continuing Public Health Education	S/E	\$ 560,338	\$ 373,110	187,228
Total 2006 OAC Funding		\$ 6,718,503	\$ 2,835,710	\$ 3,882,793

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26 † S = service (community based); E = education; R = research



2005 OAC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
PLANNING GRANTS				
Assessing Lifestyle Behaviors and Beliefs in Underserved Adults	S	48,637	48,637	-
Development of a Wisconsin Public Health Laboratory Network	S	36,297	36,297	-
Enhancing the Role of Consumers as Informed Partners in the Health Care System	S	46,569	24,591	21,978
Got Dirt? Initiative	S	41,270	41,270	-
Green City, Healthy People: Eliminating Health Disparities while Revitalizing Milwaukee's Johnson Park	S	50,000	45,576	4,424
Hispanic Health Patient Navigation Collaboration Planning Project	S	25,728	25,728	-
Reduce Health Disparities within the LGBT Populations in Wisconsin	S	46,482	37,328	9,154
IMPLEMENTATION GRANTS				
Engaging Wisconsin Communities for Substance Abuse Prevention	S	430,872	196,443	234,429
Expand Behavioral Risk Factor Survey Coverage to Provide Local Tracking of Healthiest Wisconsin 2010 Priorities	S/R	440,466	256,663	183,803
Footprints to Health	S	450,000	185,671	264,329
Influencing Wisconsin's Public Health System by Defining, Understanding and Diffusing a Treatment Model for Hmong Mental Health	S/R	450,000	290,181	159,819
Polk County Alcohol and Drug Outreach and Training (PolkADOT)	S/R	448,584	353,777	94,807
Reality Check 21	S	450,000	286,117	163,883
Si Se Puede (Yes You Can)	S	411,183	350,776	60,407
Transporting Children Safely - A Public Health Model for WIC (Women, Infants, and Children) Families	S	344,924	255,121	89,803
Wisconsin Falls Reduction Project	S/R	448,898	240,618	208,280
The Wisconsin Healthy Air Initiative	S	450,000	256,801	193,199
Total 2005 OAC Funding		\$ 4,619,910	\$ 2,931,595	\$ 1,688,315

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2004 OAC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
IMPLEMENTATION GRANTS				
At Risk Adolescent Health Outreach, Prevention and Services Collaborative Program	S	292,467	268,476	23,991
Beyond Lip Service: Integrating Oral Health into Public Health	S	450,000	378,042	71,958
Breaking the Barriers to Health Care & Domestic Violence Prevention for Latino/Hispanic Immigrants	S/E	450,000	450,000	-
Co-op Care	S	449,936	432,155	17,781
Dane County Early Childhood Initiative	S	439,134	438,614	520
First Breath: Enhancing Service to Health Care Providers and Clients	S/E	448,604	383,781	64,823
Fit Kids Fit Families in Washington County	S	288,892	225,346	63,546
Healthy and Active Lifestyles for Children and Youth with Disabilities: A Comprehensive Community-Based Partnership	S	413,644	319,635	94,009
Healthy Children, Strong Families	S/R	425,723	385,589	40,134
Milwaukee Birthing Project: Improving Birth Outcome for Mothers and Children	S	414,475	414,475	-
Milwaukee Homicide Review Commission	S/R	400,001	397,167	2,834
Peridata: A Rural/Urban Information Network	S	285,996	285,996	-
Safe Mom, Safe Baby: A Collaborative Model of Care for Pregnant Women Experiencing Intimate Partner Violence	S	443,738	443,738	-
COMMUNITY-POPULATION HEALTH INITIATIVES				
Tribal-Academic Partnership for American Indian Health	S/E/R	245,379	245,379	-
PUBLIC HEALTH EDUCATION AND TRAINING				
Wisconsin Population Health Fellowship Program**	S/E	2,011,945	1,669,087	342,858
Healthy Wisconsin Leadership Institute**	S/E	932,949	741,796	191,153
Total 2004 OAC Funding		\$ 8,392,883	\$ 7,479,276	\$ 913,607
Total 2005 OAC Funding		4,619,910	2,931,595	1,688,315
Total 2006 OAC Funding		6,718,503	2,835,710	3,882,793
Total 2007 OAC Funding		5,282,303	407,501	4,874,802
Total OAC Funding (2004-2007)		\$25,013,599	\$13,654,082	\$11,359,517

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** Total award includes supplemental funding awarded in 2008. See details on page 24.



2008 MERC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
TARGETED PROGRAMS				
UW Comprehensive Cancer Center (UWCCC) Biobank	R	450,108	114,722	335,386
Shared Resources for Interdisciplinary Research for Wisconsin Institutes for Medical Research (WIMR)	R	2,470,347	1,125,043	1,345,304
Wisconsin Center for Infectious Diseases (WisCID)	R	1,511,306	47,025	1,464,281
TARGETED STRATEGIC PROGRAMS				
Recruitment of Middle-Aged African Americans for Studies of Preclinical Alzheimer's Disease	S/R	90,000	4,304	85,696
NEW INVESTIGATOR PROGRAM				
Computed Tomography (CT) with Reduced Radiation Dose Using Prior Image Constrained Compressed Sensing (PICCS) Reconstruction	R	90,000	-	90,000
Evaluation of <i>Cuidándose</i> : A Communitywide Intervention to Promote Breast and Cervical Cancer Screening among Latinas	S/R	90,000	-	90,000
Genetic and Environmental Predictors of Serum Levels of 25-hydroxyvitamin D	R	90,000	-	90,000
Positron Emission Tomography Imaging of Tumor Angiogenesis	R	90,000	-	90,000
COLLABORATIVE HEALTH SCIENCES PROGRAM				
Closing the Gap on Pediatric Health Disparities: Discerning the Causes and Consequences of Iron Deficiency in Infancy	R	500,000	10,090	489,910
Menominee Smoking Cessation Clinical Trial	E/R/S	499,591	7,342	492,249
Patient-Specific Induced Pluripotent Stem Cell Models for Human Disease	R	499,993	-	499,993
Reducing Infant Mortality Disparities in Wisconsin	R	500,000	12,243	487,757
Wisconsin Children's Lead Levels and Educational Outcomes	S/E/R	500,000	6,380	493,620
Total 2008 MERC Funding		\$ 7,381,345	\$ 1,327,149	\$ 6,054,196

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2007 MERC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
TARGETED PROGRAMS				
2007 Emergency Care and Trauma Symposium	S/E	80,000	80,000	-
Development of Human Rights Initiative	E	22,500	7,500	15,000
Wisconsin Academy for Rural Medicine (WARM)	E	668,490	358,491	309,999
Wisconsin Network for Health Research (WiNHR)	S/R	2,547,069	911,441	1,635,628
NEW INVESTIGATOR PROGRAM				
A New Diagnostic Test to Monitor Regression and Recurrence of Epithelial Ovarian Cancer	R	98,738	40,147	58,591
Falls Risk Detection and Gait Instabilities in Older Adults	S/R	100,000	46,642	53,358
Metabolic Control of Metastasis by a Master Regulator of Neurogenesis: Molecular Mechanisms and Therapeutics	R	99,990	99,990	-
Probiotics for Prevention of Infection by Multiresistant Bacteria	R	100,000	3,954	96,046
Reconstructing HIV Sequence Histories to Identify Potent Immune Responses	R	99,620	38,349	61,271
The Relationship between Asthma and Obstructive Sleep Apnea (OSA)—A Pilot Study of the Effects of Treatment for Comorbid OSA in Patients with Asthma	R	99,995	80,834	19,161
COLLABORATIVE HEALTH SCIENCES PROGRAM				
A Comprehensive Approach to Insomnia	R	299,654	174,898	124,756
Healthy People/Healthy Systems: The OPTIMISE Model	E	299,726	105,871	193,855
Improving Cardiovascular Risk Prediction Using Hand-Held Carotid Ultrasonography	E	286,297	192,833	93,464
Individualized Stroma-Targeting Therapy in Breast Cancer	R	300,000	78,249	221,751
Linking Aging, Resveratrol and Sirtuins	R	300,000	221,228	78,772
Vitamin D Inadequacy: Documentation in Rural Populations and Evaluation of Correction by Food Supplementation	R	300,000	109,642	190,358
Wisconsin Infectious Disease Drug Discovery	R	300,000	54,810	245,190
Total 2007 MERC Funding		\$ 6,002,079	\$ 2,604,879	\$ 3,397,200

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2006 MERC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
TARGETED PROGRAMS				
UW Institute for Clinical and Translational Research	S/E/R	6,847,846	3,610,377	3,237,469
TARGETED STRATEGIC PROGRAMS				
Advancing Evidence-Based Health Policy in Wisconsin: Translating Research into Practice	S/E	149,230	98,263	50,967
Center for Urban Population Health Public Health Development Plan	S/E/R	1,058,448	435,818	622,630
COMBINED MERC/STRATEGIC TARGETED PROGRAMS				
The Wisconsin Smokers Health Studies	S/R	600,000	478,406	121,594
NEW INVESTIGATOR PROGRAM				
Creation of a Bovine Cryptosporidium Vaccine to Reduce Outbreaks in Human Populations	R	100,000	100,000	-
Determinants of Antibiotic Resistance in Nursing Homes	R	98,642	98,642	-
Integrating Variation at Single Nucleotides and Short Tandem Repeats to Identify Genetic Associations with Complex Diseases	R	100,000	85,927	14,073
Magnetic Resonance Imaging in a Study of Prolotherapy for Knee Osteoarthritis	R	99,971	50,037	49,934
Partnering with Quit Lines to Promote Youth Smoking Cessation in Wisconsin	S/R	100,000	65,738	34,262
Surface-Rendered 3D MRI Overlaid into Live X-Ray Fluoroscopy to Guide Endomyocardial Progenitor Cell Therapy for Recent Myocardial Infarction: Technical Development and Validation Toward Clinical Translation	R	100,000	100,000	-
Treatment of Vitamin D Insufficiency	R	100,000	100,000	-
Total 2006 MERC Funding		<u>\$ 9,354,137</u>	<u>\$ 5,223,208</u>	<u>\$ 4,130,929</u>

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2005 MERC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
TARGETED PROGRAMS				
Human Proteomics Program	R	1,867,208	1,748,877	118,331
Regenerative Medicine Program	R	1,200,000	737,418	462,582
Survey of the Health of Wisconsin (SHOW)	S/E/R	4,116,906	3,467,208	649,698
Wisconsin Network for Health Research (WINHR)	S/R	1,340,227	1,119,591	220,636
TARGETED STRATEGIC PROGRAMS				
Library Collection Support for Public Health Research and Training	S/E/R	105,611	53,385	52,226
Reducing Cancer Disparities through Comprehensive Cancer Control	S/E/R	532,126	524,518	7,608
Startup Funding to Recruit Faculty Member Specializing in Genetic Epidemiology	S/E/R	261,706	125,611	136,095
Startup Funding to Recruit Faculty Member Specializing in Health Policy	S/E/R	261,706	130,042	131,664
Wisconsin Academy for Rural Medicine (WARM)	S/E	133,462	133,462	-
COMBINED MERC/STRATEGIC TARGETED PROGRAMS				
Health Innovations Program (HIP)	S/E/R	1,310,158	985,148	325,010
NEW INVESTIGATOR PROGRAM-CYCLE 1				
Healthy Children Strong Families—Supporting Caregivers Improving Lifestyles	S/R	93,054	80,471	12,583
Investigating Fungal Infection: Analysis of Spores from the Human Fungal Pathogen <i>Cryptococcus Neoformans</i>	R	100,000	100,000	-
Molecular Mechanism of Lung Organogenesis, Tumorigenesis, and Asthma	R	100,000	100,000	-
NEW INVESTIGATOR PROGRAM-CYCLE 2				
Androgen Receptor as an Immunological Target for the Treatment of Prostate Cancer	R	99,899	98,643	1,256
Cellular and Viral Determinants of Human Cytomegalovirus Lytic and Latent Replication Cycles	R	99,000	99,000	-
Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients	S/R	100,000	37,383	62,617
GLI2 Protein Stabilization in the Activation of Hedgehog Signaling Pathway in Prostate Cancer	R	100,000	100,000	-
Mechanisms of CREB Regulation and Function in Response to DNA Damage	R	100,000	100,000	-
Novel Exploratory Approaches to Elucidating the Role of GRAIL in CD25+ T Regulatory Cell Biological Function	R	91,560	91,560	-
The Role of Ikaros in Cellular Proliferation	R	100,000	100,000	-
Topical Honey for Diabetic Foot Ulcers	S/R	99,976	61,951	38,025
Wnt/Frizzled Signals in Normal and Malignant Lymphoid Development	R	100,000	97,867	2,133
Total 2005 MERC Funding		\$ 12,312,599	\$ 10,092,135	\$ 2,220,464

32 * As necessary, the total award for grants that concluded during 2008 has been adjusted to reflect final total expenditures. Grants that concluded prior to January 1, 2008 are not included in the table.

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2004 MERC Awards*

Project Title	Type †	\$ Total Award	\$ Total Expended	\$ Grants Payable
TARGETED PROGRAMS				
Innovations in Medical Education	S/E	3,414,780	3,031,638	383,142
Survey of the Health of Wisconsin (SHOW)	S/E/R	121,955	121,955	-
TARGETED STRATEGIC PROGRAMS				
Making Wisconsin the Healthiest State**	S/R	917,687	860,527	57,160
Master of Public Health (MPH)	E	2,682,977	2,192,039	490,938
Wisconsin Alzheimer's Institute	S/E/R	375,000	301,431	73,569
Total 2004 MERC Funding		\$ 7,512,399	\$ 6,507,590	\$ 1,004,809
Total 2005 MERC Funding		\$12,312,599	\$10,092,135	\$ 2,220,464
Total 2006 MERC Funding		\$ 9,354,137	\$ 5,223,208	\$ 4,130,929
Total 2007 MERC Funding		\$ 6,002,079	\$ 2,604,879	\$ 3,397,200
Total 2008 MERC Funding		\$ 7,381,345	\$ 1,327,149	\$ 6,054,196
Total MERC Funding (2004-2008)		\$42,562,559	\$25,754,961	\$ 16,807,598

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Professor; Head, Section of Allergy, Pulmonary and Critical Care Medicine, Department of Medicine

Colin Jefcoate, PhD

Professor, Department of Pharmacology

Patricia Keely, PhD

Associate Professor, Department of Pharmacology, UW SMPH; Department of Biological Engineering, College of Engineering, UW-Madison

James Leonard, DO, PT

Associate Professor, Department of Orthopedics and Rehabilitation

Patrick McBride, MD, MPH

Associate Dean of Students; Professor, Department of Medicine

Gwenevere McIntosh, MD, MPH

Associate Professor, Department of Pediatrics

Tom Oliver, PhD

Professor, Department of Population Health Sciences; Associate Director for Health Policy, UW Population Health Institute

Dale Schoeller, PhD

Professor, Department of Nutritional Sciences, College of Agricultural and Life Sciences, UW-Madison

Christine Seibert, MD

Associate Professor, Department of Medicine; Associate Dean for Medical Education

Dandan Sun, MD, PhD

Professor, Department of Neurological Surgery

Geoffrey Swain, MD, MPH

Associate Professor, Departments of Family Medicine and Population Health Sciences

Randal Tibbetts, PhD

Associate Professor, Department of Pharmacology

David Vanness, PhD

Assistant Professor, Department of Population Health Sciences, UW SMPH; La Follette School of Public Affairs, UW-Madison

Bennett Vogelman, MD

Professor, Department of Medicine

Jeffery W. Walker, PhD

Professor, Department of Physiology

Eliot Williams, MD, PhD

Professor, Department of Medicine

Su-Chun Zhang, MD, PhD

Professor, Department of Anatomy

Contact Information

Wisconsin Partnership Program
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Copy Editor: Moira Urich

WISCONSIN PARTNERSHIP PROGRAM
2008 ANNUAL REPORT
APPENDIX



education



research



community



health



University of Wisconsin
**SCHOOL OF MEDICINE
AND PUBLIC HEALTH**

**WISCONSIN PARTNERSHIP PROGRAM
2008 ANNUAL REPORT APPENDIX**

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Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin System and University of Wisconsin Madison

The UW Madison Vice Chancellor for Administration, Darrell Bazzell, hereby attests that the UW System and the UW Madison have complied with the supplanting prohibition in the Insurance Commissioner's Order of March 28, 2000, as specified in the criteria set forth in the addendum of the 2003 to 2008 Five Year Plan, *The Wisconsin Partnership Fund for a Healthy Future* (Wisconsin Partnership Program), and as approved by the Wisconsin United for Health Foundation, Inc. on March 15, 2004. The basis of this attestation is the on-going monitoring by the UW Madison Vice Chancellor for Administration of the University's budget allocation to the School of Medicine and Public Health.

This attestation shall be filed with the 2008 Annual Report of the Wisconsin Partnership Program.

By: 
Darrell Bazzell
Vice Chancellor for Administration
University of Wisconsin Madison
Date: 7/27/09

Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin School of Medicine and Public Health

The Dean of the UW School of Medicine and Public Health, Robert N. Golden, MD, hereby attests that:

The UW School of Medicine and Public Health has complied with the supplanting prohibition in the Insurance Commissioner's Order of March 28, 2000, as specified in the criteria set forth in the addendum of the 2003 to 2008 Five-Year Plan, *The Wisconsin Partnership Fund for a Healthy Future* (Wisconsin Partnership Program), and as approved by the Wisconsin United for Health Foundation, Inc. on March 15, 2004. This attestation is based on the detailed review and determination of non-supplanting by the Associate Dean for Fiscal Affairs, Kenneth J. Mount, for each of the following awards for community-academic partnerships, community-population health initiatives, community-based public health education and training initiatives, and medical education and research initiatives.

This attestation shall be filed with the 2008 Annual Report of the Wisconsin Partnership Program.

2004 Community-Academic Partnership Initiatives – Project Title

At Risk Adolescent Health Outreach, Prevention and Services Collaborative Program
Beyond Lip Service: Integrating Oral Health into Public Health
Breaking the Barriers to Health Care & Domestic Violence Prevention for Latino/Hispanic Immigrants
Co-op Care
Dane County Early Childhood Initiative
First Breath: Enhancing Services to Health Care Providers and Clients
Fit Kids, Fit Families in Washington County
Healthy and Active Lifestyles for Children and Youth with Disabilities: A Comprehensive Community-Based Partnership
Healthy Children, Strong Families
Milwaukee Homicide Review Commission
Peridata: A Rural/Urban Information Network
Safe Mom, Safe Baby: A Collaborative Model of Care for Pregnant Women Experiencing Intimate Partner Violence
The Milwaukee Birthing Project: Improving Birth Outcomes for Mothers and Children

2005 Community-Academic Partnership Initiatives – Project Title

Assessing Lifestyle Behaviors and Beliefs in Underserved Adults
Development of a Wisconsin Public Health Laboratory Network
Engaging Wisconsin Communities for Substance Abuse Prevention
Enhancing the Role of Consumers as Informed Partners in the Health Care System
Expand Behavioral Risk Factor Survey Coverage to Provide Local Tracking of Healthiest Wisconsin
2010 Priorities in Small Wisconsin Counties
Footprints to Health
Got Dirt? Initiative

Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin School of Medicine and Public Health

2005 Community-Academic Partnership Initiatives – Project Title (cont'd)

Green City, Healthy People Eliminating Health Disparities while Revitalizing Milwaukee's Johnson's Park

Hispanic Health Patient Navigation Collaboration Planning Project

Influencing Wisconsin's Public Health System by Defining, Understanding and Diffusing a Treatment Model for Hmong Mental Health

Polk County Alcohol and Drug Outreach and Training (PolkADOT) Program

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Transporting Children Safely: A Public Health Model for WIC (Women, Infants, and Children) Families

Wisconsin Falls Reduction Project: A Multi-Faceted Strategy to Reduce Unintentional Fall Injuries among Wisconsin's Older Adults

Year 2: Planning Grant to Reduce Health Disparities within the LGBT Populations in Wisconsin

2006 Community-Academic Partnership Initiatives – Project Title

Advancing the Plan for a Diverse, Sufficient and Competent Workforce

Childhood Obesity Wellness Campaign

Coordinating Partnerships to Improve Access to Public Health Coverage

Family Teaming to Improve Health Outcomes for Youth

Fit Kids, Fit Cities

FIT WIC - FIT Families

Fluoridation for Healthy Communities

Green City, Active People

Health Care Task Force on Pre- and Inter-Conception Care: Optimizing Women's Health and Increasing Access to Primary and Preventive Health Services

Health Watch Wisconsin

Honoring Our Children Urban/Rural Outreach Project

Increasing Breastfeeding Rates in Milwaukee County

Measuring the Impact

Milwaukee Nurse-Family Partnership Program

Noj Zoo, Nyob Zoo (Eat Well, Live Well): A Hmong Community Health Promoter Project

Northern Wisconsin Child and Adolescent Psychiatry Access Project (CAPAP)

Planning a Multicultural Women's Education Program to Eliminate the Stigma of Depression

Preventing Substance Abuse among LGBTQ Youth in Wisconsin

Project Connect

Schools and Clinics United for Healthy Children and Youth

Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin School of Medicine and Public Health

2006 Community-Academic Partnership initiatives-Project Title (cont'd)

Strong Rural Communities Initiative

Taking Care of Me: A Cancer Education and Screening Promotion Program for Hispanic/Latina Women

What Works: Reducing Health Disparities in Wisconsin Communities

Wisconsin Latino Geriatric Center

Wisconsin Partnership for Childhood Fitness

2007 Community-Academic Partnership initiatives-Project Title

Allied Drive Early Childhood Initiative

Changing the Culture of Palliative Care in Rural Wisconsin

Creating Healthy Rural Communities

Ecocultural Family Interview Project

Expanded Community Role in the Milwaukee Homicide Review Commission

Expanding & Sustaining the 'Safe Mom, Safe Baby' Project

Family Table Project

Fluoridation for Healthy Communities

Got Dirt? Garden Initiative

Group Prenatal Care for Vulnerable Pregnant Teens: Building Self-Efficacy and Social Support

Healthiest WI 2020: A Partnership Plan to Improve the Health and Safety of the Public

It Takes a Community to Help a Smoker

Keeping Kids Alive in Wisconsin

Kev Noj Qab Haus Huv Ntawm Pojniam Hmoob Lub Neej) Staying Healthy as a Hmong Woman:

Building Capacity to Address Cancer Disparities

Oral Health Improvement for Adults with Developmental Disabilities

Promoting a Safe and Healthy Deaf Community

Reducing Mental Health Treatment Barriers in Adjudicated, Poor, Substance Abusing Women

Reducing Tobacco Use Among LGBT Populations in Wisconsin

Reducing Youth Substance Abuse through Brief Motivational Interviewing in Schools

Underage Drinking - A Parent Solution

Uniting a County

2004 Community-Population Health Initiatives – Project Title

Great Lakes Intertribal Council, Native American Health Research Project

2004 Community-Based Public Health Education and Training – Project Title

Community-Based Population Health Practice Fellowship

Healthy Wisconsin Leadership Institute (previously Wisconsin Public Health Leadership Institute)

Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin School of Medicine and Public Health

2006 Community-Based Public Health Education and Training – Project Title

Continuing Public Health Education

2004 Medical Education and Research Initiatives – Project Title

Innovations in Medical Education (IME)

Making Wisconsin the Healthiest State

Master in Public Health (MPH)

Survey of the Health of Wisconsin (SHOW)

Wisconsin Alzheimer's Institute

2005 Medical Education and Research Initiatives – Project Title

Androgen Receptor as an Immunological Target for the Treatment of Prostate Cancer

Cellular and Viral Determinants of Human Cytomegalovirus Lytic and Latent Replication Cycles

Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients

GLI2 Protein Stabilization in the Activation of Hedgehog Signaling Pathway in Prostate Cancer

Health Innovation Program (HIP)

Healthy Children Strong Families - Supporting Caregivers in Improving Lifestyles

Human Proteomics Program

Investigating Fungal Infection: Analysis of Spores from the Human Fungal Pathogen *Cryptococcus Neoformans*

Library Collection Support for Public Health Research and Training

Mechanisms of CREB Regulation and Function in Response to DNA Damage

Molecular Mechanism of Lung Organogenesis, Tumorigenesis and Asthma

Novel Exploratory Approaches to Elucidating the Role of GRAIL in CD25+ T Regulatory Cell Biological Function

Reducing Cancer Disparities through Comprehensive Cancer Control

Regenerative Medicine Program

Startup Funding to Recruit Faculty Member Specializing in Genetic Epidemiology

Startup Funding to Recruit Faculty Member Specializing in Health Policy

Survey of the Health of Wisconsin

The Role of Ikaros in Cellular Proliferation

Topical Honey for Diabetic Foot Ulcers

Wisconsin Academy for Rural Medicine (WARM)

Wisconsin Network for Health Research (WiNHR)

Wnt/Frizzled Signals in Normal and Malignant Lymphoid Development

2006 Medical Education and Research Initiatives – Project Title

Advancing Evidence-Based Health Policy in Wisconsin: Translating Research into Practice

Creation of a Bovine Cryptosporidium Vaccine to Reduce Outbreaks in Human Populations

Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin School of Medicine and Public Health

2006 Medical Education and Research Initiatives – Project Title (cont'd)

Center for Urban Population Health Public Health Development Plan
Determinants of Antibiotic Resistance in Nursing Homes
Integrating Variation at Single Nucleotides and Short Tandem Repeats to Identify Genetic Associations
with Complex Diseases
Magnetic Resonance Imaging in a Study of Prolotherapy for Knee Osteoarthritis
Partnering with Quit lines to Promote Youth Smoking Cessation in Wisconsin
Surface-Rendered 3D MRI Overlaid into Live X-Ray Fluoroscopy to Guide Endomyocardial Progenitor
Cell Therapy for Recent Myocardial Infarction: Technical Development and Validation Toward
Clinical Translation
The Wisconsin Smokers Health Studies
Treatment of Vitamin D Insufficiency
UW-Institute for Clinical and Translational Research

2007 Medical Education and Research Initiative – Project Title

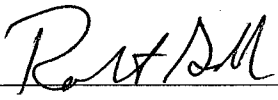
2007 Emergency Care and Trauma Symposium
A Comprehensive Approach to Insomnia
A New Diagnostic Test to Monitor Regression and Recurrence of Epithelial Ovarian Cancer
Development of Human Rights Initiative
Falls Risk Detection and Gait Instabilities in Older Adults
Healthy People/Healthy Systems: The OPTIMISE Model
Improving Cardiovascular Risk Prediction Using Hand-Held Carotid Ultrasonography
Individual Stroma-Targeting Therapy in Breast Cancer
Linking Aging, Resveratrol and Sirtuins
Metabolic Control of Metastasis by a Master Regulator of Neurogenesis: Molecular Mechanisms and
Therapeutics
Probiotics for prevention of infection by multiresistant bacteria
Reconstructing HIV Sequence Histories to Identify Potent Immune Responses
The Relationship between Asthma and Obstructive Sleep Apnea (OSA) - A Pilot Study of the Effects of
Treatment for Comorbid OSA in Patients with Asthma
Vitamin D Inadequacy: Documentation in Rural Populations and Evaluation of Correction by Food
Supplementation
Wisconsin Academy for Rural Medicine (WARM)
Wisconsin Infectious Disease Drug Discovery
Wisconsin Network for Health Research (WiNHR)

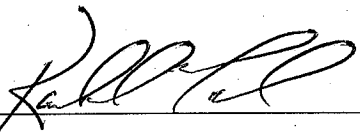
Wisconsin Partnership Program
Attestation of Non-Supplanting

University of Wisconsin School of Medicine and Public Health

2008 Medical Education and Research Initiative – Project Title

Closing the Gap on Pediatric Health Disparities: Discerning the Causes and Consequences of Iron
Deficiency in Infancy
Computed Tomography (CT) with Reduced Radiation Dose Using Prior Image Constrained Compressed
Sensing (PICCS) Reconstruction
Development of a Centralized UWCCC Biobank
Evaluation of Cuidandome: A Communitywide Intervention to Promote Breast & Cervical Cancer
Screening among Latinas
Genetic and Environmental Predictors of Serum Levels of 25-Hydroxyvitamin D
Menominee Smoking Cessation Trials
Patient-Specific Induced-Pluripotent Stem Cell Models for Human Disease
Positron Emission Tomography Imaging of Tumor Angiogenesis
Recruitment of Middle-Aged African-Americans for Studies of Preclinical Alzheimer's Disease
Reducing Infant Mortality Disparities in Wisconsin
Shared Resources for Interdisciplinary Research for Wisconsin Institutes for Medical Research (WIMR)
Phase I
Wisconsin Center for Infectious Diseases (WisCID)
Wisconsin Children's Lead Levels and Educational Outcomes

By: 
Robert N. Golden, MD
Dean, UW School of Medicine and
Public Health
Date: 7/21/09

By: 
Kenneth J. Mount
Associate Dean for Fiscal Affairs, UW
School of Medicine and Public Health
Date: 7/21/09

Wisconsin Partnership Program
Determination of Non-Supplanting
For
Community-Academic Partnership Initiatives;
Community-Population Health Initiatives, and
Community-Based Public Health Education and Training Initiatives
Recommended for Approval by the
Oversight and Advisory Committee

The Associate Dean for Fiscal Affairs of the University of Wisconsin School of Medicine and Public Health hereby attests to the Oversight and Advisory Committee that:

The following list of alphabetic community-academic partnerships; community-population health initiatives, and community-based public health education and training initiatives has been reviewed in detail to determine whether use of the Wisconsin Partnership funds for the following projects has complied with the supplanting prohibition in the Insurance Commissioner's Order, as specified in the criteria set forth in the addendum of the 2003 to 2008 Five Year Plan, and as approved by the Wisconsin United for Health Foundation, Inc.

The Associate Dean for Fiscal Affairs has determined that financial support by the Wisconsin Partnership Program of these projects does not result in supplanting.

This determination shall be filed with the Oversight and Advisory Committee this 15th day of July, 2009.

2004 Community-Academic Partnership Initiatives – Project Title

At Risk Adolescent Health Outreach, Prevention and Services Collaborative Program

Beyond Lip Service: Integrating Oral Health into Public Health

Breaking the Barriers to Health Care & Domestic Violence Prevention for Latino/Hispanic Immigrants

Co-op Care

Dane County Early Childhood Initiative

First Breath: Enhancing Services to Health Care Providers and Clients

Fit Kids, Fit Families in Washington County

Healthy and Active Lifestyles for Children and Youth with Disabilities: A Comprehensive Community-Based Partnership

Healthy Children, Strong Families

Milwaukee Homicide Review Commission

Peridata: A Rural/Urban Information Network

Safe Mom, Safe Baby: A Collaborative Model of Care for Pregnant Women Experiencing Intimate Partner Violence

The Milwaukee Birthing Project: Improving Birth Outcomes for Mothers and Children

2005 Community-Academic Partnership Initiatives – Project Title

Assessing Lifestyle Behaviors and Beliefs in Underserved Adults

Development of a Wisconsin Public Health Laboratory Network

Engaging Wisconsin Communities for Substance Abuse Prevention

Enhancing the Role of Consumers as Informed Partners in the Health Care System

Expand Behavioral Risk Factor Survey Coverage to Provide Local Tracking of Healthiest Wisconsin 2010 Priorities in Small Wisconsin Counties

The Wisconsin Partnership Program
Determination of Non-Supplanting

2005 Community-Academic Partnership Initiatives – Project Title (cont'd)

Footprints to Health

Got Dirt? Initiative

Green City, Healthy People Eliminating Health Disparities while Revitalizing Milwaukee's Johnson's Park

Hispanic Health Patient Navigation Collaboration Planning Project

Influencing Wisconsin's Public Health System by Defining, Understanding and Diffusing a Treatment Model for Hmong Mental Health

Polk County Alcohol and Drug Outreach and Training (PolkADOT) Program

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Si Se Puede! (Yes You Can!)

The Wisconsin Healthy Air Initiative: An Outreach Program Promoting Voluntary Reductions of Toxic Air Emissions

Transporting Children Safely: A Public Health Model for WIC (Women, Infants, and Children) Families

Wisconsin Falls Reduction Project: A Multi-Faceted Strategy to Reduce Unintentional Fall Injuries among Wisconsin's Older Adults

Year 2: Planning Grant to Reduce Health Disparities within the LGBT Populations in Wisconsin

2006 Community-Academic Partnership Initiatives – Project Title

Advancing the Plan for a Diverse, Sufficient and Competent Workforce

Childhood Obesity Wellness Campaign

Coordinating Partnerships to Improve Access to Public Health Coverage

Family Teaming to Improve Health Outcomes for Youth

Fit Kids, Fit Cities

FIT WIC - FIT Families

Fluoridation for Healthy Communities

Green City, Active People

Health Care Task Force on Pre- and Inter-Conception Care: Optimizing Women's Health and Increasing Access to Primary and Preventive Health Services

Health Watch Wisconsin

Honoring Our Children Urban/Rural Outreach Project

Increasing Breastfeeding Rates in Milwaukee County

Measuring the Impact

Milwaukee Nurse-Family Partnership Program

Noj Zoo, Nyob Zoo (Eat Well, Live Well): A Hmong Community Health Promoter Project

Northern Wisconsin Child and Adolescent Psychiatry Access Project (CAPAP)

Planning a Multicultural Women's Education Program to Eliminate the Stigma of Depression

Preventing Substance Abuse among LGBTQ Youth in Wisconsin

Project Connect

The Wisconsin Partnership Program Determination of Non-Supplanting

2006 Community-Academic Partnership initiatives-Project Title (cont'd)

Schools and Clinics United for Healthy Children and Youth

Strong Rural Communities Initiative

Taking Care of Me: A Cancer Education and Screening Promotion Program for Hispanic/Latina Women

What Works: Reducing Health Disparities in Wisconsin Communities

Wisconsin Latino Geriatric Center

Wisconsin Partnership for Childhood Fitness

2007 Community-Academic Partnership initiatives-Project Title

Allied Drive Early Childhood Initiative

Changing the Culture of Palliative Care in Rural Wisconsin

Creating Healthy Rural Communities

Ecocultural Family Interview Project

Expanded Community Role in the Milwaukee Homicide Review Commission

Expanding & Sustaining the 'Safe Mom, Safe Baby' Project

Family Table Project

Fluoridation for Healthy Communities

Got Dirt? Garden Initiative

Group Prenatal Care for Vulnerable Pregnant Teens: Building Self-Efficacy and Social Support

Healthiest WI 2020: A Partnership Plan to Improve the Health and Safety of the Public

It Takes a Community to Help a Smoker

Keeping Kids Alive in Wisconsin

Kev Noj Qab Haus Huv Ntawm Pojniam Hmoob Lub Neej) Staying Healthy as a Hmong Woman:

Building Capacity to Address Cancer Disparities

Oral Health Improvement for Adults with Developmental Disabilities

Promoting a Safe and Healthy Deaf Community

Reducing Mental Health Treatment Barriers in Adjudicated, Poor, Substance Abusing Women

Reducing Tobacco Use Among LGBT Populations in Wisconsin

Reducing Youth Substance Abuse through Brief Motivational Interviewing in Schools

Underage Drinking - A Parent Solution

Uniting a County

2004 Community-Population Health Initiatives – Project Title

Great Lakes Intertribal Council, Native American Health Research Project

2004 Community-Based Public Health Education and Training – Project Title

Community-Based Population Health Practice Fellowship

Healthy Wisconsin Leadership Institute (previously Wisconsin Public Health Leadership Institute)

The Wisconsin Partnership Program
Determination of Non-Supplanting

2006 Community-Based Public Health Education and Training – Project Title
Continuing Public Health Education

By: 

Kenneth J. Mount

Associate Dean for Fiscal Affairs

UW School of Medicine and Public Health

Date: 7/15/09

As approved by the Oversight and Advisory Committee on July 15, 2009.

Wisconsin Partnership Program
Determination of Non-Supplanting
For
Medical Education and Research Initiatives
Recommended for Approval by the
Medical Education and Research Committee

The Associate Dean for Fiscal Affairs of the University of Wisconsin School of Medicine and Public Health hereby attests to the Medical Education and Research Committee that:

The following alphabetic list of medical education and research initiatives, including the Strategic Allocation Initiatives, has been reviewed in detail to determine whether use of the Wisconsin Partnership funds for the following projects has complied with the supplanting prohibition in the Insurance Commissioner's Order, as specified in the criteria set forth in the addendum of the 2003 to 2008 Five-Year Plan, and as approved by the Wisconsin United for Health Foundation, Inc.

The Associate Dean for Fiscal Affairs has determined that financial support by the Wisconsin Partnership Program of these projects does not result in supplanting.

This determination shall be filed with the Medical Education and Research Committee this 13th day of July, 2009.

2004 Medical Education and Research Initiatives – Project Title

Innovations in Medical Education (IME)
Making Wisconsin the Healthiest State
Master in Public Health (MPH)
Survey of the Health of Wisconsin (SHOW)
Wisconsin Alzheimer's Institute

2005 Medical Education and Research Initiatives – Project Title

Androgen Receptor as an Immunological Target for the Treatment of Prostate Cancer
Cellular and Viral Determinants of Human Cytomegalovirus Lytic and Latent Replication Cycles
Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients
GLI2 Protein Stabilization in the Activation of Hedgehog Signaling Pathway in Prostate Cancer
Health Innovation Program (HIP)
Healthy Children Strong Families - Supporting Caregivers in Improving Lifestyles
Human Proteomics Program
Investigating Fungal Infection: Analysis of Spores from the Human Fungal Pathogen *Cryptococcus Neoformans*
Library Collection Support for Public Health Research and Training
Mechanisms of CREB Regulation and Function in Response to DNA Damage
Molecular Mechanism of Lung Organogenesis, Tumorigenesis and Asthma
Novel Exploratory Approaches to Elucidating the Role of GRAIL in CD25+ T Regulatory Cell Biological Function
Reducing Cancer Disparities through Comprehensive Cancer Control
Regenerative Medicine Program

Wisconsin Partnership Program
Determination of Non-Supplanting

2005 Medical Education and Research Initiatives – Project Title (cont'd)

Startup Funding to Recruit Faculty Member Specializing in Genetic Epidemiology
Startup Funding to Recruit Faculty Member Specializing in Health Policy
Survey of the Health of Wisconsin
The Role of Ikaros in Cellular Proliferation
Topical Honey for Diabetic Foot Ulcers
Wisconsin Academy for Rural Medicine (WARM)
Wisconsin Network for Health Research (WiNHR)
Wnt/Frizzled Signals in Normal and Malignant Lymphoid Development

2006 Medical Education and Research Initiatives – Project Title

Advancing Evidence-Based Health Policy in Wisconsin: Translating Research into Practice
Creation of a Bovine Cryptosporidium Vaccine to Reduce Outbreaks in Human Populations
Center for Urban Population Health Public Health Development Plan
Determinants of Antibiotic Resistance in Nursing Homes
Integrating Variation at Single Nucleotides and Short Tandem Repeats to Identify Genetic Associations
with Complex Diseases
Magnetic Resonance Imaging in a Study of Prolotherapy for Knee Osteoarthritis
Partnering with Quit lines to Promote Youth Smoking Cessation in Wisconsin
Surface-Rendered 3D MRI Overlaid into Live X-Ray Fluoroscopy to Guide Endomyocardial Progenitor
Cell Therapy for Recent Myocardial Infarction: Technical Development and Validation Toward
Clinical Translation
The Wisconsin Smokers Health Studies
Treatment of Vitamin D Insufficiency
UW-Institute for Clinical and Translational Research

2007 Medical Education and Research Initiative – Project Title

2007 Emergency Care and Trauma Symposium
A Comprehensive Approach to Insomnia
A New Diagnostic Test to Monitor Regression and Recurrence of Epithelial Ovarian Cancer
Development of Human Rights Initiative
Falls Risk Detection and Gait Instabilities in Older Adults
Healthy People/Healthy Systems: The OPTIMISE Model
Improving Cardiovascular Risk Prediction Using Hand-Held Carotid Ultrasonography
Individual Stroma-Targeting Therapy in Breast Cancer
Linking Aging, Resveratrol and Sirtuins
Metabolic Control of Metastasis by a Master Regulator of Neurogenesis: Molecular Mechanisms and
Therapeutics

Wisconsin Partnership Program
Determination of Non-Supplanting

2007 Medical Education and Research Initiative – Project Title (cont'd)

Probiotics for prevention of infection by multiresistant bacteria
Reconstructing HIV Sequence Histories to Identify Potent Immune Responses
The Relationship between Asthma and Obstructive Sleep Apnea (OSA) - A Pilot Study of the Effects of Treatment for Comorbid OSA in Patients with Asthma
Vitamin D Inadequacy: Documentation in Rural Populations and Evaluation of Correction by Food Supplementation
Wisconsin Academy for Rural Medicine (WARM)
Wisconsin Infectious Disease Drug Discovery
Wisconsin Network for Health Research (WiNHR)

2008 Medical Education and Research Initiative – Project Title

Closing the Gap on Pediatric Health Disparities: Discerning the Causes and Consequences of Iron Deficiency in Infancy
Computed Tomography (CT) with Reduced Radiation Dose Using Prior Image Constrained Compressed Sensing (PICCS) Reconstruction
Development of a Centralized UWCCC Biobank
Evaluation of Cuidandome: A Communitywide Intervention to Promote Breast & Cervical Cancer Screening among Latinas
Genetic and Environmental Predictors of Serum Levels of 25-Hydroxyvitamin D
Menominee Smoking Cessation Trials
Patient-Specific Induced-Pluripotent Stem Cell Models for Human Disease
Positron Emission Tomography Imaging of Tumor Angiogenesis
Recruitment of Middle-Aged African-Americans for Studies of Preclinical Alzheimer's Disease
Reducing Infant Mortality Disparities in Wisconsin
Shared Resources for Interdisciplinary Research for Wisconsin Institutes for Medical Research (WIMR) Phase I
Wisconsin Center for Infectious Diseases (WisCID)
Wisconsin Children's Lead Levels and Educational Outcomes

By: _____

Kenneth J. Mount

Associate Dean for Fiscal Affairs

UW School of Medicine and Public Health

Date: _____

7/13/09

As approved by the Medical Education and Research Committee on July 13, 2009.

DRAFT Minutes

UW School of Medicine and Public Health (SMPH) Oversight and Advisory Committee (OAC) 1:00PM July 15, 2009 – 4201 HSLC

Members Present: Phil Farrell (phone), Meg Gaines, Valerie Gilchrist, Susan Goelzer, Christine Holmes, David Kindig, Doug Mormann, Greg Nycz

Staff: Chris Blakey, Cathy Frey, Tonya Mathison, Ken Mount, Eileen Smith, Shannon Sparks, Karla Thompson

Guests: Bridget Booske, Gina Graham, Jordan Hinahara, Helene Nelson, Christine Voss

1. Call meeting to order

Goelzer called the meeting to order at 1:10pm.

2. Decision on draft minutes

May 20, 2009 OAC

Gilchrist moved approval of the draft May 20, 2009 OAC minutes. The motion was seconded by Mormann and passed unanimously.

June 17, 2009 OAC

Kindig moved approval of the draft June 17, 2009 OAC minutes. The motion was seconded by Nycz and passed unanimously.

June 17, 2009 OAC/MERC

Gilchrist moved approval of the draft minutes of the June 17, 2009 joint meeting of OAC and the Medical Education and Research Committee (MERC). The motion was seconded by Nycz and passed unanimously.

3. Announcements

OAC public member resignation

Goelzer announced that Lorraine Lathen has resigned from the OAC as a Women's Health Advocate since she has assumed a new role as the project consultant for OAC's Healthy Birth Outcomes Initiative.

The Nominating Subcommittee made up of OAC's public members and the Insurance Commissioner's appointee will meet to discuss the recruitment of a new public member. The OAC emphasized its commitment to ensuring a diverse pool of applicants for the position, and requested that the call for nominations be shared with the Healthy Birth Outcomes Initiative Steering Committee.

Wisconsin United for Health Foundation, Inc. meeting

Smith reported that Dean Golden will be presenting the 2008 Annual Report to the Wisconsin United for Health Foundation, Inc. (WUHF) on September 2. OAC members have been contacted regarding their participation.

August 19 OAC meeting cancelled

Smith announced that the August 19 OAC meeting has been cancelled. The next meeting will take place on September 16.

4. Healthy Birth Outcomes Steering Committee report

RFA progress and timing

Farrell indicated that the draft Capacity Development and Early Implementation Grant Request for Proposals (RfP) will be shared with OAC by email for review and feedback prior to the August 12 Healthy Birth Outcomes Steering Committee meeting. There was general support by OAC for limiting funding to \$200,000 for Racine, Kenosha and Beloit and to \$250,000 for Milwaukee. It is expected that the final RfP, incorporating input from OAC and the Steering Committee, will go to OAC for final approval in September.

Lorraine Lathen's new role

As the Project Consultant to the Healthy Birth Outcomes Initiative, Lathen will provide the OAC and the Steering Committee with guidance and advice necessary to develop the Healthy Birth Outcomes Initiative during its early development. She will provide strategic leadership to the Steering Committee, act as a technical consultant and adviser to our community partners, implement an overall communications strategy, and provide oversight for the capacity and development phase of the program.

Committee Co-chair

Farrell reported that Lathen cannot remain as co-chair of the the Healthy Birth Outcomes Steering Committee in view of her consulting arrangement. OAC considered having an OAC member fill the position and deferred a decision until the public member recruitment is completed.

September 17, 2009 event

An event is being held by the University of Wisconsin Foundation on September 17 at Discovery World focused on the work of the UW School of Medicine and Public Health (SMPH) in Milwaukee. The event will feature the Healthy Birth Outcomes Initiative along with several other SMPH's initiatives in Milwaukee. OAC members can expect invitations.

5. Medical Education and Research Committee report

Nycz provided an overview of the June 8 and July 13, 2009 MERC meetings. In June, MERC considered two targeted reapplications: *Transforming Medical Education: Integrating Public Health in the Curriculum* and *Institute for Clinical and Translational Science Award*.

Following a presentation by Byron Crouse on behalf of Christie Seibert responding to MERC's feedback and questions on *Transforming Medical Education: Integrating Public Health in the Curriculum*, MERC awarded \$2,504,333 over three years with two recommendations: (1) Determine an acceptable outcome measure on the proportion of medical students completing dual MD-MPH, and (2) Incorporate a public health dentistry perspective.

Marc Drezner, Professor of Medicine and Senior Associate Dean for Translational and Clinical Research, presented an overview of the reapplication for the *Institutional Clinical and Translational Science Award*, including a progress report since inception. This was followed by presentations by Maureen Smith on the Community-Academic partnership Core and David DeMets on the Biostatistics and Biomedical Informatics Core.

\$10,185,996 was requested over three years with the continued goal of creating an environment, which facilitates the transformation of research at the University into a continuum extending from investigation through discovery to translation into practice, thereby linking basic research to practical improvements in human health. The reapplication budget was reduced by 25% and included the incorporation of the *Wisconsin Network for Health Research* program. Following further discussion in July, MERC unanimously approved funding.

Following a presentation by Richard Moss, Professor of Physiology, on the reapplication for the *Human Proteomics Program*, MERC unanimously approved funding of \$200,000 over two years. The mission of the Human Proteomics Program is to improve health through a program of research dedicated to understanding the basis for human health and disease, identifying potential molecular targets for the treatment of disease, and developing high-throughput assays for early detection of disease and risk of disease. The MERC funds will be used to provide service contracts for the mass spectrometers and to cover supplies used for proof-of-concept and feasibility studies involving new investigators.

6. Discussion and decision on Wisconsin Partnership Program 2008 Annual Report

Members indicated their satisfaction with the 2008 Annual Report. In compliance with the Insurance Commissioner's Order, the Grant Agreement and the 2004-2009 Five-Year Plan, Mormann moved approval of the 2008 Annual Report of the Wisconsin Partnership Program, prepared in collaboration with the UW School of Medicine and Public Health, covering expenditures through December 31, 2008, which includes the OAC's decision-making process for support of community-based initiatives, the process for determination of non-supplanting, and an overview of the financial status of the funds. Further, the OAC gives authority to the Wisconsin Partnership Program Staff to make editorial changes for purposes of clarification,

style, grammar and accuracy before submission of this report to the Wisconsin United for Health Foundation, Inc. and the UW System Board of Regents. Gaines seconded the motion which was unanimously approved.

7. Financial reports

Update on OAC's projected 2009- 2010 budget status

Mount presented the financial projections for the Wisconsin Partnership Program through June 2009. In the first half of 2009, the University of Wisconsin Foundation estimated an overall decrease in the endowment by 2.03%. Mount clarified that the losses do not impact the value of OAC's spendable reserves of \$11 million.

2008 Annual Report OAC non-supplanting attestation

Mount presented his annual attestation of non-supplanting for OAC initiatives. All OAC initiatives listed on the attestation document, including Community-Academic Partnership Fund, Community-Population Health, and Community-Based Public Health Education and Training, were reviewed in detail to determine whether use of the WPP funds had complied with the supplanting prohibition in the Insurance Commissioner's Order, as specified in the criteria set forth in the addendum of the 2004-2009 Five-Year Plan, and as approved by WUHF.

Mount determined that financial support by the WPP of the initiatives does not result in supplanting and recommended approval of the attestation by OAC. Gilchrist moved approval of the non-supplanting attestation as distributed. Nycz seconded and the motion was unanimously approved. Mount reported that non-supplanting attestations will also be signed by Dean Golden on behalf of the UW School of Medicine and Public Health (SMPH) and by Darrell Bazzell on behalf of the UW System and UW-Madison.

8. Community-Academic Partnership Fund

Decision on six 2008 approved but not funded grant proposals

There was discussion of the financial projections through 2010 and the availability of additional resources to fund some or all of the approved grants, but at a reduced level of funding. Following discussion of the six 2008 approved by not funded grant proposals, Gaines moved that OAC defer its funding decision until September. During that time, WPP staff will contact all six applicants regarding their continued interest in being considered for funding given that available funds will be reduced by up to 50%. The proposals of interested applicants will be forwarded to the OAC members for review and scoring. A ranking of the proposals based on OAC member's independent scores will be discussed in September. Nycz seconded and the motion was unanimously approved.

Decision on two 2007 renewal implementation grants

Gilchrist moved approval of providing funding for two continuation implementation grants awarded in December 2007, *Milwaukee Homicide Review Commission* and *Allied Drive Early*

Childhood Initiative. OAC considered the first annual progress reports on the 2007 awards and the final reports on the initial grants, as well as the progress report presentations by the grantees in June. The motion was seconded by Gaines and was unanimously approved.

Quarterly financial and progress report

Shannon Sparks and Karla Thompson provided a quarterly financial and progress report on the Community-Academic Partnership Fund grants. WPP staff have followed up with two grantees regarding delinquent progress reports. Sparks noted that outcome reports for all grants that closed in 2008 are available in the Appendix of the 2008 Annual Report. Thompson provided an updated summary of expenditures to date for the period ending June 30, 2009. At this time, there are no requests for no cost extensions, re-budgeting, or work plan changes.

9. OAC strategic planning discussion

Jefferson Wells financial review

Karla Thompson provided an overview of the Financial Review Summary Report conducted by Jefferson Wells as part of the WPP Evaluation.

Presentation on *Opportunities to Make Wisconsin the Healthiest State*

David Kindig, Helene Nelson and Bridget Booske presented information related to the report on *Opportunities to Make Wisconsin the Healthiest State*. After some discussion, there was general consensus by OAC to convene a workgroup to review and analyze the results of the *Making Wisconsin the Healthiest State* project and other relevant sources of information in order to identify a smaller number of potential priorities for consideration by OAC.

Strategic discussion questions and timeline

A revised strategic discussion questions and timeline were discussed. The September 16 OAC meeting will focus on community capacity building.

10. Adjourn – Next meeting September 16, 2009

Goelzer reminded members that the next OAC meeting will take place on September 16. She adjourned the meeting at 4:00pm.

Recorder, Tonya Mathison

Resolution for Approval of the 2008 Annual Report

In compliance with the Insurance Commissioner's Order, the Grant Agreement and the 2004-2009 Five-Year Plan, move approval of the 2008 Annual Report of the Wisconsin Partnership Program, prepared in collaboration with the UW School of Medicine and Public Health, covering expenditures through December 31, 2008, which includes the OAC's decision-making process for support of community-based initiatives, the process for determination of non-supplanting, and an overview of the financial status of the funds. Further, the OAC gives authority to the Wisconsin Partnership Program Staff to make editorial changes for purposes of clarification, style, grammar and accuracy before submission of this report to the Wisconsin United for Health Foundation, Inc. and the UW System Board of Regents.

As approved by the Oversight and Advisory Committee on July 15, 2009.



Community Grant Outcome Report

Name: Allied Drive Early Childhood Initiative

Grantee: Dane County Department of Human Services

Contact Name; phone; e-mail: Andrew F. Heidt; 608-242-6477; heidt@co.dane.wi.us

Academic Partner: Roseanne Clark, PhD, Associate Professor, Department of Psychiatry, UW SMPH

Program: Implementation

Grant Duration: 04/01/2005 to 03/31/2008 (36 months)

Expenditures: \$439,161 of \$450,000 (98% expended)

Use of Funds: Develop and evaluate a family-based intervention

► **Description:** The partners developed and tested an evidence-based home visitation model entitled Early Childhood Initiative (ECI). The program included integrated home-based services, early childhood teams, peer support, and family intervention strategies for expectant mothers and caregivers of infants in the Allied Drive community. Addressing health disparities and promoting behaviors that lead to healthy birth outcomes is a key ECI goal. The ECI's focus on a healthy infant parent relationship as the foundation for future success in school for the child and success in the workforce for the parent is the ultimate objective. The long-term goal was to test and develop a home visitation model that could be replicated in other high-poverty neighborhoods.

► **Results:** The ECI enrolled approximately 85 families during the grant period, exceeding the goal of 75 families. These families received comprehensive home visitation and social support services. To evaluate progress in short-term outcomes, the project established 57 social and economic benchmarks in health access, housing, employment, early childhood education, mental health and social support. At the end of the grant, the program either met or nearly met 48 of the 57 objectives for enrolled families.

The project also included a research component to assess parenting skills, age-appropriate childhood development, and family stability at 12-month intervals. Only 12 of the 85 families were reassessed after one year in the program due to delays in

program startup and difficulty obtaining data. For the 12 families, significant improvements were observed in employment rates and parent skills assessment, suggesting the possible impact of the ECI. This research component will continue in the renewal grant.

The program staff attributed their success to support from political leaders, particularly the County Executive, and to the relationships forged between the ECI staff and participating families.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Yes—Access to Primary and Preventive Health Services

► **Academic Partner Role:** Community-based participatory research.

► **Matched Dollars (cash or in-kind):** \$823,049

► **Dissemination:**

- The National Governor's Association designated the ECI as a pilot site under the Wisconsin Service Integration Initiative
- Two presentations (state/national conferences)

► **Sustained:** The program continues under an OAC renewal grant—\$474,988 for an additional three years until 2010. The project also received \$500,000 in state and local funds to replicate the EIC in two other Dane County locations.



Community Grant Outcome Report

Name: At-Risk Adolescent Health Outreach, Prevention, and Services Collaborative Program

Grantee: Access Community Health Centers, Inc.

Contact Name; phone; email: Tammy Quall; 608-443-5517; tammy.quall@uwmf.wisc.edu

Academic Partner: Gregory DeMuri, MD, Associate Professor, Department of Pediatrics, UW SMPH

Program: Implementation

Grant Duration: 04/01/2005 to 03/31/2008 (36 months)

Expenditures: \$292,467 (100% expended)

Use of Funds: Implementation of evidence-based program

► **Description:** The Adolescent Health Program has developed a comprehensive model of primary care for at-risk adolescents. This interdisciplinary team model integrates communication and collaboration with community partners and schools into the overall treatment plan.

► **Results:** The project was successful in improving access to health care for at-risk adolescents and focusing on decreasing high-risk behaviors through outreach, education, and health care interventions. The number of adolescents receiving services in the program doubled between the first six months and the final six months of the project.

The data indicate that 51% of the 2,699 adolescents who accessed care at Access Community Health Centers (ACHC) during the grant period are using ACHC as a primary care home. (A primary care home is the entity that provides for and coordinates a patient's health care needs.) All adolescents were from Dane County, with incomes below 200% of the Federal Poverty Level, and between the ages of 11 and 19.

The public significance of this project lies in its ability to connect adolescents to a primary care home. This model also presents a significant opportunity for expansion of mental health services to teens in Dane County. The academic and community partners attribute the success of this project to ACHC's core

practice of fostering collaborative partnerships and shared decision-making.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Yes—Access to Primary and Preventive Health Services.

► **Academic Partner Role:** Direct clinical care; supervised the pediatric resident continuity clinics and residency public health rotations at ACHC. Also serves as the Medical Director for the Madison Metropolitan School District Nurse program.

► **Matched Dollars (cash or in-kind):** \$341,452

► **Dissemination:** Presentations made to local community groups.

► **Sustained:** Clinical activities have now been incorporated into the overall operations of ACHC. In addition, the program received \$300,000 in sustainable annual funding for expansion services through the Health Services Resource Administration dedicated to outreach and adolescent behavioral health services.



Community Grant Outcome Report

Name: Beyond Lip Service: Integrating Oral Health into Public Health

Grantee: Wisconsin Department of Health Services, Division of Public Health, Bureau of Health Information and Policy

Contact Name; phone; e-mail: Lisa Bell; 608-266-3201; BellLA@dhs.state.wi.us

Academic Partner: John F. Doyle, DDS, Professor (CHS), Department of Surgery, UW SMPH

Program: Implementation

Grant Duration: 01/01/05 to 12/31/2008 (48 months)

Expenditures: \$395,473 of \$450,000 (88% expended)

Use of Funds: Implementation of Evidence-based Prevention Services **OAC Grant Outcome**

► **Description:** Beyond Lip Service: Integrating Oral Health into Public Health provided technical assistance and mini grants to local health departments in the northern Wisconsin to develop community based oral health prevention programs. The project had three primary goals; 1) to integrate preventive oral health data into the Secure Public Health Electronic Record Environment (SPHERE), 2) to include county oral health data into community health improvement plans; and 3) to improve access to preventive oral health services such as fluoridation, fluoride varnishes and mouth rinses and dietary supplements.

► **Results:** By the end of the grant period, all counties were actively using SPHERE, and 16 counties used the surveillance data to direct community health improvement plans. Additionally, 12 health departments and one tribal health center implemented oral health programs in their communities. In total, 4,723 children received preventive oral health services, 5,800 families received prevention education, and 4,000 Lac Courte Oreilles tribal members now have access to fluoridated water.

Beyond Lip Service and local health department partners developed strong collaborations with the Wisconsin Health Start Association and local Head Start programs in several communities. The Wisconsin Department of Health Services staff taught county public health nurses how to apply fluoride varnishes, and in partnership with dental hygienists, conducted dental examinations and topical fluoride for children in Health Start Programs.

Project staff attributed project success to assigning dedicated program staff to coordinate efforts across the geographic region, locally relevant data, and the collaboration with local dental providers, specifically dental hygienists.

► **Met Objectives:** Project completed

► **Baseline Progress on SHP Objectives:** Yes— Access to Primary and Preventive Health Services

► **Academic Partner Role:** Consultation and Technical Assistance

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- County Survey Reports to the community
- Presentation at two national Conferences, the National Oral Health Conference and the Wisconsin Public Health Association
- DHS website

► **Sustained:** The project is actively seeking funding but limited state funding continues to support local activity through the Maternal and Child Health Block Grant dollars.



Community Grant Outcome Report

Name: Breaking the Barriers to Health Care and Domestic Violence Prevention for Latino/Hispanic Immigrants

Grantee: UNIDOS Against Domestic Violence

Contact Phone: 608-256-9195

Academic Partner: Mary Beth Plane, PhD, Senior Scientist, Department of Family Medicine, UW SMPH

Program: Implementation

Grant Duration: 02/01/2005 to 05/31/2008 (40 months)

Expenditures: \$450,000 (100% expended)

Use of Funds: Direct client services and workforce training

► **Description:** The overall aim of this project was to increase capacity of Wisconsin communities to meet the needs of Latino/Hispanic women experiencing domestic violence and to enhance their safety through broad community-based education, training and technical assistance, and dissemination of best practices. The project had four goals: (1) expand outreach services from domestic violence agencies and direct service to women in 8 counties (Buffalo, Clark, Dane, Eau Claire, Jackson, Kenosha, Racine, and Trempealeau), (2) provide technical assistance to domestic violence agencies in getting services for children of domestic violence victims, (3) conduct cultural awareness training with Latino/immigrant youth, and (4) increase the capacity of Wisconsin providers to screen and effectively respond to Latino/immigrant domestic violence incidents.

► **Results:** The project made measurable progress in building statewide capacity to improve domestic violence services by demonstrating changes in public awareness, increasing access to domestic violence services, and training local providers. Within the targeted communities, the project served over 386 new clients. The project developed outreach materials for Latino youth, created a training curriculum for health care providers with collaboration from the UW School of Nursing, and established a formal network between UNIDOS and local domestic violence agencies. The program provided training to 483 services providers, 230 law enforcement officers, 287 school personnel, and over 100 community-based organizations.

A total of 43% of providers reported that their agency's services had changed as a result of the

UNIDOS training/technical assistance, and the majority improved their awareness of the cultural and immigration issues facing Latina victims. An unexpected outcome was the development of an informal network of individuals and organizations that regularly meet to coordinate domestic violence services for the Latino/Hispanic population.

Program staff highlighted two factors that contributed to the program's success: culturally competent staff, and organizational capacity to implement the project.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** The academic partner primarily advised on evaluation; she also actively supported the project at community meetings throughout the state.

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:** No—may publish results in future

► **Sustained:** Yes—incorporated within local domestic violence organizations services. UNIDOS applied but was not funded for a WPP renewal implementation grant in 2007. UNIDOS has since reorganized to focus primarily on statewide technical assistance rather than direct client services, which are now offered by the local provider agencies. The outreach advocates hired through the grant are now working for those local agencies.



Community Grant Outcome Report

Name: Co-op Care

Grantee: Cooperative Network (formerly Wisconsin Federation of Cooperatives)

Contact Name; phone; email: Bill Oemichen; 608-258-4413; bill.oemichen@cooperativenetwork.coop

Academic Partner: Byron Crouse, MD, Associate Dean for Rural and Community Health; Professor (CHS),
Department of Family Medicine, UW SMPH

Program: Implementation

Grant Duration: 04/01/2005 to 09/30/08 (42 months)

Expenditures: \$449,936 of \$450,000 (99% expended)

Use of Funds: Demonstration Model and Formation of New Alliance/Organization

► **Description:** Co-op Care, of the Wisconsin Federation of Cooperatives (WFC), worked to create health care purchasing cooperatives to improve health care insurance access and affordability for Wisconsin's agricultural producers, rural families and small businesses. Co-op Care began after the Wisconsin State Legislature passed enabling legislation in 2003 that allowed individuals and groups to come together to purchase health insurance. The program's two goals were to create a sustainable model of health care delivery and to increase access to affordable health insurance for Wisconsin's agribusinesses. Such groups have traditionally experienced uninsured rates two to four times higher than the general population and have limited influence competing in private insurance markets. Co-op Care criteria included quality care, competitive premiums, rate stability, prevention, wellness, and sustainable programs.

► **Results:** Co-op Care created a viable health insurance model for agribusiness and other rural groups in Wisconsin. The initiative established five regional health insurance cooperatives, now offering affordable health insurance for agricultural producers, small businesses, independent physicians, school districts, and other groups. Ten additional healthcare purchasing cooperatives are in the development phase.

In 2007, Co-op Care organized the Farmers' Health Cooperative of Wisconsin (FHCW) to increase the value of health insurance available to farmers and agribusinesses. The FHCW, with over 2,600 members, offers a comprehensive plan that includes a prevention and wellness services, and collaborates with the Marshfield Farm Medicine Center for an agricultural safety component. The FHCW also offers

24-hour workplace injury coverage, not typically available in the private insurance market. To stay competitive, other insurance carriers extended this benefit once offered by Co-op Care. Annual member surveys indicated that between 6 and 11% of FHCW members were previously uninsured. Additionally, health benefits, including prevention services increased, and premiums decreased for the majority of FHCW members.

Program staff attributed their success to their academic partner and in-kind and financial support from agricultural and business leaders, elected officials at key milestones throughout the project.

► **Met Objectives:** Project completed

► **Baseline Progress on SHP Objectives:** Yes—
Access to Primary and Preventive Health Services

► **Academic Partner Role:** Consultation/Technical Assistance`

► **Matched Dollars (cash or in-kind):** \$2,348,795 in cash and grants

► **Dissemination:** Project staff widely disseminated program information through the media, publications and presentations at local, state and national events.

► **Sustained:** Yes. Co-op Care continues to support the business needs of the health care purchasing cooperatives through risk reduction strategies and sound business and management practices. WFC has received \$348,794 in Federal, State and private funds. The FHCW continues to grow in membership and is financial supported through premiums and membership fees. In 2008, Co-op Care and the FHCW applied for additional WPP funding.



Community Grant Outcome Report

Name: First Breath: Enhancing Services to Healthcare Providers and Clients

Grantee: Wisconsin Women's Health Foundation, Inc.

Contact Phone; e-mail: 608-251-1675; wwhf@wwhf.org

Academic Partner: Michael Fiore, MD, MPH, Professor, Department of Medicine, UW SMPH; Director, UW Center for Tobacco Research and Intervention

Program: Implementation

Grant Duration: 03/01/2005 to 02/28/2008 (36 months)

Expenditures: \$449,897 of \$450,000 (100% expended)

Use of Funds: Implementation of evidence-based program

► **Description:** This project sought to build upon early successes of the Wisconsin Women's Health Foundation's First Breath prenatal smoking cessation program by addressing identified gaps in programming and expanding the First Breath model to health care providers serving women of all ages. The three project components included: (1) enhancing technical assistance and support to existing First Breath sites, (2) developing enhanced social support for First Breath clients trying to quit smoking, and (3) expanding the First Breath model to other health care providers—to address smoking cessation among women before, during, and after pregnancy. Program expansion was targeted to counties with high disparities in birth outcomes.

► **Results:** Outcomes include increased training opportunities for First Breath sites, better access to up-to-date scientific information, and increased enrollment in the First Breath program. First Breath served approximately 4,200 women during the grant period, and client enrollment increased 20% from 2004. Client enrollment in the Wisconsin Tobacco Quit Line's Fax to Quit program increased from 18% to 40%. A total of 1,000 Wisconsin health care providers received information and training, resulting in increased awareness of smoking cessation research and resources.

During the grant period, the self-reported prenatal quit rate remained fairly consistent from baseline: 34% (2004), 35.9% (2005), and 36% (2007). However, post-partum quit rates increased from 30.9% in 2004 to

36% in 2007. Medicaid clients accounted for 80% of First Breath participants. The project partners estimated that the state saved \$486,668 in Medicaid costs annually, given this quit rate increase.

Program staff attributed success to strong partnerships, open communication, and responsiveness to clients' and providers' needs.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Yes—Tobacco Use

► **Academic Partner Role:** Ongoing collaboration since the mid-1990s. The project was collaboratively developed and implemented by the community and academic partners. In addition, regional outreach specialists from the academic partner's office visited First Breath sites to provide technical assistance, support, and training.

► **Matched Dollars (cash or in-kind):** \$5,541

► **Dissemination:**

- Quarterly provider newsletter
- Poster presentation (national conference)
- Training materials: two educational workbooks, web-based training modules, three survey tools, and an educational video

► **Sustained:** First Breath will be sustained through integration of services at the Women's Health Foundation (using existing state funding). Some less successful program components were eliminated.



Community Grant Outcome Report

Name: Healthy and Active Lifestyles for Children and Youth with Disabilities: A Comprehensive Community-Based Partnership

Grantee: School District of La Crosse and UW La Crosse

Contact Name; phone; email: Garth Tymeson PhD; 608-785-5415; tymeson.gart@uwlax.edu

Academic Partner: Stacy Her, MD, Clinical Assistant Professor, Department of Orthopedics and Rehabilitation, UW SMPH; Gundersen Lutheran Health Care

Program: Implementation

Grant Duration: 04/01/2005 to 10/31/2008 (43 months)

Expenditures: \$402,094 of \$440,490 (91% expended)

Use of Funds: Evidence-based demonstration project

► **Description:** Active and Healthy Lifestyles for Children and Youth with Disabilities was a partnership between the School District of La Crosse, UW La Crosse - Center on Disability Health and Adapted Physical Activity, and Gundersen Lutheran Health Care. The project focused on three goals; to increase physical activity, decrease overweight and obesity among La Crosse area children with disabilities ages 5 - 18, and to disseminate program information to the community. The project accomplished these goals through several community-based physical activity and nutrition education programs developed in partnership with youth service agencies including district schools, YMCA/YWCA, Boys and Girls Clubs, Gundersen Lutheran Health Care, disability advocacy groups, and the City Parks and Recreation Department. A unique feature of the program was to match UW La Crosse students with children with disabilities in a physical activity mentoring program. Programs included fitness training, adapted swimming, running or walking, soccer, winter sports, basketball, softball and adventure education.

► **Results:** The project formed partnerships with all the major La Crosse youth service agencies to implement ten new physical activity and nutrition education programs for children with disabilities in the community. The project served over 200 families through these programs. Using a multi-media and public education campaign, families, community agencies and the public demonstrated a heightened awareness of the need for physical activity programs specialized for children with developmental disabilities. An advisory committee consisting of

parents, teachers, community agencies and medical and health care providers offered advice throughout the project.

Project staff attributed their success to effective and sustained collaboration among parents, teachers, community organizations, academic partner, and the media. Adapted physical education and special education teachers were essential partners in coordination of services.

► **Met Objectives:** Project completed

► **Baseline Progress on SHP Objectives:** Addressed but not measured

► **Academic Partner Role:** Consultation and technical assistance, program referral, and program evaluation

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:** Project staff widely disseminated program information through publications and presentations at local, state and national conferences. Staff also created a website and promotional DVDs for parents, communities and professional audiences

► **Sustained:** Yes. 1) Partnering youth services agencies are continuing to offer fitness programs, 2) the YMCA hired a full-time project staff formerly with UW La Crosse and, 3) matching UW La Crosse students with families and children continues under the federal program, "I Can Do It, You Can Do It". The project leveraged \$35,900 in funds from public and private sources. UW La Crosse has expressed an interest in replicating the program to other Wisconsin communities.



Community Grant Outcome Report

Name: Healthy Children, Strong Families

Grantee: Great Lakes Inter-Tribal Council Inc.

Contact Name; phone; email: Michael Allen; 715-588-3324 ext. 126; mallen@glitc.org

Academic Partner: Alex Adams MD, PhD, Associate Professor, Department of Family Medicine, UW SMPH

Program: Implementation

Grant Duration: 03/01/2005 to 06/30/2008 (40 months)

Expenditures: \$425,724 of 426,120 (99% expended)

Use of Funds: Develop and evaluate a family-based intervention

► **Description:** The project developed and tested an intervention entitled Healthy Children, Strong Families (HCSF) to prevent obesity and related chronic disease among American Indian children in Wisconsin. The intervention uses trained Tribal mentors working in the home with families who have preschool children. The mentors deliver 12 lessons using a toolkit on healthy nutrition and physical activity. The academic partner and Tribal members co-developed the intervention to be sustainable and to be easily integrated with other health programs. Outcome measures for the intervention and control groups in the study include changes in standard obesity measures (body mass index, or BMI), fruit and vegetable consumption, physical activity levels, TV watching and other behavioral measures of improvement.

► **Results:** HCSF supported the development and testing of an innovative intervention for American Indian families using a community-based participatory research model. The project was initially slow to start due to the difficulty of recruiting mentors and families. The program worked with 87 families, fewer than the 120 proposed for the study, and families have enjoyed the curriculum. The research team will analyze the intervention's efficacy when the enrollment goal of 120 families is reached. The grant ended prior to reaching this goal, however, funds from other sources will support the continued development and evaluation of HCSF through June 2011. This will allow for completion of the project. The results will be reported to the OAC at that time.

HCSF noted three factors that contributed to the

program's success: strength of the partnership, mutual trust among partners, and broad-based input into the design of the intervention and the toolkit.

► **Met Objectives:** External funds will complete the project.

► **Baseline Progress on State Health Plan Objectives:** Not measured yet

► **Academic Partner Role:** Community-based research

► **Matched Dollars (cash or in-kind):** None reported

► **Dissemination:**

- Three published articles: *CDC Prevention* (on-line), *Obesity*, *Wisconsin Medical Journal*
- Four manuscripts in preparation
- Two presentations (national/international conferences)
- Four poster sessions

► **Sustained:** The grant led to two additional funding awards:

- MERC New Investigator Program award for \$93,256 to collect lab data
- NIH Cooperative Grant for \$1,581,625 to provide follow-up services for participating families and the community—to improve environmental conditions to support healthy nutrition and physical activity

Note: It is expected that the Tribes may adopt the program if the intervention is perceived as valuable.



Community Grant Outcome Report

Name: Milwaukee Homicide Review Commission

Grantee: Milwaukee Police Department

Contact Name; phone; email: Mallory O'Brien; 414-963-9505; mobrie@milwaukee.gov

Academic Partner: Ron Cisler, PhD, Director, Center for Urban Population Health; Associate Professor, UW SMPH Population Health Sciences and University of Wisconsin-Milwaukee College of Health Sciences

Program: Implementation

Grant Duration: 01/01/2005 to 12/31/2007 (36 months)

Expenditures: \$400,001 (100% expended)

Use of Funds: Development of data/information system

► **Description:** The Milwaukee Homicide Review Commission (MHRC) developed a multi-level review process aimed at reducing homicides in Milwaukee and promoting healthy and safe neighborhoods. The MHRC had three goals: (1) to gain a better understanding of the nature of homicide through strategic problem analysis, (2) to develop innovative responses to homicide, and (3) to strategically focus limited enforcement and intervention activities on identifiable risks.

► **Results:** The MHRC reviewed over 150 homicides and developed over 100 recommendations. The MHRC recommendations better positioned criminal justice, social service, and community-based organizations to address high-risk places and high-risk people central to recurring homicides. These recommendations have led to significant changes in the policies and procedures of the Milwaukee Police Department and other agencies. Moreover, the recommendations are credited by participants for improving both criminal justice and community provider capacity to prevent violence. A key to this increased capacity has been improved communication, information sharing, and cooperation—both within and between criminal justice agencies, community service providers, and community members.

During the grant period, homicides decreased 15% in participating police districts but increased 44% in the non-participating districts.

► **Met Objectives:** Project Completed

► **Baseline Progress on State Health Plan Objectives:** Yes—Intentional and Unintentional Injuries and Violence.

► **Academic Partner Role:** The Center for Urban Population Health assisted with the MHRC data collection, analysis, and evaluation.

► **Matched Dollars (cash or in-kind):** \$262,686

► **Dissemination:**

- Published article: *Wisconsin Medical Journal*
- Web-published community report: "Milwaukee Homicide Review Commission"
- Award from: University of Wisconsin Population Health Institute for Outstanding Population Health Practice Publication 2007 (May 2007)
- Award from: U.S. Department of Justice, Project Safe Neighborhoods, for Outstanding Contribution by a Research Partner (September 2007)

► **Sustained:** MHRC received a renewal OAC Implementation Award in 2007 to implement the findings. The program also leveraged additional funding from Project Safe Neighborhoods (administered through the U.S. Attorneys Office) and the Violence Against Women Act (administered through the Wisconsin Office of Justice Statistics).



Community Grant Outcome Report

Name: PeriData: A Rural/Urban Information Network

Grantee: Wisconsin Association for Perinatal Care

Contact Name; phone; e-mail: Ann Conway; 608-417-6060; Conway@perinatalweb.org

Academic Partner: Ron Cisler, PhD, Director, Center for Urban Population Health; Associate Professor, UW SMPH Population Health Sciences and University of Wisconsin-Milwaukee College of Health Sciences

Program: Implementation

Grant Duration: 01/01/2005 to 04/30/2008 (40 months)

Expenditures: \$285,996 of \$395,819 (72% expended)

Use of Funds: Data/information systems

► **Description:** PeriData.Net® is a web-based perinatal database developed by the Wisconsin Association for Perinatal Care (WAPC) and the Center for Urban Population Health (CUPH). The goal of this project was to (1) extend this statewide perinatal database to rural birth hospitals, and (2) train all birth hospital users in database applications, including analysis and use.

► **Results:** Funding from the WPP enabled 33 hospitals and birth centers with at least 200 annual births to join 56 larger hospitals in the use of a statewide, web-based perinatal database. Funding covered the enrollment fee and maintenance fees for two years. It also covered the costs of 14 training sessions in which personnel at 68 of the 89 enrolled hospitals participated. As of 1/31/08, PeriData.Net contained over 100,000 birth records, and it was expected to cover over 90% of the projected 2008 births.

This system is now the standard for quality data: The Wisconsin Hospital Association (WHA) requires that hospitals submit perinatal CheckPoint (publicly reported) measures exclusively through PeriData.Net, because of the data quality.

The program staff attributed their success to the longstanding partnership between WAPC and

Wisconsin birth hospitals based on the previous perinatal database, as well as to the previous work by WAPC and CUPH to update the perinatal database.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Development of materials, curricula, survey or evaluation instruments, training manuals, clinical care tools, and dissemination tools.

► **Matched Dollars (cash or in-kind):** \$7,322

► **Dissemination:**

- WAPC web site: provides access to PeriData.Net, allowing hospitals and others to easily find information about how to enroll, which hospitals have enrolled, and ongoing training opportunities
- Two abstracts submitted for presentations (national conferences)
- Featured in WAPC and CUPH annual reports
- WAPC Quarterly newsletter: *PeriScope*
- National dissemination through project consultant

► **Sustained:** Yes—integrated services, no additional funding required.



Community Grant Outcome Report

Name: Safe Mom Safe Baby: A Collaborative Model of Care for Pregnant Women Experiencing Intimate Partner Violence

Grantee: Aurora Sinai Medical Center, Aurora Health Care

Contact Name; phone; e-mail: Alice Kramer; 414-219-5146; alice.kramer@aurora.org

Academic Partner: Jacquelyn Tillett, CNM, ND, Clinical Associate Professor & Tina Mason, MD, MPH, Associate Professor (CHS), Department of Obstetrics & Gynecology, UW SMPH

Program: Implementation

Grant Duration: 04/01/2005 to 03/31/2008 (36 months)

Expenditures: \$443,738 of \$448,529 (99% expended)

Use of Funds: Implementation of best practice intervention

► **Description:** The project partners developed and implemented the Safe Mom, Safe Baby (SMSB) project, an intensive home and provider (clinic and hospital) based program for services to pregnant or post-partum women at risk for intimate partner violence. SMSB provides assessment and nurse case management services through a violence advocate team. SMSB aims to improve perinatal health and safety outcomes for pregnant women and new mothers at risk for partner violence through abuse responsive services, education, prenatal care, and advocacy.

► **Results:** SMSB provided domestic abuse assessment and direct services to 257 high-risk pregnant and post-partum women accessing the Aurora Health Care Perinatal services throughout Milwaukee County. The project staff provided outreach and training to over 1,000 health and social service providers, resulting in increased screening rates for intimate partner violence overall, and especially in the first trimester of a woman's pregnancy. Patient disclosure rates for abuse tripled from 1 in 25 (4%) in 2005 to 1 in 8 (13%) in 2007. The screening tool has now been incorporated as a standard practice for the Aurora Women's Health Center and the Aurora Midwifery and Wellness Center.

Using a Domestic Violence Survivor Assessment tool, the project was able to demonstrate positive changes in the client's readiness for and attitude towards more protective behaviors. These behaviors include advocacy or legal services, working with law

enforcement, moving into a different home or job, learning more about abuse, and accessing support services for themselves and their children. Birth outcome data, while incomplete, indicated that SMSB client outcomes were similar to those in the general Aurora patient population.

SMSB staff attributes their success to the academic partner and medical staff working directly with the program at Aurora.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Offered clinical expertise and advocacy for the services institutionally and within the community

► **Matched Dollars (cash or in-kind):** \$155,836

► **Dissemination:**

- Published article: *Journal of Perinatal & Neonatal Nursing*
- Three presentations (state/national conferences)
- Educational materials

► **Sustained:** SMSB received a renewal OAC implementation grant for \$400,944 to expand and sustain the Safe Mom, Safe Baby project through 2011. Aurora is providing in-kind assistance throughout that period as well. The overall goal is to sustain SMSB with support from Aurora and other funding sources.



Community Grant Outcome Report

Name: The Milwaukee Birthing Project: Improving Birth Outcomes for Mothers and Children

Grantee: Milwaukee Birthing Project; InHealth, WI (Fiscal Agent)

Academic Partner: Sarah Esmond, MS, Collaborative Center for Health Equity, UW SMPH

Program: Implementation

Grant Duration: 01/01/2005 to 03/31/2008 (39 months)

Expenditures: \$414,389 of \$414,474 (100% expended)

Use of Funds: Implementation of national program model

► **Description:** The Milwaukee Birthing Project (MBP) replicates the promising Birthing Project USA model. The African American maternal and child health program model encourages better birth outcomes by providing practical support to women during pregnancy and for one year after the birth of their children. The program matches pregnant women (Little Sisters) with community volunteers or Sister Friends. The Little Sister and Sister Friend collaboratively identify health and wellness priorities and are linked with community agencies and experts to meet those needs.

► **Results:** The MBP implemented a practice-based model to increase social support, self-reliance, and confidence and reduce anxiety and stress of African-American mothers and pregnant women in Milwaukee. In total, 296 pregnant women were referred to the MBP over the course of the project, and 110 pregnant women were successfully enrolled and matched/paired with a Sister Friend. A total of 225 Sister Friends were recruited over the project period, and 97 were successfully paired with Little Sisters (several served multiple Little Sisters). Sister Friends reported improved ability of Little Sisters to identify, navigate, and manage health care and social services, as well as improved ability to self-manage, self-advocate, and take action.

MBP enrollees also demonstrated improvements in birth outcomes compared with City of Milwaukee historical trends. Some proposed outcome measures, including social support and stress levels, were not measured due to limited capacity of implementation program model

and objection to some measures by community partners.

In addition to the Provider's Circle which informed Sister Friends about local resources, the Diverse Women's Healing Collaborative and the Community Advisory Board were established and eventually merged to become the Leadership Advisory Board.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** The academic partner participated in Sister Friends training sessions and community meetings; regularly consulted and provided technical assistance for implementation, data collection, and data entry; and participated on the Advisory Board.

► **Matched Dollars (cash or in-kind):** \$2,915

► **Dissemination:**

- Six local presentations
- Five newspaper articles
- Two magazine/newsletter articles

► **Sustained:** Not presently sustained. Program participants, staff, volunteers, and supporters are committed to utilizing these findings to inform a second implementation effort. Members of the MBP Advisory Board, including the academic partner, continue to meet, trying to identify opportunities to share their experiences and secure additional programming support.



Community Grant Outcome Report

Name: Childhood Obesity Wellness Campaign

Grantee: Jefferson County Health Department

Contact Name; phone; e-mail: Monica Wagner; 920-675-4630; mwagner@oppinc.com

Academic Partner: Paul Neary, MD, Clinical Associate Professor, Department of Pediatrics, UW SMPH; Fort Atkinson Memorial Hospital

Program: Development

Grant Duration: 03/01/2007 to 06/30/2008 (16 months)

Expenditures: \$38,167 of \$45,040 (85% expended)

Use of Funds: Pilot program

► **Description:** This project implemented programming in Head Start Centers in Jefferson County aimed at addressing childhood obesity, which is an identified county priority.

► **Results:** The project partners identified and implemented the "I am Moving, I am Learning" best practices curriculum in Jefferson County Head Start Centers during the 2007-2008 school year. In addition, the project promoted healthy food choices in the classroom through food labs. An education speaker was brought in to present to Head Start families, teachers and staff, and health, nutrition, and fitness elements were integrated into Family Fun Nights and Parent Pages newsletters.

Based on body mass index (BMI) data collected from Head Start participants, 23% of youth decreased their BMI between the fall and spring measurement points while 40% maintained their BMI. Head Start staff noted that children were more interested in new food choices, were more likely to take a healthier portion of food, and had more stamina for physical activity.

Significantly, 100% of Head Start parents surveyed reported that their child was more willing to try new foods at home and was more involved in physical

activity at school. In addition, 90% stated that they believed their child benefitted from the obesity prevention program.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Assisted with curriculum development and modification. Also distributed obesity prevention and nutritional information to patients as part of the community outreach portion of the project.

► **Matched Dollars (cash or in-kind):** \$9,537

► **Dissemination:**

- A best practices manual on preventing childhood obesity was distributed to childcare providers across the county
- County-Wide Family Night & county-wide resource fairs
- Program evaluation was distributed to key stakeholders in the community

► **Sustained:** The Head Start Programs of Jefferson County have permanently adopted the program, integrating all components into the daily curriculum.



Community Grant Outcome Report

Name: Development of a Wisconsin Public Health Laboratory Network

Grantee: Madison Department of Public Health

Contact Name; phone; e-mail: Tommye Schneider; 608-294-5306; tschneider@cityofmadison.com

Academic Partners: Ronald H. Laessig, PhD, Professor, Population Health Sciences and Pathology, UW SMPH;
Jan Klawitter, MA, Wisconsin State Laboratory of Hygiene

Program: Development

Grant Duration: 03/01/2006 to 02/29/2008 (24 months)

Expenditures: \$36,297 of \$49,234 (74% expended)

Use of Funds: Needs assessment/plan

► **Description:** This project team developed and piloted a network of Wisconsin state and local public health laboratories. Initial tasks included assessing the current capabilities and capacities of the laboratories and outlining the ways in which these labs can meet the state's future needs.

► **Results:** This project successfully created a forum for the state's public health laboratories to share information. Thirteen public health laboratories from around Wisconsin joined together to share information about the individual labs' resources and the focus of their work, with the objective of strengthening the laboratory system. Specifically, the project: (1) strengthened linkages between public health labs and partners through meetings and the establishment of a list serve, (2) completed an assessment of testing capabilities and physical resources, (3) planned for and began addressing training needs, (4) identified workforce development issues related to local public health laboratories, (5) determined how the value of these laboratories can be better communicated to the public, and (6) explored technological enhancements to increase capabilities and efficiency. The network also created a Q&A informational document titled "Wisconsin's Local Public Health Laboratories."

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Assisted in the planning process.

► **Matched Dollars (cash or in-kind):** \$25,290

► **Dissemination:** Individual labs used "Wisconsin's Local Public Health Laboratories" to communicate the purpose and distinctive roles of these labs to community leaders.

► **Sustained:** The laboratories continue to meet as a network and utilize the list serve. Project participants have explored and discussed many options for sustaining the activities of the lab network. In 2008, the Association of Public Health Laboratories (APHL) awarded the network a one-time grant of \$8,375 to help build sustainability and continue network training and information-sharing activities. In 2009, the network became a section of the Wisconsin Association of Local Health Departments and Boards. This allows the network to have an "organizational home" as it continues its activities in the future.



Community Grant Outcome Report

Name: Family Teaming to Improve Health Outcomes in Youth

Grantee: Aurora Family Service

Contact Name; phone; e-mail: Ann Marie Starr; 414-342-4560; ann.starr@aurora.org

Academic Partner: Paul Moberg, PhD, Senior Scientist, Population Health Sciences; Deputy Director, Population Health Institute, UW SMPH

Program: Development

Grant Duration: 03/01/2007 to 08/31/2008 (18 months)

Expenditures: \$46,117 of \$49,942 (92% expended)

Use of Funds: Model adaptation, pilot testing

► **Description:** This project adapted the Family Team Meeting (FTM) model, a strengths-based best practice model for engaging families in the child welfare system, and tested its effectiveness in improving collaborative family management of chronic and acute health problems in youth.

► **Results:** Project staff convened an advisory committee of experts and stakeholders representing Milwaukee Public Schools (the project site), Aurora School Based Nurses (project facilitators), and community-based agencies (providing school-based and primary health care to children with chronic conditions). Information from focus groups and interviews with parents, FTM experts, and school officials, together with the expertise of the advisory committee, were used to revise and adapt the FTM model, along with training materials and evaluation instruments, for use with families of children with chronic and acute health problems. The adapted "family teaming" model was pilot-tested with two

families with children with long-standing chronic health conditions.

Due to unanticipated barriers and delays, however, the project was not able to pilot test the model with as many families as originally proposed.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Consultation

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:** Reported results to the advisory committee and principals of the participating schools.

► **Sustained:** Partners are seeking funding to implement the model district-wide.



Community Grant Outcome Report

Name: Fit Kids, Fit Cities

Grantee: Wisconsin Sports Development Corporation (WSDC)

Contact Name; phone; e-mail: Jordan Bingham; 608-226-4780 ext 231; jbingham@sportsinwisconsin.com

Academic Partner: Aaron Carrel, MD, Associate Professor (CHS), Department of Pediatrics, UW SMPH

Program: Development

Grant Duration: 03/01/2007 to 06/30/2008 (16 months)

Expenditures: \$36,946 of \$44,210 (84% expended)

Use of Funds: Pilot program

► **Description:** This project was aimed at increasing opportunities for physical activity for children/families as well as community members. Participants laid the groundwork for adopting comprehensive physical activity plans tailored to the needs of communities. The project identified three community-based physical activity and nutrition coalitions with both the capability and the commitment to create a more physically active community.

► **Results:** Through a competitive proposal process, the project identified and awarded pilot funds to three community coalitions: Mount Horeb on the Move, Portage County CAN (Coalition for Activity and Nutrition), and Be HIP (Healthy in Pittsville). Each community coalition formed a steering committee and conducted community and school needs assessments. These data informed the development of Community Physical Activity Plans, which were developed jointly by the community

coalitions and project staff. The Community Physical Activity Plans include specific goals and objectives that are unique to each community's identified needs, resources, and capacity for change.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Advisory role

► **Matched Dollars (cash or in-kind):** \$9,400

► **Dissemination:** Community Physical Activity Plans were disseminated within each respective community.

► **Sustained:** The three community-based coalitions are actively seeking to implement the strategies created in their Community Physical Activity Plans. The Mount Horeb and Portage County coalitions are seeking funding for implementation of their plans.



Community Grant Outcome Report

Name: Fluoridation for Healthy Communities

Grantee: Couleecap, Inc.

Contact Name; phone; e-mail: Kim Cable; 608-634-7377; kim.cable@couleecap.org

Academic Partner: James Terman, MD, Clinical Assistant Professor, Department of Family Medicine, UW SMPH; Gundersen Lutheran Onalaska Clinic

Program: Development

Grant Duration: 04/01/2007 to 03/31/2008 (12 months)

Expenditures: \$47,842 of \$50,000 (96% expended)

Use of Funds: Community education and advocacy

► **Description:** Couleecap brought together local community officials and concerned citizens in La Crosse, Monroe, Vernon, and Crawford Counties to provide education to the general public and community leaders on the dental and other benefits of optimum fluoride intake. The intention was to develop approaches for their specific communities to gather broad support for adjusting fluoride levels in their municipal water supplies.

► **Results:** Couleecap hired a Health Advocate who researched fluoridation levels of each of the 35 municipal water supplies in the four-county area and also developed fluoride education materials. Based on the findings, 12 communities expressed willingness to investigate community water fluoridation. The project chose five for specific community water fluoridation initiatives during the one-year planning process.

The Health Advocate assisted in developing/reconvening oral health advocacy groups in the Village of Holmen in La Crosse County (Citizens for Better Dental Health in Holmen) and in Prairie du Chien in Crawford County (Citizens for Better Dental Health in Prairie du Chien). Efforts of these oral health advocacy groups led to community water fluoridation referenda on the November 2008 ballot in both of these communities. Holmen's referendum

passed on November 4, but Prairie du Chien's was defeated. The communities of Cashton, Norwalk, and Ontario (Monroe County) established a multi-community steering committee to work on the issue of oral health. Development of an oral health advocacy group for these three communities is moving forward.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Integrally involved in directing the tasks of the Health Advocate and guiding the water fluoridation campaigns.

► **Matched Dollars (cash or in-kind):** \$577

► **Dissemination:**

- Distributed fluoride education materials to communities
- Presentation to WISCAP (Wisconsin Community Action Program)
- Articles in local newspapers and newsletters

► **Sustained:** Awarded a second WPP development grant in 2007 to continue work in the five targeted communities.



Community Grant Outcome Report

Name: Green City, Active People

Grantee: Center for Resilient Cities (formerly Urban Open Space Foundation)

Contact Name; phone; e-mail: Marcia Caton Campbell; 414-289-7799; marcia@resilientcities.org

Academic Partner: Blaise Nemeth MD, MS, Assistant Professor (CHS), Departments of Pediatrics and Orthopedics & Rehabilitation, UW SMPH

Program: Development

Grant Duration: 03/01/2007 to 09/30/2008 (19 months)

Expenditures: \$47,000 of \$50,000 (94% expended)

Use of Funds: Pilot programs

► **Description:** Green City, Active People is a continuation of an urban planning program that aims to reduce long-standing health disparities in Milwaukee's inner-city Fond du Lac and North Avenue neighborhoods. This development grant supported the Physical Activity and Safety (PAS) Workgroup (one of two workgroups under the Johnsons Park Health Alliance) in conducting further assessments and in designing and implementing community pilot programs.

► **Results:** The PAS Workgroup piloted three programs under this development grant: a weekly walking club, a neighborhood family-friendly walking event, and a summer youth bike safety camp. As part of each pilot program, the Workgroup conducted an assessment of the structural and social environment to identify both barriers to physical activity and factors that encouraged or promoted increased activity (i.e., bikeability assessment; assessed residents' priorities for physical activity programming).

Based on this information, the PAS Workgroup advocated for installation of two pedestrian crosswalks on two major arterial streets bordering Johnsons Park that will improve access to physical activity opportunities.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Provided consultation and technical assistance.

► **Matched Dollars (cash or in-kind):** \$59,977

► **Dissemination:** Two conference presentations

► **Sustained:** Received a three-year Impact Grant award from the Healthier Wisconsin Partnership Program to support the ongoing work of the Johnsons Park Health Alliance.



Community Grant Outcome Report

Name: Health Care Task Force on Pre- and Inter-Conception Care: Optimizing Women's Health and Increasing Access to Primary and Preventive Health Services

Grantee: Aurora Women's Health Services

Contact Name; phone; e-mail: Claudette Hamm; 414-329-5619 ext 5620; Claudette.hamm@aurora.org

Academic Partner: Tina Mason, MD, MPH, Associate Professor (CHS), Department of Obstetrics & Gynecology, UW SMPH

Program: Development

Grant Duration: 05/01/2007 to 10/31/2008 (18 months)

Expenditures: \$39,123 of \$49,567 (79% expended)

Use of Funds: Task force development

► **Description:** This project brought together a task force of healthcare systems, community health centers, social/health service agencies, and academicians for the purposes of optimizing women's health in Milwaukee County. The goal of the task force was to develop culturally appropriate strategies for: (1) improving pre- and inter-conception women's health care services and (2) increasing women's awareness and knowledge about their care and self-care before pregnancy and in between pregnancies.

► **Results:** The Health Care Task Force on Pre- and Inter-Conception Care, in partnership with the Center for Urban Population Health (CUPH), developed instruments and conducted a formative assessment of pre- and inter-conception care (PIC) in the Milwaukee area.

There were two key findings from a survey of over 100 health care providers which examined types of PIC services currently available to women, the provider's level of cultural competency, and perceptions of unmet health needs. First, providers feel the biggest challenge in providing culturally competent care is a lack of resources and educational materials to offer their patients. Second, PIC care is complicated by unplanned pregnancies, a lack of time during well woman visits, and patients' decisions to not follow provider advice due to conflicting advice from other sources.

Key findings from 13 focus groups conducted with 66 women (African-American, White, Hmong, and Latina) in target zip codes included: (1) the primary challenges in receiving PIC are cost of care and insurance status and (2) these women experience conflicts between provider advice and familial/cultural traditions when it comes to PIC. A significant finding from this project is that patients need a forum in which to ask health questions of professionals outside of providers' offices. The Task Force used these data to develop an implementation plan and to prioritize action plan objectives.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Consultation

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- Project results disseminated to all local stakeholders and participant clinics
- Presentation at national conference
- Plans for manuscript submission

► **Sustained:** Partners plan to move forward with implementation.



Community Grant Outcome Report

Name: Increasing Breastfeeding Rates in Milwaukee County

Grantee: Milwaukee County Breastfeeding Coalition

Contact Name; phone; e-mail: Mary Shaw; 414-219-5387; m.elizabeth.shaw@aurora.org

Academic Partner: Kristen Reynolds, MD, Assistant Professor (CHS), Department of Family Medicine, UW SMPH

Program: Development

Grant Duration: 05/01/2007 to 09/30/2008 (17 months)

Expenditures: \$46,730 of \$49,454 (94% expended)

Use of Funds: Build knowledge base; implementation plan

► **Description:** The Milwaukee County Breastfeeding Coalition, in partnership with UW-Milwaukee College of Nursing, conducted planning activities to develop a program to increase initiation and duration of breastfeeding in Milwaukee County.

► **Results:** The project team conducted focus groups with low-income, primarily African-American mothers to determine how women make feeding decisions for their infants. The team also surveyed health care providers, lactation consultants, and WIC (Women, Infants, and Children) lactation support staff to assess available and needed services for breastfeeding mothers in the community. WIC participants were surveyed to assess resources, assets, and barriers to initiating and continuing breastfeeding.

Identified barriers to breastfeeding include lack of education about the importance of breastfeeding, misinformation, lack of support upon return to work/school, and lack of breastfeeding role models. Of those who did initially breastfeed, concern about milk supply was the primary reason reported for stopping. The project team created an asset map of breastfeeding resources in Milwaukee County based on findings.

The project team also reviewed best practices for breastfeeding and developed an implementation

plan utilizing evidence-based programming to promote an increase in breastfeeding with differing populations in Milwaukee County.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** The named academic partner served in a consultative role, but her participation was limited by time constraints. Dr. Teresa Johnson, Associate Professor of Nursing at UW-Milwaukee, also served as a de-facto academic partner and provided guidance to the project team.

► **Matched Dollars (cash or in-kind):** \$4,659

► **Dissemination:**

- 4 poster presentations at local conferences
- Oral presentation at May 2008 "Building Bridges" Conference

► **Sustained:** Seeking funding to support the education of women, support individuals, and employers about the importance and benefits of breastfeeding and implement research-based strategies aimed at supporting families to increase initiation and duration of breastfeeding.



Community Grant Outcome Report

Name: Noj Zoo, Nyob Zoo (Eat Well, Live Well) - A Hmong Community Health Promoter Project

Grantee: Hmong American Women's Association, Inc. (HAWA)

Contact Name; phone; e-mail: Maytong Chang; 414-342-0858; maytongc@sbcglobal.net

Academic Partner: Kalyani Rai, PhD, Assistant Professor, Center for Urban Community Development, UW-Milwaukee School of Continuing Education

Program: Development

Grant Duration: 03/01/2007 to 05/31/2008 (15 months)

Expenditures: \$50,000 (100% expended)

Use of Funds: Health education curriculum development and training

► **Description:** The community and academic partners adapted a *Promotora* community health promoter's curriculum for use in the Hmong community and trained Hmong women in Milwaukee in its use.

► **Results:** The partners in this project took a *Promotora* health promoter training curriculum used in Latino communities and successfully modified it for use in the Hmong community. Surveys of 169 Hmong individuals in Milwaukee were used to (1) identify critical health concerns to incorporate into the training curriculum and (2) establish new partnerships to help address identified health needs. The modified curriculum, which includes 11 training sessions, incorporates culturally and linguistically congruent materials to address barriers to health information and services in the Hmong community in Milwaukee.

Project leaders recruited 21 Hmong women from Milwaukee to participate in the health promoter

trainings. Participation in the training sessions ranged from 67% to 100%, and over 80% reported being satisfied or highly satisfied with the trainings. Proposed six-month post-training follow-up with participants did not take place during the grant period.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Modified curriculum and helped train facilitators; helped develop evaluation tools, conduct evaluation, and analyze data.

► **Matched Dollars (cash or in-kind):** \$20,000

► **Dissemination:** Conference presentation

► **Sustained:** Partners are seeking funding to sustain program.



Community Grant Outcome Report

Name: Northern Wisconsin Child and Adolescent Psychiatry Access Project (CAPAP)

Grantee: St. Mary's Hospital

Contact Name; phone; e-mail: Gina Koepl; 715-361-2926; gkoepl@shsmh.org

Academic Partner: John Greist, MD, Clinical Professor, Department of Psychiatry, UW SMPH

Program: Development

Grant Duration: 03/01/2007 to 08/31/2008 (18 months)

Expenditures: \$38,188 of \$49,945 (76% expended)

Use of Funds: Needs assessment/plan

► **Description:** The goal of CAPAP was to design a coordinated system of psychiatric care delivery for children up to age 17 with significant mental health issues. The project focused on Oneida, Forest, Vilas, and Lincoln Counties. These counties include four tribal communities - Lac du Flambeau Band of Lake Superior Chippewa, Forest County Potawatomi, Sokaogon Mole Lake Band of the Lake Superior Chippewa, and Lac Vieux Desert Band of Lake Superior Chippewa.

► **Results:** The CAPAP core team re-established the Ministry Behavioral Health Network and, through surveys and focus groups, identified four systemic obstacles to accessing mental health services for children: (1) workforce shortages, (2) complexity of patient care issues such as medications cautions and multiple systems involvement, (3) the fee-for-service methods of reimbursement for mental health services, and (4) traditional care delivery models that lead to fractured and inefficient care.

To address the workforce shortage, CAPAP created a workforce development plan that includes: (1) an information and recruitment forum for individuals in northern Wisconsin with a Bachelor of Science in Nursing (BSN) interested in pursuing Advanced Pediatric Nurse Practitioner (APNP) credentials in psychiatry, child psychiatry, family practice, and pediatrics, and (2) a clinical practicum experience for APNP's in the community.

Team members also designed an integrated care delivery system which includes an integrated clinic with a multidisciplinary team, a referral and treatment network/system, and a coordinated system of care for complex cases, and hosted a community-wide forum on funding issues affecting

access to mental health services in the community. Not successfully completed was a ready-to-implement design for clinic services. The partners also created the Community-Based Collaborative System of Care group to develop policies and procedures for implementation.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Consultation

► **Matched Dollars (cash or in-kind):** \$41,764

► **Dissemination:**

- Presentations to several local groups as well as The Governor's Council Subcommittee on Mental Health for Children and Youth
- Committee advisory to the Department of Family Services

► **Sustained:** The Ministry Behavioral Health Network remains committed to developing an integrated, multidisciplinary psychiatric clinic for children and adolescents. The CAPAP-led development of a collaborative system of care for children continues in the form of the 2008-2009 Oneida County Mental Health Inter-Agency Council Community Team through the Healthier Wisconsin Leadership Institute which focuses on identifying funding sources for coordinated care. The CAPAP group was also successful in gaining approval from the Ministry Medical Group to pursue a child psychiatrist for a position which permits 50% of professional time to be used for case consultation throughout the region.



Community Grant Outcome Report

Name: Planning a Multicultural Women's Education Program to Eliminate the Stigma of Depression

Grantee: Wisconsin United for Mental Health

Contact Name; phone; e-mail: Marilyn Duguid; 608-251-1675; mduguid@wwhf.org

Academic Partner: Linda Denise Oakley, PhD, RN, Professor, School of Nursing, UW-Madison

Program: Development

Grant Duration: 03/01/2007 to 08/31/2008 (18 months)

Expenditures: \$47,817 of \$48,336 (99% expended)

Use of Funds: Needs assessment/plan

► **Description:** The goal of this project was to (1) increase knowledge of how mental illness and stigma impact the lives of depressed reproductive-age women and (2) translate this knowledge into targeted multicultural anti-stigma education and awareness programming.

► **Results:** Project staff conducted focus groups with 49 women recruited from five public health service sites in Superior, Stevens Point, Milwaukee, and Madison. Most participants had mild to moderate symptoms of depression. Data analysis was ongoing at the end of the grant period. Preliminary findings from the focus groups indicate that, compared with less depressed women, women who were more depressed had more general concerns about stigma and more concerns with secrecy. Participants (black and Latina as well as white women) also perceived significant gender-based stigma regarding depression. Findings were used to put together an implementation plan to develop and test targeted anti-stigma educational

efforts.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Lead on research elements of project, including focus group design, IRB, and compilation/analysis of data.

► **Matched Dollars (cash or in-kind):** \$66,844

► **Dissemination:**

- Results were shared with research sites
- Reports were made to the Wisconsin United for Mental Health Board and the grant Advisory Board
- There will be further presentations and manuscript submissions when the data analysis is complete

► **Sustained:** Partners are pursuing funding from the National Institute for Mental Health for implementation.



Community Grant Outcome Report

Name: Preventing Substance Abuse Among LGBTQ Youth in Wisconsin

Grantee: Diverse and Resilient, Inc.

Contact Name; phone; e-mail: Gary Hollander; 414-390-0444; director@diverseandresilient.org

Academic Partner: Kathleen Oriol, MD, MS, Associate Professor (CHS), Department of Family Medicine, UW SMPH

Program: Development

Grant Duration: 05/01/2007 to 09/30/2008 (17 months)

Expenditures: \$48,760 (100% expended)

Use of Funds: Build knowledge base, develop coalition

► **Description:** This project was designed to increase the knowledge, awareness, resources, and capacity to prevent and reduce alcohol and other drug use among LGBTQ (lesbian, gay, bisexual, transgender, and questioning) youth in Wisconsin.

► **Results:** To provide oversight, the project staff expanded the Wisconsin LGBT Youth Health team, one of the community teams participating in the Healthy Wisconsin Leadership Institute's program, and developed a new Wisconsin LGBT Youth Coalition. The project completed a literature review of evidence-based substance abuse prevention programs for youth. Project partners then developed and implemented a prevention program adapted for use among LGBTQ youth in Wisconsin.

The project also increased knowledge of risk behaviors of LGBTQ youth. This was achieved by adding questions on sexual identity and behavior to the Youth Behavior Risk Survey (YBRS), analyzing YBRS data, and disseminating results in the *Status*

Report on LGBTQ Youth in Wisconsin.

► **Met Objectives:** Project completed

► **Baseline Progress on State Health Plan Objectives:** Not measured

► **Academic Partner Role:** Advice and guidance, literature review, assisted in data analysis, linked community partners to other faculty in UWSMPH.

► **Matched Dollars (cash or in-kind):** \$8,537

► **Dissemination:**

- Press releases and web-based articles
- Meetings with LGBT Youth Health Coalition
- Meetings with Wisconsin Department of Health Services
- Release of the *Status Report on LGBTQ Youth in Wisconsin*

► **Sustained:** Partners are currently seeking funding for implementation.

DRAFT Minutes
UW School of Medicine and Public Health
Medical Education and Research Committee (MERC)
July 13, 2009 at 5:00PM – Room 4201 Health Sciences Learning Center

Members Present: Paul DeLuca, Marc Drezner (phone), Craig Kent, Robert Lemanske, Pat McBride, Greg Nycz, Tom Oliver, Pat Remington, Clive Svendsen, Rod Welch

Members Absent: Betty Chewning, Susan Goelzer, Paul Moberg

Guests: Bill Busse, Tracy Cabot, Norm Drinkwater, Robert Golden, Cindy Haq, Rick Moss, Gordon Ridley, Kris Sorkness

Staff: Cathy Frey, Tonya Mathison, Ken Mount, Eileen Smith, Karla Thompson

1. Call meeting to order

DeLuca called the meeting to order at 5:10pm. The meeting opened with a surprise celebration of Paul DeLuca's contributions to the Wisconsin Partnership Program as the Chair of MERC since June 2004. DeLuca accepted a position as UW-Madison's Provost and Vice Chancellor for Academic Affairs.

2. Announcements

Rick Moss as Chair

Golden announced the appointment of Rick Moss, Senior Associate Dean for Basic Research, Biotechnology and Graduate Studies, as chair of MERC. Moss is filling an unexpired term through June 30, 2011.

Strategic award for *Reducing Cancer Disparities through Comprehensive Cancer Control*

Dean Golden awarded \$399,079 over three years to James Cleary, MD, Associate Professor of Medicine, for the Strategic Initiatives Allocation reapplication for *Reducing Cancer Health Disparities through Comprehensive Cancer Control* to test a navigator-directed cancer information intervention designed to improve patient-centered outcomes among rural lung and colorectal cancer patients.

Wisconsin United for Health Foundation, Inc. meeting

Dean Golden will be presenting the 2008 Annual Report to the Wisconsin United for Health Foundation, Inc. (WUHF) on September 2. Rick Moss is attending on behalf of the MERC.

3. Approval of June 8, 2009 and June 17, 2009 Joint OAC/MERC minutes

There was unanimous approval of the draft minutes of the June 8, 2009 MERC meeting and the June 17, 2009 joint OAC and MERC meeting.

4. Discussion and decision on targeted reapplication for the *Institute for Clinical and Translational Science Award**

Remington provided an overview of MERC's discussion in June of the targeted reapplication for the Institute for Clinical and Translational Science Award. A funding decision was made later in the meeting.*

5. Oversight and Advisory Committee report

Nycz provided an overview of the May 11, 2009 OAC meeting. The committee welcomed Christine Holmes, President and CEO of the Penfield Children's Center, as a new public member. Holmes is an advocate for child health and well-being with nearly three decades of national leadership and advocacy experience in health and human services. There was an announcement that Tom Oliver assumed leadership as faculty director for the *Healthy Wisconsin Leadership Institute* and *Population Health Fellowship Program*, formerly held by Pat Remington, who stepped down due to his new role as Senior Associate Dean for Public Health.

The Healthy Birth Outcomes Steering Committee met in May and continued to discuss its three major goals: coordinating a public awareness and media campaign, engaging funding partners, and releasing a Request for Applications (RFA) for community organizing and planning. On May 27, Phil Farrell, Chair of the Steering Committee was interviewed on the national public radio show *The Takeaway* by WNYC in New York City – the program was titled *Keeping Babies Alive: What worked in Wisconsin*. Smith added that an event is being held by the University of Wisconsin Foundation on September 17 at Discovery World focused on the work of the UW School of Medicine and Public Health (SMPH) in Milwaukee. The event will feature the Healthy Birth Outcomes Initiative along with several other UW School of Medicine and Public Health (SMPH) initiatives in Milwaukee.

OAC continued with its strategic planning discussion, which will continue monthly through October. The committee is working through a series of targeted questions as we consider priorities for the initiatives set-forth in the 2009-2014 Five-Year Plan. Barbara Bowers from the UW School of Nursing presented information on the Community-Academic Partnership Evaluation.

6. Discussion and decision on revised review process for grantee progress, financial status and final reports

Smith provided an overview of the review process for grantee progress, financial status and final reports. Two MERC members will be assigned by the Chair to review the interim progress reports for projects of \$500,000 and above, and all final reports. The reviews will then be discussed by the full committee, in some cases in conjunction with a progress report presentation by the Principal Investigator. WPP staff review the remaining reports and notify MERC of any concerns. All reports will be made available to MERC via the restricted website.

7. Financial reports

MERC cash flow and financial projections

Mount presented the financial projections for the Wisconsin Partnership Program through June 2009. Mount clarified that the decrease in the value of endowment does not impact the value of MERC's spendable reserves of \$20 million.

2008 Annual Report MERC non-supplanting attestation

Mount presented his annual attestation of non-supplanting for MERC initiatives. All MERC initiatives listed on the attestation document, including the Strategic Initiatives Allocation, were reviewed in detail to determine whether use of the WPP funds had complied with the supplanting prohibition in the Insurance Commissioner's Order, as specified in the criteria set forth in the addendum of the 2004-2009 Five-Year Plan, and as approved by WUHF.

Mount determined that financial support by the WPP of the initiatives does not result in supplanting and recommended approval of the attestation by MERC. Nycz moved approval of the non-supplanting attestation as distributed. McBride seconded and the motion was unanimously approved. Mount reported that non-supplanting attestations will also be signed by Dean Golden on behalf of the SMPH and by Darrell Bazzell on behalf of the UW System and UW-Madison.

8. Discussion and decision on Wisconsin Partnership Program 2008 Annual Report

Smith presented an overview of the 2008 Annual Report. Since the committee was reorganized and many members were not on the committee in 2008, Smith asked for acceptance of the report. Nycz commented on the comprehensiveness of the report and made a motion to accept it as distributed. McBride seconded and the motion was unanimously approved.

9. Presentation and decision on *Human Proteomics Program* targeted reapplication*

Rick Moss, PhD, presented an overview of the targeted reapplication for the *Human Proteomics Program* (HPP), including a progress report since inception. \$200,000 is requested over two years to provide service contracts for the mass spectrometers and to cover supplies used for proof-of-concept and feasibility studies involving new investigators. The overall mission of the HPP is to improve the health through a program of research dedicated to understanding the basis for human health and disease, identifying potential molecular targets for the treatment of disease, and developing high-throughput assays for early detection of disease and risk of disease.

Nycz and Remington commented on the new shared service model of the HPP. In response to questions, Moss clarified that the HPP provides hands-on training for users of its mass spectrometers. By training users, the instruments can be utilized at all times. Moss noted that

through a relationship with Molecular Diagnostics, HPP will continue to work towards identifying biomarkers.

A funding decision was made by MERC later in the meeting.*

10. Discussion of 2005 New Investigator Program grant, *Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients**

Discussion and a funding decision on the 2005 New Investigator Program grant, *Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients*, was discussed later in the meeting.*

***Adjournment-Closed Session: Pursuant to Wis. Stat. 19.85(1) (c), (e) and (f) to make a recommendation concerning the awarding of a competitive targeted grant and a request from a Principal Investigator regarding a competitive grant. If adjournment is necessary, the meeting is expected to reconvene into open session.**

DeLuca asked members to indicate any conflicts of interest on the applications under consideration. There being none, Lemanske moved adjournment of the meeting into closed session pursuant to Wisconsin Statute 19.85(1) (c), (e) and (f) to make a recommendation concerning the awarding of competitive targeted grants and a request from a Principal Investigator regarding a competitive grant. Oliver seconded and the motion was unanimously approved.

Oliver made a motion to return to open session after considerable discussion of the two competitive targeted reapplications, the *Institute for Clinical and Translational Science Award* and the *Human Proteomics Program*, as well as discussion of the 2005 New Investigator Program grant, *Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients*. Remington seconded and the motion was unanimously approved.

After returning to open session, MERC reaffirmed a decision made in closed session to discontinue the 2005 New Investigator Program grant, *Effects of Statin Therapy on Vascular Properties and Outcomes in Diastolic Heart Failure Patients*.

Remington moved approval of the competitive targeted reapplication for the *Institute of Clinical and Translational Science Award* with a request for additional budget information related to in-kind contributions of key personnel on the grant. McBride seconded and the motion was unanimously approved. Drezner will receive \$10,185,996 over three years. The reapplication budget was reduced by 25% and included the incorporation of the *Wisconsin Network for Health Research* program.

McBride moved approval of the competitive targeted reapplication for the *Human Proteomics Program*. Remington seconded and the motion was unanimously approved. Moss will receive \$200,000 over two years. When MERC's funding ends, the Human Proteomics Program is

expected to be financially independent through support from fee-for-service income and extramural grants, including R01, P01, and center grants.

11. Next meeting – September 14,2009

DeLuca reported that the August 10 MERC meeting has been cancelled. The next meeting will take place on September 14. The meeting was adjourned at 7:15pm.

Recorder, Tonya Mathison



Medical Education and Research Grant Outcome Report

Name: Wisconsin Academy for Rural Medicine (WARM)

Principal Investigator: Byron Crouse, MD, Professor and Associate Dean for Rural and Community Health

Phone/e-mail: 608-265-6727/bjrcrouse@wisc.edu

Department: Family Medicine

Program: Targeted Program

Grant Duration: 01-01-06 to 6-30-08 (30 months)

Expenditures: \$133,462 of \$178,014 (75% expended)

Use of Funds (Taxonomy): Education

Research Keywords: Rural Wisconsin, rural medical education

► **Description:** WARM is intended to improve access to health care in rural areas and to advance the health of the people of rural Wisconsin by increasing the number of UW School of Medicine and Public Health (SMPH) graduates who practice in rural Wisconsin communities. The aim is to admit 25 new medical students per year by targeting students most likely to develop rural medical practices in a variety of specialty areas.

► **Results:** The second class of (13) WARM students began in fall 2008; the first WARM students are expected to graduate from UW SMPH in 2011. The Rural Health Interest Group has already become an active student organization, and other school-wide events and speakers have focused on rural health. Due in part to these events, the number of UW SMPH graduates who selected a rural or rural-focused residency increased in 2008. In 2007, 8.1% of UW SMPH students indicated that they plan to practice medicine in a rural/unincorporated area, up from just 0.9% in 2005. Education about the program, and identification of prospective students, occurs through: presentations to premed clubs at colleges and universities throughout the state, through outreach to high school students, and at an annual WARM symposium.

The WARM program has engaged rural communities, hospitals, clinics, and physicians in training future rural physicians.

It is expected that by the year 2018, approximately 50 WARM alumni could be practicing medicine in various specialties throughout rural Wisconsin. The increase in rural physicians can help to address the

challenges and barriers that rural residents face in accessing health care and developing and maintaining healthy lifestyles.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 5-7 years

► **New Partnerships or Collaborations:**

- Marshfield Clinic, Gundersen Lutheran, Aurora BayCare, and their respective rural clinics—to provide rural learning environments for WARM students in their third and fourth years of medical school
- Other UW-Madison schools and departments—to provide content experts for rural electives
- Other professional programs (e.g., Physical Therapy, Physicians Assistant) regarding opportunities for partnerships

► **Contributions to the Transformation:** Addressing population health and community health in rural areas, and integrating public health instruction in all four years of the curriculum.

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- WARM cited in: *Academic Medicine; The National AHEC Bulletin (Winter 07)*
- Numerous news/media items

► **Additional Funding:** WARM is able to capture 75% of WARM student tuition dollars to sustain the program, and dollars follow the students to their regional and rural learning communities.



Medical Education and Research Grant Outcome Report

Name: Androgen Receptor as an Immunological Target for the Treatment of Prostate Cancer

Principal Investigator: Douglas McNeel, MD, PhD, Associate Professor

Phone/e-mail: 608-263-4198/dm3@medicine.wisc.edu

Department: Medicine – Hematology/Oncology

Program: New Investigator Program

Grant Duration: 04-01-06 to 03-31-08 (24 months)

Expenditures: \$99,906 (100% expended)

Use of Funds (Taxonomy): Type 1 translational research

Research Keywords: Prostate cancer, androgen receptor, tumor vaccine, immunology

► **Description:** Prostate cancer is the most commonly diagnosed cancer in the United States. The purpose of this study was to determine whether a protein important to the progression of prostate cancer, the androgen receptor (AR), could be a possible target for anti-prostate tumor vaccines. The investigators used two approaches to test this: (1) to determine whether they could culture CD8+ T cells specific for the AR from the peripheral blood of patients with prostate cancer, and whether these could attack human prostate cancer cells; and (2) to determine whether a vaccine with a portion of the AR can produce androgen receptor-specific CD8+ T cells in mice and anti-prostate tumor responses in a rat model.

► **Results:** This was the first exploration of the AR as an immunological target antigen. The research successfully showed that the AR is a potential immuno-therapeutic target antigen for prostate cancer.

Aim 1: The results revealed that CD8+ T cells specific for the AR already exist in patients with prostate cancer, and some have the ability to attack prostate cancer cells.

Aim 2: Analysis is nearing completion, demonstrating that it is possible to immunize mice with a DNA vaccine encoding a portion of the AR, and to generate the same immune responses that were seen in human blood samples—specifically, the ability to attack prostate cancer cells.

This research proved highly successful in revealing that the AR could be further pursued as a target antigen.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 3-5 years

► **New Partnerships or Collaborations:**

Collaborations with UW School of Medicine and Public Health investigators and other academic investigators around the world whose focus is evaluating anti-tumor vaccines.

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- Published article: *Prostate Journal*
- Two published abstracts: 99th meeting of the American Association for Cancer Research
- Oral presentation (national): Tumor Vaccine and Cell Therapy Working Group: Immunotherapy of Cancer XIV
- Articles submitted for publication
- Work with Wisconsin Alumni Research Foundation continues on patent

► **Additional Funding:** \$976,673 (3-year funding) from Department of Defense Prostate Cancer Research Program. A National Institutes of Health R01 application is under review. The investigator is also preparing a SPORE application for submission in 2009.



Medical Education and Research Grant Outcome Report

Name: Cellular and Viral Determinants of Human Cytomegalovirus Lytic and Latent Replication Cycles

Principal Investigator: Robert F. Kalejta, PhD, Assistant Professor

Phone/e-mail: 608-265-5546/rfkalejta@wisc.edu

Department: Oncology

Program: New Investigator Program

Grant Duration: 02-01-06 to 08-31-08 (30 months)

Expenditures: \$100,000 (100% expended)

Use of Funds (Taxonomy): Basic research

Research Keywords: Cytomegalovirus, latency, gene expression, atherosclerosis, cancer

► **Description:** Human cytomegalovirus (HCMV) is a widespread pathogen that infects the majority of the population. It causes birth defects, promotes disease in immunocompromised patients, and likely contributes to atherosclerosis and certain cancers.

HCMV infections are life-long because the virus can enter and exit a dormant state called latency, in which it avoids detection by the host's immune system. Cellular determinants that control the latency of HCMV are unknown, and there are no antiviral treatments for latently infected cells. This contributes to our inability to cure certain viral infections such as HCMV and human immunodeficiency virus (HIV).

The investigators set out to: (1) determine if a certain cellular protein, Daxx, is responsible for latent viral infections, (2) identify any cellular proteins that control the localization of the pp71 protein inside cells, and (3) identify any viral protein that may control pp71 localization.

► **Results:** The results revealed that, in order to establish latency, HCMV appears to use one of the cell's antiviral defenses that evolved to inhibit productive (lytic) infection. The results also allowed the investigators to propose a model in which certain other viruses may use cellular defenses as a way to establish latent infections—thus allowing the virus to avoid immune detection while co-existing for the life of the host.

Specifically, the findings revealed that the Daxx protein silences HCMV gene expression when quiescent infections that resemble latency are

established. Daxx is also involved in true latent infections in the more physiologically relevant CD34+ stem cells. In addition to this cellular protein, the investigators concluded that a viral protein also contributes to the viral gene silencing observed when latent infections are established. Other work determined that cellular proteins, and not viral proteins, are likely to control the sub-cellular localizations of pp71.

The findings offer an innovative approach that changes the way scientists think about antiviral defenses and latent infections. The findings also identified a new cellular target (Daxx) for a potential antiviral treatment. Because cellular genes mutate much more slowly than do viral genes, resistance is much less likely to develop against drugs that affect cellular proteins. As cellular targets for antiviral treatment attract more attention, these results point to a specific type of cellular proteins that may be key treatment targets.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 5-7 years

► **New Partnerships or Collaborations:** None

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- Published article: *Journal of Virology*
- Presentations/posters at: International Herpesvirus Workshop; American Society for Virology Conference; Gordon Research Conference; American Society for Microbiology Conference

► **Additional Funding:** National Institutes of Health—5-year funding at \$225,000 per year.



Medical Education and Research Grant Outcome Report

Name: Creation of a Bovine *Cryptosporidium* Vaccine to Reduce Outbreaks in Human Populations

Principal Investigator: Laura J. Knoll, PhD, Associate Professor

Phone/e-mail: 608-262-3161/ljknoll@wisc.edu

Department: Medical Microbiology & Immunology

Program: New Investigator Program

Grant Duration: 03-01-07 to 07-30-08 (16 months)

Expenditures: \$100,000 (100% expended)

Use of Funds (Taxonomy): Basic research

Research Keywords: Parasite, vaccine, antigens, *Cryptosporidium*, *Toxoplasma*

► **Description:** Illness and mortality stemming from the *Cryptosporidium* parasite are problems in Wisconsin (where the country's largest outbreak occurred in Milwaukee in 1993) and nationwide. Limited treatment options for *Cryptosporidium* point to the need for a vaccine. Since cattle are a known source for *Cryptosporidium* outbreaks in humans, a bovine vaccine—with commercial applications in the dairy industry—would reduce bovine-to-human transmission. This development would have a tremendous health impact on the state's population.

The aim was to: (1) express *Cryptosporidium* surface antigens in non-disease-causing strains of a closely related parasite, *Toxoplasma gondii*, and (2) test whether the vaccine strain was protective in mice.

► **Results:** Aim 1: The antigen Cpgp40/15 was expressed on the surface of the *T. gondii* strain. Aim 2: Preliminary results show that the strain was protective against lethal doses of *Cryptosporidium*.

These experiments will be repeated with larger numbers of mice, and with sub-lethal doses of *Cryptosporidium*. The intention is to quantify the protective immune response and ultimately the effectiveness of the vaccine.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 5-7 years

► **New Partnerships or Collaborations:** Collaborations with researchers at Tufts University, and with the UW School of Veterinary Medicine.

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:** Work continues with Wisconsin Alumni Research Foundation on licensing issues related to vaccine development.

► **Additional Funding:** Dr. Roberta O'Connor in Dr. Ward's lab (Tufts University) received a National Institutes of Health R21 grant, part of it involving further research on the *Toxoplasma/Cryptosporidium* vaccine. Dr. Knoll is a collaborator on this grant.



Medical Education and Research Grant Outcome Report

Name: Does Treatment of Hypovitaminosis D Increase Calcium Absorption

Principal Investigator: Karen E. Hansen, MD, Assistant Professor

Phone/e-mail: 608-263-3457/keh@meidcine.wisc.edu

Department: Medicine – Rheumatology

Program: New Investigator Program

Grant Duration: 03-01-07 to 02-28-09 (24 months)

Expenditures: \$100,000 (100% expended)

Use of Funds (Taxonomy): Type 1 translational research

Research Keywords: Calcium absorption, menopause, nutrition, treatment, vitamin D

► **Description:** Vitamin D insufficiency (VDI) occurs in over 50% of postmenopausal women in Wisconsin and is believed to cause low calcium absorption, contributing to osteoporosis. If research shows that correcting VDI improves calcium absorption and bone health, such data may have a significant impact on public health policy at the state and national level.

The investigators recruited and studied 19 postmenopausal women with VDI. Women's calcium absorption was measured when vitamin D insufficient and later when vitamin D replete.

► **Results:** Researchers demonstrated that calcium absorption increased (3%, $p=0.04$) with correction of VDI. These findings filled a knowledge gap and might assist experts in future determination of optimal vitamin D intake for older adults.

Existing literature does not demonstrate whether a 3% increase in calcium absorption corresponds with improved skeletal health or muscle fitness. The data collected, however, have established the foundation for future extra-mural funding for research related to VDI.

In addition, Dr. Hansen was recognized nationally as an expert in the field of vitamin D research.

► **Met Objectives:** Project completed

► **Timeline for Application of Result.s:** 5-7 years

► **New Partnerships or Collaborations:** Hansen's research team was interdisciplinary and included UW staff within the Waisman Biomanufacturing Facility, the Pharmaceutical Research Center, the General Clinical Research Center, the Wisconsin State Laboratory of Hygiene and the Biostatistics Department.

► **Matched Dollars (cash or in-kind):** \$113,084

► **Dissemination:**

- Published article: *Journal of Bone and Mineral Research*
- Four articles to be submitted for publication
- Oral presentation (national): American College of Rheumatology
- Two upcoming oral presentations (national): American Society for Bone and Mineral Research; Institute of Food Technologies
- Interview for national NBC news program

► **Additional Funding:** National Institutes of Health funding was requested for a large placebo-controlled trial evaluating the value of low-dose and high-dose vitamin D for postmenopausal women with VDI. Study outcomes include the change in calcium absorption, bone mass, and muscle fitness. If funded, the study will assist the Food and Nutrition Board in its determination of the optimal dose and serum 25(OH)D level for postmenopausal women.



Medical Education and Research Grant Outcome Report

Name: Epidemiology of Antibiotic Resistance in Wisconsin Nursing Homes

Principal Investigator: Christopher J. Crnich, MD, MS, Assistant Professor

Phone/Email: 608-263-1545/cjc@medicine.wisc.edu

Department: Medicine – Infectious Diseases

Program: New Investigator Program

Grant Duration: 03-01-07 to 08-31-08 (18 months)

Expenditures: \$98,462 of \$100,000 (98% expended)

Use of Funds (Taxonomy): Clinical research

Research Keywords: Long-term care, antibiotic resistance, methicillin-resistant *Staphylococcus aureus*

► **Description:** Infections caused by antibiotic-resistant bacteria significantly increase patient morbidity and mortality. Most efforts to understand the epidemiology of antibiotic resistance are focused on hospitals; there is very little research on the dynamics of resistance in nursing home settings.

The long-term objectives are to understand the scope and patterns of antibiotic-resistant bacteria in nursing homes. Researchers focused on three aims, using a sample of nursing homes in central Wisconsin: (1) estimate the prevalence of methicillin-resistant *Staphylococcus aureus* (MRSA) and fluoroquinolone-resistant gram-negative bacilli (FQRGNB), (2) estimate the incidence of MRSA and FQRGNB, (3) estimate the variation in MRSA and FQRGNB cross-transmission.

► **Results:** Preliminary data show a surprisingly high prevalence: 53% of subjects were colonized with one or more antibiotic-resistant bacteria. Rates of MRSA colonization ranged from 12 to 38%; rates of FQRGNB ranged from 21 to 49%.

Preliminary analysis of data provides indirect evidence that cross-transmission is occurring in these nursing homes. Interestingly, subjects who had two or more roommates were three times as likely to be colonized with MRSA and/or FQRGNB. Data further indicated considerable clustering, suggesting a common source exposure for these subjects.

Data collection and analysis is still under way, but the data to date demonstrate that antibiotic-resistant bacteria are ubiquitous in nursing homes. Rather

than acting as passive reservoirs, nursing homes can play an active role in generating antibiotic resistance—through cross-transmission between residents.

These findings are an important step towards developing interventions for infection control in nursing homes. Investigators' future work will clarify the amount of cross-transmission in nursing homes and will begin to evaluate the mechanisms that facilitate cross-transmission.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 3-5 years

► **New Partnerships or Collaborations:** Potential collaborations with Wisconsin Institute for Clinical and Translational Research (ICTR) and active collaborations with investigators at three other universities and VA facilities.

► **Matched Dollars (cash or in-kind):** \$253,913

► **Dissemination:**

- Published abstracts: Society for Healthcare Epidemiology of America
- Poster and presentation: 2008 American Geriatrics Society and 2009 ASP-T Franklin Williams Scholars Alumni meetings
- Article submitted for publication: *Journal of the American Geriatrics Society*

► **Additional Funding:** An RO1 application to the National Institute of Aging will be submitted in the fall, followed by a Merit grant application to the VA HSR&D in the early winter.



Medical Education and Research Grant Outcome Report

Name: GLI2 Protein Stabilization in the Activation of Hedgehog Signaling Pathway in Prostate Cancer

Principal Investigator: Vladimir Spiegelman, MD, PhD, Assistant Professor

Phone/e-mail: 608-265-8197/spiegelman@dermatology.wisc.edu

Department: Dermatology

Program: New Investigator Program

Grant Duration: 03-01-06 to 02-28-08 (24 months)

Expenditures: \$100,000 (100% expended)

Use of Funds (Taxonomy): Basic research

Research Keywords: Prostate cancer, Hedgehog signaling pathway, Gli2

► **Description:** A major reason for the lack of satisfactory management of prostate cancer is limited understanding of prostate tumor formation. Recent studies have shown that the Hedgehog (Hh) signaling pathway plays a key role in the development of prostate cancer. Data imply that increased pathway activity may distinguish metastatic from localized prostate cancer; manipulating the pathway can modify the degree of invasiveness and metastasis. Studying the Hh signaling pathway during prostate tumor formation will provide new opportunities to develop therapeutic targets for the disease. Agents inhibiting this pathway could become useful in anti-tumor therapies for prostate cancer.

► **Results:** The results of this study significantly contributed to understanding the development of human prostate tumors, providing opportunities for developing new interventions. The investigators discovered that the stability of the Gli2 protein plays an important role in regulating cellular response to the Hedgehog (Hh) pathway.

Gli2 transcription factor was found to have significant effects on the malignant transformation of prostate cancer cells. Gli2 may become a target for future therapies, especially for patients with high-grade and/or metastatic prostate cancer.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** Unknown

► **New Partnerships or Collaborations:**

- Collaboration with several groups at UW School of Medicine and Public Health and nationally
- Collaboration with Anne M. Traynor, MD (UWCCC member: Experimental Therapeutics), to study the role of Gli2 as a variable in early-stage disease

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- Published articles: *Cancer Research; Journal of Biological Chemistry*
- Work with Wisconsin Alumni Research Foundation continues on two patents for Gli2 inhibition to treat prostate and other cancers

► **Additional Funding:** None



Medical Education and Research Grant Outcome Report

Name: Molecular Mechanisms of Lung Organogenesis, Tumorigenesis, and Asthma

Principal Investigator: Xin Sun, PhD, Assistant Professor

Phone/e-mail: 608-265-5405/xsun@wisc.edu

Department: Medical Genetics

Program: New Investigator Program

Grant Duration: 08-01-05 to 07-31-08 (36 months)

Expenditures: \$100,000 (100% expended)

Use of Funds (Taxonomy): Basic research

Research Keywords: Lung, organogenesis, disease, genetics, gene expression

► **Description:** The goal of this project is to better understand the molecular and genetic mechanisms involved in lung formation and lung diseases such as cancer and asthma. Using a mouse model, the investigators focused on a large category of proteins termed transcription factors. There were two aims: (1) to compile a database of transcription factor expression patterns in the embryonic lung, and (2) to investigate one transcription factor, SOX2, a prominent stem cell factor, regarding its involvement in lung cell differentiation.

► **Results:** Regarding Aim 1, investigators examined approximately 1,100 genes and identified over 70 transcription factors expressed in the embryonic lung. They then examined the regulation of these transcription factors to determine involvement in lung disease.

Regarding Aim 2, the researchers discovered that SOX2 is required for formation of the trachea and esophagus. Mutations in this gene have recently been identified in human patients with anophthalmia-esophageal syndrome. One particular signaling pathway, fibroblast growth factor pathway, was found to regulate SOX2 expression in the developing lung.

In addition, a specific transcription factor, β -Catenin, was found to be essential in lung progenitor cells. It's expected that further research on this pathway may lead to the use of stem cell-based therapy for lung diseases.

These findings offer a wealth of information to all lung researchers and also serve as a foundation for this team's future research into treatment of lung diseases. National Institutes of Health (NIH) funding has been requested to study possible predictors and drug targets for asthma.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 5-7 years

► **New Partnerships or Collaborations:**

- Collaborations with researchers at UW School of Medicine and Public Health Department of Asthma, Allergy, and Pulmonary Research (NIH proposal under review)
- Collaborations with European researchers working on SOX2 research

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- Published journal article: *Developmental Dynamics*
- Other articles submitted for publication

► **Additional Funding:** From the American Heart Association—2 years at \$60,000 per year. An application has been submitted for consideration by the NIH.



Medical Education and Research Grant Outcome Report

Name: Novel Exploratory Approaches to Elucidating the Role of GRAIL in CD25+ T Regulatory Cell Biological Function

Principal Investigator: Christine Seroogy, MD, Assistant Professor

Phone/e-mail: 608-263-2652/cmseroogy@pediatrics.wisc.edu

Department: Pediatrics – Allergy/Immunology/Rheumatology

Program: New Investigator Program

Grant Duration: 03-01-06 to 02-29-08 (24 months)

Expenditures: \$91,560 (100% expended)

Use of Funds (Taxonomy): Basic research

Research Keywords: T cell, anergy/tolerance, CD25 T regulatory cell, immune regulation, suppression

► **Description:** This research into cellular immunology focuses on T regulatory (Treg) cells. The study of Treg cells potentially impacts not only basic but also translational research; these cells have been found to modulate the immune response. The study focused on the role of a gene, called GRAIL, in mouse and human T cells – in particular an important subset of CD4+ T cells, termed CD25+ Treg cells. The investigator's previous published work has found that GRAIL is upregulated in Treg cells, and expressing GRAIL by itself in a conventional T cell is sufficient for functional conversion to a Treg cell.

► **Results:** The studies found that GRAIL appears to be tightly regulated based on the types of activation the Treg cell receives. Additionally, work in mouse models further explored the contexts in which Treg cells may be developed outside of normal T cell developmental programs (i.e., the thymus). The investigators identified several model systems in which the origins of Treg cells and their biological function varied depending on the immune stimulus and context.

It is expected that these important findings will allow the investigators to better understand how Treg cells are promoted or silenced, and to correlate this with GRAIL expression. Further insights into how Treg cells function will lead to future direct implications to improved health.

Importantly, the expectation is that these findings will have implications for numerous disease states; translational research studies have been initiated.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** Unknown

► **New Partnerships or Collaborations:** None noted

► **Matched Dollars (cash or in-kind):** \$8,541

► **Dissemination:**

- Published articles: *Journal of Allergy and Clinical Immunology*; *Clinical and Experimental Immunology*
- Article submitted for publication
- Oral presentations (national): American Academy of Allergy, Asthma & Immunology; and the Federation of Clinical Immunology Societies
- Investigator collaborations within the Division of Allergy/Immunology

► **Additional Funding:** Received funding of \$300,000 from the American Academy of Asthma, Allergy, and Immunology (AAAAI) Research Trust Junior Faculty Development Award.



Medical Education and Research Grant Outcome Report

Name: Role of Ikaros in Cellular Proliferation

Principal Investigator: Sinisa Dovat, MD, DSc, Assistant Professor

Phone/e-mail: 608-262-2415/dovat@pediatrics.wisc.edu

Department: Pediatrics

Program: New Investigator Program

Grant Duration: 03-01-06 to 02-28-08 (24 months)

Expenditures: \$100,000 (100% expended)

Use of Funds (Taxonomy): Basic research

Research Keywords: Leukemia, tumor suppression, signal transduction, phosphorylation, Ikaros

► **Description:** The aim of the research was to discover the mechanism that controls the multiplication of leukemia cells by gaining insight into normal vs malignant blood cell formation. The aims of the research were to: (1) study how the Ikaros gene affects cellular differentiation and multiplication and (2) determine the role of Ikaros in responding to DNA damage. Altering a cell's DNA-damage response has been proposed as a means of improving chemotherapies. By examining how Ikaros influences normal and aberrant cell proliferation, the researchers expected to gain insight into potential new treatment strategies.

► **Results:** The research results produced novel information on the mechanisms that control the growth of leukemia cells. In addition, insights into the mechanisms of response to DNA damage from irradiation may help design therapies that enhance current chemotherapy drugs.

Discoveries included:

- Ikaros plays an important role in tumor suppression and cellular proliferation in acute leukemia.
- The activity of the Ikaros gene is controlled by specific enzymes.
- A new signaling pathway was identified, which regulates differentiation and multiplication of acute leukemia cells.
- Activity of the Ikaros gene changes during induction of DNA damage, suggesting that Ikaros plays an important role in this process.

The discovery of the enzymes controlling genetic activity can potentially lead to a new target for specific, less toxic chemotherapy for this type of leukemia. Similarly, the discovery of the signaling pathway can potentially contribute to more effective combination therapies for leukemia.

This research provides new and important information and will yield insights into the pathophysiology and treatment of leukemia and other malignancies.

► **Met Objectives:** Project completed

► **Timeline for Application of Results:** 5-7 years

► **New Partnerships or Collaborations:** Collaborations with researchers at UW School of Medicine and Public Health and at two other universities.

► **Matched Dollars (cash or in-kind):** \$0

► **Dissemination:**

- Published article: *Journal of Biological Chemistry*
- Two articles submitted for publication

► **Additional Funding:** \$330,000 (3-year funding) from St. Baldrick's Foundation.

UW-Madison Contractual Agreement
with Pfizer, Inc.

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual Data Analysis Research Agreement (CP-690,550) between the University of Wisconsin–Madison and Pfizer, Inc. from the effective date through January 31, 2013.

**UW-MADISON CONTRACTUAL AGREEMENT
WITH PFIZER, INC.**

EXECUTIVE SUMMARY

BACKGROUND

UW Board of Regents policy requires any grant or contract with private profit-making organizations in excess of \$500,000 to be presented to the Board for formal acceptance prior to execution.

REQUESTED ACTION

Approval of Resolution I.2.e.3.

That, upon the recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the University of Wisconsin-Madison and Pfizer, Inc.

DISCUSSION AND RECOMMENDATIONS

The Office of Research and Sponsored Programs at the University of Wisconsin-Madison has negotiated a Data Analysis Research Agreement (CP-690,550) with Pfizer, Inc. In consideration for providing the research services, Pfizer, Inc. shall pay UW-Madison an estimated total amount of \$1,028,172. This Data Analysis Agreement is effective May 1, 2009 (the "Effective Date") until January 31, 2013 (the "Expiration Date"). This research will be conducted by the Department of Biostatistics & Medical Informatics under the direction of Dr. Marian Fisher.

The Statistical Data Analysis Center (SDAC) shall provide the analysis plan and detailed confidential interim analyses for the Independent Data Monitoring Committee (IDMC). The Statistical Data Analysis Center (SDAC) agrees to be the statistical data analysis center for the JAK3 (CP-690,550) Rheumatoid Arthritis Phase 3 clinical trials sponsored by Pfizer, Inc. The IDMC will review reports by assigned treatment of safety data across and within clinical trials (Protocols AA3921044, A3921045, A3921064 as well as A3921024, A3921046 and possibly other protocols). The IDMC is an independent panel of experts in the relevant clinical fields and is responsible for monitoring patient safety and treatment efficacy data while the trial is ongoing. The objective of this clinical trial program is to determine the efficacy, long term safety and tolerability of the study drug for the treatment of the signs of rheumatoid arthritis. SDAC research involves the design, conduct, and analysis of clinical trials. Collaboration in ongoing clinical trials supports the research vision of SDAC.

RELATED REGENT POLICIES

Regent Resolution 8074, dated February 2000, Authorization to Sign Documents.

UW-Madison Contractual Agreement
with Amgen, Ltd.

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual Data Analysis Research Agreement (AMG785 20060326) between the University of Wisconsin-Madison and Amgen, Ltd. effective from date of approval through July 15, 2012.

**UW-MADISON CONTRACTUAL AGREEMENT
WITH AMGEN, LTD.**

EXECUTIVE SUMMARY

BACKGROUND

UW Board of Regents policy requires any grant or contract with private profit-making organizations in excess of \$500,000 be presented to the Board for formal acceptance prior to execution.

REQUESTED ACTION

Approval of Resolution 1.2.e.4.

That, upon the recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Board of Regents approves the contractual agreement between the University of Wisconsin-Madison and Amgen, Ltd.

DISCUSSION AND RECOMMENDATIONS

The Office of Research and Sponsored Programs at the University of Wisconsin-Madison has negotiated a Data Analysis Research Agreement AMG785 20060326 with Amgen, Ltd. In consideration for providing the research services, Amgen, Ltd. shall pay UW-Madison an estimated total amount of \$781,063. This Data Analysis Research Agreement is effective from the date the agreement is fully executed (Effective Date) through July 15, 2012. This research will be conducted by the Department of Biostatistics & Medical Informatics under the direction of Dr. Marian Fisher.

The Department of Biostatistics & Medical Informatics shall be an independent Statistical Analysis Center to support the external Independent Data and Safety Monitoring Board (DSMB) for Protocol Number AMG785 20060326, A Randomized, Placebo-controlled, Multi-dose Phase 2 Study to Determine the Efficacy, Safety and Tolerability of AMG 785 in the Treatment of Postmenopausal Women with Low Bone Mineral Density sponsored by Amgen. The DSMB will review the safety and efficacy data from Protocol Number AMG785 20060326 and assess the risk-benefit profile.

RELATED REGENT POLICIES

Regent Resolution 8074, dated February 2000, Authorization to Sign Documents.

CDC Recommended Waiver of Certification of Medical Necessity Requirement
for Faculty, Limited Appointees, and Academic Staff Use of Sick Leave

BUSINESS, FINANCE, AND AUDIT COMMITTEE

Resolution:

Whereas, the Board of Regents on October 7, 2005 adopted Resolution #9086 setting forth that UW institutions shall require written certification from a health care provider of the medical necessity for use of sick leave for absences of more than 5 consecutive full working days, except where the use of sick leave is authorized in advance, pursuant to the Wisconsin or Federal Family and Medical Leave Acts, and

Whereas, the U. S. Department of Health and Human Services Centers for Disease Control, in its guidance for responses to influenza for institutions of higher education during 2009-2010 academic year, recommended: “Do not require a doctor’s note for students, faculty, or staff to validate their illness or to return to work, as doctor’s offices and medical facilities may be extremely busy and may not be able to provide such documentation in a timely way.”

Now therefore be it resolved:

That, upon the recommendation of the President of the UW System, the Board of Regents adopts the following policy:

Paragraph one of Resolution #9086 is suspended for the 2009-2010 academic year for those with the flu or flu-like symptoms.

Previous Action (October 7, 2005):

It was moved by Regent Gracz and seconded by Regent Davis that the following resolution be adopted by the Board.

Certification of Medical Necessity Requirement for Faculty, Limited Appointees, and Academic Staff use of Sick Leave

Resolution 9086: That, upon the recommendation of the Regent Business and Finance Committee, the following additions to Unclassified Personnel Guideline (UPG) 10 is recommended for adoption:

UW institutions shall require written certification from a health care provider of the medical necessity for use of sick leave for absences of more than 5 consecutive full working days, except where the use of sick leave is authorized in advance, pursuant to the Wisconsin or Federal Family and Medical Leave Acts.

Where an institution is aware of an emergency that prevents communicating with or obtaining information about the condition of the employee, such written certification shall not be required until such time as communication is possible and appropriate, given the condition of the employee.

In cases of suspected abuse of the sick leave privilege, the institution shall be authorized to require written certification from a health care provider to verify the medical necessity for the employee's absence regardless of the length of absence.

Supervisors will be provided a copy of the revised UPG 10, along with instruction and training on the application of policy by the Director of Human Resources of the UW institution or other appropriate officer, depending on the needs and organizational structure of the specific institution.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.3. Capital Planning and Budget Committee

Thursday, September 10, 2009
UW-Whitewater
Whitewater, Wisconsin

10:00 a.m. All Regents Invited - Room 275, University Center

- UW-Whitewater: On the Move -- Presentation by Chancellor Richard Telfer

11:00 a.m. All Regents Invited – Room 275, University Center
Business, Finance, and Audit Committee

- Information Technology Issues
 1. Review and Approval of Human Resources System Project Planning, Scope, and Budget
[Resolution 1.2.a.1.]
 2. Project Status Report for Major Information Technology Projects as Required by Wis.Stats.s.13.58(5)(b)(3)

12:00 p.m. Lunch

1:15 p.m.: Capital Planning and Budget Committee, Room 261, University Center

- a. Approval of the Minutes of the July 9, 2009 Meeting of the Capital Planning and Budget Committee
- b. UW-Whitewater Presentation: Campus Master Plan Update
- c. UW-Green Bay: Authority to Enter into a Land Use Agreement for the Construction of Student Housing
[Resolution I.3.c.]
- d. UW-Madison: Authority to Exercise the Lease Purchase Option for 21 North Park Street
[Resolution I.3.d.]
- e. UW-Madison: Authority to Plan the Charter Street Heating Plant Rebuild Project
[Resolution I.3.e.]
- f. UW-Madison: Authority to Adjust the Budget of the Physical Plant Shops and Office Building Project
[Resolution I.3.f.]

- g. UW-Madison: Authority to Construct the East Campus Utility Improvements, Phase 5 Project
[Resolution I.3.g.]
- h. UW-Madison: Authority to Lease Space for the University of Wisconsin School of Medicine and Public Health's Department of Ophthalmology and Visual Science Fundus Reading Center
[Resolution I.3.h.]
- i. UW System: Authority to Construct All Agency Maintenance and Repair Projects
[Resolution I.3.i.]
- j. Report of the Associate Vice President
 - 1. Building Commission Actions
 - 2. Project Delivery Method Legislation
 - 3. Other
- k. Additional items may be presented to the Committee with its approval
- z. Closed session for purposes of considering personal histories, as permitted by s.19.85(1)(f), *Wis. Stats.*, related to the naming of a facility at UW-Whitewater

Authority to Enter into a Land Use Agreement
for the Construction of Student Housing,
UW-Green Bay

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Green Bay Chancellor and the President of the University of Wisconsin System, authority be granted to permit University Village Housing, Inc. (Village) to construct two additional student residence halls on the UW-Green Bay campus, under terms of a land use agreement with the University of Wisconsin System Board of Regents.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. Institution: The University of Wisconsin-Green Bay
2. Request: Authority to permit University Village Housing, Inc. (Village) to construct two additional student residence halls on the UW-Green Bay campus, under terms of a land use agreement with the University of Wisconsin System Board of Regents.
3. Description of Work: The agreement will permit Village to construct two buildings of approximately 49,000 gross square feet and three stories on a 6.31-acre parcel of land owned by the Board of Regents (see attached map). The first building will be constructed immediately, followed by a second building that would be constructed at a time mutually agreed upon by UW-Green Bay and Village. The parcel is adjacent to the existing campus housing complex that was granted a land use agreement in 2001. Each of the two buildings will house 122 students in suite-style living units. Development of the two buildings is estimated to cost \$8,000,000 each. Village is solely responsible for the financing of the construction. As with the other sixteen Village residence buildings, housing revenues will pay for construction and operations, and UW-Green Bay will have the exclusive use of, and the right to purchase the Village-owned properties.
4. Justification of the Project: UW-Green Bay has a current enrollment of 6,300. Student housing accommodates 1,899 students. Nine buildings acquired in 1980 from the Inland Steel Corporation provide apartments for 563 students. In 1984, a limited-purpose corporation (501c3) known as University Village Housing, Inc. was established for the sole purpose of providing additional housing for UW-Green Bay students. A 39-acre parcel of land was gifted to the Village through the University of Wisconsin Foundation upon which the Village constructed housing for a total of 1,394 students in thirteen buildings. In 2001, the Board of Regents approved a 5.5 acre land use agreement that allowed the construction of three, suite-style buildings that house 366 students. The Village-owned housing is managed by UW-Green Bay, with debt service payments and insurance being the responsibility of Village, and UW-Green Bay being responsible for the marketing, operation, rental, maintenance, and security of the buildings. In 1997, UW-Green Bay's agreement with Village was revised subordinating housing revenues to Village debt obligations, which provided eligibility for Village to use city of Green Bay and/or Brown County program revenue bonds and the accompanying lower interest rates to fund further housing development.

For the past five years, the Village-owned residence halls have been at or near full occupancy, with an average occupancy rate of 98 percent. Currently, 270 students are on a waiting list for on-campus housing. In June 2001, the Village, UW-Green Bay, and a consultant completed work on a Housing Master Plan for the next phase of campus housing

development. The plan supports student enrollment and retention goals for the next six to eight years and provides a physical environment for residence life that supports the integration of modern student housing and UW-Green Bay's curricular goals.

The information that was gathered during planning strongly recommends that the next housing development be closer to the academic core of the campus. The Regent-owned 6.31-acre site provides the desired location based on the following site selection criteria:

- locate in close proximity to the main campus and the existing housing village;
- allow for proper integration of vehicular and pedestrian traffic patterns;
- provide a location for appropriate parking capacity; and
- locate adjacent to existing utilities.

The use of this site for student housing does not conflict with other long-range development plans for UW-Green Bay. Housing rates at UW-Green Bay range from \$3,250 per student per academic year for suites to \$4,350/student/year for 2-bedroom apartments. These are comparable to the systemwide average rates. UW-Green Bay's rates are expected to increase by an average of approximately \$100/year to help offset the cost of construction. This would be an increase of approximately 2.3 percent to 3.1 percent.

5. Budget: No costs are associated with this transaction.
6. Previous Action: None.



Authority to Exercise the Lease Purchase
Option for 21 North Park Street,
UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the University of Wisconsin System, authority be granted to amend the existing lease and exercise the purchase option for the building at 21 North Park Street located on university-owned property at a total cost of \$38,546,000 (\$19,273,000 Program Revenue Supported Borrowing and \$19,273,000 Program Revenue). The purchase was enumerated in the 2009-11 Capital Budget.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. Institution: The University of Wisconsin-Madison
2. Request: Authority to amend the existing lease and exercise the purchase option for the building at 21 North Park Street located on university-owned property at a total cost of \$38,546,000 (\$19,273,000 Program Revenue Supported Borrowing and \$19,273,000 Program Revenue). The purchase was enumerated in the 2009-11 Capital Budget.
3. Description and Scope of the Project: Approval of this request will permit acquisition of the three-story office building consisting of approximately 139,000 GSF of space. Administrative offices and support space for UW-Madison Business Services, Research and Sponsored Programs, Human Resources, and the Division of Continuing Studies, are located on floors five, six, and seven of the structure, above the parking ramp. The UW Welcome Center and a satellite office for Transportation Services are located on the ground level. The facility also contains space for shared conference and meeting rooms, professional development, computer lab space, and a common break area.
4. Justification of the Request: In 2004, the university entered into a ground lease with the owner of contiguous property, Park Street Properties I, LLC, to construct a residence hall, a parking ramp, and an office building, and to relocate UW-Fleet Services. At the same time, the university, the state, and the developer executed a thirty-year lease agreement that provided purchase options for the various components of the project, with options to purchase every two years beginning in 2006. The residence hall, parking ramp, and fleet facility portions of the project were purchased in 2006.

The next available purchase opportunity for the office building is in 2010 at \$38,546,000. The campus is requesting the lease be amended to provide authority to add an early purchase option that could be exercised in September 2009. Exercising an early purchase option will save the UW-Madison approximately \$3,662,833 in lease costs compared to the July 2010 purchase option.

The purchase option was intended to be exercised since the project's inception. After July 2010, the rental rate would be adjusted based on the owner's financing requirements. In addition, the purchase option prices for the building escalate in successive years. In addition to the early purchase savings, by substituting internal campus funding for half of the program revenue bonding, the university will save approximately \$11,657,000 in the financing cost of a 20 year bond at five percent interest, over the life of the bond.

The lease cost is currently being paid from UW-Madison general operating revenue. In order to avoid the cost of financing half of the purchase, the campus will borrow from cash reserve balances, and repay those reserves from the operating budget annually.

5. Budget: N/A.

6. Previous Action:

August 22, 2008
Resolution 9529 Recommended enumeration of the purchase of the 21 North Park Street Office Building at a total cost of \$38,546,000 Program Revenue Supported Borrowing

a February 10, 2006
Resolution 9126 Granted authority to purchase the Newell J. Smith Residence Hall and property located at 35 North Park Street; the parking ramp at 21 North Park Street; and, the fleet/garage facility at 27 North Charter Street at total cost of \$46,832,245 (\$37,567,790 Program Revenue Supported Borrowing-Housing and \$9,264,455 Program Revenue Supported Borrowing-Transportation), as stipulated by the purchase option in the lease for the land and/or improvements.

August 19, 2004
Resolution 8888 Recommended enumeration of the program revenue components of the Park Street Development project at a total cost of \$46,832,200 program revenue supported borrowing.

May 7, 2004
Resolution 8839 Granted authority

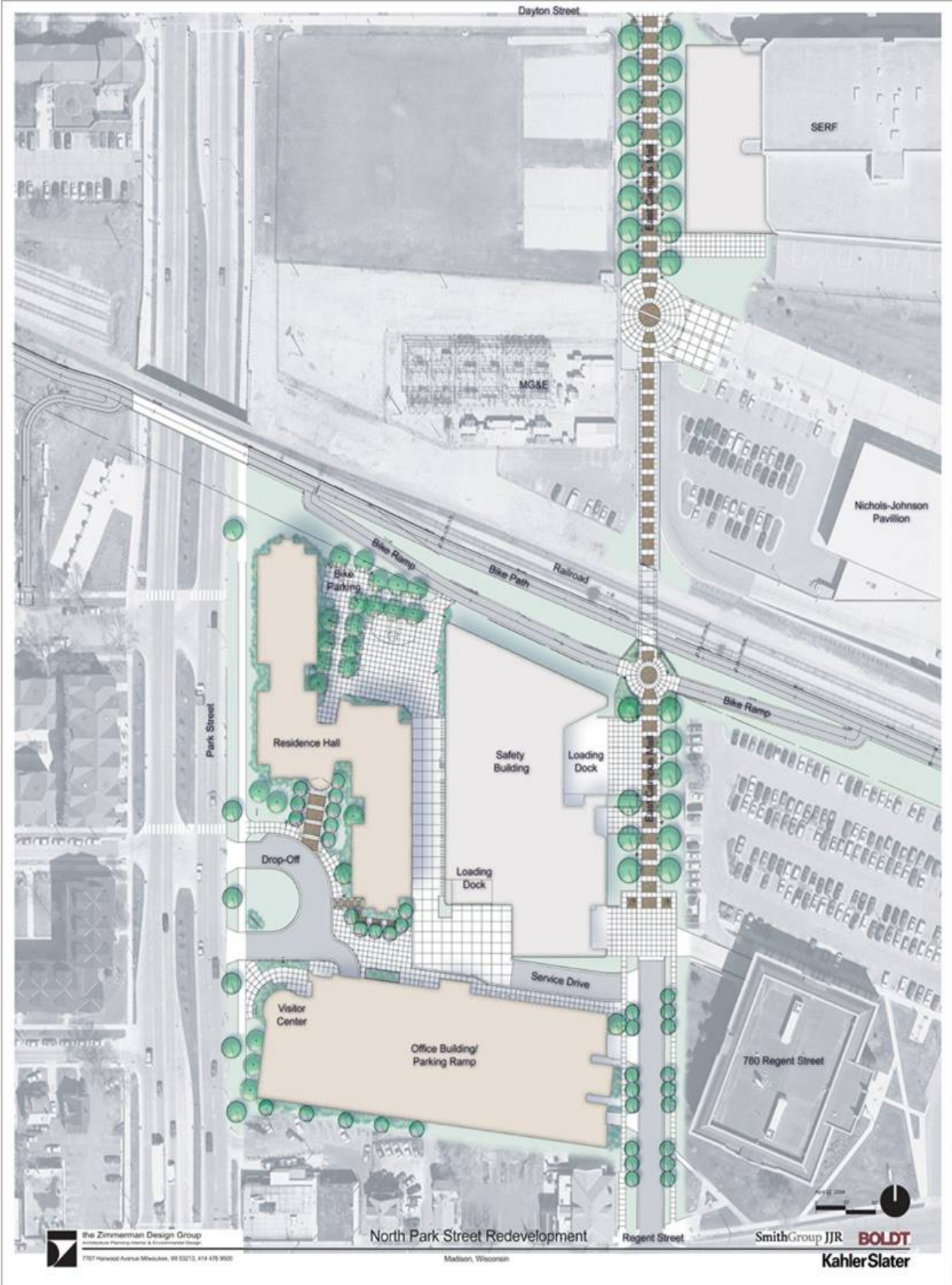
(a) to enter into a ground lease with University Research Park (URP) to allow construction of:

- a 139,000 GSF office building and 330 stall parking ramp on UW owned properties at 13-21 North Park Street and 8 North Murray Street (garage/fleet site) and
- a 15,000 GSF garage/fleet facility on a portion of current parking lot 51, located at 27 North Charter Street.

(b) to enter into a lease agreement with University Research Park for:

- the newly constructed office building and parking ramp at 13-21 North Park Street and 8 North Murray Street,
- the newly constructed garage/fleet facility at 27 North Charter Street, and
- a newly constructed 425 bed residence hall located on properties at 29-41 North Park Street and 101-103 North Park Street.

(c) to grant easements as necessary for University Research Park to [1] connect these facilities to the central campus utilities and [2] undertake landscaping and sitework on adjacent University property in Murray Street and Murray Mall.



Authority to Plan the Charter Street Heating
Plant Rebuild Project, UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the University of Wisconsin System, authority be granted to pre-purchase equipment and complete the Design Report for the Charter Street Heating Plant (CSHP) Rebuild project for an estimated total cost of \$24,500,000 Program Revenue Supported Borrowing.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. Institution: The University of Wisconsin-Madison
2. Request: Authority to pre-purchase equipment and complete the Design Report for the Charter Street Heating Plant (CSHP) Rebuild project for an estimated total cost of \$24,500,000 Program Revenue Supported Borrowing.
3. Description and Scope of the Project: This project implements the recommendations of the Comprehensive Feasibility Study (CFS) that was mandated by the Amended Consent Decree from the Sierra Club v. Morgan/Ehrfurth lawsuit. The conceptual design for the project was completed in August 2009. This request for partial funding is submitted at this time due to the long lead time required for equipment purchases which, in some instances, can be as long as 12 to 18 months. As a result, equipment purchases need to be made early in the design phase.

The scope of the project is to rebuild the CSHP facility by constructing a new 350,000 lbs/hour biomass boiler facility. The new boiler will be housed separately from the existing boilers requiring the construction of a building to house the boiler and the necessary distribution systems. The existing coal fired boilers will either be converted to natural gas use or replaced with new natural gas package boilers. A new steam turbine driven electrical generator will be installed in a new turbine building. The project will also upgrade the rail delivery system at the site and provide a fuel handling system for biomass fuels with an on-site storage capacity for three to four days of use. Ancillary equipment that is necessary to run the plant such as water treatment equipment, feed water pumps, air compressors, condensate collection systems, and electronic controls are included in the project scope.

The rebuild of the CSHP is a complex project that will require the purchase of major components during the design phase of the facilities that will eventually house those components. Due to the long lead times needed to manufacture power plant equipment, equipment purchases need to be made early in the design phase with overall plant design proceeding on a parallel path. By procuring equipment early in the design process, equipment manufacturers can provide their shop drawings, which are required to fully design the balance of the plant structure and equipment in a timely fashion. To deliver the most economical and timely project, overall facility design and engineering, equipment procurement and construction sequences must progress along parallel paths.

4. Justification of the Request: The state conducted a planning study for the main heating plants servicing the UW–Madison campus and other state office buildings. The study was a result of an agreement between Departments of Administration, the Department of Natural Resources, the University of Wisconsin and the Sierra Club to analyze the feasibility of alternatives to bring the CSHP into compliance with the Clean Air Act and for making necessary upgrades to other state owned heating plants in Madison, Wisconsin.

Independent of the study, the state decided to phase out the use of coal at the CSHP and to increase fuel diversity, primarily by the inclusion of significant renewable biomass resources in the plant’s fuel mix. Preliminary design of the project has tentatively defined the rebuilding of the facility as construction of a new 350,000 lbs/hour biomass boiler at the CSHP.

Because the CSHP rebuild is a major construction project with potentially significant environmental effects and/or controversy, it has been classified as a Type I action requiring an Environmental Impact Statement (EIS). The EIS will be prepared in accordance with the Wisconsin Environmental Policy Act (WEPA), Wisconsin Statutes 1.11, and the UW System Administration guidelines. Ayers Associates has been retained to prepare the EIS for the CSHP. Throughout the EIS process, Ayers Associates will coordinate with the A/E consultant in analyzing the environmental impact of the proposed design.

This project was included in the UW-System 2009-2011 Capital Budget request. The budget (WI Act 28) authorized \$250,636,600 Program Revenue Supported Borrowing to replace the coal fired boilers and steam generated chilled water with natural gas boilers and electric chillers at the CSHP.

Pursuant to the Amended Consent Decree from the Sierra Club v. Morgan/Ehrfurth lawsuit, Case No. 07-C-0251-S, the UW System, in cooperation with the Department of Administration, will use its best efforts to secure all approvals and funding necessary to develop and implement the CFS recommendations associated with the CSHP. Upon completion of the design report, this project will return to the State Building Commission to request construction authority.

5. Project Budget and Schedule:

Project Budget	Cost
Pre-purchase Equipment	\$12,225,000
Repay BTF/Cash Advances	\$1,675,000
EIS/Asbestos Abatement	\$600,000
Site Survey/Inspection	\$500,000
Design & Permit Fees	\$6,000,000
Contingency	\$3,500,000
Total Cost	\$24,500,000

Overall Project Budget	Cost
Construction	\$208,300,000
Design & Supervision (6%)	12,636,600
DSF Mgmt Fee (4%)	7,700,000
Contingency (10%)	22,000,000
Total Cost	\$250,636,600

Project Schedule	Date
A/E Selection	March 2009
2009-11 Capital Budget Approval	July 2009
SBC Approval to Plan to Design Report	September 2009
Equipment Package out for Bid	September 2009
Equipment Package Bid Opening	December 2009
Final Design Report/SBC Approval to Construct	December 2009
Environmental Impact Statement Completed	April 2010
Construction Bid Date	April 2010
Start of Construction	May 2010
Substantial Completion	November 2013
Final Completion	December 2013

6. Previous Action: None.

Authority to Adjust the Budget of the Physical
Plant Shops and Office Building Project,
UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the University of Wisconsin System, authority be granted to increase the budget of the Physical Plant Shops/Office Building project by \$1,400,000 (\$900,000 Program Revenue Supported Borrowing and \$500,000 Agency Cash) for a revised project cost of \$6,000,000 (\$5,500,000 Program Revenue Supported Borrowing and \$500,000 Agency Cash).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. Institution: The University of Wisconsin–Madison
2. Request: Authority to increase the budget of the Physical Plant Shops/Office Building project by \$1,400,000 (\$900,000 Program Revenue Supported Borrowing and \$500,000 Agency Cash) for a revised project cost of \$6,000,000 (\$5,500,000 Program Revenue Supported Borrowing and \$500,000 Agency Cash).
3. Description and Scope of Project: This project will design and construct a facility for UW-Madison Physical Plant functions. The 60,900 GSF building will be located on the southeast portion of the site currently occupied by Parking Lot 51 on the Madison campus. This new three story building is needed to house offices, shop space, stores, and storage operations which must be moved for the expansion of the Charter Street Heating Plant. The facility will also be constructed with shell space to allow Physical Plant to consolidate operations in a future project.
4. Justification of the Request: In May 2009, the campus began the replacement of the 115 North Mills Street facility with the construction of a new facility for its service functions to clear the site for rebuilding the Charter Street Heating Plant. During the implementation of the project, it became apparent that the original cost estimate of \$4,600,000 was only a construction estimate and did not include the soft costs (fees and contingency) that are normally included in state construction projects. The \$900,000 that is requested will cover those soft costs. The additional \$500,000 that will be funded with agency cash will cover the cost of the additional programmatic space that was added to consolidate the additional Physical Plant functions currently located in the Service Building and Service Building Annex and which, in keeping with the 2005 Campus Master Plan, will eventually be consolidated on the Lot 51 site. It is more cost effective to add this space while the facility is being constructed rather than going back and constructing it later.
5. Budget and Schedule:

Construction	\$5,100,000
Contingency (10%)	510,000
DSF Fees (4%)	225,000
Other Fees	<u>165,000</u>
Total Project Cost	\$6,000,000

6. Previous Action:

May 7, 2009
Resolution 9612

Granted authority to seek a waiver of Wis. Stat. 16,855 under Wis. Stat. 13.48 (19) to allow a design-build entity to design and construct a Physical Plant Shops/Office Building project at a total project cost not to exceed \$4,600,000 existing Program Revenue Supported Borrowing.

Authority to Construct the East Campus Utility
Improvements, Phase 5 Project, UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the University of Wisconsin System, authority be granted to construct the East Campus Utility Improvements, Phase 5 project at an estimated total project cost of \$3,855,000 (\$3,045,450 General Fund Supported Borrowing and \$809,550 Program Revenue Supported Borrowing).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. Institution: The University of Wisconsin–Madison
2. Request: Authority to construct the East Campus Utility Improvements, Phase 5 project at an estimated total project cost of \$3,855,000 (\$3,045,450 General Fund Supported Borrowing and \$809,550 Program Revenue Supported Borrowing).
3. Description and Scope of Project: This project will provide steam, steam condensate, compressed air, and chilled water piping as well as signal and power conduits in Library Mall from State Street to Langdon Street. Signal and power conduit will also be installed in Langdon Street from Lake Street to Park Street. The extent of the utility improvements is listed below:
 - Steam, Steam Condensate, and Compressed Air Piping: Approximately 225 linear feet of 14 inch steam, 8 inch steam condensate and 4 inch compressed air piping will be installed in a new utility tunnel under Library Mall from the north side of State Street to the south side of Langdon Street. The new tunnel will be extended north from the northern terminus of the utility tunnel, which was just completed under Phase 3 of the East Campus Utility Project, and connected to the existing utility tunnel located on the south side of Landon Street. Steam, steam condensate, and compressed air piping will be extended approximately 130 linear feet west from the tunnel to Steam Pit 52/12. The existing direct buried steam and steam condensate piping in Library Mall will be abandoned.
 - Chilled Water System: Approximately 225 linear feet of two 24 inch chilled water lines will be constructed in the new utility tunnel under Library Mall from the north side of State Street to the south side of Langdon Street. Approximately 120 feet of 18 inch direct buried chilled water piping will be installed from the north end of the new utility tunnel to connect to existing chilled water lines on the north side of Langdon Street.
 - Electrical/Signal System: Approximately 400 feet of electrical/signal ductbank consisting of nine 5 inch electrical power conduits and twelve 4 inch signal conduits as well as any necessary pits/vaults will be constructed under Library Mall from existing electrical pits 8P45/8S45 on the north side of State Street to new electrical pits on the north side of Langdon Street. Nine 5 inch power conduits and twelve 4 inch signal conduits will be installed along Langdon Street from Lake Street to Park Street.

In addition, the project includes restoration of the sidewalks, roadways, and surrounding landscape. Storm water management practices will be incorporated as needed.

4. Justification of the Request: This project will finish the steam, steam condensate, compressed air piping, and chilled water piping mains in the northeast portion of campus. The 2005 Utility Master Plan recommended additional reinforcement and redundancy for the utility infrastructure in this area of campus. It also indicated that the steam and steam condensate piping in the Library Mall has deteriorated and needs to be replaced. The chilled water piping is installed in a radial configuration and lacks back-up provisions if a line were to fail. The power and signal conduit system lacks adequate capacity for new cable installation.

The East Campus Utility Improvements, Phase 1 through Phase 3 projects extended the steam, steam condensate, compressed air, chilled water, electrical power, and signal lines in the East Campus Mall from Dayton Street to the North side of State Street. These utilities were not extended north to interconnect with the utility lines along Langdon Street due to budget limitations. The Phase 4 project provided chilled water piping, and power and signal ductbanks along Observatory Drive from Park Street to the northeast corner of Bascom Hall. This Phase 5 project will complete the piping, and signal and power ductbanks in Library Mall from the north side of State Street to Langdon Street.

This project will be coordinated with city of Madison projects to replace street pavement and underground utility lines in Langdon Street and State Street Mall.

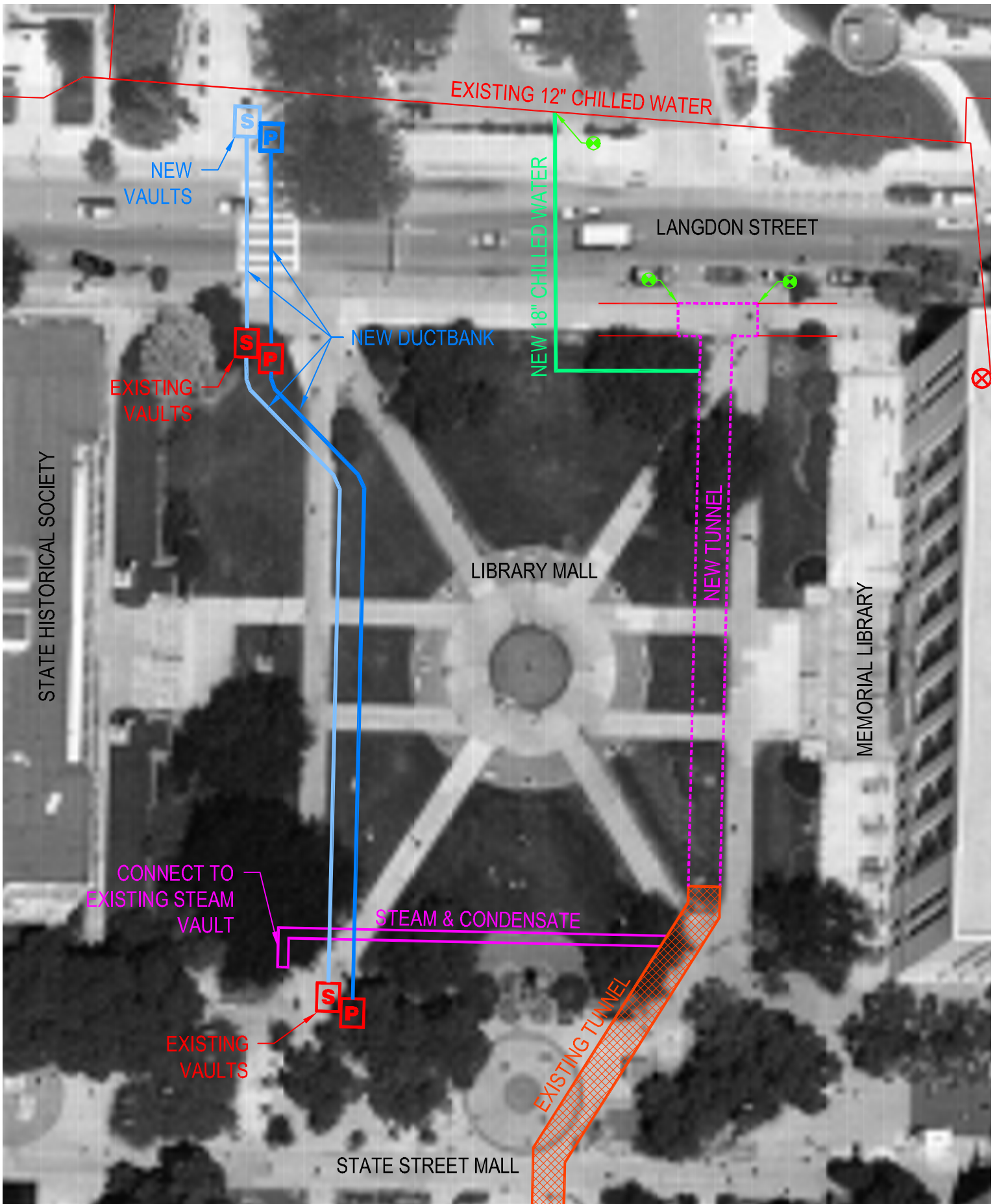
5. Project Budget and Schedule:

Construction	\$3,089,000
AE Fees	257,000
DSF Management	138,000
Contingency	<u>371,000</u>
Total	\$3,855,000

Design Report	Nov. 2009
Bid Date	April 2010
Start Construction	June 2010
Sub. Completion	June 2011
Final Completion	Sept. 2011

6. Previous Action:

February 10, 2006 Resolution 9125	Authorized planning of an East Campus Utility Improvements project to plan utility distribution systems to serve new buildings in planning and design on the east side of campus.
August 17, 2006 Resolution 9225	As part of the 2005-07 Capital Budget, the Board of Regents recommended enumeration of \$24,704, (\$19,889,000 GFSB and \$4,815,000 PRSB) for two utility projects at UW-Madison. The Building Commission subsequently enumerated both projects at the requested amounts and specifically enumerated the East Campus Utility Improvements project at \$19,984,000 (\$16,010,000 GFSB and \$3,974,000 PRSB).
April 13, 2007 Resolution 9331	Authorized the allocation of \$1,500,000 Program Revenue Supported Borrowing to construct two underground bridge structures for the East Campus Utility Project.
June 7, 2007 Resolution 9363	Contingent upon enumeration of this project in the 2007-09 Capital Budget, approved the Design Report and granted authority to construct the East Campus Utility Improvements project at an estimated total project cost of \$19,984,000 (\$16,010,000 General Fund Supported Borrowing, and \$3,974,000 Program Revenue Supported Borrowing) and transfer \$2,800,000 (\$2,242,800 GFSB, and \$557,200 PRSB) to the University Square Redevelopment Project for construction of the utility improvements adjacent to the project.
August 22, 2008 Resolution 9529	As part of the 2007-09 Capital Budget, the Board of Regents recommended enumeration of \$3,500,000 (\$2,765,000 GFSB and \$735,000 PRSB) for the UW-Madison East Campus Utility Improvements Phase 4 Project. The Building Commission subsequently enumerated the project at \$3,855,000 (\$3,045,450 GFSB and \$809,550 PRSB).



Authority to Lease Space for the University of
Wisconsin School of Medicine and Public
Health's Department of Ophthalmology and
Visual Science Fundus Reading Center,
UW-Madison

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the UW-Madison Chancellor and the President of the University of Wisconsin System, authority be granted for the Department of Administration to execute a lease for 22,172 leasable feet of office space at 8010 Excelsior Drive, Madison, Wisconsin, on behalf of the University of Wisconsin School of Medicine and Public Health – Department of Ophthalmology and Visual Science's Fundus Reading Center.

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. Institution: The University of Wisconsin-Madison
2. Request: Authority for the Department of Administration to execute a lease for 22,172 leasable feet of office space at 8010 Excelsior Drive, Madison, Wisconsin, on behalf of the University of Wisconsin School of Medicine and Public Health – Department of Ophthalmology and Visual Science’s Fundus Reading Center.

Lessor: NCMNT Partners
8020 Excelsior Dr. Suite 300
Madison, WI 53717

3. Lease Information: The proposed lease at 8010 Excelsior Drive covers 22,172 LSF of space for the period beginning December 1, 2009 (or date of occupancy), through November 30, 2014, at an annual rate of \$509,956 (\$23.00/GSF). The lease also provides for three five-year renewal options from December 1, 2014.

The Lessor is responsible for utility and maintenance services. Rental payments will be provided from program revenue funds generated primarily from pharmaceutical company contracts. The rental rate for the entire lease term includes all expenses including real estate taxes and operating costs.

After the initial year, the base rental rate will increase three percent annually, including each of the five-year renewal options. Operating expenses will also be adjusted annually to reflect a proportionate share of the actual operating expenses for the prior 12-month period. These costs will be funded by the Institute for Influenza Viral Research program’s research grants.

The proposed lease was chosen after a Request for Information (RFI) was advertised in May 2009 for existing space in the city of Madison. There were nineteen responses which were graded and reviewed. This group was narrowed down to four finalists who were asked to come in for a second meeting to discuss their proposals. NCMNT Partners was selected from that group.

4. Description and Scope of Project: This lease provides 22,172 LSF of laboratory and support space for the Fundus Reading Center, a center within the Department of Ophthalmology and Visual Science. The space will be remodeled to accommodate researchers whose mission is to further scientific understanding and treatment of preventable blindness caused by age related eye disease, diabetic retinopathy, and age-related macular degeneration.

This space will be designed to provide research and office space. The improvement costs will be funded by the School of Medicine and Public Health. The landlord has reviewed the stated design needs and construction specifications and guarantees that improvement costs will not exceed \$665,160. These costs will be amortized over the term of the lease and are included in the lease rate.

5. Justification: In August 2002, the Fundus Reading Center relocated its administrative offices from the WARF Building on campus and two other leased locations to 406 Science Drive at the University Research Park.

The Fundus Reading Center has grown from the original leased space of 8,350 sq. ft. to a current size of 21,125 sq. ft. Current leased space is in a multi-tenant building and adjacent space has not always been an option; hence, the center is scattered throughout the facility on four different floors, a layout that no longer meets the needs of the program. The new lease will address the inadequate layout of the space in order to meet the current needs of the growing research program. The center will be located on two adjacent floors with an option to expand to an adjacent space/floor.

Long range plans for the reading center have called for them to be moved back to a campus facility, but due to growth of other Department of Ophthalmology and Visual Sciences groups, this is no longer an option. This lease would provide adequate space for staff over a five year term with renewal options.

6. Previous Action: None.

Authority to Construct All Agency Maintenance
and Repair Projects, UW System

CAPITAL PLANNING AND BUDGET COMMITTEE

Resolution:

That, upon the recommendation of the President of the University of Wisconsin System, authority be granted to construct various maintenance and repair projects at an estimated total cost of \$19,637,800 (\$5,157,700 General Fund Supported Borrowing; \$4,381,000 Program Revenue Supported Borrowing; \$4,674,000 Gifts and Grants; and \$5,425,100 Program Revenue Cash).

THE UNIVERSITY OF WISCONSIN SYSTEM

Request for Board of Regents Action September 2009

1. **Institution:** The University of Wisconsin System
2. **Request:** Authority to construct various maintenance and repair projects at an estimated total cost of \$19,637,800 (\$5,157,700 General Fund Supported Borrowing; \$4,381,000 Program Revenue Supported Borrowing; \$4,674,000 Gifts and Grants; and \$5,425,100 Program Revenue Cash).

FACILITIES MAINTENANCE & REPAIR

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
EAU	09H3A	Oak Ridge Hall Infrastructure Maint	\$ -	\$ 2,567,300	\$ -	\$ -	\$ -	\$ 2,567,300
MIL	09H3X	Multi-Bldg Parking Ramp Maint	\$ -	\$ 1,813,700	\$ -	\$ -	\$ -	\$ 1,813,700
WTW	09H3B	Tutt Hall Elev Inst	\$ -	\$ -	\$ 498,000	\$ -	\$ -	\$ 498,000
FM&R SUBTOTALS			\$ -	\$ 4,381,000	\$ 498,000	\$ -	\$ -	\$ 4,879,000

PROGRAMMATIC REMODELING & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
STP	08B2J	Maint & Materiel/Military Sci Rmdl	\$ 4,777,800	\$ -	\$ -	\$ -	\$ -	\$ 4,777,800
MSN	09H2T	UW Hospital H4-5/H4-6 Rmdl	\$ -	\$ -	\$ -	\$ 4,674,000	\$ -	\$ 4,674,000
PR&R SUBTOTALS			\$ 4,777,800	\$ -	\$ -	\$ 4,674,000	\$ -	\$ 9,451,800

UTILITIES REPAIR & RENOVATION

INST	PROJ. NO.	PROJECT TITLE	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
★ EAU	09H3C	Htg Pint Coal Elev/Hopper Repr	\$ 379,900	\$ -	\$ 275,100	\$ -	\$ -	\$ 655,000
MSN	09H2U	Univ Houses Site Utility Renv	\$ -	\$ -	\$ 4,652,000	\$ -	\$ -	\$ 4,652,000
UR&R SUBTOTALS			\$ 379,900	\$ -	\$ 4,927,100	\$ -	\$ -	\$ 5,307,000

	GFSB	PRSB	CASH	GIFT/GRANT	BTF	TOTAL
SEPTEMBER 2009 TOTALS	\$ 5,157,700	\$ 4,381,000	\$ 5,425,100	\$ 4,674,000	\$ -	\$ 19,637,800

★ UW System Administration central PR Cash account [AGFU]

3. **Description and Scope of Project:** This request provides maintenance, repair, renovation, and upgrades through the All Agency Projects Program.

Facilities Maintenance and Repair Requests

EAU - Oak Ridge Hall Infrastructure Maintenance (\$2,567,300): This project replaces several building infrastructure systems (exterior doors and windows, fire alarm and smoke detection, building heating system and controls) to extend the life of the facility. This project also extends chilled water from Chancellors Hall into the building to create a new district chilled water system. Project work includes:

- a) Replacing all exterior hollow metal doors, storefronts, wall louvers, and windows with new energy efficient units that have commercial grade insulated glass set in thermally broken and insulated aluminum frames.

- b) Replacing the entire fire alarm and smoke detection system throughout the building. The obsolete fire alarm control panel will be replaced with a multiplex intelligent system with one-way voice capabilities. The new system will meet all applicable current building code requirements, including ADA.
- c) Replacing the steam fin tube radiation heating system with a hot water radiation system. All cabinet-unit heaters, secondary low pressure steam piping, make-up univent air systems, and galvanized domestic water supply lines to the heating system will be replaced. All pneumatic controls will be replaced with new direct digital controls. The condensate return system and steam pressure reducing station will be renovated.
- d) Extending 3-inch underground chilled water lines from the distribution system in Chancellors Hall to Oak Ridge Hall to serve the fan coil units and the air handling unit.

Oak Ridge Hall (63,383 GSF) is a 4-story, 382-bed student residence hall that was constructed in 1969. The exterior metal windows are original equipment and are in poor condition. The hardware is failing and replacement parts are unavailable. These units are energy inefficient, single glaze windows with thermally unbroken and un-insulated frames. New windows with commercial grade glass and insulated frames will increase the energy efficiency and provide reliable resident room ventilation.

The fire alarm system is at the end of its useful life and should be replaced. The manufacturer stopped production shortly after the system was installed and replacement parts have been difficult to obtain. It is also timely to replace this system while other building interior work is in progress. This upgrade will extend the occupant life and safety provisions of this resident hall.

The steam heating system is original equipment and is in poor condition. The entire system is worn-out due to the abrasive nature of steam. It is noisy with constant steam hammer and it requires constant maintenance. Replacement of the univent packaged air handling units and distribution fans is required to allow supply from the hot water heating system. Replacing the steam heating system with a steam to hot water converter will provide better temperature control and increase energy efficiency.

Air conditioning is needed in some areas of the facility to provide comfort for building occupants and to remove heat that is generated by equipment. The chilled water system in Chancellors Hall has adequate capacity to provide adequate cooling for both buildings and the extension of chilled water lines is less costly than the installation and operation of a separate cooling system.

MIL - Multi-Building Parking Ramp Maintenance and Repairs (\$1,813,700): This project conducts maintenance and repair work for the underground parking facilities at Engineering and Mathematical Sciences (EMS), Sandburg Hall, and the Student Union. Project work includes repairing delaminated and cracked structural flooring surfaces, spalled joists and spalling in between the joists, and the concrete deck and joist members.

Project work in the Engineering and Mathematical Sciences Parking Ramp includes repairing the main traffic aisles and select parking areas. Future repairs are anticipated within the next ten years, but could be performed on a localized basis without disrupting traffic flow and the majority of parking. New electrical lighting and controls, sprinkler system, traffic membrane, and corrosion inhibitors will be installed in project areas.

Project work in the Student Union Parking Ramp includes repairing the plaza and upper parking level as required for safety and the protection of steel reinforcement members, repairing the northeast and southeast stairwells to correct pedestrian hazards, installing a carbon dioxide detection system with interconnection to the mechanical system fans to meet current building code requirements, and replacing damaged plumbing insulation.

The Engineering and Mathematical Sciences (EMS) and Sandburg Hall parking structures were constructed in the early 1970s. The EMS parking structure includes 151 stalls and the Sandburg Hall parking structure includes 311 stalls. Periodic maintenance has been conducted in each of the facilities, but the recent Four Parking Ramp Assessment study (Project No. 07J11) recommends significant maintenance for these facilities.

Various problems are evident in each facility. The traffic bearing membrane systems have been worn in spots due to repeated turning maneuvers and the membrane system has separated and torn off in some areas, leaving the underlying steel reinforced concrete surfaces vulnerable to water and salt infiltration. The concrete has delaminated or spalled off from the bottom of structural beams, walls, and the undersides of stairwell and floor slabs, exposing the structural reinforcing steel which has promoted rusting and accelerated deterioration. Some concrete stairwell treads have broken and are hazardous to pedestrians.

This project will be funded from parking revenue. This maintenance is included in the parking fee structure and parking fees will not be impacted by this project.

WTW - Tutt Hall Elevator Installation (\$498,000): This project constructs a new 5-stop passenger elevator to serve Tutt Hall (53,122 GSF), which is a 4-story student residence hall. This elevator will be enclosed within a new elevator tower constructed as an addition to the building and will provide access to each floor via existing hallway space. Project work includes constructing the elevator shaft alongside the exterior wall with penetrations at each level, allowing access to the existing corridor system and providing elevator service to all floors including the basement. The new elevator and controls will meet all ADA accessibility requirements. Construction will be scheduled for the summer months when the building will be unoccupied.

Part of UW-Whitewater's mission includes diversification of the student body and a special mission to meet the needs of persons with disabilities. Students and guests with disabilities can participate fully in Residence Life programs only if they have access to the alternative housing programs offered in the various residence halls. Options currently include single gender floors, co-ed floors, unique room amenities, and academic enrichment facilities. Fully accessible residence halls provide the same options to all students and allow access to all building services, such as the laundry room, vending machines, and lounges.

This project transforms Tutt Hall (constructed in 1965) into a fully accessible residence hall and continues a campus effort to make more residence halls accessible. Tutt Hall will become the seventh hall with elevator access out of a total of fourteen halls. In addition, the elevator will assist with freight delivery, maintenance, and custodial needs. The semi-annual move-in and move-out periods will benefit from the elevator installation.

Programmatic Remodeling and Renovation

MSN - UW Hospital Modules H4-5/H4-6 Remodeling (\$4,674,000): This project remodels 12,500 ASF/15,000 GSF of vacated office and laboratory spaces into new School of Medicine and Public Health clinical research program space. Project work includes complete remodeling of the center areas offices and laboratories in modules H4/5 and H4/6 (each 7,000 GSF), and upgrading 1,000 GSF of office space. The existing infrastructure and equipment will support the space.

Module H4/5 will be remodeled into clinical research space for the Cardiovascular Medicine and the Asthma Clinical Research Network programs. The space will be designed to accommodate research that is dependent on client encounters and will include a shared waiting space, procedure rooms, exam rooms, office and support space. Module H4/6 will be remodeled into clinical research space for the Allergy, Pulmonary, Immunology and Rheumatology programs, and the Obstetrics and Gynecology program. The space will be designed in a universal lab module layout with a center equipment corridor, shared environmental rooms, and shared support space.

In May 2007, a study undertaken by the School of Medicine and Public Health identified a need to decompress its office space in the Clinical Science Center. This building is the primary home for thirteen clinical departments and contains a significant portion of the school's research and academic endeavors. Additional office space was also needed for the retention of outstanding clinician faculty across multiple departments within the school. The study resulted in the construction of a 130,000 GSF faculty office building now named the UW Medical Foundation Centennial Building, which will be completed in the spring of 2010. As part of the services for the Centennial Building, the study provided programming and space planning for the programs moving to the building and those moving within the Clinical Science Center.

This space is urgently needed for two of the School of Medicine and Public Health's clinical academic programs, the Department of Medicine and the Department of Obstetrics and Gynecology. The Department of Medicine is the largest clinical academic program in the school, and is currently searching for a national chairperson. This project will allow the school to support the existing programs and benefit the recruitment of a national leader in medicine. The Department of Obstetrics and Gynecology faculty collaborate with research groups throughout the campus, including the Comprehensive Cancer Center, the Institute for Clinical and Translational Research, and the departments of Population Health and Genetics. This project will allow the departments to grow their research enterprises.

STP - Maintenance and Materiel Addition and Remodeling and Military Science Relocation (\$4,777,800): This project constructs the Maintenance and Materiel Remodeling and Addition and the Military Science Relocation project. These projects were enumerated in the 2007-09 capital budget and were combined to gain design and construction efficiencies.

A 12,188 GSF addition to the Maintenance and Materiel (M&M) building will be constructed to provide a maintenance vehicle garage, reconfigure the Central Stores operation, enclose the loading dock, and provide cohesive administrative office space. The grounds department will occupy four vacated trade shops and the former garage. Ten maintenance shops will be created by renovating 7,320 GSF of existing warehouse space. The project also constructs a weather protected salt storage bin and five open storage bins for grounds material. The gasoline and diesel pumps will be replaced and an all-weather fueling canopy will be constructed. The mechanical system will be repaired and the restrooms and shower facilities will be upgraded to meet current ADA standards.

A 10,721 GSF addition to the Health Enhancement Center (HEC) will be constructed to house the Military Science Department (Reserve Officer Training Corp) and provide storage area associated with the Multi-Activity Center and Quandt Fieldhouse. The additions will provide a second-story office suite for department personnel, a 32-seat instructional space, a 10-seat tactical laboratory, secure and non-secure Military Science/ROTC storage space, and joint-use general building storage. A free-standing 30-year-old, pre-fabricated metal storage building will be razed to provide space for the primary addition.

The Maintenance and Materiel Building (36,171 GSF) was constructed in 1972 when the campus included only 1,441,000 GSF of GPR funded buildings, 72 acres of landscaped grounds, and 2,243 parking spaces. No additional space has been added to this facility and no significant remodeling has occurred since it was originally constructed. However, significant growth has occurred in all other areas of the campus and today this building serves as the maintenance base for 1,942,000 GSF of GPR buildings, (a 35% increase); 112 acres of landscape, (a 56% increase); and 3,200 parking spaces, (a 43% increase).

Additional space is required due to the increase of the campus square footage and the acreage maintained. The grounds department uses a significant amount of specialized seasonal equipment and has limited storage space. The seasonal equipment storage is housed in six separate locations, on and near the campus, that total almost 5,000 ASF. Since 2001, the campus has leased 2,857 ASF to house seasonal equipment and materials off campus.

The mechanical systems in the M&M building are beyond their useful lives. The hot water heating system is plagued by the air hammer effect. The ceiling tile in the finished areas are deformed from the high humidity, stained from equipment leaks and dirt, and damaged from 32 years of abuse. The campus also needs adequate, secure, fire protected storage space for the plans, specifications, and operational manuals of campus building projects.

Since 1967, the Reserve Officers Training Corps (ROTC) and the Military Science department have maintained a long and solid association with UW-Stevens Point. Many of

the students in this program have advanced to positions of leadership within the nation's armed forces and military support industries. Although a number of ROTC programs were discontinued nationwide in the 1990s, support for the UWSP program remained strong as a testament to its quality. One goal of the ROTC program is to achieve integration within the broader campus learning community. Because of space constraints, the Military Science academic program is currently located in the Student Services Center (SSC), a non-academic building.

Storage for the Health Enhancement Center is limited. The Multi-Activity Center (MAC) needs storage for off-season equipment such as hurdles, pole vault and high jump mats, baseball batting and pitching cages, and archery targets. The lack of secure storage for this equipment is a significant safety risk. Protective mats and tarps storage are stored in remote corridors far from where they are needed. Portable bleacher seating is constantly in the way when not in use and is regularly moved from one location to another within the building to allow for full use of the activity center. Custodial supply space was not adequately provided for during the major project addition in 1990 due to budget limitations.

Both of these projects were submitted individually as part the 2005-07 Capital Budget at a combined amount of \$3,226,000 but they were not recommended for enumeration by the building commission. They were resubmitted individually in the 2007-09 biennium at a combined amount of \$3,707,000 and both were subsequently enumerated as All Agency funded projects. Due to the limited amount of All-Agency funding available to UW-System during the 2007-09 biennium, it was decided to defer requesting approval for both projects. The design team was selected last spring and authorized to complete a 10% concept report to determine a current budget.

The gap between the previously enumerated budget and the current budget estimate is due to inflation (4% per year) and underestimating the amount of work required to renovate the mechanical system in the Maintenance and Materiel building. The original estimate for mechanical system work is nearly \$1,000,000 below the current estimate.

Utilities Repair and Renovation Requests

EAU - Heating Plant Coal Elevator/Hopper Repairs (\$655,000): This project replaces deteriorated metal components on the coal feed system for the No. 1 and No. 2 boilers. Project work includes replacing the deteriorated housing for the coal elevator and hopper. The steel material is heavily corroded, has been patched numerous times, and is failing. The new material will be stainless steel and resistant to road salt, which occasionally coats the coal during transport to the Heating Plant.

The elevator itself was replaced approximately five years ago and is functioning, but 65 VF of elevator housing, 30 LF of hopper housing, the pants chute, two slide gate valves, and the bottom inlet chute need to be replaced. The electrically controlled vibrators, the bucket knocker, and several conduit supports need to be temporarily removed to perform the work and will be reinstalled at the completion of the project.

The Heating Plant (19,505 GSF) was constructed in 1966 and Boilers 1 and 2 are original

equipment. The existing mild steel coal elevator belt housing, elevator hopper and chutes are 41 years old, and in places have corroded almost all the way through. Patches have been installed numerous times. Approximately 20 years ago, interior liners were installed, but they have come loose, and coal trapped between the unit and the liner has accelerated the corrosion process.

MSN - University Houses Site Utility Renovation (\$4,652,000): This project replaces and upgrades the underground site civil, electrical, and mechanical utilities infrastructure that serves the University Houses complex.

Site civil utility work replaces 4,200 LF of 6-inch domestic water mains and laterals from the Village of Shorewood water main to each house unit's foundation wall. The new water main will be increased to an 8-inch pipe from the meter pit to both 6-inch Eagle Heights connections. This project also replaces 3,800 LF of sanitary sewer mains and laterals from the Village of Shorewood sewer main to each house unit's foundation wall. Project work includes constructing twelve (12) new manholes and evaluating the storm sewer piping and inlets and replacing in-kind. All site improvements (landscaping features, pedestrian pavements, roadways) disturbed by project work or staging areas will be restored and replaced in-kind. The access drive and parking areas will be reconstructed and/or resurfaced after all utility work is complete, including all pavement markings.

Site electrical utility work replaces the eleven light poles located along the access drive and parking areas with new high efficiency campus standard lighting fixtures. To ensure proper lighting coverage, this project will also conduct photometric studies and base the new lighting layout on those results. The primary and secondary electrical loops will be replaced by Madison Gas & Electric (MG&E). This project will coordinate construction efforts with MG&E to utilize the same site excavations for the secondary electric loop and the hot water piping loops and minimize site disruption.

Site mechanical utility work replaces the domestic hot water boiler and both heating hot water boilers in each of the central hub housing units with new high efficiency units that are sized to handle the unique system loop loads. This project also replaces 5,300 LF of hot water piping located underground between the central hub housing units and the sub housing units, including the piping located in the sub housing unit crawl spaces.

The University Houses complex consists of 150 two story apartments (175,000 GSF) located in 31 buildings. The buildings were constructed in the late 1940's and capital improvements have been minimal. The apartments are difficult to maintain due to outdated building systems and site civil, electrical, and mechanical utilities.

In June of 2006, a Master Plan Study (Project No. 05E2A) for the University Houses outlined the replacement and remodeling of the complex as well as the utility infrastructure that services these buildings. It was determined that a majority of the utilities as described required replacement because of age, condition, and increasing maintenance of the equipment/materials. The sanitary sewer is composed of vitrified clay piping that has not been replaced since being installed in 1947. Random inspections have shown interior wear, cracking near manholes, separated joints, and root penetration.

Optimal utility infrastructure operation requires significant resources. University Houses has had several failures of the heating systems and domestic water systems. Each repair is a considerable inconvenience for the residents and a liability for the owners. Upgrading the infrastructure to modern standards is needed in order to provide safe, functional housing.

4. Justification of the Request: UW System Administration and the Division of State Facilities continue to work with each institution to develop a comprehensive campus physical development plan, including infrastructure maintenance planning. After a thorough review and consideration of approximately 450 All Agency Project proposals and over 4,500 infrastructure planning issues submitted, and the UW All Agency Projects Program funding targets set by the Division of State Facilities (DSF), this request represents high priority University of Wisconsin System infrastructure maintenance, repair, renovation, and upgrade needs. This request focuses on existing facilities and utilities, targets the known maintenance needs, and addresses outstanding health and safety issues. Where possible, similar work throughout a single facility or across multiple facilities has been combined into a single request to provide more efficient project management and project execution.

5. Budget:

General Fund Supported Borrowing	5,157,700
Program Revenue Supported Borrowing	4,381,000
Program Revenue Cash.....	5,425,100
Gifts/Grants Funding	<u>4,674,000</u>
Total Requested Budget	\$19,637,800

6. Previous Action:

08/19/04 Resolution 8888	Recommended enumeration of the Maintenance & Materiel Remodeling and Addition project as part of the 2005-07 Capital Budget at an estimated cost of \$1,173,000 General Fund Supported Borrowing. This project was not enumerated in the 2005-07 Capital Budget.
08/19/04 Resolution 8888	Recommended enumeration of the Military Science Relocation project as part of the 2005-07 Capital Budget at an estimated cost of \$2,053,000 General Fund Supported Borrowing. This project was not enumerated in the 2005-07 Capital Budget.
08/17/06 Resolution 9225	Recommended enumeration of the Maintenance & Materiel Remodeling and Addition project as part of the 2007-09 Capital Budget at an estimated cost of \$2,122,000 General Fund Supported Borrowing. The project was subsequently enumerated at that amount with existing all-agency funds.

08/17/06
Resolution 9225

Recommended enumeration of the Military Science Relocation project as part of the 2007-09 Capital Budget at an estimated cost of \$1,585,000 General Fund Supported Borrowing. The project was subsequently enumerated at that amount with existing all-agency funds.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

September 11, 2009

9:00 a.m.

UW-Whitewater

University Center, Room 275

800 West Main St.

Whitewater, Wisconsin

II.

1. Calling of the roll
2. Approval of the minutes of the July 9, 2009 meeting of the Board
3. Report of the President of the Board
 - a. Wisconsin Technical College System Board report
 - b. Additional items that the President of the Board may report or present to the Board
4. Report of the President of the System
 - a. Presentation of Research to Jobs Task Force Report
 - b. Additional items that the President of the System may report or present to the Board
5. Report and approval of actions taken by the Education Committee
6. Report and approval of actions taken by the Business, Finance, and Audit Committee
7. Report and approval of actions taken by the Capital Planning and Budget Committee
8. Additional resolutions
 - a. Resolution of appreciation to UW-Whitewater
9. Communications, petitions and memorials
10. Additional or unfinished business
 - a. Election of interim assistant secretary of the Board
11. Move into closed session to consider personal history related to naming of a facility at UW-Whitewater after person, as permitted by *Wis. Stats.* §19.85(1)(f), and to confer with legal counsel regarding pending or potential litigation, as permitted by *Wis. Stats.* §19.85(1)(g).

The closed session may be moved up for consideration during any recess in the regular meeting agenda. The regular meeting will reconvene in open session following completion of the closed session.



Office of the President

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Dear Regents:

Attached is the final report from our Research to Jobs Task Force, which I appointed in February. Under the leadership of WARF Managing Director Carl Gulbrandsen, the group has produced several provocative ideas and recommendations.

The world's current financial crisis condition dictates that we focus our vision and limited resources on strategies that will help our citizens, our business, and our entire state survive and thrive. The Task Force recommendations support both short- and long-term approaches.

As I review this report, I believe that most, if not all, of the Task Force's recommendations can be tied to four strategic areas:

1. Fostering and attracting human talent fueled by innovation
2. Focusing on the kinds of jobs that leverage innovation and entrepreneurial skills, and reward those talents
3. Attracting the research and development, along with financial investment needed to support the generation of new knowledge
4. Creating an entrepreneurial culture in all people and in all corners of the state so all citizens can contribute to, and have a stake in, the state's better economic future.

The report focuses on several actions that the University of Wisconsin System and its public-private partners can take to strengthen and advance a sound economic development agenda. Many key findings emerge from the report – some reflect work that is already under way, some can be accomplished in the short-term, and some will require a long-term approach.

While this report marks the culmination of a great deal of hard work by the Task Force members, it is only the beginning of our fuller discussion of the UW System's strategic direction. I look forward to a fuller discussion of the report, which should serve as a catalyst for bigger, bolder thinking about the University's role in creating new jobs, new opportunities, and greater prosperity.

A handwritten signature in black ink, appearing to read "Kevin S. Reilly".

**RESEARCH TO JOBS TASK FORCE
FINAL COMMITTEE REPORT**

**Submitted to
Dr. Kevin Reilly
UW System President
September 2009**

RESEARCH TO JOBS TASK FORCE COMMITTEE

Chair:

Carl Gulbrandsen, Managing Director, WARF; President, WiSys Technology Foundation

Members:

Kris Andrews, Assistant Vice President, Office of Federal Relations, UW System

Bill Berezowitz, Vice President and General Manager of Imaging Subsystems, GE Healthcare

Paula Bonner, President & CEO, Wisconsin Alumni Association

Pat Brady, General Counsel, UW System

Mark Bugher, Director, University Research Park, UW-Madison

Mark Cook, Board Chair and Founder, Isomark, LLC

Terry Devitt, Assistant Director, University Communications, UW-Madison

Kathleen Enz-Finken, Provost, UW-La Crosse

Rebecca Faas, President, INOV8 International, Inc.

Charlie Hoslet, Managing Director, Office of Corporate Relations, UW-Madison

Maliyakal John, Managing Director, WiSys Technology Foundation

Ralph Kauten, Chief Executive Officer, Quintessence Biosciences

Frank Langley, President and CEO of MPP Group

Thomas (Rock) Mackie, Co-founder, Chairman of the Board, TomoTherapy, Inc.

Greg Meier, Executive Vice President, Physiogenix

Mark Mueller, President, Botanic Oil Innovations, Inc.

John Neis, Managing Director, Venture Investors

Noel Radomski, Lecturer and Associate Researcher, Wisconsin Center for the Advancement of
Postsecondary Education, UW-Madison

Charles Sorensen, Chancellor, UW-Stout

Tom Still, President, Wisconsin Technology Council

Brian Thompson, President, UWM Research Foundation

John Torinus, Chairman, Serigraph, Inc.

David J. Ward, then Interim Chancellor, UW-Green Bay; and President and Founder, NorthStar
Economics

John Wiley, Academic Program Director, Wisconsin Institute of Discovery, UW-Madison

EXECUTIVE SUMMARY

In early February 2009, UW System President Kevin Reilly created the Research to Jobs task force. The task force was chaired by Carl Gulbrandsen, managing director of the Wisconsin Alumni Research Foundation. The group was geographically and professionally diverse. It included individuals from large and small companies, university faculty and administration, and organizations involved in university technology transfer and technology development. (Committee roster attached as Appendix A.)

President Reilly urged the committee in a letter to examine ways to make a positive contribution to the quality of life, job growth, and economic development of the State. Reilly said, "All our universities in the UW System have the capability to play a key role in developing clusters of new and growing knowledge-based companies, and to work closely with the industries and companies of Wisconsin that already exist to ensure that they remain competitive in the 21st century." (Attached as Appendix B.)

The charge to the committee was as follows:

"The task force is entrusted with developing recommendations on creating jobs through UW-led research and increasing the technology transfer to Wisconsin's companies. The recommendations must be generally applicable to all UW institutions and industry sectors."

"Therefore, it is important to get feedback from diverse sources. The recommendations must be:

- Practical and implementable in the near future;
- Quantifiable with benchmarks for success; and
- Specific in defining the roles of all UW research institutions, industry, and government entities."

"The committee may want to consider addressing the task in three distinct approaches:

- Job creation through start-ups;
- Growth of mature business; and
- Effective ways to communicate the critical role of UW research to the public and industry.

The committee may want to form three groups to address each of these issues. The groups are also encouraged to recruit advisers for their respective tasks."

In response to President Reilly's charge, three subcommittees were created:

- 1) Job Creation Through Start-ups, led by John Neis of Venture Investors, Madison;
- 2) Growth of Mature Business, led by David J. Ward, President and Founder of NorthStar Economics and then Interim Chancellor of UW-Green Bay, and Charles Sorensen, Chancellor of UW-Stout; and

- 3) Effective Ways to Communicate the Critical Role of UW Research, led by Wisconsin Technology Council president, Tom Still.

The committee examined successful models from other states and universities for job growth, assessed the special needs of the UW System and the State of Wisconsin, and considered ideas from diverse business and public sector leaders.

Overall, the committee recognized that job growth through start-up companies is generated through the two major research campuses of Madison and Milwaukee. Efforts to further stimulate company formation in these two regions must be supported and strengthened; this includes continuing to support the “growth agenda” at UW-Milwaukee which is essential to ensuring that UWM’s research program has the resources to act as an engine for economic development in the Milwaukee region. The committee further identified an opportunity to engage the UW System comprehensive campuses and Wisconsin’s small companies in creating jobs through UW-industry partnerships. Finally, a focused effort at the UW System and individual campus levels must be carried out to incentivize research efforts, nurture entrepreneurship among faculty and students, and effectively communicate to the public UW’s role in economic growth.

Committee recommendations are broken down into two sections. The first section identifies actions that can be taken by the UW System and individual campuses. The second section lists several suggestions for the private sector and State government that will improve start-up activities within the UW System and Wisconsin. Research to jobs is a complex challenge that will require continued joint efforts by both public and private sectors.

The committee’s primary recommendations for the UW System on improving job growth through research are summarized below, and encompass three main topics:

- 1) Better connect to Wisconsin’s industry needs;
- 2) Promote entrepreneurship; and
- 3) Gain a competitive advantage for our students in high-paying jobs through research and development training.

Recommendations and Action Items for the UW System

- **Connect with Wisconsin Industry**

The mission of the University of Wisconsin to advance scholarship and educate students can be connected to Wisconsin’s industry needs, which will result in increased economic growth and job creation.

Several thousand Wisconsin small companies need technical innovation to grow, which can be supplied by UW faculty experts and students through joint research and development programs.

This initiative would engage the underutilized research capacity of the comprehensive campuses, allow student participation in industry related research and development, and lead to job creation both at the university and in Wisconsin's small companies. Following are the specific action steps suggested:

- 1) Develop seven or more Emerging Technology Centers administered by individual campuses to focus on specific technologies and connect with Wisconsin companies throughout the State. Each Center must have joint research and development programs that will engage students through internships. The Centers must be committed to educate faculty and students in entrepreneurship. These Centers also must gather data and information on the needs and challenges of Wisconsin companies and form partnerships with medical institutions (such as Marshfield Clinic, Aurora Health Care, and the Wisconsin Medical College), as well as educational centers (such as UW-Madison's Wisconsin Institutes for Discovery and Great Lakes Bioenergy Research Center, and UW-Milwaukee's Great Lakes WATER Institute). Wisys Technology Foundation may be charged to lead the effort, to be completed by 2011, after commitment of resources. The estimated cost for the UW System per center is \$450K the first year and a total of \$650K for the remaining four years, after which the centers are expected to become self-sufficient. A detailed proposal can be found in the Growth of Mature Business Committee report (Appendix D2).
 - 2) Expand the Wisconsin Discovery Portal database to include all UW campus faculty and allow public and private parties to seek campus partners for collaborations. This dynamic digital database will compile information regarding faculty expertise, campus resources and collaboration interests, and will eventually serve as a front gate to industry and inter-campus collaborations. The estimated cost for the first year is \$115K and \$75K per year thereafter for maintenance costs. A detailed proposal can be found in the Growth of Mature Business Committee report (Appendix D2).
- **Promote a Culture of Entrepreneurship**

UW System's flagship research campuses, UW-Madison and UW-Milwaukee, as well as the eleven 4-year campuses, have strong research programs developing cutting-edge technologies. Enhancing and facilitating a culture of entrepreneurship among our students and faculty throughout the System will increase the number of start-up companies and assist in job creation.

 - 1) Promote entrepreneurship as a desirable endeavor. Top administration at UW System and on the campuses must lead the charge in fostering a culture of entrepreneurship among faculty, staff and students and may partner with State organizations such as the Wisconsin Entrepreneurs' Network (WEN), Wisconsin Manufacturers & Commerce (WMC), and Wisconsin Technology Council (WTC). UW System leadership can proactively actively engage the campus leadership in effecting such a change.

- 2) Establish a Systemwide business plan competition for faculty, staff and students. The committee sees student involvement as one of the most critical and promising aspects for entrepreneurship success. Participants may receive mentoring on business start-ups and technology transfer issues through UW's technology transfer offices, the Wisconsin Technology Council, UW business schools, and UW-Extension Small Business Development Centers. After commitment of resources, the Wisconsin Technology Council (WTC) may be charged with developing the plan in partnership with the WARF/UWMRF/WiSys technology transfer offices. The estimated annual cost is ~\$125K. Details are included in the Start-up Committee report (Appendix D1, Proposal 4).
 - 3) Amend the UW leave of absence policy to allow the Board of Regents to extend leaves of absence for up to five years for faculty engaged in start-up activities. System leadership may enact this change. Details are included in the Start-up Committee report (Appendix D1, Proposal 8).
 - 4) Re-vamp and re-establish the Wisconsin Economic Summit to showcase UW technologies and assess economic growth opportunities. The Wisconsin Technology Council may be requested to lead this charge. Details are included in the Communications Committee report (Appendix D3).
 - 5) Duplicate UW-Madison's successful entrepreneurial programs on other UW System campuses. UW-Madison has several stellar programs that promote entrepreneurship that can serve as models for other campuses. WARF may host a workshop for other System campuses on entrepreneurship initiatives such as the Merlin Mentor program, the Kauffman Foundation initiative, and the Gilson Discovery Series. These UW-Madison initiatives can be replicated/adapted on other campuses at low cost. Regional companies may be approached to host social hours with faculty and students interested in promoting UW-industry interaction and entrepreneurship. Specific suggestions on improving entrepreneurship are included in all three committee reports. (Appendix D1-D3)
- **Promote Research as an Integral Component of Teaching in the Comprehensive Campuses**
 The majority of students (~90,000) and faculty (~3,500) reside in the System's 11 comprehensive campuses. Students with hands-on experience in solving challenges through research have a competitive advantage in finding high-paying jobs. The UW System and campus administrations can promote and facilitate increased research across the System by removing existing barriers and incentivizing faculty and students to conduct research through the following methods:
 - Discoveries being patented must be counted for career advancement
 - Students must receive credits for engaging in research
 - Release time must be provided to faculty for student mentorships
 - Summer salary must be provided to faculty for conducting research
 - Internships must be provided for students conducting research

The UW System could develop guidelines and offer financial assistance in initiating these incentivizing programs. The cost for many of the steps is already included in the Emerging Technology Centers proposal included in the Growth of Mature Business Committee report (Appendix D2).

Recommendations for Private Sector or Joint Public–Private Sectors

Specific recommendations have been developed to improve start-up activities in the State. The committee assessed deficiencies specific to Wisconsin in terms of start-up and early-stage companies. Many of these recommendations require synergetic actions by venture capital and angel investors, as well as economic development organizations and State government. UW System leadership is encouraged to work with public and private sector leadership in advancing the following action items:

- 1) The Wisconsin Entrepreneur-in-Residence Program would identify and retain qualified and experienced CEO candidates, for a limited time period, in start-up companies within Wisconsin. This will address a critical lack of skilled company managers in Wisconsin. The program is envisioned to be funded through private sources and matched by the State. The estimated cost per CEO will be \$150K/year. Details are provided in the Start-up Committee report (Appendix D1, Proposal 6).
- 2) The Wisconsin Tech Transfer CEO placement program is a loan award program that allows the recruitment of qualified CEOs for early-stage companies that are strapped for cash. A cash award is provided that is sufficient to fund a CEO for up to one year. Funding comes from private sources matched by the State. The estimated cost is \$300K per year per CEO. Details are provided in the Start-up Committee report (Appendix D1, Proposal 7).
- 3) Recruit SBIR grant writers and coaches. Wisconsin lags behind most other states in acquiring SBIR funds. This program can be facilitated through working with organizations such as the Wisconsin Entrepreneurs' Network or other economic development organizations to develop a pool of qualified writers and coaches. The estimated cost is \$75K per grant writer. Details are provided in the Start-up Committee report (Appendix D1, Proposal 1).

Implementation Plan

The committee recommends the following specific steps to monitor the implementation of Research to Jobs task force recommendations:

- A) Formation of a standing committee to continue the momentum of this task force's activities. Several members of the task force have volunteered their time to serve on this committee. The Research to Jobs Implementation Committee, which will report its findings to President Reilly and the task force on an annual basis, will provide quantitative assessments and may suggest corrective measures, as necessary. It is important that the committee members make a sufficient time commitment for this task.

- B) The UW System should on a regular basis communicate its efforts on job creation and economic growth to public officials, business and community leaders.
- C) The UW System could provide leadership in canvassing campuses regarding the implementation of the action items.

Appendices:

A: Committee Member List and Guidelines

B: Letter from President Reilly

C: List of Recommendations

D1-D3: Full Committee Reports

Appendix A

Committee Members and Guidelines – Research to Jobs Task Force

Task Force Members:

Chair: Carl Gulbrandsen, Managing Director, WARF; President, WiSys Technology Foundation
Kris Andrews, Assistant Vice President, Office of Federal Relations, UW System
Bill Berezowitz, Vice President and General Manager of Imaging Subsystems, GE Health Care
Paula Bonner, President & CEO, Wisconsin Alumni Association
Pat Brady, General Counsel, UW System
Mark Bugher, Director, University Research Park, UW-Madison
Mark Cook, Board Chair and Founder, Isomark, LLC
Terry Devitt, Assistant Director, University Communications, UW-Madison
Kathleen Enz-Finken, Provost, UW-La Crosse
Rebecca Faas, President, INOV8 International, Inc.
Charlie Hoslet, Managing Director, Office of Corporate Relations, UW-Madison
Maliyakal John, Managing Director, WiSys Technology Foundation
Ralph Kauten, Chief Executive Officer, Quintessence Biosciences
Frank Langley, President and CEO of MPP Group
Thomas (Rock) Mackie, Co-founder, Chairman of the Board, TomoTherapy, Inc.
Greg Meier, Executive Vice President, Physiogenix
Mark Mueller, President, Botanic Oil Innovations, Inc.
John Neis, Managing Director, Venture Investors
Noel Radomski, Lecturer and Associate Researcher, Wisconsin Center for the Advancement of Postsecondary Education, UW-Madison
Charles Sorensen, Chancellor, UW-Stout
Tom Still, President, Wisconsin Technology Council
Brian Thompson, President, UWM Research Foundation
John Torinus, Chairman, Serigraph, Inc.
David J. Ward, Chancellor, UW-Green Bay & President; Founder, NorthStar Economics
John Wiley, Academic Program Director, Wisconsin Institute of Discovery, UW-Madison

Note: Additional names may be added.

Executive Committee

Carl Gulbrandsen, John Neis, Tom Still, David Ward

Timeline:

March 11, 2009, 2.00 p.m.

First committee meeting, at WARF. Introduction and discussion of work plan

April 16, 2009, 3.00 p.m.

Teleconference to report progress, issues

April 30, 2009 3.00 p.m.

Teleconference to report progress, issues. Preliminary report will be due from each sub-committee by May 5, 2009.

May 11, 2009, 11.00 a.m.

Second committee meeting at WARF. Discussion on preliminary report and suggestions for improvement. Final report from each sub-committee due on May 25, 2009.

June 2, 2009, 11.00 a.m.

Final committee meeting at WARF. Discussion on final report

Objective:

The task force is entrusted with developing recommendations on creating jobs through UW-led research and increasing the technology transfer to Wisconsin's companies. The recommendations must be generally applicable to all UW institutions and industry sectors.

Therefore, it is important to get feedback from diverse sources. The recommendations must be:

- Practical and implementable in the near future.
- Quantifiable with benchmarks for success.
- Broadly applicable to all regions of the state.
- Specific in defining the roles of all UW research institutions, industry, and government entities.

The committee may want to consider addressing the task in three distinct approaches:

- Job creation through startups
- Growth of mature business (UW –industry partnerships to grow jobs), and
- Effective ways to communicate the critical role of UW research to the public and industry.

The committee may want to form three groups to address each of these issues. The groups are also encouraged to recruit advisers for their respective tasks.

Subcommittees

Note: Carl Gulbrandsen is Ex Officio for all Committees

Job Creation through Startups

Lead: John Neis

Members: Mark Bugher, Ralph Kauten, Frank Langley, Rock Mackie, Greg Meier, Mark Mueller, Brian Thompson, John Wiley

Advisors: Suggested names - Dr. Bill Barker (Associate Dean, College of Letters and Sciences, UW-Madison), Winslow Sargeant (Managing Director, Venture Investors), Bill Gregory (Professor, Human Movement Science, UW-Milwaukee)

The startup subcommittee will draw up a work plan, including a timeline to increase startups throughout the state. The committee may consider ways to improve the research environment conducive to development of platform technologies. Discussions with representatives of all campuses, Wisconsin Medical College, Marshfield Clinic and other research institutions are necessary. The committee may interview a diverse segment of faculty to understand some of the following issues:

- Hurdles at the UW level (faculty incentives, resources, conflict of interest issues, lack of guidance, etc)
- Hurdles at startup levels (capital, tax laws, resources, lack of CEOs)
- Special issues of small cities/UW comprehensive campuses
- Role of research parks or incubators
- Lessons from out-of-state universities

The committee would also:

- Develop a list of recommendations
- Develop benchmarks for success
- Develop a set of questionnaires to get feedback from public and private citizens.

Public input is very critical and the members are encouraged to set up interviews with opinion leaders.

Growth of Mature Business (UW-industry Partnerships to Grow Jobs)

Co-Leads: David Ward, Charles Sorensen

Members: Bill Berezowitz, Mark Cook, Rebecca Faas, Kathleen Enz Finken, Charlie Hoslett, Maliyakal John, John Torinus

Advisors: Suggested names - Kathy Collins (Technology & Development Finance Manager, Dept. of Commerce), Mark Bradley (President, UW System Board of Regents)

The group will develop a work plan and timeline to address how research at the universities can be translated into job creation and additional specific benefits for Wisconsin companies. Several hundred of Wisconsin's small- and medium-size companies lack R&D infrastructure or resources. The committee would look at the following issues to determine how UW System campuses can partner with industry to develop new technologies and products for growth and jobs:

- Hurdles for companies in partnering with UW (lack of confidence, unfavorable terms, timely completion, lack of funds, lack of a known entry gate, lack of understanding of tech transfer, etc.)
- Hurdles for faculty and campuses (time, funds, technical support, campus support, career hurdles, lack of incentives, lack of interesting challenges, lack of guidance, etc.)
- Special issues for comprehensives (teaching versus R&D, infrastructure)
- Incentives for partnership (seed funds, tax incentives, centralized leadership)
- Examples of initiatives from out-of-state universities

The Committee would also:

- Develop specific recommendations
- Develop benchmarks for success
- Obtain feedback from public and industry opinion leaders.
- Develop a questionnaire for interviews.

Communication of the Critical Role of UW Research to the Public and Industry

Lead: Tom Still

Members: Kris Andrews, Paula Bonner, Pat Brady, Terry Devitt, Noel Radomski

Advisors: David Ward

Historically, Wisconsin industries, especially small- and medium-size companies, have not benefited significantly from UW research. UW willingness to work with companies, and the mutual benefits that would result, need to be communicated to all Wisconsin companies.

This subcommittee would focus on ensuring that public and political leaders know the advantages of this important partnership for Wisconsin's economy, leading to the likelihood that necessary funding will be provided. This cultural shift will improve the environment for UW-industry partnerships.

Contact Information:

Carl Gulbrandsen, Managing Director, WARF

E-mail: Carl@warf.org; **Phone:** 608-263-9395

P.O. Box 7365, Madison, WI 53707

Kris Andrews, Assistant Vice President, Office of Federal Relations, UW System Administration

E-mail: kandrews@uwsa.edu; **Phone:** 608-263-3363

Van Hise Hall, Room 1764, 1220 Linden Drive, Madison, WI 53706



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website: <http://www.uwsa.edu>

Appendix B

March 11, 2009

Dear Members of the Research to Jobs Task Force:

Thank you for agreeing to serve on the UW System's "Research to Jobs" Task Force. I regret that I cannot be with you today to extend my thanks in person; however, I will plan to join you in May – when the weather is warmer and you have solved all the issues at hand!

Truly, I do want to thank Carl Gulbrandsen for undertaking this assignment. There's a famous saying about if you want something done, ask a busy person. That must have been written about Carl. I am very grateful to Carl and his team at WARF/WiSys for their willingness to lead these efforts.

About a year ago, the UW System completed a strategic planning process. One of the action steps that grew out of our strategic planning process was for the University of Wisconsin System to evaluate not only what it could do, but what it should do more of, to transform university research and faculty expertise into high-paying, knowledge-based jobs for Wisconsin.

At a time when our state and nation desperately need a more educated workforce and activities that will build on our economic strength and lead to new jobs and a higher quality of life, our nation's universities are being challenged to support economic development in a positive and progressive way. Rightly so. All our universities in the UW System have the capability to play a key role in developing clusters of new and growing knowledge-based companies, and to work closely with the industries and companies of Wisconsin that already exist to ensure that they remain competitive in the 21st century. If we can move more of our intellectual fire power down the chain to the point that it is indeed creating new industries and jobs that have a future in Wisconsin, we will have made an enormous contribution to all our futures – throughout Wisconsin and throughout the United States.

I thank you for taking on this important work – an assignment I know will be well worth the effort. I look forward to hearing about your progress, and will plan to be with you personally when you meet again in May.

Sincerely,

A handwritten signature in black ink, appearing to read "Kevin P. Reilly".

Kevin P. Reilly
President

Universities: Madison, Milwaukee, Eau Claire, Green Bay, La Crosse, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, Superior, Whitewater. Colleges: Baraboo/Sauk County, Barron County, Fond du Lac, Fox Valley, Manitowoc, Marathon County, Marinette, Marshfield/Wood County, Richland, Rock County, Sheboygan, Washington County, Waukesha. Extension: Statewide.

Appendix C

List of Recommendations – Research to Jobs Task Force

Job Creation through Start-ups (see Appendix D1)

1. **Recruit experienced SBIR grant writers** to assist University of Wisconsin System start-ups attract early non-dilutive funding.
2. **Week long course to teach basic business and entrepreneurial skills** to students, staff, and faculty in the scientific and engineering disciplines. This is modeled after the successful entrepreneurial boot camp on the UW-Madison campus.
3. **A UW System website for posting start-up ideas and requests** for support, which may include employment, advisors, financial support, etc. (the “UW Innovation Machine”).
4. **A UW system-wide business plan competition** modeled after the Burrill Business Plan Competition on the University of Wisconsin-Madison campus.
5. **A UW Certificate Educational Program on Technology Transfer** for economic development professionals and business incubator managers.
6. **Wisconsin Entrepreneur-in-Residence Program** to identify and retain qualified and experienced CEO candidates for start-ups.
7. **Wisconsin Tech Transfer CEO Placement Program** to award loans to early-stage companies to recruit CEOs.
8. **UW System Leave of Absence policy** be modified to encourage faculty to engage in Wisconsin startup companies.

Growth of Mature Business (See Appendix D2)

9. **Development of Emerging Technology Centers in the UW System** to focus on specific technologies and connect with companies throughout the State.
10. **Expand Wisconsin Discovery Portal database** to include all UW campus faculty to facilitate inter-campus and industry collaborations.
11. **Remove existing barriers** and promote research as an integral part of undergraduate teaching.

Communicating the Critical Role of UW Research to the Public and Industry (See Appendix D3)

12. **Improve the UW’s tele-presence statewide**, whether through internal communications tools or through mediums such as Wisconsin Eye, the Big 10 Network, WisBusiness.com, the Wisconsin Technology Network and other targeted sources that offer online video options. These are opportunities to showcase UW R&D success stories.
13. **Make better use of alumni publications**, both print and online.

14. **Use available “ambassadors” more effectively.** These include alumni, “star” business partners and license-holders, faculty and staff who have successfully worked with business, and students – who are ultimately the No. 1 “tech transfer” product of the university.
15. Consider establishing a **UW System version of the UW-Madison Office of Corporate Relations**, working through that existing framework, to better connect businesses working with the non-doctoral comprehensive campuses.
16. A **Wisconsin Idea bus tour** or similar outreach function such as The Wisconsin Edge, which is co-sponsored by WARF. This process and others have highlighted “best practice” examples of university-industry collaboration.
17. **Gain a better grasp of “new media”** and determine ways to better help news organizations in performing an increasingly difficult, resource-restrained job.
18. **Start-up funding for the Center on Public Opinion and Technology (CPOT)** within the UW-Madison Department of Life Sciences Communications would help put that research into the right hands – and launch a national center that could eventually pay dividends to the university.
19. **Routinely capture business community opinion using survey research tools.** The Wisconsin Technology Council and WisBusiness.com have launched a “Tech Leadership Survey” to regularly sample business opinion in that sector.
20. **Improve marketing of the technologies in the WARF, UWM Research Foundation, and WiSys portfolios**, especially to small- and medium-sized businesses and Wisconsin trade associations that often represent those businesses.
21. **Leverage UW System graduates in the Milwaukee area**, where there are excellent examples of collaboration (the GE Healthcare “master agreements” with WARF, for example) but a lack of recognition. The UW System should work harder to close the Milwaukee-Madison cultural and business divide while supporting the growth of the UW-Milwaukee research infrastructure.
22. **Use statewide and regional groups to communicate** the fact that UW-Madison R&D is available to be deployed anywhere in Wisconsin (or the world) and that all UW System campuses offer significant R&D capacity, either individually or collectively.
23. **Consider reviving the Wisconsin Economic Summit.** The focus of the next summit might be twofold: “best practices” in Wisconsin and elsewhere, and getting direct feedback on business needs.
24. **Commit the resources** for the UW System’s “Growth Agenda” to be successful.

Appendix D1

Start-up Committee Final Report - Research to Jobs Task Force

Committee Members:

Mark Bugher, Director, University Research Park, UW-Madison

Ralph Kauten, Chief Executive Officer, Quintessence Biosciences

Frank Langley, President and CEO of MPP Group

Thomas (Rock) Mackie, Co-founder, Chairman of the Board, TomoTherapy, Inc.

Greg Meier, Executive Vice President, Physiogenix

Mark Mueller, President, Botanic Oil Innovations, Inc.

John Neis, Managing Director, Venture Investors, Committee Chairperson

Brian Thompson, President, UWM Research Foundation

John Wiley, Academic Program Director, Wisconsin Institute of Discovery, UW-Madison

Report Summary

The Start-up Committee of the Research to Jobs Task Force developed a number of ideas to stimulate more start-up activity and job creation from entrepreneurial ideas hatched on University of Wisconsin System campuses. Knowledge will be the principal driver in transforming our state's economy and creating high paying, sustainable jobs in the 21st Century. The University of Wisconsin System is recognized worldwide for its research prowess, attracting research dollars which it transforms into knowledge that offers the potential to greatly benefit mankind. The goal of the Start-up Committee was to offer ideas to help the University of Wisconsin System become equally adept at transforming that knowledge back into dollars by actualizing that potential.

The achievement of this objective requires the development of a complex entrepreneurial ecosystem that nurtures entrepreneurially minded faculty, staff, and students, enabling them to access the assistance, expertise, and resources necessary to achieve their goals. We want to remove obstacles to new business formation, encourage the pursuit of their entrepreneurial dreams, and improve their probability of successful commercialization and sustainability. The committee considered the continuum of needs from idea generation and development, to assembly of teams and access to early financing, to commercialization and successful growth. The ideas that we advanced also consider a number of characteristics of this process and the attributes of the University of Wisconsin System:

- We want to be certain to extend the reach to all participants in our ecosystem. The UW System has more than 6,500 faculty members, nearly 3,000 of which are at doctoral granting institutions that are engaged in significant research. There almost 29,000 staff

members, nearly 17,000 of which are on doctoral granting campuses, and many of which are holders of advanced degrees and engaged in research. Whether working in conjunction with faculty or independently, their greater numbers could provide entrepreneurial potential of similar or even greater magnitude. There are more than 173,000 students in the System, and they may offer the greatest potential based on their sheer numbers, youthful energy, and capacity for taking risks. We believe that the vision for stimulating entrepreneurship should be inclusive of all of these groups and have advanced proposals that engage all of these key members of the ecosystem.

- In this increasingly complex and competitive world, connections and knowledge from outside the sphere's in which we live and work daily helps us identify problems, solutions and opportunities sooner and address them more effectively. Furthermore, 24 of the 26 universities and colleges that are not doctoral granting are unlikely to generate the kind of critical mass of research activity that is often the starter material for start-ups. As a result, they are less likely to produce clusters of related entrepreneurial start-ups that create spontaneous interconnectivity and the resulting synergy within the boundaries of each campus. As a result, we want to encourage increased interdisciplinary and inter-institutional interaction to effectively utilize the specialized support networks that can nurture development and enhance the competitiveness of the businesses that emerge from our campuses.
- Research and commercial development require very different skill sets. We have included ideas to attract and engage experienced business professionals earlier in the process.
- We are conscious of the severe budget constraints in this difficult economic climate. We are promoting ideas with modest overall costs, and in some cases offering strategies for more than one potential funding source.

Our proposals acknowledge the nature of the transition from ideas hatched in the University of Wisconsin System to private sector companies. As a result, they begin with ideas that operate within the System under the System's control, and end with ideas to foster success after full transition into the private sector.

We have proposed budgets that presume each program stands on its own. However, we believe that several of these programs are synergistic and could be operated under a single administrative umbrella. Additionally, many of these activities could be administered outside the University of Wisconsin System, either by a university affiliated foundation (such as WARF or Wisys) or by economic development organizations that are either statewide (such as the Wisconsin Technology Council) or regional (like BizStarts, Thrive, or NEW North) with shared staffing that could reduce overall cost and avoid creating a new UW System staff position.

Proposal #1

New Idea Generation

UW System Grant Writing Coaches

Proposed Start-up Initiative: Recruit experienced SBIR grant writers to assist University of Wisconsin System spin-outs attract early non-dilutive funding.

Estimated Program Cost: \$50,000 - \$75,000 in direct and indirect costs per grant writing coach. Total costs could be lowered with the initial position being that of an independent contractor status with no benefits.

Funding Sources: Seek donor support to initiate program. Supplement with fees from assisted companies. If successful, could be considered for additional legislative funding.

Program Description: SBIR Grants are an excellent source of initial and non-dilutive funding and with outcomes often acting as a catalyst for a technology foundation for potential commercialization. However, faculty members/university administration often lack the time, expertise, or industry connections to gain a full appreciation for how successful SBIR grant submissions differ from academic research grant proposals. The objective of the Grant Writing Coach program is to improve the probability of receiving grant funding by receiving constructive feedback from individuals that are familiar with the attributes that translate into a score that is likely to receive funding. A couple alternative models should be examined:

- Have a shared pool of grant writing coaches, each serving spin-outs from all UW System campuses in a particular field of study. This model has the advantage of domain expertise of the grant writing coach in the area of research of the grant submission. Additionally, a shared resource is more likely to be cost effective because of a lack of critical mass for the non-doctoral granting universities in the System.
- Alternately, place on an experimental basis at least one grant writing coach in a department on a UW System campus that has an opportunity to capitalize on the investment. This model has the advantage of more routine interaction with spin-outs from a particular campus.

With either alternative, it is recommended that there be at least one grant writing coach located on the Madison and Milwaukee campuses.

With this program:

- May be attractive to private sector donors who wish to collaborate with a university department/faculty member with respect to certain technology and expertise.
- The metrics of success/failure are easier to quantify by looking at grants prepared and granted. This will be more palatable to prospective private sector donors who are looking for a more definitive accountability for their contribution.
- Enables faculty to focus on the technical aspects of the proposal instead of researching the program's nuances, freeing up faculty to pursue more grants of interest and helping other faculty members to get into the grant process.
- The profile of the participating university could be raised in the private sector through these and follow-on collaborations.
- Opportunity to generate royalty revenue as an offset against (or gain) on future program costs.
- Will help spur economic growth when companies are formed around the commercializing core technology.

Actions required for implementations:

1. Identification of UW Schools interested in program – applicant school would have to identify department for placement of initial grant writer at their institution.
2. Solicitation of private donors that want to support this initiative.
3. Develop program description and guidelines.
4. Provide some initial training on SBIR grants and develop interest among faculty members.

Targeted milestones:

Develop a program dummies / description

Secure private sector donations for initial program

Recruit and place grant writing coaches at interested sites

Evaluate success / prepare next funding requests

Proposal #2

Development of Entrepreneurial Skills

UW System Entrepreneurial Boot Camp

Proposed Start-up Initiative: Week long course to teach basic business and entrepreneurial skills to students, staff, and faculty in the scientific and engineering disciplines. This is modeled after the successful entrepreneurial boot camp on the UWMadison campus and could be coordinated with other entrepreneur training programs, such as the “Entrepreneurs’ Edge” presentation skills-building program run through the Wisconsin Angel network.

Estimated Program Cost: \$50,000 - \$75,000 in direct and indirect costs, dependent on form of implementation.

Funding Sources: Seek donor and foundation support to initiate program.

Program Description: Many individuals trained in the sciences have had little or no formal exposure to basic business principles. Even if they have some knowledge of business matters, they may lack specific knowledge about common strategic and finance strategies typically encountered by early stage companies. By developing core knowledge, analytical skills, and key considerations in the early decisions they will face, they improve their probability of hiring the right employees and advisors at the right time, of approaching the right investors at the right time with the right expectations, and avoiding the common early missteps that can cripple a company’s long term prospects. The week-long intensive learning from experienced instructors in a class setting with like minded individuals has proven to be a popular, rewarding experience for participants. The program is scheduled during the summer when classes are out of session, avoiding interference with most regular commitments of participants. A couple alternative models should be examined:

- Expansion of the existing program in Madison to accommodate the inclusion of faculty, staff and students from around the state. If done with sufficient expansion in the number of instructors and break-out sessions to avoid dilution, this is probably the most efficient alternative while maintaining consistent quality. Given that Madison has the state’s most vibrant entrepreneurial climate, the participants from outside of Madison have an opportunity to experience the climate and activity first hand, making it a more tangible experience.
- Simulcasting the program to several locations around the state on UW System campuses, with support instructors on location. Some quality control is lost and there

may be less critical mass at remote locations, but participants are spared lodging costs during their stay in Madison.

- Create one or more separate boot camps for faculty, staff, undergraduate, and/or graduate students throughout the System. Obviously, there is greater variability and cost and the number of separate boot camps increases.
- Record the UW-Madison boot camp and make it available on demand online for all in the UW System. Part of the learning experience is the interactive, hands on nature of the learning experience and the networking and social interaction that runs into the evenings of the event. Nevertheless, this is superior to not participating in any fashion. This alternative could be combined with any of the alternatives above.

The existing program is open to graduate students in physical/life sciences, engineering, and law at UW-Madison. Clearly there is a broader universe within the System than could benefit from the program, For more information on the existing program at UW-Madison, go to:

<http://www.bus.wisc.edu/weinertcenter/Web.asp>

Actions required for implementations:

1. Determine scope, scale, and format of the desired expansion.
2. Solicit private donors that want to support this initiative.
3. Develop detailed plans, logistics, and infrastructure plans for proposed expansion.
4. Promote and recruit participants from the broader targeted audience.

Targeted milestones:

Determine expansion plans

Secure private sector donations for initial program

Develop implementation plans

Promote expanded program and recruit participants

Hold inaugural expanded boot camp

Proposal #3

Early Team Development and Funding

UW Start-up Website

Proposed Start-up Initiative: A UW-System website for posting start-up ideas and requests for support, which may include employment, advisors, financial support, etc. (the “UW Innovation Machine”)

Estimated Program Cost: Year 1: \$100,000 to build the website; thereafter, about \$120,000 to 200,000 for staffing, support, and maintenance.

Funding Sources: UW System

Program Description: The UW Innovation Machine (“UWIM”) would be organized around two groups: (i) UW System students and faculty and (ii) supporters. Patterned after Berkeley’s Big Ideas (<http://bigideas.berkeley.edu/>), students and faculty would post ideas by broad categories, such as “Information Technology,” “Life Sciences,” and “Environment and Energy.”

Supporters would be able to provide assistance to the student/faculty posted idea based on the needs listed, which may include services (e.g., web development), advisors, and financial support.

Students and Faculty: You must be a UW System student or faculty member and have a valid UW System identification username and password. Students and faculty would register with the website, and once registered they would be able to submit project ideas for which they are seeking support. The UWIM team would review the project idea and either approve or make further suggestions as to how a proposal might be modified to conform more closely to UWIM’s requirements before it can be posted live. If approved, the poster would then be able to provide more information on the project and publish it live to the marketplace. The student/faculty could go back in at any time and edit the information. People would be encouraged to post progress reports, and there would be a mandatory bi-annual progress report.

All donations made to initiatives go through the foundations affiliated with each of the System campuses. UWIM would appropriately allocate those funds to the specific student/faculty projects. There would be a small administrative fee to cover UWIM costs.

- Supporters: There are three categories of supporters, donors, team members, and advisors.
- Donors: Once a donor clicks on “Give to this Project” on any of the project description pages, they will be given three options for supporting a project. A donor can make a financial contribution by filling out an online form on the affiliated Foundation’s secure site using a credit/debit card or check. Additionally, a donor can collect donations from their social network by creating a ChipIn event. Finally, a supporter can make an in-kind donation of products or services if these are requested by the project. Airline tickets for student travel are always appreciated.

Donors will receive two “thank you” emails – one from the University and one from the UWIM Initiative. The second will contain a password for viewing progress reports of projects they are supporting.

All contributions directly support the work of the UWIM student/faculty-led teams who are tackling major challenges at the local, regional, and global level. All donations go through the foundation affiliated with the System campus where the student/faculty teams are located.

- Team Members: Students/faculty can also ask people to join their efforts. This option will allow them to recruit other students and faculty that may have specific skills necessary to work on a particular project.
- Advisors: Students/faculty can also post for advisors, who may have deeper expertise in a particular area, to join their team. Advisors who are not students or faculty must register and agree to terms similar to those required for Merlin Mentors.

Each classification of supporter can register with key words to trigger notification of new postings that are in their area of interest. Key objectives of this program are to catalyze early definition of the business opportunity, to encourage interdisciplinary involvement (including business) at early stages, and to increase inter-institutional interaction within the UW System. Individuals interested in investing, rather than donating to projects, need to be pre-qualified as accredited investors. Member groups in the Wisconsin Angel Network have taken responsibility for assuring that all of their members are accredited. A hot link could be placed on the Wisconsin Angel Network website for those members that have logged in, enabling investment opportunities in the projects to be viewed. For accredited investors that are not a

member of the Wisconsin Angel Network, a contact at WiSys could be provided that enables an accredited investor to pre-qualify and examine investment opportunities.

Actions required for implementations:

1. Obtain UW system budget approval
2. Establish University Foundation relationships for financial contributions.
3. Financial commitment for the UWIM.
4. Build website.

Targeted milestones:

Board of Regent approval

Establish University System Foundation relationships

Select team to manage the program and develop the website

Complete website development

Launch the program and website

Proposal #4

Business Launch for Funding

UW System Business Plan Competition

Proposed Start-up Initiative: A UW System-wide business plan competition modeled after the Burrill Business Plan Competition on the University of Wisconsin-Madison campus.

Estimated Program Cost: \$125,000 annually consisting of \$25,000 in part time staff support, and \$100,000 in annual prize money.

Funding Sources: Donor supported.

Program Description: Business plan competitions with prize money can serve as a catalyst for the formation of new ventures by entrepreneurially minded students. The benefits are achieved in many ways:

- The availability of prize money is a significant motivator for students to fully explore their entrepreneurial ideas.
- All students engaged in the process learn from the experience of researching their ideas, developing their plan, and defending their ideas to a panel of judges.
- The prize money can serve as seed capital for the most promising ideas.
- Winners could be assured of being a finalist in the Wisconsin Governor's Business Plan competition that is managed by the Wisconsin Technology Council.

It is recommended that there be two tracks for this competition: one that includes plans based on intellectual property developed by faculty or staff and licensed or optioned from a University of Wisconsin System technology transfer office (these submitting teams could include students), and a student competition that is open to student teams pursuing their own ideas. The competition would be promoted on campuses across the System. Orientation sessions would be conducted for interested participants. (It is recommended that a half-day educational session of be conducted from a central location and available through a satellite feed to each campus, recorded for later viewing for those unable to see it live.) Student teams of at least two students would submit plans for review. Staff would review for completeness, and those meeting the minimum submission criteria would be forwarded to teams of judges for different four broadly defined technology categories. Twelve finalists would be selected for in-person presentations to a panel of judges. Prizes of \$25,000, \$15,000, and \$10,000 would be awarded to the winners. (An additional prize of \$10,000 for "social entrepreneurship" is encouraged to

engage idealistic faculty, staff, and students to develop ideas for a sustainable solution to a societal problem.)

If the proposed UW Start-up Website idea is adopted, this competition and staffing requirements could be under a common umbrella and the competition could be promoted on the website.

Actions required for implementation:

1. Identification of a leadership team for the program
2. Solicitation of donors that want to encourage and reward entrepreneurship on our campuses
3. Develop the program plans and curriculum
4. Attract volunteers to teach the orientation session and serve as judges.

Targeted milestones:

Identify a Leadership Team

Secure donations for initial program

Develop orientation program

Hold inaugural competition

Proposal #5

Fostering Entrepreneurial Collaboration with System Campuses Economic Development Professional Tech Transfer Certification

Proposed Start-up Initiative: A UW Certificate Educational Program on Technology Transfer for economic development professionals and business incubator managers

Estimated Program Cost: \$50,000 for part time director

Funding Sources: WARF, WiSys, and the UW System

Program Description: The University of Wisconsin System needs to be very proactive in fostering a rich environment of interaction and collaboration between its faculty researchers, entrepreneurs, business incubator managers, and community based economic development professionals.

Rather than a technology push or market push, this program is aimed at technology pull. That is, entrepreneurs pulling research and innovation from the university which can result in more successful startups or business expansions. Entrepreneurs and businesses are often more in tune with market opportunities and through collaboration, UW researchers can better focus research and development activity toward commercial opportunities.

There is a great opportunity to expand the collaboration potential between entrepreneurs and UW researchers by partnering with local or community based economic development organizations and business incubators in a more formal and consistent way.

Wisconsin has a reasonably well developed infrastructure of economic development organizations and business incubators which are staffed by economic development professionals. While in the past, much of the local economic development work in Wisconsin, and elsewhere for that matter, has been focused on attracting business, economic development strategies have now shifted to growing local businesses. For example there are now 35 business incubator facilities in the state, encompassing 1.1 million square feet of space and housing more than 250-start up and early stage companies. These community based organizations and their staffs are of varying levels of capacity and sophistication. They are in touch with literally hundreds of entrepreneurs and businesses on a day to day basis who are faced with challenges in growing their business. While they frequently recognize that opportunities exist within the University of Wisconsin System, they often may not have a good understanding of how to engage in a search for the best possible means for interaction.

The University, together with WARF and WiSys, could create an educational program around technology transfer aimed at increasing the capacity and sophistication of economic development officials and their organizations.. The educational program could be something less than a degree, but more than a one- or two-day seminar, and perhaps result in a certificate that would provide credentials and credibility for the community based economic development organizations and their staff. The Technology Transfer Program could cover principles of intellectual property protection, licensing practices , assessing economic and market feasibility of new technologies, as well as more conventional business practices such as business planning, financing and raising venture capital. Such an educational program would have a two-fold benefit:

- Improve the capacity and measurable outcomes of economic development organizations and their staffs throughout the state,
- Enhance the opportunities for interaction, exchange, and collaboration between entrepreneurs and the University which ultimately will lead to more start ups and jobs.

Actions required for implementations:

1. WARF, WiSys, and UW Regent budget approval
2. Recruitment of a program director
3. Development of a curriculum
4. Recruitment of volunteers to participate in lecture sections
5. Launch of program

Targeted milestones:

Funding approval

Director recruitment

Curriculum development

Launch of program

Proposal #6

Combining Opportunities with Entrepreneurial Start-up Managers Entrepreneur in Residence Program

Proposed Start-up Initiative: Wisconsin Entrepreneur-in-Residence Program

Estimated Program Cost: Growing to as much as \$1,500,000 annually (10 EIRs)

Funding Sources: Public/Private collaboration with 50% by State of Wisconsin, 50% private match (private sector and/or foundations)

Program Description: The entrepreneur-in-residence model has a long history in the venture capital community. It is a method for capturing the full attention of a highly skilled CEO candidate with a proven track record and matching them with an emerging high potential growth company that is in need of seasoned leadership.

In the traditional entrepreneur-in residence model, a sponsor places a CEO candidate on the sponsor's payroll for a finite period of time (12-18 months maximum) while the CEO candidate and sponsor seek opportunities of mutual interest for the candidate to step into the role of CEO. This accomplishes multiple objectives:

- A commitment is received from a pre-qualified candidate to seek their next position as a CEO within a universe of opportunities that match the sponsor's objectives as defined by the sponsor. This serves as a powerful retention tool for experienced CEOs who create successful exit events in Wisconsin, or as a recruitment tool to attract skilled managers into the state.
- The pre-qualification provides an indication of confidence on the part of the sponsor that the candidate will be able to attract financing. When matched with an early stage company, it addresses the chicken and egg challenge of which comes first.
- The program is designed to address the perception that Wisconsin has difficulty in attracting experienced management to its emerging companies.

In the proposed program, a venture capital firm, angel investor group, or university tech transfer office would submit a candidate to a governing board for designation as a Wisconsin Entrepreneur-in-Residence. For those receiving the designation, the State of Wisconsin would provide a cash grant to the sponsor for up to one year for the lesser of 50% of the salary paid to the candidate by the sponsor, or \$75,000. The candidate would contractually agree to focus

their full time effort to identify a Wisconsin based company in which they would assume a role as CEO or member of the senior management team. Additional criteria are established by the sponsor, such as it being a company in which the sponsoring venture capital firm or angel group would agree to invest, or a company that is a licensee of the sponsoring tech transfer office.

If the designee assumes a managerial role in a company that meets the defined criteria in less than one year, a grant from the state for the remainder of the term shall go to the company. If an opportunity has not been identified within a year, an extension of up to six months can be sought from the governing board.

If the designee accepts a position that is outside the criteria defined by the State and the sponsor, the amount paid to the designee shall convert to a note with a repayment term of two years. The candidate can separately seek forgiveness for all or part of the amount from the State of Wisconsin and the sponsor, who can consider criteria such as whether they accepted a job in Wisconsin and whether they played a role in fostering the development or advancement of targeted companies through advice or assistance during their tenure as an entrepreneur in residence.

The governing Board would include a mix of public and private sector representatives who have experience that would give them the tools to assess an applicant's qualifications, commitment, and likelihood for success.

Actions required for implementations:

1. Legislative adoption of an EIR Program
2. Promulgation of rules by governing agency (Department of Commerce)
3. University (and private sector) obtaining private matching funding
4. Recruitment of EIR candidates, submission for approval of governing body
5. Matching of candidates with opportunities

Targeted milestones:

Legislative approval

Rules and governing body

Approval of first EIRs

Match of candidates and companies

Proposal #7

Attracting Experienced Management after Commercial Launch Wisconsin Tech Transfer CEO Placement

Proposed Start-up Initiative: Wisconsin Tech Transfer CEO Placement Program

Estimated Program Cost: Growing to as much as \$3,000,000 annually (10 CEOs)

Funding Sources: Public/Private collaboration with 50% by State of Wisconsin, 50% private match (private sector and/or foundations)

Program Description: Recruitment of a qualified CEO is one of the most significant steps that an early stage company can make to accelerate their trajectory. However, the cost of conducting a national search or providing first year compensation can be a significant obstacle to recruitment at a time when capital is scarce or expensive. The Wisconsin Tech Transfer CEO Placement Program is designed to accelerate the translation from research to jobs by assisting high potential companies with the cost of recruitment and/or first year salary.

Any Wisconsin-based venture capital firm or angel group and their new or existing Wisconsin-based university spin-out portfolio company may apply to the Wisconsin Tech Transfer CEO Placement program to receive a loan award for assistance in either one, or any combination, of the following:

- CEO recruiting fees
- CEO's first year salary

The applying company must show its ability to match half of the funds by having at least \$500,000, or other amount of sufficient capital, readily available or in commitments to operate the company for at least 12 months. The company must also demonstrate in its use of funds a provision to hire a CEO.

All application submissions will be prescreened to ensure applicants meet the initial program criteria. Applicants passing the prescreening round will be required to meet in front of the program selection committee. All program applicants will be screened against certain predetermined criteria, as well as their program strategy prior to being awarded a loan award. such as it being a company in which the sponsoring venture capital firm or angel group would agree to invest, or a company that is a licensee of the sponsoring tech transfer office.

All CEO placement awardees will receive a negotiated loan award through the Department of Commerce not to exceed \$200,000. The loan award will be disbursed as follows:

- For CEO recruiting fees, the DOC will disburse the loan award upon receipt of invoices provided to the company by the recruiting firm.
- For CEO salary, DOC will disburse the loan award in four quarterly installments.
- The company is required to pay back 50% of the loan award to the DOC in the following manner:
 - The payback schedule begins one year after receiving the first DOC loan disbursement.
 - The company will pay back the loan in the form of cash; paid in quarterly installments over a two year period.
 - If the company receives equity round funding at any time prior to the end of the pay back schedule, then any remaining payment becomes due.
- Applications for the CEO Placement Program will be accepted on an ongoing basis until all program funds are fully utilized. The VC or Angel group and their Portfolio Company should together submit a package including the following content:
 - A description of the company and its management talent needs, including a job description.
 - A description of the strategic plan for finding and hiring a CEO.
 - A description of the venture firm applying and its history of success within Wisconsin and elsewhere.
 - A summary of the most recent and year-end financial statements (include audited statements when available).
 - A summary of financing history (equity and debt) and capitalization table.
 - The governing Board would include a mix of public and private sector representatives who have experience that would give them the tools to assess an applicant's qualifications, commitment, and likelihood for success. It would be the same governing body as the EIR Program if that is also adopted.

Actions required for implementations:

1. Legislative adoption of an Tech Transfer CEO Placement Program
2. Promulgation of rules by governing agency (Department of Commerce)
3. Private sector financing that provides matching funding
4. Recruitment of applicant companies, submission for approval of governing body
5. Recruitment of qualified CEOs

Targeted milestones:

Legislative approval

Rules and Governing Body

Approval of first applicant companies

Recruitment of first qualified CEOs

Proposal #8

Encourage Faculty to Engage in Start-Ups

Modify Leave of Absence Policy

Proposed Start-up Initiative: Amend leave of absence policy for faculty engaged in Wisconsin company startup activities.

Estimated Program Cost: None

Program Description: Current UW rules (Regents policy documents, Section 20; 20-6 leave of absence policy for non-medical reasons) state that an initial leave for UW staff members of 2 years or less duration may be approved by the chancellor, and an additional extension for one year can be approved by the System president. Extensions beyond the third year must be approved by the Board of Regents and must be for a fixed period of time. The first few years for start-up companies require extensive attention from the founders, especially technology guidance from the faculty. Faculty engaged in start-up activities of a Wisconsin company may require five or more years to guide the firm to a healthy state. Current restrictions cause undue difficulties for faculty and the company.

- We recommend the UW System policy be modified to encourage faculty to engage in Wisconsin startup companies. The initial leave for up to 3 years may be allowed by the chancellor and can be extended for another 2 years by the UW System president. Any leave beyond 5 years can be considered by the Board of Regents.

Actions required for implementations:

1. Request System legal office to draft policy changes and get approval from the Board of Regents.

Targeted milestones:

Near future

Appendix D2

Growth of Mature Business Committee Final Report – Research to Jobs Task Force

Development of Emerging Technology Centers in the UW System

Committee Members:

Bill Berezowitz, Vice President and General Manager of Imaging Subsystems, GE Healthcare

Mark Cook, Board Chair and Founder, Isomark, LLC

Rebecca Faas, President, INOV8 International, Inc.

Kathleen Enz-Finken, Provost, UW-La Crosse

Charlie Hoslet, Managing Director, Office of Corporate Relations, UW-Madison

Maliyakal John, Managing Director, WiSys Technology Foundation

Charles Sorensen, Chancellor, UW-Stout

John Torinus, Chairman, Serigraph, Inc.

David J. Ward, Chancellor, UW-Green Bay and President and Founder, NorthStar Economics

Executive Summary

We recommend that the comprehensive campuses develop centers of excellence for technologies key to Wisconsin's growing economy. We propose the formation of seven Emerging Technology Centers (ETCs) encompassing new and growing market opportunities such as super-capacity energy storage, distance learning and development of nanomaterials and structures. Additional beneficial opportunities for Wisconsin include research into value-added renewable materials from waste, and plastics and composites. Each of the Centers would form partnerships with regional companies to undertake joint research and development and provide internship opportunities for students, leading to high-paying jobs and economic growth.

ETC Objectives:

- Undertake cutting-edge R&D in selected emerging technology areas
- Develop products and technologies useful for Wisconsin industries
- Engage students in R&D training and instill passion for research
- Encourage the development of technologies leading to start-up companies
- Educate students and faculty in entrepreneurship
- Attain self-sufficiency in five years
- Generate opportunities leading to the creation of high-paying jobs
- Engage emeritus faculty and retired industrial scientists in productive R&D

Forming ETCs in a given campus will spur R&D interest among faculty and students and act as a primer for changing attitudes regarding the role of research in undergraduate education. The specific focus of ETCs to partner with Wisconsin companies and research organizations will encourage the formation of regional alliances. These alliances are important for the state's economy and job creation, and they will solidify UW System's role as a leading driver of economic growth.

Estimated Program Cost for 7 Centers over 5 Years:

- Total seed funding by System for years 1-4 = \$7.7 million
- Total industry in-kind support for years 1-5 = \$2.63 million
- Private funds procured by Centers in years 1-5 = \$1.23 million
- DINs or extramural funding (NSF, DOD etc or state funds) to be procured by Centers with assistance by System for years 1-5 = \$4.9 million

Funding Sources: State of Wisconsin, UW System, federal and private sources

Background

UW comprehensive campuses train and educate a majority of the students (90,000 or ~56%) and engage 55% (3,500) of all highly trained faculty in teaching in the UW System. In recent years, many of the faculty from the comprehensive campuses have taken the initiative to conduct cutting-edge research and engage students in research. This closely matches the national trend in encouraging undergraduate research and preparing students for a knowledge-based economy. However, the total number of faculty involved in research is currently minimal, versus the total number of faculty interested in research. Thus, we are not using this valuable intellectual potential to benefit the state. Furthermore, Wisconsin has allowed many industry sectors to lose their competitive edge through a lack of investment in research and development. Thousands of Wisconsin small companies do not have the resources to undertake research to stay competitive and grow in the global economy. We propose an initiative to take advantage of the underutilized intellectual potential to solve the industrial challenges and spur job creation and economic growth of Wisconsin through technology development.

Underutilized Faculty Expertise

Each comprehensive campus has leading experts in selected technology areas. Dr. Timothy Lyden, a well known developmental biologist from UW-River Falls, has established broad ranging collaborations with industry and clinical organizations. Dr. Michael Zach, an acclaimed nanotechnologist at UW-Stevens Point with an adjunct appointment at Argonne National Laboratory, was one of the first scientists to develop nanowires as hydrogen sensors, and his discovery was featured on the cover of Science Magazine. Dr. James Hamilton, a nationally recognized nanotechnologist at UW-Platteville, made breakthroughs in applications of carbon nanotubes and graphene and has received national and international press coverage for his work.

All of these faculty members train many students in their laboratories, leading to high-paying jobs upon graduation. Many of the comprehensive campuses have established robust research programs in selected topics and are making discoveries relevant to economic growth, as seen by Table 1 on the following page.

Table 1: Indicators of technology development and economic growth in comprehensives 2007-09

Nano-Technology Discoveries	Pharmaceutical & Biomedical Discoveries	Medical Device Discoveries	Computer Science Discoveries	Renewable Energy Discoveries	ETCs Opened (2008-09)	Start-up Companies
15	10	2	2	6	2*	3**

Footnote: The discoveries shown are those reported to WiSys Technology Foundation

State allocation of R&D funds for eleven comprehensive campuses is \$1.6 million, and allocation for Madison/Milwaukee is \$81 million. Despite the low resource allocation for these 4-year comprehensive campuses, they are becoming a force in emerging technology development.

* *Nanotechnology at UW-Platteville and tissue & cellular engineering at UW-River Falls*

** *Graphene Solutions, Platteville; Oshkosh Nanotechnology LLC, Oshkosh and Mycophyte Discoveries, LaCrosse*

The UW comprehensives have more than 400 faculty members with appropriate technical expertise who may engage in research and development. Examples of technical expertise include chemistry, plant and animal sciences, clinical and medical expertise, engineering, computer sciences, bioinformatics, physics, nanotechnology, microbiology and molecular biology.

The nation’s leading educational experts are recognizing the value and need for undergraduate research and training. The UW System can be a leader in this important shift by committing to establish and support research in the comprehensives. Comprehensive campuses educate and train the majority of students in the UW System (~90,000 or 56% versus ~71,300 or 44% in UW-Madison and UW-Milwaukee, Wisconsin’s two main research campuses). Establishing a culture of research among students attending these comprehensive campuses would stop brain drain and instead lead to high-paying jobs and economic growth in Wisconsin. However, the research conducted in comprehensives must lead directly to quantifiable benefits for the state. Here, we identify an opportunity to engage faculty in research that will directly impact the state’s economic growth and lead to high-paying jobs for students.

Need for Technological Innovation for Wisconsin Industry

Wisconsin is home to several multinational businesses. Included in these businesses are 100 companies, 41 of which are located in the Madison-Milwaukee area, with sales of more than \$450 million. The Madison and Milwaukee campuses are in an excellent position to develop research opportunities with them.

Wisconsin is also home to several thousand small- and medium-size technology oriented companies with less than 100 employees. The 2009 *Wisconsin Plastics Directory* by Forward Wisconsin lists more than 1,050 plastic companies in the state, and approximately 900 are located outside of Madison and Milwaukee. The *Wisconsin Biotechnology and Medical Device Business Directory* lists 341 life science companies, and 207 of the companies are in the Madison-Milwaukee area. Many of these companies do not have sufficient internal R&D efforts to remain competitive or grow their market share. Therefore, the UW System must focus on assisting Wisconsin’s small companies that lack R&D resources. Some of Wisconsin’s once premier industries, such as paper and foundry, have been decimated through neglect in technological innovations. Another example of lost opportunity in Wisconsin is the lack of effort regarding the development of novel technologies in the emerging markets of digital printing and specialty papers and inks.

WiSys Technology Foundation has already identified approximately 200 small companies throughout Wisconsin that may benefit from additional technical and research assistance. WiSys has a small-scale, ongoing successful program for building industry partnerships. Examples of existing productive partnerships are: Weinbrenner Shoe Company, Inc. (Merrill), Brownseed Genetics and BioDiagnostics, Inc. (River Falls), Cool Science LLC (Colfax), Bubbling Springs Solar Inc. (Menomonie), and Botanic Oil Innovations, Inc. (Spooner).

Carpe diem

Thus, the UW System has several hundred leading experts in selected technology areas who would like to engage themselves and their students in research and development. Our state also has a dire need to infuse technological innovations into small- and medium-size Wisconsin companies to stay competitive and grow. Our proposal bridges these two gaps for the benefit of the state.

Proposed Emerging Technology Center Initiative

The comprehensive campuses would establish Emerging Technology Centers to direct and stimulate research in specific technology areas, important for Wisconsin's growth. A comprehensive strategy is needed for these centers to avoid duplicating their efforts, provide sufficient resources, identify future growth opportunities, and appoint dynamic faculty to lead the centers. The number one priority of the center would be to establish productive partnerships with Wisconsin companies and jointly develop products or technologies that will allow their businesses to grow. Advancing scholarship, training students in high-paying jobs, and encouraging entrepreneurship leading to new company start-ups are also priorities for the centers.

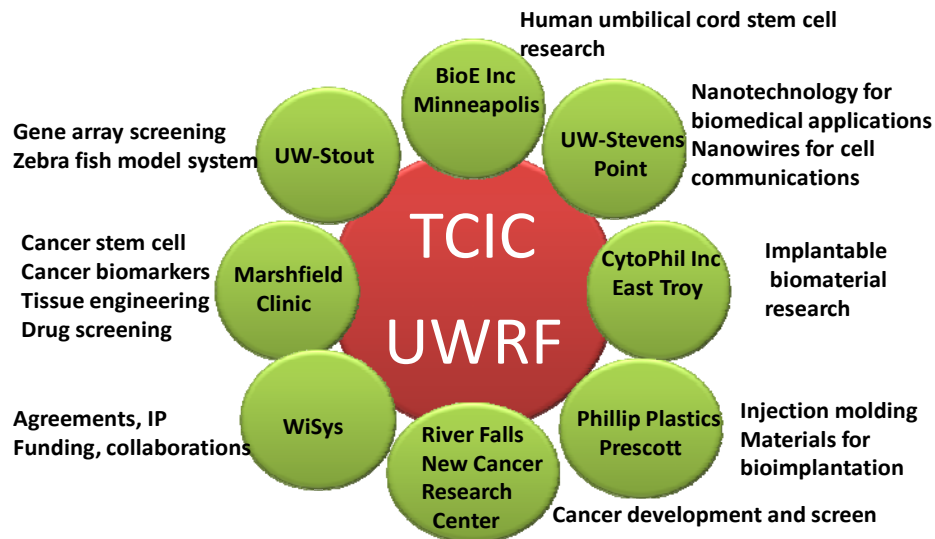
The formation of an ETC is a mechanism to recognize highly advanced research by a group of faculty, prime the research initiatives of a given campus, engage students in research and development, promote UW-industry collaboration and encourage job growth in the state. The ETC concept has already been embraced by some UW campuses including UW-River Falls, UW-Platteville, and UW-Stout.

UW-River Falls Tissue and Cellular Engineering Center

UW-River Falls inaugurated the Tissue and Cellular Engineering Center (TCIC) on March 8, 2009. The number of collaborations and partnerships established by the TCIC in a short period of time is a testament for the need and enthusiasm that exists among Wisconsin's small companies and clinical organizations to collaborate with leading scientists in comprehensive campuses.

UW River Falls Tissue and Cell Innovation Center (TCIC)

March 8, 2009



Discussions with Stemina LLC, Madison on stem cell applications, Aurora BayCare for Breast cancer screens and Hysitron Inc, Minneapolis for instrumentation are in progress

Other examples of emerging technology areas suitable for UW comprehensive campuses:

- Carbon nanotubes and graphene for applications in electronic, aerospace, computer, and energy industries [UW-Platteville's Nanotechnology Center for Collaborative Research is focused in this area]
- Tissue engineering for applications in transgenic protein production for vaccines, bioimplantation, cancer diagnosis and treatment, drug screening, and clinical research [UW-River Falls's Tissue and Cellular Innovation Center is focused on this subject matter]
- Super-capacity energy storage for next generation electric cars and other energy intensive applications. UW-Oshkosh has a cutting-edge research program in this area and has already made breakthroughs in electrode technology.
- Novel nanowire/nanostructure manufacturing for applications in solar energy, hydrogen sensors, and nanoinstruments. UW-Stevens Point has a suite of patent applications in an elegant and simple way to manufacture complex nanowires from several materials. Argonne National Laboratory, who has recognized the value of these breakthroughs, has established a collaboration with UW-Stevens Point.
- Value-added products from waste materials (UW-Green Bay), biofuels from lignin (UW-Stevens Point), isoprene production (UW-Stevens Point), interactive media for distance learning (UW-Whitewater), biofuels from microbes (UW-Superior), hydrogen fuel cells and solar panels coated with nanomaterials (UW-Stout), pharmaceuticals from Wisconsin medicinal plants and fungi (UW-La Crosse), and safer warfarin derivatives (UW-Eau Claire) are other examples of technology innovations suitable for ETCs.

We propose the formation of seven new ETCs in the comprehensives in addition to the two existing centers (UW-Platteville’s Nanotechnology Center for Collaboration and Research and UW-River Falls Tissue and Cellular Engineering Center).

Suggested new ETCs (UW-Platteville and UW-River Falls have already initiated the centers)

Campus	Suggested technology area	Industrial Potential	Potential partners
UW-Oshkosh	Super capacity battery storage	Energy sector	Silatronix Inc, Madison
UW-Whitewater	Interactive media and distance learning	E-Learning	Academic ADL Co-lab Madison
UW-Parkside	Biomedical sciences	Health Care	Marshfield Clinic and Aurora BayCare Clinics
UW-Stout	Plastics and composites in collaboration with UW Stevens Point	Plastics	Phillips Plastics, Inc
UW-Stevens Point	Nanowire applications and manufacturing	Electronics, energy, automobile	Argonne National Lab and Makel Engineering Inc.
UW-La Crosse	Pharmaceuticals based on medicinal plants and fungi	Health Care	Mithridion LLC , Madison NeuroAmp LLC Milwaukee
UW-Green Bay	Value added products from waste	Energy, sustainable agriculture	Encap LLC, Green Bay

Emerging Technology Center Proposal Objectives

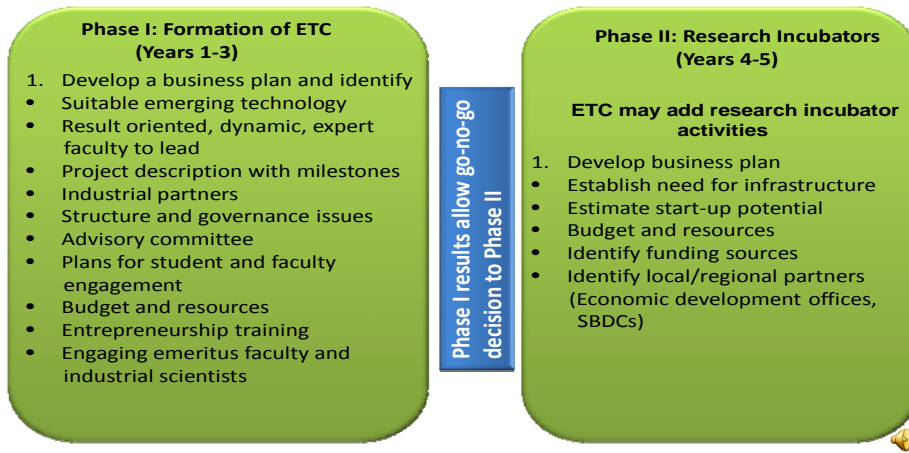
- 1) Establish a series of Emerging Technology Centers (ETC) among comprehensives campuses to spur cutting-edge research among faculty and students, leading to job opportunities for students in a knowledge-based economy
- 2) Create strong and productive partnerships with local and regional Wisconsin companies, leading to economic growth and job opportunities for students
- 3) Encourage entrepreneurship among faculty and students, leading to start-ups, growth in economy and jobs, as well as a leading role for the UW System in the state’s economic growth

Additional ETC objectives and benefits include:

- Attain self-sufficiency in five years
- Engage emeritus faculty and retired industrial scientists in productive R&D
- Develop technologies or products that mature businesses utilize to grow market share
- Provide specialized worker training for companies
- Provide technical consultation by expert faculty for companies to meet challenges

These objectives can be achieved through a two-phase development program.

Development strategy for ETCs. Phase I is less capital intensive, whereas Phase II may involve capital intensive activities. Each Phase is a stand alone and can fully meet objectives.



Phase I: In phase I, we will establish ETCs based on the available technical talent of the campus, growth opportunities, and need for the technology in Wisconsin industry. A fully developed business plan would guide this formation. Phase I would achieve the first two major objectives of the program, including jump-starting the research for a given campus and establishing critical partnerships with Wisconsin companies to solve their challenges. During Phase I, ETCs are expected to educate faculty and students in entrepreneurship. We believe it will take three years to fully develop the programs for a given ETC. However, the capital investment needed to achieve this is modest (see budget). In year 3, an evaluation must be conducted to determine the success of each ETC and make a decision to continue, discontinue Phase I, or move to Phase II. In instances with further economic growth potential, such as a start-up company formation, the program should move to Phase II.

- Assess the level of interest among faculty and students for entrepreneurship and start-up company formations. A quantitative estimate must be given with specific examples of faculty and student interest.
- Estimate resources needed, including space, administrative support, and technical personnel.
- Identify cost effective ways to achieve the objectives, such as using space in a nearby research park or incubator. Partner with local and/or regional economic development offices or a private industry partner.

Phase II: This phase will involve facilitating start-up company formation by faculty or students and may require dedicated space, personnel, and other equipment and resources. Moving into Phase II should be considered only after proper evaluation, due to cost. It is possible to achieve some of the objectives of Phase II without engaging in very capital intensive activities such as

new buildings by partnering with regional consortiums, research parks, and using UW System core facilities such as the Keck-UWCCC Small Molecule screening facility.

Key Activities of Emerging Technology Centers

The following programs would fall under the Emerging Technology Center umbrella.

1) UW-Industry Partnership to advance economic growth

In order to achieve the Research to Jobs objective, each ETC would establish a “UW-Wisconsin Industry Partnership Program”. This program, which would be targeted to solving industry challenges, would initiate between 5 and 7 UW research-industry and development projects within the next three years, and continue on to conduct between 2 and 5 UW-industry R&D partnership projects per year on an ongoing basis.

Projects will be targeted to advance products and processes useful for the company, and the UW will receive royalty income to continue the projects over the long-term. These research programs must have proper milestones and timelines. Proper legal agreements, budgets, project descriptions, expected outcomes, intellectual property and marketing plans must be in place before the start of the program. The salient features of the proposal are as follows:

- The program would require seed funds of ~ \$450K dollars per ETC for the first year and a total of ~ \$650K thereafter for the next 3 years. The program is then expected to be self-supported by extramural funding (federal/state) and tech transfer revenues.
- The program is targeted to small companies. Large companies must be encouraged to partner with the UW Madison and Milwaukee and pay for the research.
- Partner companies must receive preferential treatment in tech transfer and royalty payments, yet the partnership must be profitable to both the UW and industry.
- Partner company will share the R&D costs either by funding or through in-kind support.
- Collaborative projects will be conducted by post-docs and/or technicians and through faculty time buy-outs.
- Intellectual property protection is key and may be jointly owned with the partner company or solely owned by either of the partners.
- Each project must have provisions for student engagement.
- WiSys Technology Foundation should be entrusted to manage the program and should be provided sufficient resources for success. The collaborative projects require active monitoring in terms of accountability for product quality, timeliness of delivery, and proper customer relations.

2) Expanding Wisconsin Discovery Portal (WDP) database to all System campuses.

The WDP is a web-based database that can be freely accessed by the public to identify UW-Madison faculty, their research interests, technical expertise, grants, publically known industry

partnerships, resources available, and potential interest in collaborations. This can be a Portal for industry to identify potential collaborators, to identify consultants, to sponsor R&D, and to use available resources or facilities. WARF developed and manages the WDP and keeps it updated on a monthly basis in a very cost-effective manner. Currently the database portfolio has close to 3,000 Madison faculty listings. The UW System should consider expanding the database to include all UW campuses and subsequently to include all state research institutions. Because it will be such a broad database, the Department of Commerce should be contacted to become a partner in developing the expansion and updating it on a regular basis.

- Approximate cost of expanding the WDP is \$150K in 2009 and \$75K per year thereafter (assuming WARF will continue to pay for Madison campus).
- Database for other System campuses can be completed in about 4-6 months after initiation.
- Database will be available for public access through the web.
- Marketing campaign is needed to publicize the site (cost of ~ \$15K).
- Total cost of the first year is \$150K.
- WiSys and WARF will manage the site and keep it updated

3) Entrepreneurship Training

Educating faculty and students in entrepreneurship must be a priority for ETCs. WiSys has devised a 3-phase program involving web-based education in the first phase, and training through workshops and individual and classroom instruction during the 2nd and 3rd phases. Foundations such as the Kauffman Foundation and the National Collegiate Inventors and Innovators Alliance (NCIIA) are interested in supporting entrepreneurship among students. WiSys has received an offer of support from the UW-Madison Office of Corporate Relations to develop entrepreneurship training in ETCs.

4) Engaging Emeritus Faculty and Retired Industrial Scientists

Each year dozens of faculty from comprehensive campuses and industrial scientists with 20-40 years of technical experience retire from active duties in regions of Wisconsin outside of the Madison and Milwaukee metropolitan areas. Some of these regions, unlike metropolitan areas, lack the facilities to allow these scientists to continue to be engaged in productive research. An ETC can be a magnet to attract and engage them in highly productive research programs. They will work with faculty and students on product oriented research and development and will share the benefits.

5) Intercampus Partnerships

The ETCs must develop close working partnerships with the research institutions of Madison and Milwaukee such as the Wisconsin Institutes for Discovery and the Morgridge Institute for Research, the UW-Madison Great Lakes Bioenergy Institute, and the UWM Great Lakes Wisconsin Aquatic Technology and Environmental Research Institute.

6) UW/Industry Outreach by WARF, WiSys and UWM Research Foundation

Effectively communicating to both faculty and industry the technology transfer mission, activities, and resources of WARF, UWMRF and WiSys would be a component of the ETC program. Tech transfer orientation for new faculty is important. A clear understanding of the IP process from both the faculty and industry sides will bolster effective collaborations. See Appendix 1.

Emerging Technology Center Funding and Self-sufficiency

The funding requirements of ETCs are very modest. Attaining self-sufficiency in five years must be a priority for ETCs. Our proposal does not recommend any new buildings for ETCs, but rather requests that the campus find suitable accommodation in existing buildings. The typical budget (~\$400K) for an ETC is shown below. This level of support is given for the first 2 years and starting in the 3rd year the centers are expected to obtain competitive grants or private funding. Each of the faculty associated with ETCs are advised to obtain extramural funding starting in the 2nd year. The seed funding allows faculty to obtain quality data in year 1 and 2 to apply for extramural funds. Similarly, ETCs are encouraged to form partnerships with companies and obtain sponsored research or industry support for R&D.

Typical yearly budget for one ETC

Director 50% time-release	Faculty time release	Post-Doc (2)	Student Interns (7)	R&D supplies/IP Support	Equipment	Total Year 1
\$65K	\$60K	\$130K	\$45K	\$50K	\$100K	\$450K

Sources of revenue for a given ETC

	Seed funding from UW System	Industry grant or in-kind support	Extramural sources (NSF, ARG,DOE etc)	Private foundations (Kauffman, NCIIA, etc)	IP revenue	Total
Year 1	\$450K	\$25K	-	-	-	\$475K
Year 2	\$350K		\$100K	\$25K	-	\$475K
Year 3	\$200K	\$50K	\$150K	\$50K	\$25K	\$475K
Year 4	\$100K	\$100K	\$200K	\$50K	\$75K	\$525K
Year 5	•	\$200K	\$250K	\$50K	\$100K	\$600K
Total	\$1.1 million	\$375K	\$700K	\$175K	\$200K	

ETC Oversight

We suggest that UW System constitute an oversight committee to report the progress of the ETCs to the System.

Economic Impact of Emerging Technology proposal:

Assuming 7-8 ETCs are operating, approximately 20-25 new high-paying jobs will be created in year 1 at UW campuses. In addition, approximately 50-75 students will receive stipends for high-tech training. These programs lead to high-paying jobs in Wisconsin. Furthermore, based on the benefits to the companies, we believe that each successful project will result in 10 fold or more returns to the industry and UW.

- 20-25 new high-paying jobs in UW campuses
- 50-75 students trained in high-tech subjects
- Potential for 5-10 student interns to be recruited into companies
- A 10-fold or higher monetary returns for company and UW (assuming an expenditure of \$100 to \$250K per project) over several years
- Intellectual property for UW that may generate long-term income for UW
- Development of platform technologies for start-ups
- Faculty and students who are more knowledgeable on entrepreneurship

Summary:

Our proposal addresses a specific initiative that the UW System can implement to address the research to jobs issue. Creating an environment of learning through research in our comprehensive campuses is a major step in engaging the majority of our students and faculty of the System in the growth of a knowledge-based economy. Furthermore, our proposal links Wisconsin's small companies to the technical expertise of UW, and addresses a major concern regarding continued innovation and growth of our state's economy.

Appendix 1

UW & Industry Challenges and Potential Solutions (including those addressed by ETCs)

Our proposal overcomes several hurdles existing today in conducting research in the comprehensives. In addition it also identifies hurdles from the industry side in partnering with UW.

Identified hurdles for UW and companies	Potential solutions
Lack of time for R&D by UW faculty. Even when faculty encounter an interesting opportunity for industry partnership, time to devote for research is not available due to teaching loads.	We propose time-release for faculty and hiring of technicians and post-doctoral associates.
Lack of funds to conduct R&D. Seed funds to conduct feasibility studies are not available. Many times specialized equipment may be needed to conduct the studies.	Resources requested in budget. Campus/faculty must be made aware that after initial seed funding extramural funds must be obtained to continue programs
Lack of logistical support. Industry collaboration requires legal and administrative assistance for legal agreements and regulatory compliance, etc. The comprehensive campuses do not always have these resources.	WiSys Technology Foundation may be strengthened to provide these services to the comprehensives.
Cultural issues. Research to develop commercial products is not considered a noble endeavor by some faculty, especially those in senior teaching roles.	Senior campus administrators (chancellors, provosts, deans and dept chairs) can often help by actively promoting and recognizing research.
Lack of incentives. Often research leading to marketable products is not recognized by campuses for career advancement and other promotions.	Patent applications must be recognized as equivalent to journal publication for merit reviews. Research leading to marketing should get credit for career advancement.
Company concern regarding timeliness. Timely development is crucial for industry, yet universities tend to move comparatively slow in R&D projects.	Dedicating technical personnel to work full-time on such projects is the only answer to this problem.
University partnerships by Wisconsin companies are not norm. Wisconsin companies and the UW have not developed the culture of partnership. Companies do not think of UW	A significant communication effort is needed to address this gap. Important to show early success. Dedicated resources should be made available to manage UW-

Identified hurdles for UW and companies	Potential solutions
when exploring new products or when facing technical challenges.	industry partnership and assure quality on time delivery of outcomes.
Concerns regarding exclusive access to newly developed product/technology. Many small companies are not familiar with royalty payments and obligations to universities.	Proper communication and educating the companies are the key here. Initial success with several companies will go a long way to spread the word.
Lack of trust. Small companies not used to working with universities are concerned with protecting the confidentiality/proprietary nature of their ideas and products.	This can be addressed by tech transfer offices.
Lack of a centralized entry port. The 13 universities of the UW System have close to 1,000 technical experts, yet there is currently no known universal tool or mechanism to identify faculty experts for partnership discussions.	One of the cost-effective solutions is to expand the “Wisconsin Discovery Portal”; however, the proactive facilitation of partnership by dedicated personnel is necessary for success. WiSys may be entrusted to manage this.

Appendix D3

Communications Committee Final Report – Research to Jobs Task Force

Communicating the critical role of UW research to the public and industry *A summary of ideas and suggestions from subcommittee members*

Subcommittee Members:

Kris Andrews, Assistant Vice President, Office of Federal Relations, UW System

Paula Bonner, President & CEO, Wisconsin Alumni Association

Pat Brady, General Counsel, UW System

Terry Devitt, Assistant Director, University Communications, UW-Madison

Noel Radomski, Lecturer and Associate Researcher, Wisconsin Center for the Advancement of Postsecondary Education, UW-Madison

Tom Still, President, Wisconsin Technology Council

Subcommittee mission:

Not all Wisconsin industries, especially small- and medium-size companies, have routinely or overtly benefited from UW System research. UW System willingness to work with companies, and the mutual benefits that can result from such work, must be communicated to all Wisconsin companies and major trade associations. This outreach cannot be a one-way recitation of UW System assets. It must be a two-way conversation, with companies and associations being encouraged to communicate their needs through channels that make sense to them.

This subcommittee has focused on ensuring that public, political and business leaders understand the value of these important partnerships for Wisconsin's economy – and that business leaders are encouraged to bring forward their specific ideas for how the UW System can help.

Overview:

Traditional ways of communicating with the public, policymakers and business leaders are undergoing massive, even disruptive, change. Established pathways of reaching these constituent groups are far less certain to work than they were in the past – in part because of changes in the news media, which are contracting in some quarters while growing in others, but also because of the communications and information gathering habits of people in the digital age.

The UW System needs to do a better job of refining traditional pathways of communications and exploring new trails that offer a convergence of media and outreach – print, broadcast, public presentations, online and social networks – that can effectively reach constituent groups that may benefit from closer working relationships with the university's research sectors.

The UW System must also look to logical partners in the business community to establish credible ways to listen to business needs in Wisconsin. With so much of the nation's research and development agenda being set at the federal level, it is easy to lose sight of what Wisconsin businesses see as current and next-generation needs. Those businesses must be quick to innovate and establish market trends, which are not necessarily the highest priorities for federally sponsored research.

In essence, this is a recommitment to the “Wisconsin Idea,” which is the century-old principle that higher education should influence and improve the lives of individuals beyond those in university classrooms. It is an idea further shaped by the phrase “the boundaries of the university are the boundaries of the state.” That phrase captures the sense that much of what takes place on UW System campuses, including research, should enhance the public good. In 21st century terms, the Wisconsin Idea is a tangible “brand” that should define how business and other citizens think of the UW System.

The Research to Jobs Task Force subcommittee on communications addressed four questions:

1. What are the right target audiences for information about the potential economic and business benefits of UW research?
2. What works now?
3. What does not work?
4. What is needed to perform a better job?

Target audiences

Committee members identified the following target audiences: (1) General public; (2) Policymakers at the state, federal and local levels; (3) UW System alumni; (4) Faculty and staff; (5) News media, and; (6) Business sectors and associations.

What works now?

Some specific initiatives in the UW System or individual campuses and related organizations are communicating the connection between research and potential economic benefits.

1. WARF’s *Discovery Portal* is a well-organized inventory of research-related resources, but it must be strongly marketed in order to work. Similarly, the Wisconsin Idea in Action database at www.searchwisconsinidea.wisc.edu is likely underused. The Wisconsin Idea in Action database is searchable by keyword, subject area, Wisconsin county or academic unit. Nearly 900 community action projects or activities are collected in the database. However, business leaders will not seek out the Discovery Portal or Wisconsin Idea in Action unless they are called to their attention on a regular basis.
2. Launched in 2006, the Wisconsin Idea Project is a systematic effort to learn from the citizens of Wisconsin about their expectations, to understand how the university is serving those needs and expectations, and to enhance the university’s relevance to the citizens of Wisconsin. One component of the project so far has been community conversations under *Founders Day*, *UW For You* and *Badger Day* programs. Two *UW For You* events have been done in conjunction with the Wisconsin Technology Council, which helped to attract a broader audience.
3. Publications such as “*On Wisconsin*” and the Wisconsin Alumni Association’s access to 300,000 alumni is a powerful tool with potential for growth. The WAA is segmenting publications and has built a database of current e-mail addresses.
4. The *Wisconsin Idea bus* is an effective tool for orienting new faculty but could be used as a way to bring researchers to all corners of the state.

5. Outreach by the *WiSys Technology Foundation* is effective but limited due to existing staffing levels.
6. *Programs designed to communicate with business* have improved at some campuses but not all. The UW-Madison Office of Corporate Relations is a good example of what has worked since it was launched about five years ago.
7. *Third-party validation* of the importance of UW R&D, such as the Wisconsin Technology Council's report on "The Economic Value of Academic R&D in Wisconsin," helps strengthen understanding in the public and private sectors.

What does not work?

1. The UW-Madison *OCR model is very much the exception rather than the rule*. While some campuses have sophisticated systems for communicating with their target audiences, few have established the equivalent on an OCR to serve as a "front door" to the university.
2. The *Small Business Development Centers*, with some notable exceptions, are not viewed as transformational when it comes to communicating the importance of UW research and development partnerships.
3. *Milwaukee-area businesses are not well aware* of the opportunities to tap into UW R&D, whether on the Madison campus or elsewhere.
4. There remains considerable *confusion among business leaders about how to tap into UW R&D*, especially the farther from Madison those businesses are located. And yet, there are often R&D resources available at the comprehensive campuses.
5. There must be an assessment of *internal communications tools* with an eye toward adding to the current "toolbox" or refitting it to meet 21st century realities.

What is needed to perform a better job?

Committee members discussed a variety of general and specific ideas for better communicating the value of UW R&D and making connections to those target audiences that need to know. Some specific ideas included:

Outreach through traditional and new media:

1. Improve the UW's tele-presence statewide, whether through internal communications tools or through mediums such as Wisconsin Eye, the Big 10 Network, WisBusiness.com, the Wisconsin Technology Network and other targeted sources that offer online video options. These are opportunities to showcase UW R&D success stories.
2. Make better use of alumni publications, both print and online.
3. Gain a better grasp of "new media" and determining ways to better help news organizations in performing an increasingly difficult, resource-restrained job.

Outreach through affinity groups:

4. Use available “ambassadors” more effectively. These include alumni, “star” business partners and license-holders, faculty and staff who have successfully worked with business, and students – who are ultimately the No. 1 “tech transfer” product of the university.
5. Consider establishing a UW System version of the UW-Madison Office of Corporate Relations, working through that existing framework, to better connect businesses working with the non-doctoral comprehensive campuses.
6. Business leaders who have benefited from working with the UW System, especially on the R&D side, could be asked to take part in Wisconsin Idea bus tours or similar outreach functions such as The Wisconsin Edge, which is co-sponsored by WARF. This process and others have highlighted “best practice” examples of university-industry collaboration.
7. Leverage UW System graduates in the Milwaukee area, where there are excellent examples of collaboration (the GE Healthcare “master agreements” with WARF, for example) but a lack of recognition. The UW System should work harder to close the Milwaukee-Madison cultural and business divide while supporting the growth of the UW-Milwaukee research infrastructure. Wisconsin needs both to succeed.
8. Use statewide and regional groups to communicate the fact that UW-Madison R&D is available to be deployed anywhere in Wisconsin (or the world) and that System campuses also offer significant R&D capacity, either individually or collectively. Some of what businesses need may already be available in their own backyards.

Strategic Marketing, Survey Research and Advocacy:

9. Make sure the wealth of public opinion and survey research work produced by the university is reaching people who could use it, not simply sitting on a shelf. Start-up funding for the Center on Public Opinion and Technology (CPOT) within the Department of Life Sciences Communications would help put that research into the right hands – and launch a national center that could eventually pay dividends to the university.
10. Make sure of survey research tools to routinely capture business community opinion. The Wisconsin Technology Council and WisBusiness.com plan to launch a “Tech Leadership Survey” to regularly sample business opinion in that sector. Such a survey could be followed by focus groups and dedicated listening sessions, such as the “Wisconsin Edge” series.
11. Improve marketing of the technologies in the WARF and WiSys portfolios, especially to small- and medium-sized businesses and Wisconsin trade associations that often represent those businesses. Some of that might be accomplished through programs similar to those being used by Georgia Tech, which works with a stable of in-house and revolving business mentors and private equity advisors to improve the chances that start-up companies will actually succeed.

12. Consider reviving the Wisconsin Economic Summit, which served a valuable role in 2000-2003 and re-established the notion of the UW System being a “player” in the economic future of the state. Direct and indirect outcomes of 2000-2003 summits included regional economic development groups, leveraging the power of the Chicago-Milwaukee-Madison-Twin Cities corridor (since dubbed the “I-Q Corridor”), emphasizing capital creation and more. The focus of the next summit might be twofold: “best practices” in Wisconsin and elsewhere, and getting direct feedback on business needs. If conducted regionally, a series of summits could examine partnerships, public and private, that have worked in specific communities. A WISCAPE symposium on the research-to-jobs process, which could bring in expertise and models from other states and highlight the work of this task force, could provide a planning forum.
13. Deploy the resources and people to get it done. For the UW System’s “Growth Agenda” to be successful, the university must commit the resources necessary to tell its own story and to market its own resources.

Summary

The UW System has an excellent story to tell when it comes to translating research into jobs. The UW-Madison alone is the nation’s third-largest research university, according to 2007 National Science Foundation figures – and No. 2 if non-S&T R&D is included. The UW System is slowly building its R&D capacity on other campuses, as well. Wisconsin ranks among the top quarter of all states in overall R&D capacity, but it could do a better job of translating that innovation into jobs and economic activity. Effective communication of resources and opportunities for partnership are part of the solution. It’s also a function of listening to business needs and trying to tailor the R&D agenda of the UW System to more quickly respond to those needs.

KAUFFMAN CAMPUS INITIATIVE REPORT

Fostering Entrepreneurial Learning and Activity on UW System Campuses

UW System Entrepreneurship Summit

Thursday April 2, 2009

10 a.m. to 4 p.m.

Alumni Room, Dreyfus University Center

UW-Stevens Point

For its signature Kauffman Campus Initiative outreach event, the UW-Madison Office of Corporate Relations, in collaboration with UW System, hosted the UW's first ever Systemwide Entrepreneurship Summit on April 2, 2009 on the UW-Stevens Point campus. The meeting drew **75** participants from every UW System institution except for UW-Superior. The day-long event included riveting presentations, "hands-on" small group sessions and a provocative panel of UW student entrepreneurs. A detailed survey was administered post Summit and was completed by more than 40% of attendees.

Entrepreneurship Summit Background

From the outset, the concept of a summit was strongly supported by UW System President Kevin Reilly and Senior Vice President for Academic Affairs Rebecca Martin (see background materials). Both leaders saw the synergy between the UW's Growth Agenda and entrepreneurship. As Vice President Martin pointed out in a letter to campus provosts in March 2009: "*This Summit is closely linked to the Growth Agenda's emphasis on increasing leading-edge jobs.*"

In the fall of 2008, Dr. Martin broached the subject of a Systemwide entrepreneurship summit with the UW provosts, and the idea was very well received. The provosts then recommended representatives from their respective campuses to serve on a Summit steering committee (**see attached membership list**).

Steering committee members participated in **five** teleconferences between December 2008 and March 2009 and focused their discussion on meeting the following objectives:

- Highlight the growing importance of entrepreneurship to, and for, UW System students
- Recognize the entrepreneurship programs/activities occurring on all UW campuses
- Share best practices
- Discuss what more we can be doing as individual campuses – and as a System – to promote entrepreneurship as a way of growing Wisconsin's economy

Entrepreneurship Summit Promotion

- Save the Date email blast Systemwide (January 23/sample attached)
- Summit flyer emailed and/or sent out as hard copy (Week of March 2/sample attached)
- Memo to Provosts from UW System (March 4)
- Briefs in Wisconsin Week, *Wiscontrepneur* newsletter, OCR Director's Report and other UW campus newsletters and communications (March)
- Press release to statewide media (March 31/sample attached)
- Featured on www.wisc.edu (March 30-April 1)

Entrepreneurship Summit Details

Attendance: 75

Attendance breakdown:

- 60% male/40% female
- 25% faculty/75% academic staff (instructional & non-instructional) and administration
- Nearly 40% indicated they were engaged in entrepreneurial programs
- Attendees included seven students and one legislator (Rep. Molepske)

AGENDA

(NOTE: Copies of both the Arion and Dougan PowerPoint presentations are available)

◆ The Growing Importance of Entrepreneurship to and for our Students

Dr. Douglas Arion, Donald Hedberg Distinguished Professor of Entrepreneurial Studies, Carthage College, made the keynote address. Dr. Arion developed, and directs, the nation's first undergraduate integrated entrepreneurship education program. He also specializes in the development of diagnostic instrumentation, research in astrophysics and plasma physics, and technology business development.

In addition to his positions with Carthage, Dr. Arion is the Senior Program Manager for the Center for Advanced Technology and Innovation where he supports corporate strategic planning, technology and product ideation, financial planning and modeling, and business plan development. He also helped found and is on the Board of Directors of the Pennies from Heaven Angel Investor group in Kenosha, Wisconsin and holds a patent on the Blast Induced Emission of Radiation Gage, developed to measure time-resolved pressures in high explosive environments, and has pending a patent on a fiber-optic neural probe.

In the course of his inspiring remarks, Dr. Arion suggested that Summit attendees link economic development to entrepreneurship education; develop partnerships and industry projects where students can solve real-world problems; realize that career development is

even more important than new launches; and combine entrepreneurship with an academic discipline since, as he points out “every venture is based on *something*.”

□ What is working on our Campuses? Best Practices and more . . .

Representatives of 14 different UW institutions (**list attached**) gave brief (5-minute) presentations on their campus’s entrepreneurship efforts, highlighting programs/activities that could serve as models for:

- Entrepreneurship Curriculum
- Student Organizations
- Resources for Student Startups
- Student Contests/Competitions, Events, Activities
- Community Partnerships and other Outreach

Among those campus activities highlighted were:

- A new Institute for Entrepreneurship and Innovation at **UW-Green Bay** which offers a certificate based on courses in innovation and serves as a business incubator for new products developed in UWGB’s Waste Transformation Lab
- In addition to several entrepreneurship classes, a business plan competition and a close collaboration with the SBDC where students work with the Wisconsin Innovation Service network, **UW-Whitewater** is also developing a major in entrepreneurship
- A New Venture Business Plan Competition and Entrepreneurs-in-Residence program at **UW-Milwaukee**
- A certificate in entrepreneurship program at **UW-Parkside** with an emphasis on socially responsible entrepreneurship and integration of community-based learning
- Several robust community-university partnerships at **UW-Platteville** that are building an entrepreneurial culture in southwest Wisconsin
- A 12-week Entrepreneurial Training Program offered by **UW-River Falls**; the office also serves as the investment screener for the St. Croix Valley Angel Network.
- A Young Entrepreneurs Conference at **UW-River Falls**
- Student research projects through **UW-Stout’s** Midwest Digital Fabrication Partnership that advance innovation and entrepreneurship
- Multiple activities through **UW-Madison’s** *Wiscontrepreneur* initiative under the auspices of a Kauffman Foundation grant <http://www.wiscontrepreneur.org/>

□ Lunch and Networking Affinity Groups

Summit participants sat at tables designated by topic area to encourage further conversation and information sharing on specific issues related to entrepreneurship programs/activities.

□ What works/What doesn't in entrepreneurship education: A Student Perspective

Seven passionate UW student entrepreneurs talked honestly and openly about their perceptions of what UW curricula, programs and activities they have found most valuable – or least useful – on their trek toward entrepreneurship. They included:

- **Kavi Turnbull** (moderator), a serial entrepreneur of three startup companies and a second-year MBA in the Weinert Center for Entrepreneurship at UW-Madison. Kavi is the founder and CEO of DriveAlternatives.com, an online guide to alternative fuel stations.
- UW-Whitewater's **Jordan Leahy**, founder and president of the campus' CEO club (Collegiate Entrepreneurs Organization and Director of Propel Wisconsin Innovation, a non-profit organization serving as the voice for young entrepreneurs in Wisconsin.
- UW-Platteville's **Scott Skelly**, a junior Agribusiness & Communication Technology double major from Janesville, Wisconsin. He owns and operates Corn Mazes America <http://www.cornmazesamerica.com/index.html> and was one of 28 finalists (1000 entries) for the Global Entrepreneur Award.
- UW-Madison's **Erin Byrd**, a first-year MBA majoring in entrepreneurship, who is CEO of Mission Volleyball, <http://www.missionvolleyball.com>.
- UW-Milwaukee's **Kevin Schmoldt**, a senior majoring in Finance with certificates in Entrepreneurship and Real Estate;
- UW-Parkside's **Kathryn Spranger**, a junior majoring in MIS who is currently managing a CATI Entrepreneurial Initiative called InovaED which matches student teams involved in technology commercialization from various institutions across the U.S.

According to the panel, the kinds of things that **were working** on UW System campuses included:

- “Real life” experiences with company start-ups, research, etc.
- Student clubs, organizations and centers dedicated to entrepreneurship
- Entrepreneurial competitions such as the Global student entrepreneurs competition, UW-Madison's 100-Hour Challenge, UW-River Falls' Young Entrepreneurs Business Plan competitions and others
- Entrepreneurs in residence programs
- Certificates in entrepreneurship
- Internships for entrepreneurs
- Business simulators
- Focus

Among those things the student panelists thought **were lacking** at UW campuses were:

- Student incubators for entrepreneurs
- More curricula and experiential opportunities for undergrads
- Targeted courses such as taxation, legal, etc.
- The integration of entrepreneurship across all disciplines
- Any type of rewards system for practicing student entrepreneurs (i.e., credits, etc.)
- Promotion and awareness of entrepreneurship courses, programs and opportunities
- Stronger emphasis on “out of classroom” instruction and experience

◆ Best practices in Entrepreneurship Education around the USA

Dr. **John Courtin**, Vice President for Entrepreneurship Programs for the Ewing Marion Kauffman Foundation in Kansas City, addressed the Summit via speakerphone and told the audience about seven specific resources available at the Foundation and highlighted several examples of colleges and universities across the country (i.e., ASU, Univ. of Houston, Lake Erie College, etc.) that are modeling the right entrepreneurial behavior.

◆ What Does A Campus Committed to Entrepreneurship Look Like, and How Do We Get There?

Dr. William L. Dougan, Irvin L. Young Professor of Entrepreneurship and Professor of Management at the College of Business and Economics at the University of Wisconsin-Whitewater, made a compelling presentation on what the current research suggests campuses committed to entrepreneurship have in common. Among his findings, Dr. Dougan observed that:

- Universities are highly static, resistant to change and are unwilling to evolve thereby preventing them from realizing their entrepreneurial potential.
- Most “entrepreneurial” universities are multidisciplinary; network for strength and relevance; allocate resources to high potential use; focus on major societal needs and opportunities; are open, diverse and flexible; and follow an investment model.
- A number of operational models exist for entrepreneurial universities to emulate, including value models (Wiki or Corporation); environmental (outreach or investment); revenue (licensing or startup), etc.
- System solutions do exist, and they are marked by a continuum of collaborative activity (in information, learning, marketing, etc.); by addressing six common challenges (i.e., collaboration, workforce, technology, capital, infrastructure and image); and by adhering to a checklist for developing innovative clusters.

Dr. Dougan then facilitated a small group session where participants addressed a series of issues and challenges they faced as individual campuses (and as a System), including:

- What are the limits to entrepreneurial development at my institution and what can be done to overcome them?
- What entrepreneurial direction should my university be taking and what does it need to get there?
- How should we respond collectively to the demand for entrepreneurial development and what resources will it take?
- What must be done to advance entrepreneurial development in Wisconsin and what actions should be taken?

◆ Next Steps and Action Items

Six small group leaders reported out on their discussions, emphasizing the kinds of support and leadership they would like to see at their campuses and from UW System. Ideas raised included:

LIMITS:

1. Culturally, UW schools are designed to educate people to work for someone else – need to add entrepreneurial futures to the culture and market mix.
2. Metrics are designed to report placement of graduates in positions and salaries of graduates.
3. Silo approach to entrepreneurship.
4. Too much bureaucracy; top-down structure
5. Lack of collaboration and trust
6. Timidity
7. Lack of funding and incentives
8. Transitional leadership
9. System directives that thwart change

SOLUTIONS:

1. Change mindset and environment to encourage entrepreneurial futures, collaboration, risk taking, etc.
2. Re-establish metrics that include “started my own business”
Break down silos – don’t compete, collaborate!
3. Reduce campuses’ horizontal barriers
4. Reward risk taking and entrepreneurial experience/teaching
5. Provide broad-based, multi-disciplinary entrepreneurial education, i.e., Health management for nursing, agriculture, arts, computer design, engineering, all professional disciplines
6. Generate new resources (i.e., our own IP, etc.)

DIRECTIONS & ACTIONS:

1. Establish a UW System position for entrepreneurship
2. Build and (electronically) deliver Systemwide entrepreneurship curricula
3. Share best practices for success and overcoming barriers (i.e. Weinert Center, etc.)

4. Work regionally with nearby campuses to meet needs of area clusters, such as New North, etc.
5. Grow the culture with entrepreneurial support networks, identify the right people as mentors to students
6. Link students with real projects
7. Develop business plan contests with prizes big enough to be real cash to start a business, \$25-50,000

Entrepreneurship Summit Survey

With the support of Dr. Noel Radomski, director of the WISCAPE program at UW-Madison, a detailed survey (**attached**) was prepared and emailed to Summit participants, except for the student panelists who only participated in the panel. Thus, of the 68 potential responders, 28 completed the survey (41% response rate).

Survey highlights:

- 100% of those responding indicated that the summit was “very useful” or “useful.”
- 88% of those responding said they would participate in an entrepreneurship listserv
- 80% indicated they would attend another Entrepreneurship Summit
- 58% said they’d participate in an online community (i.e., blog, etc.)

On the other hand, 52% of respondents said they were **not** interested in helping to develop and/or be a part of an entrepreneurship action agenda for the UW System.

Entrepreneurship Summit Conclusion

“Innovation is the specific instrument of entrepreneurship.”
- Peter Drucker

A recent analysis by the Kauffman Foundation showed that between 1980 and 2005 start-ups in the U.S. accounted for all the country's job growth. In the foundation's view, *“This data should give policy-makers and budding entrepreneurs alike great hope for how we can solve our current crisis - create and grow jobs through entrepreneurship.”*

As one of the nation’s leading systems of higher education, the University of Wisconsin serves as a wellspring of ideas, innovations, and robust technology transfer. The UW System has an opportunity to develop and implement a comprehensive program to foster

and invigorate entrepreneurial thinking and to promote the creation of new business entities and new, socially beneficial organizations.

With the support of UW System and its campuses, we can expand the Wisconsin Idea and advance Wisconsin's culture, climate, and capacity for innovation by enhancing and integrating entrepreneurially-focused discovery, teaching, and outreach on our campuses and across the state.

But we need to do it now.

Entrepreneurship Summit Steering Committee

Kris Andrews, Assistant Vice President for Federal Relations, UW System

Doug Bradley, Assistant Director, marketing and communications, Office of Corporate Relations, UW-Madison

Barb Daus, Special Assistant to the Chancellor, UW-Platteville

Bill Dougan, Irvin L. Young Professor of Entrepreneurship and Professor of Management, College of Business and Economics, UW-Whitewater

Cathy Folker, Associate Professor of Management & Entrepreneurship and Co-Director for Community-Based-Learning & Research, UW-Parkside

Jan Gallagher, Director, Small Business Development Center, UW-La Crosse

Charles Hoslet, Managing Director, Office of Corporate Relations, UW-Madison

Randall Hulke, Director, Stout Technology Transfer Institute, UW-Stout

Gayle Kugler, Associate Director, Entrepreneurship and Economic Development, UW Colleges/Extension

Deb Malewicki, Professor of Management and Director of the Office of Corporate Programs, UW-Whitewater

Tom Miller, Senior University Relations Specialist and legislative liaison, UW-Stevens Point

Sam White, Professor of Urban Planning and Associate Dean of Continuing Education, UW-Milwaukee

Entrepreneurship Summit Campus Presenters

UW-Eau Claire:	Ray Hughes, Director, Entrepreneurship Program
UW-Green Bay:	Paul Lemens, Director, Institute for Entrepreneurship and Innovation
UW-La Crosse:	Jan Gallagher, Director, Small Business Development Center
UW-Madison:	Charlie Hoslet, Managing Director, Office of Corporate Relations
UW-Milwaukee:	Sam White, Associate Dean, School of Continuing Education Mike Lovell, Dean, College of Engineering
UW-Oshkosh:	Burk Tower, Dean, College of Business Meredith Jaeger, Executive Director, Council for Innovation
UW-Parkside:	Cathy Folker, Associate Professor of Business
UW-Platteville:	Kevin Bernhardt, Director of the Pioneer Academic Center for Community Engagement.
UW-River Falls:	Glenn Potts, Professor of Economics / Director of SBDC
UW-Stevens Point:	Joan North, Dean, College of Professional Studies
UW-Stout:	Randy Hulke, Director, Technology Transfer Institute
UW-Whitewater:	Deb Malewicki, Professor of Management and Director of the Office of Corporate Programs
UW Colleges:	Sarada Prasad, Professor of Business, UW-Washington County
UW-Extension:	Gayle Kugler, Assoc. Director, Entrepreneurship and Economic Development

Promotion/Media Samples

Email blast



UW System Entrepreneurship Summit April 2, 2009

Dear Colleagues:

Please mark your calendar for Thursday, April 2, 2009 for the first-ever Systemwide Summit on Entrepreneurship. The summit will begin at 10am and wrap up around 4pm on the campus of UW-Stevens Point.

Join your colleagues from across the UW System as we share ideas and best practices, hear from experts and our students, and discuss what a campus committed to entrepreneurship looks like. More details will be coming soon, but make sure to save the date now!

See you at the Summit,

Doug

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Wiscontrepreneur

make your passion your profession



Photos by University Communications and David Nevela

The First Ever UW System Entrepreneurship Summit

Thursday, April 2, 2009
10 a.m. – 4 p.m.
Alumni Room
Dreyfus University Center
UW–Stevens Point

Join colleagues from across the UW System to share ideas and best practices, hear from experts and our students, and consider how to cultivate an entrepreneurial campus.

Here's a quick look at a full day of conversation and collaboration:

AM Program

Hear from Dr. Douglas Arion, Donald Hedberg Distinguished Professor of Entrepreneurial Studies, Carthage College, on "The Growing Importance of Entrepreneurship for our Students."

Find out what entrepreneurship programs/activities and/or best practices are occurring on every UW System campus.

LUNCH

Learn what works and what doesn't work in UW entrepreneurship education from a panel of current UW System student entrepreneurs.

PM Program

Participate in an "Entrepreneurship Best Practices Around the US" presentation with a national expert from the Kauffman Foundation (invited).

Discover "What does a Campus Committed to Entrepreneurship Look Like, and How Do We Get There?" from Professor William Dougan (UW-Whitewater) and UW System colleagues.

Head home enthused with innovative ideas and programs to begin implementing on your campus!

Register online: <http://www.uwsp.edu/conted/conferences/wiscontrepreneur/>

Press Release



Communications and External Relations
1700 Van Hise Hall, 1220 Linden Drive
Madison, Wisconsin 53706
Phone: (608) 262-4464
<http://www.wisconsin.edu>

News Release

March 31, 2009

UW System hosts Entrepreneurship Summit

MADISON, Wis. – The University of Wisconsin System will host its first Entrepreneurship Summit Thursday on the UW-Stevens Point campus. Recognizing the importance of preparing students for success in the global economy, the summit will explore ways of integrating entrepreneurship concepts into the core educational experience.

The one-day event provides an opportunity for faculty and staff from all UW System institutions to share ideas and best practices for cultivating an entrepreneurial climate on campuses, and to hear from experts and students involved in entrepreneurial activities.

“If we want our students to enter the knowledge economy with confidence and success, we must ensure that they are better equipped with the knowledge and skills to transform their innovative ideas into something of value. That is the essence of entrepreneurship,” said Rebecca Martin, Senior Vice President for Academic Affairs.

The summit’s focus is closely linked to UW System’s *Growth Agenda for Wisconsin* and its emphasis on increasing leading-edge jobs and bolstering the state’s economy, Martin said.

The Entrepreneurship Summit is part of the Wiscontrepreneur Initiative, made possible in part by a grant from the Ewing Marion Kauffman Foundation and administered by the UW-Madison Office of Corporate Relations. For more information, visit <http://www.wiscontrepreneur.org/>.

###

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Entrepreneurship Summit Survey

Survey Results

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Survey Results -- Overview Print Overview

UW System Entrepreneurship Summit Survey

Respondents: 28 displayed, 28 total	Status: Open
Launched Date: N/A	Closed Date: 07/03/2009





Display: 0 filters
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1. Are you a

	Response Total	Response Percent
UW faculty/staff who teaches entrepreneurship courses	7	26%
UW faculty/staff who mentors/advises entrepreneurs	4	15%
Other UW faculty/staff/administrator	10	37%
Community member	1	4%
Other, please specify view	5	19%
Total Respondents		27
(skipped this question)		1

2. The Summit steering committee had several objectives. How satisfied were you with the Summit's ability to meet the following objectives?

<https://surveys.education.wisc.edu/ResultsOverView.aspx?DisplayHeader=Yes&SurveyID=275> (1 of 7) [7/9/2009 4:29:42 PM]

	Very Satisfied	Satisfied	Neutral	Dissatisfied	Very Dissatisfied	Response Total
Make you aware of entrepreneurship activities at other UW campuses.	51.85% (14)	44.44% (12)	7.41% (2)	0% (0)	0% (0)	27
Help you to think about how entrepreneurship curricula can be offered and enhanced at your campus.	25.93% (7)	59.26% (16)	14.81% (4)	0% (0)	0% (0)	27
Better understand what some of our students want from our entrepreneurship programs.	18.52% (5)	66.67% (18)	7.41% (2)	11.11% (3)	0% (0)	27
Identify experiential learning activities such as competitions, residential learning communities, etc.	18.52% (5)	51.85% (14)	25.93% (7)	3.7% (1)	0% (0)	27
Expose you to a breadth of entrepreneurship models and best practices.	22.22% (6)	51.85% (14)	22.22% (6)	3.7% (1)	0% (0)	27
Total Respondents						27
(skipped this question)						1
3. How useful was the first session--the keynote address "The Growing Importance of Entrepreneurship to and for our Students?"						
					Response Total	Response Percent
Very Useful					9	33%
Useful					15	56%
Neutral					1	4%
Useless					0	0%
Very Useless					0	0%
Other, please specify view					2	7%
Total Respondents						27
(skipped this question)						1
4. How useful was the second session, "What is Working on our Campuses: Best Practices in Entrepreneurship Education?"						
					Response Total	Response Percent

Very Useful		3	11%
Useful		16	59%
Neutral		7	26%
Useless		0	0%
Very Useless		0	0%
Other, please specify view		1	4%
		Total Respondents	27
		(skipped this question)	1

5. How relevant was the third session, "Lunch and Networking Affinity Groups?"

		Response Total	Response Percent
Very Relevant		3	12%
Relevant		10	38%
Neutral		9	35%
Irrelevant		2	8%
Very Irrelevant		0	0%
Other, please specify view		2	8%
		Total Respondents	26
		(skipped this question)	2

6. How useful was the fourth session, "What works - what doesn't in entrepreneurship education: A Student Perspective?"

		Response Total	Response Percent
Very Useful		7	26%
Useful		10	37%
Neutral		7	26%
Useless		1	4%
Very Useless		1	4%
Other, please specify view		1	4%
		Total Respondents	27
		(skipped this question)	1

7. How useful was the fifth session, ""Best practices in Entrepreneurship Education around the USA?"



		Response Total	Response Percent
Very Useful		6	24%
Useful		13	52%
Neutral		5	20%
Useless		0	0%
Very Useless		0	0%
Other, please specify view		1	4%
Total Respondents		25	
(skipped this question)			3

8. How relevant was the sixth session, "What Does A Campus Committed to Entrepreneurship Look Like, and How Do We Get There?"




		Response Total	Response Percent
Very Relevant		2	8%
Relevant		16	64%
Neutral		5	20%
Irrelevant		1	4%
Very Irrelevant		0	0%
Other, please specify view		1	4%
Total Respondents		25	
(skipped this question)			3

9. How useful was the last session, "Next Steps and Action Items?"

		Response Total	Response Percent
Very Useful		4	17%
Useful		8	33%
Neutral		9	38%
Useless		1	4%
Very Useless		0	0%
Other, please specify view		2	8%

		Total Respondents	24
		(skipped this question)	4
10. How useful was the Entrepreneurship Summit?			
		Response Total	Response Percent
Very Useful		7	27%
Useful		19	73%
Neutral		0	0%
Useless		0	0%
Very Useless		0	0%
		Total Respondents	26
		(skipped this question)	2
11. How would you like to stay connected with Summit participants and entrepreneurship developments during the year?			
	Yes	No	Response Total
Listserv (e.g., a group email resource)	88% (22)	12% (3)	25
Online community (e.g., a blog or social networking site)	58.33% (14)	41.67% (10)	24
Workshops	76% (19)	24% (6)	25
Another Summit	80% (20)	20% (5)	25
		Total Respondents	27
		(skipped this question)	1
12. What was your favorite Summit session (and why)? [To refresh your memory, here is the Summit agenda: 1. Keynote address; 2. "What is Working on our Campuses: Best Practices in Entrepreneurship Education"; 3. Lunch and Networking Affinity Groups; 4. "What works - what doesn't in entrepreneurship education: A Student Perspective"; 5. "Best practices in Entrepreneurship Education around the USA"; 6. "What Does A Campus Committed to Entrepreneurship Look Like, and How Do We Get There?"; and 7. Next Steps and Action Items.]			
		View responses to this question	view
		Total Respondents	19
		(skipped this question)	9

13. Have you attended any other UW entrepreneurship-focused programs?

		Response Total	Response Percent
Yes		7	28%
No		16	64%
If yes, what, when and where?	 view	3	12%
Total Respondents		25	
(skipped this question)			3

14. Should the UW System more systematically integrate into the UW learning experience educational courses, programs and activities that expose students to entrepreneurship?

		Response Total	Response Percent
Yes		23	92%
No		2	8%
Comments?	 view	1	4%
Total Respondents		25	
(skipped this question)			3

15. What particular educational opportunities should UW System/UW campuses offer to help students think and act entrepreneurially?

View responses to this question view	
Total Respondents	
(skipped this question)	
14	
14	




16. What other partnerships should the UW foster to help expand entrepreneurship opportunities?

View responses to this question view	
Total Respondents	
(skipped this question)	
10	
18	

17. Are you interested in helping to develop – and be a part of – an entrepreneurship action agenda for the UW System?

		Response Total	Response Percent

Survey Results

Yes		11	48%
No		5	22%
Maybe...if maybe, please explain view		7	30%
Total Respondents			23
(skipped this question)			5

18. Please provide any additional comments, ideas, feedback and suggestions.

View responses to this question [view](#)

Total Respondents **8**
(skipped this question) 20

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<https://surveys.education.wisc.edu/ResultsOverView.aspx?DisplayHeader=Yes&SurveyID=275> (7 of 7) [7/9/2009 4:29:42 PM]

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STANDING COMMITTEES

Executive Committee

Charles Pruitt (Chair)
Jeffrey B. Bartell
Mark Bradley
Eileen Connolly-Keesler
Judith Crain
Danae D. Davis
Michael Falbo
Brent Smith
Michael J. Spector

Business, Finance, and Audit Committee

Brent Smith (Chair)
Eileen Connolly-Keesler (Vice Chair) (Audit Liaison)
Michael J. Falbo
David Walsh
Aaron Wingad
Betty Womack

Education Committee

Judith Crain (Chair)
José Vásquez (Vice Chair)
Mark Bradley
Danae Davis
Tony Evers

Capital Planning and Budget Committee

Jeffrey B. Bartell (Chair)
John Drew (Vice Chair)
Stan Davis
Tom Loftus
Kevin Opgenorth

Personnel Matters Review Committee

Michael J. Spector (Chair)
Judith V. Crain
Danae D. Davis
John Drew

Committee on Student Discipline and

Other Student Appeals

Brent Smith (Chair)
Kevin Opgenorth
Michael J. Spector
Betty Womack

OTHER COMMITTEES

Liaison to Association of Governing Boards

Eileen Connolly-Keesler

Hospital Authority Board - Regent Members

Judith Crain
Michael J. Spector
David G. Walsh

Wisconsin Technical College System Board

José F. Vásquez, Regent Member

Wisconsin Educational Communications Board

Judith V. Crain, Regent Member

Wisconsin Partnership Program

Roger E. Axtell, Regent Liaison

Higher Educational Aids Board

Jeffrey Bartell, Regent Member

Research Park Board

David G. Walsh, Regent Member

Teaching Excellence Awards

Danae D. Davis (Chair)
Jeffrey B. Bartell
John Drew
José F. Vásquez
Betty Womack

Academic Staff Excellence Awards Committee

Eileen Connolly-Keesler (Chair)
John Drew
Kevin Opgenorth
Brent Smith
José F. Vásquez
Betty Womack

Diversity Awards Committee

José Vásquez (Chair)
Danae Davis
Kevin Opgenorth
Betty Womack

Special Regent Committee for UW-Platteville Chancellor

Search

Thomas A. Loftus (Chair)
David Walsh
Kevin Opgenorth
Betty Womack

Special Regent Committee for UW-Stevens Point Chancellor

Search

Judith V. Crain (Chair)
Mark J. Bradley
Eileen Connolly-Keesler
José Vásquez

2009 BOARD OF REGENTS MEETING SCHEDULE

February 5 and 6, 2009, in Madison

March 5, 2009, one-day meeting in Madison

May 7 and 8, 2009, hosted by UW-Milwaukee

June 4 and 5, 2009, in Madison

July 9, 2009, one-day meeting in Madison

September 10 and 11, 2009, hosted by UW-Whitewater

October 15 and 16, 2009, hosted by UW-Eau Claire

December 10 and 11, 2009, hosted by UW-Madison

2010 REGENT MEETING SCHEDULE

February 4 and 5, 2010: In Madison

April 8 and 9, 2010: Hosted by UW Colleges

May 6, 2010: One Day Meeting in Madison

June 10 and 11, 2010: At UW-Milwaukee (Annual Budget)

August 19 and 20, 2010: In Madison (Biennial Budget)

October 7 and 8, 2010: At UW-Oshkosh

November 4, 2010: One Day Meeting in Madison

December 9 and 10, 2010: Hosted by UW-Madison