



Institutional Self-Study

Submitted to: New England Association
of Schools and Colleges, Commission on
Institutions of Higher Education

FEBRUARY 2015

UNIVERSITY OF MASSACHUSETTS BOSTON
50 Years



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February 2015

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Institutional Characteristics Form

This form is to be completed and placed at the beginning of the self-study report:

Date: February 20, 2015

Corporate name of institution: University of Massachusetts Boston

1. Date institution was chartered or authorized: 1964
2. Date institution enrolled first students in degree programs: 1965
3. Date institution awarded first degrees: 1965
4. Type of control:

Public

State

City

Other

(Specify) _____

Private

Independent, not-for-profit

Religious Group

(Name of Church) _____

Proprietary

Other: (Specify) _____

5. By what agency is the institution legally authorized to provide a program of education beyond high school, and what degrees is it authorized to grant? The General Laws of Massachusetts, Chapter 75, Section 2 authorizes the university to offer bachelors, masters, and doctoral degrees

6. Level of postsecondary offering (check all that apply)

Less than one year of work

At least one but less than two years

Diploma or certificate programs of at least two but less than four years

Associate degree granting program of at least two years

Four- or five-year baccalaureate degree granting program

First professional degree

Master's and/or work beyond the first professional degree

Work beyond the master's level but not at the doctoral level (e.g., Specialist in Education)

A doctor of philosophy or equivalent degree

Other doctoral programs _____

Other (Specify)

7. Type of undergraduate programs (check all that apply)

- | | |
|--|--|
| <input type="checkbox"/> Occupational training at the crafts/clerical level (certificate or diploma) | <input checked="" type="checkbox"/> Liberal arts and general |
| <input type="checkbox"/> Occupational training at the technical or semi-professional level (degree) | <input checked="" type="checkbox"/> Teacher preparatory |
| <input type="checkbox"/> Two-year programs designed for full transfer to a baccalaureate degree | <input checked="" type="checkbox"/> Professional |
| | <input type="checkbox"/> Other _____ |

8. The calendar system at the institution is:

- Semester Quarter Trimester Other _____

10. What constitutes the credit hour load for a full-time equivalent (FTE) student each semester?

- a) Undergraduate 15 credit hours
 b) Graduate 9 credit hours
 c) Professional - credit hours

11. Student population: Fall 2014

a) Degree-seeking students:

	Undergraduate	Graduate	Total
Full-time student headcount	9057	1332	10389
Part-time student headcount	2991	2113	5104
FTE	9803.47	2494.67	12298.14

b) Number of students (headcount) in non-credit, short-term courses: 1,045

12. List all programs accredited by a nationally recognized, specialized accrediting agency.

Addictions Counselor Education Program Certificate	National Council on Problem Gambling
Addictions Counselor Education Program Certificate	Licensed Alcohol and Drug Counselor
Applied Behavior Analysis for Special Populations Graduate Certificate	Behavior Analyst Certification Board (BACB)
Applied Behavior Analysis for Special Populations Graduate Certificate	Behavior Analyst Certification Board: School Psychology Approved Course Sequence
Chemistry, B.S.	American Chemical Society (ACS)
Computer Science, B.S.	Computing Accreditation Commission of Accreditation Board for Engineering and Technology (ABET)
College of Management B.S. in Management Master of Bus Admin M.S. in Accounting M.S. in Info Technology M.S. in International Mgt B.S. in Info Technology M.S. in Finance Ph.D. in Management	Association to Advance Collegiate Schools of Business (AACSB)
College of Nursing and Health Sciences Programs: <ul style="list-style-type: none"> • Baccalaureate Degree programs: Generic and Accelerated pre-licensure; • Master's Degree programs: Acute Care Clinical Nurse Specialist, Adult-Gerontological Nurse Practitioner and Family Nurse Practitioner • Doctor of Nursing Practice (D.N.P.) 	Commission on Collegiate Nursing Education (CCNE) Board of Registration in Nursing, Commonwealth of Massachusetts
Leadership in Education Administration	Massachusetts Department of Elementary and Secondary Education (DESE)
Leadership in Urban Schools	University Council for Educational Administration
School Counseling, M.Ed.	Massachusetts Department of Elementary and Secondary Education (DESE); Master's in Psychology and Counseling Accreditation Council (MPCAC)
Mental Health Counseling	Master's Counseling Accreditation Council (MCAC)
Counseling Psychology, Ph.D.	American Psychological Association (APA)
School Psychology, Ph.D.	American Psychological Association (APA)

Teacher Education programs in Curriculum & Instruction	Massachusetts Department of Elementary and Secondary Education
Curriculum & Instruction Teacher Education Programs	Council for the Accreditation of Educator Preparation, Teacher Education Accreditation Council (TEAC)
Family Therapy, M.S.	Commission on Accreditation for Marriage and Family Therapy Education
Specialist in School Psychology, M.Ed., Ed.S.	National Association of School Psychologists
Clinical Psychology, Ph.D.	American Psychological Association (APA)
Rehabilitation Counseling, M.S.	Council on Rehabilitation Education
Vision Studies-Teacher of Students with Visual Impairment (TVI), Orientation and Mobility (O&M), Vision Rehabilitation Therapy (VRT)	Council for Exceptional Children (CEC); Academy for Certification of Vision Rehabilitation and Education Professionals (ACVREP); Teacher Education Accreditation Council (TEAC)

13. **Off-campus Locations.** List all instructional locations other than the main campus. For each site, indicate whether the location offers full-degree programs or 50% or more of one or more degree programs. Record the full-time equivalent enrollment (FTE) for the most recent year. Add more rows as needed.

	Full degree	50%-99%	FTE
A. In-state Locations			
Cape Cod Community College	RN-BSN		11.6
B. Out-of-state Locations			
None			

14. **International Locations:** For each overseas instructional location, indicate the name of the program, the location, and the headcount of students enrolled for the most recent year. An overseas instructional location is defined as “any overseas location of an institution, other than the main campus, at which the institution matriculates students to whom it offers any portion of a degree program or offers on-site instruction or instructional support for students enrolled in a predominantly or totally on-line program.” **Do not include study abroad locations.**

Name of program(s)	Location	Headcount
None		

15. **Degrees and certificates offered 50% or more electronically:** For each degree or Title IV-eligible certificate, indicate the level (certificate, associate’s, baccalaureate, master’s, professional, doctoral),

the percentage of credits that may be completed on-line, and the FTE of matriculated students for the most recent year. Enter more rows as needed.

Name of program	Degree level	% on-line	Headcount
Frank J. Manning Certificate	Certificate	100%	-
Gerontological Social Policy	Certificate	100%	5
Spanish/English Translation	Certificate	100%	21
Adult/Gerontology and Family Nurse Practitioner	Certificate	100%	134
Business Analytics	Certificate	100%	12
Evaluation in Research	Certificate	100%	-
Clinical Nurse Specialist	Certificate	100%	2
Critical and Creative Thinking	Certificate	100%	-
Gerontology	Certificate	100%	4
Global Post-Disaster Studies	Certificate	100%	2
Healthcare Informatics	Certificate	100%	6
Instructional Technology Design	Certificate	100%	23
International Development	Certificate	100%	1
Orientation and Mobility Certificate	Certificate	100%	10
Science in a Changing World	Certificate	100%	-
Vision Rehabilitation Therapy	Certificate	100%	-
Global Affairs	Baccalaureate	100%	5
Nursing for Registered Nurses	Baccalaureate	100%	530
Applied Linguistics	Master's	100%	168
Critical and Creative Thinking	Master's	100%	27
Family Therapy	Master's	100%	45
Instructional Design	Master's	100%	101
Management of Aging Services	Master's	100%	108
Mental Health Counseling	Master's	100%	93
Rehabilitation Counseling	Master's	100%	31
School Counseling	Master's	100%	65
Science in a Changing World	Master's	100%	-
Vision Studies	Master's	100%	85
Teacher of Students with Visual Impairments	Master's	100%	-
Doctor of Nursing Practice	Doctoral	100%	43

16. Instruction offered through contractual relationships: For each contractual relationship through which instruction is offered for a Title IV-eligible degree or certificate, indicate the name of the contractor, the location of instruction, the program name, and degree or certificate, and the number of credits that may be completed through the contractual relationship. Enter more rows as needed.

Name of contractor	Location	Name of program	Degree or certificate	# of credits
None				

17. List by name and title the chief administrative officers of the institution.

CHIEF INSTITUTIONAL OFFICERS

Function or Office	Name	Exact Title	Year of Appointment
Chair Board of Trustees	Victor Woolridge	Chair	2015
President/CEO	J. Keith Motley	Chancellor	2007
Chief Academic Officer	Winston Langley	Provost and Vice Chancellor for Academic Affairs	2008
Chief Financial Officer	Ellen O'Connor	Vice Chancellor for Administration and Finance	2004
Chief Student Services Officer	Lisa Buenaventura James Overton	Vice Chancellor for Student Affairs	2013 2013
Enrollment Management	Lisa Johnson	Vice Chancellor for Enrollment Management	2014
Government Relations and Public Affairs	Edward Lambert, Jr.	Vice Chancellor for Government Relations and Public Affairs	2013
Athletics	Charlie Titus	Vice Chancellor for Athletics & Recreation/ Special Programs & Projects	2005
Development	Gina Cappello	Vice Chancellor for University Advancement	2012

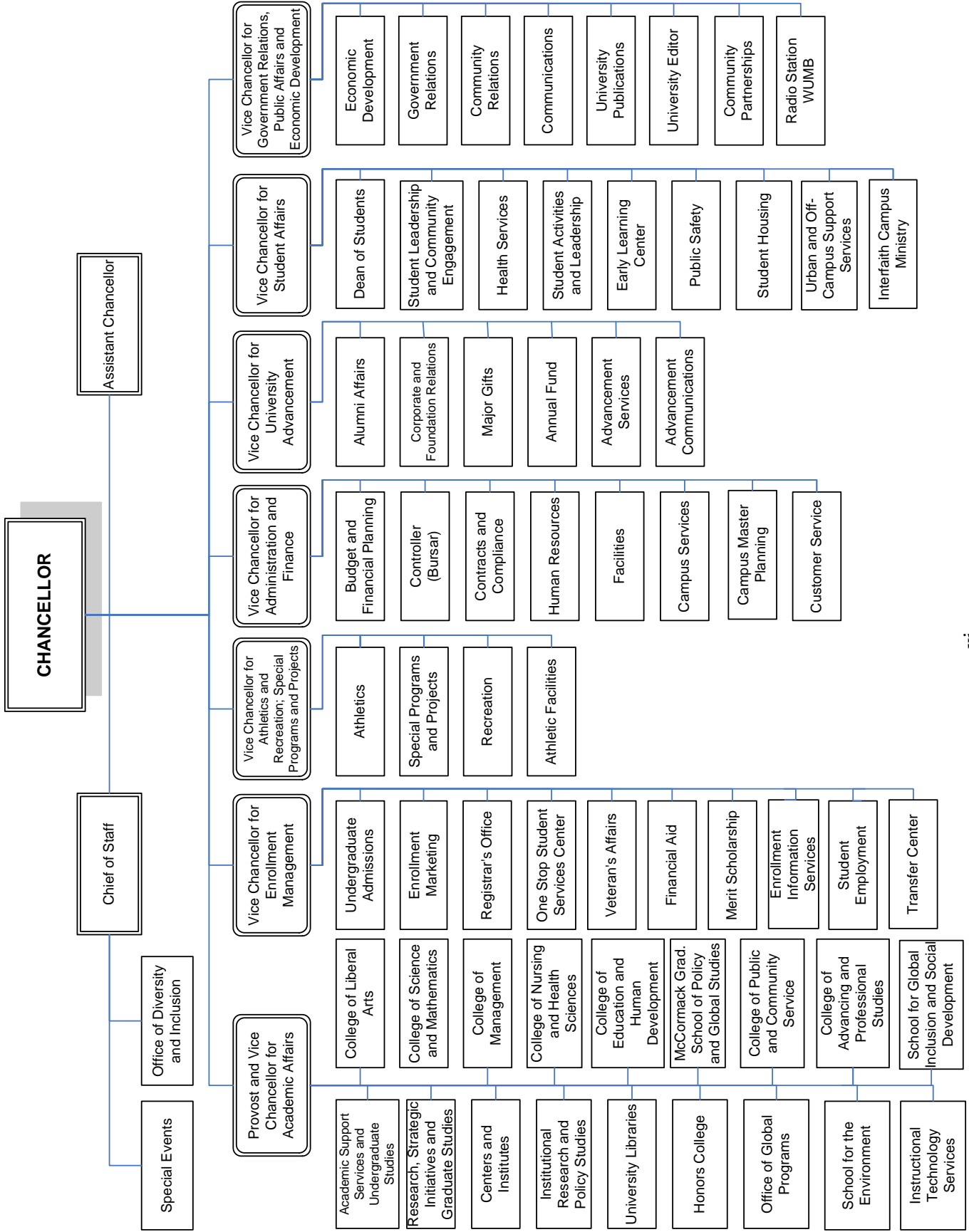
Deans of Schools and Colleges			
College of Advancing and Professional Studies	Philip DiSalvio	Dean	2011
College of Education & Human Development	Michael Middleton	Dean	2014
College of Liberal Arts	David Terkla	Dean	2014
College of Management	Jorge Haddock	Dean	2014
College of Nursing & Health Sciences	Anahid Kulwicki	Dean	2012
College of Public & Community Service	Anna Madison	Dean	2011
College of Science & Mathematics	Andrew Grosovsky	Dean	2007
Honors College	Rajini Srikanth	Dean	2013
McCormack Graduate School of Policy and Global Studies	Ira Jackson	Dean	2013
School of Global Inclusion & Social Development	William Kiernan	Dean	2012
School for the Environment	Robyn Hannigan	Dean	2013
Library	Daniel Ortiz-Zapata	Dean of University Libraries	2012
Provost's Office	Emily McDermott	Dean of the Faculty	2015
Provost's Office	Kristy Alster	Associate Provost	2007
Provost's Office	Peter Langer	Associate Provost	2002
Institutional Research	Jennifer Brown	Director of Institutional Research and Policy Studies	1999

Chief Information Officer	Apurva Mehta	Vice Provost for Information Technology and Chief Information Officer	2013
Grants/Research	Zong-Guo Xia	Vice Provost for Research & Strategic Initiatives, and Dean of Graduate Studies	2009
Academic Support Services	Joan Becker	Vice Provost for Academic Support Services	2008
Global Programs	Schuyler Korban	Vice Provost & Director of the Office of Global Programs	2013
Undergraduate Admissions	John Drew	Director	2009
Graduate Admissions	Peggy Roldan Patel	Director	2006
Registrar	David Cesario	University Registrar	1980
Financial Aid	Judith Keyes	Director for Student Financial Management	2003
Alumni Association	Maureen Melton	President	2014
Human Resources	Becky Hsu	Assistant Vice Chancellor for Human Resources	2013
Budget & Financial Planning	Susan Wolfe	Assistant Vice Chancellor for Budget and Financial Planning	2012
Communications	DeWayne Lehman	Director of Communications	2008
Diversity & Inclusion	Georgianna Meléndez	Chief Diversity Officer	2013
Chancellor's Office	Christopher Hogan	Chief of Staff	2007
Chancellor's Office	Theresa Mortimer	Assistant Chancellor	2008
Chancellor's Office	Steven Neville	Special Assistant to the Chancellor	2009

18. Supply a table of organization for the institution:

(See attached.)

19. Record briefly the central elements in the history of the institution:
- 1964: University of Massachusetts Boston authorized by act of the General Court.
 - 1965: Campus opened in buildings in downtown Boston.
 - 1969: First UMass Boston commencement.
 - 1972: Trustees authorized first graduate program (MS in chemistry).
 - 1974: First classes at newly constructed harbor campus at Columbia Point.
 - 1980: Trustees authorized granting of the Bachelor of Science degree.
 - 1981: Trustees authorized first doctoral program (Ph.D. in environmental sciences).
 - 1982: Boston State College merged with UMass Boston.
 - 1992: Downtown campus closed.
 - 2004: Campus Center opened.
 - 2006: University received Carnegie Community Engagement classification
 - 2010: University purchased the site of the former Bayside Exposition Center.
 - 2011: University received Carnegie “Research University (High Research Activity)” classification.
 - 2015: Integrated Sciences Complex opened.



**Table of Items Included for Emphasis in the Self-Study
as Requested by CIHE in the June 8, 2010
Acceptance of the University's Fifth-Year Interim Report**

Item	Self-Study Location
Developing course and program assessment that provides evidence for revisions to the curriculum	Standard 4, pp 25-35 Exhibits accompanying Standard 4
Addressing the institution's goals for reducing dependence on part-time faculty and for increasing the number of tenure-track faculty	Standard 5, pp 38-43
Continuing to improve enrollment, retention, and graduation rates	Standard 6, pp 47-57
Addressing challenges with funding, particularly in light of the institution's ambitious goals	Standard 2, pp 10-12 Standard 9, pp 78-85

Introduction

Two activities have proceeded concurrently with our institutional reaccreditation process: a celebration of the 50th anniversary of the founding of UMass Boston and an assessment of progress made during the 2010-2015 phase of the university's strategic plan. Work on this self-study has been intertwined with these activities, and all three have contributed to moving the university forward.

In 2013, a Steering Committee of eleven faculty members and administrators was formed to guide the reaccreditation process. Members of the Steering Committee chaired or co-chaired eleven task forces, each charged with developing a working draft for one of the accreditation standards. Four members of the Steering Committee attended the self-study workshop held by the NEASC Commission on Higher Education in October 2013. In December 2013, Commission Senior Vice President Pat O'Brien came to UMass Boston and gave overviews of the accreditation process to the Steering Committee and to the Chancellor's Executive Leadership Team. As these presentations encouraged them to do, the chairs of the task forces emphasized to the task force volunteers the importance in the self-study of candor and evidence. The eleven task forces eventually totaled 125 members, reflecting a variety of viewpoints and a mix of administrators, faculty, staff, and students.

During 2013-2014, the Steering Committee met regularly to allow task force chairs to ask questions of one another, share information, and come to consensus about overall strengths and areas of concern that the self-study should address. The task forces consulted and interviewed many people on campus who provided data, shared experiences, or otherwise contributed to the collective endeavor. The Steering Committee worked to present all issues raised by the campus community in the appraisal sections of the self-study while developing projections, in collaboration with senior administrators, to deal with central concerns. We have already taken action on many of the concerns; the projections set forth steps for continuing work aligned with our strategic plan and other university initiatives.

During fall 2014, drafts of self-study sections were reviewed by the Steering Committee and went through multiple revisions. A working draft representing all standards was then put on the university's website for comments from the community. The Steering Committee made presentations to the Faculty Council, student government organizations, and academic departments, and also at a special open meeting in November 2014, to solicit comments about the working draft. Chancellor Motley, Provost Langley, and the rest of the Executive Leadership Team reviewed the draft and made comments and suggestions. In response, a final draft with an overview was completed in January 2014. The overview is an essential part of the narrative and summarizes the main theme of the self-study: UMass Boston's transformation to an increasingly sophisticated research university that remains true to its origins as a teaching institution with a commitment to public service.

Documents related to the reaccreditation process and the self-study are on our web site with an opportunity for comments: http://www.umb.edu/the_university/accreditation. We hope that the public will learn as much about the university from this self-study as we have learned about ourselves during its creation.

Acknowledgments:

Chancellor J. Keith Motley and Provost and Vice Chancellor for Academic Affairs Winston Langley provided leadership and support throughout the self-study process. Jennifer Brown and staff in the Office of Institutional Research and Policy Studies provided much of the necessary data as well as contributing as task force members. Maura Mast contributed beyond her role as chair of one of the task forces to assist in the data-gathering and editing of drafts of the standards. James Mortenson, director of communications for the Office of Research and Graduate Studies, handled many tasks—working on the website, turning supporting documents and reports into web pages that could be linked in the self-study, and managing the final production of the document. Retired university editor Jeffrey Mitchell provided invaluable assistance editing this self-study. Much of the coherence and clarity in this document is due to his time, effort, and keen eye and mind.

This self-study is the product of the thoughtful work of the members of the task forces. Thanks to them all.

Peter Langer, Associate Provost
Chair, Self-Study Steering Committee

Reaccreditation Steering Committee and Task Forces

Steering Committee

Peter Langer (Chair)	Associate Provost
Jane Adams	Professor and Chair, Psychology
Jennifer Brown	Director of Institutional Research and Policy Studies
Neal Bruss	Associate Professor, English
Lisa Buenaventura	Interim Vice Chancellor for Student Affairs
Javier Crespo	Associate University Librarian
DeWayne Lehman	Director of Communications
Maura Mast	Associate Vice Provost for Undergraduate Studies
Georgianna Melendez	Interim Chief Diversity Officer
David Terkla	Dean, College of Liberal Arts
Laura E Vanderberg*	Assistant Dean, Assessment and Planning, College of Education and Human Development
Susan Wolfe	Assistant Vice Chancellor for Budget and Financial Planning
Susan Wolfson	Director of Campus Master Planning

Task Forces

Standard One: Mission and Purposes

Peter Langer (Co-Chair)	Associate Provost
Stephen Silliman (Co-Chair)	Professor, Anthropology; Graduate Program Director, Historical Archaeology MA Program
Virginia Perelson	Director, Ross Center
Mickaella Perina	Associate Professor and Chair, Philosophy
Maureen Scully	Associate Professor, Management and Marketing
Paul Watanabe	Associate Professor, Political Science; Director, Institute for Asian American Studies
Zong-Guo Xia	Vice Provost for Research and Strategic Initiatives, and Dean of Graduate Studies

Standard Two: Planning and Evaluation

Jennifer Brown (Chair)	Director of Institutional Research and Policy Studies
Ronald Bennett	Senior Administrator, MIS and Management Reporting
Marsha Florio	Senior Assistant to the Vice Chancellor for Athletics and Recreation, Special Programs, and Projects
Kirsten Grueter	Senior Budget and Policy Analyst
Raymond Liu	Professor, Management and Marketing
Jean MacDonald	Director of Training and Organizational Development
Anne-Marie McLaughlin	Emergency Manager, Administration and Finance
Luciano Ramos	Director of Community Partnerships
Marietta Schwartz	Associate Dean, College of Science and Mathematics
Laura E Vanderberg*	Assistant Dean, Assessment and Planning, College of Education and Human Development

Standard Three: Organization and Governance

Maura Mast (Chair)	Associate Vice Provost for Undergraduate Studies
Kristine Alster	Associate Provost
Ray Franke	Assistant Professor, Leadership in Education
Michael Mahan	Senior Academic Advisor
Nolan O'Brien	Student Trustee
Manickam Sugumaran	Professor, Biology; Chair, Faculty Council

Standard Four: The Academic Program

Neal Bruss (Co-Chair)	Associate Professor, English
Stephanie Hartwell (Co-Chair)	Senior Associate Dean of Graduate Studies
Gail Stubbs (Co-Chair)	Assistant Vice Provost, Academic Support Services and Undergraduate Studies
Ann Blum	Associate Professor, Latin American and Iberian Studies
Jeffrey Burr	Chair, Gerontology PhD Program
Alan Christian	Associate Professor, Biology and School for the Environment; Director, Environmental Studies
Valerie Corrente	Associate Director of Enrollment Services
John Duff	Associate Professor, School for the Environment
Andrew Grosovsky	Dean, College of Science and Mathematics
Nardia Haigh	Assistant Professor, Management and Marketing
Lisa Johnson	Vice Chancellor for Enrollment Management
Michael Johnson	Associate Professor, Public Policy and Public Affairs
Philip Kretsedemas	Associate Professor, Sociology
Patricia Krueger-Henney	Assistant Professor, Leadership in Education
Benyamin Lichtenstein	Associate Professor, Management and Marketing
Jaime Lugas	Research Analyst, Office of Institutional Research and Policy Studies
Dennis Maxey	Associate Dean, College of Advancing and Professional Studies
Elizabeth McCahill	Assistant Professor, History
Sylvia Mignon	Professor and Graduate Program Director, Human Services
Cheryl Nixon	Associate Professor and Chair, English
Denise Patmon	Associate Professor, Curriculum and Instruction; Director, Center for Innovative Teaching
Mark Pawlak	Director of Academic Support
Kathryn Reilly	Graduate Student, English
Karen Ricciardi	Associate Professor, School for the Environment
Amy Rex Smith	Associate Professor, Nursing
Carol Smith	Professor, Psychology
Rajini Srikanth	Dean, Honors College
Bala Sundaram	Professor and Chair, Physics
Karen Suyemoto	Professor, Psychology; Associate Director, Asian American Studies Program
Amy Todd	Lecturer II, Anthropology; Vice President, Faculty Staff Union
Danitta Wong	Reference Librarian

Standard Five: Faculty

Jane Adams (Chair)	Professor and Chair, Psychology
Ana Frega	Director of Majors Advising, College of Liberal Arts
Judith Goleman	Associate Professor, English; Director, Office of Faculty Development
Laura Hayman	Associate Vice Provost for Research and Graduate Studies; Professor of Nursing
David Levy	Associate Dean of Graduate Programs, College of Management
David Pruett	Assistant Professor, Performing Arts
Peter Taylor	Professor, Curriculum and Instruction; Graduate Program Director, Critical and Creative Thinking
Eben Weitzman	Associate Professor, Conflict Resolution, Human Security, and Global Governance; Director, Graduate Programs in Conflict Resolution
Sherrod Williams	Director, Office of Leadership and Community Engagement

Standard Six: Students

Lisa Buenaventura (Chair)	Interim Vice Chancellor for Student Affairs
Joan Arches	Professor, Human Services and Youth Work
Richard Arnold	Director, General Medicine, University Health Services Interim Chief of Police for the Department of Public Safety Vice Provost for Academic Support Services
Donald Baynard	Director of New Student Programs
Joan Becker	Director of Student Housing and Residence Life
Lauren Boothby Braun	Director, Undergraduate Admissions
Joseph T. DiMaria	Director, Intramural and Recreation Programs
John Drew	Assistant Dean of Students
Christopher Fitzgerald	Director, Student Financial Management
Shelby Harris	Special Projects Coordinator, Honors College
Judy Keyes	Special Assistant to the Vice Provost for Academic Support
Michael Metzger	Associate Director, Office of Institutional Research and Policy Studies
Liliana Mickle	Alumnus, MBA Program
Kevin Murphy	Associate Director of Systems Development and Technology
Vignish Natarajan	Map-Works Coordinator, University Advising Center Associate Professor, Political Science
Michael Pollard	
Sophia Sansone	
Heike Schotten	

Standard Seven: Library and Other Information Resources

Javier Crespo (Chair)	Associate University Librarian
Laura Bozeman	Graduate Program Director/Associate Professor, Global Inclusion And Social Development
Peter Fejer	Professor and Chair, Computer Science
Judith Healey-Walsh	Director, Center for Clinical Education and Research
Lusa Lo	Graduate Program Director/Associate Professor, Curriculum and Instruction
Teresa Maceira	Reference Librarian
Edward Miller	Graduate Program Director/Associate Professor, Gerontology PhD Program

Barbara Worley Senior Lecturer, Anthropology

Standard Eight: Physical and Technological Resources

Susan Wolfson (Chair)	Director of Campus Master Planning
Patrick Barron	Associate Professor, English
Caroline Coscia	Lecturer II, Political Science
Denise Duggan	Deputy Director of Facilities for Administration
Chris MacRae	Undergraduate Student Government
Kelly Meehan	Special Assistant to the Vice Chancellor for Student Affairs
Apurva Mehta	Interim Vice Provost for Information Technology and CIO
Anita Miller	Associate Vice Chancellor for Academic Affairs
Julie Sanabria	Academic Assessment Coordinator, University Advising Center
Peter Schneider	Director of Environmental Health and Safety
Michael Shiaris	Professor, Biology
Jamie Soule	Manager of Information Technology Operations
Jennine Talbot	Campus Planner
Andrew S. Weiss	Assistant Campus Planner

Standard Nine: Financial Resources

David Terkla (Co-Chair)	Dean, College of Liberal Arts
Susan Wolfe (Co-Chair)	Assistant Vice Chancellor for Budget and Financial Planning
Gina Cappello	Vice Chancellor for University Advancement
Jeff Keisler	Professor, Management Science and Information Systems
Matthew Meyer	Associate Vice Provost for Research and Director, Office for Research and Sponsored Programs
Alison Nieto	Special Assistant to the Provost for Financial Affairs
Neil Rosenberg	Director of Finance

Standard Ten: Public Disclosure

DeWayne Lehman (Chair)	Director of Communications
Teresa Goyette	Associate Director, University Advising Center
Peter Grennen	University Editor
Ken Lachlan*	Professor and Chair, Communication
Thijs Messelaar	Marketing and Communications Specialist
Anna Pinkert	Digital Communications Specialist
Grant Ryan	Undergraduate Student, Communication and Social Psychology
Vincent Xie	Assistant Professor, Management and Marketing

Standard Eleven: Integrity

Georgianna Melendez (Chair)	Interim Chief Diversity Officer
Becky Hsu	Assistant Vice Chancellor for Human Resources
Mark Jannoni	Associate Dean of Students
Margaret Peterson Pinkham	Senior Director of Human Resources Operations
Diann Simmons	Assistant Dean, College of Liberal Arts

*no longer at the university

Overview

This self-study comes at a propitious time in UMass Boston's history. We are celebrating the 50th anniversary of our founding and the promise that it embodies. We are also moving to the second phase of our 15-year strategic plan, taking stock of accomplishments and challenges in the first five years of the plan.

The vision of UMass Boston set forth in the plan is ambitious: a transformation to an increasingly sophisticated research university that remains true to its origins as a teaching institution with a commitment to public service.

This self-study shows the progress the university has made in this transformation. Enrollment is at an all-time high of nearly 17,000 students, 25 percent in graduate study. Our student population continues to grow in diversity, solidifying our position as the most diverse public university in New England. The increasing diversity of our students has been accompanied by a rising academic profile among our entering freshmen and transfer students. Retention and graduation rates continue their upward trajectory, reflecting the increasing attention we have given to supporting student success. We have implemented learning outcomes assessment that has led to programmatic improvement in our undergraduate majors and graduate programs.

We have developed new graduate programs in targeted areas of research strength and new undergraduate programs in areas of demand and interest. We have created a new Honors College that challenges our most academically motivated students; established a new School of Global Inclusion and Social Development to forward our commitment to issues of inclusion and diversity; and transformed our environmental programs into a new School for the Environment.

The "Global" in "Global Inclusion and Social Development" is no accident. In keeping with our nation's rapidly multiplying connections to the rest of the world—and the interconnectedness of our city's multiple communities with communities in other lands—we have increasingly infused our curriculum with global substance, nourished exchange programs, and supported faculty members and students in teaching and research abroad.

We have renewed our faculty by hiring new tenure-stream faculty members from the best national and international programs. New faculty increasingly reflect the diversity of the student population, with greater numbers of women and people of color being hired and being awarded tenure. Our non-tenure-stream faculty are increasingly full time, providing high levels of teaching and fully integrated into the university.

We are making a remarkable physical transformation of the campus to provide our students, faculty, and staff with facilities equal to the best in the nation and truly supportive of their work. Our Integrated Sciences Complex has opened, General Academic Building 1 is on schedule to open this year, and General Academic Building 2 is being designed. Through our infrastructure and roadway relocation project, our Harbor Walk restoration

program, and our purchase and leasing of needed space near campus, we are expanding its footprint, our reach, and our presence in the community.

Our community engagement remains strong and compelling. Our successful 2014 reapplication for Carnegie Community Engagement status documents substantial engagement at all levels. We are proud of our public service and our partnerships in local, regional, and international communities.

In the spirit of candor that the commission asks us to honor in this self-study, we document our accomplishments at the same time as we are well aware of the challenges and growing pains we face in our institutional transformation.

The state and the UMass system have supported our capital building program, but recent system requirements on debt-service ratios and borrowing limits have slowed not only the building of residence halls but also the construction of parking garages and other facilities needed to sustain enrollment growth. We are unique in being the only public research university in the United States with no residential student population, but we have successfully made the case to our internal community and to external stakeholders that a modest number of students living on campus will contribute to our enrollment, retention, and graduation rates, and to the overall experience of our students. We will falter in our mission if students of modest means who wish to reside at a public urban university cannot do so here. Fortunately, plans for the first 1,000 residence hall spaces are moving forward again, along with the transformation of student services required to support a residential population.

Academic program development has proceeded somewhat in advance of a comprehensive infrastructure to support it. Adequate funding for new graduate programs has sometimes not been forthcoming despite the best intentions of all parties. Budget allocations are centrally managed, which can make academic planning difficult for individual units. We are working for a clearer connection between academic planning, financial planning, and budget allocations in order to reduce strain in this area.

Demands for increased faculty research activity have been accompanied by a move to a 2-2 teaching load, but this move is not yet fully implemented. Tenure-stream faculty feel the strain of meeting teaching, research, and service demands while enrollment growth puts additional pressure on their teaching and advising. New faculty-development units and academic-support structures assist faculty, but more needs to be done.

Student success is our number one priority, and increases in retention and graduation rates must be accelerated if we are to meet our strategic planning goal of a 60% graduation rate. We need to do this while continuing to remain open to all qualified students, in particular those of limited financial means.

We are aware of the hard work that lies ahead. This self-study lists projections that will move us forward to achieve our vision of a great public urban research university “equal to the best,” fulfilling our promise.

Data First Form
GENERAL INFORMATION

Institution Name: University of Massachusetts Boston

OPE ID: 00222200

Financial Results for Year Ending:		Annual Audit	
		Certified: Yes/No	Qualified Unqualified
Most Recent Year	2012	Yes	Unqualified
1 Year Prior	2011	Yes	Unqualified
2 Years Prior	2010	Yes	Unqualified

Fiscal Year Ends on: June 30 (month/day)

Budget / Plans

Current Year	2013
Next Year	2014

Contact Person: Peter Langer

Title: Associate Provost

Telephone No: 617-287-5600

E-mail address: peter.langer@umb.edu

Standard One: Mission and Purposes

The institution’s mission and purposes are appropriate to higher education, consistent with its charter or other operating authority, and implemented in a manner that complies with the Standards of the Commission on Institutions of Higher Education. The institution’s mission gives direction to its activities and provides a basis for the assessment and enhancement of the institution’s effectiveness.

Description

In 2014-2015, the University of Massachusetts Boston (UMass Boston) is celebrating the fiftieth anniversary of its founding. The creation of the university was part of the mid-20th-century national movement in higher education that extended to urban areas the mission and reach of the public universities created in the 19th century by the Morrill Land Grant Act. The original “Statement of Purpose” for UMass Boston captures the spirit of this movement in declaring:

Our mission is to develop in Boston a great public urban university, which will preserve and extend in the best tradition of the Western world the domain of knowledge and nurture intellectual freedom and integrity, and with the kind of program, service and leadership given rural communities over the past century by the land-grant universities....The urban university must stand with the city, must serve and lead where the battle is. That is what the University of Massachusetts at Boston must do.

UMass Boston opened its doors in 1965 with a full range of undergraduate arts and sciences degree programs and graduated its first class in 1969. Boston State College, which had a long history as a normal school and state college, was merged with UMass Boston in 1982. The addition of Boston State’s undergraduate education and nursing programs, and a number of master’s-degree programs, was a major step in expanding the reach of the university and the fulfillment of its mission.

UMass Boston is part of the five-campus [University of Massachusetts system](#). The mission statement of the UMass system is as follows:

The University’s mission is to provide an affordable and accessible education of high quality and to conduct programs of research and public service that advance knowledge and improve the lives of the people of the Commonwealth, the nation, and the world.”

The UMass system’s core values remain central to the mission of UMass Boston.

The current UMass Boston mission, values, and vision statements were created during the strategic planning process begun in 2010 and were endorsed by the system Board of Trustees. The [mission statement](#) is as follows:

The University of Massachusetts Boston is a public research university with a dynamic culture of teaching and learning, and a special commitment to urban and global engagement. Our vibrant, multi-cultural educational environment encourages our broadly diverse campus community to thrive and succeed. Our distinguished scholarship, dedicated teaching, and engaged public service are mutually reinforcing, creating new knowledge while serving the public good of our city, our commonwealth, our nation, and our world.

The mission statement highlights the essential features of the university: it is *public* and is committed to promoting the well-being of the Commonwealth and its citizens; it is a *research university* with a *culture of teaching and learning* and is devoted to creating knowledge through advanced research and graduate programs at the same time as it remains deeply committed to teaching and undergraduate student success; it is committed to *urban and global engagement* and has a focus on the issues of urban areas at home and around the globe.

In addition to this mission statement, the campus [values statement](#) provides points of reference for the achievement of its mission. The university's value statement is centered on these seven elements: inquiry, creativity, and discovery; transformation; diversity and inclusion; engagement; environmental stewardship and sustainability; economic and cultural development; and an urban commitment.

The strategic plan sets forth a [vision for the University of Massachusetts Boston in 2025](#) as an increasingly sophisticated research university. The vision includes expanded learning activities to prepare students to be independent and compassionate citizens and leaders; best practice student-success standards; engaged research across a broad range of intra- and trans-disciplinary areas with both a local impact and a global reach; and a continued commitment to educating modest-income and first-generation students from urban areas.

The mission, values, and vision statements are prominently presented on the university website and in other campus publications (see Standard 10).

Appraisal

The university's current mission, values, and vision statements function as core components of the strategic plan [Fulfilling the Promise: A Blueprint for UMass Boston](#) and provide the touchstones for the goals and objectives of the plan. As part of the planning process, a task force was specifically charged by the chancellor and the provost "to review the mission statement and suggest an updating consistent with UMass Boston's development to date and its future aspirations." That task force met over a three month period in the spring of 2010, held open meetings for the entire campus community, and incorporated suggestions from the other strategic plan task forces into the statements that were eventually accepted. The task force characterized these discussions as "marked by great intensity and thoroughness, and by an extraordinarily fruitful interplay of points

of view. They have yielded a document that the committee believes to be truly comprehensive and representative.”

The mission, values, and vision encapsulated in *Fulfilling the Promise* serve as the core foundation for the university’s operations. The current strategic plan guides the university to the year 2025 and has specific enrollment, retention, graduation rate, infrastructure, and financial goals (see Standard 2 and Standard 4). All planning and decision-making on campus is focused on attaining these goals and advancing the university’s reputation as a premier public research university. The [annual reports of academic units specifically address progress made in relation to strategic planning goals](#). In addition, all proposals for new academic programs reviewed by the UMass President’s Office must [demonstrate how the program aligns with the campus’s strategic priorities](#).

The “great intensity” and “fruitful interplay of points of view” commented on by the 2010 task force continue as dynamic parts of campus life. Programs and initiatives are discussed for their fealty to or their departure from the mission of the campus. The intense commitment of many faculty, staff, administrators, alumni, and other stakeholders to UMass Boston’s ideals engenders spirited debate on how best to serve current and future students, the ideals of the academy, and the public good of the commonwealth. The mission, values, and vision statements give voice to this dynamism and striving and, as such, serve the campus well.

Projection

The initial five-year phase of the 2010 strategic plan has come to an end and the university is in the process of developing phase two of the plan. This phase will retain the plan’s key elements and update them with specific measurable indicators of successful progress toward our planning goals. As part of phase two the chancellor’s Executive Leadership Team will review the university mission, values, and vision statements.

Institutional Effectiveness

The University of Massachusetts Boston evaluates its mission statement as part of its on-going strategic planning process. The university’s mission is part of the overall mission of the University of Massachusetts system and sets forth the individual and unique aspirations of the campus. The mission is embodied in the university’s strategic plan, which provides specific, measurable indicators of success and guides resource allocations on campus.

[Index to Supporting Documents for Standard 1](#)

[Web-Based List of Supporting Documents](#)

Data First Form: Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	URL	Date Approved by the Governing Board
Institutional Mission Statement	http://www.umb.edu/the_university/mission_values	2010

Mission Statement published

URL

Print Publication

University Website	http://www.umb.edu/the_university/mission_values	
2		
3		
4		

Related statements

URL

Print Publication

System Mission Statement	http://media.umassp.edu/massedu/policy/Mission%20Statement.pdf	
University Vision Statement	http://www.umb.edu/the_university/vision	
University Strategic Plan	http://www.umb.edu/editor_uploads/images/university/Fulfilling%20the%20Promise%209-26-11.pdf	

Standard Two: Planning and Evaluation

The institution undertakes planning and evaluation to accomplish and improve the achievement of its mission and purposes. It identifies its planning and evaluation priorities and pursues them effectively.

Description

Planning

Strategic Planning

In 2010, the university began a new era of strategic planning as the chancellor convened a Strategic Planning Task Force, chaired by the provost, to undertake a systematic, comprehensive, and broad-based strategic planning process. Already in place was a solid 25-year master plan for the physical transformation of the campus, reflecting the letter and spirit of *UMass Boston Renewal*, a strategic plan for 2007-2010. Now the chancellor determined that a longer-term strategic plan would guide the university's growth through 2025. The initial process identified five major goals for implementing UMass Boston's mission and vision.

- Advance student success and development
- Enrich and expand academic programs and research
- Improve the learning, teaching, and working environment
- Establish a financial resources model consistent with the university's vision statement
- Develop an infrastructure supportive of the preceding goals

As did the previous strategic plan, these goals emphasized student success and enrollment growth. But the task force went much further, addressing how the university would expand its array of academic programs and build research activity appropriate to its ambitions as a research institution. It also called for an explicit focus on financial planning and continued infrastructure improvement.

The chancellor then charged an Implementation Design Team with the responsibility of identifying and recommending objectives and strategies to realize the goals. This process engaged the entire community: over 100 members of the university served on the seven working groups and members of the design team spoke with the community at over 30 campus events. The resulting plan, [*Fulfilling the Promise: A Blueprint for UMass Boston*](#), presents a bold vision for the university in the year 2025, outlining specific objectives to increase student enrollment and retention, build research activity, and increase global reach and reputation.

As [*Fulfilling the Promise*](#) itself acknowledged, the "size, complexity, and multi-level interdependencies of our Strategic Plan have motivated [the design team] to treat it as one would a major construction project, using project management tools to guide implementation by identifying checkpoints at which to judge progress and to choose among appropriate courses of action" (p. 8). The responsibilities of the team therefore shifted to keep-

ing the planning process on schedule, making progress on each of the plan's five goals, and reporting regularly to the community during the plan's first five years. These reports include work plans and strategic activities updates, which are distributed to the university community at meetings and posted on the university website.

Master Planning

The university also undertook substantial, integrated planning in the development of its [25-year master plan](#). This effort began in 2006, when the Commonwealth's Division of Capital Asset Management hired the architectural firm Chan Krieger Sieniewicz and the university established a [Master Plan Steering Committee](#). The committee, which included a cross-section of UMass Boston faculty, students, and staff, studied the long-term physical needs of the campus in conjunction with the university's strategic goals and objectives. In 2007, the chancellor presented a framework for campus development and reconstruction to the UMass Board of Trustees for their review and input. In 2009, after an inclusive review and further study, the university unveiled its master plan as the blueprint for the physical realization of the university's strategic vision of becoming "the student-centered, urban public research university of the 21st century." The plan's first phase outlines the construction of two academic buildings as well as significant renovations to create a safer and more efficient campus. The plan was updated in 2010 when [the university purchased the 20-acre property at the Bayside Exposition Center](#), half a mile from the campus. (See Standard 8 for more on the master planning process.)

Financial Planning

The university engages in multiple financial planning processes, including regular operating and capital planning for the UMass system office and the internal budget process. The strategic plan calls for the establishment of a financial resource model that is consistent with the university's vision, with specific suggestions including enrollment growth, implementation of differential fees, and increased private giving as ways to increase revenue. (See Standard 9.)

Evaluation

The university has regular systems in place to review academic programs, administrative departments, policies, and personnel. These are outlined below.

Departmental Reviews

[The Academic Quality Assessment and Development](#) (AQUAD) process assesses the core functions of each academic department or program at the university, including teaching and learning; research, professional, and creative activity; and public service and academic outreach. The [AQUAD](#) review provides a rigorous quality assessment, identifying strengths and targeting areas for growth and development. Every seven years each academic department undertakes a self-study followed by a site visit by a team of external and university reviewers. The team report is reviewed and commented upon by the department and the dean who then meet with the provost to determine actions to improve the department. The program has been in place since 1998 and is managed by the [Prov-](#)

[ost's Office](#). The provost reports the results of AQUAD reviews annually to the System Office.

Selected academic programs engage in comprehensive evaluation through external national- or state-level accreditation bodies specific to professional content and practices. These efforts represent a voluntary, self-regulatory process and stand in lieu of the required AQUAD process. Examples of accreditation bodies include the [Commission on Collegiate Nursing Education](#), the [American Psychological Association](#), the [Council for the Accreditation of Educator Preparation](#), and [ABET](#).

Evaluation of Administrative Systems and Organizational Structures

In keeping with an objective outlined in the strategic plan, the chancellor engaged the [Pappas Consulting Group](#) in 2013 to conduct a thorough review of the university's administrative systems and organizational structures, with the goal of examining organizational structure at a macro-level to determine if the university is organized in a way that will maximize achieving the goals of the strategic plan and increase organizational effectiveness and efficiency. A report has been completed and shared with the chancellor, who will review and analyze the recommendations for decisions to be shared with the university when the review is complete.

The [Finance and Administration Advisory Group](#), chaired by the vice chancellor for administration and finance and consisting of representatives from major areas within the university, was established in 2006. Its purpose is to improve communication among fiscal and administrative managers, share timely information about fiscal matters, establish and update policies and procedures, and improve the efficiency of business operations and activities. This ensures broad communication with regard to compliance with existing policies, regulations, and laws, and increases consistency and efficiency in business processes across the university. The group, consisting of about 40 members, also participates in the review of fiscal and administrative policies and practices, and provides its expertise in feedback, advice, policy recommendations, and implementation practices.

Evaluation of Personnel

The university has several processes in place to evaluate and rate employee performance. These performance-appraisal tools serve as instruments to measure individual contributions towards larger UMass Boston goals and to provide a framework for dialogue between supervisors and supervisees in assessing overall performance and identifying resources supporting job contributions and enhanced professional development in order to improve the working environment and increase effectiveness. There are a number of different tools, reflecting the different employee sectors. Classified staff and professional staff follow processes that are determined through [collective bargaining](#); non-unit professional staff follow the [UMass Personnel Policy](#), and faculty-evaluation systems for tenure-stream* and non-tenure-stream* faculty are outlined in the [Academic Personnel Policy "Redbook"](#) and informed by collective bargaining agreements.

*In this document, "tenure-stream faculty" means faculty who have or are eligible for tenure; "non-tenure-stream faculty" are not eligible for tenure.

Senior administrators are evaluated after the first three years of service and every five years thereafter on a [schedule](#) available to the campus community. This process includes a formal invitation to all campus constituencies to provide confidential feedback in writing or in person to a review committee appointed by the chancellor. This information and other evidence of performance are reviewed by the committee in a report to the chancellor or appropriate vice chancellor, who discusses the results with the individual reviewed. Neither the reports nor the evaluation outcomes are made public.

Appraisal

Planning

Strategic Planning

After *Fulfilling the Promise* was issued, the chancellor appointed campus leaders to lead a Strategic Plan Implementation Group in coordinating the development of activities based on the objectives outlined in the plan, and in monitoring progress on an annual basis. The group has worked with the provost to develop consensus on specific actions, delineate accountability for those actions, and make budget decisions in alignment with *Fulfilling the Promise*. These efforts have been effective in keeping the university on track to meet its goals and objectives. Annual updates are posted on the [Implementation Planning](#) section of the strategic planning website.

In 2015, the university will reach the end of its first five-year stage of implementation of *Fulfilling the Promise*. The implementation group, under the direction of the provost, is working now to develop priorities for the next five years. Its leadership has been crucial to the significant gains the university has seen in implementing the plan. However, this reliance on existing personnel and systems means that attention to other initiatives and responsibilities is somewhat diminished.

The seven-member [Office of Institutional Research and Policy Studies](#) (OIRP) has worked closely with the strategic planning groups to provide relevant data for plan formation, specialized research on critical topics, and data for monitoring plan outcomes. [OIRP](#) remains dependent on old, labor-intensive technologies, such as a static Fact Book that does not allow users to access data as they need. As a result, OIRP staff must focus more on the work of data extraction and data entry than on preparing analyses and supporting the use of data to achieve strategic planning goals. System-wide, the work on the [UMass University Information Technology Services SUMMIT reporting dashboard systems](#) has been completed for finance and human resources, but not for the student record systems on which OIRP depends for data.

Master Planning

Evidence of progress in the implementation of the [25-year master plan](#) is visible around the campus, with the [Integrated Sciences Complex](#) opened in January 2015, construction on the [General Academic Building 1](#) well underway, and the work necessary to replace the campus utilities with the new utility corridor in progress.

The [Office of Campus Master Planning](#) consists of a director and two professional planning staff. This office works in close collaboration with other units across the university, such as Facilities, Environmental Health and Safety, and Communications, as well as with state and local planning groups, consultants, and advisors. The master plan is ambitious and transformative; thus it requires complex individual plans for making significant physical changes while keeping university business running. This calls for constant attention, communication, and change-management. News of progress and anticipated events is disseminated to university groups on a regular basis and posted on the [construction updates website](#). The [master plan](#) website invites those interested to sign up for construction update emails and includes a list of [FAQ's](#). This level of transparency is an excellent example for the campus.

The physical transformation of the campus and growth in academic programs and enrollment are exciting but also challenging. They increase pressures on campus resources, particularly space, financial, and information-technology resources. Further information about these pressures and the university's responses to them can be found in Standards 8 and 9.

Financial Planning

Financial planning at the university is closely integrated with strategic planning. The Implementation Design Team plays an active role in this process by reviewing, evaluating, and approving submissions of proposed items from all areas of the university that include justifications in terms of the goals and objectives of the strategic plan. The involvement of the campus in the budget-submission process, which explicitly requires such justification, has promoted emphasis on and engagement with the strategic plan.

The university has allocated resources from planned enrollment growth to support strategic initiatives. A total of \$3.9 million was approved to support them in FY2014; in FY2013, \$8.8 million was approved; and in FY2012, 4.9 million was approved. Support was designated as follows:

	FY2012	FY2013	FY2014
Goal 1: Advance student success and development	3,789,221	996,189	1,215,689
Goal 2: Enrich and expand academic programs and research	-	2,496,890	500,000
Goal 3: Improve the learning, teaching and working environment	76,818	1,032,760	150,000
Goal 4: Establish a financial resources model consistent with the university's vision statement	516,419	3,577,960	780,553
Goal 5: Develop an infrastructure supportive of the preceding goals	500,000	732,533	1,229,000
TOTAL	4,882,458	8,836,332	3,875,242

However, the recent recession, and new system leadership focused heavily on financial management, have also been, and continue to be, challenges for UMass Boston in achiev-

ing strategic and closely linked master-planning goals. This is particularly the case in the university's plan to open its first residence hall by fall 2014. The development of residence life on campus is critical for the achievement of the strategic goals ([Fulfilling the Promise](#), p.11), but the university has to date been unable to achieve this objective. More detailed discussion of the issues, and of the steps taken by the university to address the need to provide student housing, appears in Standards 6 and 8.

Fulfilling the Promise made several recommendations to establish a financial resources model to support the university's vision. For example, the plan called for a careful study of differential fees as a way to support strategic growth. In FY2011, the [College of Management](#) implemented a differential fee, with incremental increases as planned through FY2014. The funds generated by the differential fee support mission-critical activities in that college, particularly ones that carry new or high costs, including the newly established [PhD program](#), research, special training for students, and new faculty hires. More recently, the College of Nursing and Health Sciences has also instituted differential fees.

In keeping with the strategic plan, the university has continued to work with the System Office and the Board of Trustees for increased state funding. This effort has achieved significant success, permitting a two-year freeze on tuition and fees, although it is not certain that the additional level of support will be sustained (see Standard 9).

Overall, the [Office of Budget and Financial Planning](#) has improved its capacity for financial analysis, according to the strategic plan's recommendation that organizational structures be reviewed "in light of our evolution into an entrepreneurial and revenue-generating university, as opposed to a purely public entity" (p. 23). This office replaced the Budget Office in 2008, and with new leadership reconfigured technology systems to create manageable budget processes, improve accountability mechanisms, and more precisely align budgeting with strategic planning goals. The office also consolidated fund structures and implemented sustainable financial technology systems aligned with those of the UMass system. Making such changes while preserving the autonomy of schools and colleges has been a technological and cultural challenge that has not yet been resolved.

The office has increased its staff, in part to strengthen its capacity to produce reports and analysis. Analytical techniques have been introduced, such as peer comparisons, college-level exercises, and more detailed tracking of expenditures on non-tenure-stream faculty members. It has also increased efforts to partner with subject-matter experts and to create processes and systems supporting multi-year revenue and expense projections. For example, it has begun to look systematically at student waivers to assess their impact on tuition and fee revenues.

The office makes regular presentations of the findings of its analytical work to constituent groups such as the Chancellor's Cabinet and the Finance and Administration Advisory Group. In addition to providing information, these efforts broaden understanding of the drivers of revenues and costs, provide context for external pressures and internal challenges and opportunities, and promote evidence-based decision-making.

The new business intelligence systems developed by the system's [University Information Technology System \(UITS\)](#) have not yet met the promise of bringing data from the financial, human-capital-management, and student-related enterprise systems together with externally available information sources in ways that provide an integrated set of data for decision-making by those at multiple levels of the organization.

Evaluation

[Academic Quality Assessment and Development \(AQUAD\)](#)

The [AQUAD](#) system, developed by the System Office and implemented on campus in 1998, is now in its third cycle. [AQUAD](#) has become integrated in academic life on the campus, and its process and structure are useful. Departments are reasonably satisfied with the procedure and recognize the utility of internal and external review. In 2007, the System Office directed all campuses to incorporate learning outcomes assessment into AQUAD but there have been no other large-scale changes in the original templates and guidelines. Since AQUAD was developed, there have been significant changes within the Division of Academic Affairs, such as the introduction of new program-delivery mechanisms (e.g., online programs), the growth of interdisciplinary programs, more incorporation of service-learning into courses and majors, an increased emphasis on internships, and a new general education program. A systematic review of the AQUAD templates, guidelines, and process is needed.

Furthermore, there is currently no structure in place by which the results of the AQUAD process can reach interested parties outside the departments, such as the [Faculty Council](#) General Education Committee. The [General Education Program](#) should be informed by what the majors need, and that information is contained within the AQUAD reports.

Lastly, there has been only episodic collection of information on the success of recent graduates. Information on graduate schools attended is gathered regularly by OIRP and is used in reports, but data on the employment of graduates has not been collected.

Evaluation of administrative systems and organizational structures

As noted above, the chancellor is working with the [Pappas Consulting Group](#) on a comprehensive review of administrative systems and organizational structures. The consultants met with a wide cross-section of constituent groups across the university in a variety of contexts. When the report is released, the university community will be widely engaged both in providing feedback and in implementing changes.

The [Finance and Administration Advisory Group](#), has worked over the last several years to review, analyze, develop, and/or update policies governing many administrative activities. This work ensures that the university is in compliance with existing policies and increases consistency and efficiency in related processes. Feedback from the group also suggests and informs improvements in the policies and processes (See Supporting Document: [Examples of Accomplishments of the Finance and Administration Advisory Group](#)).

Evaluation of personnel

As described above, the different evaluation processes for non-unit staff, professional staff, and classified staff each have unique timelines and procedures in place for completion. While the university strives for comprehensive and active participation in this process, the reality has been that reviews are often not completed on schedule, and sometimes not completed at all. This concern led in FY11 to the collection of data on compliance with the evaluation programs, and to the development of a new evaluation form which required supervisors of non-unit staff to complete evaluations within a specified period in order to receive merit pay (the only pay increases for which non-unit staff are eligible). The streamlined form and process have resulted in a roughly 30% participation increase. Changes in the professional and classified staff forms are subject to [collective bargaining](#). [Human Resources](#) is actively working with unions to increase compliance through improved forms and a more efficient and effective process.

Projection

Planning

- The [provost](#)'s strategic planning implementation group will review the accomplishments and challenges of implementation in 2010-2015 and prepare objectives for 2015-2020 for consideration by university leadership and approval by the chancellor in fall 2015. Careful attention will be given to staffing and other resources needed for success in the next phase of the plan.
- The [provost](#) and the [vice chancellor for administration and finance](#) will convene a working group to develop a strategy to better align academic program planning and development with the master plan and fiscal planning.
- The [provost](#) and the [vice chancellor for administration and finance](#) will convene a group of representatives from Information Technology, Institutional Research and Policy Studies, and Budget and Financial Planning, among other departments, to develop a plan for increasing staff capacity and acquiring technological and organizational systems to integrate financial, human-resources, and student-related data for better-informed decision-making.

Evaluation

- The [provost](#) will convene a committee of faculty and administrative staff to review and update the [AQUAD](#) process, instructions, data requirements, and other matters to align the process and the content of the reviews with larger university strategic goals. The committee will consider such changes as those in program-delivery mechanisms (e.g., online programs), and any adjustments that may be required to ensure that inter- and trans-disciplinary programs may be appropriately evaluated. This work will be completed by the end of FY16.
- Representatives of [Institutional Research and Policy Studies](#), [Graduate Studies](#), and the [Registrar's Office](#) will work with University Information Technology Systems to embed a survey into the process of applying for graduation, for the purpose of gathering information about employment or other post-graduation plans. This survey

will launch in FY16. The [University Advancement Office](#) will develop and implement alumni surveys beginning in FY15.

- The chancellor will release the recommendations of the [Pappas Consulting Group](#) regarding the review of administrative and organizational structures. After feedback from the campus, the chancellor will lead appropriate organizational changes beginning in FY15.
- A group of representatives from [Human Resources](#) and relevant constituencies on campus will develop a plan to increase compliance with annual performance reviews for non-unit, professional staff, and classified staff employees. This group will also review employment areas in which no evaluation mechanisms are currently in place, evaluate the need for such mechanisms, and develop them if they are found to be critical for improving the working environment. This work will be completed in FY16.

Institutional Effectiveness

Through the successful implementation of the initial phases of its strategic and master plans, the university has seen the value of the integrated approach these plans represent. As it proceeds through the next five-year phase of the strategic plan, completes the construction of two new academic buildings, implements organizational restructuring recommendations, and develops data tools for better decision-making, it will continue to assess the effectiveness with which its planning and evaluation systems support the achievement of its mission and vision.

[Index of Supporting Documents to Standard 2](#)

[Web-Based List of Supporting Documents](#)

Data First Form: Standard 2: Planning and Evaluation

PLANS

	Year of Completion	Effective Dates	URL or Folder Number
Immediately prior Strategic Plan	2007	2007-2010	http://www.umb.edu/the_university/strategicplan/2007_2010_strategicplan
Current Strategic Plan	2010	2010-2025	http://www.umb.edu/the_university/strategicplan
Next Strategic Plan			link to draft, if available

Master plan	2008	2008-2033	http://www.umb.edu/the_university/masterplan
Academic planning & Enrollment	Mar-11		http://www.umb.edu/editor_uploads/images/university/Academic%20Planning%20and%20Enrollment%20Workgroup%20Report.pdf
Financial plan	Apr-11		http://cdn.umb.edu/images/university/Additional%20Investment%20and%20Operational%20Revenues%20Workgroup%20Report.pdf
Technology plan	Mar-11		http://cdn.umb.edu/images/university/Administrative%20and%20Physical%20Infrastructure%20Support%20Workgroup%20Report.pdf
Communications plan	Jun-11		http://cdn.umb.edu/images/university/Updated%20Communications%20Workgroup%20Report.pdf
Graduation rates plan	May-11		http://cdn.umb.edu/images/university/Graduation%20Rates%20Workgroup%20Report.pdf
Residence Halls Work Group report	Mar-11		http://cdn.umb.edu/images/university/Residence%20Halls%20Workgroup%20Report.pdf
Space Workgroup Report <i>(Add rows for additional institution-wide plans, as needed.)</i>	Mar-11		http://cdn.umb.edu/images/university/Space%20Workgroup%20Report.pdf

			http://www.beaconsathletics.com/special_projects/UMass_Boston_Athletics-Recreation-Special_Projects_and_Programs_Strategic_Plan_2010.pdf (Division of Athletics and Recreation – Strategic Plan)
Athletics Strategic Plan	Nov-10	2010-2015	

(Add rows for additional plans, as needed.)

EVALUATION

Program review system (colleges and departments). System last updated:
Program review schedule (e.g., every 5 years)

URL or Folder Number
http://www.umb.edu/academics/provost/academic_quality_assessment_and_development_aquad
Every seven (7) years

Sample program review reports (name of unit or program)

Chemistry
Conflict Resolution
Philosophy
Psychology

AQUAD Self-Study 2010
AQUAD Self-Study 2014
AQUAD Self-Study 2014
AQUAD Self-Study 2014

Program review schedule (every X years or URL of schedule)

--

Sample program review reports (name of unit or program)

University Health Services
University Health Services
Public Safety
Early Learning Center

Keeling Report
2011 AAHC Survey Report
Hard Copy in Folder 6 in workroom
Hard Copy in Folder 6 in workroom

Standard Three: Organization and Governance

The institution has a system of governance that facilitates the accomplishment of its mission and purposes and supports institutional effectiveness and integrity. Through its organizational design and governance structure, the institution creates and sustains an environment that encourages teaching, learning, service, scholarship, and where appropriate research and creative activity. It assures provision of support adequate for the appropriate functioning of each organizational component. The institution has sufficient independence from any sponsoring entity to be held accountable for meeting the Commission's *Standards for Accreditation*.

Description

The University of Massachusetts Boston is a public university, part of the five-campus [University of Massachusetts](#) system that also includes the University of Massachusetts Amherst, the University of Massachusetts Dartmouth, the University of Massachusetts Lowell, and the University of Massachusetts Medical School.

The University of Massachusetts is governed by a [Board of Trustees](#) that functions as a legislative body. The board is given broad responsibility to ensure that university funds are spent properly, that the university exercises appropriate stewardship of its assets, and that operating results are positive. The board monitors the academic and financial performance of the university through a number of routine reports; appoints and periodically reviews the performance of each campus chancellor; and sets strategic priorities for the university in the areas of teaching, research, and service.

The current board consists of 19 voting members and three *ex officio* members. Seventeen members of the board are appointed by the governor of the Commonwealth, with the stipulation that at least five of the appointed members be alumni of the university system and one be a representative of organized labor. Each campus elects a student representative, but voting privileges rotate among the campuses with only two student representatives having voting privileges at any one time. Each campus elects a non-voting faculty representative to the board for a two-year term.

UMass Boston is also subject to the authority of the Massachusetts [Board of Higher Education \(BHE\)](#). The latter is the statutorily created agency responsible for defining the mission of and coordinating the commonwealth's system of public higher education and its institutions, which include, in addition to the University of Massachusetts system, individual state universities and community colleges. The BHE consists of 11 voting members, one *ex officio* member, and two nonvoting student advisors.

The University of Massachusetts Board of Trustees appoints the [president of the University of Massachusetts](#) system. The System Office represents the university to external constituents; coordinates strategic planning, academic affairs, management and

fiscal affairs, information systems, legal matters, and human resources management; evaluates the performance of chancellors and campuses; and provides support for the Board of Trustees. The System Office also provides certain common services, such as the system's online education division, [UMassOnline](#). Each of the university's campuses has its own organizational structure, led by a chancellor.

The [chancellor of the University of Massachusetts Boston](#) is advised by the [Chancellor's Cabinet](#), consisting of the provost and other vice chancellors, and his [Executive Leadership Team](#) of vice chancellors, deans, associate vice chancellors, vice provosts, associate provosts, and directors of institutional research and communications. With the president, the chancellor ensures that the Board of Trustees has a clear understanding of UMass Boston's distinctive mission and purposes. The university is organized into seven divisions, each led by a vice chancellor. An Office of Diversity and Inclusion, reporting directly to the chancellor, was instituted in 2010.

UMass Boston's [provost and vice chancellor for academic affairs](#) works closely with the chancellor and others to ensure the quality and integrity of academic program and offerings, including those that are off-campus, online, and international. The provost is advised by the Deans' Council and the larger Academic Council, which consists of deans, vice provosts, and representatives of other key units (e.g., Enrollment Management, Academic Support Services, Information Technology, and Healey Library). The provost and the chancellor collaborate to ensure that all senior administrators are reviewed according to Board of Trustees guidelines. The provost is also responsible for the academic program review process, called the [Academic Quality Assessment and Development](#) (AQUAD) review; this rigorous review process is conducted every seven years for each department or program.

Faculty have a substantive voice in academic program development and review, personnel evaluation, and policy development through governance structures within their departments, schools, or colleges. University-wide, the [Faculty Council](#) is responsible for ensuring the effective coordination of actions taken by the governance units of the individual colleges or schools as they affect the university as a whole. This body is governed by the Board of Trustees' [Statement on University Governance](#), which grants to the faculty "primary responsibility" in academic matters and faculty status. The [Faculty Council](#) as currently constituted provides for representation from all colleges with tenure-stream faculty; *ex-officio* members include certain senior administrators, student representatives, and representatives from the Faculty/Staff and Professional Unions. 29 faculty members serve as the Faculty Council (28 elected members and one faculty representative to the Board of Trustees). The council meets monthly during the academic year and has an elected executive committee that structures the agenda of its meetings. Much of its business is conducted through eight standing subcommittees, among the most active of which are the Graduate Studies Committee and the General Education Committee.

There are elected student governments at the undergraduate ([Student Government Association](#)) and graduate ([Graduate Student Assembly](#)) levels. The student body elects a

student trustee to the Board of Trustees, who represents undergraduate and graduate students. Student representatives have the opportunity to meet with and provide insight to the administration on issues and topics raised by both student governance entities, and students serve on some university and college committees.

The [Faculty Staff Union](#) (FSU), a local bargaining unit within the [Massachusetts Teachers Association](#) (MTA), represents faculty and librarians at UMass Boston. The FSU and the Massachusetts Society of Professors at UMass Amherst form a single faculty bargaining unit. The [Professional Staff Union](#) represents UMass Boston's professional staff and the [Classified Staff Union](#) represents its classified staff; both unions are also local bargaining units within the MTA. The [Graduate Employee Organization](#), affiliated with the United Auto Workers, represents graduate student employees, and public safety officers are represented by [Teamsters Local 25](#).

As per the official Trustee document, "[Academic Personnel Policy of the University of Massachusetts at Amherst, Boston and Worcester](#)," each department and college has a personnel committee that gives faculty a substantive voice in personnel matters. This policy also articulates detailed procedures and criteria for personnel reviews, recommendations, and decisions, and defines the rights of faculty members and their conditions of employment.

Several changes in the [Division of Academic Affairs](#) have occurred in recent years. In 2010, the Division of Corporate, Continuing, and Distance Education was approved as a degree-granting college, now called the [College of Advancing and Professional Studies](#) (CAPS). The [School for Global Inclusion and Social Development](#) was formed in 2013. The [School for the Environment](#), developed from the existing Department of Environmental, Earth, and Ocean Sciences, was created in 2013. The Honors Program officially became the [Honors College](#) in 2014.

Appraisal

UMass Boston's recent successes in growing enrollments, increasing graduation rates, building new research and learning facilities, launching a major fundraising campaign, attaining the Carnegie classification of "Research University (High Research Activity)," and establishing new programs, schools, and colleges, all point to effective functioning of campus governance structures and university leadership. As the university grows, however, it must continue to assess these structures and determine if they will support the next stages of growth. In keeping with this concern, raised through the strategic planning process, the chancellor in 2013 engaged the [Pappas Consulting Group](#) in a comprehensive review of the operational and administrative systems at the university.

Faculty have multiple opportunities to participate in decision-making processes at the departmental, school, collegiate and university level, and the system of faculty governance works well. Schools and colleges have their own governance structures, with staff included in some governance bodies. Most faculty report that, at the college level, governance works fairly well and is fully participatory, although participation by non-

tenure-stream faculty varies. While junior faculty tend to be disproportionately represented in collegiate governance, this is perceived as a reasonable service activity and a good opportunity for junior faculty to broaden their institutional knowledge. The involvement and support of college deans is viewed as a helpful component of the strong functioning of the college governing bodies. The primary challenges noted by collegiate governance representatives are concerns about workflow and the current “[One Form](#)” course approval mechanism. In addition, three of the more recently created colleges have not completed the work of drafting their governing documents, while two of the longer-standing colleges need to complete reviews and updates of their constitutions and bylaws.

Faculty are full participants in their departmental AQUAD reviews. There are clear campus-wide structure and approval processes for graduate course and program proposals, with reviews at the departmental, college, and [Faculty Council](#) levels. The approval process for undergraduate courses, new majors, and new programs is more diffuse. There is appropriate oversight at the college level, but no coordinated university-level review like that for proposals at the graduate level. A related issue is that the number of colleges offering undergraduate programs has grown, but the relevant committees have not grown accordingly; in particular, there is no campus-wide committee with responsibility for issues such as evaluating readmission requests for students in poor academic standing.

Faculty have been well represented on university-wide committees, including the strategic planning task force and the strategic planning implementation design team. Faculty have a substantive voice in approving academic programs and over the past five years have engaged the administration in debates about these issues. Overall, the system of faculty governance at the university is representative, with the exception in some cases of non-tenure-stream and clinical faculty. All faculty may vote in [Faculty Council](#) elections, but according to the [Faculty Council Constitution](#), only tenure-stream faculty may serve as representatives. Inclusion of non-tenure-stream faculty in collegiate governance varies from college to college.

The university has undergone significant organizational changes over the past ten years. Structures that have served well in the past should be examined to ensure their efficacy within the larger, more complex structure of the institution. The Faculty Council has debated how to represent non-tenure-stream faculty in academic decision-making. The Faculty Council committee structure needs review and revision in light of the growing number of colleges and schools. The role of the Faculty Council in reviewing and discussing requests from the Graduate Studies Committee should be rethought in a way that allows the council to focus on higher-level concerns. As one council member noted, the council spends a lot of time approving courses, but doesn't spend much time setting the direction of the campus. The [Faculty Council Constitution](#) was approved in 2001 but has not been formally reviewed since; these issues and recent discussions indicate need for review.

The student government organizations on campus provide for consideration of student views and judgments and work to advance the interests and objectives of all students.

Student participation in student government is strong at the undergraduate level; at the graduate level there is an identified lack of visibility and voice. Student government has raised concerns about the limited role of student representation on the Board of Trustees. While each campus in the system elects a student trustee, only two student trustees hold voting authority in any given year. However, the board recently created a quarterly Forum on Student Life to better understand student concerns.

The unions on campus note strong working relationships with other organizations (such as other unions and the Faculty Council) and reasonably strong working relationships with the administration; they note significant dialogue and communication working with the [Office of Human Resources](#).

Projection

- The [Faculty Council](#) will review its constitution and by-laws to resolve ongoing concerns about representation of all faculty. Other aspects of the Faculty Council, such as the meeting schedule, the orientation of new members, and the committee structure, will also be reviewed. This review will begin in FY15.
- The Faculty Council will work with university administration to address communication and organizational issues in the council, such as the workload of some committees and overseeing the workflow for approval processes. This review will be completed by FY16.
- All schools and colleges without completed governing documents will complete the process of writing and seeking approval for such documents. Schools and colleges that have not reviewed their governing documents within the past 10 years will be required to do so. All colleges and schools will post their governing documents and committee structures on their websites. This work will be completed in FY15.
- The provost, the deans, and the Faculty Council will review the processes and policies regarding university-level governance of undergraduate programs.

Institutional Effectiveness

UMass Boston's success in enriching and expanding its academic programs, and in making significant progress toward achieving its vision of becoming a sophisticated research institution, points to the effective functioning of its governance systems. Faculty participation in departmental, school, college and university decision-making and governance is robust. The university is well represented at the system level. As the university moves into the next phase of strategic planning, it will engage in regular review of governance structures to ensure that these provide the most effective support of the university's mission.

[Index to Supporting Documents for Standard 3](#)

[Web-Based List of Supporting Documents](#)

Data First Form: Standard 3: Organization and Governance

Attach a copy of the institution's organization charts

If there is a "related entity," such as a church or religious congregation, a state system, or a corporation, describe and document the relationship with the accredited institution

Name of the related entity	University of Massachusetts
URL connection documenting relationship	http://www.massachusetts.edu

Governing board

URL connection to by-laws	http://www.massachusetts.edu/policy/botpolicies.html
URL listing names and affiliations	http://www.massachusetts.edu/bot/members.html

Board committees	URL or document name for meeting minutes
a. Academic and Student Affairs	http://www.massachusetts.edu/bot/minutesshort.html
b. Administration and Finance	http://www.massachusetts.edu/bot/minutesshort.html
c. Athletics	http://www.massachusetts.edu/bot/minutesshort.html
d. Advancement	http://www.massachusetts.edu/bot/minutesshort.html
e. Audit	http://www.massachusetts.edu/bot/minutesshort.html
f. Science, Technology and Research	http://www.massachusetts.edu/bot/minutesshort.html

Major institutional committees or governance groups*

Major institutional committees or governance groups*	URL or document name for meeting minutes
a. Faculty Council	http://www.umb.edu/academics/faculty_council/
b. Undergraduate Student Senate	http://www.umbgov.com
c. Graduate Student Assembly	http://www.gsa.umb.edu/
d.	

*Include faculty, staff, and student groups

Standard Four: The Academic Program

The institution's academic programs are consistent with and serve to fulfill its mission and purposes. The institution works systematically and effectively to plan, provide, oversee, evaluate, improve, and assure the academic quality and integrity of its academic programs and the credits and degrees awarded. The institution sets a standard of student achievement appropriate to the degree awarded and develops the systematic means to understand how and what students are learning and to use the evidence obtained to improve the academic program.

Description

Academic Program (General)

The academic programs of the university are the creation and responsibility of a faculty committed to providing a life-changing curriculum attuned to established and emerging knowledge. The extent of these academic programs in the university's eleven colleges is suggested by these tallies: 70 baccalaureate, 43 master's, and 23 doctoral degree programs; 23 baccalaureate, 38 master's, and 23 doctoral tracks; 15 undergraduate and 48 graduate certificate programs; and six tracks within the graduate certificate programs. Thirty-seven programs may be taken online, 14 only online. Nine of the 37 are undergraduate- or graduate-level certificate programs.

Most face-to-face classes are offered on the main campus; others, at nine area sites: five for evening classes, and four for residential programs on other institutions' campuses, where students use all facilities appropriate to a residential setting. NEASC's Commission on Institutions of Higher Education has approved the nursing program offered at Cape Cod Community College. Off-campus, online, Saturday, summer, and January-interterm courses, are given by the departments through the College of Advancing and Professional Studies. They meet the same academic standards, with the same workloads, as state-funded courses, and are available to matriculated students on a slightly modified academic calendar and differential cost. The university has two agreements to recruit international students. [The Massachusetts International Academy](#), an initiative of the University of Massachusetts System and the Chinese Educational and Research Network, provides preparatory ESL and first-year courses to Chinese students on a campus 35 miles away. Its students have concurrent status for a year, after which they receive full degree-seeking status or continue in the [University Preparation Program](#). [Navitas](#), which arranges study on American campuses for international students, has a program on the main UMass Boston campus. In both programs, only courses in the university curriculum, taught by university faculty, give degree credit.

The University of Massachusetts System's [Academic Quality Assessment and Development Program](#) (AQUAD) covers every academic department and degree program every seven years. AQUAD is the chief instrument for assuring that educational programs

demonstrate coherence in goals, structure, breadth and depth of content, synthesis of learning, and admission and completion requirements; for measuring the level of student achievement appropriate to degree programs; and for assessing student learning. AQUAD is also a principal instrument for determining consistency across programs and sufficiency of resources. Undergraduate and graduate program learning goals are reviewed by faculty during AQUAD self-studies.

AQUAD's intensification of learning outcomes assessment is one of two major changes in the university academic programs since 2005. The other is program development. [As of AY 2014, 69 new degree or certificate programs had been created or transformed from existing programs.](#) Program development has pursued three goals: extending research; advancing the historic urban mission, particularly in global terms; and filling gaps in the university offerings.

A study conducted by the [Battelle Technology Partnership](#), which led to the creation of the university's [Venture Development Center](#), identified eight potential research clusters: Urban Health and Public Policy; Transnational, Cultural, and Community Studies; Integrated Environmental Monitoring; Developmental Sciences; Biological Systems and Technology; Sustainability and Social Venturing; Computational Sciences, Analysis, and Modeling; and Science and Math Education and Learning Research. Most programs were created in these areas.

Existing programs were extended, often with a global dimension. A research and public service institute with affiliated graduate programs was transformed into the McCormack Graduate School of Policy and Global Studies. A School of Global Inclusion and Social Development was created to build on the focus of the existing Institute for Community Inclusion. The Environmental, Earth, and Ocean Sciences Department became the School for the Environment. The university Honors Program was expanded into the Honors College in 2013. The Division of Corporate, Continuing, and Distance Education was re-structured as the College of Advancing and Professional Studies, with the ability to offer degrees.

To fill curricular gaps, undergraduate majors in communication, global studies, and engineering were added, and the Study of Religion Program was revived. Master's programs were added in accounting and in Latin and classical humanities. New doctoral programs built on existing strengths in sociology, developmental and brain science, and applied physics. A doctoral program in molecular, cellular and organismal biology was revised from a more general biology doctoral program. PhD programs were created to advance research in the College of Education and Human Development and the College of Management. An MFA program (a terminal degree program) was established in creative writing.

Program development includes a multi-layered review process lasting two to three years. Departments solicit assessments from faculty in comparable programs elsewhere. Proposals are reviewed five times: in departments, colleges, the Office of Academic Affairs, the University of Massachusetts System Office, and the [Massachusetts Department of](#)

[Higher Education](#). Graduate programs have two additional reviews, by the Graduate Studies Committee of the Faculty Council and the dean of graduate studies.

Undergraduate Degree Programs

In fall, 2014, 12,700 students enrolled in undergraduate programs, 2,417 students in at least one on-line course (782 taking on-line courses only), 11,815 students on the main campus, and 103 students at other locations only. Undergraduate degrees require at least 120 credits, one third in General Education and at least one third in the major.

Undergraduate education is understood developmentally: majors rely on capabilities developed by the sophomore year. The university accepts General Education credits from other institutions where courses are equivalent. (The diversity requirement, in particular, is unique to the university.) A developmental approach is challenging for an institution that accepts many transfer students: under Board of Higher Education guidelines, the university cannot assess reading, writing, and critical thinking skills of transfer students who enter with associate's degrees or 30 or more credits unless we do the same for students who started here as freshmen. A Writing Proficiency Requirement is set at the junior year, to ascertain students' readiness as readers, writers, and critical thinkers for work in their majors.

Between AY2010 and AY2014, substantial growth in the undergraduate population has occurred in the College of Science and Mathematics (CSM): 2,913 students in AY2014, an increase of 43 percent. All but two CSM majors increased, with the largest increases in information technology and engineering physics. The growth of its largest major, biology, with 1,025 students in 2014, was 45 percent. The College of Management's undergraduate programs increased 22.4 percent; the undergraduate nursing program in the College of Nursing and Health Sciences, 4.3 percent. Early education in inclusive settings, the first undergraduate major in the College of Education and Human Development, had 240 students, a 515 percent increase in five years. At 4,984 students in 2014, the College of Liberal Arts (CLA) decreased 2.6 percent in five years. Strongest growth was in the social sciences: economics, with 684 students in 2014, up 64.8 percent, and psychology, with 951 students, up 20.2 percent. A communication studies major began in AY 2013 with 165 students and increased the following year to 286. Its inception may be the cause of losses in enrollments from humanities departments.

General Education

The [General Education program](#) provides understanding of the domains of human knowledge and creativity, and leads to success in majors. It consists of two courses in freshman composition; first-year and intermediate seminars that develop essential skills and provide an introduction to the university; distribution requirements in mathematics, natural science, social and behavioral sciences, arts, humanities, world languages, and world cultures; a quantitative reasoning requirement; a writing proficiency assessment; and a culminating experience or "capstone" within the major. General Education requirements are suited to varied academic careers. Students in bachelor of arts programs,

for example, have both a language and a world cultures requirement, while students in the sciences may choose from language or world culture courses.

The General Education program is founded on seven capabilities: careful reading, critical thinking, clear writing, library and information technology, oral communication, group work, and academic self-assessment. First-year seminars teach all seven. Intermediate seminars teach reading, writing, and critical thinking. Distribution courses must address at least two of the capabilities. The seminars, first-year composition courses, and teaching of capabilities in distribution courses prepare students for completion of the writing proficiency requirement.

The Major

Majors minimally require ten courses. (Natural science majors have higher numbers because of the inclusion of foundational courses from other disciplines.) Majors comprise small numbers of required introductory courses, larger numbers of more advanced required courses, and electives. Chemistry, computer science, environmental sciences, mathematics, and psychology, are offered for BA and BS degrees. All majors have culminating experiences: capstone courses, honors theses, internships or practicums, juried performances and exhibits, or advanced courses, many with a poster sessions or oral research presentations. Departments designating upper-division courses rather than capstones have argued that the culmination of study in their disciplines occurs in those courses. The “capstone” definition recognizes this variety. Some majors, such as the restructured environmental sciences and Latin American and Iberian studies majors, are inter- or trans-disciplinary. Undergraduate programs in chemistry, computer science, management, and nursing meet specifications of professional accrediting organizations.

Graduate Degree Programs

Master’s programs build on teaching and research strengths and address social and workforce needs in metropolitan Boston and the national and global economies. Some provide training in applied capabilities leading to professional licensure. Doctoral programs meet two criteria: they are in areas of research strength, and address social or economic needs in Massachusetts and beyond. Research components of master’s and doctoral programs are designed to promote the sequenced development of methodology and research skills. New research-intensive graduate programs are intended to raise the university’s research standing: its recent entry into the Carnegie research/high classification was due in part to an increase in graduate programs.

Admissions requirements are set to attract highly qualified students: they include academic training, experience, research and career interests, and probable motivation. Admissions criteria are explicit about levels of academic preparation and, where appropriate, relevant experience. Admission applications include reference letters from prior study and nationally certified admission test scores.

Every graduate program proposal enumerates faculty and staff resources available and needed. Resource demands for new programs are stated in proposals, and those for exist-

ing programs are carried into the annual collegiate budget process. Every master's and doctoral program requires a culminating experience, which varies with the nature of the program and degree, with dissertations and final research exercises in degree programs that prepare students for scholarly research, and more practical exercises, such as the development of a course curriculum, in practice-oriented programs. Graduate professional training is designed in accord with professional association standards.

Integrity in the Awarding of Academic Credit

The university has well-established procedures for the creation of new courses and degree programs through its faculty governance structure. New programs originate in faculty committees of existing departments, or in special committees created by collegiate deans or the provost. Proposals discuss comparable programs at other institutions, and include external reviews. They are reviewed by collegiate faculty committees, and, in the case of graduate programs, the university Faculty Council and its Graduate Studies Committee. All are further reviewed by deans and the provost, and by the University of Massachusetts System Office and the Board of Higher Education. In these ways, the university insures that programs are appropriately named, and that their length, content, and level are consistent with those of comparable programs in American institutions of higher education.

Baccalaureate programs require at least 120 credits, and master's programs, 30 credits. Under university and Massachusetts Board of Higher Education policy, credit is not awarded for pre-collegiate or remedial work. The university has discontinued developmental English courses and will discontinue developmental mathematics by fall 2015. Credit is not awarded for prior experience, experiential, or non-collegiate-sponsored learning. Transfer credit is given after the evaluation of syllabi by the academic departments in terms of equivalence to university courses. During the period under view the university began to award limited credit for academic learning within military service, consistent with American Council of Education SMART Transcript recommendations.

Continuously-updated course schedules and descriptions are publicly available on the [Registrar's Office website](#). Departments generally publish program guides on their websites, often as downloadable handbooks. Faculty are required to write course [syllabi](#), which are available in department offices. The university degree audit and new [UDirect](#) software aid students and advisors in determining what courses are needed for graduation. The AQUAD review process checks that programs continue to meet national standards.

Off-campus degree and certificate programs are a faculty responsibility, with full faculty participation and review. The university has total authority over hiring, institutional credit and credentials, from admission of students to course content and grading. As part of the self-study process [departments were surveyed](#) on a range of issues, with a 100% response rate. Every department responded that it had authority over content and assessment of practicums and internships. Certificate programs based on for-credit courses are subject to the same review process as degree programs, ensuring consistency and academic quali-

ty consistent with degree programs. They have faculty directors who assess student progress.

The university insures the integrity of on-line study through secure log-in and passwords for the [Blackboard Learning Management system](#); Blackboard IP blocking *Respondus* lock-down browsers for examinations; SafeAssign plagiarism identification software; and personalized and concept-based assignments. Some instructors require on-campus or [NCTA](#) consortium-proctored examinations.

Graduation requirements are posted in university and departmental web pages. The university has a 30-credit residency requirement for undergraduates, and Graduate students are limited to six transfer credits. [Transfer credit policy](#) is posted in the Admissions Office website.

The university's requirements for students continuing, terminating, and re-entering its academic programs are well-established, and found on university websites. Policies and procedures for preventing and responding to incidents of academic dishonesty are enforced through the Student [Code of Conduct](#) and, by delegation of the college deans, for undergraduates, to the associate vice provost for undergraduate studies, and for graduate students, to the associate dean of graduate studies.

Seven baccalaureate programs have been eliminated since 2005. (See [Eliminated Programs OIRP 2015](#)) All but two had no students for several years; the few students in the others were informed individually that courses needed to complete degree requirements would be available for six years.

Assessment of Student Learning

Students today pursue programs subject to more continuous assessment and improvement than at any time in the university's history. The most thoroughgoing review is the university system's [AQUAD](#) program, in which departments conduct thorough self-studies reviewed by faculty from outside and inside the university. Other principal assessments are, for undergraduate students, new student placement instruments, the rising-junior-level Writing Proficiency Examination, the term-end self-assessment and periodic portfolio assessment of first-year and intermediate seminars; and, for undergraduate and graduate students in professional programs, the assessments mandated by professional associations. Development of these assessments has been supported in the past five years through the creation of a Faculty Council Assessment Subcommittee and a provost-appointed University Assessment Council that concluded its work in spring, 2012, and by a grant from the Massachusetts Department of Higher Education [Vision Project](#).

AQUAD: In the AY 2006, the University of Massachusetts System Office mandated strong emphasis on learning outcomes assessment on three questions: (1) Does the department have articulated learning outcomes? (2) What means are identified to measure student attainment of those outcomes? (3) How does the department put to use assessment results for program improvement? The Assessment Council recommended two

three-year cycles between AQUADs with this annual structure: formulation of a problem in the improvement of a program, assessment of student work and course materials, formulation of a strategy of improvement, re-assessment, and the repetition of a cycle on a second problem.

Programs in existence eight years have undergone AQUAD reviews, and the results were reflected in their responses to the survey mentioned earlier. All departments reported having program learning goals. For example, these are the History Department's learning goals: (1) Understands change over time; (2) Knows the course content and can place it in historical context; (3) Is able to understand and think critically about source materials; (4) Uses primary and secondary sources effectively in historical analysis; (5) Cites sources accurately according to the conventions of the discipline (*The Chicago Manual of Style*); (6) Understands how scholars' time and place influence how they ask questions or interpret past events; and (7) Writes and presents in a well-organized and clear manner. ([See Supporting Document for presentation of the department's protocol in a national publication.](#))

Thirty departments reported that all their courses have explicit goals. Nine more report that many of their courses have explicit goals, and one, that its core courses have explicit goals. Learning goals of courses in critical reading and writing, offered by Academic Support Programs, are taken from the university [Writing Proficiency Requirement's "Elements of Proficiency."](#)

Appraisal

Academic Program (General)

Effects of AQUAD reviews

As [improvements resulting from AQUAD reviews or other self-study](#), seven departments have undertaken large-scale restructuring of their programs. Five have revised key courses. Four have intensified coursework in research methods or statistics and strengthened assessment. Three have revised gateway courses. Three have added courses and strengthened training in discipline-specific communication. Two have revised their capstones, moved required courses earlier in their program sequences, standardized their courses across instructors, and strengthened their internships or research apprenticeships. One department has increased a program's required credits, brought curriculum into closer alignment with professional standards, and moved professional certification earlier in its course sequences. Another has eliminated the pass-fail course option for majors. Another has created program tracks, created an honors option, and created goals for writing in upper-level courses. Another has added supplemental instruction. Another has added a poster session requirement to upper-level lab courses. Another has strengthened its diversity offering. Another has expanded its community service component. And another has increased ESL support. (See Supporting Documents: [Academic Quality Assessment and Development Annual Reports](#))

The effect of creating research-oriented programs in the Battelle categories will become clear as they undergo AQUAD reviews during the next five years. Two other matters are

covered below: advances in the historic urban mission, and general constraints on academic programs.

Advancing an Evolving Urban Mission

Reflecting concerns of colleagues university-wide, the survey inquired how fully the university was realizing its historic urban mission during a period of program development and globalization. The evolving urban mission has three aspects: engagement with the local and larger community, particularly on matters of social justice; the aspect of globalization that involves seeing “urban” issues in global terms; and research and teaching in relationship to diversity.

- *Engagement with the Community:* The university’s 2014 reapplication for [Carnegie Endowment Community Engagement](#) status documented substantial engagement: one out of five employees engaged with 1,975 partners through 938 programs and initiatives, in education, health, environment and sustainability, or community and economic development. This engagement has been intensified in the academic programs through the [Civic Engagement Scholars Initiative](#) (CESI), a three-year, \$180 thousand Vision Project grant supporting faculty in building service learning into new or existing courses as civic education. Forty faculty members have participated.

Three colleges have affirmed their engagement with the community in their mission statements. The new Honors College identifies the city of Boston in its global context as a central site for research. The College of Management commits itself to “supporting sustainable, socially responsible organizational leadership . . . see[ing] Boston in the world and the world in Boston . . . as it prepares its graduates to take part in an economy that is interconnected and technologically dynamic.” The College of Education and Human Development states that “the urban setting of the University of Massachusetts Boston informs – and is informed by – CEHD efforts to fulfill the academic and civic purposes of education in a diverse democracy.”

- *Global Perspective:* The global interpretation of the historical urban mission is evident in several new programs, for example, the Transnational, Cultural and Community Studies Doctoral Program, the Global Governance and Human Security Doctoral Program, the Global Inclusion and Human Diversity Master’s Program, and the graduate Certificate Programs in Global Post-Disaster Studies and Women’s Leadership in a Global Perspective. Agreements with the governments of Spain and Portugal have established two resource centers for prospective and current language teachers. A Confucius Institute has also been established. International exchange agreements have been developed by a new [Office of Global Programs](#), with nations such as China, Ethiopia, Italy, and Jamaica. Honors College students have studied AIDS in South Africa during three January interterms, and have so in India in 2014. UMass Boston faculty have involved students in research in Kenya, Honduras, India, New Zealand, Kyrgyzstan, Nepal, Mexico, South Africa, the Netherlands, and Haiti, among other countries. Agreements with the governments of Spain and Portugal have established separate resource centers for prospective and current language teachers. A Confucius Institute has also been established to support Chinese language teachers. A total of

80 international-exchange-scholar agreements have been developed by a new Office of Global Programs, with institutions in China, South Korea, Australia, the United Kingdom, Ireland, France, Germany, Spain, Poland, Italy, Croatia, Turkey, the United Arab Emirates, Egypt, Ethiopia, Kenya, Japan, Vietnam, Brazil, and Mexico, among other countries.

- *The Expanded Urban Mission's Synergy of Research, Teaching, Student Recruitment, Faculty Hiring, and Funding:* The university has obtained grants that support research training for diverse students, for example, the \$13.7 million [NIH U56/U54 Minority Institution/Cancer Center Partnership](#), a collaboration with the [Dana-Farber/Harvard Cancer Center](#), and a \$6.7 million [NIH P60 grant with the UMass Medical School](#), both of which address health disparities in socioeconomically disadvantaged and minority populations. A \$3.1 million NSF [Integrative Graduate Education and Research Traineeship](#) (IGERT) will support eight minority PhD students a year for five years in environmental science, environmental biology, global governance and human security, and organizations and social change.

There is synergy between program mission, faculty diversity, student diversity, and funding. Designed to focus on underserved populations, UMass Boston's Clinical Psychology Doctoral Program has attracted a faculty that is 36 percent persons of color and includes four individuals with sexual minority status. The program draws on university research institutes that address needs of African-American, Latino/a, and Asian American communities. In 2013, fifty-four percent of the program's students were US-born racial or ethnic minority students, foreign-born US citizens, or international students from Asia, Latin America, the Middle East, or Africa. The program accepts roughly eight students per year from an applicant pool of over 300. Fifteen percent of the 46 students who completed the program in the past five years received three-year full-funding [Minority Fellowships from the American Psychological Association](#). At least 36 percent of the 46 students currently enrolled have received at least one year of full funding from external faculty or student research grants or fellowships, including one current NSF fellowship. In the last five years, program faculty have been awarded grants totaling over \$6 million, providing financial support and research opportunities not only to graduate students but undergraduates.

Such synergy creates opportunities for graduate and, increasingly, undergraduate programs and their students. The Institute for Asian American Studies and the undergraduate Asian American Studies Program for example, attract faculty into departments across the university and stimulate their research and teaching. The university's large Asian American student population qualified it as a federal Asian American, Native American, and Pacific Islander-serving institution. That designation qualified it for a five-year \$2 million federal grant that created research possibilities and underwrote the development of seven Asian American Studies courses, from first-year seminars to an upper-division research-method course that creates a pathway for undergraduates to enter graduate programs.

Decisions on hiring bear on academic programs in an obvious sense: faculty and staff are the public presence of departments and programs. Diverse faculty, particularly faculty of color, carry that presence into professional forums and venues in which potential students, particularly graduate students, choose programs. Diverse students, in turn, may be eligible for particular sources of fellowships that will increase resources for graduate education at large. In its many forms, diversity is not a “niche” that the university has discovered: it is, and will continue to be, part of its core identity.

Instructional Resources

Many chairs and program directors express concerns about offering instructional programs with insufficient resources. The concerns vary but indicate areas of stress for study and action.

Some department chairs report an inability to offer enough courses or sections to meet student demand and sustain the richness of their programs. They report being unable to offer research methods courses, electives, or capstone sections. Other chairs speak of insufficient tenure-stream faculty (even in departments that have received new lines); an inability to find qualified non-tenure-stream faculty; and recourse to overload teaching, independent studies, or on-line sections to satisfy graduation requirements. One chair reports progress in opening last-minute upper-division sections to address long wait lists, but other chairs report difficulty at the last minute finding qualified faculty or graduate students with flexibility to teach those sections. The problem of offering a schedule lacking a sufficient range of courses, like the problem of addressing waiting lists at the last minute, reflects a tension between a rich, flexible curriculum and tight budgeting.

Some chairs report constraints on non-faculty resources, such as laboratory supplies, or need for instructional equipment or computers that run up-to-date software. One large unit reports lacking funds to bring guest scholars to graduate seminars. Many chairs report that classrooms are too small or improperly equipped. Instructional space will be discussed under Standard Eight.

Needs for Tutoring and Supplemental Instruction

To support the success of its students, the university augments classroom instruction with a number of programs, including individual tutoring, workshops, and online skill-building activities. These programs have been considerably enhanced during the past decade, as have other initiatives to increase retention and graduation rates. These efforts are clearly gaining ground, but recent assessments by the Registrar’s Office, the University Advising Center, and the Graduate Studies Office show that there is considerable unmet demand for individual tutoring in many disciplines, and for supplemental instruction in writing and library use. (See Supporting Document: [Needs for Tutoring and Supplemental Instruction](#)) Specific information about these issues can be found in Appendix Initiatives to increase retention and graduation rates are described in detail under Standard Six.

Undergraduate Degree Programs

This appraisal of undergraduate education focuses on the progression through the undergraduate program and its “delivery” in teaching.

Improving the Pathway to Undergraduate Degrees

In AY12, departments delineated paths to degree completion in the major. In AY14, UDirect software was implemented to map major completion pathways onto students’ degree audits. Each summer and January for three years, the registrar, the director of the University Advising Center, and the coordinator of first-year seminars have tracked enrollment patterns, recommending to department chairs and deans the addition of course sections to meet student demand.

Reviewing the New Student Placement Exercise

First-year seminar faculty evaluated two sets of randomly selected new-student placement essays to determine whether their judgments concurred with those of placement exam readers. A majority of judgments concurred, with placement readers less likely to place students with weaker critical thinking scores into seminars and more likely to place students with weaker reading ability.

Promoting Effective Teaching

The chief mechanism for assessing teaching is the Board of Trustees-mandated annual faculty review, which includes student course evaluations. The evaluation varies by colleges or departments but contains two university-wide questions (see Standard 5 for a discussion of teaching evaluations). Teaching evaluation, which may include [syllabi](#), assignments, other course materials, is central to merit and major personnel reviews.

Faculty are supported by several university programs in the improvement of teaching (see Standard 5 for a discussion of these programs).

General Education

In 2011, an *ad hoc* committee reviewing General Education made three recommendations: expanded creation of student learning communities through flexibility in the structure of first-year seminars; support for interdisciplinary study; and increased “portability” of General Education requirements across colleges. Three colleges (Liberal Arts, Science and Mathematics, and Management) now have undergraduate student learning communities. “Portability” was improved when in 2014 a university-wide review committee was created for the distribution requirement. The Distribution Subcommittee is considering an interdisciplinary course option.

Capabilities in the Majors

When asked whether General Education values were carried throughout their curricula, 22 departments indicated that General Education capabilities were practiced in one respect or another in their majors. Seven stated that the focus of their response to their AQUAD [learning outcomes assessment](#) is to strengthen instruction in writing.

Gateways into the Majors—the Writing Proficiency Requirement and the Quantitative Reasoning Requirement

These requirements in the General Education Program are meant to ensure students' readiness for their majors. The Quantitative Reasoning Subcommittee uses results of group-read final examinations for continuous course improvements. In 2012, the Writing Proficiency Subcommittee inquired whether the WPR was performing its major-gateway function. Departments provided student writing that reflected their expectations for rising juniors. Subcommittee and WPR readers found that the WPR's "elements of proficiency" corresponded with department's expectations, although the ways in which those elements were realized varied by discipline. The committee mandated two improvements. It required new reading sets that ask students to weigh evidence, rather than contrast opposing viewpoints on an issue, which would meet particular needs of some departments. It also resolved to review WPR readings, questions, and exams annually to assure that the WPR still meets departmental expectations.

When asked whether students meet the writing proficiency requirement by the junior year, the Office of Institutional Research and Policy Studies examined four cohorts. For each, there was no statistically significant difference in pass rates of students who entered as freshmen and students who entered as transfers. However, with the exception of one cohort, transfers took the exam later than freshman entrants. Transfer students are now being encouraged to satisfy the WPR as early as possible. In addition, the English department now offers dedicated sections of the second term of Freshman Composition to give transfer students the opportunity to do graded essays they can use for the WPR portfolio option.

When asked whether students completed the quantitative reasoning requirement early enough to prepare for the selection of a major, the Office of Institutional Research and Policy Studies examined three years' enrollments, finding that significant numbers of new students took the course each fall, but that in the spring, students enrolled were, on average, well into their sophomore year or beyond: roughly 25 percent of spring attempters had 100 or more credits, while less than 15 percent of fall attempters had that many. The university has taken two steps to improve this situation: changing the math placement test to [ALEKS](#) (Assessment and Learning in Knowledge Spaces), a robust mathematics placement instrument with web-based tutorials students can use to fill in gaps in knowledge and do better on a retest; and, in keeping with the DHE guidelines on transforming developmental math, changing the pre-requisite structure so that most students can now register directly for appropriate courses with no placement test needed. The expectation is that by eliminating the testing barrier, and the developmental math that used to be a result of testing, students will be more likely to register for the courses they need.

First-Year and Intermediate Seminars

General Education seminars are assessed through end-of-term student self-assessments and portfolio reviews roughly every four years. Portfolios are composed of [syllabi](#), assignments, other course materials, instructors' self-reflections, and course writing from a sample of students. Readers from the Seminars Assessment Subcommittee and the teaching faculty assess teaching of General Education capabilities and send their confidential

evaluations and recommendations to the instructors. Because most instructors have gone through two or more reviews, another assessment model is being developed, in which, following the suggestion of national assessment expert and consultant to the university Barbara Walvoord, the instructors identify a problem, provide student work products for evaluation, and the evaluators make recommendations to the faculty. The assessment would be repeated to determine if proposed improvements were successful.

In spring, 2014, a group of seminar instructors identified the problem of accelerating the demands of reading during the term, so that as students gain strength as critical readers, the demand placed upon them increases.

Distribution Courses

Because distribution courses are among departments' general offerings, they are assessed in departmental annual reviews and AQUADs, but only as departments' offerings—not in respect to General Education goals. The General Education Distribution Subcommittee convened distribution faculty in the world cultures area to develop an assessment model promoting institutional improvement. They found that definitions of “culture” varied by discipline. The Distribution Subcommittee concluded that the precondition for an assessment of world culture distribution courses was sharing those definition and comparing assignments and student work carried out under those definitions. The definition of the area itself became the central issue.

Diversity Requirement

Departments have incorporated diversity into their curricula to a considerable extent. Seventeen departments reported that diversity is now structured throughout their curricula. Seven reported offering many courses that deal with diversity; eleven, that they have recently created new diversity courses. Three departments and one college reported that diversity courses are required. Two departments have restructured themselves around diversity: the Women's Studies Department is now the Women's and Gender Studies Department; and the former Hispanic Studies Department is now the Latin American and Iberian Studies Department, and has developed new language courses for “heritage speakers,” students who learn to speak and comprehend a language at home but have never studied it.

In spring 2013, a university-wide faculty committee was established to review courses for the General Education diversity requirement, previously the prerogative of individual colleges. This change creates the possibility of an assessment for diversity courses outside departmental annual and AQUAD reviews, comparable to that developed for distribution courses.

Information Technology

“Technology” is an option within the mathematics distribution area. Few courses satisfy it. Information technology is a General Education capability, taught in each first-year seminar with the help of a librarian. Information technology is not mandated for intermediate seminars, which concentrate on the capabilities of reading, writing, and critical

thinking, but in fall 2013 all but one seminar incorporated it. When asked about information technology in undergraduate majors, three departments reported that their students use the Blackboard learning management system, but 21 others reported using Blackboard and at least one other IT modality. Two each reported specific requirements for required courses in statistical software or databases. One each reported a required Healey Library introduction to information technology, wikis, or online resources. It is likely that students, particularly native first-year students, will study information technology. The larger question is how “information technology” should be defined.

Interdisciplinary Study

When surveyed about the extent of interdisciplinary study, eight departments indicated that their majors were interdisciplinary in nature; four, that their programs required interdisciplinary study; and seven, that interdisciplinary study was a program option. One responded that interdisciplinary study was required. It is not clear whether the existing offerings would support an undergraduate requirement for interdisciplinary study.

The Major

The chief development in major programs during the period under review has been a university-wide effort to intensify research, and that will be the focus of this appraisal.

For several years, the Honors Program, now the Honors College, offered a program through which undergraduates could apply for up to \$500 to support research. In 2012, the provost created an Undergraduate Research Scholar Program that provided support for students and faculty mentors conducting year-long research programs. Opportunities for diverse students underrepresented in the STEM areas, such as UMass Boston’s partnership with the Dana-Farber/Harvard Cancer Center, have been created through federal funding.

A university-wide Committee on Undergraduate Research established under the strategic plan reported in 2013 that undergraduate research should be a “signature program” for UMass Boston, and that “all undergraduate students at UMass Boston should participate in some level of research activity and [gain] a fundamental understanding of research and its importance to society.” The report recognized participation in research as a high-impact practice that promotes student success, persistence, and graduation, and argued that the university mission of providing opportunity for students includes making undergraduates ready for graduate and professional research.

The report recommended establishing an Office of Undergraduate Research, creating a Research Scholars Academy, and embedding undergraduate research into the curriculum. Noting the disparity between STEM and liberal-arts research opportunities, the report recommended the formation of “research hubs,” bringing together undergraduates from varied disciplines around key issues. The report noted as well the model of “research-intensive” courses, in which students write learning contracts to make “regular” courses research intensive. The report described a “research scholar” designation, a graduation requirement of one research-intensive course, and a first-year research experience.

Undergraduate research is chiefly administered by the vice provost for research and the vice provost for undergraduate studies. One has access to centers and institutes, potential research sites; the other to funding opportunities for university-wide programs. Should the university establish a research academy and an Office of Undergraduate Research, the contributions of both offices will be crucial. Another initiative that may increase undergraduate research is the addition of “4+1” combined bachelor’s-master’s degree programs in conflict resolution, gerontology, international relations, and public affairs to the programs already being offered in chemistry, applied sociology, applied economics, and computer science.

Graduate Degree Programs

Graduate program assessments are derived from program benchmarks such as qualifying examinations, practicum evaluations, dissertations, and, after graduation, hiring. As the university reviews its AQUAD procedures, it should determine how they may better support graduate program assessment.

The numbers of graduate assistantships have kept pace with the increase in doctoral programs. In spring 2014, 755 of 3,939 graduate students, or slightly above 19 percent, received support, although only 394, or ten percent, received full stipends. Around 81 percent of all graduate students are tuition-and-fee-paying. Of the 19 percent who do receive support, only 14 percent, 116 students, are paid from external grants. Seventeen students are paid from research trust funds, and 21.3 percent are paid from sources such as endowments, gifts, educational sales and services, and external grants. Within these figures are highly prestigious fellowships: in 2013, three from the NSF, and one each from NASA and the American Heart Association. Nearly a dozen Fulbright scholars were enrolled in the McCormack Graduate School’s Dispute Resolution MA Program.

We can also judge the quality of our graduate programs by the character of nationally and internationally recognized fellowships our graduate students attract. In the past three years, for example we have had students who have been recipients of the National Science Foundation Graduate Research Fellowship, the Ford Foundation Pre-Doctoral Fellowship, the NASA Harriet Jenkins Graduate Fellowship, the American Heart Association Pre-Doctoral Fellowship, and the Dennis Weatherstone Pre-Doctoral Fellowship. We have also had increased numbers of Fulbright fellows in our graduate programs.

The dean of graduate studies has prepared an aspirational funding model for doctoral student support: 33 percent from teaching functions; 30 percent, external grants; 20 percent, external fellowships, and 17 percent, university-funded first-year graduate fellowships. As Standard Five discusses, directors of three new doctoral programs in March 2014 were informed after they had sent letters of stipend offers to candidates for their fall classes that their allocations were below their program need. Ultimately all students were covered by reallocations or other sources. Program directors report the need for five-year stipends to make their programs nationally competitive.

Integrity in the Awarding of Academic Credit

Procedures for awarding new course credit and evaluating transfer credit center on faculty reviews approved by the dean and the provost. The provost directs the colleges to incorporate federal credit-hour guidelines for the awarding of academic credit into these reviews. The university has [articulation agreements](#) with feeder institutions and functions under Board of Higher Education policies that mandate the acceptance of most credits transferred in from community colleges.

Sections of the Student Code of Conduct that deal with academic dishonesty are currently under review. Of most concern is that the current code process is too rigid, lacking provisions for informal but serious warnings to students.

Assessment of Student Learning

Departments have conducted AQUAD [learning outcomes assessments](#); the writing proficiency and general education seminar assessment has been sustained; and assessment has been extended to other aspects of General Education. By analyzing writing that reflects departments' expectations for rising juniors, and by adjusting the writing proficiency examination based on those results, the Writing Proficiency Committee has begun the process of linking departmental and general education assessment practices.

In 2013, the university joined the [Voluntary System of Accountability](#), which requires institutions to publish results of learning outcomes assessments. Midway through AY 2011, a group of first-year-seminar students took the [Collegiate Assessment of Academic Proficiency](#). In this pilot group, first-year students scored at rates similar to students at comparable institutions. An attempt to administer CAAP to seniors did not succeed because of difficulties, reported by other institutions, in recruiting seniors.

For four years, the university has participated in the [Vision Project of the Massachusetts Department of Higher Education](#), which adopted the [LEAP VALUE Rubrics](#) to assess graduating seniors. The university has discussed the compatibility of the relevant LEAP VALUE rubrics with freshman composition and sophomore literature faculty at feeder schools to strengthen transfer pathways, but has not adopted the VALUE rubrics for its graduates because their generic focus does not capture capabilities developed in individual majors at a research university. UMass Lowell represents the university system in the Vision Project's statewide assessment, but in 2012 UMass Boston supplied four successful writing proficiency essays to the pilot assessment. Its readers concurred with WPR evaluations on the two essays they were given. This was not meant as a statistically significant exercise, but rather an effort to cooperate with the Vision Project and gain experience with the LEAP Value Rubrics.

The [Lumina Degree Qualification Profile](#), with its focus on expectations for graduates, may capture more of what departments value. A group convened by the vice provost for academic support and undergraduate studies is considering the adoption of e-portfolios for undergraduates, which would automate the writing proficiency requirement and the

collection of materials for Degree Qualification Profile assessments and students' own portfolio-building for career and graduate applications.

Projection

Academic Program (General)

- In AY 2016, the vice provost for academic support services and undergraduate studies and the dean of graduate studies, under the supervision of the provost, will lead an assessment of tutoring and supplemental instruction needs, undergraduate and graduate, in areas that will include critical reading and writing; statistics and quantitative reasoning; library information technology; and academic honesty. The needs assessment will consider online and off-campus courses, and international students, and will include a determination of whether an expanded and comprehensive learning center is warranted under the strategic plan's student success provisions.
- The provost and the deans in AY 16 will assess chronic needs for supplies, equipment, seminar support, and other elements needed to sustain the academic program.

Undergraduate Degree Programs

- The registrar will work with deans and chairs to determine whether on-track course availability monitoring may be extended to undergraduate majors.
- The Office of Faculty Development will assess its new Graduate Teaching Program.

General Education

- The Faculty General Education Committee and Subcommittees, expanded to represent the range of university constituencies, will review the General Education Program in AY 2016, focusing on the incorporation of research, information technology, interdisciplinarity, civic learning, the global perspective, and the updating of capabilities, distribution, and other definitions. The review will consider improving WPR and QR rates and needs of international and other second-language students.
- The vice provost for academic support services and undergraduate studies will report in AY 2017 on the adoption of ALEKS as a mathematics placement instrument, and the effects of discontinued instruction in pre-collegiate mathematics.

The Major

- Deans, faculty, and the vice provosts for research and for academic support services and undergraduate studies will pursue the Committee on Undergraduate Research's recommendations.

Graduate Degree Programs

- The dean of graduate studies will refine the plan for graduate research assistance, with timely announcement of stipend allocations and multi-year doctoral awards.

Integrity in the Awarding of Academic Credit

- The provost and vice chancellor for student affairs will engage faculty in revising academic sections of the Student Code of Conduct.

Assessment of Student Learning

- The provost will establish a committee to review AQUAD guidelines in AY 2016, with attention to the needs of graduate programs and General Education.
- The vice provost for academic support services and undergraduate studies, with the deans, will pursue the adoption of an e-portfolio system for undergraduates during AY 2016.

- The provost will create a permanent structure to support learning outcomes assessment in AY2016.

Institutional Effectiveness

During the past five years, UMass Boston has expanded its academic programs in ways that promote the learning of its students and advance its research and historic urban mission in a globalized environment. It has also taken major steps to intensify evaluation of these programs; these steps have led to a number of improvements and promise to generate more. The projected revision of AQUAD will increase its effectiveness as the university's chief instrument for insuring the quality of its academic programs.

[Index to Supporting Documents for Standard 4](#)

[Web-Based List of Supporting Documents](#)

**Data First Form: Standard 4: The Academic Program
(Summary - Enrollment and Degrees)**

Fall Enrollment* by location and modality, as of Census Date

Degree Level/ Location & Modality	Associate's	Bachelor's	Master's	Clinical doctorates (e.g., Pharm.D., DPT, DNP)	Professional doctorates (e.g., Ed.D., Psy.D., D.B.A.)	M.D., J.D., DDS	Ph.D.	Total Degree- Seeking FTE
Main Campus FTE		9,181	1,399		31		404	11,015
Other Campus FTE								0
Branches FTE								0
Other Locations FTE								0
Overseas Locations FTE								0
On-Line FTE		622	387	20	0		3	1,032
Correspondence FTE								0
Low-Residency Programs FTE								0
Total FTE	0	9,803	1,786	20	31	0	407	12,047
Unduplicated Headcount Total		12,048	2,429	43	72		493	15,085
Degrees Awarded, Most Recent Year		2,366	923	10	17		44	3,360

Student Type/ Location & Modality	Non- Matriculate d Students	Visiting Students	Title IV-Eligible Certificates: Students Seeking Certificates
Main Campus FTE	391		134
Other Campus FTE			
Branches FTE			
Other Locations FTE			
Overseas Locations FTE			
On-Line FTE	123		138
Correspondence FTE			
Low-Residency Programs FTE			
Total FTE	514		272
Unduplicated Headcount Total	1,203		468
Certificates Awarded, Most Recent Year	n.a.	n.a.	325

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main
- 3) Please refer to form 3.2, "Locations and Modalities," for definitions of locations and instructional modalities.

* For programs not taught in the fall, report an analogous term's enrollment as of its Census Date.

**Data First Form: Standard 4: The Academic Program
(Undergraduate Enrollment)**

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
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For Fall Term, as of Census Date

Certificates and Programs of Study

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
<i>College of Liberal Arts (CLA)</i>						
Alcohol & Substance Abuse	0	0	0	0	0	-
Asian American Studies (Program)	12	9	7	13	10	-
Communication Studies (Cert. & Prog.)	0	0	0	0	0	-
Creative Writing (Program)	1	0	0	0	0	-
International Relations	1	1	0	1	0	-
Latin American Studies (Program)	6	8	4	3	1	-
Linguistics (Program)	2	1	1	1	0	-
New England Historical Archaeology	1	0	0	0	0	-
Philosophy & Law (Program)	20	15	9	2	12	-
Professional Writing (Program)	3	1	0	0	0	-
Public Policy (Program)	5	1	0	0	0	-
Science, Technology and Values	0	1	0	0	0	-
Technical Writing	1	1	0	0	0	-
Translation (Spanish)	1	6	14	28	21	-
Women's Studies (Program)	0	0	1	0	0	-
Total CLA	53	44	36	48	44	-
<i>College of Science & Mathematics (CSM)</i>						
Biochemistry	2	2	1	1	2	-
Biobehavioral Studies (Program)	3	2	3	2	5	-
Clean Energy	0	4	2	3	2	-
Computer Science (Cert. & Program)	5	5	8	8	11	-
Environmental Biology					1	-
Environmental Studies (Program)	6	6	3	1	1	-
Geographic Info. Technology (Cert. & Prog.)	14	14	5	5	4	-
Pre-Medical Studies (Cert & Program)	107	103	50	20	14	-
Total CSM	137	136	72	40	40	-
<i>College of Public & Community Services (CPCS)</i>						
Gerontology	20	17	18	21	26	-
Gerontological Social Policy	2	2	5	3	5	-
Community Media & Tech	2	2	0	0	0	-
Labor Studies	18	20	15	14	10	-
Law Work	1	1	1	14	1	-
Youth Work	1	1	0	0	0	-
Total CPCS	44	43	39	38	42	-
<i>College of Management (CM)</i>						
Information Technology	4	1	3	3	1	-

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
For Fall Term, as of Census Date						
Total CM	4	1	3	3	1	-
College of Education & Human Development (CEHD)						
Early Childhood Education	2	6	4	1	0	-
Total CEHD	2	6	4	1	0	-
College of Advancing & Professional Studies (CAPS)						
Transitions	72	46	43	0	0	-
Total CAPS	72	46	43	0	0	-
Total Certificates & Program of Studies	312	276	197	130	127	-
No Associate degrees offered at UMass Boston						
N/A						

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
For Fall Term, as of Census Date						
College of Liberal Arts (CLA)						
Africana Studies	32	30	37	23	19	-
American Studies	43	47	48	32	21	-
Anthropology	129	128	120	98	89	-
Anthropology/History	11	11	7	3	1	-
Art	143	145	129	112	120	-
Asian Studies	26	30	32	40	35	-
Classical Languages	12	13	11	7	4	-
Classical Studies	17	14	16	11	9	-
Communication Studies (Fall 2013)	-	-	-	165	286	-
Criminal Justice	524	556	569	578	556	-
Economics	256	296	389	429	422	-
English	493	422	405	354	361	-
Ethic., Soc. & Political Philosophy	17	17	17	17	20	-
French	20	31	41	33	27	-
German	0	0	0	0	0	-
History	212	197	195	186	161	-
History and Archaeology	35	42	36	32	21	-
Italian	8	7	7	8	10	-
Music	70	84	87	85	85	-
Philosophy	65	70	60	52	48	-
Philosophy & Public Policy	17	16	11	12	15	-
Political Science	288	280	302	292	283	-
Psychology	791	842	873	923	951	-
Psychology & Sociology	196	195	205	219	213	-
Russian	0	0	0	0	0	-
Sociology	252	228	223	248	233	-
Spanish/Latin American & Iberian Studies	76	63	62	59	60	-
Theatre Arts	65	61	65	65	65	-

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
For Fall Term, as of Census Date						
Women's Studies	23	23	27	28	33	-
Individual Major	2	1	3	1	3	-
UNDECLARED	1,296	1,236	1,091	933	833	-
Total CLA	5,119	5,085	5,068	5,045	4,984	-
College of Science & Mathematics (CSM)						
Biochemistry	209	220	215	211	241	-
Biology	707	769	874	969	1,025	-
Biology- Medical Technology	2	0	0	0	0	-
Chemistry	76	78	116	120	115	-
Computer Engineering (Fall 2013)				5	17	-
Computer Science	183	218	264	314	371	-
Environmental Biology					1	-
Environmental Science	173	139	153	179	172	-
Electrical Engineering (Fall 12)	-	-	5	15	41	-
Engineering	87	77	76	49	33	-
Engineering Physics	18	20	24	34	43	-
Information Technology	96	119	153	186	238	-
Mathematics	77	93	96	104	120	-
Physics	33	38	46	52	49	-
Individual Major	1	1	0	0	0	-
UNDECLARED	370	356	368	444	447	-
Total CSM	2,032	2,128	2,390	2,682	2,913	-
College of Management (CM)						
Management (Concentrations Listed Below)	1,762	1,847	1,920	1,905	2,059	-
<i>Accounting</i>	215	224	210	212	297	-
<i>Economic Development</i>					1	-
<i>Finance</i>	150	163	198	184	249	-
<i>Human Resources Management</i>	2	0	0	0	0	-
<i>Info. Mgt. for Finance</i>	4	4	1	0	0	-
<i>Info. Mgt. for Marketing</i>	4	0	0	0	0	-
<i>International Management</i>	55	59	59	70	101	-
<i>Leadership and Organizational Change</i>	117	118	110	113	154	-
<i>Mgt. Information Systems (MIS)</i>	48	47	47	30	37	-
<i>Marketing</i>	78	89	95	113	167	-
<i>Mgt. Science for Finance</i>	4	1	0	0	0	-
<i>Mgt. Science for Marketing</i>	5	1	0	0	0	-
<i>Operations Management Science</i>	14	22	4	0	0	-
<i>Supply Chain and Service Management</i>	0	0	18	28	31	-
<i>No Concentration</i>	1,066	1,119	1,178	1,155	1,022	-
Information Technology	36	60	99	139	142	-
Total CM	1,798	1,907	2,019	2,044	2,201	-

For Fall Term, as of Census Date	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
<i>College of Nursing & Health Sciences (CNHS)</i>						
Accelerated Nursing	31	30	31	28	29	-
Exercise & Health Sciences	544	584	648	686	682	-
Nursing	708	710	678	630	607	-
Nursing for RN's	489	563	616	558	530	-
Total CNHS	1,772	1,887	1,973	1,902	1,848	-
<i>College of Public & Community Services (CPCS)</i>						
Community Development					7	-
Community Media & Technology	1	2	0	0	0	-
Community Planning	4	1	0	1	0	-
Community Studies	74	33	15	19	12	-
Criminal Justice	3	3	0	0	0	-
Gerontology	10	15	13	12	5	-
Human Services	32	77	109	148	160	-
Labor Studies	7	13	11	4	3	-
Legal Education	12	4	1	1	0	-
Management of Human Services	1	0	0	0	0	-
UNDECLARED	2	2	0	0	3	-
Total CPCS	146	150	149	185	190	-
<i>College of Education & Human Development (CEHD)</i>						
Early Ed and Care Incl Setting	39	67	101	183	240	-
Elementary Education	-	1	0	0	0	-
Total CEHD	39	68	101	183	240	-
<i>College of Advancing and Professional Studies (CAPS)</i>						
Global Affairs					5	-
Total CAPS					5	-
Total Majors Within Colleges (Duplicated)	10,906	11,225	11,700	12,041	12,381	-
Total Undergraduates (Unduplicated)	11,568	11,866	12,124	12,366	12,700	13,000

**Data First Form: Standard 4: The Academic Program
(Student Headcount by Graduate Program)**

For Fall Term, as of Census Date

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
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NOTE: A program's data is shown in its current college even if it was moved from another college within the past five years. These programs indicate the move date and original college in parentheses.

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year (Fall 2014)	Goal for next Year (Fall 2015)
College of Liberal Arts (CLA)						
American Studies	25	24	24	19	16	
Applied Economics	0	0	12	16	19	
Applied Linguistics	218	210	174	171	168	
Applied Sociology	35	29	26	18	18	
Creative Writing (MFA)	31	31	31	30	30	
English	102	101	109	83	74	
Historical Archaeology	42	47	39	41	42	
History	75	78	78	93	81	
<i>Archives Tracks</i>			11	17	11	
<i>History Track</i>	50	50	47	48	41	
<i>History Teaching Track</i>	13	9	8	7	6	
<i>Public History Track</i>	7	13	11	20	23	
<i>No Track</i>				1	0	
Latin and Classical Humanities	2	5	10	13	13	
<i>Applied Linguistics Track</i>	1	2	1	1	2	
<i>Greek & Latin Track</i>	0	0	1	2	4	
<i>Initial Licensure Track</i>			8	10	7	
<i>Teaching Licensure Track</i>	0	2	0	0	0	
TOTAL MASTERS	530	525	503	484	461	484
Archives (Cert.)			1	2	1	
Forensic Services (Cert.)	7	4	5	5	3	
Teaching Spanish (Cert.)	3	1	1	0	1	
Survey Research				2	2	
TOTAL CERTIFICATES	10	5	7	9	7	9
Clinical Psychology	61	57	53	55	57	
Developmental & Brain Sciences		0	5	10	14	
Sociology				11	18	
TOTAL DOCTORALS	61	57	58	76	89	98
TOTAL CLA	601	587	568	571	557	591
College of Science & Mathematics (CSM)						
Applied Physics	22	22	20	24	22	
Biology	20	41	18	15	15	
Biotec & Biomed Sciences	7	2	4	6	4	
<i>Molecular, Cell, and Organic Biology</i>				1	0	
<i>No Track</i>				5	4	
Chemistry	16	20	14	14	14	
Computer Science	17	26	31	55	93	
Environmental Science	19	22	12	12	15	
<i>Professional Science Track</i>	1	2	6	5	3	
<i>No Track</i>				7	12	
Marine Science and Tech.	3	4	3	4	3	
<i>Coastal & Ocean Admn. Science & Technology</i>			1	1	0	
<i>No Track</i>				3	3	
TOTAL MASTERS	104	137	102	130	166	174
Biotechnology (Cert.)	8	3	1	1	0	
Database Technology (Cert.)	1	0	1	1	1	
Geographic Information Systems (Cert.)	1	1	3	1	1	
TOTAL CERTIFICATES	10	4	5	3	2	2
Biology	38	21	39	45	49	
<i>Environmental Bio Track</i>	18	19	17	20	24	
<i>Molec, Cell & Org Bio Track</i>	21	23	22	24	25	
<i>No Track</i>				1	0	
Biomed Eng. & Biotech	2	8	2	2	5	
Chemistry	18	14	23	25	27	

<i>Biological Chemistry</i>			2	4	3	
<i>Green Chemistry Track</i>	18	20	17	13	12	
<i>Inorganic Chemistry</i>				2	2	
<i>Organic Chemistry</i>			1	2	6	
<i>Physical/ Analytical Chemistry</i>			3	2	4	
<i>No Track</i>				1	0	
Computer Science	25	27	28	36	36	
Environmental Science	23	16	25	27	23	
<i>Envir. Earth & Ocean Sci. Track</i>	21	21	22	25	21	
<i>No Track</i>				2	2	
Marine Science and Tech.	3	2	5	5	6	
TOTAL DOCTORALS	109	88	122	140	146	160
TOTAL CSM	223	229	229	273	314	336
College of Management (CM)						
Accounting	127	126	108	94	92	
Business Administration - (MBA)	375	328	281	243	233	
Finance (M.S.)	30	58	62	63	44	
Information Technology (M.S.)	23	24	25	37	44	
International Management (M.S.)	11	13	13	12	11	
TOTAL MASTERS	566	549	489	449	424	465
Business Analytics					12	
Clean Energy & Sustainability				3	1	
Contemporary Marketing					0	
Healthcare Informatics					6	
TOTAL CERTIFICATES				3	19	20
Business Administration		0	7	13	22	
<i>Finance</i>				0	5	
<i>Organization & Social Change</i>			7	13	17	
Total CM DOCTORALS		0	7	13	22	29
TOTAL CM	566	549	496	465	465	514
College of Nursing & Health Sciences (CNHS)						
Nursing (M.S.)	132	137	142	151	176	
<i>Acute/ Clinical Care CNS</i>	7	4	0	0	0	
<i>Adult Health Clinical Nurse</i>	24	23	32	30	33	
<i>Adult Gerontology Nurse Practitioner Track</i>	40	54	51	55	66	
<i>Famil Nurse Practitioner Track</i>	40	54	58	66	76	
<i>Nurse Practitioner Track</i>	19	2	1	0	0	
<i>No Track</i>					1	
Exercise and Health Sciences				4	13	
TOTAL MASTERS	132	137	142	155	189	198
Clinical Nurse Specialist (Cert)			1	1	2	
Family Nurse Practitioner (Cert.)	74	79	91	100	99	
Gerontology(Adult Nurse Pract Cert.)	18	25	30	33	35	
TOTAL CERTIFICATES	92	104	122	134	136	140
Exercise & Health Sciences (Ph.D.)					4	
Nursing Practice (D.N.P.)	22	30	35	40	43	
<i>Adult Gerontology Nurse Practitioner Track</i>	1	0	0	0	0	
<i>Post Master's Track</i>	2	28	32	34	34	
<i>No Track</i>				6	9	
Nursing (Ph.D.)	30	34	33	38	40	
<i>Bachelor's to PhD Health Policy track</i>	7	8	8	8	7	
<i>Bachelor's to PhD Population Health track</i>				5	5	
<i>Master's to PhD</i>					1	
<i>Master's to PhD Health Policy track</i>	5	5	5	12	10	
<i>MS-to-PHD in Population Health</i>				13	16	
<i>Population Health and Health Policy</i>	2	10	15	0	0	
<i>No Track</i>					1	
TOTAL DOCTORALS	52	64	68	78	87	95
TOTAL CNHS	276	305	332	367	412	433
College of Education & Human Development (CEHD)						
Counseling	0	0	0	0	0	
Counseling (CAGS)	8	9	5	2	2	
<i>Marriage and Family Therapy</i>			0	0	0	
<i>Mental Health</i>	1	0	1	0	0	

<i>School Guidance Counseling</i>			0	2	2	
Education (MEEd)	432	423	400	409	380	
<i>Boston Teacher Residency-Elementary</i>	21	27	25	20	17	
<i>Boston Teacher Residency-Middle/Secondary</i>	56	53	43	40	25	
<i>Early Childhood Ed Initial</i>	46	36	32	34	37	
<i>Early Childhood Ed, Non-Licensure</i>	2	5	4	4	5	
<i>History</i>				1	0	
<i>Initial Licensure Elementary Ed</i>	67	53	58	60	61	
<i>Initial Licensure Middle/Secondary</i>	132	122	107	112	105	
<i>Learning, Teaching and Educational Transformation (Non-Licensure)</i>	37	45	44	43	46	
<i>Pro Licensure Elementary Ed</i>	8	8	6	3	5	
<i>Pro Licensure Middle/Secondary</i>	28	30	29	34	22	
<i>Teach Next Year - Elementary</i>	6	15	29	23	18	
<i>Teach Next Year - Middle School</i>	26	29	25	32	38	
<i>No Track</i>				3	1	
Educational Administration	1	10	17	21	32	
Educational Administration (CAGS)	16	12	10	24	32	
Family Therapy	38	52	50	58	45	
Mental Health Counseling (M.S.)	84	86	86	87	93	
School Counseling	89	85	75	70	65	
School Psychology	18	24	30	25	17	
School Psychology (EDS)	50	30	17	27	28	
Special Education	176	98	89	84	70	
<i>Initial Licensure Special Education</i>	16	25	20	7	5	
<i>Non -Licensure</i>				9	6	
<i>Orientation & Mobility Rehab</i>	22	0	15	-	-	
<i>Pro Licensure</i>			0	0	0	
<i>Pro Licensure Special Education</i>	3	5	4	5	4	
<i>Successive Licensure Pre-K - 8</i>	33	38	37	15	34	
<i>Successive Licensure Middle/Secondary</i>	20	17	14	40	15	
<i>Transition Leadership</i>				4	5	
<i>Visual Impair.</i>		1	1	1		
<i>No Track</i>				3	1	
TOTAL MASTERS & CAGS	912	829	779	807	764	792
Early Education Research, Policy & Practice (Cert)				15	15	
Initial Licensure: Early Childhood (Cert.)		-	1	1	1	
Initial Licensure Middle/Secondary (Cert.)	9	13	11	14	8	
Instructional Tech. For Teachers (Cert.)	3	0	0	0	0	
Initial Licensure Special Ed, PreK-8 (Cert.)	9	25	13	6	8	
Initial Licensure Special Ed, 5-12 (Cert.)	1	0	3	4	4	
Pro Licensure Elem. Ed. (Cert.)	0	0	0	0	0	
Pro Licensure Middle/Secondary Ed. (Cert.)	2	0	1	1	0	
Pro Licensure Special Education (Cert.)	1	5	0	0	0	
Technology, Learning & Leadership (Cert.)			1	0	1	
Teach Math to English Language Learner (Cert.)				29	13	
Teach Social Studies to English Language Learner (Cert.)					2	
Teach Science to English Language Learner (Cert.)					17	
Transition Leadership (Cert.)				23	27	
TOTAL CERTIFICATES	25	43	30	93	96	99
Education (Ed.D.)	115	111	112	119	55	
<i>Hgh. Ed. Admn. Track</i>	62	62	59	60	0	
<i>Ldshp. in Urb. Sch. Track</i>	53	49	52	58	55	
<i>Learn, Teach, Ed, Tran (Non-Licen)</i>			1	0	0	
<i>No Track</i>				1	0	
Counseling and School Psychology	0	0	10	15	24	
<i>Counseling Psychology</i>			6	9	14	
<i>School Psychology</i>			4	6	10	
Higher Education (Ed.D)					17	
Higher Education (Ph.D)					34	
TOTAL DOCTORAL	115	111	122	134	130	135
TOTAL CEHD	1052	983	931	1034	990	1026
College of Global Inclusion & Social Development (GISD)						
Global Inclusion & Social Development (M.A.)					4	
Rehabilitation Counseling (M.S.) (<i>Moved from CEHD in 2013</i>)	19	25	23	23	31	
Vision Studies (<i>Moved from CEHD in 2013</i>)		94	83	92	85	

<i>Orientation and Mobility</i>				20	20	
<i>Vision Rehabilitation Therapy</i>	6	3	7	6	8	
<i>Visual Impairment</i>	65	75	60	62	55	
<i>No Track</i>				4	2	
TOTAL MASTERS				115	120	125
Human Rights					0	
Orientation and Mobility (Cert) <i>(Moved from CEHD in 2013)</i>	10	14	8	7	10	
<i>Orientation and Mobility</i>				1	0	
<i>No Track</i>				9	10	
Vision Rehabilitation Therapy <i>(Moved from CEHD in 2013)</i>	3	4	4	5	8	
TOTAL CERTIFICATES				12	18	20
Global Inclusion & Social Development (PhD)					15	
TOTAL DOCTORAL					15	30
TOTAL GISD				127	153	175
College of Public & Community Services (CPCS)						
Human Services	45	35	31	23	30	
TOTAL CPCS	40	35	31	25	30	30
McCormack Graduate School of Policy & Global Services (MGS)						
Dispute Resolution (M.A.)	37	38	35	31	32	
Gerontology (M.S.)	73	99	86	95	109	
<i>Management in Aging Service Track</i>	72	97	85	92	108	
<i>No Track</i>					1	
Public Affairs	83	71	69	72	68	
<i>International Relations Track (Masters)</i>	38	30	28	22	18	
<i>No Track</i>					50	
Public Policy (M.S.)	0	0	0	0	2	
TOTAL MASTERS	193	208	190	198	211	221
Gerontology (Cert.)	11	9	7	7	4	
Gender, Leadership, and Public Policy (Cert.)	21	18	16	20	23	
Dispute Resolution (Cert.)	25	23	28	21	22	
TOTAL CERTIFICATES	57	50	51	48	49	
Public Policy	50	51	53	53	47	
Gerontology (Ph.D.)	39	44	48	48	49	
Global Governance & Human Security	0	0	13	19	29	
TOTAL DOCTORALS	89	95	114	120	125	130
TOTAL MGS	339	353	355	366	385	351
College of Advancing & Professional Studies (CAPS)						
Critical & Creative Thinking -MA	26	28	25	21	27	
<i>Science in a Changing World</i>	-	-	-	1	2	
<i>No Track</i>				20	25	
Instructional Design - MED <i>(Moved from CEHD in 2011)</i>	122	111	111	118	101	
TOTAL MASTER	148	139	136	139	128	139
Applied Behavior Analysis for Special Populations (Cert)	44	28	30	30	12	
<i>Learn, Teach, Ed, Tran (Non-Licen)</i>					0	
<i>No Track</i>					12	
Critical & Creative Thinking (Cert.)	4	5	7	2	3	
<i>Science in a Changing World</i>					1	
<i>No Track</i>					2	
Global Post-Disaster Studies (Cert)	-	1	5	2	2	
International Development					1	
Instructional Tech. Design (Cert.) <i>(Moved from CEHD in 2011)</i>	10	14	23	25	23	
TOTAL CERTIFICATES	58	48	65	60	41	60
TOTAL CAPS	206	187	201	199	169	199
TOTAL GRADUATE PROGRAMS (DUPLICATED)	3340	3361	3255	3446	3475	3655
TOTAL GRADUATE STUDENTS (UNDUPLICATED)	3886	3875	3750	3911	4056	4259

**Standard 4: The Academic Program
(Credit Hours Generated By Department or Comparable Academic Unit)**

	3 Years Prior (FY 2010)	2 Years Prior (FY2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
	Smr09-Spr10	Smr10-Spr11	Smr11-Spr12	Smr12-Spr13	Smr13-Spr14
Graduate					
GRAD (Annualized Credit)	54377	54863	55218	55575	57066
Liberal Arts	8493	8994	8719	9298	8557
Africana Studies	18		3	3	9
American Studies	414	378	360	297	312
Anthropology	465	357	345	418	429
Applied Linguistics	2632	2740	2698	2211	2178
Art	13	6	3	19	10
Asian Studies	12	24	6	6	6
Classics and Religious Studies	90	63	142	224	216
Communications			3	18	
Economics	21	3	9	189	267
English	1816	2076	1923	2557	1772
History	987	1285	1320	1119	1236
Latin American and Iberian Studies	199	144	130	132	109
Modern Languages	51	39	23	44	62
Performing Arts	22	15	27	30	20
Philosophy	45	45	6	45	3
Political Science	75	27	18	24	9
Psychology	1127	1108	1166	1362	1374
Sociology	485	657	510	564	527
Women's Studies	21	27	27	36	18
Science and Math	3674	3421	3174	3547	4313
Biology	1030	1024	832	895	864
Chemistry	569	357	453	493	516
Computer Science	781	723	767	956	1694
School for the Environment Engineering	828	826	703	827	731
Mathematics	63	50	60	101	95
Physics	403	438	359	275	413
Management	9721	9604	9439	8274	8186
Accounting and Finance	4056	3846	4104	3444	3353
Management and Marketing	4873	4999	4339	3963	3816
MSIS	792	759	996	867	1017
Nursing and Health Science	4846	5696	6111	6626	7228
Exercise Science			6	6	96
Nursing	4846	5696	6105	6620	7132
Public and Community Service	609	600	525	660	1660
Public and Community Service	609	600	525	660	1660
CAPS	2576	2562	2459	3321	3434
CAPS	2576	2562	2459	3321	3434
Education and Human Dev	20282	19189	20189	19366	19621
Counseling School Psychology	9703	9154	9727	9530	9637
Curriculum and Instruction	9322	8780	8805	8249	8154
Higher Education	1257	1255	1657	1587	1830
Global and Policy Studies	4176	4797	4602	4459	3149
Global Governance			927	933	981
Conflict Resolution	777	960			
Public Policy	2047	2186	1854	1940	2153
Gerontology	1352	1651	1821	1586	1675
GISD				24	97
GISD				24	97
Undergraduate					
UGRD	277712	288053	301410	309861	315917
Liberal Arts	152165	153858	162729	166138	163083
Africana Studies	3656	3316	3675	3402	2818
American Studies	4201	4354	5189	4913	5164
Anthropology	9861	10047	10482	10184	11416
Applied Linguistics	192	184	135	135	159
Art	6026	6188	6107	5890	5803
Asian Studies	1219	1363	1398	1491	1426

Classics and Religious Studies	4542	4065	4047	3866	3892
Communications			2804	3847	2853
Economics	9748	9969	10473	11204	11402
English	23856	24426	25409	28283	24672
History	8758	8150	7536	7539	7428
Latin American and Iberian Studies	7135	6872	6722	6252	6605
Modern Languages	7040	7502	8332	8148	8245
Performing Arts	7744	8125	9079	9126	10437
Philosophy	10744	11943	11936	11633	11458
Political Science	9098	8762	8369	8250	6818
Psychology	17638	17751	18176	18398	18337
Sociology	17862	17895	19678	19974	19749
Women's Studies	2845	2946	3182	3603	4401
Science and Math	53971	57346	60416	61770	64336
Biology	16975	18220	18571	19084	19636
Chemistry	8972	9746	9769	9972	9817
Computer Science	2671	3379	2924	3358	4131
School for the Environment	6666	6841	6563	5966	5691
Engineering	656	606	611	570	701
Mathematics	13695	14128	16368	17216	18716
Physics	4742	5224	5610	5604	5644
Management	26903	28600	29889	30722	31843
Accounting and Finance	9750	9738	10098	10428	9924
Information Technology	805	797			1806
Management and Marketing	8944	10379	10311	10057	10030
MSIS	7398	6888	9480	10237	10083
Nursing and Health Science	28541	32159	34633	35723	33873
Exercise Science	7708	8924	9638	11260	11901
Nursing	20833	23235	24995	24463	21972
Public and Community Service	8280	8554	5793	5643	8956
Gerontology	264	387	453	531	495
Public and Community Service	8016	8167	5340	5112	8461
CAPS	2478	2325	2256	2752	4133
CAPS	2478	2325	2256	2752	4133
Education and Human Dev	900	1165	1190	1887	2895
Counseling School Psychology	24	30	24	12	33
Curriculum and Instruction	876	1135	1166	1875	2862
Global and Policy Studies	9	6	3	15	15
Global Governance				9	12
Public Policy	9	6	3	6	3
Provost *	1256	1277	1104	1311	1566
Provost	1256	1277	1104	1311	1566
Unknown *	3209	2763	3397	3900	5217
Unknown	3209	2763	3397	3900	5217
Grand Total	332089	342916	356628	365436	372982

Grand Total

* Unknown refers to credits that can't be classified by college or department

* Provost includes courses in Freshman Seminar, Indisciplinary Studies and Honors

Standard Five: Faculty

The institution develops a faculty that is suited to the fulfillment of the institution's mission. Faculty qualifications, numbers, and performance are sufficient to accomplish the institution's mission and purposes. Faculty competently offer the institution's academic programs and fulfill those tasks appropriately assigned them.

Description

Faculty Growth

The university has successfully expanded the faculty, recruiting a new, diverse cadre who are dedicated to UMass Boston's mission and demonstrate excellence in scholarship, research, teaching, and service to the institution and beyond it. The faculty largely supports the university's plans for increased attention to research and scholarship and to service contributions that address local, regional, and global community issues. It endorses the mission and goals of the strategic plan as well as current aspirations to improve the physical infrastructure, build the faculty, increase research capacity, increase undergraduate retention and graduation rates, and enhance the quality of academic life for all. It has also experienced growing pains and challenges in association with this rapid and comprehensive transition.

Categories of faculty are established and defined in the *Academic Personnel Policy of the University of Massachusetts Amherst & Boston* ([Board of Trustees document T76-081](#)), known informally as the *Red Book*. It includes criteria for regular, full-time academic appointments at the ranks of instructor, assistant professor, associate professor, and professor. Academic appointments may also be made with the titles of lecturer, visiting professor, adjunct professor (non-salaried), and clinical professor. This self-study describes university faculty as full-time, tenure-stream* (FT, TS); full-time and part-time, non-tenure-stream* (FT, NTS; PT, NTS) lecturers; and graduate student instructors (TA IIs). (Note: In this document, "tenure-stream faculty" means faculty who have or are eligible for tenure; "non-tenure-stream faculty" are not eligible for tenure.)

In keeping with the strategic plan, and despite adverse economic conditions, the university has accelerated its hiring of new tenure-stream faculty well beyond the replacement level required by faculty retirements and other departures. Between fall 2009 and fall 2014, FTE tenure-stream faculty grew from 395 to 484 (up 23%). At the same time, increased student enrollment has required continuing growth in non-tenure-stream faculty: during the same five years, FTE for these grew from 317 to 411 (up 25%). Among non-tenure-stream faculty, the proportion of those teaching full time has also risen from 33% to 42% FTE, reflecting an acknowledgement of the critical importance of committed faculty members to student learning. Further specifics can be found in the following table.

Table 5.1. Change in FTE Faculty Composition from Fall 2009 to Fall 2014

	2009	2010	2011	2012	2013	2014	% change
TS	395	404	421	443	463	484	22.5%
FT NTS	106	122	127	146	144	171	61.3%
PT NTS	211	218	241	261	252	240	13.7%

Qualifications and Composition

The qualifications of the faculty are fully consonant with UMass Boston’s mission as a doctoral-granting institution. Ninety-seven percent of UMass Boston full-time, tenure-stream faculty hold the PhD or an equivalent degree, as do virtually all of the full-time non-tenure-stream faculty.

A review system determines re-hiring practices and long-term status for NTS faculty on the basis of quality of performance. This system, along with the strong pool available in Boston, assures a highly qualified NTS workforce. The university also employs graduate student instructors (TA IIs) who are trained and supervised within graduate programs. Since 2013, policies established by the [Office for Faculty Development](#) have harmonized different training programs and provided some centralized support to graduate student instructors.

In fall 2013, data were summarized by college with respect to rank, gender, and ethnicity as shown in Table 5.2 (see end of this standard). The data collapsed across all units show percentages of men and of white individuals at each rank. Reflecting recent targeted hiring practices, 57% of tenured professors and associate professors are men, while 45% are men among the newer assistant professors and FT, NTS lecturers. Percentages of white individuals are 70 or higher in all categories except assistant professors, who are 48% white. Table 5.3 (see end of this standard) provides a further breakdown of the diverse faculty by ethnicity.

Contracts, Salaries, and Benefits

The [collective bargaining agreement](#) signed between the [Board of Trustees](#) and the [Faculty Staff Union](#), representing the faculty-librarian bargaining unit, covers salaries and standards of productivity and performance. Table 5.4 (see end of this standard) provides recent average salary information by rank and gender; the data suggest that salaries are nationally competitive. Tenure-stream faculty members with permission may perform restricted off-campus professional services, providing those services do not conflict with the interests of the university. Non-tenure-stream faculty qualify as bargaining unit members after two semesters of teaching. The contract contains articles protecting affirmative action, academic freedom, and the primary responsibility of faculty in personnel and academic matters. Included in compensation packages are cost-of-living increases and a merit pay system wherein faculty members are rated by their departments for productivity. Benefit packages include health insurance and a dental plan; a Commonwealth retirement

program; access to voluntary 403b and 457 retirement plans, child/elderly care plans, and life/car/home and disability income insurance; and access to FMLA, sick leave, and a sick leave bank.

Personnel Reviews

Each year, all faculty are required to submit an [Annual Faculty Report](#) of activities in scholarship, teaching, and service. Major personnel reviews take place according to a timetable beginning with a fourth-year review for tenure-stream faculty. In the tenure decision year, there is a rigorous examination of the faculty member's full dossier, including evaluation of the candidate's scholarship by a panel of external referees. Faculty members who receive tenure are re-evaluated every seven years under the [Periodic Multi-Year Review](#) process. All major personnel actions involve multiple, substantive, and independent levels of review. The *Red Book*, supported by the collective bargaining agreement, provides detailed and clear procedures for evaluation both before and after tenure. Criteria for all levels of reappointment of tenure-stream faculty are also well defined. The guidelines ensure judicious peer evaluation (normally both department- and college-wide), confidentiality, non-discrimination, due process, and the right of appeal. Non-tenure-stream faculty also are reviewed through the [Annual Faculty Report](#) system and cannot advance to senior lecturer status without approval by the college personnel committee, dean, and [provost](#).

Support for Faculty Development

Review processes

The [Periodic Multi-Year Review](#) process is itself a form of support for faculty development. Each faculty member is invited to submit a self-assessment, and departments and administrative levels review and comment. The review results in an individualized development plan that defines goals for continuing professional progress and contributions to the university. Senior faculty members are allocated modest financial support for implementing development plans. Outstanding faculty efforts are rewarded with special merit designations made at the college level. Merit is also recognized in the form of the [Chancellor's Annual Awards for Distinguished Scholarship, Teaching, and Service](#).

Workshops

The [Office for Faculty Development](#) also offers programs specifically for the development of faculty through the Junior Faculty Seminar and grantsmanship workshops. The associate vice provost for research, in collaboration with the [Office of Research and Sponsored Programs](#) offers grant-writing workshops for faculty and research staff each fall and spring semester. The office also conducts workshops on identifying grant opportunities, preparing and administering budgets for internal and external grants, and selected university and external policies and procedures. The University of Massachusetts Press editor does an annual publishing workshop on how to get scholarly books published, from drafting a proposal to approaching and working with editors and submitting materials.

Sabbatical leaves

Of central importance is the university's sabbatical leave policy, through which faculty with a "record of achievement, service, and contribution" may apply to pursue projects in the areas of scholarship, teaching, or professional service. An innovative program allows faculty after their first sabbatical to bank years of service so that subsequent sabbaticals may be taken at times that are most beneficial for faculty professional development.

Course load reductions

The pertinent document on faculty workload is the trustee document "[University Guidelines on Faculty Workload](#)" (T74-111), which establishes the typical instructional workload as three courses per semester. As of spring 2013, however, research-active faculty in the College of Liberal Arts have been assigned one research-based course load reduction per semester, bringing them to an effective 2-2 teaching load. Similar policies are present in other (but not all) colleges, and the university is moving toward adopting uniform policies across colleges.

Teaching

The [Center for Innovative Teaching](#) (CIT) is a faculty-governed organization committed to sustained and collaborative work with faculty. Its purpose is to promote high quality inclusive teaching to meet the needs of the university diverse population. CIT has a small part-time staff funded by the provost and runs teaching-improvement forums and workshops particularly addressing aspects of student diversity and funded jointly by the provost and the college deans. More than 230 faculty have participated in these programs, coordinated by a senior faculty mentor. CIT programs are divided between those for junior and newly-tenured faculty, for senior faculty, and for NTS faculty (a new program). Finally, CIT organizes an annual conference on teaching improvement, usually involving a well-attended series of 10-15 panels.

The university's [Instructional Technology Center](#) offers free to all faculty a wide variety of workshops and courses related to the use and application of information technology in teaching and research (see Standards 4 and 8). Healey Library gives a variety of workshops focused on technology and electronic resource use. Support for learning and adapting information technology is also provided by the Teaching with Technology program, which most recently has provided carts with iPads to 13 instructors for classroom use. CIT and the Teaching with Technology Program conduct a joint day-long annual conference during spring study days.

A challenge for research universities is training doctoral and master's students for undergraduate teaching. In AY 2014, 116 undergraduate sections were taught by graduate students. The Office of Faculty Development and the Graduate Studies Office have created a Graduate Teaching Program with the following requirements: attending one fall graduate teaching orientation; teaching as an instructor of record for two semesters or as instructor of record for one semester and as a teaching assistant for two semesters; successful completion of a one-semester teaching seminar; attending three CIT or ed tech forums or workshops; attending two sessions of the annual university teaching conference; and

writing a reflective teaching statement that describes the teaching done at UMass Boston, and the values, goals and methods that are most important to the student.

Scholarship, research, and creative activity

UMass Boston takes great pride in its attainment of Carnegie status as a research university with high research activity, an achievement based on investment in research, effective hiring of faculty, and per-capita research-productivity indices. The university's progress is evident in the growth of externally funded grants from \$42,226,973 in fall 2009 to \$60,144,955 in fall 2014.

UMass Boston continues to invest a percentage of its interest income, annual fund income, and research trust fund in faculty and staff development and research. Start-up support for new faculty members over the past five years has ranged from a minimum award of \$3,000 plus a computer package to \$500,000 for an endowed chair. There are also long-standing awards and grants administered by the colleges to support travel to scholarly and professional meetings and seed or supplementary funding for longer-term projects. Four additional internal grant competitions are administered by the [vice provost for research](#). Among these are the [Healey Research Endowment Grants](#) (allocated ~ \$150,000 in 2013-14) and the [Public Service Grants](#), which are open to faculty and professional staff. Healey Research Endowment Grants support research and scholarly work that enhance the quality of academic and intellectual life at the university. The Public Service Grant Program funds outreach and service projects that make the specialized knowledge and expertise of faculty and staff available to the community at large. The Graduate Research Assistance Program provides graduate assistantships and the [Faculty Proposal Development Grant Program](#) (allocated ~ \$150,000 in 2013-14) supports high-quality research proposals to external funding agencies. Through a university-wide faculty-union-bargained program, tenure-stream faculty can also each receive \$1,000 for travel to present papers at scholarly conferences.

Appraisal

Changes in Student-to-Faculty Ratios

From fall 2009 to fall 2014 student FTE has grown 15.0% while the FTE faculty as a whole has grown 26.0%. The FTE student to faculty ratio has changed from 16.2:1 to 13.8:1. As Table 5.1 above shows, the greatest faculty increase of 61.3% was in full-time, non-tenure-stream faculty. Part-time, non-tenure-stream faculty have increased 13.7% and tenure-stream faculty 22.5%. In fall 2014, the ratio of tenure-stream faculty to FTE non-tenure-stream faculty was 1.18:1 compared to 1.24:1 in 2009, but the ratio of all full-time faculty to part-time, non-tenure-stream faculty during the same period improved from 2.37 to 2.73 : 1. An increasing number of non-tenure-stream faculty are full time, contributing important advising, department committee, and other service to the university in addition to their teaching duties. The reliance on part-time non-tenure-stream faculty has diminished and these faculty are now more concentrated in the professional schools where they bring work-place expertise to specialized curricula. Thus, whereas the university has not reduced its overall numbers of

non-tenure-stream faculty the contributions of these faculty (see below regarding teaching evaluations) are valued and consistent with the faculty profile of a growing research university.

Since 2005, 18 undergraduate programs and 51 graduate programs have been added (see Table 5.5). The demands of this growth on tenure-stream faculty have led to workload concerns, particularly in departments with graduate programs. The ratio between all majors and all TS faculty has remained fairly constant; and NTS faculty make considerable contributions to undergraduate instruction, and to advising and departmental service as well. But TS faculty in departments that serve graduate students bear an extra burden of thesis, dissertation, and mentoring work. Without additional faculty to support graduate programs, faculty often experience inequities in workload between departments that support graduate programs and departments that do not.

Faculty Diversity

The [American Council on Education](#) reports that African-Americans represent 5.1% and Hispanics 2.9% of full-time faculty at American colleges and universities. Among UMass Boston faculty (see Table 5.3 at the end of this standard), African Americans represent approximately 4% and Hispanics represent about 3%—numbers in line with the national averages. UMass Boston is striving to have a faculty that includes more role models that are ethnically similar to its highly diverse student body. Its current assistant professors are 45% male, 48% white, 1% African American, 12% Asian, 28% other, 6% non-resident alien, and 4.6% Hispanic: this composition illustrates our move in the desirable direction.

Faculty Work Environment

Three surveys have helped to identify areas of faculty satisfaction and concern: a Climate Assessment Survey conducted by the [Office of Diversity and Inclusion](#) in fall 2012; a survey by the Faculty Staff Union in 2013; and the Academic Programs-Carnegie Survey conducted in fall 2013. UMass Boston faculty members have reported high levels of satisfaction with respect to the classroom environment, the pleasure of teaching and interacting with the diverse student body, the extent of collegial support, and overall job characteristics. Across all three surveys, however, perceptions of increased workload, inadequate resources, inadequate and delayed allocations of laboratory and office space, and workload and salary inequity concerns related to gender, race and ethnicity have been expressed. Tenure-stream faculty expressed a need for greater clarity around promotion criteria, and a need for additional resources to support research and professional development. Non-tenure-stream faculty raised additional concerns related to job security, equity of compensation in relation to workload, need for resources for professional development, and a desire for a role in departmental governance.

A detailed assessment of these concerns can be found in [Assessment of Work Environment Concerns](#), and some continue to require attention, particularly the matter of gender

equity in service roles, but several matters have been addressed by activities of the [Office for Faculty Development](#), the [Center for Innovative Teaching](#), the [Office of Community Partnerships](#), and the [Office of Research and Sponsored Programs](#). Workshops, seminars, orientations, and informational resources offered by these units are highly regarded for their contributions to the understanding of expectations and policies, to preparation for new roles within the university, and to the facilitation of tasks from teaching and publishing to applying for grants. There are also workshops on conducting community-engaged partnerships, small grants for new courses that include service learning, and support for courses and projects that will strengthen commitment to civic engagement in undergraduates.

Concerns are being addressed with respect to increased demands on faculty advising and time spent grading: the [College of Liberal Arts](#), for example, is hiring additional advisors, with the goal of providing professional staff advising to all declared majors, supplemented and enhanced by discipline-specific advising by faculty. Graduate teaching assistants are also being assigned to large sections (defined as 70+ students). In addition, some departments have developed tenure-expectations documents that articulate various pathways to excellence in research, teaching, and service without offering guarantees or formulae.

The impact of such programs on reducing general concerns about communication, resources, and certain aspects of workload seems to be substantial. Faculty of all ranks have access to most of them and, from all accounts, rate them highly and recommend them to their peers.

Students' Perceptions of the Quality of Teaching

Higher numbers of full-time faculty, particularly full-time tenure-stream faculty, are commonly associated with a higher quality of undergraduate instruction. To test whether this belief fits UMass Boston, course evaluations by students were examined as a proxy for students' perception of the quality of instruction. The problem of dependence on one metric must be acknowledged, but the evaluations provide some information of relevance.

At UMass Boston, the course evaluation form varies across departments, thus precluding data summarization. There are two questions, however, that all departments have been encouraged to use: one on instructor effectiveness and the other on course quality. Student ratings in several departments from the College of Liberal Arts and the College of Science and Mathematics were examined. An effort was made to balance department sizes across colleges.

As shown in Table 5.6 (see end of this standard), ratings across instructor categories within departments are reasonably comparable. While a more detailed analysis across a larger number of departments is necessary, this sample suggests that the quality of instruction is judged as somewhat comparable when tenure-stream and non-tenure-stream faculty are compared. These findings may or may not apply to other public urban institu-

tions, but they show that at UMass Boston undergraduate students are as satisfied with instruction from non-tenure stream faculty as from tenure-stream faculty. This may be attributed to the university's formal, bargaining-unit-defined system of monitoring the performance of non-tenure-stream faculty as they progress to post-probationary status, and to the abundance of highly qualified instructors in the Boston area.

Resources Related to Scholarship, Research, and Creative Activity

Concerns about an inadequate research infrastructure have been addressed through grantsmanship seminars and workshops, through providing staff to assist in identifying public and private sources of funding, and through the strengthening of internal grant programs. Two primary internal grant programs offer competitively awarded, seed grant (or creative activity) support to faculty in amounts from \$7,500 to \$12,000 depending on the needs and structure of the proposal. Additionally, several colleges offer research and travel-support grants on a competitive basis for their faculty. Further information appears under "Support for Faculty Development" and "Faculty Work Environment" above.

Issues surrounding resource and space allocations have been raised by individual faculty, program directors, and chairs in multiple contexts from surveys to meetings, and indeed at the level of the [Faculty Council](#) and [Chancellor's Cabinet](#). Differences across colleges and programs in allocations of financial resources, course load reductions for non-classroom teaching and service, allocations of graduate assistantships, benchmarks for student FTE/faculty FTE, and space are significant sources of concern, as is absence of transparency in policies and decisions bearing on these issues. Noteworthy are current concerns about the absence of carry-forward on lab fee accounts, as well as concerns that appear to have been resolved about carry-forward of research trust fund monies. Discontent peaks when allocations of space or resources are not received as expected. Examples include new tenure-stream faculty whose labs were not ready upon arrival, and nascent graduate programs that did not receive anticipated start-up budgets, space, and numbers of annual stipends.

Such delays and perceived failures to honor commitments present many challenges to the university's ability to reach enthusiastically supported strategic goals. Solutions must be found for significant problems in the control and management of space and budget allocations. The university must establish a more efficient and transparent space allocation policy that is consistently upheld. Equally imperative is a system that provides integrated financial planning across all units so that commitments are met in a timely manner and budgets are known at the start of each academic year.

Projection

The new programs and activities described above have had considerable positive impact on many concerns. The faculty and administration are unified in the desire to continue as "a research university with a teaching soul," to grow and diversify the tenure-stream faculty, to increase research infrastructure and resources, and to increase academic support

staff to assist in the reduction of faculty workload. To facilitate the accomplishment of these goals,

- The [chancellor and his cabinet](#) will strengthen administrative staff in vital support units so that the strategic plan can be implemented while protecting faculty capacity to meet teaching demands and increase scholarly productivity.
- The deans and department chairs at the direction of the provost will work together to improve equity across colleges and programs in crediting service and non-classroom research-mentoring activities of faculty. A review of progress will be conducted in 2016.
- The faculty will work through the [Faculty Council](#) to establish a Faculty Council research committee in 2015 that will provide a forum for representing concerns relevant to the conduct of all scholarly pursuits and, notably, laboratory and community-based research on externally-funded projects. This committee may be modeled after the [Research Council](#) at UMass Amherst.
- The [provost](#) and deans will establish by 2016 explicit policies that reward service in order to bring greater gender equity to service roles, and provide explicit value to service accomplishments when promotion decisions are made.
- The chancellor and the provost will establish policies governing the allocation of faculty office and laboratory space so that decisions will be transparent, policies will be consistently upheld, and commitments to academic programs and faculty will be met in a timely and efficient manner. This policy should build upon the recommendations made by the Strategic Planning Subcommittee on Utilization of Space. (See also projections in Standard 8.)
- The [chancellor, his cabinet](#), deans, and leadership in Administration and Finance will establish a system that provides integrated, comprehensive, transparent financial planning across all campus units so that needs are anticipated and budgets and hiring authorizations are determined and provided at the beginning of each academic year. (See also planning projections in Standard 2).

Institutional Effectiveness

UMass Boston members are evaluated through the [Annual Faculty Report](#) (AFR), which examines effectiveness with respect to teaching and advising; productivity in scholarship, research, and/or creative work; and service contributions. These evaluations are routinely done by each department's personnel committee, by the chair, and by the dean. All faculty, tenure-stream and non-tenure-stream, are required to submit an AFR in September of each year. Currently, teaching effectiveness is compared across the individuals of a department or college, but the institution does not examine university-wide data to allow comparison across units.

To appraise faculty needs, the provost also examines input through chairs, deans, and surveys in order to guide various supports through the Office for Faculty Development, the Office of Research and Sponsored Programs, and the central offices of colleges and schools. Evaluation evidence is used to improve policies and services related to faculty support and to inform allocation of instructional, research, and other relevant resources.

[Index to Supporting Documents for Standard 5](#) [Web-Based List of Supporting Documents](#)

Table 5.2. Percent Male and Percent White Faculty by Rank

RANK	HCT	% male	% white
unknown	1	(female)	
Associate and Full Professors	292	57	70
Assistant Prof	174	45	48
FT, NTT	145	45	72
PT, NTT	561	42	71
TOTAL	1173	47	67

Table 5.3. Faculty Composition by Rank, Race/Ethnicity, and Gender

RANK	HCT	Hispanic of any race (%)	White (%)	Black or African American (%)	Asian (%)	Amer Indian or Alaskan Native (%)	Non-Resident Alien (%)	Other (%)
Prof and Asso Prof	292	13 (4.5)	204 (70)	22 (7.5)	39 (13.4)	0	3 (1.0)	11 (3.8)
Asst Prof	174	8 (4.6)	84 (48)	2 (1.1)	21 (12.1)	0	11 (6.3)	48 (27.6)
FT, NTT	145	1 (0.67)	104 (72)	9 (6.2)	7 (4.8)	0	3 (2.0)	21 (14.5)
Part-Time, NTT	561	10 (1.8)	397 (71)	15 (2.7)	21 (3.7)	2 (0.3)	16 (2.9)	100 (17.8)
unknown	1	0	1	0	0	0	0	0
TOTAL	1173	32 (2.7)	790 (67)	48 (4.1)	88 (7.5)	2 (0.2)	33 (2.8)	180 (15.3)

Table 5.4. Salaries of Full-time Faculty by Rank and Gender

		Fall 2010		Fall 2011		Fall 2012		Fall 2013	
		FT	FT	FT	FT	FT	FT	FT	FT
		Female	Male	Female	Male	Female	Male	Female	Male
Professor	Mean	111831	115411	113390	117785	125709	124158	123561	128031
Associate	Mean	82445	88127	84125	89891	90785	95931	93219	99776
Assistant	Mean	68784	77562	73224	82152	75846	85740	80042	88757
FT, NTT	Mean	58399	55712	57624	56635	63926	59793	66571	63156

Table 5.5. Number of New Programs by Year from 2006 to 2014

	2006	2007	2008	2009	2010	2011	2012	2013	2014	TOTAL
Undergraduate Certificate	0	3	0	0	0	1	1	0	0	5
Bachelors	2	1	4	0	0	2	2	0	2	13
Masters	5	1	1	0	1	1	1	1	3	14
Masters Tracks	0	0	0	11	3	4	2	0	1	21
Graduate Certificate	0	0	0	1	4	3	3	2	3	16
Doctoral	0	1	0	0	3	1	3	7	6	21
Doctoral Tracks	0	0	5	2	3	2	0	0	4	16
TOTAL	7	6	10	14	14	14	12	10	19	106

Gerontological Practice Undergraduate Certificate was started in 2007 and discontinued in 2010.

The Education Administration CAGS was reactivated in 2009.

In 2013, four Nursing PhD tracks became stand-alone PhD programs.

Also in 2013, the Higher Ed track in the EDUC-EDD became a stand-alone EdD program.

In 2014, the Leadership in Urban Schools doctoral track became a stand-alone PhD and EdD programs.

Table 5.6. Student Ratings for Faculty and Course Quality

Question	Department	Average Student Ratings on Course Evaluations			
		FT, Tenure Track	FT, Non-tenure Track	PT, Non-tenure Track	Graduate Student Instructors (TA IIs)
Instructor Effectiveness	Biology	4.13	3.94	NA	NA
	Chemistry	4.33	4.24	4.22	4.36
	Computer Science	4.33	4.24	4.36	4.32
	Psychology	4.37*	4.37*	4.12	4.41
	Sociology	4.0	4.3	4.3	4.1
Overall Course Quality	Biology	NA	NA	NA	NA
	Chemistry	3.83	3.92	4.0	4.06
	Computer Science	4.11	3.99	4.37	4.29
	Psychology	4.28*	4.28*	4.00	4.31
	Sociology	3.8	4.1	4.5	4.2

* FT, TT and FT, NTT were summarized together

**Data First Form: Standard 5: Faculty
by Rank, Gender, and Salary, Fall Term**

4 Years Prior (Fall 2010)		3 Years Prior (Fall 2011)		2 Years Prior (Fall 2012)		1 Year Prior (Fall 2013)		Current Year (Fall 2014)	
FT	PT	FT	PT	FT	PT	FT	PT	FT	PT

Number of Faculty

Professor	Male	78		70	1	78	1	76	1	70	1
	Female	43		46	1	44	2	42	3	48	3
Associate	Male	78		89	-	86		94		104	
	Female	70		78	1	84	3	86	2	94	1
Assistant	Male	57		59		72		75		76	
	Female	79	1	79	1	76		89		93	1
NTT	Male	50	208	53	222	64	252	63	239	77	231
	Female	69	304	70	315	75	348	77	326	88	332
Total	Male	263	208	271	223	300	253	308	240	327	232
	Female	261	305	273	318	279	353	294	331	323	337

Total Faculty

Professor	121	-	116	2	122	3	118	4	118	4
Associate	148	-	167	1	170	3	180	2	198	1
Assistant	136	1	138	1	148	-	164	-	169	1
Other	119	512	123	537	139	600	140	565	165	563
Total	524	513	544	541	579	606	602	571	650	569

Salary for Academic Year

		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Minimum	76007		50298	33533	90000	18082	84707	37570	101,004	38,232
	Mean	114139		116042	92010	124733	77944	126440	78928	127,717	80,065
Associate	Minimum	66500		46010	44000	71116	40842	72000	39170	69,788	40,182
	Mean	85439		87179	44000	93358	44664	96643	45098	98,202	40,182
Assistant	Minimum	56490	29308	55000	30417	57462		64423		65,325	35,000
	Mean	72463	29308	77097	30417	80660		84028		83,730	35,000
NTT	Minimum	20000	800	30273	1520	30273	1500	32686	1112	48,187	2,414
	Mean	57270	18800	57208	20029	62076	20750	65034	21728	66,152	20,816

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 5: Faculty
(Highest Degrees and Teaching Assignments, Fall Term)**

4 Years Prior		3 Years Prior		2 Years Prior		1 Year Prior		Current Year	
(Fall 2010)		(Fall 2011)		(Fall 2012)		(Fall 2013)		(Fall 2014)	
FT	PT	FT	PT	FT	PT	FT	PT	FT	PT

Highest Degree Earned: Doctorate

Professor	118		114		122		116		114	
Associate	135		163		167		176		193	
Assistant	118		135		146		158		166	
Instructor										
Other										
Total	371	-	412	-	435	-	450	-	473	-

Highest Degree Earned: Master's

Professor	2		1		1		1		1	
Associate	10		5		5		4		5	
Assistant	10		1		2		6		3	
Instructor										
Other										
Total	22	-	7	-	8	-	11	-	9	-

Highest Degree Earned: Bachelor's

Professor	1		1		1		1		1	
Associate	3									
Assistant	8									
Instructor	1		1							
Other										
Total	13	-	2	-	1	-	1	-	1	-

Highest Degree Earned: Professional License

Professor										
Associate										
Assistant										
Instructor										
Other										
Total	-	-	-	-	-	-	-	-	-	-

Fall Teaching Load, in credit hours

Professor	Maximum	12		12		15		13		15	
	Median	3		4		4		5		3	
Associate	Maximum	15		12		15		9		12	
	Median	6		6		6		5		6	
Assistant	Maximum	10		15		11		12		18	
	Median	6		6		6		6		6	
Instructor	Maximum										
	Median										
Other	Maximum										
	Median										

Explanation of Teaching Load (if not measured in credit hours):

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Data First Form: Standard 5: Faculty
(Appointments, Tenure, Departures, and Retirements, Full Academic Year)

4 Years Prior		3 Years Prior		2 Year Prior		1 Year Prior		Current Year	
(Fall 2010)		(Fall 2011)		(Fall 2012)		(Fall 2013)		(Fall 2014)	
FT	PT	FT	PT	FT	PT	FT	PT	FT	PT

of Faculty Appointed

Professor	2		2				2		1	
Associate	5		4		8		6		6	
Assistant	25		23		33		33		34	
Instructor										
Other		75		79		121		78		74
Total	32	75	29	79	41	121	41	78	41	74

of Faculty in Tenured Positions

Professor	119		114	2	122	3	117	4	117	4
Associate	138		159	1	163	3	169	2	184	1
Assistant	2		1		1				1	
Instructor										
Other										
Total	259	-	274	3	286	6	286	6	302	5

of Faculty Departing

Professor	1		1		2		1			
Associate	1		1		3					
Assistant	4		10		4		5		5	
Instructor										
Other										
Total	6	-	12	-	9	-	6	-	5	-

of Faculty Retiring

Professor	6		6		4		8		8	
Associate	2		3		1		1		5	
Assistant										
Instructor										
Other										
Total	8	-	9	-	5	-	9	-	13	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard 5: Faculty

(Number of Faculty by Department or Comparable Unit, Fall Term)

	4 Years Prior		3 Years Prior		2 Years Prior		1 Year Prior		Current Year	
	(Fall 2010)		(Fall 2011)		(Fall 2012)		(Fall 2013)		(Fall 2014)	
	FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Number of Faculty By Department										
College of Liberal Arts	233	205	241	211	257	234	257	213	283	193
Africana Studies	7	3	6	4	7	4	7	2	7	1
American Studies & Communications thru 201	10	6	9	12	8	12	8	7	8	7
Anthropology	15	9	15	8	13	9	15	7	17	7
Applied Linguistics	6	5	6	11	8	7	7	9	7	6
Art	13	7	11	5	12	8	12	9	11	6
Asian Studies			1							
Classics and Religious Studies	5	2	5	3	6	1	6	3	8	3
Department of Communication (Fall 2012)					13	15	15	11	7	4
Economics	16	7	18	9	20	10	19	11	20	8
English	34	41	38	36	43	34	42	24	52	24
Gender Security & Human Rights									1	0
Latin American and Iberian Studies	9	14	7	14	8	15	9	11	9	9
History	19	13	17	9	18	13	19	8	22	7
Modern Languages	10	13	10	15	10	14	8	17	11	15
Performing Arts	7	26	9	26	8	32	8	30	12	31
Philosophy	18	8	17	12	20	10	18	9	18	9
Political Science	15	4	15	3	12	6	12	7	12	6
Psychology	25	17	28	16	27	26	29	18	27	20
Sociology	19	24	23	22	25	22	22	28	26	20
Women's Studies	5	6	5	6	7	8	6	9	6	10
CLA - Dean's Office			1				2		2	0
College of Sciences & Mathematics	86	46	92	51	105	53	114	52	124	54
Biology	24	12	24	11	26	15	31	14	32	14
Chemistry	11	5	12	5	13	4	14	4	15	6
Computer Science	12	5	14	4	15	5	17	3	20	4
Engineering	2	2	2	3	2	3	4	2	6	0
School for the Environment	16	4	17	7	15	8	14	7	15	7
Mathematics	13	16	15	18	23	13	21	18	22	19
Physics	8	2	8	3	11	5	11	4	12	4
CSM - Dean's Office							2		2	0
College of Management	55	38	61	44	65	49	65	50	75	46
Accounting & Finance	21	10	22	12	22	13	26	13	27	14
Management & Marketing	16	18	19	21	22	24	21	26	24	26
Management Science & Info Sys	17	10	17	11	18	12	18	11	22	6
Other Management (MBA, Dean's Office)	1	0	3	0	3	0	3	0	2	0
Nursing & Health Sciences	46	93	42	101	46	108	51	101	58	110
Exercise & Health Science	12	8	10	8	12	9	13	10	15	6
Nursing	33	85	32	93	34	99	38	88	42	102
Other CNHS	1							3	1	2
College of Public & Community Services	18	5	15	6	18	4	13	8	14	7
CPCS - Dean's Office		2						1	0	2
Gerontology Center - CPCS	1		1		2		1		1	1
Graduate Human Services	4		3	1	3	1	3	2	3	0
Labor Resource Center				1		1		1	0	1
Public & Community Services	13	3	11	1	13		9	2	10	3
CAPS	17	23	24	23	14	46	16	39	3	44
CAPS - Dean's Ofc	17	23	24	23	14	46	16	39	3	44
College of Education & Human Development	46	72	47	65	51	69	52	66	57	67
CEHD - Dean's Office		6		12		30		3	1	0
COSMIC					1					
Counseling & School Psychology	16	25	17	20	16	24	16	26	19	15
Curriculum & Instruction	18	39	19	30	18	9	19	32	23	38
Institute Learning & Teaching					1	1	1			
Leadership in Education	11	2	10	3	14	5	15	5	13	14
N.E. Resource Ctr For High Edu	1		1		1		1		1	0
McCormack Grad Sch Pol Studies	22	13	21	14	22	19	23	15	25	18
Conf Res, Hum Sec & Globl Gov	6	4	5	3	7	6	5	6	6	6
Center for Social Policy								1	0	1
Ctr for Women in Politics		2		1			1	1	1	1
Ctr Rebuilding after Disasters	1		1		1	3	1	1	0	2
Gerontology	8	7	8	9	8	7	8	6	8	0
Public Policy & Public Affairs	6		6	1	6	3	7		8	0
MGS-Dean's Office									1	0
Gerontology Institute									1	8
Gender Security & Human Rights	1		1		1		1			
GISD				6			3	6	7	6
Asian American Studies Program									2	0
GISD Dean's Office									5	6
Institute Community Inclusion			6				3	6		
Institutes and Centers										
Academic Affairs - Other	1		1		2	1	3			
Ctr for Social Devel & Ed	1		1		1		1			
Gaston Institute						1				
Honors Program							1			
Provost & VC Acad Affairs					1		1			
Academic Support Services	1	16	2	17	3	18	2	21	3	21
Academic Support Programs	1	16	2	17	3	17	2	18	3	19
Student Support Services						1		3		
Honors College									1	3
Honors College-Dean's Office									1	3
Chancellor - Other							1			
Special Events							1			
General Education		2	1	3	2	3				
Honors Program		1		2	1	2				
Undergraduate Studies			1		1					
Writing Assessment		1		1		1			0	2
Graduate Studies & Research					1					
Graduate Studies-Dean's Office					1					
Health Services						1				
Health Services						1				
Grand Total	525	513	547	541	587	606	602	571	650	569

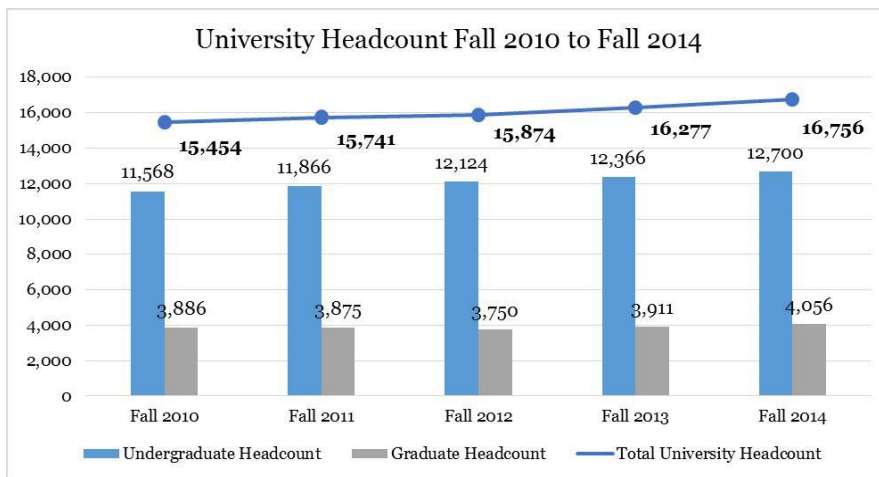
Standard Six: Students

Consistent with its mission, the institution defines the characteristics of the students it seeks to serve and provides an environment that fosters the intellectual and personal development of its students. It recruits, admits, enrolls, and endeavors to ensure the success of its students, offering the resources and services that provide them the opportunity to achieve the goals of their program as specified in institutional publications. The institution's interactions with students and prospective students are characterized by integrity.

Description

Admissions

UMass Boston enrollment reached an all-time high of 16,756 students in fall 2014, an increase of 8.4% compared to fall 2010. Undergraduate enrollment increased by 9.8% and graduate enrollment by 4.4% during these years.



Undergraduate admissions applications have increased from 12,185 in 2010 to 14,699 in 2014, a 21% increase. By design, the largest growth has been experienced among first-year students. For fall 2014, incoming first-year students numbered 1,542, up from 1,129 in 2010, a 37% increase. (See the [2014 Statistical Portrait](#) by OIRP for complete admission and enrollment information.)

[Annual enrollment targets](#) are established by Enrollment Management, in collaboration with the Office of the Provost and the college deans, for freshmen, transfer students, and graduate students as well as for in-state, out-of-state, and international students. Targets are set at the department/program, college/school, and institutional levels.

To ensure access to students throughout Massachusetts, especially those from urban areas, a concerted effort is made to visit urban high schools and provide programming for parents and students. To increase applications and yield, there are dedicated *Open House* events for first-year and transfer students tailored to their distinct needs. *Welcome Day* for admitted students showcases student services, off-campus housing options, and the wide variety of high-quality academic programs. The [Transfer Center](#) has partnerships with local community colleges that include increased presence of UMass Boston recruiters on their campuses and the development of linked degree pathways. The center also provides access to online course equivalencies for transfer-course planning, and expedited transfer-credit processing.

To account for the decreasing number of high school graduates in Massachusetts and fulfill UMass Boston's goals for out-of-state students, [Undergraduate Admissions](#) has increased its presence in the New England states as well as New Jersey, New York, and California. To increase the number of international students, partnerships have been developed with the [China Education and Research Network](#) (CERNET) and [Navitas](#), and the [Admissions Office](#) has expanded its international recruitment efforts through travel and increased outreach, including a 10-country recruitment tour of Latin America, as well as trips to South Africa, Turkey, and Ukraine.

Enrollment Management, through the Office of Undergraduate Admissions, oversees the recruitment, processing, and selection of all undergraduate candidates for fall and spring admission, including first-year, transfer, domestic, and international students. Undergraduate admissions decisions are aligned with standards set by the [Massachusetts Department of Higher Education](#) in 2013. In 2008, the university became a member of the [Common Application](#). It also expanded its outreach at area high schools, incorporated new technology into recruitment strategies, and enhanced communications and on-campus recruitment events.

The [Office of Graduate Studies and Graduate Admissions](#), which is directed by and reports to the [Office of the Vice Provost for Research and Strategic Initiatives and Dean of Graduate Studies](#), is responsible for graduate student recruitment and processing applications for graduate degree and certificate programs. Applications are forwarded electronically to the graduate program directors for consideration and admission recommendations. Graduate applicants are required to submit official transcripts from all institutions attended, and must have earned a bachelor's degree from an accredited U.S. college or university, or an equivalent international degree, and an overall minimum 2.75 GPA, higher for some programs. Standardized test scores (GRE, MAT, GMAT) are required by many programs, with some setting minimum requirements.

Graduate recruitment initiatives include local and international efforts. Local efforts include supporting all graduate programs and ensuring they have a standard set of recruitment materials (brochures and fact sheets) and running an *Annual Graduate Studies Showcase*. To recruit the university's most talented undergraduates, several colleges have formed partnerships to develop 4 + 1 programs through which students will receive the undergraduate and master's degree after five years (see Standard 4). International efforts

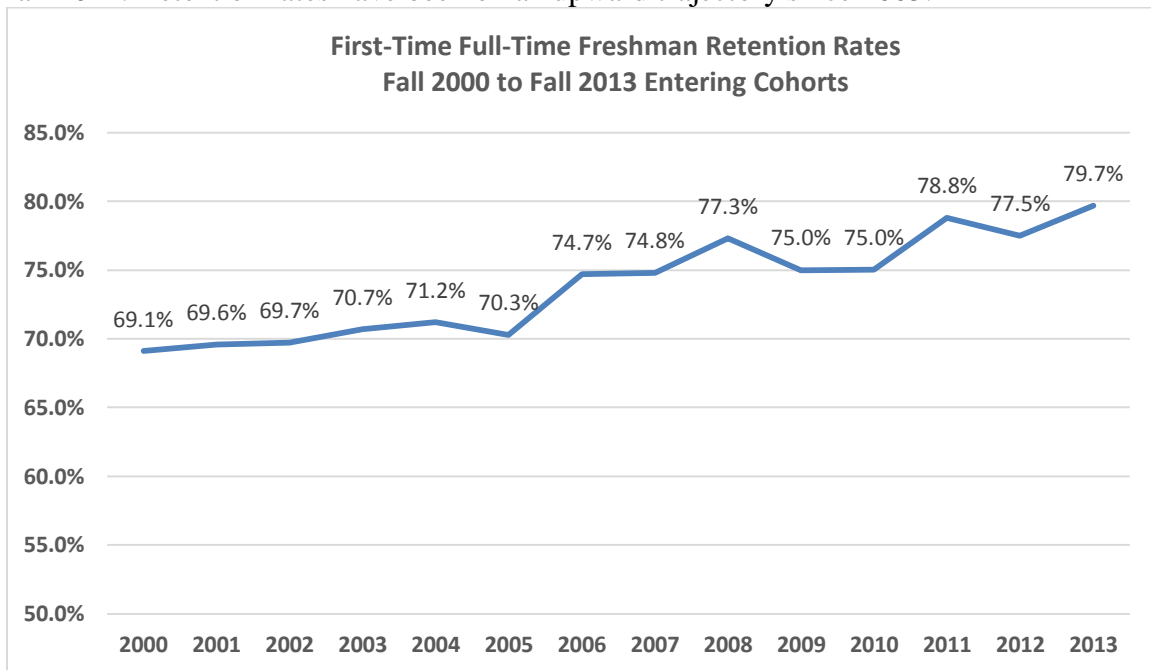
included collaborations with [Renmin University](#) and several others in China as well as selected graduate program recruitment by [Navitas](#).

The application process is fully automated for all students and is accessible via the [admissions website](#). Students can check the status of their applications, pay deposits, and obtain information regarding financial aid. Information regarding admissions policies and procedures is readily available on the admissions website and in the online catalog; it is also available in print. Admissions processes and decision-making are fully compliant with all applicable equal-opportunity laws and regulations

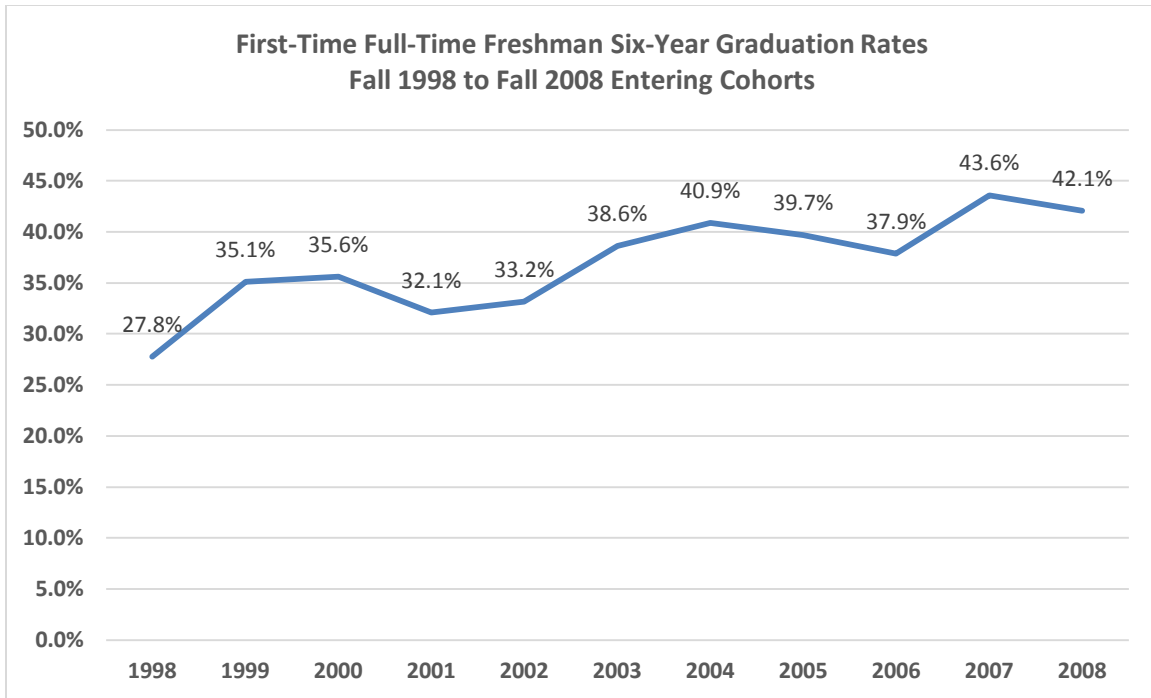
The university's commitment to the Commonwealth of Massachusetts and City of Boston is evidenced by the recruitment of specific populations, including transfer, first-generation, and low-income students, many of whom are Boston Public School graduates. The university has the discretion to admit a small percentage of undergraduate students who do not meet the DHE admissions standards. These students enter one of two success programs: the [Transitions Program](#) or the [Directions for Student Potential Program](#). These programs offer additional university preparation, advising, and community.

Retention and Graduation

The retention rate of first-time full-time freshmen reached an all-time high of 79.7% in fall 2014. Retention rates have been on an upward trajectory since 2005.



Graduation rates have also been on the rise. The last two cohorts of full-time freshmen have had 6-year graduation rates above 42%, the first time the university has reached this level.



Retention and graduation rates have increased at the same time as we are meeting or exceeding the goals established for the composition of the student body. The racial and ethnic diversity of the student body is increasing: the percentage of US students of color grew from 44% of undergraduates in fall 2010 to 52% in fall 2014 and from 21% of graduate students to 26%. Overall GPA and SAT scores for undergraduate students have also increased. The average cumulative GPA for first-year students for AY 15 is 3.11, up from 3.03 in 2009. The median SAT score has remained consistent at 1050 (re: math and critical reading portions). Most transfer students (95%) have a GPA at or above 2.5. For details see the [2014 Statistical Portrait](#).

The [Office of Institutional Research and Policy Studies](#) regularly tracks and reports on undergraduate student success, including the retention, persistence, and degree attainment of all admitted students. Other indicators of success that are tracked include the percentage of students that take a full-load (15+ credits) in the first semester, semester-to-semester and annual credit accumulation, grade point averages, and completion of key on-track courses. Retention and graduation data for all students are gathered and analyzed by race, gender, residency, citizenship status, Pell grant eligibility, and college, as well as for groups that receive targeted support including Directions for Student Potential, [Student Support Services](#), college-based learning communities, [Success Boston](#), and international partnership programs. All forms of institutional data collection are clearly and transparently reported on the [OIRP](#) website.

The [Undergraduate Graduation Rates Improvement Plan](#) sets five-year goals for increased retention and graduation rates:

- Increase the freshman and transfer retention rates from 75% and 80% to 80% and 83%, respectively, by fall 2018.

- Increase freshmen graduation rates (first-time and transfer) from 41% and 44%, respectively, for the fall 2004 cohorts to 55% for students who enter in fall 2015 (the strategic plan goal of 60% is premised on having residence halls.)
- Increase the upper-division transfer graduation rate from 63% to 73%.

To ensure meeting these goals, the university is also tracking key indicators of progress such as credit-accumulation, retention, persistence, and time to degree completion.

In response to concerns about graduate student success, and to better understand motivation for students enrolling in graduate programs, the Office of the Vice Provost for Research and Strategic Initiatives and Dean of Graduate Studies convened a Graduate Studies Success Committee in spring 2014. Students reported generally high levels of satisfaction with their master's-program experiences and identified motivation and non-financial support as important factors in their success. In response to the committee's findings, this office is working to strengthen university-wide and program orientations and improve graduate faculty advising. The office recently reviewed new data on completion rates for PhD programs, with particular focus on the performance of international students. As the university expands programs and international recruiting, Graduate Studies will continue to review these data to better serve students.

Student Services

UMass Boston's student services are designed to support the overall development and learning of our diverse student population. These efforts are informed by theories, research, and best practices related to student development, student learning, and college success. The foundational framework that guides student services at UMass Boston focuses on the exploration of student identity and the holistic development of students, both inside and outside of the classroom.

In recognition of the diverse characteristics and learning needs of its students, UMass Boston provides a variety of student-service programs and structures to support student success. Student services fall into four categories: (1) enrollment and transition assistance; (2) advising, academic support, and career development; (3) co-curricular and leadership development; and (4) other student services. Divisions, schools and colleges, and other units on campus collaborate to ensure a holistic approach to service delivery. These programs and services are housed primarily within four major divisions: Enrollment Management, Academic Affairs, Student Affairs, and [Athletics, Recreation, Special Programs and Projects](#). Students have multiple opportunities to receive academic advising, career counseling, and resource referral, as well as to participate in a range of co-curricular learning opportunities, community engagement, leadership development, and socio-cultural activities that enhance their collegiate experience and learning. Each division engages in regular evaluation of programs and services to ensure effectiveness. Technological systems (i.e., Taskstream, Advocate, [MAP-Works](#), etc.) have been instituted to assist with assessment and continuous quality improvement efforts. Student-service programs are described below.

Enrollment and Transition Assistance

- [Pre-Collegiate Programs](#): Eight programs serve 2,500+ Boston Public School students annually through in-school, after-school, and summer programming aimed at preparing them to attain postsecondary degrees.
- [Beacon Beginnings](#)—New-student orientation for undergraduates is led by the Office of New Student Programs and run collaboratively with Enrollment Management, the University Advising Center, and the schools and colleges. The [Office of Graduate Studies and Graduate Admissions](#) orients incoming and current graduate students and provides ongoing assistance with advising, research, grant writing and development, and other student support services.

Advising, Academic Support, and Career Development

- [Undergraduate Studies](#) provides information on general education and academic policies, adjudicates requests for waivers of requirements and deadlines, and manages the Writing Proficiency Requirement.
- [The University Advising Center](#) provides academic advising for undeclared undergraduates through a college-liaison and case-management system. Advisors are assigned to colleges to facilitate the declaration of and transition into the major. Each advisor has a caseload under 300 students.
- College Advising and Success Centers provide academic advising for declared students and specialized academic support.
- [Academic Support Programs](#) provides academic instruction (math skills, critical reading and writing, and ESL courses) and academic support (tutoring and workshops) through the Reading, Writing, and Study Strategies Center, the Subject Tutoring Program, the Math Resource Center, and the Graduate Writing Center.
- [Career Services and Internships](#) provides career advising for undergraduates, graduate students, and alumni; develops and facilitates student placement into internships; and develops relationships with employers that facilitate the hiring of UMass Boston graduates.
- The [Ross Center for Disability Services](#) provides academic accommodations for students with disabilities and works with the [Office of Diversity and ADA Compliance](#) to ensure that students' accommodation requests and needs are addressed.
- UMass Boston has been designated as a Military Friendly Institution. The [Office of Veterans Affairs](#) assists current and former military personnel and dependents of veterans with enrollment, benefits, transition, and other support services.
- The [Office of Global Programs](#) facilitates study-abroad and exchange programs and international student and scholar services in addition to its workshops and seminars.
- Several programs provide specialized support for targeted populations—[Student Support Services](#) (low-income students, first-generation students, and students with disabilities), the [Asian-American Student Success Program](#), and [Success Boston](#) (Boston Public School graduates)

Co-curricular and Leadership Development

- The [Office of Student Activities and Leadership](#) oversees a wide range of student clubs and organizations—100 undergraduate (up from 75 in 2008) and 20 graduate student organizations. Programming and services include the Student Arts and Events

Council (SAEC), Arts and Media (a student run art gallery, five student media publications), the game room, event tickets, MBTA passes, student locker rentals, and student IDs.)

- The student voice is represented on university committees through undergraduate and graduate student government leaders, and on the Board of Trustees by the campus student trustee. All positions are elected via a general, yearly student election.
- The [Office of Student Leadership and Community Engagement](#) runs nine [leadership development and service-oriented programs](#) annually serving 600 student leaders.

Other Student Services

- The [Office of the Dean of Students](#) (ODOS) manages student conduct and judicial matters, works collaboratively with Health Services, Advising, and other key offices to identify and provide appropriate support to students of concern, and provides advocacy services. ODOS provides programs and services to students, their families, faculty, and staff to enhance academic and personal success. ODOS is the office responsible for student advocacy, hosting the [Office of Student Conduct](#), and coordinating the university's Behavioral Intervention Team for students in distress. ODOS also oversees the [Office of New Student Programs](#), where freshmen and transfer students participate in orientation, advising, and registration. The [Student CARE Team](#) provides an opportunity for coordinated communication between divisions and departments, ensuring that all university resources are available to students in crisis.
- The [Office of Student Housing and Residence Life](#) provides students and their families with information about housing options, facilitates roommate matching, and facilitates opportunities for students in off-campus housing to socialize and network. It provides an entirely web-based housing and roommate search process.
- The [Office of Urban and Off Campus Support Services \(U-ACCESS\)](#) provides information, referrals, and periodic follow-up to students experiencing temporary homelessness, food insecurity, and unanticipated non-academic socio-economic challenges and emergencies.
- The [Interfaith Campus Ministry](#) provides for the diverse religious and spiritual needs of campus constituencies through services, programming, and pastoral counseling.
- The [Early Learning Center](#) (ELC), located in leased space in the Harbor Point Apartment Community, serves preschoolers who are children of students, faculty, and staff, as well as children of community members, and is licensed by the [Massachusetts Department of Early Education and Care](#) and accredited by the [National Association for the Education for Young Children](#).
- [University Health Services](#) (UHS) is accredited by the Accreditation Association for Ambulatory Health Care (AAAHC), the American College Health Association (ACHA), and Centers for Medicare and Medicaid Services/Clinical Laboratory Improvement Amendments (CMS/CLIA), with all clinicians licensed and certified in their respective fields. [University Health Services](#) and [University Counseling Services](#) provide quality programs aimed at promoting physical, mental and emotional wellbeing.
- The [Department of Public Safety](#) includes sworn police officers, security officers, communications personnel, and civilian support staff. This department offers the Po-

lice Cadet Program, which is a student apprenticeship program, and the [Rape Aggression Defense \(RAD\)](#) program, which provides self-defense training. In addition, DPS-certified instructors provide active threat-preparedness training. This department collaborates with the [Office of Emergency Management and Business Continuity](#), which works with the campus-wide multi-method emergency notification system, evacuation procedures, and active-shooter and bomb-threat preparedness and response.

- The [Division of Athletics, Recreation, Special Programs and Projects](#) provides athletics and recreation programming to all students. The [Intercollegiate Athletics](#) program sponsors 18 sports in the Little East Conference on the NCAA Division III level and adheres to all NCAA rules and regulations. The [Intramurals and Recreation](#) program manages the [Beacon Fitness Center](#), intramural sports, the swimming pool, and waterfront recreation.
- The [University Bookstore](#), [Campus Center](#), [Dining Services](#), [Marine Operations](#), and Transportation Services are administered by [Campus Services](#). These offices provide students with services and/or programs as needed, including books and supplies, food, outdoor marine recreational sports, and parking and transportation. The Campus Center itself also serves as a location for students to access academic and student support services, clubs and organizations, and meeting and study spaces.

Student-services staff members are selected based on formal training and relevant work experience. Staff members are provided with professional development opportunities including regional and national conferences, webinars, and subscriptions to professional publications. Staff members receive training about guidelines for confidentiality in accordance with and are also guided by the ethical standards of relevant [Family Education and Privacy Act \(FERPA\)](#) professional associations.

The university follows [Board of Trustees](#) guidelines for student record management, retention, and disposal. Academic policies and information about [rights of students related to FERPA](#) are available on the university website.

University policies and [student rights and responsibilities](#), including grievance procedures, are posted on the website and available upon request in hard copy form. These policies address academic policies and rights, community standards and rights, IT policies, and policies related to emergencies and campus closings.

Appraisal

Admissions

UMass Boston's 2010 strategic plan called for significant enrollment growth consistent with that of research-high universities and established targets of 18,000 students by 2015, 20,000 by 2020, and 25,000 by 2025.

Consistent with the university mission, the goal is to maintain or increase current racial and ethnic diversity. The goal is also to maintain the current ratio of graduate students to undergraduates with a view to increasing the number of doctoral students over time. Ad-

ditionally, the aim is to increase the ratio of incoming undergraduate freshmen to transfers; the percentage of out-of-state students; and the percentage of international students. (See the [strategic plan](#) for the details of these enrollment goals.)

The enrollment targets established in the strategic plan were predicated on opening the university's first residence halls in fall 2014. Delays in bringing residence halls online (discussed in detail in Standards 8 and 9) have contributed to slower-than-expected growth and led to an adjustment in the timeline for getting to 18,000 students from fall 2015 to fall 2017.

Students with international visas comprise 11.3% of all undergraduate students and 11.7% of all graduate students. Graduate student enrollment has reached 4,056, with a 30% increase in students enrolled in doctoral programs. The institutional report on five-year admissions trends for both undergraduate and graduate students provides supporting evidence of the university's alignment between its mission and its enrollment goals. In addition, Data First Forms summarize institutional information about admissions, enrollment, and financial aid/debt/developmental coursework. For details see the [2014 Statistical Portrait](#).

Retention and Graduation

UMass Boston's Undergraduate Graduation Rates Work Group, as part of the university's strategic planning process, [developed a plan, approved in fall 2011, for significantly increasing undergraduate retention and graduation rates](#). The plan calls for building a new system and culture that places students on track and keeps them on track to timely graduation, integrates students' academic and social experiences, and connects them to networks from the beginning. It has two overarching themes: Start On Track, Stay On Track and Early and Often: Connect, Engage, and Build Community. The core elements include:

- *Advising*. The university is increasing the capacity of departments to provide advising to majors by hiring professional advisors to augment faculty advising—six positions were funded for fiscal year 2014, bringing the total over the past three years to 14 professional college-based advisors. The goal for these major advisors is caseloads of no higher than 300 to 1.
- *Planning Tools*. A system has been developed of on-track indicators by college for freshmen and transfer students and degree plans for the majors. A messaging campaign focuses on educating students about the importance of being on track, meeting deadlines, and having a plan for degree completion. U.Direct, an academic planning tool that complements the degree audit and allows students to plan how they will meet general education and major requirements semester by semester, is also being implemented. The availability of seats in critical on-track courses is monitored, and resources have been allocated to add sections to keep pace with enrollment growth.
- *Early Alert Systems*. To facilitate the identification of students who are at risk of being off track, the university uses MAP-Works, a web-based retention program that creates student profiles using academic progress data and data from engagement surveys to flag students at risk for dropping out. Advisors use Map-Works to manage

their caseloads and to systematically prioritize which students need aggressive outreach, to keep track of their interactions with students, and to make referrals and share information with other advisors and service providers across campus.

- *Learning Communities.* The College of Science and Mathematics (CSM) has led the way in the development of learning communities and freshman interest groups. CSM now offers 13 communities serving 250 students, over half of CSM freshmen. Students in the [Freshman Success Communities](#) are co-enrolled in four courses, take a two-semester first-year seminar taught by a senior member of the CSM faculty, receive intrusive advising, and participate in activities designed to socialize them into the community of scientists. Following the success of CSM, the other colleges developed learning community programs. The College of Management's [LEAD program](#) connects students with peer advisors and places them into dedicated on-track courses. The College of Liberal Arts introduced a cohort program, [CLA First!](#), and is now block-scheduling all new freshmen into courses appropriate to majors and interests. The College of Nursing and Health Sciences received funding from Harvard Pilgrim Healthcare to launch a cohort program, Set Sail for Success, in fall 2014.
- *Experiential learning activities.* We are increasing the number of opportunities for students to participate in internships, research experiences, community service, and study abroad. These activities correlate with increased retention and persistence by better integrating the individual into the university experience and making academic coursework more relevant and engaging. Internships provide relevant work experience that can lead to a career and help defray some of students' education costs.

As stated above, our efforts to improve student retention rates are contributing to increasing student success rates. In addition, an [OIRP analysis of the retention rates for first-time freshmen entering in fall 2013](#) found that several groups were significantly more likely to return than others: immigrants versus US-born students (89% vs. 77.5%); Boston Public School graduates versus non-BPS (86% vs. 79%); Student Support Services versus non-SSS (91% vs. 78%); and Pell grant recipients versus non-Pell recipients (85% vs. 74%). Also, as has been the case in the recent past, students of color have higher first year retention rates than white students. (See the table below.)

Retention by Race/Ethnicity, Fall 2013 First-time Full-time Freshmen

Race/Ethnicity	Number Entering Fall 2013	Number Returning Fall 2014	Retention Rate
Asian	226	198	87.6%
Black/African American	166	144	86.7%
Hispanic/Latino	175	139	79.4%
Non Resident Alien	183	147	80.3%
Not Specified	72	57	79.2%
Two or more races	33	24	72.7%
White	458	337	73.6%
Total	1,313	1,046	79.7%

[Analysis of six-year graduation rates for the 2008 cohort](#) found that success in the first year matters—students who returned for the second year and had at least a 2.5 GPA and 24 credits had a 70% graduation rate compared to 34% who did not. [Analyses of retention/graduation rates for transfers who entered in fall 2013](#) found that 1) immigrants were significantly more likely to graduate than US-born students (83% vs. 77%); 2) women graduated or returned at a rate of 79.7% compared to 76.4% for men, and differences by race/ethnicity were not statistically significant for men; 3) transfer GPA was significantly and positively related to graduation/retention, with higher return and graduation rates for those with higher SAT scores, GPAs, and transfer credits. The Undergraduate Graduation Rates Work Group studies these retention and graduation rates and recommends strategies to improve them.

Graduate student retention and graduation rates differ greatly between programs and colleges. [OIRP data](#) show that master’s-program completion rates by college range from 60% to 84%, with the highest rates in career-related degrees and programming (Management 81%, Nursing 83%, CPCS Human Services 83%, [MGSPGS](#) 84%). Data on doctoral-program completion rates show substantial fluctuation across years within and between programs; this is unsurprising, given the relatively small sizes of most entering cohorts. The Clinical Psychology PhD program has the highest completion rate, 88%. (See the [OIRP report on doctoral student progress](#).) In 2014 Graduate Studies convened a diverse committee to review these data and make recommendations for improvements.

(See the [Report of the Graduate Student Success Committee](#).) This review is being continued by an ad hoc committee working to identify and track milestones and metrics for graduate student success. Graduate Studies will be using the reports of these groups in the coming academic year to develop a graduate student success plan.

Student Services

Over the last 10 years, UMass Boston has expanded and reorganized student services, and formed new student-service mechanisms, to meet the needs of its increasingly diverse and complex student population. Assessments of the characteristics and learning needs of the student population (e.g., retention/graduation taskforce analyses, independent consultant reports, point-of-service surveys, and learning-outcome assessments) drove these changes. Due to enrollment growth, many areas are experiencing record usage. The [annual reports](#) for each of the divisions, colleges, and schools reflect the expansion of programming and services, student-participation rates, the impact of these curricular and co-curricular efforts on student learning and students' collegiate experiences, key accomplishments, and continuing challenges and opportunities. In addition, the Office of Diversity and Inclusion completed a [Campus Climate Survey](#) during 2012, which included both students and personnel. This abundance of information has informed a number of strategies and actions, many already successful, to address issues and concerns raised (see Standard 11).

Some of the changes made to date have included: 1) revision and expansion of New Student Programs and orientation for new and transfer students; 2) the addition of new advisors in the University Advising Center, and clearer placement and registration protocols for ESL students; 3) increased university contributions to the need-based financial aid program of more than 157% to \$16.6 million, increased merit scholarship awards, and pilot programming to address financial literacy; 4) formation of the Graduate Student Success Committee to assess graduate student retention and graduation rates, job placement, health and wellness, orientation, and life on campus for graduate students, and to create an exit survey; 5) intentional mental-health outreach to students and incremental additions in staffing, space, and resources to University Health services to prepare for residential life programming, including three new clinical psychologists and a part-time psychiatrist; 6) continuing provision of designated space for student athletes to study and to be tutored, and the hiring of a compliance officer whose responsibility includes tracking the academic success rates of student athletes; 7) implementation of a more formalized structure for tracking and responding to student issues through the CARE Team and utilization of Advocate, a technological system for student-conduct records; and 8) improved protocols, training, and technological enhancements for addressing safety and security and compliance issues related to Title IX, and the Clery Act, in addition to environmental emergencies and other crises.

Student services are decentralized across the university, and administered by four distinct divisions and several colleges, which may sometimes result in a lack of alignment and coherence. There have been intentional efforts to improve collaboration between academic and student-service areas, as well as among divisions with curricular and/or co-curricular support functions, to improve retention and graduation rates and to promote student success. There continue to be issues related to the sufficiency of resources (staffing, funding, space), as well as concerns about infrastructure and organizational structures and processes. Several external consultants have conducted studies about student housing, [health services](#), safety and security, Title IX, and athletics. It is anticipated that

the assessment and recommendations from the report by the Pappas Group, which recently conducted an organizational review of the university, will help to inform and guide how each unit addresses these challenges and opportunities. There is a need to use the results of these various studies to develop a comprehensive academic support and student services plan that is integrated with the master plan, the facilities and construction plan, the strategic plan, and an academic plan for the university. This will help the university address concerns coherently and consistently, and be successful in its institutional transformation.

Projections

Admissions

- Enrollment Management will work closely with the provost and deans to develop an enrollment plan which establishes annual enrollment targets that will enable the university to achieve the goal of 25,000 students by 2025. The plan will also outline the strategies that must be undertaken to achieve these targets, as well as the timeframes and costs for implementation. The enrollment plan will be developed in conjunction with the academic master plan and refinements made to the campus master plan.

Retention and Graduation

- The Undergraduate Graduation Rates Work Group will be reconvened to set the retention and graduation targets for the next five years and to recommend the strategies that must be implemented to achieve these targets. This work will be completed in fall 2015 so that the plan can be reviewed and approved by December of that year.
- The Graduate Student Success Committee will identify the factors which contribute to graduate students' failure to complete their degree programs on time and will present a plan in 2015 to address these factors.
- The provost will work with colleges and other units to develop a more consistent and coherent campus-wide approach to identifying and assessing co-curricular student learning goals and outcomes, using both direct and indirect measures, and evaluating their impact on student learning, retention, graduation, and post-graduation life.

Student Services

- The university will work through a task force to provide additional staffing, programming, services, and space to meet the academic and non-academic support and student-service needs of its diverse national and international student population, which will continue to increase as the campus becomes residential.
- Co-curricular programming for student leadership development and service learning will continue to expand to better integrate curricular and co-curricular experiences that support students during service learning, internships, job-shadowing, and study-abroad opportunities through local, national, and international partnerships with governmental agencies, non-profit organizations, and other higher-education institutions.
- The university will take a three-pronged approach to secure on-campus housing between fall 2015 and fall 2018. The options are: (a) Board of Trustees approval for a self-build project; (b) a public-private partnership at the UMass system level; and (c) alternative housing arrangements such as a master lease for housing under campus

control at an on off-campus site. Timeframes for these approaches have yet to be finalized or approved by the Board of Trustees. Approval to move forward on a Public Private Partnership RFP was given in December 2014. In addition, a Residential Life Advisory Committee will be established to plan 24/7 programming and services.

- Due to the significant increase in campus sexual violence around the nation and to intense scrutiny and proposed legislation at both the federal and state levels, the university will expand collaborative partnerships and integrated strategies among campus and community stakeholders to address these concerns. System-wide efforts, as well as campus-wide efforts, have been initiated as of 2014.

Institutional Effectiveness

As noted in Standard 2, the university is actively engaged in gathering, analyzing, and reporting data related to student demographics, enrollments, retention and graduation rates, and student experiences to assess the extent to which we are meeting our enrollment and student success goals. In addition, each division, college, and school collects both direct and indirect measures of student participation in curricular and co-curricular learning, student experiences, and the impact of activities and programs on student learning. Technological systems such as Advocate, Taskstream, [Collegiate Link](#), [MAP-Works](#), and Titanium, provide organized approaches to gathering student data, evaluating effectiveness of programming and impact on student learning, reporting results, and utilizing data for program improvement.

[Index to Supporting Documents for Standard 6](#)

[Web-Based List of Supporting Documents](#)

**Data First Form: Standard 6: Students
(Admissions, Fall Term)**

Credit Seeking Students Only - Including Continuing Education

	4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year* (Fall 2014)	Next Year Forward (goal) (FY 2015)
Freshmen - Undergraduate						
Completed Applications	6,748	6,454	7,876	8,170	8,451	
Applications Accepted	3,850	4,417	4,835	5,834	5,981	
Applicants Enrolled	1,129	1,297	1,267	1,413	1,542	1,580
% Accepted of Applied	57.1%	68.4%	61.4%	71.4%	70.8%	-
% Enrolled of Accepted	29.3%	29.4%	26.2%	24.2%	25.8%	-
Percent Change Year over Year						
Completed Applications	11.5%	-4.4%	22.0%	3.7%	3.4%	
Applications Accepted	3.6%	14.7%	9.5%	20.7%	2.5%	
Applicants Enrolled	14.4%	14.9%	-2.3%	11.5%	9.1%	
Average of Statistical Indicator of Aptitude of Enrollees: (Define Below)						
Mean HS GPA	3.03	3.10	3.15	3.16	3.19	3.20
Transfers - Undergraduate						
Completed Applications	3,379	3,448	4,073	3,459	3,241	
Applications Accepted	2,501	2,798	2,909	2,754	2,711	
Applications Enrolled	1,660	1,787	1,828	1,719	1,677	1,720
% Accepted of Applied	74.0%	81.1%	71.4%	79.6%	83.6%	-
% Enrolled of Accepted	66.4%	63.9%	62.8%	62.4%	61.9%	-
Master's Degree & CAGS						
Completed Applications	1,934	1,757	1,919	2,040	1,906	
Applications Accepted	1,182	1,228	1,206	1,317	1,285	
Applications Enrolled	722	826	795	824	738	800
% Accepted of Applied	61.1%	69.9%	62.8%	64.6%	67.4%	-
% Enrolled of Accepted	61.1%	67.3%	65.9%	62.6%	57.4%	-
First Professional Degree - All Programs						
Completed Applications						
Applications Accepted						
Applications Enrolled						
% Accepted of Applied	-	-	-	-	-	-
% Enrolled of Accepted	-	-	-	-	-	-
Doctoral Degree						
Completed Applications	568	495	760	692	865	
Applications Accepted	79	99	151	168	230	
Applications Enrolled	56	76	114	120	142	170
% Accepted of Applied	13.9%	20.0%	19.9%	24.3%	26.6%	-
% Enrolled of Accepted	70.9%	76.8%	75.5%	71.4%	61.7%	-

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 6: Students
(Enrollment, Fall Census Date)**

Credit-Seeking Students Only - Including Continuing Education

		4 Years Prior (Fall 2010)	3 Years Prior (Fall 2011)	2 Years Prior (Fall 2012)	1 Year Prior (Fall 2013)	Current Year* (Fall 2014)	Next Year Forward (goal) (FY 2015)
UNDERGRADUATE							
First Year	Full-Time Headcount	2,097	2,324	2,338	2,391	2,608	
	Part-Time Headcount	346	501	368	346	350	
	Total Headcount	2,443	2,825	2,706	2,737	2,958	3,300
	Total FTE	2,110.0	2,421.0	2,381.0	2,415.0	2,640.9	
Second Year	Full-Time Headcount	1,871	1,754	1,929	2,059	1,998	
	Part-Time Headcount	591	477	538	527	436	
	Total Headcount	2,462	2,231	2,467	2,586	2,434	-
	Total FTE	1,979.0	1,835.0	2,058.0	2,163.0	2,069.7	
Third Year	Full-Time Headcount	2,114	2,092	2,075	2,265	2,380	
	Part-Time Headcount	784	718	743	771	747	
	Total Headcount	2,898	2,810	2,818	3,036	3,127	-
	Total FTE	2,310.0	2,278.0	2,249.0	2,469.0	2,561.7	
Fourth Year	Full-Time Headcount	1,641	1,793	1,840	1,808	1,960	
	Part-Time Headcount	1,035	1,134	1,400	1,370	1,391	
	Total Headcount	2,676	2,927	3,240	3,178	3,351	-
	Total FTE	1,924.0	2,123.0	2,278.0	2,228.0	2,401.5	
Unclassified	Full-Time Headcount	250	289	244	236	232	
	Part-Time Headcount	839	784	649	593	598	
	Total Headcount	1,089	1,073	893	829	830	-
	Total FTE	522.0	544.0	443.0	412.0	405.3	
Total Undergraduate Students							
	Full-Time Headcount	7,973	8,252	8,426	8,759	9,178	-
	Part-Time Headcount	3,595	3,614	3,698	3,607	3,522	-
	Total Headcount	11,568	11,866	12,124	12,366	12,700	13,000
	Total FTE	8,845.0	9,201.0	9,409.0	9,687.0	10,079.1	-
	% Change FTE Undergraduate	4.2%	4.0%	2.3%	3.0%	7.1%	-100.0%
GRADUATE							
	Full-Time Headcount	1,203	1,257	1,242	1,240	1,365	
	Part-Time Headcount	2,683	2,618	2,508	2,671	2,691	
	Total Headcount	3,886	3,875	3,750	3,911	4,056	4,000
	Total FTE	2,596.0	2,590.0	2,591.0	2,645.0	2,754.1	
	% Change FTE Graduate	-	-0.2%	0.0%	2.1%	6.3%	-100.0%
GRAND TOTAL							
	Grand Total Headcount	15,454	15,741	15,874	16,277	16,756	17,000
	Grand Total FTE	11,441.0	11,791.0	12,000.0	12,332.0	12,833.2	13,022.0
	% Change Grand Total FTE	2.6%	3.1%	1.8%	2.8%	6.9%	5.6%

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Data First Form: Standard 6: Students
(Financial Aid, Debt, and Developmental Courses)**

Where does the institution describe the students it seeks to serve?

--

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Budget***	Next Year Forward (goal)
(FY2011)	(FY 2012)	(FY 2013)	(FY 2014)	FY 2015

Student Financial Aid

Total Federal Aid	\$98,202,559	\$99,138,817	\$99,518,093	\$99,500,619	\$101,000,000
Grants	\$21,345,862	\$21,029,060	\$21,936,664	\$22,879,216	\$22,400,000
Loans	\$75,214,831	\$76,364,537	\$75,987,922	\$75,096,650	\$75,500,000
Work Study	\$1,641,866	\$1,715,220	\$1,593,507	\$1,524,753	\$1,600,000
Total State Aid	\$8,373,513	\$8,966,609	\$9,901,278	\$9,788,608	\$9,800,000
Total Institutional Aid	\$22,578,005	\$30,807,623	\$34,111,910	\$36,556,862	\$37,000,000
Grants	\$22,578,005	\$30,807,623	\$34,111,910	\$36,556,862	\$37,000,000
Loans	\$0	\$0	\$0	\$0	\$0
Total Private Aid	\$8,176,608	\$8,997,942	\$9,048,191	\$8,646,837	\$9,100,000
Grants	\$1,741,624	\$2,132,193	\$2,152,656	\$2,229,072	\$2,250,000
Loans	\$6,434,984	\$6,865,749	\$6,895,535	\$6,417,765	\$6,000,000

Student Debt

Percent of students graduating with debt*

Undergraduates	68%	72%	69%	71%	70%
Graduates	50%	53%	51%	50%	50%

For students with debt:

 Average amount of debt for students leaving the institution with a degree

Undergraduates	\$24,589	\$25,943	\$25,302	\$26,134	\$ 26,657
Graduates	\$30,682	\$31,510	\$30,842	\$33,121	\$ 33,783

 Average amount of debt for students leaving the institution without a degree

Undergraduates	\$20,967	\$20,055	\$18,859	\$20,875	\$ 21,293
Graduate Students	\$29,067	\$29,884	\$29,539	\$33,113	\$ 33,775

Cohort Default Rate

	2007	2008	2009	2010	2011		
	3.3%	4.5%	3.7%	5.8%	7.6%		

Percent of First-year students in Development

	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015
English as a Second/Other Language	0%	0%	0%	0%	0%
English (reading, writing, communication skills)	2.5%	0.0%	0.0%	0.0%	0%
Math	10.4%	10.2%	8.3%	2.1%	0%

* All students who graduated should be included in this calculation.

**Courses for which no credit toward a degree is granted.

***"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard Seven: Library and Other Informational Resources

The institution provides sufficient and appropriate library and information resources. The institution provides adequate access to these resources and demonstrates their effectiveness in fulfilling its mission. The institution provides instructional and information technology sufficient to support its teaching and learning environment.

Description

Resources and Access

The mission of UMass Boston's [Healey Library](#) is to support campus academic and research pursuits by providing resources and staff to guide users in the complex process of discovering and effectively using information.

Healey Library is composed of seven major units or departments that provide all the services and functions necessary for accessing and delivering library resources, and instructing users in their acquisition and use. It is staffed by 15 librarians, 4 non-librarian professionals, and 14 classified or clerical-grade staff. Its systems architecture has largely migrated to vendor-supported, cloud-based storage and hosting of most electronic utilities and resources (See Supporting Document: [University Libraries Organizational Chart](#)).

The dean of university libraries administers Healey Library and reports directly to the provost. In consultation with departmental leadership, the dean is responsible for the daily operations and strategic direction of all library functions. The dean also consults monthly with the Faculty Council's Library Committee on strategic direction, assessment, operational change, and program implementation.

Healey Library occupies eight floors of the campus's Healey building. The space includes print books and journals, microfilms, reference and educational curriculum resources, and the University Archives and Special Collections. Facilities are shared with UMass Boston's Information Technology Services Division's computing labs, help desks, instructional design staff, and Graduate Research Center; and also with the university's Tutoring Center, Office of Faculty Development, and portions of Academic Support Services' subject tutoring program. Library use is tallied with an hourly head count of library users (not door count) that has seen a 70.7% growth from 145,873 to 498,708 users within the last nine years.

Through a broad array of activities the library reaches out to the university community. These include participation on campus-wide committees, as well as a liaison program that provides direct linkages between Healey librarians and academic units. This outreach is in response to ongoing feedback using standard assessment tools such as [LibQual](#) and [MISO](#) (Measuring Information Services Outcomes), and other data gathering, that indi-

cate a need to better promote library resources and services and to improve the findability of information content.

Bulk and aggregated purchasing have enabled the library to surpass 400,000 electronic journal titles and 400,000 electronic books. The number of full-text and citation databases has increased from 60 to 141 between 2004 and 2014. Despite lower expenditures relative to peers, years 2008-2012 were exemplary periods for resource acquisitions: An increase of almost 50% in resource expenditures yielded a 32% increase in book and e-book titles and a 25% increase in database packages, providing 360,000 new e-journal titles, whose number rose 87%.

University Archives and Special Collection (UASC) has grown its virtual and physical collections. The additions contribute to records of urban planning, social action, alternative movements, community organizations, and local histories related to neighboring communities. Physically, archival and special collection acquisitions have increased 160% from 135 to 354 linear feet over the last three years. The library sees the importance of providing primary source materials for instruction and research, as does a recent [Ithaka S+R report](#) asserting the need to make available unique non-commodity documents where access is not constrained by costs of access and rights issues.

Another area of resource development is the digital archival preservation of locally and internationally derived content. Locally, the [Mass. Memories Road Show](#) is a community-based public history project traveling throughout Massachusetts communities to capture images and oral histories for the preservation of community legacy. More than 4,000 images and videos have been digitized through the project thus far.

Adding to the local collection of valuable non-commodity resources, the library launched the [ScholarWorks digital repository](#) to gather and disseminate faculty and student scholarship in 2012. Faculty adopted an [Open Access Policy](#), underscoring its commitment to publicly disseminate scholarly production. To date over 4,150 works are part of a digital collection. There have been 491,000 downloads worldwide, including 245,112 downloads in the past year alone.

Internationally, the library unveiled the [Mercedes Agullo Digital Library](#), a collaborative project with the Latin American and Iberian Studies Department that makes available the collection of Spanish historian Mercedes Agulló y Cobo. Another project with the Royal Academy of Hispanic America involves digitizing a collection of public-domain works recognized as valuable to existing and developing academic programs. Similar projects with libraries and scholars in Spain, Ethiopia, and Scotland are in discussion. The university's Office of Global Programs has been a collaborator and catalyst in fostering international relationships resulting in preserving and making available rare resources.

Information and Technological Literacy

Student and faculty awareness and use of information resources and services is supported through in-person and virtual assistance tools. Reference Outreach and Instruction (ROI)

librarians provide responses to about 4,500 questions each year as part of 24/7 online chat sessions. Responses to LibAnswers questions form a data bank of searchable questions and answers for the user community which has 40,000 hits a year. Over 400 research guides are produced and revised; these have been developed for academic disciplines, library resources, and library services and can be requested for classes. In-person consultations for faculty and students are also scheduled; users can request a specific ROI librarian or schedule an available time via an online tool.

The library instruction program focuses on serving undergraduate students through face-to-face instruction with hands-on active learning. Our resource-intensive in-person library instruction program reaches 6,000 student contacts per academic year. This number is also heavily weighted toward undergraduates, as instruction for graduate-level courses accounts for about 5% of the instructional effort. Leadership within the General Education program has been critical in that information literacy has been one of seven General Education capabilities since the establishment of the program and is heavily embedded in every first-year seminar. General Education faculty may pair with a Reference Outreach and Instruction librarian to develop instruction based on accessing and applying information resources to specific course assignments. Despite a robust instructional program, the library needs to reach a larger number of students across undergraduate and graduate academic program.

Appraisal

Resources and Access

Healey Library delivers resources and services through in-person and virtual means to both students and faculty on campus and throughout the world. The library has grown as a partner in learning outcomes through information-literacy instruction and the provision of rich resources necessary for academic coursework and research. Emerging from the budgetary downsizing of the previous decade, it has enhanced the quantity and quality of resources available in electronic formats. In previous years, the library responded to static budget allocations by maximizing efficiencies, consolidating interlibrary loan services and reference outreach and instruction without undercutting access to resources and timely delivery. More recently, planning has focused on learning-assessment plans for library instruction and strategies for improving the user experience. An expenditures comparison with peer institutions suggests levels of support desirable for the university's strategic growth. The library's \$4.8 million budget for 2012 was about \$4 million below the median, while expenditures per student of \$407 were about \$243 below the median (See Supporting Document: [Librarians, Expenditures, & Resources \(2012 Comparison Data Available\)](#)).

The library's collection policy prioritizes digitally available journals and monographs over print copies. All titles requested by faculty are ordered. Monograph titles requested through interlibrary loan are reviewed and purchased for the collection, as are noted university press publications. For electronic journals and databases, the library has moved to a hybrid purchasing model with discounts that permit collecting a large number of re-

sources, although journals often come with embargo limitations. Acquiring full runs of titles is not always cost-feasible.

Another element enabling increase in collections and access to shared resources is collaboration with neighboring institutions and participation in consortia. The adjacent Massachusetts Archives and Commonwealth Museum extends its resources to students and faculty. Resource sharing takes place with the John F. Kennedy Presidential Library and Museum and the new Edward M. Kennedy Institute for the United State Senate. Through relationships with these institutions, primary source material is available for scholars of community, state, and national policy and politics.

The library is a committed partner in the [Massachusetts Commonwealth Consortium of Libraries in Public Higher Education Institutions](#), the [Fenway Library Consortium](#), the [Boston Library Consortium](#), and the [Center for Research Libraries](#). Consortial memberships bring great benefits: shared costs and resources, and enhanced capabilities. To build on these capabilities and enter into collaborations that better define its standing within the academic library community, the library intends to join national consortia.

The library engages in a continual process of rethinking and reconfiguring its facilities to produce an environment conducive to learning and collaboration. Expanding quiet study space, 24-hour access, and changes in library service points are factors to be considered in future space configurations. Integrating library and information technology services is a goal expressed in the university's strategic plan. Consideration is being given to extending that goal to include services that develop research, pedagogy, and technology skills of faculty and graduate students. The library building is the logical location for a type of information commons. These emerging service paradigms will demand altering the current space profile of the building.

An important issue for learners and scholars is their ability to find and access resources at the point of need. Several pieces of evidence point to this concern. One is interlibrary loan statistics which indicate that 11% of requests to borrow are for resources already available at the library. User feedback also indicates that resources are not being found with the currently available utilities. While the library has made more resources available through digital acquisitions, its discovery and delivery systems for bringing those resources to users is behind the current technology. The current systems are configured for the findability of print books and journals. Newer utilities are needed to facilitate efficient search and discovery.

Healey Library continuously reflects and reconfigures services, collections, facilities, and learning activities important to student life based on survey evaluations and other data points. Healey Library and Information Technology have engaged in [MISO](#) and [LibQual surveys](#) to assess student and faculty perceived satisfaction and expressed needs. These surveys indicate that undergraduate students are pleased with the resources and services. Despite voicing the need for greater capacity, they appreciate the library as a place of quiet refuge. Graduate students tend to expect more in resources and services. Although comments indicate desired titles are sometimes lacking, these are often held by the li-

brary. All students continue to express a desire for quiet, comfortable spaces for individual and group study.

In 2011 Healey Library and Information Technology commissioned an interview survey of faculty to identify information needs and assess services to faculty. Principal recommendations made in the resulting report, [*Faculty Reflections on Information Technology and Library*](#), were in three areas: 1) Personalize outreach, with direct connections from library staff as a primary means of communication. 2) Strengthen delivery of resources and services so that faculty can rely on Healey Library as their primary library. 3) Unify services and develop collaborative approaches to solving service and infrastructure issues. Findings in support of these recommendations include the following:

- Resources are the primary attribute by which faculty evaluate the library. There is both a positive regard for the library's resources and a desire for a richer collection.
- Faculty suggest that strong relationships with library librarians and staff were key to producing positive attitudes and experiences.
- Faculty reported relying on the collections of other libraries.
- Faculty felt that vendor-imposed content embargoes hindered access to the newest research.
- Faculty expressed concern about diminished space for student study.

Assessment data have informed decisions affecting library hours, increasing available study areas, purchasing resources in bulk, on-demand purchasing, liaison-based communications, service-point staffing, and other improvements. A shortcoming of the library's current technologies and available staff is difficulty in culling the most useful statistics from our systems: the integrated library system's reporting functions are out-of-date and, in the case of some useful data points, inoperable; for example, the data extraction utility for EZproxy counts files and pages, not full-text article retrievals.

Information and Technological Literacy

To integrate new information formats within the curriculum, the library collaborates with Information Technology to sponsor faculty learning programs and support technology-enabled learning. Librarians work directly with instructors to build lectures that make use of information resources on hand-held devices. This intersection of information, technology, and instruction suggests two areas of strategic direction. One is developing a delivery model that integrates specialized services from Healey Library and Information Technology in retrieving and applying information toward high-quality instructional objects, research applications, and funding proposals. The other is creating an academic unit of librarian faculty that can develop science-based information curricula applicable throughout existing disciplines and work toward creating new academic programs.

Two different assessments of the library instruction program have been undertaken. In a survey assessing the effectiveness of library instruction and subject guides, a small sample of faculty indicated mostly meaningful improvement in the quality of student papers and projects, appropriateness of resources used, and citation documentation. To directly

assess instruction, a 2009 project examined 65 student research papers for use of information resources and citation documentation. Analysis of bibliographies indicated that students were able to make appropriate use of resources discussed during library instruction sessions (See Supporting Document: [Faculty Survey and Bibliographic Review Study](#)).

The instruction program has two major issues to address: 1) scalability to reach as many students as possible, and 2) the need to extend instruction into the growing population of graduate students and their research needs. A customized online curriculum will allow instruction librarians to offer objectives-based information-literacy sessions embedded into academic coursework or stand-alone sessions throughout larger areas of undergraduate and graduate programs. Graduate instruction modules will focus on using and managing high-quality information sources.

A new learning-outcomes-assessment plan is developing information-literacy outcome measures in conjunction with faculty instructors. Quantitative direct assessments focus on the application and synthesis of knowledge, relying on standardized classroom-administered instruments such as the [Research Practice Survey](#) and the [Standardized Assessment of Information Literacy Skills](#) (SAILS). Student research projects will be assessed according to information-literacy and critical-thinking rubrics adapted from [AACUs Valid Assessment of Learning in Undergraduate Education](#) and the [Rubric Assessment of Information Literacy Skills](#) (RAILS). The goal in systematic learning outcomes-assessment is to embed an assessment component in each library instruction opportunity.

Projection

Both strategic plan considerations and assessment findings direct Healey Library to focus on assuring student success through instruction and assessment, enhancing expert support for the expanding academic and research enterprise, and promoting greater user interaction with the library's physical and virtual resources.

Resources and Access

- Healey Library, Information Technology, and the College of Advancing and Professional Studies (CAPS) will develop a collaborative commons that combines resources for technology, information management, research design, and instructional development. Incubation and expansion of the commons will take place over three years.
- The library will continue to enhance services through which expert librarians apply their knowledge of information retrieval, management, and resources in consultation with faculty to design instruction, create research and information strategies, and develop curricula. The research and learning commons approach will guide utilization of the library facility as well as services and staffing. Future hires (like recent hires) will include librarians with suitably advanced academic credentials, pedagogical expertise, and specialized academic experience.

Information and Technological Literacy

- Healey Library will build an objectives-based instruction program incorporating information-literacy-outcomes assessment, and will continue its engagement with faculty to increase instruction throughout undergraduate and graduate curricula. Piloting will take place this year and continue throughout the following academic year.

Institutional Effectiveness

Healey Library aligns its planning and organizational development with the campus strategic plan. Through thoughtful planning and collaboration, Healey Library provides information services and resources appropriate for a growing teaching and research enterprise. Special attention is given to building integrated services, enhancing research services, and embedding information literacy throughout academic programs. The library uses multiple assessment instruments to continually monitor and improve the achievement of these objectives.

[Index to Supporting Documents for Standard 7](#)

[Web-Based List of Supporting Documents](#)

**Data First Form: Standard 7: Library and Other Information Resources
(Information Technology)**

Update

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
(FY 12)	(FY 13)	(FY 14)	(FY 15)	(FY 16)

Percent of students with own computers

86	96	98	98	98%
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Course management system

Blackboard Learn 9.1

Number of classes using the system

Classes on the main campus

Classes offered off-campus

Distance education courses (Online?)

1,988	2,073	2,174	2,468	2,838
50	61	61	55	63
753	770	835	1,001	1,151

Bandwidth

On-campus network

Off-campus access

commodity internet (Mbps)

high-performance networks (Mbps)

Wireless protocol(s)

100mbs	100mbs	100mbs	100mbs	100/1000mbs
550mbps	1gb	1gb	1gb	4gb
1gbps MGHPCC	1gbps MGHPCC	1gbps MGHPCC	1gbps MGHPCC	1gbps MGHPCC
20mbps (802.11)	20 mbps802.11g	50 mbps 802.11n	50 mbps 802.11n	100 mbps 802.11ac

Network

Percent of residence halls connected to network **No residents halls on campus**

wired

wireless

Percent of classrooms connected to network

wired

wireless

Public wireless ports

100%	100%	100%	100%	100%
25%	45%	45%	60%	90%

Multimedia classrooms (percent)

Main campus

Branches and locations

97%	97%	97%	100%	100%
50%	80%	80%	80%	80%

IT Personnel (FTE)

Main campus

Branch campuses

Dedicated to distance learning

99.0	101.0	101.0	101.0	101.0
5.0	6.0	6.0	6.0	6.0

Software systems and versions

Students

Finances

Human Resources

Advancement

Library

Website Management

Portfolio Management

Interactive Video Conferencing

Digital Object Management

PeopleSoft 8.0
PeopleSoft 9.0
PeopleSoft 9.2
iModules
Endeavor / Ex Libris
Expression Engine 2.5 (Ellis Labs)
TaskStream (1 College Uses it - CEHD)
Polycom, LifeSize, Tandberg and Fuze

*"Current Year" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Data First Form: Standard 7: Library and Other Information Resources
(Library)**

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year* (actual or projection)	Next Year Forward (goal)
(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)	(FY 2015)

Expenditures/FTE student

Materials	\$151	\$180	\$212	\$193	\$200
Salaries & Wages	\$161	\$187	\$157	\$165	\$171
Other operating	\$32	\$44	\$38	\$50	\$52

Collections

Total print volumes	\$455,000	\$462,500	\$465,400	\$467,500	\$469,000
Electronic books	\$150,000	\$499,000	\$520,000	\$522,000	\$528,000
Print/microform serial subscriptions	\$200	\$150	\$34	\$34	\$34
Full text electronic journals	\$409,000	\$410,021	\$411,500	\$412,000	\$412,500
Microforms	\$8,457	\$8,457	\$8,457	\$8,457	\$8,457
Total media materials	\$1,022,657	\$1,380,128	\$1,405,391	\$1,409,991	\$1,417,991

Personnel (FTE)

Librarians -- main campus	13	15	10	12	14
Other library personnel -- main campus	20	21	17	24	20

Library Instruction

Total sessions -- main campus	347	357	393	411	450
Total attendance - main campus	6220	6700	6830	4975	9000

Reference and Reserves

In-person reference questions	13000	16500	18250	8200	18700
Virtual reference questions	1130	1905	1986	5271	2000
Traditional Reserves:					
courses supported	637	649	627	580	600
items on reserve	2755	2717	2374	2077	1800
E-Reserves:					
courses supported	418	368	335	282	100
items on e-reserve	6778	6519	5535	3419	1100

Interlibrary Loans

Returnable items lent	1317	4239	4458	1681	1700
Non-Returnable items lent	3807	3724	3395	4046	4200
Total Items Lent	5124	7963	7853	5727	6900
Returnable items borrowed	6603	6879	7436	4245	4400
Non-Returnable items borrowed	10311	8233	9649	8700	8900
Total Items borrowed	16914	15112	17085	12945	13300

Circulation (do not include reserves)

Total/FTE student	2.93	4.93	3.08	4.00	4.00
Student borrowing through consortia or contracts	1554	2311	2606	3487	2700

Availability/attendance

Hours of operation/week main campus	81.0	84.5	84.5	84.5	98.5
Gate counts/year -- main campus	418666	450385	437385	210733	440000

URL of most recent library annual report:
Information Literacy Reports:

<http://www.umb.edu/library/about>
Library Learning Outcomes Assessment Plan (Attached)

*"Current Year" refers to the year in which the team visit occurs or if these forms are being completed in conjunction with an interim or progress report the year in which the report is submitted to the Commission.

Standard Eight: Physical and Technological Resources

The institution has sufficient and appropriate physical and technological resources necessary for the achievement of its purposes. It manages and maintains these resources in a manner to sustain and enhance the realization of institutional purposes.

Description

Current Space for Instruction, Research, Student Services, and Student Activities

UMass Boston's 110-acre waterfront main campus is on a peninsula in the Dorchester neighborhood of Boston. Originally constructed in the early 1970s, it is adjacent to the [John F. Kennedy Presidential Library and Museum](#), the [Massachusetts Archives and Commonwealth Museum](#), and the [Edward M. Kennedy Institute for the United States Senate](#). It was built as a mega-structure, with a two-story parking garage integrated into the lower levels of five of the seven original buildings. A plaza atop this garage substructure provides pedestrian circulation between buildings. The current main campus includes eleven buildings totaling approximately 1,840,000 gross square feet, and 975,585 net assignable square feet (nasf).

Instructional space on the main campus currently includes 102 general-purpose classrooms with over 4,500 seats. This classroom space is assigned by the Registrar's Office within allocated blocks for each college. Departmental or specialized instructional spaces and teaching labs are scheduled separately through academic units. Scheduling information for all instructional space is maintained in the R25 schedule management system to support utilization and performance assessment by campus-wide committees and the registrar. Current research space includes "wet" and "dry" laboratories and associated areas. Most date back to the early 1970s and no longer support modern research methods. Major student-service and campus life functions are concentrated in the Campus Center. Smaller spaces for such functions in other buildings house specific activities or smaller-scale services such as departmental tutoring, self-serve copying, or "grab and go" vending. New buildings under construction, described below, will considerably expand and enhance the university's physical plant.

The university also operates 9,020 nasf of residential, laboratory, and classroom facilities at the [Nantucket Field Station](#), and rents 27,855 nasf of office and classroom space nearby in Boston and in Plymouth. In 2010, it [acquired the twenty-acre Bayside Expo Center property](#) half a mile from the main campus, and the historic Calf Pasture Pumping Station on the campus itself.

The university's Facilities Department oversees the operation and maintenance of the physical plant, maintains the campus-wide space inventory, and manages renovations and new construction.

Physical Resource Planning

Deterioration caused by exposure to road salt and the elements led the state and the university to close the two-level parking garage in 2006, invest in stabilization of the buildings and plaza for a 7-10 year period, plan the future demolition of the substructure, and undertake a comprehensive master-planning process.

The [25-year campus master plan](#), adopted in December 2007, reflects best practices and a long-term strategic vision. Collaboration and inclusiveness characterized the master-planning process and continue to shape decision-making. The process engaged students, faculty, and staff, identified physical and capital needs, and recommended a flexible physical framework to support improvements that reflect strategic goals. Extensive benchmarking and assessment confirmed that numerous building systems had reached the end of their useful life, that the deterioration of the physical plant was profound, and that the campus lacked adequate space for its current and projected enrollment. Initial implementation of the master plan has prioritized construction of academic and research facilities, including the new, state-of-the-art [Integrated Sciences Complex](#) (ISC) and [General Academic Building No. 1](#) (GAB1), as well as the complete upgrade and relocation of the campus's utilities infrastructure.

Master plan implementation is aligned with the university system's annual capital budget process, which requires each campus to submit prioritized five-year capital spending plans to the UMass Board of Trustees for approval. In 2013 the board mandated an eight percent ceiling for the portion of the operating budget that can be expended on debt service in any given year, a reduction from the ten percent limit established by the board in 2009 when the master plan was developed.

Allocation of existing facilities is governed by a [Space Planning and Capital Expenditure \(SPACE\) Policy](#) and administered by a committee composed of the provost, the vice chancellors for administration and finance and for student affairs, and the chancellor's chief of staff. Like the master plan, the SPACE Policy specifies that the assignment of existing space should reflect priorities established by the university's strategic goals and in keeping with its teaching and research mission.

Safety, Security, Accessibility, Sustainability, and Healthful Environment

The university takes a collaborative approach to ensuring that facilities comply with requirements for accessibility, sustainability, safety and security, and a healthful environment through the efforts of a variety of departments including [Facilities Management](#), [Environmental Health and Safety](#), [Department of Public Safety](#), [Emergency Management](#), [ADA Compliance](#), [Recycling and Sustainability](#), and Parking and Transportation.

Facilities Management has undertaken critical life-safety and code compliance projects over the last several years, based on building and infrastructure project studies. Among these projects are new fire protection systems in the Science Center and Wheatley Hall; renovation and upgrades to Healey Library and Science Center elevators; replacement of

the Healey Library emergency generator; and construction of ADA-compliant restrooms in the primary academic buildings.

The university's dedication to environmental stewardship and sustainability is demonstrated by its endorsement of the [American College and University Presidents Climate Commitment](#) and a range of sustainable programs and practices. These include, among other things, use of seawater for cooling, installation of solar panels on certain buildings, zero-waste dining programs, a comprehensive recycling and composting program, smaller energy conservation measures in existing facilities, and a traffic-demand-management program that includes discounted public transit passes and a free low-emission campus shuttle to discourage single-occupant commuting.

Technological Resources

UMass Boston's [Information Technology Services Division](#) (ITSD) includes over 100 staff that manage a campus-wide access and storage network for students, faculty, and staff. ITSD supports application services, client services, communications and infrastructure, educational technology, and research computing; it also supports instructional technology, including AV hardware and software, the wireless network, an adaptive computing lab, a virtual (remote access) computing lab, [Blackboard learning management system](#), and lecture capture. It provides regular instructional technology training for students, faculty and staff. Its [Digital Learning Studio](#), a walk-in facility for faculty, provides instructional technology support, and its [IT Service Desk](#) offers daytime support for students, faculty, and staff via telephone, Internet, email, and in person.

The university recently made major improvements in its website (www.umb.edu) to facilitate a positive user experience for all visitors, but particularly students and prospective students. The website is governed by a multi-disciplinary team of campus administrators and stakeholders charged with setting direction and policies based on best practices and standards.

The university has invested in systems that allow self-evaluation. Metrics are collected on ticketing systems for managing service requests and printing services (HEAT and Pharos); surveys ([MISO](#)) on the use of technology both in IT and library services; network monitoring tools that monitor the status of devices; and course and student evaluation tools ([Taskstream](#)), teaching analytical tools, and [Annual Faculty Review systems](#) to collect information about faculty academic activities. Security protocols protect the data network, building systems, devices, personal computers, and personal information.

Appraisal

Physical Resources

Instructional Space (Classrooms and Teaching Labs)

Enrollment growth has put great pressure on the university's inventory of general-purpose classrooms. It has therefore taken a series of measures to increase the classroom

inventory and maximize classroom utilization, including:

- Leasing seven classrooms at 150 Mt. Vernon Street next to the UMass Boston Bay-side property for continuing education.
- Increasing the number of MWF daytime class section options by standardizing class start times to begin on the hour and eliminating the former “free period” at 3pm.
- Strengthening enforcement of standardized class scheduling by reducing the number of non-standard course times and encouraging “block” scheduling for exceptions.
- Instituting a new final exam schedule matrix and eliminating non-academic classroom usage during exam periods.
- Using departmental conference rooms for graduate courses and small instructional sections.

Despite such efforts, the current classroom stock continues to compromise preferred curriculum delivery by constraining section sizes (due to a disproportionate number of small classrooms) and by falling short in supporting newer teaching methodologies. The master plan and subsequent project studies substantiated perceptions of crowded classroom conditions and a general classroom capacity insufficient to meet enrollment goals. An acute short-term need for mid-size general-purpose classrooms (30-49 seats), as well as a need for larger general classrooms (100-200 seats), has become increasingly apparent with enrollment growth. Larger classrooms are also required for testing and extracurricular programs.

The university’s teaching labs and specialized instructional spaces also suffer from deficiencies that impede optimal teaching and learning. A 2011 space study found that more than 70% of teaching and research labs for the College of Science and Mathematics and the Psychology Department had lab equipment and infrastructure in fair to poor condition. Over 50% of “dry” and “semi-dry” specialized instructional spaces for many other departments, including Anthropology, Biology, Art, and Performing Arts, were also determined to be in poor condition.

To address instructional space needs UMass Boston is both increasing capacity and upgrading existing spaces. The new Integrated Sciences Complex (ISC), the first new academic building in nearly 40 years, will open in spring 2015; it houses research laboratories for the physical sciences in addition to four freshman biology teaching labs and an interdisciplinary undergraduate project teaching lab.

General Academic Building 1 (GAB1) is scheduled to open in fall 2015, providing 26 new technology-rich general classrooms (nearly 2,000 seats), specialized spaces for the Performing Arts and Art Departments, and chemistry teaching labs. GAB1 will house a mix of “right-sized” classrooms including a 500-seat lecture hall; four 150-to-200-seat lecture halls; two case-method classrooms; a multi-media, 63-seat studio classroom; thirteen 30-to-40-seat classrooms; and five 20-seat seminar classrooms. UMass Boston is eagerly looking forward to the opening of what is sure to be an energetic academic and cultural destination for the campus community and visitors.

ITSD has upgraded technology in 95% of all classroom spaces over the last several years.

Seventy-six percent of general-purpose classrooms have been updated to ITSD's Technology Enhanced Classroom 1 (TEC 1) standard and 19% to the TEC 2 standard, with features such as data/video projectors, DVD players, internet connectivity, control panels, and in some locations desktop computers connected to the system network. Campus auditoria have also received audiovisual and information-technology enhancements to support more diverse learning styles and special events. However, a critical need still exists to improve the wireless capacity/coverage in the classrooms and increase network bandwidth capacity to accommodate student- and instructor-supplied devices (laptops, tablets, smart phones, etc.).

The need for additional right-sized classroom capacity, continued technology upgrades, and modernization of teaching laboratories is the most critical challenge facing the university with regard to instructional space.

Research Space, Faculty Offices, and Graduate Student Space

While some renovations and upgrades have accommodated the research requirements of new faculty, most principal investigators are obliged to work in cramped and antiquated spaces that lack the building and technological infrastructure to fully meet their needs. Office space is increasingly insufficient for a growing faculty associated with rapid growth in enrollment. At times faculty are physically separated from their departments and forced into any available space. And as graduate programs grow, the lack of space for the research and teaching of graduate students has become a campus-wide challenge.

Campus Life and Student-Services Space

As enrollment has grown, space for programs supporting campus life and student services has also come under pressure and doesn't optimally meet programmatic needs. Additional capacity is required for adequate food service, meeting, and assembly space, and the quality of spaces for student support programs requires improvement. For example, math, ESL, and subject tutoring offered by Academic Support Services has outgrown its space in the Campus Center and has been temporarily relocated to the 8th floor of the Healey Library. While this is a worthy collaboration, it does present multiple challenges in terms of service delivery, quality oversight, and convenience for students.

Targeted investment over the past five years has addressed some needs through such projects as office renovations in the [Campus Center](#) to mitigate sound transfer, and renovations of the [Beacon Fitness Center](#) and the [Clark Center gymnasium](#).

However, consistent with the [strategic plan](#), improvements in academic and research space were prioritized earlier in the implementation of the master plan than projects related to campus life and student services. Budgetary constraints have deferred the construction of a parking garage and residence halls, which were expected to include campus-life and student-service facilities. These factors have resulted in a growing unmet need for space for students to eat, socialize, study, and enjoy physical activity. Moreover, a dramatic decrease in parking capacity on the core campus has necessitated the use of the Bayside property for parking. While the Bayside site has temporarily met parking demand, without a multi-level parking garage on the campus the university will face a

shortage in parking spaces as additional surface parking lots are closed for building purposes and student enrollment grows.

Physical Resource Planning

Since 2006, UMass Boston has made significant strides in aligning its strategic, financial, and capital facility planning. To bolster this process, the university has taken a more proactive approach to physical plant planning by conducting extensive studies and utilizing benchmarking, resulting in a more refined understanding of the university's capital needs. Important planning-related documents include:

- [Campus Master Plan](#) for University of Massachusetts Boston, 2009
- [Utilities Master Plan](#), 2010
- [Study for the Integrated Sciences Complex, Consensus Solution, 2010](#)
- [Expanded Environment Notification Form, UMass Boston 25-Year Master Plan and Phase 1 Projects, 2010](#)
- Existing Conditions Report for Utility Corridor and Roadway Project, 2010 ([Part 1](#)) ([Part 2](#))
- [Study for General Academic Building No. 1, 2011](#)

A new utilities infrastructure, and academic and research facilities, identified by this planning and in development have been sufficiently funded in the capital budget, and programmed to support student success, enrich academic/research programs, and improve the learning, teaching and working environment. While strategic goal-setting and major physical planning have been more closely aligned, interim space planning and planning for new academic programs has not always taken place concurrently. Getting new programs off the ground has sometimes been hampered, resulting in faculty and staff frustration and complications for long-term physical planning efforts.

The deferred-maintenance backlog continues to be a concern. Critical deferred maintenance has claimed a disproportionate share of capital resources that could otherwise have been invested in new construction and modernization of existing facilities. Guided by detailed studies, the university has spent about \$61 million between FY07 and FY13 to correct critical life safety, maintenance, and basic infrastructure issues.

SPACE Policy

While there is broad consensus that [UMass Boston's SPACE Policy](#) provides a solid framework for ensuring that space-allocation decisions reflect the best use of campus property, there is room for improvement in the application and execution of the policy. Many space requests are not addressed in a timely manner, and a lack of communication from the SPACE Committee leaves departments guessing on the status of their requests. Much of the campus community is unfamiliar with specific components of the SPACE Policy and therefore lacks confidence in space-allocation decisions. Moreover, enrollment growth has diminished the square footage per person on the campus, increasing pressure on the space allocation process. The process would benefit from more rigorous assessment and stricter application of space-allocation principles.

Safety, Security, Accessibility, Sustainability and Healthful Environment

In the last several years, UMass Boston has actively addressed critical compliance issues regarding safety, accessibility, sustainability and a healthful campus environment, and

has codified these efforts by establishing new facility standards and guidelines. A new emergency notification system ([RAVE](#)) allows university officials to notify the campus community of emergencies via text, voice and e-mail alerts. All new building designs must be based on universal design principles and achieve [Leadership in Energy and Environmental Design \(LEED\) Silver certification](#) or higher, helping to ensure that buildings and other campus amenities not only meet code but provide an inclusive environment for people of all abilities and reflect the university's commitment to sustainability.

While new buildings will be designed to current building code requirements, the campus will continue to be challenged by outdated, energy-inefficient facilities that are inaccessible in certain locations to persons with disabilities, have deficient heating, ventilation, and air conditioning systems, and do not provide secure access to restricted areas.

Issues around campus accessibility and safety will also be compounded by a high level of construction activity over the next several years. The university is keenly focused on this issue and has created an internal Construction Impacts Planning Group which meets weekly to mitigate these challenges and plan ways to keep the campus community informed of the changes.

Technological Resources

In 2011, the university worked with a consultant to develop an [Information Technology Enterprise Architecture \(ITEA\) report](#). This report identified gaps in IT services, developed plans for organizational changes and governance, and recommended ways to address existing and anticipated infrastructure issues. ITSD is currently upgrading the network infrastructure and migrating to VoIP for the university's telecommunications system. The division also has a list of strategic projects that identifies years in which projects will occur. Many of these projects align with the university's strategic and capital plans, but there is no formal IT plan driven by overarching goals and objectives.

ITSD perpetually upgrades hardware and software but has struggled to meet increased demand for technology and services and often receives criticism for the weak wireless network on campus. In an attempt to saturate buildings with a wireless signal, ITSD regularly adds wireless antennas in all campus spaces. Students and faculty also complain about the limited availability of outlets for charging portable devices. Among ITSD's challenges is the presence of nine data networks on the campus, only one of which is controlled by ITSD. This results in inefficiencies in labor and maintenance, and jeopardizes the security of information.

The increased role of computing technology in research has created a need for a Research Computing Department that can better support faculty and graduate students. A director of the department has been hired and an associate to assist faculty is to be added in the future. ITSD is also in the process of replacing all Ethernet hardware on campus with state-of-the-art technology that will increase backbone and riser bandwidth to all IT equipment rooms and closets.

The UMass system is currently consolidating the data centers of the five universities into one central location. This will provide a redundant and more reliable infrastructure and eliminate the space and cooling needs of a full-size data center at UMass Boston. New academic buildings and renovations to existing facilities will include modern and high-functioning IT equipment which, while a positive addition to the campus' electronic environment, will increase the demand for support from ITSD.

The security of the campus data network is a significant concern for ITSD. All portable devices such as laptops that come through IT are hard-drive-encrypted and set up with passcode locks. The department has previously had difficulty implementing an information security program, partly because of difficulties in retaining competent security staff to implement the program and educate users. Through the UMass system, the university has invested in [KACE](#), a desktop management tool and identity-finder application now installed on all university owned computers; it detects personally identifiable information such as DOB, SSN, and bank account information. UMass Boston is currently rolling out a new security program to address regulatory and compliance requirements.

Since 2008, educational technology use—as in courses involving Blackboard—has grown exponentially, and with it so has the need for system enhancements and support, resulting in an increase in IT staffing. Examples of instructional technology tools for which our campus stands out as a leader among peers include Web 2.0 tools such as wikis and blogs; plagiarism prevention tools; iClickers in large classes; lecture capture; and mobile technologies through the iPad in the classroom initiative. The availability of 24/7 support in 2013-2014 for both online and web-enhanced courses has helped ensure a higher quality student experience.

Projection

Physical Resources

Planning and Space-use Policy

- The university will prioritize deferred maintenance and renovation projects that contribute to high-quality instruction and research, and work to provide the additional instructional, research, campus life and student service space, and utility capacity required to accommodate current and projected enrollment growth.
- Physical planning will be expanded beyond the core campus to include the integration and growth of the Bayside site (available once parking garages are built), the Calf Pasture Pumping Station, and the Nantucket Field Station.
- The SPACE Committee will work to build awareness of the space-allocation policy and to better apply its standards and principles while increasing transparency and accountability. It will focus on integrating academic program planning with the space-allocation process.

Spaces for Instruction, Faculty Offices, Research, Campus Life, and Student Services

- When functions move to the ISC and GAB1, the \$70 million Renovations to Existing Academic Buildings project and a second general academic building (GAB2), sched-

uled for completion in 2017 and 2018 respectively, will provide the remaining right-sized and technology-enriched general classrooms needed for 18,000 students, as well as specialized instructional spaces for high-growth programs and office space for additional faculty and staff. These projects will permit vacating the Science Center, which is to be demolished along with the substructure.

- While budgetary constraints have delayed the construction of student housing and a parking garage, the university will continue to explore alternative financing and public-private partnerships to advance these critical projects. The additional physical resources for a 24-hours-a-day, 7-days-a-week campus environment will be addressed through the university's ongoing master planning and space planning processes.

Safety, Security, Accessibility, Sustainability, and Healthful Environment

- The [Utility Corridor and Roadway Relocation project](#), to be completed in 2017, will enhance vehicular, pedestrian, and cyclist safety, access to and around campus, and connections with the waterfront. It will also include a number of bio-retention areas to capture and filter storm water runoff.
- Environmental Management System (EMS), to be implemented in 2016, will address all environmental risks and hazards and involve many departments. It is based on the 'plan-do-check-act' management cycle with an emphasis on continuous improvement and regular reporting to senior university leadership. The system will enhance compliance with regulations, improve environmental performance, increase efficiency, and reduce costs.

Technological Resources

- ITSD under the provost's supervision will create an IT strategic plan, expected by the end of 2015, to identify goals, principles, and existing issues, and address the need for a university-wide IT governance or advisory group that would assist in setting priorities, including integrating the multiple data networks. A goal of the plan will be allowing students to access content from off-campus via their mobile devices using iTunes U, Blackboard Learn, eBooks and other channels. The plan will also address information security issues, a major concern.
- IT will upgrade network bandwidth five-fold, provide ubiquitous wireless access, convergence of media (voice, data, and text), and technology integration of the new buildings, and supply data storage for research activities both on and off campus through such facilities as the [Massachusetts Green High Performance Computing Center](#) at Holyoke.

Institutional Effectiveness

An ongoing campus master-planning process is aligned with the annual development of the university's operating and capital budgets while UMass Boston's strategic plan has provided macro-level guidance in the allocation of capital resources for new and renovated buildings with state-of-the-art general classrooms, specialized instructional spaces, research laboratories, and student study/collaborative spaces. New organizational capacities use evaluative practices and proven planning tools. With a focus on improving space

planning for new academic programs and management of existing campus space, UMass Boston will be better equipped to ensure the highest and best use of its physical resources. Building upon prior studies and planning, the initiation of a comprehensive IT strategic planning process will provide a more effective mechanism for evaluating the technological resource needs of the campus. In sum, the foundation of UMass Boston's physical planning process and decision-making structure is firmly established and will serve the institution well as it continues to transform its campus.

[Index to Supporting Documents for Standard 8](#)

[Web-Based List of Supporting Documents](#)

Data First Form: Standard 8: Physical and Technological Resources

Campus location	Serviceable Buildings	Assignable Square Feet (000)
	Main campus	11
Other U.S. locations	8	37
International locations	0	0

	3 Years Prior	2 Years Prior	1 Year Prior	Current Year*	Next Year Forward (goal)
	(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)
Revenue (\$000)					
Capital appropriations (public institutions)	\$14,374	\$5,107	\$16,274	\$27,839	\$75,020
Operating budget	\$4,458	\$3,806	\$5,789	\$4,971	\$9,120
Gifts and grants	\$256	\$460	\$427	\$310	\$284
Debt	\$21,772	\$13,833	\$25,931	\$27,947	\$148,940
TOTAL	\$40,860	\$23,206	\$48,421	\$61,067	\$233,364

Expenditures (\$000)					
New Construction	\$21,561	\$9,340	\$36,383	\$50,236	\$209,829
Renovations, maintenance and equipment	\$15,693	\$9,690	\$8,101	\$6,364	\$18,287
Technology	\$3,606	\$4,176	\$3,937	\$4,467	\$5,248
TOTAL	\$40,860	\$23,206	\$48,421	\$61,067	\$233,364

Assignable square feet	Main campus	Off-campus	Total
	Classroom	66,182	9,542
Laboratory	195,224	964	196,188
Office	323,403	14,929	338,332
Study	103,682	0	103,682
Special	106,529	277	106,806
General	107,601	2,700	110,301
Support	56,285	1,763	58,048
Residential	0	6,700	6,700
Other	16,679	0	16,679

Major new buildings, past 10 years (2004-2013)

Building name	Purposes	Assignable Square Feet (000)	Cost (000)	Year
Campus Center	Student Life, Student Services,	107	\$81,683	2004

New buildings, planned for next 5 years (2014-2018)

Building name	Purposes	Assignable Square Feet (000)	Cost (000)	Year
Integrated Sciences Complex	Research, Instruction, Utility Plant upgrades	122	\$182,000	2014
General Academic Building No. 1	General and Specialized Instruction, Performance, Academic Departments, Food Service	104	\$113,000	2015
Utility Corridor and Roadway Relocation	Reroute and upgrade utilities, realign roads, surface improvements	0	\$155,500	2016
Energy Producing Facility (TriGeneration Plant)	Expanded Hot and Chilled Water capacity along with tri-generation capability.	30	\$27,500	2016

General Academic Building No. 2
Parking Garage (No. 1)
Residence Hall No. 1

General and Specialized Instruction, Academic Departments, Food Service
Department of Public Safety, Parking
1,000 Beds, Dining, TBD

85
TBD
TBD

\$86,350	2017
\$45,000	2017
\$118,000	2018

Major Renovations, past 10 years

The list below includes renovations costing \$150,000 or more

Building name	Purposes	Assignable Square Feet (000)	Cost (000)	Year
McCormack Hall	Upgraded the existing fitness facility used by students, faculty, and staff	13	\$454	FY 2006
Healey Library, McCormack Hall, Science Center, Wheatley Hall	Upgraded technology in all 101 general use classrooms.	63	\$1,046	FY2004-07
Clark Athletic Center	Repaired and renovated existing locker rooms.	10	\$810	FY 2007
Quinn Administration Building	Renovated space to create GoKids!, a clinical research space used by the college of nursing and health sciences in partnership with Boston Children's Hospital.	6	\$761	FY 2007
Wheatley Hall	Construction of new Venture Development Center	11	\$5,320	FY 2009
Science Center	Renovated space to create the Center for Clinical Education and Research, a state of the art simulation laboratory and support spaces used for teaching, testing and research in nursing as well as exercise and health sciences programs.	4	\$2,021	FY 2009
Science Center	Renovated space to create wet research laboratory space for two new Psychology faculty specializing in Neuropsychology	1	\$381	FY 2010
Quinn Administration Building	Renovated Counseling Center space to accommodate an increase in the number of counselors	2	\$189	FY 2010
Wheatley Hall	Renovate space for the Psychology Department's Child Development Unit	1	\$327	FY2012

Clark Athletic Center	Replaced gymnasium flooring, seating and lighting and installed updated AV controls. Addressed ADA deficiencies.	27	\$2,436	FY2013
Campus-wide	Renovations for: Data Center emergency power, Clean Room, ACF improvements, Biology lab changes, Public Policy space improvements, Computer Science teaching lab, General Medicine ADA and academic office space improvements		\$753	FY 2007 to FY 2013

Renovations planned for next 5 years

The list below includes renovations costing \$250,000.00 or more

Building name	Purposes	Assignable Square Feet (000)	Cost (000)	Year
a. McCormack Hall b. Wheatley Hall	Renovations to Existing Academic Buildings (REAB): Classrooms, Academic Departments, Specialized Instruction	130 a. 75 b. 55	\$70,000	FY2014 to FY 2016
McCormack Hall	Renovations/upgrades to Psychology research space for the Center for the Developmental and Brain Sciences program		\$444	FY 2014
McCormack Hall Wheatley Hall	Renovate former cafeteria space to provide three classrooms, five faculty offices and two work areas that can accommodate up to 10 people. Provide additional office for the Center for Collaborative Leadership and create a seminar room for the American and Women's Studies departments.	6	\$512	FY 2014
Healey Library	Replace HVAC unit in Archives and improve space to provide improved temperature and humidity control		\$525	FY 2015
Nantucket Field Station	Renovations to Field Station buildings and six townhouse	9	\$1,200	FY 2015
Wheatley Hall	Provide additional wet lab space in the Venture Development Center	TBD	TBD	FY 2015
TBD	Relocate Biology Department Greenhouse	TBD	\$2,500	FY 2016
TBD	Relocate College of Science and Mathematics Machine Shop	TBD	\$1,000	FY 2016

Standard Nine: Financial Resources

The institution's financial resources are sufficient to sustain the quality of its educational program and to support institutional improvement now and in the foreseeable future. The institution demonstrates, through verifiable internal and external evidence, its financial capacity to graduate its entering class. The institution administers its financial resources with integrity.

Description

UMass Boston is in a financially sound position after a lengthy period of growth in financial resources. The university has consistently generated operating surpluses and favorable financial metrics. As have many public institutions across the country, the university has experienced a decline in state support relative to other revenue sources. This trend has resulted in increased reliance on revenue from student tuition and fees, which has grown as a result of a steady rise in enrollment, annual increases in mandatory fees, and alternative program pricing strategies, such as college-specific differential fees (see Tables 1 and 2 at the end of this standard).

One of the many strengths of the university is its comparative price advantage; in FY15 tuition and mandatory fees for an undergraduate resident student averaged \$6,000 per semester. The [cost of attending UMass Boston](#) remains below that of many other institutions in the greater Boston area. Net tuition, the difference between the published price and what students pay, also compares favorably to net tuition at other institutions. The university has a strong commitment to providing financial aid to eligible students; on average, 90% of the demonstrated need of all full-time undergraduate financial aid applicants (see [OIRP Performance Measurement System Data, 2013](#)) is met with federal, state, and institutional financial aid. The combination of location, affordability, and reputation continues to attract students to the university.

All UMass Boston fiscal policies are clearly stated in trustee and other documents and are implemented in compliance with ethical and sound financial practices. The [Board of Trustees](#) has governance responsibility for all capital and financial management matters. Capital plans and operating budgets originate at the campus level and are reviewed and approved by the [Board of Trustees](#). The UMass [President's Office](#) and the [chancellor at each campus](#) have delegated authority for fee setting and the allocation of resources within defined parameters.

The university carefully monitors and controls expenditures to ensure that spending is done in compliance with the UMass System Office goals, the chancellor-approved annual budget, and that deficits are avoided unless planned. It is the policy of UMass Boston that the annual operating budget should represent an expenditure level that is fully supported by current year revenues and designated reserves. All authorized budgets support the [university's core mission](#) and [strategic plan](#). The university uses [PeopleSoft Finance](#) to support financial functions such as financial reporting, student accounts receivable, accounts

payable, budgeting, and grant management. The business intelligence tool [Summit](#) supports management reporting and allows “dashboard” views of PeopleSoft data, including finance and payroll information.

UMass Boston is committed to supporting efficiency and effectiveness initiatives led by the [UMass System Office](#). The university continually reviews policies and practices to ensure that best practices are deployed and has worked closely with the System Office to identify opportunities for system-wide contracts supporting customer service, cost savings, and cost avoidance. UMass Boston regularly monitors, reviews, updates, and publishes its [internal control plan](#).

The UMass Board of Trustees, through the System Office, requires and annually reviews extensive financial reporting from each campus. Major reporting benchmarks include: current-year reforecast and next-year budget submissions, in SRENCA format; financial statements, audited by an external accounting firm; five-year financial projections (SRENCA and balance sheet format) and key financial ratios; five-year capital plans; and comprehensive reporting on the awarding and effectiveness of financial aid. The university is also subject to the oversight of various agencies of the Commonwealth, including the Board of Higher Education, State Comptroller, and State Auditor.

Financial reporting, planning, and budgeting is led by the vice chancellor for administration and finance. Several years ago, the Office of Budget and Planning was reorganized and given additional staff resources, in recognition of the importance of this function in a growing and increasingly complex organization. Budget and Planning prepares the multi-year financial plan, and coordinates annual fee-setting and budget processes, along with providing regular reporting and oversight of university revenue and budget compliance throughout the year.

The university, with the guidance of the strategic plan, is making multi-year investments to develop new academic programs, increase the number of tenure-track faculty, and expand the research enterprise. Since 2011, a number of new undergraduate and graduate programs have been developed, approved, and implemented (see Standard 4), and several additional graduate programs are awaiting approval by the [Massachusetts Board of Higher Education](#). The university is implicitly committed to providing financial and personnel support for these programs.

The university has allocated resources and sought external funding to support student retention and success initiatives, including “[Start on Track, Stay on Track](#)”. Faculty and staff work to ensure that students are taking the necessary courses to complete their degrees within specific periods. Strategies to support student success include increased advising, new college-based student-success centers, freshman success communities, as well as the use of [MAP-Works](#) and [UDirect](#) retention and degree-planning software. Higher undergraduate student retention rates translate into increased enrollment and tuition and fee revenue.

The strategic plan outlines a comprehensive approach to financing the university, one that shifts reliance away from state support. The university has undertaken several initiatives consistent with this approach.

- *Just Imagine: The Campaign for the University of Massachusetts Boston*, has an unprecedented goal of raising \$100 million over five to seven years. The campaign in its quiet phase has generated considerable participation and support, raising \$47 million to date. Funds raised through this effort will help expand investments in specific initiatives. Goals include \$50 million for student success; \$30 million for building the research enterprise; \$10 million for enhancing the campus; and \$10 million for annual support.
- The Bayside property is an opportunity to expand the campus and to engage with people to think about how that property can be used to benefit the community, the city, and the work of the university. In the short-term, the property is providing much needed parking. It is also an integral part of long-term planning for enrollment of 25,000 students and has the potential for transformational multi-use, revenue-producing, public and private development.
- The [Venture Development Center](#) (VDC), which opened in 2009, serves as an incubator for start-up companies, leases workspace on campus, and provides support to entrepreneurs and research faculty. The [VDC](#) offers dedicated mentorship with “[entrepreneurs-in-residence](#),” a [state-of-the-art workspace](#), and a [unique community](#). In 2014, the [VDC](#) received \$600,000 from the [Massachusetts Life Sciences Center](#) to expand its infrastructure and rental space availability. Successful start-ups launched from the VDC may yield income for the university.

The university’s growth and modernization in itself, while involving major costs, will also provide major benefits by attracting greater numbers of students, higher grant revenues, additional partnerships, and increased support from an expanding community of friends.

Appraisal

UMass Boston has made important gains over the past five years in strengthening its financial capacity, launching new programs, growing its research enterprise, increasing the size of its tenure-stream faculty, building enrollment, and advancing major construction and renovation projects.

The university has been in a strong financial position. During FY09 through FY13, revenues rose by \$65.5 million while operating expenses increased by \$63.0 million. Revenue from student tuition and fees grew from 35% to 45% of total revenue. State support declined by \$19.8 million between FY09 and FY13, moving from 40% to 26% of total revenue. The university supports the efforts of the [UMass President](#) to establish a 50-50 funding approach, through which students and the state share equally in educational costs. During the first year of implementation of the 50-50 approach, in FY14, the university received an additional \$6.1 million in state funding. Effective in FY12, the university was given the authority to retain tuition paid by non-Massachusetts residents in

return for an estimated equivalent reduction in state funding; in FY13, UMass Boston retained \$8.7 million in non-resident tuition.

Revenue from grants and contracts has increased \$6.8 million from FY08 to FY13, comprising 13% to 14% of total revenue. The university's average effective rate for facilities and administrative costs also rose during this time, from 13% to 17%, generating an additional \$2.3 million in unrestricted revenue. Investment income as a portion of total revenue grew from 1% to 3%, reflecting the growth in reserve balances (see Tables 2 and 3 at the end of this standard).

The university's primary reserve ratio, a measure of its ability to cover expenses from expendable reserves, has been consistently strong, ranging from 0.26 to 0.39 over the past five years. Return on net assets, a measure of year-over-year performance, averaged just under 11% per year, with a range of 4% to 27%. Net operating revenue, defined as surpluses (or losses) generated from operating activities, has been positive, ranging from 1.5% to 8.6%. This growth in financial resources has been planned as the university prepares for investments in new facilities and higher fixed costs related to debt service. The university's operating margin averaged 4.0% between FY08 and FY13, with a range from 2.0% to 6.8%. This compares favorably to the [UMass System](#) goal of 2.0%. The debt service ratio has averaged just over 5.0% over the past five years, ranging from 4.6% to 6.0% (see Table 4 at the end of this standard).

Unrestricted net assets increased by \$56.4 million to \$91.1 million in FY13, and total net assets during the period rose by 79%, or \$133.4 million. Net investment in capital assets has increased by 91%, or \$89 million, to \$187 million. This growth was fueled in part by \$62.6 million of capital appropriations from the Commonwealth of Massachusetts, made in support of the [university's Master Plan](#) (see Table 5 at the end of this standard).

Initial information on FY14 financial results indicates that performance will be consistent with the past several years, with a positive operating margin and a healthy financial cushion.

A major goal of the current [strategic plan](#) is to establish a financial resources model consistent with the university's vision statement. This includes increasing enrollment in stages, raising the proportion of out-of-state and international students, expanding differential fees and extramural funding, working to secure more state funding, and adopting a review and reallocation process. As discussed in Standard 6, UMass Boston has made progress on many of the objectives, including differential fees in the Colleges of Management and Nursing and Health Sciences generating more than \$3.5 million in FY13.

The development of the budget receives input from all levels of management and involves consultation with relevant constituencies. By their very nature, many of the objectives of the [strategic plan](#) are proving to be challenging from a budgetary perspective. Student success initiatives and new program development require significant increases in faculty lines, staff positions, and graduate student support. The campus master plan, with

its associated debt and capital costs, puts a strain on the university's balance sheet and income statement.

These upward cost stressors take on more significance in view of UMass Boston's reliance on tuition and fee revenue and the external landscape with which the university must contend. Specifically, these issues include:

- the expectation that future increases in state support will be modest at best, and not tied to funding the [strategic plan](#);
- the negative trend in the number of high school graduates in the Northeast through 2027-28 (*NACUBO, January 2013*), which will challenge the university's ability to reach the enrollment targets upon which much of the financial model backing the plan is based, and may compel the university to provide more institutional aid as well; and
- the fact that UMass Boston does not have complete autonomy in determining tuition and mandatory fee rates. The Board of Higher Education sets tuition rates; the Board of Trustees sets the parameters for mandatory charges within which UMass Boston and its sister campuses must maneuver.

Having a [strategic plan](#) that is heavily dependent on student fee revenue means that the university must plan for a growing number of international and out-of-state students. The university has been able to enlarge this segment of its student population while continuing to increase its historic student base, but this situation must continue to be closely monitored.

A successful [strategic plan](#) must evolve and reflect dynamic changes in the economy and the higher education industry. There must be mechanisms in place to prioritize and recalibrate initiatives as these changes occur. Thus far, the university has demonstrated limited ability to adjust the implementation of the strategic plan to reflect externalities. Techniques like cost-benefit analysis and determining return on investment have not consistently informed decision-making when alternatives must be prioritized. This creates unnecessary friction between the efforts to meet academic need and the allocation of limited funds during the annual budgetary process. While the [strategic plan](#) provides an overall framework for resource allocations, much of the plan is too general to effectively guide nimble reallocations in response to changes in market forces or student demand. The university could benefit from stronger connections between the strategic planning and financial forecasting processes.

Over the last five years, outstanding debt has grown from \$101.3 million in FY08 to \$397.7 million in FY13, during which time the ratio of available net assets to debt fell from 65% to 28% (see Table 5 at the end of this standard). In February 2014 the [University of Massachusetts Building Authority](#) issued an additional \$105.0 million of debt on UMass Boston's behalf.

More significant than the impact on UMass Boston's balance sheet is the growing impact of the campus master plan's capital costs on the income statement. Depreciation and interest expenses are projected to start to climb steeply in the next few years as the univer-

sity pivots toward the next set of worthy objectives. By FY16, when the [Integrated Sciences Complex](#) and [General Academic Building 1](#) are open and the university has completed other projects in the capital master plan, depreciation expense will grow to two or three times the \$12.8 million recorded in FY13. Likewise, interest expense is expected to rise to levels significantly above the \$9.6 million that was reported in FY13.

Increasing levels of debt and capital costs, like depreciation and interest expense, are an inevitable outgrowth of the [master plan](#). Over the past five years, the university has managed expenses with the objective of building reserves to invest in new buildings and renovations while easing the effect of significantly increasing debt and capital costs. Healthy financial cushion metrics will erode in the near term and will require balancing the priorities of the strategic plan with the priorities of the [UMass System Office](#), along with limited flexibility to respond to other externalities.

UMass Boston will face the challenge of managing core operating expenses so as to maintain total operating expenses in line with available resources, particularly in light of the [System Office's](#) interest in establishing parameters for the operating margin. Over the past eight years, the [governor](#) has made education an administration priority and the campus has benefited from the support of the [governor](#) in both annual appropriations and capital investments. FY15 will bring in a new administration, and with it both changing expectations and priorities.

The university is also experiencing a changing relationship with the [System Office](#), with a greater level of system involvement in operations and more stringent parameters than previously experienced. One example is the operating margin metric, which is annually reported to the [Board of Trustees](#). In FY11 the [System Office](#) established a target of 2.0% for each campus; meeting this target is among each chancellor's performance criteria. The challenge for UMass Boston is that the target emphasizes current-year performance over the ability to plan and invest over the long term. A further challenge is the current 8% cap on the debt service ratio, which is resulting in a reprioritization of projects in the [master plan](#). In particular, plans for residence halls and a parking structure to relieve the current shortage of parking on campus have not proceeded on schedule. Relationships among the priorities of the [governor](#) and [Massachusetts State Legislature](#), the [System Office](#), and the university will continue to evolve. It is as yet unclear to what degree the university will be asked to reassess its strategic goals and objectives within the context of a more centrally managed [UMass system](#).

The planning and budget process over the past several years has been challenging. In part this has reflected a shift to a new approach to budgeting, one that will support a multi-year planning and resource model. This has involved expanded reporting and new scrutiny over compliance with annual spending goals. The "growing pains" involved in this process have been difficult. The shift to multi-year forecasting and all-funds budgeting is important for the institution. Better communication and broader engagement is needed to bring the campus to a shared understanding of these changes, and of the financial and external constraints.

UMass Boston has launched a major fundraising campaign; this move in itself shows that the administration agrees that reliance on fee revenue will not be sufficient to achieve the mission and vision of the institution. To its credit, the university has made real progress in working with alumni and expanding fundraising. But several challenges exist in these efforts to expand alternative sources of revenue:

- Lack of robust corporate and foundation giving. The university relies on private philanthropy. One year ago, the [chancellor](#) hired an associate vice chancellor to build a corporate and foundation giving program. The university has made great strides, but still has many years to go before it can sustain a strong program. Support for research from non-governmental sources has decreased over the past two years. To maintain growth in funding when less federal grant funding is available, the faculty and administration must aggressively pursue funding from other outside sources, including private sources whose interests match the institution's strengths.
- Low rates of giving by alumni. The university needs to build a culture of philanthropy among its alumni and is in the process of doing so. Its Annual Fund Office, which is responsible for developing a pipeline of donors who will become principal donors, uses direct mail and a student-run phonathon to attract support. Heretofore, the office has been able to reach only about 7,000 out of 80,000+ alumni. But with assistance from the recently hired [RuffaloCODY](#) organization, more than \$100,000 has been raised since September 14 through more than 1,300 pledges, many from lapsed or first-time donors. Current pledge rates in various categories are 6-25 points higher than industry average—an encouraging sign. Another step forward has been the founding of a Student Philanthropy and Alumni Council, which has sponsored many student events, promoted student giving, recruited student leaders, successfully solicited gifts, and promoted student and alumni engagement.
- A need to build the endowment. UMass Boston's endowment has grown considerably in recent years—from \$24.8 million in 2006 to \$78.8 million as of May 31, 2014—and now compares favorably to endowments of such institutional peers as Cleveland State University (\$61.7 million), the University of Maryland Baltimore County (\$68.0 million), and UMass Lowell (\$61.4 million). However, the university's endowment is still low and the goal is to continue increasing the endowment to provide an alternative revenue source for the university.
- Insufficient support from friends. The university needs to strengthen marketing and communication efforts that support such institutional objectives as recruiting students, engaging alumni, attracting large-scale private-sector funding, and in general building a culture of philanthropy. The university's Government Relations and Public Affairs Office, in collaboration with major stakeholders including Enrollment Management and University Advancement, has recently established a strategic marketing and communication plan to meet this need (see Standard 10) and launched marketing campaigns to appeal to prospective students and draw attention to [UMass Boston's 50th Anniversary](#). The plan and related projects will be especially important as the university pursues its \$100 million *Just Imagine* campaign.
- Increased competition for international students: The university has been actively recruiting international students and is increasingly relying on the sizable tuition revenues generated by this population. However, universities across the country are tap-

ping into the same supply of students and UMass Boston will face increased competition for this pool.

In light of the above limitations, UMass Boston must continually seek out new sources of revenue in order to diversify its revenue base sufficiently to withstand shocks generated by temporary or permanent reductions in revenues in any particular area.

Projection

- The [vice chancellor for administration and finance](#) and the [provost](#) will create a working group with membership from across all executive areas to recommend a combination of reduced costs, increased efficiencies for existing programs, and possible cost reductions in less productive areas of the university to achieve a balanced budget by FY18 and positive operating margins in future years.
- The Faculty Council Budget and Long Range Planning Committee will continue to review the planning and budget process and ensure that new initiatives on campus are supported by solid business plans supporting funds requested.
- The [vice chancellor for university advancement](#) will lead the university in achieving the \$100 million goal of the *Just Imagine* campaign.

Institutional Effectiveness

UMass Boston is committed to maintaining fully integrated, long-term strategic, capital, and financial plans. These multi-year plans are reviewed annually, with current year performance widely reported and carefully monitored by vice chancellors. The campus is actively engaged in efficiency and effectiveness initiatives coordinated by the System Office and the Board of Trustees. UMass Boston measures progress in 70-plus key areas against internal targets, other UMass campuses, and peers as part of [UMass Performance](#), coordinated by the System Office. The chancellor's leadership in and extensive campus involvement with the Efficiency and Effectiveness Task Force also offer another mechanism for ensuring best practices and institutional effectiveness in procurement and financial management.

[Index to Supporting Documents for Standard 9](#)

[Web-Based List of Supporting Documents](#)

UNIVERSITY OF MASSACHUSETTS BOSTON
NEASC STANDARD 9 DATA TABLES

Table 1	Revenue by Fiscal Year (\$000)				
	FY08	% Total	FY13	% Total	Change FY08 -13
Tuition & Fees, net	\$96,306	35%	\$153,084	45%	\$56,778
Grants & Contracts	38,491	14%	45,290	13%	6,799
State support	109,263	40%	89,435	26%	(19,828)
Investment income	1,691	1%	8,692	3%	7,001
Pell & SEOG grants	10,310	4%	20,817	6%	10,507
Other federal and state financial aid	4,089	1%	3,900	1%	(189)
Other revenue	<u>14,513</u>	<u>5%</u>	<u>\$18,977</u>	<u>6%</u>	<u>4,464</u>
Total	\$274,663	100%	\$340,195	100%	\$65,532

Table 2A	Tuition and Fee Revenue (\$000)			
	FY08	FY13	\$ Change	% Change
Curriculum Support Fee	\$59,091	\$108,767	\$49,676	84%
CAPS	22,861	34,373	11,512	50%
Tuition, Remitted ¹	15,848	9,378	(6,470)	-41%
Tuition, Retained	\$0	8,747	8,747	-
Non-State Course fees ²	6,840	11,988	5,148	75%
Differential fees ³	0	2,684	2,684	-
Other revenue, net	<u>7,668</u>	<u>8,560</u>	<u>892</u>	<u>12%</u>
Tuition & Fees, Gross	112,309	184,497	72,188	64%
Scholarship Allowance	<u>(16,003)</u>	<u>(31,413)</u>	<u>(15,410)</u>	<u>96%</u>
Tuition and Fees, Net	\$96,306	\$153,084	\$56,778	59%

¹Remitted tuition is transferred to the Commonwealth of Massachusetts unless waived.
In FY12, UMass Boston began retaining tuition paid by non-residents; in return, the state appropriation was reduced by a proportionate amount (\$8.2 million).

²Non-state-funded courses are those taught by adjunct faculty paid from UMass Boston (local) funds.

³Differential fees are assessed by the colleges of Management and Nursing and Health Sciences.

Table 2B	Tuition and Mandatory Fees			
	FY08	FY13	\$ Change	% Change
Undergraduate				
Resident	\$8,837	\$11,966	\$3,129	35%
Non-Resident	\$20,656	\$26,150	\$5,494	27%
Graduate				
Resident	\$10,162	\$13,506	\$3,344	33%
Non-Resident	\$20,669	\$26,164	\$5,495	27%

Table 2C	UMass Boston Fall Headcount (HCT) Enrollment			
	Fall 2007 (FY08)	Fall 2012 (FY13)	Change	% Change
Resident Undergraduate	8,893	10,610	1,717	19%
Non-Resident Undergraduate	1,115	1,514	399	36%
Resident Graduate	2,514	2,623	109	4%
Non-Resident Graduate	911	1,127	216	24%
Total	13,433	15,874	2,441	18%

Table 3	Grant & Contract Revenue (\$000)			
	FY08	FY13	\$ Change	% Change
Federal	\$22,099	\$25,113	\$3,014	14%
State	5,330	8,218	2,888	54%
Local	902	1,127	225	25%
Private	<u>10,160</u>	<u>10,832</u>	<u>672</u>	<u>7%</u>
Total	\$38,491	\$45,290	\$6,799	18%
Direct	\$34,108	\$38,618	\$4,510	13%
Indirect	<u>4,384</u>	<u>6,672</u>	<u>2,288</u>	52%
Total	\$38,491	\$45,290	\$6,798	18%
Effective Indirect Rate	12.85%	17.28%		

Table 4	Select Financial Indicators, FY09-13				
	FY09	FY10	FY11	FY12	FY13
Primary reserve ¹	0.26	0.38	0.39	0.36	0.33
Debt service ratio ²	5.4%	4.8%	4.6%	5.0%	6.0%
Return on net assets ³	3.6%	27.2%	11.2%	8.2%	12.7%
Operating margin ⁴	2.6%	6.8%	4.5%	2.1%	2.0%
Financial cushion ⁵	19.5%	27.8%	31.6%	28.2%	27.7%
Avg age of plant ⁶	13.2	13.2	18.4	18.2	20.8
Leverage ratio ⁷	73.0%	69.7%	35.7%	34.6%	27.5%

¹ Primary Reserve ratio: expendable net assets/operating expenses, including interest

² Debt Service ratio: principal payments and interest expense/operating expenses, including interest

³ Return on Net Assets: change in net assets/net assets at beginning of year

⁴ Operating Margin: total operating revenue plus state and federal appropriations, gifts, endowment and investment income/operating expenses, including interest
Revenue excludes certain types of income such as realized and unrealized gains and losses and income earned on escrowed bond proceeds.

⁵ Financial Cushion: unrestricted net assets/operating expenses, including interest

⁶ Average Age of Plant: accumulated depreciation/annual depreciation expense

⁷ Leverage Ratio: unrestricted and restricted-expendable/outstanding debt

Table 5	Net Assets (\$000)				
	FY09	FY10	FY11	FY12	FY13
Investment in capital assets	101,121	113,394	126,582	153,190	187,018
Restricted-nonexpendable	6,048	6,050	6,056	6,569	6,673
Restricted-expendable	16,747	27,395	22,258	18,292	18,387
Unrestricted	51,966	76,795	93,738	90,907	91,089
Total	175,882	223,634	248,634	268,958	303,167
Cumulative Growth (FY08 as baseline)					
Investment in capital assets	3,068	15,341	28,529	55,137	88,965
Unrestricted, restricted-expendable	2,999	38,476	50,282	43,485	43,762
Restricted-nonexpendable	10	12	18	531	635
Total	6,077	53,829	78,829	99,153	133,362

Standard 9: Financial Resources
(Statement of Financial Position/Statement of Net Assets)

FISCAL YEAR ENDS month & day: (06/30)		2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Most Recent Year	Percent Change	
					2 yrs-1 yr prior	1 yr-most recent
ASSETS						
?	CASH AND SHORT TERM INVESTMENTS	\$315,522	\$292,543	\$334,715	-7.3%	14.4%
?	CASH HELD BY STATE TREASURER	\$3,541	\$5,034	\$4,534	42.2%	-9.9%
?	DEPOSITS HELD BY STATE TREASURER	\$0	\$0	\$0	-	-
?	ACCOUNTS RECEIVABLE, NET	\$31,708	\$33,850	\$37,165	6.8%	9.8%
?	CONTRIBUTIONS RECEIVABLE, NET	\$0	\$0	\$0	-	-
?	INVENTORY AND PREPAID EXPENSES	\$678	\$722	\$766	6.5%	6.1%
?	LONG-TERM INVESTMENTS	\$83,206	\$80,515	\$94,117	-3.2%	16.9%
?	LOANS TO STUDENTS	\$0	\$0	\$0	-	-
?	FUNDS HELD UNDER BOND AGREEMENT	\$0	\$0	\$0	-	-
?	PROPERTY, PLANT AND EQUIPMENT, NET	\$194,991	\$231,286	\$302,084	18.6%	30.6%
?	OTHER ASSETS	\$3,583	\$6,956	\$5,106	94.1%	-26.6%
	TOTAL ASSETS	\$633,229	\$650,906	\$778,487	2.8%	19.6%
LIABILITIES						
?	ACCOUNTS PAYABLE AND ACCRUED LIABILITIES	\$39,936	\$40,555	\$52,272	1.5%	28.9%
?	DEFERRED REVENUE & REFUNDABLE ADVANCES	\$13,472	\$13,439	\$12,914	-0.2%	-3.9%
?	DUE TO STATE				-	-
?	DUE TO AFFILIATES				-	-
?	ANNUITY AND LIFE INCOME OBLIGATIONS				-	-
?	AMOUNTS HELD ON BEHALF OF OTHERS				-	-
?	LONG TERM DEBT	\$327,922	\$322,173	\$402,144	-1.8%	24.8%
?	REFUNDABLE GOVERNMENT ADVANCES				-	-
?	OTHER LONG-TERM LIABILITIES	\$3,265	\$5,781	\$7,990	77.1%	38.2%
	TOTAL LIABILITIES	\$384,595	\$381,948	\$475,320	-0.7%	24.4%
NET ASSETS						
	UNRESTRICTED NET ASSETS					
	INSTITUTIONAL	\$93,738	\$90,907	\$91,089	-3.0%	0.2%
?	FOUNDATION				-	-
	TOTAL	\$93,738	\$90,907	\$91,089	-3.0%	0.2%
	TEMPORARILY RESTRICTED NET ASSETS					
	INSTITUTIONAL	\$22,258	\$18,292	\$18,387	-17.8%	0.5%
?	FOUNDATION				-	-
	TOTAL	\$22,258	\$18,292	\$18,387	-17.8%	0.5%
	PERMANENTLY RESTRICTED NET ASSETS					
	INSTITUTIONAL	\$132,638	\$159,759	\$193,691	20.4%	21.2%
?	FOUNDATION				-	-
	TOTAL	\$132,638	\$159,759	\$193,691	20.4%	21.2%
	TOTAL NET ASSETS	\$248,634	\$268,958	\$303,167	8.2%	12.7%
	TOTAL LIABILITIES AND NET ASSETS	\$633,229	\$650,906	\$778,487	2.8%	19.6%

**Standard 9: Financial Resources
(Statement of Revenues and Expenses)**

FISCAL YEAR ENDS month & day: (06 / 30)		2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Most Recently Completed Year (FY 2013)	Current Budget* (FY 2014)	Next Year Forward (FY 2015)
OPERATING REVENUES						
P	TUITION & FEES	\$151,047	\$169,825	\$184,497	\$193,813	\$208,022
P	ROOM AND BOARD	\$0	\$0	\$0	\$0	\$0
P	LESS: FINANCIAL AID	(\$25,100)	(\$30,066)	(\$31,413)	(\$34,886)	(\$37,444)
	NET STUDENT FEES	\$125,947	\$139,759	\$153,084	\$158,927	\$170,578
P	GOVERNMENT GRANTS & CONTRACTS	\$39,016	\$43,002	\$38,358	\$36,089	\$38,750
P	PRIVATE GIFTS, GRANTS & CONTRACTS	\$11,784	\$11,327	\$10,832	\$10,581	\$10,581
P	OTHER AUXILIARY ENTERPRISES	\$10,017	\$10,054	\$9,743	\$10,271	\$10,417
	ENDOWMENT INCOME USED IN OPERATIONS	\$956	\$2,285	\$1,718	\$2,061	\$2,526
P	OTHER REVENUE (specify): Ed sales & service	\$2,937	\$2,546	\$3,000	\$3,141	\$3,502
	OTHER REVENUE (specify):	\$442	\$781	\$749	\$478	\$500
	NET ASSETS RELEASED FROM RESTRICTIONS					
	TOTAL OPERATING REVENUES	\$191,099	\$209,754	\$217,484	\$221,548	\$236,854
OPERATING EXPENSES						
P	INSTRUCTION	\$119,754	\$127,268	\$134,004	\$136,694	\$140,948
P	RESEARCH	\$29,827	\$30,869	\$30,568	\$33,472	\$39,507
P	PUBLIC SERVICE	\$7,264	\$11,084	\$11,125	\$11,672	\$12,068
P	ACADEMIC SUPPORT	\$24,037	\$27,098	\$30,356	\$29,314	\$30,395
P	STUDENT SERVICES	\$20,539	\$22,444	\$21,773	\$21,110	\$21,985
P	INSTITUTIONAL SUPPORT	\$31,120	\$31,250	\$32,732	\$53,232	\$54,885
	FUNDRAISING AND ALUMNI RELATIONS					
P	OPERATION, MAINTENANCE OF PLANT (if not allocated)	\$24,448	\$25,606	\$24,026	\$24,241	\$27,690
P	SCHOLARSHIPS & FELLOWSHIPS (Cash refunded by public institutions)	\$11,177	\$11,684	\$11,832	\$12,866	\$13,188
P	AUXILIARY ENTERPRISES	\$9,240	\$10,223	\$10,565	\$11,988	\$13,563
P	DEPRECIATION (if not allocated)	\$13,350	\$14,032	\$12,770	\$13,851	\$21,373
P	OTHER EXPENSES (specify):					
	OTHER EXPENSES (specify):					
	TOTAL OPERATING EXPENDITURES	\$290,756	\$311,558	\$319,751	\$348,440	\$375,602
	CHANGE IN NET ASSETS FROM OPERATIONS	(\$99,657)	(\$101,804)	(\$102,267)	(\$126,892)	(\$138,748)
NON OPERATING REVENUES						
P	STATE APPROPRIATIONS (NET)	\$94,486	\$87,749	\$89,435	\$99,128	\$112,285
P	INVESTMENT RETURN	\$10,214	\$5,570	\$8,692	\$7,581	\$7,581
P	INTEREST EXPENSE: (public institutions)	(\$6,352)	(\$6,593)	(\$9,570)	(\$10,117)	(\$14,370)
	GIFTS, BEQUESTS & CONTRIBUTIONS NOT USED IN OPERATIONS	\$2,548	\$2,346	\$3,767	\$2,751	\$2,844
P	OTHER (specify):					
	OTHER (specify): Federal Grant (Pell)	\$19,348	\$20,365	\$20,817	\$21,381	\$21,809
	OTHER (specify):	\$273	\$189		\$150	\$150
	NET NON OPERATING REVENUES	\$120,517	\$109,626	\$113,141	\$120,874	\$130,299
	INCOME BEFORE OTHER REVENUES EXPENSES, GAINS, OR LOSSES	\$20,860	\$7,822	\$10,874	(\$6,018)	(\$8,449)
P	CAPITAL APPROPRIATIONS (public institutions)	\$5,002	\$15,616	\$26,401	\$117,200	\$75,700
P	OTHER	(\$862)	(\$3,114)	(\$3,068)	(\$1,800)	(\$1,800)
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$25,000	\$20,324	\$34,207	\$109,382	\$65,451

**Standard 9: Financial Resources
(Statement of Debt)**

FISCAL YEAR ENDS month & day (6/30)	2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Most Recently Completed Year (FY 2013)	Current Budget* (FY 2014)	Next Year Forward (FY 2015)
DEBT					
BEGINNING BALANCE	\$149,390	\$324,513	\$315,588	\$397,702	\$494,448
ADDITIONS	\$182,610	\$239	\$92,773	\$106,042	\$25,600
REDUCTIONS	(\$7,487)	(\$9,164)	(\$10,659)	(\$9,296)	(\$11,388)
ENDING BALANCE	\$324,513	\$315,588	\$397,702	\$494,448	\$508,660
INTEREST PAID DURING FISCAL YEAR	\$6,352	\$6,593	\$9,570	\$10,117	\$14,070
CURRENT PORTION	\$7,212	\$9,397	\$9,953	\$11,388	\$12,088
BOND RATING (for the UMass system)	Moodys: Aa2 Fitch: AA S&P: A+	Moodys: Aa2 Fitch: AA S&P: AA-	Moodys: Aa2 Fitch: AA S&P: AA-	Moodys: Aa2 Fitch: AA S&P: AA-	

DEBT COVENANTS (PLEASE DESCRIBE):

The predominant amount of debt outstanding for the University of Massachusetts system is general obligation debt, with no financial covenants.

*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

**Standard 9: Financial Resources
(Supplemental Data)**

FISCAL YEAR ENDS month & day (/)		2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Most Recently Completed Year (FY 2013)	Current Budget* (FY 2014)	Next Year Forward (FY 2015)
NET ASSETS						
	NET ASSETS BEGINNING OF YEAR	\$223,634	\$248,634	\$268,958	\$291,575	\$361,353
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$25,000	\$20,324	\$22,617	\$69,778	\$17,978
	NET ASSETS END OF YEAR	\$248,634	\$268,958	\$291,575	\$361,353	\$379,331
FINANCIAL AID						
SOURCE OF FUNDS						
	UNRESTRICTED INSTITUTIONAL	\$8,032	\$12,026	\$12,879	\$13,129	\$13,379
	FEDERAL, STATE & PRIVATE GRANTS	\$16,566	\$17,438	\$17,906	\$19,297	\$20,422
	RESTRICTED FUNDS	\$502	\$601	\$628	\$650	\$700
	TOTAL	\$25,100	\$30,065	\$31,413	\$33,076	\$34,501
	% DISCOUNT OF TUITION & FEES	16.6%	17.7%	17.0%	16.4%	16.6%
?	% UNRESTRICTED DISCOUNT	5.3%	7.1%	7.0%	6.5%	6.4%
PLEASE INDICATE YOUR INSTITUTION'S ENDOWMENT SPENDING POLICY:						

*"Current Budget" refers to the year in which the team visit occurs, or, if these forms are being completed in conjunction with an interim or progress report, the year in which the report is submitted to the Commission.

Standard Ten: Public Disclosure

In presenting itself to students, prospective students, and other members of the interested public, the institution provides information that is complete, accurate, timely, accessible, clear and sufficient for intended audiences to make informed decisions about the institution.

Description

The functions of public disclosure of information about the university, its programs, and its operations are largely carried out by five entities: the [Division of Government Relations and Public Affairs](#) (GRPA) the [Division of Enrollment Management, Graduate Admissions](#), the [College of Advancing and Professional Studies](#) (CAPS), and the [Office of Institutional Research and Policy Studies](#) (OIRP). The university's individual colleges, schools, and academic programs also play major roles in preparing and disseminating information about academic programs. Administrative divisions play similar roles with regard to their functions.

The Division of Enrollment Management, Graduate Admissions, and CAPS have considerable responsibility for providing information about the university's programs, course availability, costs, financial aid, and other details related to recruiting and retaining students at UMass Boston. Much of this information is conveyed as part of recruitment efforts by these entities in brochures, advertisements, open houses, and other marketing efforts, as well as through the university website (www.umb.edu). These efforts are loosely coordinated with GRPA.

The university has undertaken a strategic rebuilding of its website. Surveys of admitted students have shown that 95 percent or more say that they found all or most of their information about UMass Boston from www.umb.edu. Based on this information and extensive feedback from university-wide focus groups, the university developed an entirely redesigned website focused on a primary audience of prospective and current students. The redesigned website, which was launched in August 2011, serves as the central source of information about the university.

The website publishes the university's mission, values, and vision statements, a description of the size and characteristics of the student body, information on applying to the university's programs and the tuition and fees for said programs, information on getting around campus and physical campus improvements, detailed descriptions of academic programs and resources, and directories of current full-time and adjunct faculty along with their program affiliations. A mobile-friendly version of the site has also been developed for users accessing it through such mobile devices as tablets, and smartphones. The site is designed to be ADA-compliant for users browsing with screen-reading software.

In the summer of 2014 UMass Boston also launched a smartphone application to further enhance access to university information—an important step forward. According to a

[Boston Globe survey](#) conducted in the spring of 2014, 90 percent of UMass Boston students own a smartphone, and 43 percent own a tablet computer. The UMass Boston app is designed to give students access to key information on the devices that they use most frequently, as well as safety alerts.

In recent years, public disclosure concerning academic programs has become largely electronic. General descriptions of academic programs, descriptions of their requirements, course descriptions, and faculty listings are prepared and reviewed by appropriate academic units and posted on the university website with assistance from the Office of Communications. Registration processes and information, and current-semester offerings, are handled through the [web-based WISER registration and audit system](#).

Although older print catalogues are maintained for archival purposes, this transition to digital allows for discontinuation of print versions of catalogs, which are environmentally unfriendly and go out of date quickly. The online migration also allows for easy updating of much content, thus helping to meet disclosure requirements pertaining, for example, to general information, faculty and administrative offices, and course currency. Archival print documents may be downloaded from the university website.

The Office of Institutional Research and Policy Studies generates and disseminates reliable data in support of policy formation, assessment, and planning. The office is the primary source for official campus statistics, complying with federal, state, and university reporting standards and requirements. Its data are used for major college guides and professional association surveys. Additionally, the office conducts student surveys and special research studies. The compiled data – such as the [Common Data Sets](#) and [Statistical Portraits](#) – are made available on the university’s website and in print products, and are essential in disclosing to the public information on student body characteristics and composition, graduation and retention rates, and related college-level data, among other information.

The [Office of Communications](#), within GRPA, is the unit with central responsibility for the university’s news operations, which include publication of the bi-monthly [The Point](#), the university’s electronic news magazine; media outreach; website content; news video and audio productions; social media; and the chancellor’s and priority campus community communications. GRPA’s [Creative Services](#) works with entities across the campus to produce print materials outlining programs and services in formats such as brochures, guide books, college collateral, and advertisements for the university’s marketing efforts. In addition, the Office of Communications and Creative Services work closely with other units in GRPA, such as the Office of Community Relations and the Office of Community Partnerships, to assist with outreach and communications to the university’s neighbors and partners. The Office of Communications also is closely aligned with the [Office of Emergency Management and Business Continuity](#) to manage communications during campus crises.

The university has also made significant changes to its emergency notification systems. The [Office of Emergency Management and Business Continuity](#), beginning in 2011, de-

veloped and deployed a multi-platform emergency notifications system, called [UMass Boston Alerts](#), to inform constituents of safety threats and weather events that might impact the campus community and operations. This multi-platform system can send automated alert messages to all campus email accounts, call every campus landline phone, send pop-up messages to every campus computer, activate an external public address system, and send text messages to and call cell phones of people who register with the system. The university advises students to register for cell phone alerts, starting with reminders at the beginning of every academic year.

Appraisal

In recent years, UMass Boston has undertaken a series of strategically ordered efforts to progressively bring greater structure and coordination to its public disclosure activities. These efforts have produced some highly desirable results, but more still needs to be accomplished.

Beginning in 2008, the university undertook a messaging and rebranding effort that resulted in the publication of a brand manual aimed at improving the way the university presents itself across all academic and administrative units and print publications. This was followed by a three-year project to rebuild the university's website from scratch, aimed primarily at improving the delivery of information to students and prospective students (explained above). The new website features significant changes in terms of functionality and ease of information access. Many of these changes were based on usability studies and documented best practices for institutions of higher education. Among the changes are single-click connections to [email](#), [WISER](#), [Blackboard](#), the [Healey Library](#), and [alumni resources](#). The website also links more smoothly with streaming video and gives access to the university's social media sites. It features easy navigation to content promoting organizations and campus events, as well as student recruiting materials. One added feature is a [Construction Update tab](#) on the home page that provides the campus community and the general public with current information about the university's multiple construction projects and how they may impact day-to-day activities.

The new site also complies with the [Higher Education Opportunity Act of 2008](#). One click in from the UMass Boston home page a student or parent can find a [Student Consumer Information page](#) with links to [Institutional Information](#), [Financial Assistance](#), [Health and Safety](#), and [Student Outcomes](#). This addition makes essential information much more easily accessible.

In rebuilding the website, the university also implemented an easy-to-use content management system that enables administrators across the campus to update their particular program sites on their own, allowing them to provide timely information and program updates. With more than 200 web editors across the campus updating sites, the university has made great strides in keeping its web-based information current. A corresponding concern, however, is quality control of grammar, style, accuracy, and clarity.

In anticipation of this challenge, the university developed a [web governance policy](#) overseen by a Web Technology Governance Board and Advisory Committee. The policy gives the Office of Communications full oversight of the entire website. Office of Communications staff work with individuals across the campus to correct problem entries; fact-check; edit pages for grammar, spelling, and style errors; and fix broken links. Communications also reviews every new web page for discrepancies and inaccuracies, and refers questions about these vital pieces of information to the appropriate offices. These reviews are conducted as new pages are created; old pages are reviewed throughout the year. The Information Technology staff ensures that the site is operable and available to students 24 hours a day, 7 days a week. Since publishing the web governance document in 2011, the Office of Communications has been contacted by several universities looking to use it as a model or adopt it for their own academic institutions.

In an additional effort to maintain and improve the quality of the website and its content, the university in summer 2014 contracted with a vendor, [Siteimprove](#), to allow editors to identify site issues faster. This web-based service will scan [www.umb.edu](#) weekly and identify broken links and spelling errors; it will also provide analytical data on visitor information, helping the [Division of Information Technology](#) and the Office of Communications understand traffic patterns and make adjustments to enhance the user experience. IT and Communications have also begun a year-long reassessment of the website, with the aim of implementing a set of major design improvements in summer 2015.

The university has substantially improved communications around emergencies. The UMass Boston Alert system has extended the reach of emergency notifications. Two years ago the university expanded the use of the system to notify students, faculty, and staff who opt in about weather-related closings via text messaging. This has been well received.

The university has also expanded its web communications to include social media sites, maintaining official accounts with [Facebook](#), [Twitter](#), [YouTube](#), [Flickr](#), [SoundCloud](#), [LinkedIn](#), and [Instagram](#). The Office of Communications offers guidance to individual colleges and departments that wish to start their own social media accounts, and makes recommendations on the frequency and content of posts. The official accounts have built a strong digital following; this enhances not only the university's ability to push out important information to students and community members, but also to respond quickly to issues raised on the social media platforms.

In addition to the course catalog available through [WISER](#), another WISER feature known as [Course Wizard](#) has been developed; it allows students to search for courses by General Education code. The university is pursuing the launch of an enhanced course catalog called [Acalog](#) (which is used by [UMass Dartmouth](#) and [UMass Lowell](#)); it will be deployed to streamline the process for posting new course descriptions and revising old ones. This will improve accuracy across the university, and improve the user experience for students. The registrar reviews courses on a regular basis and removes courses from the catalog that have not been taught for three years.

Most recently, GRPA has developed, and launched in spring 2014, a [strategic communications and marketing plan](#), an additional effort to coordinate messaging across campus and heighten public disclosure.

While the university has made progress in distributing information about programs, policies, and resources to internal and external audiences, necessary improvements are envisioned. The university must continue to improve coordination between colleges and between divisions. The strategic communications and marketing plan encourages adherence to the brand and style manual for all university units, and higher quality in content that is shared with the public. Greater adherence to these standards will help UMass Boston present itself as a thriving research university and match the professionalism of its peer institutions in Boston and beyond.

Many updates to the university's disclosure strategies (e.g., the website redesign, the [brand manual](#)) have chased the trends set by other institutions. In the next phase of its growth, the university should move ahead of the curve. The development of the web governance document is an example of Information Technology and Communications teams coming together to lead the university toward an improved use of new media.

As college-age students increasingly rely on mobile technology and social media to learn about their education options and communicate with their peers and mentors, UMass Boston should allocate more resources toward these communication platforms, and invest in educating administrators and staff on their best use. Full implementation of the [Acalog](#) course catalog is the first of many changes that will help students access key information in a fast, easy way that makes sense to a new generation of "digital natives."

Projections

- The vice chancellor for government relations and public affairs will implement the university's strategic communications and marketing plan in FY16, aimed at enhancing uniform communications and marketing activities campus-wide.
- The registrar will fully implement [Acalog](#) to enhance availability of course information to students.
- Communications will implement adaptive/responsive web design so all content is in top form on all devices.
- Communications and Information Technology will improve email and SMS communications to current students.

Institutional Effectiveness

UMass Boston regularly reviews the website to enhance the functionality of the site, and will undertake a major assessment in 2015. The university is implementing a strategic communications and marketing plan to coordinate messaging across the campus and to heighten public disclosure. The university will continue to review all its print and electronic communications in order to provide complete and accurate information to internal and external audiences.

Data First Form: Standard 10: Public Disclosure

Information	Web Addresses	Print Publications
How can inquiries be made about the institution? Where can questions be addressed?	http://www.umb.edu/the_university/student_consumer_information	
Notice of availability of publications and of audited financial statement or fair summary	http://www.umb.edu/administration_finance/budget/information	
Institutional catalog	http://cdn.umb.edu/images/registrar/Undergrad_Catalog_11-13.pdf	
Obligations and responsibilities of students and the institution	http://www.umb.edu/life_on_campus/policies	
Information on admission and attendance	http://www.umb.edu/admissions/ug http://www.umb.edu/admissions/grad	
Institutional mission and objectives	http://www.umb.edu/the_university/mission_values	
Expected educational outcomes	http://www.umb.edu/the_university/student_consumer_information/outcomes	
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	http://www.umb.edu/the_university/history	
Requirements, procedures and policies re: admissions	http://www.umb.edu/admissions/ug	
Requirements, procedures and policies re: transfer credit	http://www.umb.edu/admissions/ug/transfer/transfer_credit_evaluation	
A list of institutions with which the institution has an articulation agreement	http://www.umb.edu/academics/cnhs/nursing/ug/rn/for_transfer_students http://www.umb.edu/admissions/ug/transfer/mass_transfer	
Student fees, charges and refund policies	http://www.umb.edu/admissions/tuition http://www.umb.edu/bursar/refund_policy	
Rules and regulations for student conduct	http://cdn.umb.edu/images/life_on_campus/Code_of_Conduct_5-14-14.pdf	
Procedures for student appeals and complaints	http://www.umb.edu/life_on_campus/policies/academics	
Other information re: attending or withdrawing from the institution	http://www.umb.edu/registrar/academic_policies	
Academic programs	http://www.umb.edu/academics	
Courses currently offered	http://www.umb.edu/academics/course_catalog	
Other available educational opportunities	http://www.umb.edu/life_on_campus/student_involvement/oslce	
Other academic policies and procedures	http://www.umb.edu/academics/vpass/undergraduate_studies/policies	
Requirements for degrees and other forms of academic recognition	http://www.umb.edu/academics/vpass/uac/degree_requirements http://www.umb.edu/academics/graduate/info_for_graduate_students/graduating_from_umass_boston/graduation_degree_requirements	
List of current faculty, indicating department or program affiliation, distinguishing between full- and part-time, showing degrees held and institutions granting them	http://www.umb.edu/academics	

Names and positions of administrative officers	http://www.umb.edu/the_university/chancellor	
Names, principal affiliations of governing board members	http://www.umassp.edu/bot/members	
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services available at each location	http://www.umb.edu/academics/caps	
Programs, courses, services, and personnel not available in any given academic year.	http://www.umb.edu/academics/course_catalog	
Size and characteristics of the student body	http://www.umb.edu/the_university/facts	
Description of the campus setting	http://www.umb.edu/the_university/masterplan	
Availability of academic and other support services	http://www.umb.edu/academics/vpass	
academic opportunities available to students	https://umb.collegiatelink.net/organizations	
Institutional learning and physical resources from which a student can reasonably be expected to benefit	http://www.umb.edu/life_on_campus	
Institutional goals for students' education	http://www.umb.edu/academics/vpass/undergraduate_studies/general_education_requirements	
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success appropriate to institutional mission. Passage rates for licensure exams, as appropriate	http://www.umb.edu/the_university/student_consumer_information/outcomes	
Total cost of education, including availability of financial aid and typical length of study	http://www.umb.edu/admissions/tuition	
Expected amount of student debt upon graduation	https://umb.studentaidcalculator.com/welcome.aspx	
Statement about accreditation	http://www.umb.edu/the_university/accreditation	

Standard Eleven: Integrity

The institution subscribes to and advocates high ethical standards in the management of its affairs and in all of its dealings with students, prospective students, faculty, staff, its governing board, external agencies and organizations, and the general public. Through its policies and practices, the institution endeavors to exemplify the values it articulates in its mission and related statements.

Description

UMass Boston encourages all members of its community to act with dignity and respect toward all persons. It strives to provide high quality education in an atmosphere of free inquiry while promoting fairness, honesty, and transparency. As a public institution of higher education in Massachusetts, it embraces its responsibility to fulfill not only the letter but the spirit of the law in meeting its obligations as defined by the Act of 1964 of the Massachusetts General Court ([Chap. 75, Section 1 of the General Laws of Massachusetts](#)), which established the university, as well as by all applicable local, state, and federal laws and regulations.

The university's faculty and staff work closely with the [President's Office](#) and the [System Office of the General Counsel](#) to continually monitor and support the highest standards of ethics in its conduct with internal and external constituents. Through [UMass Boston's policies and procedures at the campus level](#) and the [system level](#), its [five collective bargaining agreements](#), and the [Student Code of Conduct](#), among other efforts, every attempt is made to communicate the expected standards of conduct through clearly defined processes and procedures. These methods show a commitment to integrity that encompasses free academic inquiry, nondiscrimination in education and employment, financial probity, proper public disclosure, and honesty in the accreditation self-study process.

UMass Boston is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect, recognizing and embracing the diversity of its student, faculty, and staff. It recognizes its responsibility to provide students with clear and accurate information on what is expected of them and what their rights are as students. Policies and procedures governing student conduct, as well as the grievance procedure, are set forth in the [Student Code of Conduct](#). With the goal of increasing clarity and transparency, the code was recently revised, and approved by the [Board of Trustees](#) in June 2014.

The university honors its commitment to academic freedom and the free pursuit and dissemination of knowledge. Faculty and students have the academic freedom to pursue knowledge and understanding and exchange ideas through inquiry, research and scholarly activities, discussions, publications, and public presentations or performances. Faculty academic freedom is a central tenet of the university's [academic personnel policy](#).

Academic honesty is demanded of all members of the UMass Boston community. Students are required to provide full attribution for all work. Plagiarism is covered by the Student Code of Conduct. All the principles and standards of academic honesty are as applicable in the online environment as they are in the classroom. Faculty members are directed to explain the policies related to academic honesty and integrity both in print and online, and often include this information in [syllabi](#). The [Distance Learning Policy and Bylaws](#) are presented in program brochures.

Course [syllabi](#) list academic dishonesty policies as well as policies for accommodating students with disabilities. The university's [appeals procedures address academic issues, financial issues, and conduct disputes](#), in an effort to guarantee due process and protection of the rights of both students and faculty.

The university has published grievance procedures for faculty and staff as part of [collective bargaining agreements](#). A collaborative effort has been made to ensure seamless cooperation between departments on receiving, reviewing, investigating, and resolving grievances. For matters specifically related to protected classes, the university has established the [Office of Diversity and Inclusion](#) (ODI). ODI investigates complaints related to affirmative action, equal employment opportunity, sexual harassment, 504 compliance, and Title IX compliance, as well as serving as a sounding board for individuals who are concerned about issues that may arise in any of these areas.

For other grievance-related matters not dealing with protected classes, the university has clearly stated [personnel policies](#) posted on its Human Resources website. Unit staff members are covered by their respective [collective bargaining agreements](#). These contractual agreements are negotiated and reviewed by union members and the administration to ensure transparent procedures for due process and academic freedom.

The [Institutional Review Board](#) (IRB) of the [Office of Research and Sponsored Programs](#) (ORSP) implements basic protection of human subjects in all research conducted by faculty, staff, and students affiliated with the university, as demonstrated by its [mandatory training for researchers and IRB members](#), with renewal of training every three years.

The IRB follows regulations set forth by the U.S. Department of Health and Human Services, as well as U.S. Food and Drug Administration regulations and guidelines. The IRB also serves as a privacy board to ensure compliance with the privacy rules defined in the Health Insurance Portability and Accountability Act (HIPAA).

UMass Boston is required to provide reasonable protection consistent with federal and state laws placing fiduciary obligations on the university to protect the privacy, use, and security of select data. Laws include, but are not limited to, the Electronic Communications Privacy Act ([ECPA](#)), the Computer Fraud and Abuse Act ([CFAA](#)), the Gramm-Leach-Bliley Act ([GLBA](#)), the United States Patriot Act ([USPA](#)), the Family Educational Rights and Privacy Act ([FERPA](#)), and the Health Insurance Portability and Accountability Act of 1996 ([HIPAA](#)). This policy is intended to define the limits of that obligation

and the duties and responsibilities of university employees to safeguard information that constitutes protected data on all UMass Boston computer network resources.

The university also protects the rights of students, staff, and faculty, as well as the larger community, through its [electronic communications policy](#). The [Information Technology Services Division](#) abides by and enforces all electronic-communication-related policies, standards, and procedures, including data and computing guidelines, data security awareness, and [responsible and acceptable use of computing and data resources](#).

The university continues to promote non-discrimination in education and employment, and in retaining and promoting staff and faculty. Both the [Office of Human Resources](#) (HR) and the [Office of Diversity and Inclusion](#) (ODI) require nondiscriminatory practices and monitor all action throughout the hiring process. [Hiring policies](#) detail the ways in which the university monitors for potential bias in hiring and provides training and support for search committees and feedback on adjustments necessary for inclusive hiring practices. This monitoring encompasses but is not limited to the recruitment of persons from underrepresented populations, persons of color, women, veterans, and other groups protected under local, state, and federal law and regulations.

As a public university, UMass Boston adheres to all federal and state regulations requiring non-discrimination in education and employment. For positions that require licensure or involve minor children in the university's care, background checks have been conducted. Beginning in 2015, background checks will be conducted on all new employees, both faculty and staff. These background checks will include CORI checks, financial background checks for relevant positions, and checks of credentials such as licensure and degrees claimed to have been earned.

As a public university, UMass Boston is governed by the general principles set forth in the [state conflict of interest law \(M.G.L.\) c.268A](#). That law prohibits public employees from engaging in conduct such as accepting incompatible employment or using an official position to secure unwarranted benefits. The law also contains a broad "appearance of conflict" provision including an anti-nepotism provision. To inform employees about this law, the university posts information about it on [WISER](#) and [HR Direct](#), requiring an electronic acknowledgement by all employees that they have read and agree to the standards set forth.

UMass Boston subscribes to the [University of Massachusetts Intellectual Property Policy](#), which applies to such matters as contractual obligations, copyrightable work, commercialization of intellectual property, and distribution of revenue derived from commercialization.

As required by the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (20 USC § 1092(f)), UMass Boston provides yearly [reports](#) on all of the crime statistics. It has also released timely notifications to the campus community on crimes that occur per the requirements of the law, utilizing the email system for students, staff, and faculty.

Appraisal

UMass Boston routinely evaluates policies and procedures to ensure compliance with the law and responsiveness to staff and faculty bodies, and to promote an inclusive and just campus environment (see the appraisal section of Standard 6). Within that framework, issues arise from time to time that necessitate a review of policy and /or procedure to ensure transparency, effectiveness, and appropriateness, as well as the adequacy of associated resources. Following are examples of this practice.

Especially because the university's master plan involves more than \$750 million in new and improved buildings, high priority is given to accessibility to all campus facilities for all, regardless of physical ability. [ODI](#)'s director of diversity and ADA compliance serves as a resource for the university community, along with the [Ross Center for Disability Services](#), to ensure academic success and inclusion for students, striving to create inclusive academic environments by advancing the construct of universal design throughout the campus.

To keep abreast of developments in federal Title IX regulations, ODI, the [Office of the Dean of Students](#), [Public Safety](#), and the [System's General Counsel](#) work to ensure that internal procedures are in compliance. The [Division of Student Affairs](#) has recently conducted a review of its Title IX procedures and has also tested access points for students looking to find information about services online.

With some frequency, waivers used to be granted allowing faculty and staff hiring processes to move forward without conforming to official hiring policy. For example, there were a significant number of requests to bypass the requirement of a diverse search committee. When a new hiring policy was implemented in 2014, it was made clear that requests for waivers would be granted with rare exceptions and only if accompanied by sufficient justification. This has decreased the frequency of requests for exceptions.

The university does not have a written fraternization policy; nor is there specific guidance on fraternization. Faculty have been expected to understand that power dynamics between a faculty member and a student can potentially create a hostile environment. It has become apparent that written guidelines on conduct in fraternization situations are necessary. Without such guidelines, the presence of married couples on campus, individuals dating across departments, and other common scenarios can leave faculty and staff unclear about what is appropriate behavior and what is not. Guidelines will be developed in the near future (see Projections).

ODI was established in 2010 to provide the services of specialized staff trained in the areas of AA/EEO, sexual harassment, ADA, and Title IX. During 2012 it conducted a [Campus Climate Survey](#) of students and employees that has already informed a number of successful strategies and actions. Its initial staffing established a presence and a purpose; but given the scope of the work, the size of university population, and the demand for services, it was important that the structure change. ODI now has a dedicated certified investigator to promptly respond to complaints of incidents that may involve discrimina-

tory practice. ODI also employs a Title IX coordinator who can adjudicate and have an overview of investigations across the campus. ODI is also revising complaint procedures to add clarity regarding when, where, and how to report concerns, as well as transparency on what will happen during an investigation.

Human Resources has been granted, for the first time, a budget for posting open positions at web sites specifically geared toward diverse and underrepresented groups, and will post each position on at least one of these sites to attract job seekers from underrepresented populations. HR and ODI will be offering monthly trainings to search committee chairs and members giving instruction and support regarding equal opportunity and fairness in the employee search process.

Human Resources, the [Office of Research and Sponsored Programs](#) (ORSP), and the [Office of Global Programs](#) (OGP) have instituted a new visa application process to ensure fair considerations of applicants for all open positions. Because HR assumes the cost of all visa applications, the department is free to consider all qualified applicants without consideration of the associated costs.

Each year Human Resources and the [Controller's Office](#) issue a reminder of the state ethics laws. Over time, this annual statement has been expanded to include information about conflicts of interest and campaign reporting, and definitions of state employment within other agencies.

Projections

- The Office of Undergraduate Studies, the [Office of Graduate Studies](#), and the [Office of the Dean of Students](#) will form a working group of faculty and staff to review the current academic honesty policy, discuss the purposes of an academic honesty policy, and draft a revised policy that reflects these discussions and the university's commitment to academic integrity. The revised policy will be brought to [Faculty Council](#) for approval in FY16.
- The [provost and vice chancellor for academic affairs](#) will convene a group representing faculty, staff, and students in FY16 to draft a policy regarding fraternization.
- The [Office of Diversity and Inclusion](#) and the [Office of Human Resources](#) will coordinate a working group to discuss whether the university needs an anti-bullying policy and, if appropriate, to draft such a policy in FY16.
- The [Office of Human Resources](#) has proposed new job specifications for its classified union positions. These will be submitted to the [Human Resources Division of the Commonwealth of Massachusetts](#). Once approved, HR will implement new job descriptions; this will allow HR to assess workload and pay equity issues for the classified staff. It will also lay the groundwork for better assessments of workload and pay equity issues affecting professional staff and faculty positions.

Institutional Effectiveness

The University of Massachusetts Boston routinely reviews policies and procedures to assure that it meets the highest standards of integrity. Examples of these activities are comprehensive reviews that have led to changes in the Student Code of Conduct, and the evaluation of Title IX procedures to ensure compliance with federal regulations. Regular meetings between human resources staff and representatives of campus collective bargaining units serve to monitor and maintain fairness in dealing with faculty and staff. The recent climate study conducted by the Office of Diversity and Inclusion is another prominent example of efforts to maintain and improve the quality of life on campus. Through such efforts the university strives to maintain the academic values and the values of diversity and inclusion that are essential elements of its mission.

[Index to Supporting Documents for Standard 11](#)

[Web-Based List of Supporting Documents](#)

Data First Form: Standard 11: Integrity

Policies	Last Updated	URL Where Policy is Posted	Responsible Office or Committee
Academic honesty		http://www.umb.edu/life_on_campus/policies/community/code	Academic Affairs
Intellectual property rights		http://www.umb.edu/research/info_for_faculty_staff/commercial_ventures_intellectual_property	Vice Provost for Research & Strategic Initiatives/Dean of Graduate Studies
Conflict of interest		http://www.umb.edu/orsp/compliance/fcoj	Research and Sponsored Programs
Privacy rights	2014	http://www.umb.edu/registrar/academic_policies/rights_as_a_student_ferpa	Registrar
Fairness for students	2014	http://www.umb.edu/life_on_campus/policies/community/code	Student Affairs
Fairness for faculty	2012	http://cdn.umb.edu/images/provost/Academic_Personnel_Policy_UMASS_A_B.pdf	Academic affairs
Fairness for staff	2014	http://www.umb.edu/hr/policies	Human Resources
Academic freedom	2012	http://cdn.umb.edu/images/provost/Academic_Personnel_Policy_UMASS_A_B.pdf	Academic Affairs
	2012	http://www.umb.edu/hr/employee_relations/collective_bargaining_agreements	Academic Affairs

Non-discrimination policies

Recruitment and admissions	2014	http://www.umb.edu/odi/ada/grievance	Diversity and Inclusion
Employment	2014	http://www.umb.edu/odi/search	Diversity and Inclusion
Other: Title IX	2014	http://www.umb.edu/odi/title_ix_process	Diversity and Inclusion
Other: Sexual Harrassment		http://cdn.umb.edu/images/odi/Sexual%20Harrassment.pdf	Diversity and Inclusion

Resolution of grievances

Students	2014	http://www.umb.edu/life_on_campus/policies/community/code	Student Affairs
	2014	http://www.umb.edu/odi/ada/grievance	Diversity and Inclusion
Faculty	2012	http://www.umb.edu/hr/employee_relations/collective_bargaining_agreements	Human Resources
Staff	2014	http://media.umassp.edu/massedu/bot/Personnel%20Policy%20NU.pdf	Human Resources
Other			

Other	Last Updated	Relevant URL or Publication	Responsible Office or Committee
1			
2			

Appendix

1. [Affirmation of Compliance](#)
2. [E forms](#)
3. [S forms](#)
4. [List of supporting documents](#)
5. [Most recent audited financial statement](#)
6. [Auditor's management letter](#)



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AFFIRMATION OF COMPLIANCE WITH FEDERAL REGULATIONS RELATING TO TITLE IV

Periodically, member institutions are asked to affirm their compliance with federal requirements relating to Title IV program participation, including relevant requirements of the Higher Education Opportunity Act.

1. **Credit Hour:** Federal regulation defines a credit hour as an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutional established equivalence that reasonably approximates not less than: (1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or (2) At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours. (CIHE Policy 111. See also *Standards for Accreditation* 4.34.)

URL	http://www.umb.edu/academics/provost/credit_hour_policy
Print Publications	
Self-study/Fifth-year report Page Reference	p. 35

2. **Credit Transfer Policies.** The institution's policy on transfer of credit is publicly disclosed through its website and other relevant publications. The institution includes a statement of its criteria for transfer of credit earned at another institution of higher education along with a list of institutions with which it has articulation agreements. (CIHE Policy 95. See also *Standards for Accreditation* 4.44 and 10.5.)

URL	http://www.umb.edu/admissions/ug/transfer/transfer_credit_evaluation http://www.umb.edu/admissions/ug/transfer/mass_transfer
Print Publications	
Self-study/Fifth-year Report Page Reference	P. 25

3. **Student Complaints.** "Policies on student rights and responsibilities, including grievance procedures, are clearly stated, well publicized and readily available, and fairly and consistently administered." (*Standards for Accreditation* 6.18, 10.5, and 11.8.)

URL	http://www.umb.edu/life_on_campus/dean_of_students
Print Publications	
Self-study/Fifth-year Report Page Reference	pp. 91

4. **Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also *Standards for Accreditation* 4.42.)

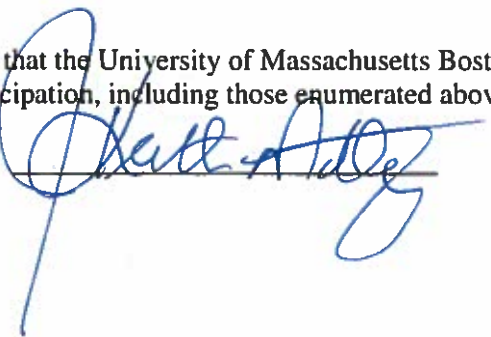
Method(s) used for verification	Blackboard IP blocking; lock-down browsers for examinations; plagiarism identification software; personalized and concept-based assignments; NCTA consortium-proctored examinations.
Self-study/Fifth-year Report Page Reference	p. 25

5. **FOR COMPREHENSIVE EVALUATIONS ONLY: Public Notification of an Evaluation Visit and Opportunity for Public Comment:** The institution has made an appropriate and timely effort to notify the public of an upcoming comprehensive evaluation and to solicit comments. (CIHE Policy 77.)

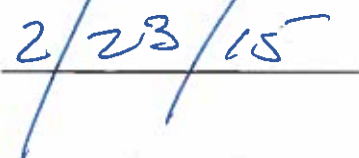
URL	http://www.umb.edu/the_university/accreditation/public_comment
Print Publications	Boston Globe, Boston Herald, Bay State Banner, Dorchester Reporter, South Boston Online
Self-study Page Reference	Introduction, p. 2

The undersigned affirms that the University of Massachusetts Boston meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer:

A handwritten signature in blue ink, appearing to read "Kathleen Adley", written over a horizontal line.

Date:

A handwritten date "2/23/15" in blue ink, written over a horizontal line.

Option E1: Part A. Inventory of Educational Effectiveness Indicators

Here institutions are asked to declare their approach to providing “systematic and broad-based assessment of what and how students are learning” (4.48), and summarize how the information is used for improvement. Four possible alternatives are listed below; if institutions wish to propose another alternative, they are invited to contact Commission staff. In all cases, the Commission expects that the alternative selected will provide the institution with the ability to present its assessment at the program and institutional level. The four alternatives are:

- **E1: Inventory:** In this alternative, the institution completes: Part A, an inventory of how programs assess student learning and use the results, and, as appropriate, Part B, an inventory of specialized accreditation. This alternative is based on a system used by the Western Association of Schools and Colleges (WASC).
- **E2: VSA:** Here, the institution commits to the Voluntary System of Accountability (VSA) plus program review. This alternative builds on the system developed by APLU and AASCU; because the VSA uses institutional level data, it is augmented for Commission purposes by information on program review. While the system was developed by and for public institutions, for the Commission’s purposes, it may be selected by any institution.
- **E3: Institutional Claims:** Some institutions may elect a framework in which they state claims for the success or achievement of their students and provide evidence to validate the claim. This audit approach provides the institution great flexibility in stating the claims it makes to the public about student learning and student achievement, and developing credible evidence to support the claims.
- **E4: Peer Comparison:** Many institutions already have complex systems to compare themselves with peer institutions, most often on matters of resources and processes; this alternative provides the opportunity to extend those comparisons to outcomes for student learning and success. Here the institution identifies key measures of student success (e.g., transfer or acceptance to graduate school) and compares its level of performance with that of its peers.

Selecting the method: In the periodic reviews, institutions are asked to declare which of the above four methods they wish to use. Alternatively, institutions may propose a fifth system or combination of the above. Such proposals should be forwarded to the Director of the Commission early in the report-preparation process. The Commission staff will review the proposal and confer with the institution.

Using the information in the forms and integrating information into the self-study: Institutions are encouraged to select their approach and complete the forms early in the report-preparation process so that they can use the information. The Appraisal section of the report provides a useful opportunity for institutions to reflect both on the success and achievement of their students and on their own progress in understanding what and how students are learning. Similarly, the Projection section affords institutions an opportunity to state their commitment for improvement in the area of assessment.

CATEGORY	(1) Have formal learning outcomes been developed?	(2) Where are these learning outcomes published? (please specify) Include URLs where appropriate.	(3) Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree? (e.g., capstone course, portfolio review, licensure examination)	(4) Who interprets the evidence? What is the process? (e.g. annually by the curriculum committee)	(5) What changes have been made as a result of using the data/evidence?	(6) Date of most recent program review (for general education and each degree program)
At the institutional level:	Yes	http://www.umb.edu/academic/vpass/undergraduate_studies	Writing Proficiency Examination ; First Year and Intermediate Seminar Assessments; Capstone courses; Licensure Examinations	Department Curriculum and General Education Committees	See Supporting Document for changes made as a result of learning outcome data.	
For general education if an undergraduate institution:	Yes	http://www.umb.edu/academic/vpass/undergraduate_studies	Writing Proficiency Examination ; First Year and Intermediate Seminar Assessments; pilot portfolio assessment of general education Distribution courses.	General Education Committee	Flexibility in the structure of first-year seminars; support for interdisciplinary study; increased “portability” of General Education requirements across colleges.	2011

List each degree program:	Yes	Documented in department handbooks and materials, and actions are being taken to put on department websites.	See Supporting Document for ways in which different programs assess student learning outcomes.	Regularly by department curriculum committees; and by external reviewers during 7-year AQUAD program reviews	See Supporting Document for changes made as a result of learning outcome data.	2010
1. Africana Studies	Yes	Documented in department handbooks and materials, and actions are being taken to put on department websites.	See Supporting Document for ways in which different programs assess student learning outcomes.	Regularly by department curriculum committees; and by external reviewers during 7-year AQUAD program reviews	See Supporting Document for changes made as a result of learning outcome data.	2010
2. American Studies	Yes	Same as above.	Same as above.	Same as above	Same as above.	2013
3. Anthropology	Yes	Same as above.	Same as above.	Same as above	Same as above.	2012
4. Applied Linguistics	Yes	Same as above.	Same as above.	Same as above	Same as above.	2011
5. Art	Yes	Same as above.	Same as above.	Same as above	Same as above.	2010
6. Biology	Yes	Same as above.	Same as above.	Same as above	Same as above.	2012
7. Chemistry	Yes	Same as above.	Same as above.	Same as above	Same as above.	2010
8. Classics and Religious Studies	Yes	Same as above.	Same as above.	Same as above	Same as above.	2008
9. Communication	Yes	Same as above.	Same as above.	Same as above	Same as above.	TBD

10. Computer Science	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2007
11. Counseling and School Psychology	Yes	Same as above.	Same as above.	Same as above.	Same as above.	TBD
12. Creative Writing	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2011
13. Critical and Creative Thinking	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2011
14. Economics	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2010
15. Engineering	Yes	Same as above.	Same as above.	Same as above.	Same as above.	TBD
16. English	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2011
17. School for the Environment	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2010
18. Exercise and Health Sciences	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2013
19. Gerontology (MGS)	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2013
20. Global Governance and Human Security	Yes	Same as above.	Same as above.	Same as above.	Same as above.	TBD

21. History	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2011
22. Instructional Design	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2011
23. Latin American and Iberian Studies	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2009
24. Leadership in Education	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2012
25. Mathematics	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2015
26. Modern Languages, Literatures, and Cultures	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2008
27. Performing Arts	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2009
28. Philosophy	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2014
29. Physics	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2012
30. Political Science	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2012
31. Psychology	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2014
32. Public Policy and Public	Yes	Same as above.	Same as above.	Same as above.	Same as above.	2008

Affairs								
33. Sociology	Yes	Same as above.	Same as above.	Same as above	Same as above.	Same as above.	2013	
34. Women's and Gender Studies	Yes	Same as above.	Same as above.	Same as above	Same as above.	Same as above.	2012	

Institutions selecting Eta should also include E1b.

**Option E1: Part B. All Programs Accredited by a Nationally
Recognized, Specialized Accrediting Agency**

(1) Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).	(2) Date of most recent accreditation action by each listed agency.	(3) List key issues for continuing accreditation identified in accreditation action letter or report.	(4) Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.). *	(5) Date and nature of next scheduled review.
(CAPS) Programs: Addictions Counselor Education Program Certificate Accreditation/Approval: Credentialing for National Council on Problem Gambling Contact: William Carlo	National Association of Alcohol and Drug Addiction Counselors (NAADAC) on 11/30/15.	Review of syllabi every two years.	Maintain approved level.	Review of syllabi in 2017.
(CAPS) Programs: Addictions Counselor Education Program Certificate Accreditation/Approval: Credentialing for Licensed Alcohol and Drug Counselor Contact: William Carlo	Florida Certification Board on 12/31/15. Texas Certification Board on 12/31/15. Pennsylvania Certification Board on 12/31/14. National Council on Compulsive Gambling on 9/1/15.	Same as above.	Same as above.	Same as above.
(CAPS) Programs: Addictions Counselor Education Program Certificate Accreditation/Approval: Credentialing for Certified Alcoholism and Drug Abuse Counselor	Massachusetts Department of Public Health, Bureau of Substance Abuse Services on 6/30/2016.	Recertification application every two years.	Continuation of approved requirements; Conform to any requirement updates.	Complete recertification application and submit 60 days prior to expiration.

Contact: William Carlo				
(CAPS) Program: Applied Behavior Analysis for Special Populations Graduate Certificate Accreditation/Approval: Credentialing for Behavior Analyst Certification Board (BACB) CAPS Graduate Certificate Program Contact: Mary Brady	October 2013	None. The requirement is to continue to provide Approved Course Sequence coursework that explicitly addresses the current Task List competencies for specified number of hours.	Syllabi approved by Behavior Analysis Certification Board each time the Task List Competencies are changed. All 6 courses are offered within the CAPS. See Task List 4 & Guidelines for Responsible Conduct (attached).	Unspecified. Only when the BACB changes Task List 4 competencies.
(CAPS) Program: Applied Behavior Analysis for Special Populations Graduate Certificate Accreditation/Approval: Credentialing for Behavior Analyst Certification Board: School Psychology Approved Course Sequence Contact: Mary Brady and Robin Codding	June 2014	None—same as above.	3 of the 6 required and approved courses are offered as part of the School Psychology Doctoral Program, and 3 are offered by the CAPS as part of the existing Applied Behavior Analysis Graduate Certificate Program.	Unspecified. Only when the BACB changes Task List 4 competencies.
(CSM) Program: Chemistry, B.S. Accreditation/Approval: American Chemical Society (ACS) Contact: Robert Carter	The last five-year review was initiated in 2010; ACS asked for additional documentation and the final version was approved in 2012.	There were no particular issues identified; the CPT requested a few more syllabi and sample exams in 2011 and then sent the final approval to the department in 2012	Departments must report the following annually to the ACS Committee on Professional Training: <ul style="list-style-type: none"> • number of degrees granted by the chemistry program • graduates and the certification status of the baccalaureate graduates • supplemental information on the curriculum and faculty The Committee reviews the report for completeness and consistency with the ACS guidelines and may request additional	ACS periodic reviews are every five years, so the next one will be in either 2015 or 2017.

			<p>information.</p> <p>Programs do a more in-depth review every five years. Details can be found at http://www.acs.org/content/dam/acsorg/about/governance/committees/training/ac-approved/degreeprogram/2008-ac-guidelines-for-bachelors-degree-programs.pdf.</p>	
<p>(CSM) Program: Computer Science, B.S.</p> <p>Accreditation/Approval: Computing Accreditation Commission of Accreditation Board for Engineering and Technology (ABET)</p> <p>Contact: Peter Fejer, Gregory Sun</p>	<p>The degree has been accredited by ABET since 10/1/2003.</p>		<p>The degree is accredited by the Computing Accreditation Commission of ABET. Details on criteria for accrediting can be found here: http://www.abet.org/cac-criteria-2015-2016/.</p>	<p>The next comprehensive review will take place in AY 2016-2017.</p>
<p>(CM) Programs:</p> <p>B.S. in Management Master of Bus Admin M.S. in Accounting M.S. in Info Technology M.S. in International Mgt B.S. in Info Technology M.S. in Finance Ph.D. in Management</p> <p>Accreditation/Approval: Association to Advance Collegiate Schools of Business (AACSB)</p> <p>Contact: Jorge Haddock, Dean</p>	<p>2010</p>	<ol style="list-style-type: none"> 1. “Continue to document assessment of learning and changes in the educational process. Assurance of Learning processes have been developed for the BS, MBA and MSA programs and two cycles of data collection have occurred. Future efforts should focus on analyzing and interpreting the data and making appropriate curricular changes.” 2. “As the college moves forward with the implementation 	<p>Publication of peer reviewed journal articles; other indicators of faculty professional engagement and currency with the discipline as are consistent with the unit’s strategy.</p>	<p>November 2015</p>

		of this [PhD] program, sufficient resources must be devoted to new faculty positions, the acquisition of software and databases, graduate assistants, and supporting the increased quantity and quality of faculty research.”		
<p>(CNHS) Programs:</p> <ul style="list-style-type: none"> Baccalaureate Degree programs: Generic and Accelerated pre-licensure; Master’s Degree programs: Acute Care Clinical Nurse Specialist, Adult-Gerontological Nurse Practitioner and Family Nurse Practitioner Doctor of Nursing Practice (D.N.P.) <p>Accreditation/Approval: Commission on Collegiate Nursing Education (CCNE)</p> <p>Board of Registration in Nursing, Commonwealth of Massachusetts</p> <p>Contact: Marion E. Winfrey, Associate Dean</p>	February, 2011	<p>No issues cited in letter initial accreditation action letter.</p> <ul style="list-style-type: none"> Received maximum 10 year accreditation for baccalaureate and master’s programs; <p>Per CCNE policy first time review of Doctor of Nursing Practice received maximum 5 year accreditation</p>	<ul style="list-style-type: none"> Registered Nurse Licensure pass rate Nurse Practitioner certification pass rate Completion Rate Employment Rate 	<p>Baccalaureate and Master’s programs accreditation site visit Spring, 2021</p> <p>DNP accreditation site visit Spring, 2016.</p>
<p>(CEHD) Programs: Leadership in Education Administration</p> <p>Accreditation/Approval: Massachusetts Department of Elementary and Secondary Education</p>	<p>Educational Administration (Masters and CAGS degrees)</p> <p>July 2014</p> <p>Contact person at the Massachusetts DESE is Elizabeth</p>	<p>Massachusetts Department of Elementary and Secondary Education:</p> <p>Our application to operate licensure programs (Masters/CAGS) in the following areas is still under review:</p>	<p>Performance indicators include:</p> <ul style="list-style-type: none"> Candidate selectivity Completion rates Licensure rates District Partnerships 	Fall 2015

<p>(DESE)</p> <p>Contact: Jack Leonard</p>	<p>Losee.</p>	<ul style="list-style-type: none"> • Principal/Ass't Principal K-5 • Principal/Ass't Principal 6-9 • Principal/Ass't Principal 9-12 • Special Education Director • Supervisor/Curriculum Director 		
<p>(CEHD)</p> <p>Programs: Leadership in Education Administration</p> <p>Accreditation/Approval: Massachusetts Department of Elementary and Secondary Education</p> <p>Contact: Jack Leonard</p>	<p>Educational Administration (Masters and CAGS degrees)</p> <p>July 2014</p> <p>Contact person at the Massachusetts DESE is Elizabeth Losee.</p>	<p>We were approved in July 2014 by the MA-DESE to offer the RETELL certification to our Education Administration graduates (Rethinking Equity and Teaching for English Language Learners)</p>	<p>Completion of ADMG655 and EDCG606.</p>	<p>undetermined</p>
<p>(CEHD)</p> <p>Programs: Leadership in Urban Schools</p> <p>Accreditation/Approval: UCEA</p> <p>Contact: Tricia Kress</p>	<p>November 2013 – granted on-going provisional membership with UCEA (Michelle Young, executive director)</p>	<p>University Council for Educational Administration (UCEA).</p> <p>We have been provisional members for 4 years; seeking full membership.</p> <p>Key benchmarks include:</p> <ul style="list-style-type: none"> • Greater participation in UCEA conventions and activities • More faculty research devoted to leadership and educational administration • Increased scholarship on leadership and educational administration 	<p>Attendance and participation figures; Faculty productivity.</p>	<p>UCEA executive board meeting, June 2015.</p>
<p>(CEHD)</p> <p>Programs: School Counseling, M.Ed.</p> <p>Accreditation/Approval: Massachusetts Department</p>	<p>MA DESE: 2009</p> <p>MPCAC: September 2013</p>	<p>MA DESE: We did not receive a written report from DESE during our previous review; however, we have verbal correspondence indicating</p>	<p>80% employment rate in school counseling or directly related field within 1 year of graduation; 100% MTEL pass rate.</p>	<p>MA DESE accreditation review in 2015-2016.</p> <p>MPCAC</p>

<p>of Elementary and Secondary Education (DESE): Master's in Psychology and Counseling Accreditation Council (MPCAC)</p> <p>Contact: Tim Poynton</p>		<p>there were no major issues for continuing accreditation.</p> <p>MPCAC: In September 2013, we received 2-year accreditation, with an option of completing an interim report to receive 10-year accreditation within those 2 years. The 10-year accreditation was dependent upon us hiring an associate professor within our program. Beginning in Fall 2014, and associate professor with tenure joined our program.</p>		<p>accreditation review in 2023.</p>
<p>(CEHD) Programs: Mental Health Counseling</p> <p>Accreditation/Approval: Master's Counseling Accreditation Council (MCAC)</p> <p>Contact: Sharon Lamb</p>	<p>September 2013 by the MCAC.</p>	<ul style="list-style-type: none"> • Maintaining high percentage of Full-Time faculty teaching Internship courses • Need better tracking of Adjuncts for quality of teaching and adjuncts need supervision and to make more of a commitment to the program • Provide compensation to site supervisors • Need continued staffing to address online students' needs • Need for part-time staffing to assist students in finding internships 	<ul style="list-style-type: none"> • Employment rates of graduates • Students finding internships • Student satisfaction • Coordination of teaching among Full-Time faculty and adjuncts • Communication with online students and attempts to include them in state events 	<p>2023</p> <p>Accreditation is for 10 years.</p>
<p>(CEHD) Programs: Counseling Psychology, Ph.D.</p> <p>Accreditation/Approval: American Psychological Association (APA)</p> <p>Contact: Sharon Horne</p>	<p>APA Self-Study to be submitted in September 2015. Site visit to be scheduled for Spring 2016.</p>	<p>Since this is a new program, we have not yet received accreditation feedback. In the process of proposing the program, site visitors made several recommendations that have yet to be fulfilled. These include additional faculty lines, space for student work, funding for students, and staffing.</p>	<p>Competencies in research, practice, assessment, diversity, advocacy, and ethics areas, credentialed supervisors, practicum placements that we can monitor, internship placements, licensing examination</p>	<p>APA Self-Study to be submitted in September 2015. Site visit to be scheduled for Spring 2016.</p>
<p>(CEHD) Programs: School Psychology, Ph.D.</p>	<p>APA Self-Study to be submitted</p>	<p>Since this is a new program, we have not yet received accreditation</p>	<p>Competencies in research, practice, assessment, diversity, advocacy, and</p>	<p>APA Self-Study to be submitted in September</p>

<p>Accreditation/Approval: American Psychological Association (APA)</p> <p>Contact: Melissa Pearrow</p>	<p>in September 2015. Site visit to be scheduled for Spring 2016.</p>	<p>feedback. In the process of proposing the program, site visitors made several recommendations that have yet to be fulfilled. These include additional faculty lines, space for student work, funding for students, and staffing. We have also had to spend significant energy building capacity for appropriate supervision at the school sites.</p>	<p>ethics areas, credentialed supervisors, practicum placements that we can monitor, internship placements, licensing examination</p>	<p>2015. Site visit to be scheduled for Spring 2016.</p>
<p>(CEHD) Programs: Teacher Education programs in Curriculum & Instruction</p> <p>Accreditation/Approval: Massachusetts Department of Elementary and Secondary Education</p> <p>Contact: Lisa Gonsalves</p>	<p>Elementary Education Program – DESE 2009.</p> <p>Middle/Secondary Education Program – DESE 2009.</p> <p>Special Education Program in Moderate Disabilities – DESE 2009.</p> <p>Early Childhood Program – Department of Public Health 2012.</p>	<ul style="list-style-type: none"> • Undergraduate programs needed to have a better administrative/management structure in place; better information in the Undergraduate catalog; better alignment between Undergraduate program and licensure and subject matter knowledge requirements. • Inconsistency across PPA evaluations • More formal structures needed for collaboration with Arts and Sciences faculty • Better data collection and retrieval methods – data not used for monitoring program improvement • Continued focus on families, disability knowledge, and inclusion in EC program courses. 	<p>?</p>	<p>?</p>
<p>(CEHD) Programs: Curriculum & Instruction Teacher Education Programs</p> <p>Accreditation/Approval: Council for the Accreditation of Educator Preparation, Teacher Education Accreditation Council</p>	<p>All Curriculum and Instruction programs (elementary, middle/secondary, special education, early childhood licensure) will go up for TEAC accreditation for</p>	<p>We have not yet been accredited by TEAC, so we do not have information for any of these programs.</p>	<p>The most important performance indicator of TEAC is that the programs engage in continuous improvement by using data to support program claims.</p>	<p>November 2015 for our first TEAC review.</p>

<p>(TEAC)</p> <p>Contact: Lisa Gonsalves</p>	<p>the first time in November 2015. The TEAC Inquiry Brief Proposal has been submitted for Formal Review.</p>			
<p>(CEHD)</p> <p>Programs: Family Therapy, M.S.</p> <p>Accreditation/Approval: Commission on Accreditation for Marriage and Family Therapy Education</p> <p>Contact: Gonzalo Bacigalupe</p>	<p>May 2009</p>	<p>We need three full-time faculty with at least two having shared administration duties. Faculty need to be approved supervisors and licensed in the field. We are not going to have that capacity as of January 1, 2015. We have been having difficulty recruiting approved supervisors for interns but have been able to manage through the years even with an unprecedented cohort of students that graduated last year. The program on campus has been the only accredited program in the country but we have lacked commitment to hire a senior faculty member to help replace the graduate program director (GPD) who has served for most of his career at UMass Boston as the GPD.</p>	<p>Completion of program in advertised years; passing national exam; licensure as an MFT; employment and practice in the field of family therapy. We have been complying with the minimum requirements consistently.</p>	<p>Self-Study was due May 1, 2015 and we were preparing it but it was based on having faculty replacements. We only have one full-time, permanent faculty (the GPD) as of January 1, 2015. We cancel accreditation and we will not have accreditation as of May 2016</p>
<p>(CEHD)</p> <p>Programs: Specialist in School Psychology, M.Ed., Ed.S.</p> <p>Accreditation/Approval: National Association of School Psychologists</p> <p>Contact: Terry Bontrager</p>	<p>Accredited January 1, 2012</p> <p>Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).</p> <p>NASP</p> <p>Date of most recent accreditation action by each listed agency. 2012</p>	<p>The review board listed none. However, it made a suggestion for Standard 5.2 which reads, "Program maintains a no-greater-than 1:10 FTE faculty to FTE student ratio in the overall program, practica, and internship." It stated, "It is recommended that the program continue to reduce their candidate admissions per year in order to meet the NASP FTE faculty to FTE candidate ratio.</p>	<ul style="list-style-type: none"> • A national exam, the Praxis II. • Content knowledge as reflected in course grades. • Practicum Student Evaluations for 2 practica and an optional 3rd. • Intern Evaluations for the 1200 clock-hour internship (at 600 and 1200 hours). • Portfolio that demonstrates intern skills in assessment, intervention, research, and training. • Impact on P-12 student learning as 	<p>December 31, 2016.</p>

			<p>reflected in case studies and Parent Satisfaction Surveys.</p> <ul style="list-style-type: none"> • Program evaluation by recent completers of the training. 	
<p>(CLA) Programs: Clinical Psychology, Ph.D.</p> <p>Accreditation/Approval: American Psychological Association (APA)</p> <p>Contact: Alice Carter</p>	<p>October 30-31, 2014 was the most recent site visit; we are waiting for feedback.</p> <p>Prior to 2014, the last site visit was May 14-15, 2007.</p>	<p>The feedback from the 2014 site visit is due shortly.</p> <p>Issues from the 2007 site visit were resolved.</p>	<p>Completion of APA internship.</p> <p>Employment data post degree.</p> <p>All of the evaluation tables included in Tables B2 and B3.</p> <p>And many other indicators.</p>	<p>3 to 7 years. So far the program has always been given 7 years.</p>
<p>(SGISD) Programs: Rehabilitation Counseling, M.S.</p> <p>Accreditation/Approval: Council on Rehabilitation Education</p> <p>Contact: Sheila Fesko</p>	<p>12/1/14 self-study report was submitted.</p> <p>3/4/15 date of accreditation site visit.</p>	<p>By April 1, 2007, the program shall provide evidence that the student to advisor ratio is no greater than 20:1 or provide documentation assuring appropriate student advisement (met in 2007)</p> <p>By April 1, 2007, the program shall provide evidence of achieving the ratio of FTE students to FTE faculty of 10:1 or provide documentation assuring there is quality of education outcomes and that student needs are met (met in 2007)</p> <p>Recommendations The program is encouraged to revisit content areas that be more amenable to integration at the coursework level so the capstone experience can better function as an assessment of the whole curriculum.</p> <p>The program is encouraged to increase attention to the following areas: Vocational Rehabilitation and Job Placement, Research and</p>	<ul style="list-style-type: none"> • student-retention rate to include the number of students who enroll and graduate each year for a three-year period; • average time necessary to complete the program; • estimated cost of program attendance; • available scholarships; • employment rate of graduates within the first 6 months following graduation; • employment settings where graduates work; • eligibility for licensure by program graduates; • passing rates for a comprehensive measure of student learning (CRC exam or a combination of assessments such as a comprehensive exam or portfolio) the program uses to assess student learning across all CORE knowledge 	<p>In process. Site visit 3/4/15.</p>

		Education, and Workers' Compensation and Disability Benefits Systems.	domains covered in the standards.	
(SGISD) Programs: Vision Studies-Teacher of Students with Visual Impairment (TVI), Orientation and Mobility (O&M), Vision Rehabilitation Therapy (VRT) Contact: Laura Bozeman	TVI: DESE in 2010. O&M-2009 Through University Review AERBVI VRT-up for review through University Review AERBVI Vision Studies TVI, O&M, VRT	Council for Exceptional Children (CEC) Standards: Initial Special Education Blind and Visual Impairment http://www.cec.sped.org/Standards/Special-Educator-Professional-Preparation/CEC-Initial-and-Advanced-Specialty-Sets Integrated within Department of Elementary and Secondary Education (DESE) Standards Academy for Certification of Vision Rehabilitation and Education Professionals (ACVREP) O&M Professional Standards Academy for Certification of Vision Rehabilitation and Education Professionals (ACVREP) VRT Professional Standards Teacher Education Accreditation Council (TEAC) http://www.teac.org/accreditation/goals-principles/	Teacher of Students with VI-licensed DESE, MTEL (3) Pass Rates, Employment Rates Orientation/Mobility Internationally Certified ACVREP, International Exam, Employment Rates Vision Rehabilitation Therapy-Internationally Certified ACVREP, International Exam All Vision Studies, TEAC Inquiry Brief	DESE November 2015 July 2015 through University Review AERBVI. July 2015 through University Review AERVBI. TEAC for all Vision Studies, November 2015.

Part II: Documenting Student Success (The S-Series)

The S-series of forms has been devised for institutions to present data on retention and graduation rates and other measures of student success appropriate to the institution's mission. (*Standards for Accreditation*: 6.6, 6.7, 6.8, 6.9, 10.10 and 10.12) Clearly, not every measure listed here is appropriate for every institution. At the same time, some institutions may have multiple instances of a single item (e.g., licensure pass rates). In developing these forms, the Commission recognizes the value of trends in data, and the importance of the institution's own goals for success. Each form provides space for institutions to indicate definitions and the methodology used to calculate measures of student success.

By listing several ways to measure student success and achievement, the Commission encourages institutions to reflect on how they are using data to understand student success. The far right column within each form provides institutions the opportunity to identify their goal for each measure of student success, and the date by which the goal is expected to be attained. As always, the Commission expects that the institution's mission will provide helpful guidance in thinking about which measures of student success are most important and most useful. In brief, the forms are:

S1. Retention and Graduation Rates. Here institutions are asked to provide information on their IPEDS-defined retention and graduation rates, along with their goals for these indicators. Institutions can also provide additional retention and graduation indices, depending on their mission, program mix, student population, locations, and method of program delivery. For example, some baccalaureate institutions may also track 4- and 5-year graduation rates; some community colleges may find 4- and 5-year rates to complete an associate's degree to be helpful in evaluating their success with their student population. Institutions can also track the success of part-time students, transfer students, or students studying at off-campus locations or in programs offered on-line.

S2. Other Measures of Student Achievement and Success. The measures recorded here are likely to be mission-related. For example, some institutions may track the success of students gaining admission into certain graduate- or first-professional degree programs. Community colleges may track the success of their students entering baccalaureate programs. For some institutions, the number of students who enter programs such as Teach for America, the Peace Corps, or public service law may also represent indicators of institutional effectiveness with respect to their mission.

S3. Licensure Passage and Job Placement Rates. Institutions that prepare students for specific careers will find it appropriate to record the success of their students in passing licensure examinations. Also included in this form is the provision to record the success of students – perhaps by their academic major – in finding employment in the field for which they were prepared.

S4. Completion and Placement Rates for Short-Term Vocational Programs. Institutions with such programs in which students are eligible for Title IV federal financial aid should use these forms.

Using the forms: By completing these forms early in the self-study process, institutions will have time to collect and analyze all available information. The Appraisal section of the self-study provides a useful opportunity for institutions to reflect both on the findings recorded in the forms and the extent to which they have developed the systems to collect and use the most important data on student success. Similarly, the Projection section affords institutions an opportunity to state their commitment for improvement in the area of assessment.

Appendix: The S-Series

Form S1. RETENTION AND GRADUATION RATES						
Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (2011)	Goal for 2012	
IPEDS Retention Data						
Associate degree students						
Bachelors degree students	77%	75%	75%	79%	80%	
IPEDS Graduation Data						
Associate degree students						
Bachelors degree students	36%	41%	40%	38%	45%	
Other Undergraduate Retention Rates (1)						
a	Transfers Full Time	83%	78%	78%	80%	80%
b						
c						
Other Undergraduate Graduation Rates (2)						
a	Upper Division transfers	64%	66%	66%	70%	72%
b						
c						
Graduate programs *						
Retention rates first-to-second year (3)						
	Masters	89%	87%	86%	79%	84%
	Doctorate	89%	91%	84%	88%	93%
Graduation rates @ 150% time (4)						
	Masters	66%	68%	67%	64%	69%
	Doctorates	15%	20%	35%	21%	26%
Distance Education						
Course completion rates (5)						
Retention rates (6)						
Graduation rates (7)						
Branch Campus and Instructional Locations						
Course completion rate (8)						
Retention rates (9)						
Graduation rates (10)						
Definition and Methodology Explanations						
1	Most recent entry cohort is 2011					
2	Upper division transfers four year graduation rate. The most recent cohort is fall 2008					
3	Most recent entry cohort is fall 2011					
4	Graduation rates for Masters are for 3 years, with the most recent entry cohort fall 2009. Doctorates are for 6 years with the most recent entry cohort fall 2006.					
5						
6						
7						
8						
9						
* An institution offering graduate degrees must complete this portion.						

Appendix: The S-Series

Form S2. OTHER MEASURES OF STUDENT ACHIEVEMENT AND SUCCESS						
Measures of Student Achievement and Success/ Institutional Performance and Goals		3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (AY2009)	Goal for 2014
Success of Students Pursuing Higher Degree						
1	Total bachelor's recipients	1606	1418	1505	1608	1762
2	Number receiving another credential by fall 2013	344	307	267	226	
3	Percent with credential	21%	22%	18%	14%	
4						
Definition and Methodology Explanations						
We used the National Student Clearinghouse to locate our bachelor's recipients as of fall 2013. The numbers are for any formal credential received after receiving the bachelor's degree here. They may include certificates and Associate's degrees. In some cases, the degree was not specified, only that the student had "graduated".						
Rates at Which Graduates Pursue Mission-Related Paths (e.g., Peace Corps, Public Service Law)						
1						
2						
3						
4						
Definition and Methodology Explanations						
Rates at Which Students Are Successful in Fields for Which They Were Not Explicitly Prepared						
1						
2						
3						
4						
Definition and Methodology Explanations						
Documented Success of Graduates Achieving Other Mission-Explicit Achievement (e.g., Leadership, Spiritual Formation)						
1						
2						
3						
Definition and Methodology Explanations						
64% Other (Specify Below)						
1						
2						
Definition and Methodology Explanations						

Appendix: The S-Series

Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
		3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (2012)	Goal for 2014
State Licensure Passage Rates *						
1	Massachusetts Tests for Education Licensure (MTEL) ^a , 166		100%	100%	99.3%	100%
2						
3						
4						
5						
National Licensure Passage Rates *						
1	Praxis II Exam ^b , 71			97%	99%	100%
2	National Council Licensure Examinations(NCLEX) ^c (Registered Nurses), 197	88%	84%	83%	84%	90%
3						
4						
5						
Job Placement Rates **						
1	Percent of Program Completers Employed by Massachusetts Public Schools ^d			69%	65%	70%
2						
3						
4						
5						
6						
7						
8						
<p>* For each licensure exam, give the name of the exam above along with the number of students for whom scores are available and the total number of students eligible to take the examination (e.g. National Podiatric Examination, 12/14). In following columns, report the passage rates for students for whom scores are available, along with the institution's goals for succeeding years.</p>						
<p>** For each major for which the institution tracks job placement rates, list the degree and major, and the time period following graduation for which the institution is reporting placement success (e.g., Mechanical Engineer, B.S., six months). In the following columns, report the percent of graduates who have jobs in their fields within the specified time.</p>						
Institutional Notes of Explanation						
a	Most recent year currently available for MTEL data is for 2011-12 program completers. Number is the number of students taking the exam.					
b	This is for the School Psychology graduate program. The most recent year for Praxis results is 2012. There were 71 test takers in 2012, 102 in 2011. Percent given refers to the % of individuals that have, at one point, passed the exam based on a score of 165 (qualifying for the Nationally Certified School Psychologist-NCSP), regardless of number of attempts. The Praxis leads to licensure when combined with 3 years of experience working in the schools under a provisional license.					
c	Most recent results for the NCLEX is for 2012. There were 197 test takers in 2011, 190 in 2011, 177 in 2010, and 164 in 2009					

d	From "Employment of Preparation Program Completers in Massachusetts Public Schools" report shared by A. D'Avignon at CEHD Dean's office. Percent listed is the percent of preparatory program completers from UMass Boston employed in MA K-12 public schools, including charter schools and collaboratives. There were 263 program completers in 2011-12 and 258 in 2010-11. Employment is determined by matching candidates who were reported as program completers by the educator preparation program with employment data collected from Massachusetts public school districts in the Education Personnel Information Management System (EPIMS) collection. This is a new report and therefore additional data are unavailable.
e	
f	

Form S4. COMPLETION AND PLACEMENT RATES FOR SHORT-TERM VOCATIONAL TRAINING PROGRAMS FOR WHICH STUDENTS ARE ELIGIBLE FOR FEDERAL FINANCIAL AID

	3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (201_)	Goal for 201_
--	---------------	---------------	--------------	-------------------------	---------------

Completion Rates *

1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

Placement Rates **

1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					

* List each short-term vocational training program separately. In the following columns indicate the annual weighted average completion rate for the most recent and two prior years. In the final two columns, list institutional goals for the next two years.

** List each short-term vocational training program separately. In the following columns indicate the annual weighted job placement rate for the most recent and two prior years. In the final two columns, list the institutional goals for the next two years.

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2014

Annual Financial

Report



The University of Massachusetts
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University Administration

As of November 2014

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Zunilka Barrett, Secretary to the Board of Trustees



December 18, 2014

To the Board of Trustees
and President Robert L. Caret

We are pleased to submit the annual Financial Report of the University of Massachusetts for the year ended June 30, 2014. The enclosed financial statements incorporate all financial activity of the University and its five campuses. This statement has been audited by an independent auditing firm and is fully represented in the financial report of the Commonwealth of Massachusetts. Detailed information about each campus is provided as supplemental information.

The financial information presented in the Financial Report is designed to aid a wide variety of readers to assess the effectiveness of the University's management of its resources in meeting its primary mission of instruction, research, and public service. This report is intended to form a comprehensive and permanent record of the finances of the University of Massachusetts, and it is submitted as the public accounting of the University's financial affairs for the fiscal year ended June 30, 2014 including comparative information as of June 30, 2013.

The University's net assets increased \$203.9 million from \$2.61 billion in fiscal year 2013 to \$2.82 billion in fiscal year 2014. The major components of the increase are due to physical plant improvements and positive operating results due primarily to greater student fee revenues associated with increased enrollment, cost reductions, and strong market performance for the University's investments.

Each year, the Board of Trustees approves five-year targets for five key financial indicators that are likely to determine the success of the University over the long term. Those key indicators are operating margin, financial cushion, return on net assets, debt service to operations, and endowment per student. During 2014, the University met or exceeded its targets for all five indicators. Overall, the University made important progress in fiscal 2014 toward the achievement of its long-term financial objectives of growth and stability.

Respectfully submitted,

A handwritten signature in blue ink that reads "Christine M. Wilda".

Christine M. Wilda
Senior Vice President for Administration and
Finance & Treasurer

A handwritten signature in blue ink that reads "Sarah B. Mongeau".

Sarah B. Mongeau
University Controller

**University of Massachusetts
2014 Annual Financial Report
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REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

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Board of Trustees of the
University of Massachusetts

Report on the financial statements

We have audited the accompanying financial statements of the business-type activities and the aggregate discretely presented component units, of the University of Massachusetts (the “University”), an enterprise fund of the Commonwealth of Massachusetts, as of and for the years ended June 30, 2014 and 2013, and the related notes to the financial statements, which collectively comprise the University’s basic consolidated financial statements as listed in the table of contents.

Management’s responsibility for the financial statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor’s responsibility

Our responsibility is to express opinions on these consolidated financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the University’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, the basic consolidated financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the aggregate discretely presented component units of the University of Massachusetts as of June 30, 2014 and 2013, and the respective changes in financial position and cash flows thereof for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other matters

Required supplementary information

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis ("MD&A) be presented to supplement the basic financial statements. Such information, although not a required part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. This required supplementary information is the responsibility of management. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America. These limited procedures consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic consolidated financial statements, and other knowledge we obtained during our audit of the basic consolidated financial statements. We do not express an opinion or provide any assurance on the MD&A information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.



Boston, Massachusetts
December 18, 2014

**University of Massachusetts
Management's Discussion and Analysis (unaudited)
June 30, 2014**

Introduction

This unaudited section of the University of Massachusetts (the "University") Annual Financial Report presents our discussion and analysis of the financial position and performance of the University and its component units during the fiscal year ended June 30, 2014 with comparative information as of June 30, 2013. This discussion and analysis has been prepared by management along with the accompanying financial statements and related footnote disclosures and should be read in conjunction with, and is qualified in its entirety by, the financial statements and footnotes. The accompanying financial statements, footnotes and this discussion are the responsibility of management.

The University of Massachusetts is a state coeducational institution for higher education with separate campuses at Amherst, Boston, Dartmouth, Lowell and Worcester all located in the Commonwealth of Massachusetts (the "Commonwealth"). The University was established in 1863 in Amherst, under the provisions of the 1862 Morrill Land Grant Acts, as the Massachusetts Agricultural College. It became known as the Massachusetts State College in 1932 and in 1947 became the University of Massachusetts. The Boston campus was opened in 1965 and the Worcester campus, Medical School, was opened in 1970. The Lowell and Dartmouth campuses (previously the University of Lowell and Southeastern Massachusetts University, respectively) were made a part of the University by a legislative act of the Commonwealth, effective September 1, 1991.

The University's mission is to provide an affordable and accessible education of high quality and to conduct programs of research and public service that advance knowledge and improve the lives of the people of the Commonwealth, the nation and the world. In the fall of 2013, the University enrolled 61,336 full-time equivalent ("FTE") students. The University is committed to providing, without discrimination, diverse program offerings to meet the needs of the whole of the state's population. The University's five campuses are geographically dispersed throughout Massachusetts and possess unique and complementary missions.

Financial Highlights

The University's combined net position increased \$203.9 million from \$2.61 billion in fiscal year 2013 to \$2.82 billion in fiscal year 2014. The major components of the increase in fiscal year 2014 relate to investments in infrastructure and greater student fee revenues. From fiscal year 2013 to fiscal year 2014, the University's operating revenue increased by \$56.5 million and operating expenditures increased by \$146.1 million. The increase in operating revenue is primarily due to the increase in fee and auxiliary revenue associated with the enrollment increases and fee increases in categories other than in state undergraduates and auxiliary revenue to support related expenditures.

Using the Annual Financial Report

One of the most important questions asked about University finances is whether the University as a whole is better off or worse off as a result of the year's activities. The key to understanding this question lies within the Statement of Net Position, Statement of Revenues, Expenses and Changes in Position and the Statement of Cash Flows. These statements present financial information in a form similar to that used by private sector companies. The University's net position (the difference between assets and liabilities) is one indicator of the University's financial health. Over time, increases or decreases in net position is one indicator of the improvement or erosion of an institution's financial health when considered with non-financial facts such as enrollment levels, operating expenses, and the condition of the facilities.

The Statement of Net Position includes all assets, liabilities, as well as deferred inflows and outflows of resources of the University. It is prepared under the accrual basis of accounting, whereby revenues and assets are recognized when the services are provided and expenses and liabilities are recognized when services are incurred, regardless of when cash is exchanged. Net Position is further broken down into three categories: invested in capital assets-net of related debt, restricted and unrestricted. Amounts reported in invested in capital assets-net of related debt represent the historical cost of property and equipment, reduced by the balance of related debt outstanding and depreciation expense charged over the years. Net Position is reported as restricted when constraints are imposed by third parties, such as donors or enabling legislation. Restricted net position is either non-expendable, as in the case of endowment gifts to be held in perpetuity, or expendable, as in the case of funds to be spent on scholarships and research. All other assets are unrestricted; however, they may be committed for use under contract or designation by the Board of Trustees.

The Statement of Revenues, Expenses and Changes in Net Position presents the revenues earned or received and expenses incurred during the year. Activities are reported as either operating or non-operating. Operating revenues and expenses include tuition and fees, grant and contract activity, auxiliary enterprises and activity for the general operations of the institution not including appropriations from state and federal sources. Non-operating revenues and expenses include appropriations, capital grants and contracts, endowment, gifts, investment income, and non-operating federal grants (Pell Grants). With a public University's dependency on support from the state, Pell grants, and gifts, it is common for institutions to have operating expenses exceed operating revenues. That is because the prescribed financial reporting model classifies state appropriations, Pell grants, and gifts as non-operating revenues. The utilization of long-lived assets, referred to as capital assets, is reflected in the financial statements as depreciation expense, which amortizes the cost of a capital asset over its expected useful life.

Another important factor to consider when evaluating financial viability is the University's ability to meet financial obligations as they mature. The statement of cash flows presents information related to cash inflows and outflows summarized by operating, capital and non-capital, financing and investing activities.

The footnotes provide additional information that is essential to understanding the information provided in the external financial statements.

Reporting Entity

The financial statements report information about the University as a whole using accounting methods similar to those used by private-sector companies. The financial statements of the University are separated between University (including its blended component units) and its discretely presented Component Unit activities. The University's discretely presented Component Units (or Related Organizations) are the University of Massachusetts Foundation, Inc., and the University of Massachusetts Dartmouth Foundation, Inc.

Condensed Financial Information

University of Massachusetts			
Condensed Statement of Net Position			
As of June 30, 2014 and 2013			
(in thousands of dollars)			
	University	University	FY13-14
	June 30, 2014	June 30, 2013	Change
ASSETS			
Current Assets	\$ 592,750	\$ 579,824	\$ 12,926
Noncurrent Assets			
Investment in Plant Net of Accumulated Depreciation	4,064,786	3,705,517	359,269
All Other Noncurrent Assets	1,543,391	1,403,449	139,942
Total Assets	6,200,927	5,688,790	512,137
DEFERRED OUTFLOWS OF RESOURCES	112,880	114,286	(1,406)
LIABILITIES			
Current Liabilities	674,330	772,922	(98,592)
Noncurrent Liabilities	2,821,182	2,415,798	405,384
Total Liabilities	3,495,512	3,188,720	306,792
NET POSITION			
Invested in Capital Assets Net of Related Debt	1,800,767	1,682,173	118,594
Restricted			
Nonexpendable	17,387	18,058	(671)
Expendable	174,530	156,469	18,061
Unrestricted	825,611	757,656	67,955
Total Net Position	\$ 2,818,295	\$ 2,614,356	\$ 203,939

University of Massachusetts			
Condensed Statement of Net Position for Related Organizations			
As of June 30, 2014 and 2013			
(in thousands of dollars)			
	University	University	FY13-14
	Related	Related	Change
	Organizations	Organizations	
	June 30, 2014	June 30, 2013	
ASSETS			
Current Assets	\$ 1,678	\$ 3,830	\$ (2,152)
Noncurrent Assets			
Investment in Plant Net of Accumulated Depreciation	8,478	8,619	(141)
All Other Noncurrent Assets	454,646	391,699	62,947
Total Assets	464,802	404,148	60,654
LIABILITIES			
Current Liabilities	15,525	14,604	921
Noncurrent Liabilities	3,483	3,332	151
Total Liabilities	19,008	17,936	1,072
NET POSITION			
Invested in Capital Assets Net of Related Debt	8,477	8,619	(142)
Restricted			
Nonexpendable	309,718	290,858	18,860
Expendable	101,195	74,706	26,489
Unrestricted	26,404	12,029	14,375
Total Net Position	\$ 445,794	\$ 386,212	\$ 59,582

At June 30, 2014, total University net position was \$2.82 billion, an increase of \$203.9 million over the \$2.61 billion in net position for fiscal year 2013. The University's largest asset continues to be its net investment in its physical plant of \$4.06 billion at June 30, 2014 (\$3.71 billion in fiscal year 2013).

University liabilities totaled \$3.49 billion at June 30, 2014, an increase of \$306.8 million over fiscal year 2013. Long-term liabilities represent 81% of the total liabilities which primarily consist of bonds payable amounting to \$2.62 billion at June 30, 2014.

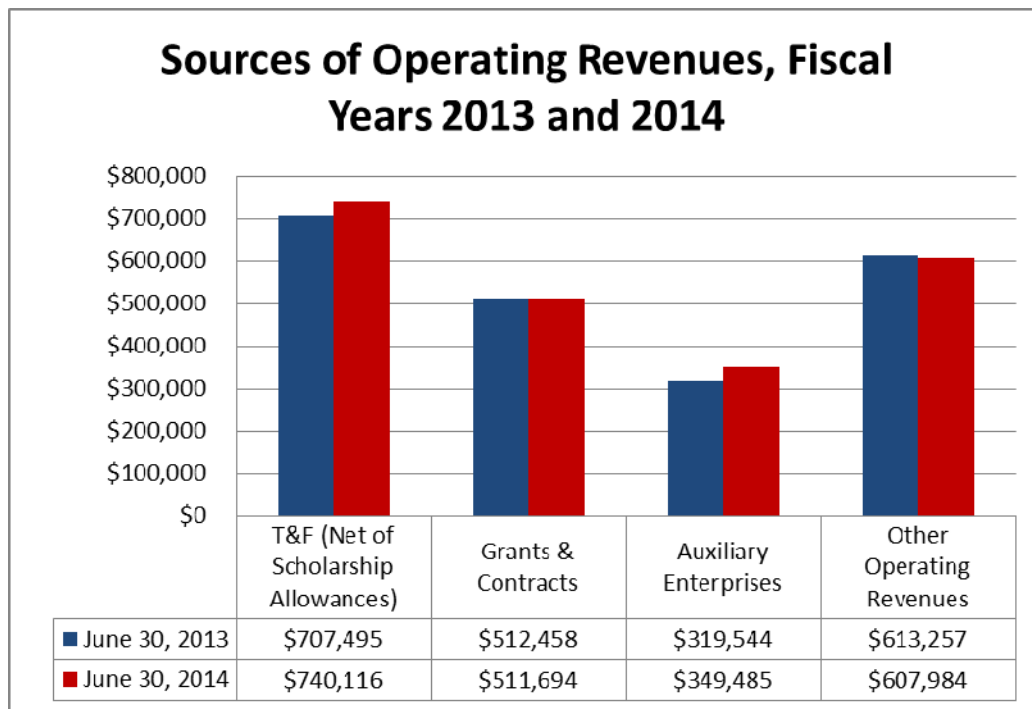
The University's current assets as of June 30, 2014 of \$592.8 million were below the current liabilities of \$674.3 million, as a result the current ratio was 0.88 dollars in assets to every one dollar in liabilities. June 30, 2013 current assets of \$579.9 million were below the current liabilities of \$772.9 million, resulting in a current ratio of 0.75.

The unrestricted and restricted expendable net position totaled \$1.0 billion in fiscal year 2014, which represents 36% of total operating expenditures of \$2.81 billion for fiscal year 2014. The unrestricted and restricted expendable net position totaled \$914.1 million in fiscal year 2013, which represents 34% of total operating expenditures of \$2.66 billion.

University of Massachusetts			
Condensed Statement of Revenues, Expenses, and Changes in Net Position			
For the Year Ended June 30, 2014 and 2013			
(in thousands of dollars)			
	University	University	FY13-14
	June 30, 2014	June 30, 2013	Change
Operating Revenues			
Tuition and Fees (net of scholarship allowances)	\$ 740,116	\$ 707,495	\$ 32,621
Grants and Contracts	511,694	512,458	(764)
Auxiliary Enterprises	349,485	319,544	29,941
Other Operating Revenues	607,984	613,257	(5,273)
Total Operating Revenues	2,209,279	2,152,754	56,525
Operating Expenses	2,809,900	2,663,837	146,063
Operating Loss	(600,621)	(511,083)	(89,538)
Nonoperating Revenues / (Expenses)			
Federal Appropriations	7,020	6,774	246
State Appropriations	570,618	519,311	51,307
Interest on Indebtedness	(89,496)	(91,364)	1,868
Other Nonoperating Income	133,386	100,697	32,689
Nonoperating Federal Grants	74,279	70,586	3,693
Net Nonoperating Revenues	695,807	606,004	89,803
Income Before Other Revenues, Expenses, Gains and Losses	95,186	94,921	265
Capital Appropriations, Grants and Other Sources	134,369	156,442	(22,073)
Disposal of Plant Facilities	(6,198)	(8,802)	2,604
Other Additions / (Deductions)	(19,418)	2,939	(22,357)
Total Other Revenues, Expenses, Gains, and Losses	108,753	150,579	(41,826)
Total Increase in Net Position	203,939	245,500	(41,561)
Net Position			
Net Position at the Beginning of the Year	2,614,356	2,389,377	224,979
<i>Cummulative effect of change in accounting principle **</i>		(20,521)	
<i>Net Position at the Beginning of the Year, adjusted</i>		2,368,856	
Net Position at the End of the Year	\$ 2,818,295	\$ 2,614,356	\$ 183,418

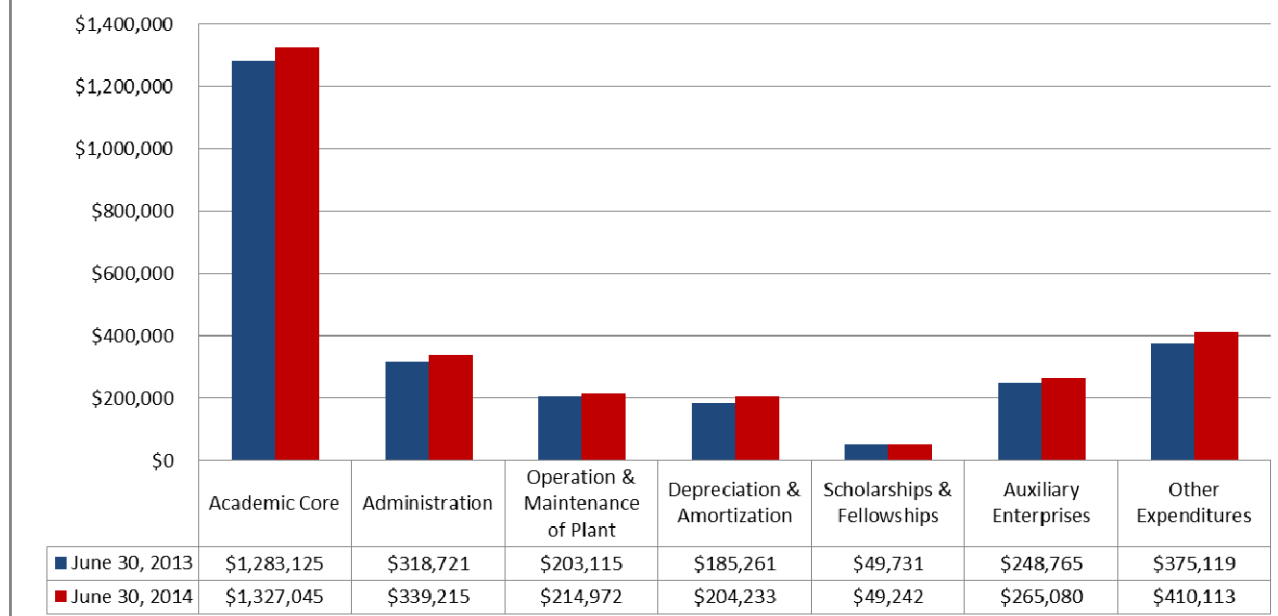
**This reflects the retroactive adoption of GASB 65. Please see *Footnote 1, Summary of Significant Accounting Policies- New GASB Pronouncements* for further details regarding this item.

University of Massachusetts			
Condensed Statement of Revenues, Expenses, and Changes in Net Position for University Related Organizations			
For the Year Ended June 30, 2014 and 2013			
(in thousands of dollars)			
	University Related Organizations June 30, 2014	University Related Organizations June 30, 2013	FY13-14 Change
Operating Expenses	\$ 11,443	\$ 12,852	\$ (1,409)
Operating Loss	(11,443)	(12,852)	(1,409)
Nonoperating Revenues / (Expenses)			
Other Nonoperating Income	54,982	35,152	19,830
Net Nonoperating Revenues	54,982	35,152	19,830
Income Before Other Revenues, Expenses, Gains and Losses	43,539	22,300	21,239
Additions to Permanent Endowments	17,566	16,056	1,510
Other Additions	(1,523)	(9,979)	8,456
Total Other Revenues, Expenses, Gains, and Losses	16,043	6,077	9,966
Total Increase in Net Position	59,582	28,377	31,205
Net Position			
Net Position at the Beginning of the Year	386,212	357,835	28,377
Net Position at the End of the Year	\$ 445,794	\$ 386,212	\$ 59,582



Total operating revenues for fiscal year 2014 were \$2.21 billion. This represents a \$56.5 million increase from the \$2.15 billion in operating revenues in fiscal year 2013. The most significant sources of operating revenue for the University are tuition and fees, grants and contracts, auxiliary services and public service activities at the Worcester Medical School campus categorized in the chart above as "Other Operating Revenues". While not classified on the financial statements as operating revenue, state appropriations serve as a primary source for funding the core mission of the University. State appropriation revenue, described in detail in a section below, is used almost exclusively to fund payroll for University employees. The chart above displays operating revenues by source for the University in fiscal years 2014 and 2013.

Operating Expenses by Category, Fiscal Years 2013 and 2014



In fiscal year 2014, operating expenditures, including depreciation and amortization of \$204.2 million, totaled \$2.81 billion. Of this total, \$1.33 billion or 47% was used to support the academic core activities of the University, including \$407.4 million in research. In fiscal year 2013, operating expenditures, including depreciation and amortization of \$185.3 million, totaled \$2.66 billion. The chart above displays fiscal year 2014 and 2013 operating spend.

Public Service Activities

Other operating revenues includes Public Service Activities and consists largely of sales and services provided to third parties by the UMass Medical School campus through its Commonwealth Medicine (“CWM”) programs, which provide public consulting and services in health care financing, administration and policy to federal, state and local agencies and not-for-profit health and policy organizations. Included in this category of activities are CWM revenues of \$349.0 million and \$358.7 million for the years ended June 30, 2014 and 2013, respectively. Included in expenditures are CWM expenditures of \$318.2 million and \$347.4 million for the years ended June 30, 2014 and 2013, respectively.

In addition to CWM activities, Public Service Activities also includes payments received by the Medical School for educational services it provides to its clinical affiliate UMass Memorial Health Care, Inc. (“UMass Memorial”) as required by the enabling legislation enacted by the Commonwealth in 1997. Educational services revenues included in public service revenues were \$163.8 million and \$153.0 million for the years ended June 30, 2014 and 2013, respectively. Finally, Public Service Activity expenditures also include payments made to the Commonwealth of Massachusetts of \$120 million and \$65.0 million for the years ended June 30, 2014 and 2013, respectively, pursuant to requirements of legislation enacted by the State Legislature of Massachusetts.

State Appropriations

In fiscal year 2014, state appropriations represent approximately 20% of all operating and non-operating revenues. The level of state support is a key factor influencing the University’s overall financial condition. Although the state appropriation is unrestricted revenue, nearly 100% of the state appropriation supports payroll and benefits for University employees.

The net state appropriation for the University increased by \$51.3 million from fiscal year 2013, with the increase attributable to a higher level of State Appropriation and related fringe benefit support through the State’s investment in the University’s 50/50 plan. This plan, to be phased in over FY14 and FY15, has the State providing additional State Appropriation in order to bring State funding levels closer to historical amounts that will allow for the State to support 50% of the educational costs of an in state undergraduate while the student funds the remaining 50%. In return for this State investment, the University and the Board committed to freezing the in state undergraduate curriculum fee during this same time period.

In the year ended June 30, 2014 the University reported tuition revenue of approximately \$34.3 million of tuition the University remits to the State Treasurer’s Office for the general fund of the Commonwealth of Massachusetts. Unless otherwise permitted by the Massachusetts Legislature, the University is required to remit tuition revenue received to the Commonwealth. Therefore, the University collects student tuition on behalf of the Commonwealth and remits it to the Commonwealth’s General Fund. The amount of tuition remitted to the Commonwealth was \$35.1 million in fiscal year 2013. There is no direct connection between the amount of tuition revenues collected by the University and the amount of state funds appropriated in any given year.

In fiscal year 2004, a pilot program authorized by the Commonwealth enabled the Amherst campus to retain tuition for out-of-state students. This pilot program was extended indefinitely for the Amherst Campus in fiscal year 2005 and starting in fiscal year

2012 all of the University's campuses were authorized to retain tuition from out-of-state students. The amount of tuition retained by the University during 2014 and 2013 was \$75.8 million and \$74.5 million, respectively.

The following table details the Commonwealth operating appropriations received by the University for fiscal years ending June 30, 2014 and 2013:

	FY2014	FY2013
Gross Commonwealth Appropriations	\$ 486,656	\$ 447,837
Plus: Fringe Benefits*	141,881	130,005
	628,537	577,842
Less: Tuition Remitted	(34,325)	(35,103)
Less: Mandatory Waivers	(23,594)	(23,428)
Net Commonwealth Support	\$ 570,618	\$ 519,311

*The Commonwealth pays the fringe benefits for University employees paid from Commonwealth operating appropriations. Therefore, such fringe benefit support is added to the "State Appropriations" financial statement line item as presented in the above table. The University pays the Commonwealth for the fringe benefit cost of the employees paid from funding sources other than Commonwealth operating appropriations.

Capital Appropriations from the Commonwealth

The University faces a financial challenge to maintain and upgrade its capital assets including its infrastructure, buildings and grounds. In order to have a successful capital program, the University must rely on a combination of revenue sources to fund its investment. In fiscal year 2014, there was \$112.1 million of capital support provided to the University through appropriations and grants from the Commonwealth. This is consistent with capital appropriations provided in fiscal year 2013. This funding is attributed to the Commonwealth's Division of Capital Asset Management ("DCAM") which funded several large capital projects in fiscal year 2013 and 2014 through the State's Higher Education Bond Bill and Life Sciences Bond Bill, both passed in 2008 and have projects funded on each of the campuses. The University projects that although capital support will fluctuate from year to year, the level of capital appropriations from the Commonwealth will continue to be significant. Although the completion of major construction projects managed by DCAM are underway at all five of the University's campuses. The current bond support from the State has been fully programmed and therefore the University is now working to secure the next round of funding to ensure continuity of the capital program beyond FY18.

Grant and Contract Revenue

Collectively, the University's Amherst Campus and Medical School in Worcester account for approximately 77% of University grant and contract activity. The Boston, Dartmouth, and Lowell campuses continue to have significant sponsored research activity.

The following table details the University's grant and contract revenues (in thousands) for the fiscal years ended June 30, 2014 and 2013:

	FY2014	FY2013
Federal Grants and Contracts	\$ 322,047	\$ 334,697
State Grants and Contracts	74,996	68,794
Local Grants and Contracts	2,223	2,253
Private Grants and Contracts	112,428	106,714
Total Grants and Contracts	\$ 511,694	\$ 512,458

Discretely Presented Component Units

University of Massachusetts Foundation, Inc.

The combined University and Foundation endowment has increased to approximately \$757.5 million at June 30, 2014 from \$664.7 million at June 30, 2013.

The Foundation utilizes the pooled investment concept whereby all invested funds are in one investment pool, except for investments of certain funds that are otherwise restricted. Pooled investment funds will receive an annual distribution of 4% of the endowment fund's average market value for the preceding twelve quarters on a one year lag. Only quarters with funds on deposit shall be included in the average. In addition, a prudence rule will be utilized to limit spending from a particular endowment fund to no lower than 93% of its book value. The Foundation distributed \$17.7 million (4%) and \$15.1 million (4%) in fiscal years 2014 and 2013, respectively.

The total investment return of the Foundation for fiscal year 2014 was \$112.2 million as compared to 2013, which, including realized and unrealized investment activity, was a net gain of approximately \$64.0 million. This is consistent with investment return performance at other institutions.

University of Massachusetts Dartmouth Foundation, Inc.

Total marketable securities for the Dartmouth Foundation were \$53.5 million at June 30, 2014 up from \$47.9 million at June 30, 2013, which are held by the University of Massachusetts Foundation, Inc. The increase was primarily due to favorable market conditions and new gifts. The Dartmouth Foundation total investment return for fiscal year 2014, including realized and unrealized investment activity, was a net gain of \$4.9 million as compared to a net gain of \$2.9 million in 2013.

Tuition and Fees

Due to declining State Appropriations, the University's Board of Trustees voted to increase mandatory student charges by 7.5% for resident undergraduate students for the 2011-2012 academic year and an additional 4.9% for the 2012-2013 academic year. For academic years 2013-2014 and 2014-2015, the Board of Trustees voted to freeze the mandatory curriculum fee for in state undergraduate students based on the increase to the State appropriation known as the 50/50 described above. Affordability will continue to be a priority of the University and increases in fees will be considered in conjunction with State support on an annual basis.

Enrollment

Except for the Medical School, which admits only Massachusetts residents (as required by Massachusetts Session Laws, 1987, Chapter 199, Section 99), admission to the University is open to residents of the Commonwealth and non-residents on a competitive basis. In the fall 2013 semester, Massachusetts residents accounted for approximately 82% and 54% of the University's total undergraduate and graduate enrollment, respectively. Total enrollment in the fall of 2013 was 61,336 FTE (71,941 headcount students). Enrollments at the University have shown significant increases over the last five years (53,140 FTE in fall 2008). The 15% enrollment growth is consistent with the University's efforts to increase its reach across the Commonwealth and to recruit non-resident students and is reflective of the quality education provided by the University of Massachusetts.

Degrees Awarded

The University awards four levels of degrees, as follows: associate, bachelors, masters and doctoral/professional degrees. A total of 16,447 degrees were awarded in the 2012-2013 academic year reflecting a 5% increase from the previous year. Of these awards, 66% were at the undergraduate level and 30% were at the graduate level. The remaining were associates degrees and undergraduate certificates.

Bonds Payable

As of June 30, 2014, the University had outstanding bonds of approximately \$2.81 billion representing \$2.48 billion of University of Massachusetts Building Authority bonds (the "Building Authority Bonds"), \$59.3 million of University of Massachusetts bonds financed through the Massachusetts Health and Educational Facilities Authority which has been merged into MassDevelopment (the "UMass HEFA Bonds"), and \$275.5 million of bonds financed through the Worcester City Campus Corporation (the "WCCC Bonds"). Bonds payable is the University's largest liability at June 30, 2014. The Building Authority's active projects include residence hall construction and renovation, renovation of general education buildings, replacement of core infrastructure, and construction of academic, laboratory, and research facilities. The proceeds from the UMass HEFA Bonds were used to create a revolving loan program and to fund the construction of two new campus centers at the Boston and Lowell campuses (funded jointly with the Commonwealth).

On March 8, 2013, the Building Authority issued \$212,585,000 of Senior Series 2013-1 Project Revenue Bonds (the "2013-1 Bonds") and \$71,790,000 of Senior Series 2013-2 Project Revenue Bonds (the "2013-2 Bonds"). The 2013-1 Bonds are tax-exempt and mature at various dates through 2043. The interest on the bonds is payable semi-annually each November 1st and May 1st and the interest rates on the bonds range from 2% to 5%. The 2013-2 bonds are taxable, mature at various dates through 2043 and the interest on the bonds is payable semi-annually each November 1st and May 1st. The interest rates on the bonds range from 0.43% to 2.686%. The 2013-1 Bonds and 2013-2 Bonds will be used to finance capital projects in the University's Capital Plan.

On August 8, 2013, the Authority issued its \$24,640,000 Project and Refunding Revenue Bonds, Senior Series 2013-3 (the "2013-3 bonds"). The 2013-3 bonds were issued to finance and refinance a project set forth in the University's capital plan, the Edward M. Kennedy Institute for the United States Senate on the Boston campus of the University (the "EMK Project"). The proceeds of the 2013-3 bonds were used to finance the costs of such project, to fund capitalized interest on a portion of the 2013-3 Bonds, to refund a portion of the Authority's Project Revenue Bonds, Senior Series 2009-1 allocable to the construction of the EMK Project, and to pay costs of issuing the 2013-3 Bonds. The 2013-3 Bonds are due (serially) through 2043 with fixed interest rates ranging from 4.0% to 5.0%.

On August 13, 2013, the Authority issued Commercial Paper Note, Series 2013 A and 2013 B in the amount of \$25.0 million for each respective series, with a total amount outstanding of \$50.0 million. The maximum aggregate principal amount of commercial paper which may be outstanding at one time is \$200.0 million. A portion of these notes are secured by an Irrevocable Letter of Credit ("LOC") provided by State Street Bank and Trust Company ("State Street") with respect to the \$125 million Commercial Paper Notes, Series 2013 A, which expires in August of 2016. The remaining \$75 million Commercial Paper Notes, Series 2013 B are secured by a Standby Liquidity Facility Agreement provided by U.S. Bank National Association, which expires in August 2016.

On February 25, 2014, the Building Authority issued \$293,890,000 of Project Revenue Bonds, Senior Series 2014-1 (the "2014-1 Bonds") and \$14,085,000 of Project Revenue Bonds, Senior Series 2014-2 (the "2014-2 Bonds"). The 2014-1 Bonds included a premium of \$21.8 million. The 2014-1 Bonds are tax-exempt and mature at various dates through 2044. The interest on the bonds is payable semi-annually each November 1st and May 1st and the interest rates on the bonds range from 3% to 5%. The 2014-2 Bonds are federally taxable and mature at various dates through 2019. The interest on the bonds is payable semi-annually each November 1st and May 1st and interest rates on the bonds range from 0.440% to 2.109%. The 2014-1 and 2014-2 Bonds will

be used to finance capital projects in the University's Capital Plan.

On June 3, 2014, the Building Authority issued \$157,855,000 of Refunding Revenue Bonds, Senior Series 2014-4 (the "2014-4 Bonds"). The 2014-4 Bonds are federally taxable and mature at various dates through 2025. The interest on the bonds is payable semi-annually each November 1st and May 1st and the interest rates on the bonds range from 0.2% to 3.381%. The 2014-4 Bonds were issued to refinance the Building Authority's Refunding Revenue Bonds, Senior Series 2005-2.

Capitalized Lease Obligations

At June 30, 2014, the University had capital lease obligations with remaining principal payments of approximately \$2.2 million which is a \$4.3 million decrease from the remaining principal payments of \$6.5 million at June 30, 2013. The capital leases primarily consist of telecommunications, software and co-generation systems, and campus energy conversions. The decrease in obligations is due to scheduled lease payments.

University Rating

The University is relying on a carefully planned and executed debt strategy to support master and strategic planning at the campuses and for the University as a whole. The University has been rewarded for its strategic planning by recent ratings upgrades. Bonds issued by the University of Massachusetts and the University of Massachusetts Building Authority are now AA, Aa2 and AA- as rated by Fitch, Moody's and Standard & Poor's rating agencies, respectively.

Limitations on Additional Indebtedness

The University may, without limit, issue additional indebtedness or request the Building Authority to issue additional indebtedness on behalf of the University so long as such indebtedness is payable from all available funds of the University. However, the University may request that the Building Authority issue additional indebtedness not payable from all available funds of the University provided that the additional indebtedness is secured by certain pledged revenues and the maximum annual debt service on all revenue indebtedness does not exceed 8% of the University's available revenues.

The Building Authority is authorized by its enabling act to issue bonds with the unconditional guarantee of the Commonwealth of Massachusetts for the punctual payment of the interest and principal payments on the guaranteed bonds. The full faith and credit of the Commonwealth are pledged for the performance of its guarantee. The enabling act, as amended, presently limits to \$200 million the total principal amount of notes and bonds of the Building Authority that may be Commonwealth guaranteed and outstanding at any one time. The amount of bond obligation guaranteed by the Commonwealth at June 30, 2014 and 2013 was \$125.6 million and \$129.5 million, respectively.

Capital Plan

In September 2013, the University's Trustees approved a \$5.5 billion five-year (fiscal years 2014-2018) update to its capital plan with \$3.8 billion of projects approved to continue or commence over the next 24 months. The University generally has funded its capital plans through a combination of funding received from University operations, bonds issued by the University of Massachusetts Building Authority, MassDevelopment financing, Commonwealth appropriations, and private fundraising. The execution of many projects from the University's capital plan is from funding from the Commonwealth through the Higher Education and Life Sciences Bond Bills.

Campus	Total 5-Year Plan FY14 - FY18	Total Approved Projects (as of Sept 2014)
Amherst	\$1,417,236	\$1,453,445
Boston	\$1,291,935	\$962,585
Dartmouth	\$721,328	\$438,510
Lowell	\$1,516,400	\$865,400
Worcester	\$523,598	\$153,340
TOTAL	\$5,470,497	\$3,873,280
# of Projects	255	191

The University's five-year capital plan for fiscal years 2014-2018 includes both new projects and major projects that were previously approved by the University Trustees in prior-year capital plans. Over the last year the University has been working with the Board to enhance its policy regarding its approval of capital projects to ensure a clear process for the review and approval of projects and to provide for multiple reviews during the process so that the President's Office, Building Authority and the Board of Trustees (the Board) are actively involved. Since the capital program requires significant investment, the President's office and the Board wanted to ensure that the proper steps were in place for reviewing and approving projects so that the University continues to live within its current capital and debt policies. The capital plan is currently being reviewed and is set to go before the Board for its biennial review at the December Board meeting.

Factors Impacting Future Periods

There are a number of issues of University-wide importance that directly impact the financial operations of the University. Many of these issues, such as improving academic quality, realizing strong financial results, investing in capital assets, expanding fundraising capacity, operating more efficiently and being the most effective University for students and the Commonwealth given the available resources, and measuring performance are ongoing activities of continuous importance to the Board of Trustees and University leadership that impact the financial and budget planning each year. The level of state support, the impact of collectively

bargained wage increases, and the ability of student-fee supported activities to meet inflationary pressures determine the limits of program expansion, new initiatives and strategic investments, as well as the ability of the University to meet its core mission and ongoing operational needs.

Despite challenging economic times in the Commonwealth since fiscal year 2009, the University of Massachusetts continues to focus on improving its competitive position. To meet increased student demand, boost academic credentials, and improve campus infrastructure, the University has expanded and acquired several strategic properties in the past few fiscal years:

- The Massachusetts Accelerator for Biomanufacturing (MAB) is a new 35,000 square foot bioprocessing facility located on a four acre site within the newly developed South Coast Life Sciences & Technology Park in Fall River. The facility looks to enhance the University's program offerings to assist small companies developing therapeutic biologic products with the transition from scientific protocol to large scale production processes that meet both industry and regulatory quality standards.
- In the fall of 2014, the University opened the Springfield Satellite Center to offer bachelor and master level courses associated with a variety of existing academic degrees and certificates that are already available to citizens of Greater Springfield at nearby locations and/or online. The Center will also house selected outreach, research, and economic development programs and activities.
- A satellite campus associated with the Umass Lowell, in Haverhill, is currently being explored to better serve its student population. A permanent site is being explored and a temporary site is being utilized in the current year in partnership with Northern Essex Community College.

Despite these successful acquisitions, the ability to address priority capital needs and requirements for deferred maintenance, technology, repairs and adaptation, and selected new construction projects is one of the largest challenges facing the University. Despite investing more than \$2.5 billion on capital improvements over the last decade, the University's FY14-18 capital plan projects spending another \$5.5 billion over the next five years. The commitment of operating funds for servicing debt and/or funding capital expenditures has an ongoing impact on the overall financial position of the University. In order to support the University's capital plan, the University of Massachusetts Building Authority will be issuing new bonds for renovations, new construction, and deferred maintenance projects at the Amherst, Boston, Dartmouth, Lowell, and Worcester campuses in support of the capital plan. The University is currently working with the Building Authority to determine the timing of the next bond issuance in support of the FY14 – FY18 Capital Plan.

The University, as well as Legislative and Executive Leadership in the Commonwealth, understand that despite the significant level of capital activity being financed through University debt, a much higher level of state support needs to be dedicated to higher education facilities. As such, the Massachusetts Legislature passed a higher education bond bill in August 2008 that was filed by Governor Patrick. The Higher Education Improvement Act authorized \$2.2 billion for capital improvement spending over the next ten years at community colleges, state universities, and the University. More than \$1 billion of these funds are directed to University projects exclusively. Although the financial challenges faced by the Commonwealth have slowed down the pace of this funding, the capital plans prepared by the Commonwealth's Executive Office for Administration and Finance maintain the commitment to fund \$1 billion of capital activity at the University over the ten-year period from FY09-18. To date the \$1 billion dedicated by the State to the University has been programmed toward funding critical capital projects at all of the campuses and we are currently working with the Commonwealth to secure additional authorizations for the future.

In addition, a major state effort to assist the Commonwealth in increasing its competitive position in the Life Sciences Industry was signed into law by the Governor on June 16, 2008. The \$1 billion Life Sciences Industry Investment Act authorized \$500 million of capital funding over ten years. It is anticipated that some portion of this funding, possibly as much as \$242 million, will be used to support facility improvements at the University. \$90 million has already been dedicated to partially fund the Sherman Center at the University's Medical School in Worcester. Additionally \$95 million has been provided for a research facility at the Amherst Campus and significant capital investments in collaborative facilities and programs involving the Boston, Dartmouth, and Lowell campuses.

The impact of this increased level of state capital support from both the Higher Education Bond Bill and the Life Sciences Bond Bill is illustrated on the financial statements where capital appropriations and grants exceeded \$112 million in fiscal years 2014 and 2013.

In addition to capital funding, the life sciences initiative provides a number of opportunities for the University to participate in the planning and program implementation of this important economic development effort.

The University's Boston Campus is situated on a peninsula in Boston Harbor which is also home to the John F. Kennedy Presidential Library and the Massachusetts State Archives and Commonwealth Museum. Construction is almost complete on the Edward M. Kennedy Institute for the United States Senate. The Kennedy Institute will focus on political study, training sessions for students and politicians, and historical records. The Institute will add significant prominence to the Boston Campus and the University.

Research funding for the University of Massachusetts was strong despite Federal sequestration of funds. For the University, research expenditures were \$591.1 million in fiscal year 2013 and \$597.5 million in fiscal year 2012. Most research at the University is externally funded, with the federal government providing a majority of the funding through the National Institutes of

Health, the National Science Foundation, and other sources. Among Massachusetts colleges and universities, UMass ranks third in research and development expenditures, behind only MIT and Harvard. The University, as well as most major public research universities across the United States, is closely monitoring the potential reduction in federal funding for research and development programs.

In recent years the online learning consortium of the University, UMassOnline, has shown significant growth in enrollments, course offerings and revenue generation benefiting the campuses and raising the profile of the University throughout this important sector of the higher education market. UMassOnline provides marketing and technology support for UMass' online offerings that enable students, professionals, and lifelong learners to take courses anywhere, anytime. With over 130 undergraduate and graduate degree, certificate and professional development programs and more than 1,500 courses available from University faculty, UMassOnline is one of the largest accredited online programs available.

For fiscal year 2014, UMass Online and the Continuing Education units at the five campuses collaboratively generated tuition revenue in excess of \$85.1 million and supported 63,496 course enrollments, an increase of 8.7% for revenue and an increase of 7.3% for course enrollments as compared to fiscal year 2013.

The University continues to increase its global reach through a coordinated effort in international activities to develop partnerships and programs to bring faculty, visiting scholars and students from other countries to the University; to integrate study abroad opportunities into the undergraduate and graduate curriculum; and to encourage faculty to engage in research, teaching and service activities around the world.

The Commonwealth's fiscal year 2013 budget approved in June 2012 included a base state appropriation amount for the University equal to the base state appropriation received in fiscal year 2012. In addition to the base state appropriation, the budget also provided \$25.6 million to cover the fiscal year 2013 cost of the collective bargaining increases for the University's union employees and \$6.6 million of line item funding specific to the University. With state support consistent with the FY11 level despite the fact that enrollment has increased at the University by 15% over the last five years, the University's Board of Trustees approved a 4.9% tuition and fee increase for undergraduate students for the 2012-2013 academic year. In January of 2013, the Governor imposed mid-year budget reductions to bring the State budget into balance. As part of the reductions, the University received a 1% reduction equating to \$4.2 million. Through working with the Legislature, the University was able to utilize revenues to meet the reduction so that there would be no impact on the fringe support provided by the State. Each campus and the central office absorbed the reduction into operations for fiscal year 2013.

The fiscal year 2014 budget approved in July 2013 included a new funding model that would have the State assume 50% of the cost to educate a Massachusetts student at the University. The 50:50 funding proposal required an investment by the Commonwealth of \$39.1 million in each of the next two fiscal years, 2014 and 2015). This investment, along with the additional fringe support of \$10.8 million gained from the increase in the State appropriation will provide the University with \$100 million in additional appropriation over the next two fiscal years. The 2014 State budget included language (outside section 162) providing for the second year commitment to reach the goal of 50:50. This initiative has had an immediate and meaningful impact on thousands of Massachusetts residents who have not had an increase in their tuition and mandatory curriculum fees for the upcoming academic year. It also provides them with more long-term relief by allowing them to graduate and enter the workforce with less student debt. The total appropriation for fiscal year 2014 is \$478.7 million. These State funds are used entirely to support salary costs and the associated fringe benefit from having employees funded using the State appropriation.

Despite increased State support for fiscal year 2014, the University continues to examine our operations and implement meaningful, financially impactful improvements wherever possible. Understanding that the current fiscal environment poses significant challenges for the University and its students, the responsibility to be a good steward of limited resources is taken seriously. The University, through its Board of Trustees, created a permanent Task Force on Efficiencies and Effectiveness charged with helping to ensure that improving quality through more efficient and effective operations continues to be a priority for the University. The Task Force, along with the President's Office and the campuses is working to promote a more standardized approach for cross campus collaboration and oversight of the entire effort, track and report progress, and quantify the benefits to the University and its campuses. Over the last few years the University has achieved measureable savings and efficiencies and expects current efforts to yield additional savings going forward.

The fiscal year 2015 budget approved in July 2014 provided for a base state appropriation of \$519.0 million which represents the second installment of the 50:50 plan which began in fiscal year 2014. This investment along with the additional fringe support allowed the University to freeze the mandatory curriculum fee for the second consecutive year for in state undergraduate students. However, the State did not fund the first year of collective bargaining contracts to date that cost approximately \$13 million in State support. The University continues to advocate for these funds as negotiations using State set parameters continue.

As the University begins planning for fiscal year 2016, we continue to monitor State revenues and advance work in efficiency and effectiveness efforts wherever possible. In addition, as the campuses continue to make progress on capital projects, the University is looking to the State for its next round of bond funding in support of new and deferred maintenance projects in support of the plan. Meanwhile, each campus continues their fundraising efforts and capital campaigns.

Contacting the University

This financial report is designed to provide the University, the Commonwealth, the public and other interested parties with an overview of the financial results of the University and an explanation of the University's financial condition. If you have any questions about this report or require additional information, you can contact the University by calling the University Controller, Sarah Mongeau, at (774) 455-7520 or by email at smongeau@umassp.edu.

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University of Massachusetts
Consolidated Statement of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)

	University June 30, 2014	University Related Organizations June 30, 2014	University June 30, 2013 (adjusted)	University Related Organizations June 30, 2013
ASSETS				
Current Assets				
Cash and Cash Equivalents	\$63,752		\$93,939	
Cash Held By State Treasurer	27,867		23,883	
Accounts, Grants and Loans Receivable, net	231,156		235,988	
Pledges Receivable, net	11,320	785	12,461	887
Short Term Investments	192,957		170,916	
Inventories, net	16,298		19,769	
Accounts Receivable from UMass Memorial	40,807		12,734	
Due From Related Organizations	181	354	230	380
Other Assets	8,412	539	9,904	2,563
Total Current Assets	592,750	1,678	579,824	3,830
Noncurrent Assets				
Cash and Cash Equivalents		1,378		1,041
Cash Held By State Treasurer	8,429		9,339	
Cash and Securities Held By Trustees	704,186		622,791	
Accounts, Grants and Loans Receivable, net	40,498		39,388	
Pledges Receivable, net	6,465	677	3,907	1,109
Investments	775,953	452,529	717,729	389,376
Other Assets	7,860	62	10,295	173
Investment In Plant, net	4,064,786	8,478	3,705,517	8,619
Total Noncurrent Assets	5,608,177	463,124	5,108,966	400,318
Total Assets	\$6,200,927	\$464,802	\$5,688,790	\$404,148
DEFERRED OUTFLOWS OF RESOURCES				
Deferred Change in Fair Value of Interest Rate Swaps	\$41,082		\$40,207	
Loss on Debt Refunding	71,798		74,079	
Total Deferred Outflows of Resources	\$ 112,880		\$ 114,286	
LIABILITIES				
Current Liabilities				
Accounts Payable	\$113,650	\$174	\$129,238	\$94
Accrued Salaries and Wages	110,464		106,016	
Accrued Compensated Absences	74,092		73,118	
Accrued Workers' Compensation	4,352		4,198	
Accrued Interest Payable	21,872		22,316	
Bonds Payable	196,608		328,126	
Capital Lease Obligations	2,232		4,302	
Accelerated variable rate debt, current	50,000			
Assets Held on behalf of Others		13,797		12,307
Accounts Payable to UMass Memorial	3,864		4,364	
Due To Related Organizations	354	181	380	230
Unearned Revenues and Credits	40,923	1,373	40,388	1,973
Advances and Deposits	6,912		7,946	
Other Liabilities	49,007		52,530	
Total Current Liabilities	674,330	15,525	772,922	14,604
Noncurrent Liabilities				
Accrued Compensated Absences	31,779		30,410	
Accrued Workers' Compensation	10,811		10,429	
Bonds Payable	2,617,149		2,213,722	
Capital Lease Obligations			2,238	
Derivative Instruments, Interest Rate Swaps	68,843		69,325	
Unearned Revenues and Credits	21,243		20,199	
Advances and Deposits	28,094		27,943	
Other Liabilities	43,263	3,483	41,532	3,332
Total Noncurrent Liabilities	2,821,182	3,483	2,415,798	3,332
Total Liabilities	\$3,495,512	\$19,008	\$3,188,720	\$17,936
Net Position:				
Invested in Capital Assets Net of Related Debt	\$1,800,767	\$8,477	\$1,682,173	\$8,619
Restricted				
Nonexpendable	17,387	309,718	18,058	290,858
Expendable	174,530	101,195	156,469	74,706
Unrestricted	825,611	26,404	757,656	12,029
Total Net Position	\$2,818,295	\$445,794	\$2,614,356	\$386,212

The accompanying notes are an integral part of the financial statements.

University of Massachusetts
Consolidated Statement of Revenues, Expenses, and Changes in Net Position
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)

	University June 30, 2014	University Related Organizations June 30, 2014	University June 30, 2013 (adjusted)	University Related Organizations June 30, 2013
REVENUES				
Operating Revenues				
Tuition and Fees (net of scholarship allowances of \$201,186 at June 30, 2014 and \$189,753 at June 30, 2013)	\$740,116		\$707,495	
Federal Grants and Contracts	322,047		334,697	
State Grants and Contracts	74,996		68,794	
Local Grants and Contracts	2,223		2,253	
Private Grants and Contracts	112,428		106,714	
Sales and Service, Educational	21,792		19,237	
Auxiliary Enterprises	349,485		319,544	
Other Operating Revenues:				
Sales and Service, Independent Operations	44,296		46,062	
Sales and Service, Public Service Activities	448,478		447,119	
Other	93,418		100,839	
Total Operating Revenues	2,209,279		2,152,754	
EXPENSES				
Operating Expenses				
<i>Educational and General</i>				
Instruction	690,635		657,841	
Research	407,425		405,223	
Public Service	77,985	\$11,066	74,510	\$12,573
Academic Support	151,000		145,551	
Student Services	119,295		108,746	
Institutional Support	219,920		209,975	
Operation and Maintenance of Plant	214,972		203,115	
Depreciation and Amortization	204,233	200	185,261	202
Scholarships and Fellowships	49,242	177	49,731	77
<i>Auxiliary Enterprises</i>	265,080		248,765	
<i>Other Expenditures</i>				
Independent Operations	44,861		47,826	
Public Service Activities	365,252		327,293	
Total Operating Expenses	2,809,900	11,443	2,663,837	12,852
Operating Loss	(600,621)	(11,443)	(511,083)	(12,852)
NONOPERATING REVENUES/(EXPENSES)				
Federal Appropriations	7,020		6,774	
State Appropriations	570,618		519,311	
Gifts	29,013	11,063	30,044	9,452
Investment Income	86,685	42,849	56,037	24,540
Endowment Income	16,642	1,070	13,614	1,160
Interest on Indebtedness	(89,496)		(91,364)	
Nonoperating Federal Grants	74,279		70,586	
Other Nonoperating Income	1,046		1,002	
Net Nonoperating Revenues	695,807	54,982	606,004	35,152
Income Before Other Revenues, Expenses, Gains, and Losses	95,186	43,539	94,921	22,300
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES				
Capital Appropriations	112,132		112,581	
Capital Grants and Contracts	21,987		39,347	
Additions to Permanent Endowments		17,566		16,056
Net Amounts Earned/Received on Behalf of Others		(1,555)		(928)
Capital Contribution	250		4,514	
Disposal of Plant Facilities	(6,198)		(8,802)	
University Related Organization Transactions				
Other Additions/(Deductions)	(19,418)	32	2,939	(9,051)
Total Other Revenues, Expenses, Gains, and Losses	108,753	16,043	150,579	6,077
Total Increase in Net Position	203,939	59,582	245,500	28,377
NET POSITION				
Net Position at Beginning of Year, as reported	2,614,356	386,212	2,389,377	357,835
Cummulative effect of change in accounting principle			(20,521)	
Net Position at Beginning of Year, as adjusted			2,368,856	
Net Position at End of Year	\$2,818,295	\$445,794	\$2,614,356	\$386,212

The accompanying notes are an integral part of the financial statements.

University of Massachusetts
Consolidated Statements of Cash Flows
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)

	University June 30, 2014	University June 30, 2013
CASH FLOWS FROM OPERATING ACTIVITIES		
Tuition and Fees	\$793,246	\$780,540
Grants and Contracts	798,973	695,492
Payments to Suppliers	(1,273,331)	(1,038,532)
Payments to Employees	(1,298,736)	(1,292,185)
Payments for Benefits	(288,286)	(283,775)
Payments for Scholarships and Fellowships	(49,236)	(49,725)
Loans Issued to Students and Employees	(7,212)	(7,230)
Collections of Loans to Students and Employees	5,302	5,755
Auxiliary Enterprises Receipts	336,456	305,907
Sales and Service, Educational	21,613	19,372
Sales and Service, Independent Operations	49,781	69,181
Sales and Service, Public Service Activities	471,119	466,113
Net Cash Used in Operating Activities	(440,311)	(329,088)
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES		
State Appropriations	628,537	577,841
Tuition Remitted to the State	(34,325)	(35,103)
Federal Appropriations	7,020	6,774
Gifts and Grants for Other Than Capital Purposes	25,990	23,047
Nonoperating Federal Grants	74,279	70,586
Student Organization Agency Transactions	31	(518)
Net Cash Provided by Noncapital Financing Activities	701,533	642,627
CASH FLOWS FROM CAPITAL AND OTHER FINANCING ACTIVITIES		
Proceeds from Capital Debt	587,555	303,752
Bond Issuance Costs Paid	(3,647)	(2,151)
Capital Appropriations	112,132	112,582
Capital Grants and Contracts	37,584	40,324
Purchases of Capital Assets and Construction	(208,444)	(273,885)
Principal Paid on Capital Debt and Leases	(257,837)	(76,347)
Interest Paid on Capital Debt and Leases	(104,441)	(95,550)
Use of Debt Proceeds on Deposit with Trustees	(357,204)	(537,050)
Net Cash Used in Capital Financing Activities	(194,302)	(528,325)
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from Sales and Maturities of Investments	1,141,204	1,067,591
Interest on Investments	8,959	9,172
Purchase of Investments	(1,162,801)	(1,022,629)
Net Cash (Used in)/Provided by Investing Activities	(12,638)	54,134
NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS	54,282	(160,652)
Cash and Cash Equivalents - Beginning of the Year	749,952	910,604
Cash and Cash Equivalents - End of Year	\$804,234	\$749,952
RECONCILIATION OF OPERATING LOSS TO NET CASH USED BY OPERATING ACTIVITIES		
Operating Loss	(\$600,621)	(\$511,083)
<i>Adjustments to reconcile loss to net cash used by Operating Activities:</i>		
Depreciation and Amortization Expense	\$204,233	185,261
<i>Changes in Assets and Liabilities:</i>		
Receivables, net	2,305	(14,984)
Inventories	3,471	1,673
Due to/from Related Organizations	(75)	(105)
Accounts Receivable/Payable UMass Memorial	(28,573)	(6,175)
Other Assets	(16,748)	(2,090)
Accounts Payable (non-capital)	(10,550)	(7,039)
Accrued Liabilities	7,327	13,632
Deferred Revenue	1,579	(2,162)
Advances and Deposits	(883)	(962)
Other Liabilities	(1,777)	14,948
Net Cash Used in Operating Activities	(440,312)	(329,086)
SUPPLEMENTAL DISCLOSURE OF NONCASH ACTIVITIES:		
Assets acquired and included in accounts payable and other liabilities	\$56,705	\$61,743
Loss on disposal of capital assets	(\$6,198)	(8,802)
Unrealized gain on investments	50,353	7,932

University of Massachusetts
Notes to Consolidated Financial Statements
June 30, 2014 and 2013

1. SUMMARY OF ORGANIZATION AND SIGNIFICANT ACCOUNTING POLICIES

ORGANIZATION

The consolidated financial statements herein present the financial position, results of operations, changes in net position, and cash flows of the University of Massachusetts (“the University”), a federal land grant institution. The financial statements of the University include the Amherst, Boston, Dartmouth, Lowell and Worcester Medical School campuses, and the Central Administration office of the University, Worcester City Campus Corporation (“WCCC”), the University of Massachusetts Amherst Foundation (“UMass Amherst Foundation”), as well as the University of Massachusetts Building Authority (“the Building Authority”).

The Building Authority is a public instrumentality of the Commonwealth created by Chapter 773 of the Acts of 1960 (referred to as the “Enabling Act”), whose purpose is to provide dormitories, dining commons, and other buildings and structures for use by the University. WCCC is a tax exempt organization founded to support research and real property activities for the University. The UMass Amherst Foundation was established in 2003 as a tax exempt organization founded to foster and promote the growth, progress, and general welfare of the University. These component units are included in the financial statements of the University because of the significance and exclusivity of their financial relationships with the University.

The University Related Organizations column in the accompanying financial statements includes the financial information of the University’s discretely presented component units. The University of Massachusetts Foundation, Inc. (“the Foundation”) and the University of Massachusetts Dartmouth Foundation, Inc. (“the Dartmouth Foundation”) are related tax exempt organizations founded to foster and promote the growth, progress and general welfare of the University, and are reported in a separate column to emphasize that they are Massachusetts not-for-profit organizations legally separate from the University. These component units are included as part of the University’s financial statements because of the nature and the significance of their financial relationship with the University. The financial statement presentation of the discretely presented component units has been reclassified to conform to the University presentation. The financial reports of all above mentioned component units are available upon request from the University.

The University is an enterprise fund of the Commonwealth of Massachusetts (“the Commonwealth”). The financial balances and activities included in these financial statements are, therefore, also included in the Commonwealth’s comprehensive annual financial report.

BASIS OF PRESENTATION

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America as prescribed by the Governmental Accounting Standards Board (“GASB”) using the economic resources measurement focus and the accrual basis of accounting. These financial statements are reported on a consolidated basis, and all intra-University transactions are eliminated.

Operating revenues consist of tuition and fees, grants and contracts, sales and services of educational activities (including royalties from licensing agreements) and auxiliary enterprise revenues. Operating expenses include salaries, wages, fringe benefits, utilities, subcontracts on grants and contracts, supplies and services, and depreciation and amortization. All other revenues and expenses of the University are reported as non-operating revenues and expenses including state general appropriations, federal appropriations, non-capital gifts, short term investment income, endowment income used in operations, interest expense, and capital additions and deductions. Other revenues, expenses, gains and losses represent all capital items, other changes in long term plant, and endowment net assets. Revenues are recognized when earned and expenses are recognized when incurred with the exception of revenue earned on certain public service activities (see Note 5). Restricted grant revenue is recognized only when all eligibility requirements have been met, that is to the extent grant revenues are expended or in the case of fixed price contracts, when the contract terms are met or completed. Contributions, including unconditional promises to give (pledges) for non-endowment or non-capital purposes, are recognized as revenues in the period received. Pledges to restricted non-expendable endowments are recognized as revenues in the period received. Conditional promises to give are not recognized until they become unconditional, that is when the conditions on which they depend are substantially met. The University applies restricted net assets first when an expense or outlay is incurred for purposes for which both restricted and unrestricted net assets are available.

The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America requires management to make estimates and judgments that affect the reported amounts of assets and liabilities, and disclosures of contingencies at the date of the financial statements and revenues and expenditures recognized during the reporting period. Significant estimates include the accrual for employee compensated absences, the accrual for workers’ compensation liability, the allowance for doubtful accounts, valuation of certain investments, and best estimates of selling price associated with certain multiple element arrangements. Actual results could differ from those estimates.

The University reports its financial statements as a “business-type activity” (“BTA”) under GASB Statement No. 35, *Basic Financial Statements – and Management’s Discussion and Analysis – for Public Colleges and Universities* (GASB 35). BTAs are defined as those that are financed in whole or in part by fees charged to external parties for goods or services.

In order to ensure observance of limitations and restrictions placed on the use of available resources, the accounts of the University are maintained internally in accordance with the principles of fund accounting. This is the procedure by which resources for various purposes are maintained in separate funds in accordance with the activities or objectives specified. GASB 35 establishes standards for external financial reporting by public colleges and universities that resources be classified into the following net position categories:

- **Invested in capital assets, net of related debt:** Capital assets, at historical cost, or fair market value on date of gift, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction or improvement of those assets.
- **Restricted Nonexpendable:** Resources subject to externally imposed stipulations that they be maintained permanently by the University.
- **Restricted Expendable:** Resources whose use by the University is subject to externally imposed stipulations. Such assets include restricted grants and contracts, the accumulated net gains/losses on true endowment funds, as well as restricted funds loaned to students, restricted gifts and endowment income, and other similar restricted funds.
- **Unrestricted:** Resources that are not subject to externally imposed stipulations. Substantially all unrestricted net assets are designated to support academic, research, auxiliary enterprises or unrestricted funds functioning as endowments, or are committed to capital construction projects.

Revenues are reported net of discounts and allowances. As a result, student financial aid expenditures are reported as an allowance against tuition and fees revenue while stipends and other payments made directly to students are recorded as scholarship and fellowship expenditures on the statements of revenues, expenses, and changes in net position, and included in supplies and services in the statements of cash flows. Discounts and allowances for tuition and fees and auxiliary enterprises are calculated using the Alternate Method which reports tuition and fee revenue net of scholarship allowances.

NEW GASB PRONOUNCEMENTS

In November of 2011, GASB issued Statement No. 60, *Accounting and Financial Reporting for Service Concession Arrangements* (GASB 60). The objective of GASB 60 is to improve financial reporting by addressing issues related to service concession arrangements (SCAs), which are a type of public-private or public-public partnership. A SCA is an arrangement between a transferor (a government) and an operator (governmental or nongovernmental entity) in which (1) the transferor conveys to an operator the right and related obligation to provide services through the use of infrastructure or another public asset (a "facility") in exchange for significant consideration and (2) the operator collects and is compensated by fees from third parties. GASB 60 applies only to those arrangements in which specific criteria determining whether a transferor has control over the facility are met. The implementation of GASB 60 in 2013 had no impact on the University.

In June 2011, GASB issued Statement No. 63, *Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position* (GASB 63). GASB 63 provides financial reporting guidance for deferred outflows of resources and deferred inflows of resources. Concepts Statement No. 4, *Elements of Financial Statements*, introduced and defined those elements as a consumption of net assets by the government that is applicable to a future reporting period, and an acquisition of net assets by the government that is applicable to a future reporting period, respectively. Previous financial reporting standards do not include guidance for reporting those financial statement elements, which are distinct from assets and liabilities. The adoption of GASB 63 resulted in the separate presentation of deferred outflows of resources on the Statement of Net Position. Concepts Statement 4 also identifies net position as the residual of all other elements presented in a statement of financial position. GASB 63 amends the net asset reporting requirements in Statement No. 34, *Basic Financial Statements—and Management's Discussion and Analysis—for State and Local Governments*, and other pronouncements by incorporating deferred outflows of resources and deferred inflows of resources into the definitions of the required components of the residual measure and by renaming that measure as net position, rather than net assets. The adoption of GASB 63 in 2013 required the University to change the reference of net assets to net position.

In April 2012, GASB issued Statement No. 65, *Items Previously Reported as Assets and Liabilities* (GASB 65). This Statement establishes accounting and financial reporting standards that reclassify, as deferred outflows of resources or deferred inflows of resources, certain items that were previously reported as assets and liabilities.

The University adopted GASB 65 effective July 1, 2012. In connection with the adoption of this new standard all accounts were analyzed by management in order to assess the impact on the financial statements. The implementation of this new standard resulted in the modification of the method previously used to account for the cost of issuance associated with the University's numerous bond issuances, commitment and financing fees received by the University in connection with the bonds, and the expense and costs incurred on the bond refundings to be expensed as incurred, rather than capitalized, and amortized over the life of the debt. In accordance with the requirements of this new standard, the University's Fiscal 2013 statement of net position and the University's statement of revenues,

expenses and changes in net position were adjusted to reflect the required adjustments. As a result, the following adjustments have been made to the University's financial statements.

<u>As of July 1, 2012:</u>	<u>As Previously</u>		
	<u>Reported</u>	<u>Adjustment</u>	<u>As Adjusted</u>
Net Position	\$ 2,389,376	\$ (20,521)	\$ 2,368,855
<u>For the year ended June 30, 2013:</u>			
Other Nonoperating Income/(Expense)	2,366	(1,363)	\$ 1,003
Net Position at June 30, 2013	<u>\$ 2,636,241</u>	<u>(21,884)</u>	<u>\$ 2,614,356</u>

Additionally, the deferred losses on refunded bonds in the amount of \$68.9 million at June 30, 2013 were reclassified from long term debt to deferred outflows of resources on the statement of net position.

CLASSIFICATION OF ASSETS AND LIABILITIES

The University presents current and non-current assets and liabilities in the statements of net position. Assets and liabilities are considered current if they mature in one year or less, or are expected to be received, used, or paid within one year or less. Investments with a maturity of greater than one year and balances that have externally imposed restrictions as to use are considered non-current. Cash Held by State Treasurer includes balances with restrictions as to use and balances that may be rolled forward for use toward the restricted purposes in future years, and such balances are classified as non-current. Cash held by trustees is presented based upon its expected period of use and the restrictions imposed on the balances by external parties.

CASH AND CASH EQUIVALENTS AND INVESTMENTS

Cash and cash equivalents consist primarily of petty cash, demand deposit accounts, money market accounts, and savings accounts, with a maturity of three months or less when purchased.

Investments are reported at their respective fair values. Short-term investments consist of deposits with original maturities of less than one year and are available for current use. Securities received as a gift are recorded at estimated fair value at the date of the gift.

Private equities and certain other non-marketable securities held by the Foundation are valued using current estimates of fair value by management based on information provided by the general partner or investment manager for the respective securities. The Foundation believes that the carrying amounts of these investments are a reasonable estimate of fair value, however, their estimated value is subject to uncertainty and therefore may differ from the value that would have been used had a ready market for such investment existed. Venture capital investments represent initial investments made to certain funds and are reported at cost until distributions are made from the funds or until market values are reported on the funds.

Investment securities are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the accompanying financial statements.

Investment income includes dividends and interest income and is recognized on the accrual basis. In computing realized gains and losses, cost is determined on a specific identification basis.

RESTRICTED GRANTS AND CONTRACTS

The University receives monies from federal and state government agencies under grants and contracts for research and other activities including medical service reimbursements. The University records the recovery of indirect costs applicable to research programs, and other activities which provide for the full or partial reimbursement of such costs, as revenue. Recovery of indirect costs for the years ended June 30, 2014 and 2013 was \$114.0 million and \$113.9 million, respectively, and is a component of grants and contracts revenue. The costs, both direct and indirect, charged to these grants and contracts are subject to audit by the granting agency. The University believes that any audit adjustments would not have a material effect on the University's financial statements.

PLEDGES AND ENDOWMENT SPENDING

Pledges for non-endowment purposes are presented net of amounts deemed uncollectible, and after discounting to the present value of the expected future cash flows. Because of uncertainties with regard to whether they are realizable, bequests and intentions and other conditional promises are not recognized as assets until the specified conditions are met.

The Foundation utilizes the pooled investment concept whereby all invested funds are in one investment pool, except for investments of certain funds that are otherwise restricted. Pooled investment funds will receive an annual distribution of 4% of the endowment fund's average market value for the preceding twelve quarters on a one year lag. Only quarters with funds on deposit shall be included in the average. In addition, a prudence rule will be utilized limiting spending from a particular endowment fund to no lower than 93% of its book value. The actual spending rate approved was 4% for 2014 and 2013. Future utilization of gains is

dependent on market performance. Deficiencies for donor-restricted endowment funds resulting from declines in market value would be offset by an allocation from unrestricted net position to restricted expendable net position, and would be recorded in realized and unrealized gains (losses) on sale of investments. In fiscal years 2014 and 2013, the deficiencies were \$0 million and \$0.1 million, respectively. The Foundation believes that these adjustments are temporary and will not require permanent funding.

INVENTORIES

The University's inventories consist of books, general merchandise, central stores, vaccines, and operating supplies which are carried at the lower of cost (first-in, first-out and average cost methods) or market value.

INVESTMENT IN PLANT

Capital assets are stated at cost or fair value upon receipt as a gift. Net interest costs incurred during the construction period for major capital projects are capitalized. Repairs and maintenance costs are expensed as incurred, whereas major improvements that extend the estimated useful lives of the assets are capitalized as additions to property and equipment. Depreciation of capital assets is provided on a straight-line basis over the estimated useful lives of the respective assets. The University records a full year of depreciation in the year of acquisition. Land is not depreciated. The University does not capitalize works of art, historical treasures or library books.

Following is the range of useful lives for the University's depreciable assets:

Buildings	20-50 years
Building Improvements	3-20 years
Equipment and Furniture	3-15 years
Software	5 years
Land Improvements	20 years

COMPENSATED ABSENCES

Employees earn the right to be compensated during absences for annual vacation leave and sick leave. The accompanying statements of net position reflect an accrual for the amounts earned and ultimately payable for such benefits as of the end of the fiscal year. The accrual equates to the entire amount of vacation time earned and an actuarially determined liability for the sick leave component of compensated absences. Employees are only entitled to 20% of their sick leave balance upon retirement. The actuarial calculation utilized the probability of retirement for this estimate.

UNEARNED REVENUE

Unearned revenue consists of amounts billed or received in advance of the University providing goods or services. Unearned revenue is recognized as revenue as expenses are incurred and therefore earned.

ADVANCES AND DEPOSITS

Advances from the U.S. Government for Federal Perkins Loans to students are reported as part of advances and deposits. Future loans to students are made available only from repayments of outstanding principal amounts plus accumulated interest received thereon.

TUITION AND STATE APPROPRIATIONS

The accompanying financial statements for the years ended June 30, 2014 and 2013 present as tuition revenue approximately \$34.3 million and \$35.1 million, respectively, of in-state tuition received by the University and remitted to the State Treasurer's Office for the general fund of the Commonwealth of Massachusetts. The amount of tuition retained by the University related to out-of-state students during 2014 and 2013 was \$75.8 million and \$74.5 million, respectively. The recorded amount of State Appropriations received by the University has been reduced by a corresponding amount of tuition remitted as shown below (in thousands):

	2014	2013
Gross Commonwealth Appropriations	\$486,656	\$447,837
Plus: Fringe Benefits	141,881	130,005
	<u>628,537</u>	<u>577,842</u>
Less: Tuition Remitted	(34,325)	(35,103)
Less: Mandatory Waivers	(23,594)	(23,428)
Net Commonwealth support	<u>\$570,618</u>	<u>\$519,311</u>

AUXILIARY ENTERPRISES

Auxiliary Enterprise revenue of \$349.5 million and \$319.5 million for the years ended June 30, 2014 and 2013, respectively, are stated net of room and board charge allowances of \$1.0 million and \$0.7 million, respectively.

OTHER OPERATING REVENUES AND EXPENDITURES, SALES AND SERVICES, PUBLIC SERVICE ACTIVITIES

Public Service Activities consist largely of sales and services provided to third parties by the UMass Medical School campus under its Commonwealth Medicine ("CWM") programs, which provide public consulting and services in health care financing, administration and policy to federal, state and local agencies and not-for-profit health and policy organizations. Included in this category of activities are Commonwealth Medicine revenues of \$349.0 million and \$358.7 million for the years ended June 30,

2014 and 2013, respectively. Included in expenditures are Commonwealth Medicine expenditures of \$318.2 million and \$347.4 million for the years ended June 30, 2014 and 2013, respectively.

Public Service Activities also include payments received by the Medical School for educational services it provides to its clinical affiliate, UMass Memorial, as required by the enabling legislation enacted by the Commonwealth in 1997. Educational services revenues included in public service revenues were \$163.8 million and \$153.0 million for the years ended June 30, 2014, and 2013, respectively. Finally, Public Service Activity expenditures include payments made to the Commonwealth of Massachusetts of \$120 million and \$65 million for the years ended June 30, 2014 and 2013, respectively, pursuant to requirements of legislation enacted by the State Legislature of Massachusetts.

FRINGE BENEFITS FOR CURRENT EMPLOYEES AND POST EMPLOYMENT OBLIGATIONS – PENSION AND NON-PENSION

The University participates in the Commonwealth's Fringe Benefit programs, including active employee and post – employment health insurance, unemployment compensation, pension, and workers' compensation benefits. Health insurance and pension costs for active employees and retirees are paid through a fringe benefit rate charged to the University by the Commonwealth and currently the liability is borne by the Commonwealth. Consequently, no amounts have been reported by the University under applicable GASB standards. Workers' compensation costs are assessed separately based on actual University experience.

In addition to providing pension benefits, under Chapter 32A of the Massachusetts General Laws, the Commonwealth is required to provide certain health care and life insurance benefits for retired employees of the Commonwealth, housing authorities, redevelopment authorities, and certain other governmental agencies. Substantially all of the Commonwealth's employees may become eligible for these benefits if they reach retirement age while working for the Commonwealth. Eligible retirees are required to contribute a specified percentage of the health care benefit costs which is comparable to contributions required from employees. The Commonwealth is reimbursed for the cost of benefits to retirees of the eligible authorities and non-state agencies.

The Commonwealth's Group Insurance Commission ("GIC") was established by the Legislature in 1955 to provide and administer health insurance and other benefits to the Commonwealth's employees and retirees, and their dependents and survivors. The GIC also covers housing and redevelopment authorities' personnel, certain authorities and other offline agencies, retired municipal teachers from certain cities and towns and municipalities as an agent multiple employer program, accounted for as an agency fund activity of the Commonwealth, not the University.

The GIC administers a plan included within the State Retiree Benefits Trust Fund, an irrevocable trust. Any assets accumulated in excess of liabilities to pay premiums or benefits or administrative expenses are retained in that fund. The GIC's administrative costs are financed through Commonwealth appropriations and employee investment returns. The Legislature determines employees' and retirees' contribution ratios.

The GIC is a quasi-independent state agency governed by an eleven-member body ("the Commission") appointed by the Governor. The GIC is located administratively within the Executive Office of Administration and Finance, and is responsible for providing health insurance and other benefits to the Commonwealth's employees and retirees and their survivors and dependents. During the fiscal years that ended on June 30, 2014 and June 30, 2013, respectively, the GIC provided health insurance for its members through indemnity, PPO, and HMO plans. The GIC also administered carve-outs for the pharmacy benefit and mental health and substance abuse benefits for certain of its health plans. In addition to health insurance, the GIC sponsors life insurance, long-term disability insurance (for active employees only), dental and vision coverage for employees not covered by collective bargaining, a retiree discount vision plan and retiree dental plan, and finally, a pre-tax health care spending account and dependent care assistance program (for active employees only).

Pursuant to the provisions of Paragraph (e), Section 5 of Chapter 163 of the Acts of 1997 and consistent with the September 22, 1992 Memorandum of Understanding between the Commonwealth of Massachusetts Executive Office of Administration and Finance and the University of Massachusetts, the University's Medical School campus has assumed the obligation for the cost of fringe benefits provided by the Commonwealth to University Medical School employees (other than those employees paid from state appropriated funds) for all periods on or after July 1, 1989. The Medical School determines the actual costs for the health insurance benefits and actuarially calculates the incurred service costs for pensions and retiree health insurance.

INCOME TAX STATUS

The University and the Building Authority are component units of the Commonwealth of Massachusetts and are exempt from Federal and state income tax under the doctrine of intergovernmental tax immunity found in the U.S. Constitution. The University qualifies as a public charity eligible to receive charitable contributions under Section 170(b)(1)(A)(ii) of the Internal Revenue Code, as amended (the Code). The Building Authority qualifies as a public charity under Section 170(b)(1)(A)(iv) of the Code.

The Worcester City Campus Corporation (WCCC), and the University Related Organizations are organizations described in Section 501(c)(3) of the Code, and are generally exempt from income taxes pursuant to Section 501(a) of the Code. WCCC and the University Related Organizations are required to assess uncertain tax positions and have determined that there were no such positions that are material to the financial statements.

COMPARATIVE INFORMATION AND RECLASSIFICATIONS

The University's financial statements include prior year comparative information. Certain reclassifications were made in prior year to conform to current year presentation. These amounts were determined to be immaterial to the financial statements by management.

2. CASH AND CASH EQUIVALENTS AND INVESTMENTS

The University's investments are made in accordance with the Investment Policy and Guidelines Statement Operating Cash Portfolio adopted in May 2005 and later amended in June 2009 by the Board of Trustees (the Investment Policy) and the Statement of Investment and Spending Policies of the University of Massachusetts Foundation, Inc. The goals of these documents are to preserve capital, provide liquidity, and generate investment income. The University of Massachusetts has statutory authority under Massachusetts General Laws Chapter 75 to collect, manage and disburse trust funds of the University.

Investments are reported at their respective fair values. The values of publicly traded fixed income and equity securities are based upon quoted market prices at the close of business on the last day of the fiscal year. Private equities and certain other non-marketable securities are valued using current estimates in fair value by management based on information provided by the general partner or investment manager for the respective securities. Investments in units of non-publicly traded pooled funds are valued at the unit value determined by the fund's administrator based on quoted market prices of the underlying investments. Private equities and other non-marketable securities represent approximately 27.4% and 24.5% of the University's investments at June 30, 2014 and 2013, respectively.

Custodial Credit Risk - Custodial Credit Risk is the risk that, in the event of a failure of the counterparty, the University would not be able to recover the value of its deposits, investments or collateral securities that were in the possession of an outside party. The University does not have a formal policy related to mitigation of custodial credit risk. Deposits are exposed to custodial risk if they are uninsured and uncollateralized. Investment securities are exposed to custodial credit risk if they are uninsured or not registered in the name of the University and are held by either the counterparty or the counterparty's trust department or agent but not in the University's name. As of June 30, 2014 and 2013, all cash and investment accounts were held on behalf of the University by the Trustees, in the Trustees' name.

The University maintains depository, payroll, disbursement, receipt, and imprest accounts. In addition to bank account deposits, the University held money market instruments which are classified as investments. Interest bearing and money market accounts carry Federal Deposit Insurance Corporation (FDIC) insurance up to \$250,000 per account. None of the accounts are collateralized above the FDIC insured amounts. The University also invested in individual CDs and BNY Mellon's CDARS program. These funds are invested in individual CDs in \$250,000 increments and are therefore fully insured by the FDIC.

At June 30, 2014 and 2013, the carrying amounts, bank balances and FDIC insured amounts were as follows (in thousands):

	2014			2013		
	Book Balance	Bank Balance	FDIC Insured	Book Balance	Bank Balance	FDIC Insured
Depository Accounts	57,360	65,410	1,007	73,056	86,519	5,938
Certificates of Deposit	650	650	400	30,650	30,650	30,400
Money Market	180,601	180,601	2,251	129,004	129,004	2,251
Total	238,611	246,661	3,658	232,710	246,173	38,589

At June 30, 2014 the University held a carrying and fair market value of \$743.2 million in non-money market investments compared to a carrying and fair market value of \$723.5 million at June 30, 2013. In the event of negligence due to the University's custodian and/or investment manager(s), it is expected that investment balances of \$743.2 million and \$723.5 million at June 30, 2014 and 2013, respectively, would be fully recovered. However, these amounts are subject to both interest rate risk and credit risk.

Concentration of Credit Risk - Concentration of credit risk is assumed to arise when the amount of investments that the University has with one issuer exceeds 5% or more of the total value of the University's investments. The University does not have a formal policy for concentration of credit risk.

As of June 30, 2014 and June 30, 2013, respectively, there is no concentration of investments with one issuer of the University portfolio, excluding U. S. Government guaranteed obligations, which exceed 5% of the portfolio.

Credit Risk - Credit risk is the risk that the University will lose money because of the default of the security issuer or investment counterparty. The University's Investment Policy and Guidelines Statement allows each portfolio manager full discretion within the parameters of the investment guidelines specific to that manager.

The table below presents the fair value (in thousands) and average credit quality of the fixed income component of the University's investment portfolio as of June 30, 2014 and 2013, respectively:

<u>Asset Class</u>	<u>June 30, 2014 Fair Value</u>	<u>Average Credit Quality</u>	<u>June 30, 2013 Fair Value</u>	<u>Average Credit Quality</u>
Short duration	\$240,550	AAA	\$230,161	AAA
Intermediate duration	\$282,030	A	\$282,837	A

The table below presents the fair value (in thousands) by credit quality of the rated debt investments component of the University's investment portfolio as of June 30, 2014 and 2013, respectively:

Rated Debt Investments - 2014

(in thousands)

	S&P Quality Ratings								
	Fair Value	AAA	AA	A	BBB	BB	B	<B	Unrated
U.S Agencies	\$ 12,195	\$ -	\$ 12,195	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
U.S Government	34,522	-	34,522	-	-	-	-	-	-
Foreign Gov'n't Bonds	-	-	-	-	-	-	-	-	-
Certificates of Deposit	500	500	-	-	-	-	-	-	-
Corporate Debt	90,284	17,627	12,830	24,742	22,199	-	131	1,426	11,329
Municipal/Public Bonds	4,253	-	1,614	1,500	1,139	-	-	-	-
Bond Mutual Funds	152,806	56,581	6,657	19,463	31,222	15,940	11,282	3,375	8,286
Money Market Funds	228,021	225,764	-	-	-	-	-	-	2,257
	\$ 522,581	\$ 300,472	\$ 67,818	\$ 45,705	\$ 54,560	\$ 15,940	\$ 11,413	\$ 4,801	\$ 21,872

Rated Debt Investments - 2013

(in thousands)

	S&P Quality Ratings								
	Fair Value	AAA	AA	A	BBB	BB	B	<B	Unrated
U.S Agencies	\$ 20,463	\$ -	\$ 20,463	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
U.S Government	20,334	-	19,218	1,116	-	-	-	-	-
Certificates of Deposit	30,500	30,500	-	-	-	-	-	-	-
Corporate Debt	99,737	20,886	11,087	36,377	15,602	966	353	1,851	12,615
Municipal/Public Bonds	2,248	-	289	1,959	-	-	-	-	-
Bond Mutual Funds	173,923	66,575	11,235	25,369	40,202	15,299	8,310	1,238	5,695
Money Market Funds	165,793	165,183	222	-	-	-	-	-	388
	\$ 512,998	\$ 283,144	\$ 62,514	\$ 64,821	\$ 55,804	\$ 16,265	\$ 8,663	\$ 3,089	\$ 18,698

Interest Rate Risk - Interest rate risk is the risk that changes in interest rates will adversely affect the fair market value of an investment. The University's Investment Policy and Guidelines Statement establishes targets for the preferred duration of the fixed income component of the investment portfolio by asset class by limiting investments through targeted allocations to different asset classes.

The table below shows the allocation for each asset class and the fair value (in thousands) for each as of June 30, 2014 and 2013, respectively:

<u>Asset Class</u>	<u>6/30/14 Allocation</u>	<u>6/30/14 Fair Value</u>	<u>6/30/13 Allocation</u>	<u>6/30/13 Fair Value</u>
Short Duration	25%	\$240,551	26%	\$230,161
Intermediate Duration	29%	282,030	32%	282,837
Alternative Assets	27%	265,499	25%	217,442
Equities	15%	147,500	14%	130,175
Commodities	3%	24,592	2%	21,020
Real Estate	1%	8,738	1%	7,010

Investments - 2014
(in thousands)

Investment Type:	Investment Maturity (in Years)				
	Fair Value	Less than 1	1 to 5	6 to 10	More than 10
Debt Securities					
US Agencies	\$ 12,195	\$ 4,307	\$ 3,999	\$ 825	\$ 3,064
US Government	34,522	-	29,557	4,965	-
Certificates of Deposit	500	500	-	-	-
Corporate Debt	90,284	7,722	40,361	14,119	28,082
Municipal/Public Bonds	4,253	-	4,017	236	-
Bond Mutual Funds	152,806	17,395	81,561	36,503	17,347
Money Market Mutual Funds	228,021	228,021	-	-	-
Sub Total Debt	\$ 522,581	\$ 257,945	\$ 159,495	\$ 56,648	\$ 48,493

Other Investments	
Alternative Assets	\$ 265,499
Equity Securities- International	81,358
Equity Securities- Domestic	66,142
Commodities	24,592
Real Estate	8,738
Grand Total	\$ 968,910

Investments - 2013
(in thousands)

Investment Type:	Investment Maturity (in Years)				
	Fair Value	Less than 1	1 to 5	6 to 10	More than 10
Debt Securities					
US Agencies	\$ 20,463	\$ 5,611	\$ 5,103	\$ 881	\$ 8,868
US Government	20,334	-	12,333	8,001	-
Certificates of Deposit	30,500	30,500	-	-	-
Corporate Debt	99,737	13,083	51,898	10,726	24,030
Municipal/Public Bonds	2,248	470	1,489	289	-
Bond Mutual Funds	173,923	14,704	72,774	47,857	38,588
Money Market Mutual Funds	165,793	165,793	-	-	-
Sub Total Debt	\$ 512,998	\$ 230,161	\$ 143,597	\$ 67,754	\$ 71,486

Other Investments	
Alternative Assets	\$ 217,442
Equity Securities- International	21,020
Equity Securities- Domestic	71,086
Commodities	59,089
Real Estate	7,010
Grand Total	\$ 888,645

3. CASH HELD BY STATE TREASURER

Accounts payable, accrued salaries and outlays for future capital projects to be funded from state-appropriated funds totaled approximately \$36.5 million at June 30, 2014 and \$33.2 million at June 30, 2013. The University has recorded a comparable amount of cash held by the State Treasurer for the benefit of the University, which will be subsequently utilized to pay for such liabilities. The cash is held in the State Treasurer's pooled cash account. The Commonwealth requires all bank deposits in excess of insurance coverage by the FDIC to be collateralized with a perfected pledge of eligible collateral. Eligible collateral must be pledged in an amount equal to 102% of the amount of the deposits that exceed FDIC insurance. Sufficient collateral to cover total Commonwealth deposits in excess of the FDIC insured amount must be pledged and held in safekeeping by a custodian that is approved by and under the control of the Treasurer and Receiver – General.

4. CASH AND SECURITIES HELD BY TRUSTEES

Cash and securities held by trustees primarily consist of unspent bond proceeds, amounts held for the future payment of debt service on such borrowings and designated funds. At June 30, 2014 and June 30, 2013 there are investments of \$0 and \$7,000, respectively, available from Master Lease agreements entered into by the University for capital asset purchases at the Amherst and Boston campuses. Additionally, there is \$3 million and \$13.6 million, respectively, available from the Revolving Loan Fund established with 2000 Series A bond proceeds issued to acquire and implement enterprise resource planning technology

along with other projects (see Note 8) and \$701.1 million and \$608.5 million, respectively, held by trustees related to the Building Authority.

Pursuant to Trust Agreements between the Building Authority and its bond trustees, all funds deposited with those trustees (approximately \$700 million at June 30, 2014 and \$600 million at June 30, 2013) shall be continuously maintained for the benefit of the Building Authority and Registered owners of the Bonds. All investments shall be (a) held with a bank or trust company approved by the Trustees and the Building Authority, as custodians, or (b) in such other manner as may be required or permitted by applicable state and Federal laws and regulations. Investments shall consist of (a) direct obligations of, or obligations which are unconditionally guaranteed by the United States of America, or any other agency or corporation which has been created pursuant to an act of Congress of the United States as an agency or instrumentality thereof; or (b) other marketable securities eligible as collateral for the deposit of trust funds under regulations of the Comptroller of the Currency having a market value not less than the amount of such deposit. Direct obligations of, or obligations which are unconditionally guaranteed by the United States of America or any other agency or corporation which has been created pursuant to an act of Congress of the United States as an agency or instrumentality thereof, may be subject to repurchase upon demand by the owner pursuant to a repurchase agreement with a bank or trust company.

Cash Deposits – Custodial Credit Risk The Building Authority holds a majority of its cash and cash equivalents in high quality money market mutual funds that invest in securities that are permitted investments under the Building Authority's Enabling Act or in money market mutual funds that have been specifically permitted by state legislation. The Building Authority's cash and cash equivalents consisted of the following as of June 30, 2014 and 2013 (in thousands):

	2014	2013
Cash	\$ 4,406	\$ 5,130
Permitted money market accounts ("MMA")	<u>691,381</u>	<u>518,739</u>
Total cash and cash equivalents	<u>\$ 695,787</u>	<u>\$ 523,869</u>

Custodial credit risk is the risk that, in the event of a bank failure, the Building Authority will not be able to recover its deposits or will not be able to recover collateral securities that are in the possession of an outside party. The Building Authority does not have a deposit policy for custodial credit risk. As of June 30, 2014, the bank balances of uninsured deposits totaled \$4.1 million. For purposes of disclosure under GASB Statement No. 40, *Deposit and Investment Risk Disclosures*, money market accounts investing in debt securities are considered investments and therefore, are included in the investment disclosures that follow.

Investments

As of June 30, 2014, the Building Authority's investments consisted of the following:

Investment type	Fair value	Investment Maturities (in Years)		
		Less than 1	1 to 5	6 to 10
Debt Securities				
Repurchase Agreements	\$ 5,318			\$ 5,318
MoneyMarket funds	<u>691,381</u>	<u>691,381</u>		
Total	<u>\$ 696,699</u>	<u>\$ 691,381</u>	<u>\$ -</u>	<u>\$ 5,318</u>

As of June 30, 2013, the Building Authority's investments consisted of the following:

Investment type	Fair value	Investment Maturities (in Years)		
		Less than 1	1 to 5	6 to 10
Debt Securities				
US Treasuries	\$ 10,324	\$ 10,324	\$ -	\$ -
US Agencies	69,461	50,383	19,078	-
Repurchase Agreements	5,318	-	-	5,318
MoneyMarket funds	<u>518,739</u>	<u>518,739</u>		
Total	<u>\$ 603,842</u>	<u>\$ 579,446</u>	<u>\$ 19,078</u>	<u>\$ 5,318</u>

Because money market funds are highly liquid, they are presented as investments with maturities of less than one year.

Interest Rate Risk The Building Authority does not have a formal investment policy that limits investment maturities as a means of managing its exposure to fair value losses arising from increasing interest rates. Generally, the Building Authority holds its investments until maturity.

Credit Risk Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. The risk is measured by the assignment of a rating by a nationally recognized statistical rating organization.

The Enabling Act specifies the permitted investments of the Building Authority. These permitted investments include direct obligations of or obligations which are unconditionally guaranteed by the United States of America ("Treasuries"), obligations of an agency or organization created pursuant to an act of Congress of the United States as an agency or instrumentality thereof ("Agencies"), time deposits or certificate of deposits fully secured by Treasuries or Agencies, and Treasuries and Agencies subject to repurchase agreements. Other legislation allows the Building Authority to invest in the Massachusetts Municipal Depository Trust (the "MMDT"), a money market account sponsored by the Treasurer of the Commonwealth and managed by Federated Investors, Inc. Additionally, the Building Authority's Bond Trustee invests some of the Building Authority's funds in money market accounts that are permitted and collateralized by Treasuries.

No credit risk disclosures are required under GASB 40 relating to the Building Authority's investment in Treasuries. The Building Authority's investments in Agencies are highly rated by Standard & Poor's Rating Services and Moody's Investors Service, Inc. The Building Authority's investments in repurchase agreements are not rated but are fully collateralized by Treasuries and Agencies. MMDT is unrated.

Custodial Credit Risk Custodial credit risk for investments is the risk that, in the event of the failure of the counterparty to a transaction, a government will not be able to recover the value of investment or collateral securities that are in the possession of an outside party. The Building Authority's Enabling Act does not contain legal or policy requirements that would limit the exposure to custodial credit risk except that interest-bearing time deposits or certificates of deposit of banking institutions or trust companies must be continuously and fully secured by Treasuries or Agencies.

Custodial credit risk generally applies only to direct investments in marketable securities. Custodial credit risk does not apply to indirect investment in securities through the use of mutual funds or government investment pools, such as MMDT. Direct investments in marketable securities are held by the Building Authority's Bond Trustee as the Building Authority's agent. In accordance with the Building Authority's repurchase agreements, collateral for the agreements is held in segregated accounts with market values between 100% and 105% of the repurchase price, depending on the type of asset used as security and the specific repurchase agreement.

Concentrations of Credit Risk The Building Authority places no limit on the amount it may invest in any one issuer. As of June 30, 2014, the Building Authority had 98.6% of its investments in MMDT. As of June 30, 2013, the Building Authority had 5.9% of its investments with the Federal Home Loan Mortgage Corporation and 85.1% of its investments in MMDT.

5. ACCOUNTS, GRANTS AND LOANS RECEIVABLE

Accounts, grants and loans receivable as of June 30, 2014 and 2013 are as follows (in thousands):

	<u>2014</u>	<u>2013</u>
Student Accounts Receivable	\$ 53,383	\$ 51,449
Less allowance for uncollectible accounts	(21,814)	(18,319)
	<u>31,569</u>	<u>33,130</u>
Grants and Contracts Receivable	82,157	85,028
Less allowance for uncollectible accounts	(1,151)	(2,989)
	<u>81,006</u>	<u>82,039</u>
Student Loans Receivable	46,869	44,257
Less allowance for uncollectible accounts	(296)	(302)
	<u>46,573</u>	<u>43,955</u>
Commonwealth Medicine	65,586	64,094
Less allowance for uncollectible accounts	(824)	(825)
	<u>64,762</u>	<u>63,269</u>
Other	48,154	53,537
Less allowance for uncollectible accounts	(410)	(554)
	<u>47,744</u>	<u>52,983</u>
Total, net	271,654	275,376
Less current portion, net	(231,156)	(235,988)
Long-term, net	<u>\$ 40,498</u>	<u>\$ 39,388</u>

UMASS MEMORIAL

The University and UMass Memorial have the following ongoing agreements:

- UMass Memorial has been granted the right to occupy portions of the University's Worcester Medical School campus for a period of 99 years and UMass Memorial has agreed to share responsibility for various capital and operating expenses relating to the occupied premises. UMass Memorial has also agreed to contribute to capital improvements to shared facilities.
- UMass Memorial has agreed to make certain payments to the University and its related organizations, including: 1) an annual fee of \$12.0 million (plus an inflation adjustment), for 99 years as long as the University continues to operate a medical school; and 2) a participation payment based on a percentage of net operating income of UMass Memorial for which revenue is recognized by the University when the amounts are received.

The University is reimbursed by, and reimburses UMass Memorial for shared services, cross-funded employees, and other agreed upon activities provided and purchased. For the years ended June 30, 2014 and 2013, the reimbursements for services provided to UMass Memorial were \$107.1 million and \$124.0 million, respectively. Included in these amounts are payroll paid by the University on behalf of UMass Memorial in an agency capacity in the amount of \$62.8 million and \$73.8 million for fiscal years 2014 and 2013, respectively. At June 30, 2014 and 2013, the University has recorded a receivable in the amount of \$38.8 million and \$12.7 million, respectively from UMass Memorial which includes \$23.8 million and \$5.8 million, respectively, in payroll and related fringe charges. The University has recorded a payable at June 30, 2014 of \$3.9 million primarily for cross-funded payroll. At June 30, 2013, the University had a payable of \$4.4 million for amounts due to UMass Memorial primarily consisting of a prepayment for educational services, capital projects and cross-funded payroll.

6. RELATED ORGANIZATIONS

Related party activity with the Foundation includes loan agreements and investments of the University's endowment assets and Intermediate Term Investment Fund (ITIF) with the Foundation. As of June 30, 2014, the net position of the Foundation included as related organizations in the accompanying financial statements of the University are \$455.1 million, of which \$423.0 million are restricted funds and \$32.1 million are unrestricted funds. During the fiscal year ended June 30, 2014, the University received \$21.6 million from the Foundation, and \$13.1 million to the Foundation of which \$3.4 million related to the establishment of quasi-endowment. At June 30, 2014, the University's investments include \$346.1 million of endowment funds held in a custodial relationship at the Foundation, and \$295.7 million in ITIF.

As of June 30, 2013, the net position of the Foundation included as related organizations in the accompanying financial statements of the University were \$394.3 million, of which \$366.7 million were restricted funds and \$27.5 million were unrestricted funds. During the fiscal year ended June 30, 2013, the University received \$49.9 million from the Foundation, and disbursed \$121.8 million to the Foundation of which \$52.1 million related to the establishment of quasi-endowment. At June 30, 2013, the University's investments include \$311.4 million of endowment funds held in a custodial relationship at the Foundation, and \$272.5 million in ITIF.

The University leases office space from the Foundation for an annual rent of approximately \$0.5 million.

The Building Authority and the Commonwealth have entered into various lease agreements under which the Commonwealth leases to the Building Authority certain property for nominal amounts.

In August 2005, the Building Authority executed a contract with UMass Management, LLC, a wholly owned subsidiary of ClubCorp USA, Inc., to provide management services for The University of Massachusetts Club ("the Club"), a private social club for alumni and friends of the University. Under the contract, the Authority is responsible for approving the budgets and operating plans of the Club as presented by the Manager. The Building Authority is responsible for any shortfall in the operating budget and will benefit from any operating profits. The contract calls for a minimum management fee payable to the Manager of \$0.2 million or four percent of the operating revenues, as defined by the contract, whichever is greater. Additionally, the Manager receives a percentage of the Club initiation fees and 25 percent of operating profits, as defined by the contract. The contract term is 10 years and can be terminated by the Building Authority if the Building Authority decides to close the Club for a minimum of 18 months. The Building Authority is the tenant on the sublease for the Club space and the lease does not terminate should the Building Authority close the Club. The Authority had provided operating support for the Club of \$0.2 million for both years ending June 30, 2014 and 2013.

7. INVESTMENT IN PLANT

Investment in plant activity for the year ended June 30, 2014 is comprised of the following (in thousands):

University:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$4,058,559	\$643,091	(\$7,001)
Equipment and Furniture	587,478	35,542	(13,234)	609,786
Software	134,558	2,374	(28)	136,904
Library Books	93,091		(8,776)	84,315
	4,873,686	681,007	(29,039)	5,525,654
Accumulated Depreciation	(2,122,993)	(200,256)	14,122	(2,309,127)
Sub-Total	2,750,693	480,751	(14,917)	3,216,527
Land	65,886	3,484	(518)	68,852
Construction in Progress	888,937	589,512	(699,042)	779,407
Sub-Total	954,823	592,996	(699,560)	848,259
Total	\$3,705,516	\$1,073,747	(\$714,477)	\$4,064,786

University Related Organizations:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$7,942		
Equipment and Furniture	168			168
	8,110			8,110
Accumulated Depreciation	(851)	(\$202)		(1,053)
Sub-Total	7,259	(202)		7,057
Land	1,360	61		1,421
Total	\$8,619	(\$141)		\$8,478

Investment in plant activity for the year ended June 30, 2013 is comprised of the following (in thousands):

University:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$3,322,211	\$754,586	(\$18,238)
Equipment and Furniture	604,487	30,339	(47,348)	587,478
Software	134,082	4,036	(3,560)	134,558
Library Books	101,618	-	(8,527)	93,091
	4,162,398	788,961	(77,673)	4,873,686
Accumulated Depreciation	(1,990,577)	(182,252)	49,836	(2,122,993)
Sub-Total	2,171,821	606,709	(27,837)	2,750,693
Land	57,831	8,055	-	65,886
Construction in Progress	868,534	583,748	(563,344)	888,938
Sub-Total	926,365	591,803	(563,344)	954,824
Total	\$3,098,186	\$1,198,512	(\$591,181)	\$3,705,517

University Related Organizations:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$7,942	-	-
Equipment and Furniture	170	-	(\$2)	168
	8,112	-	(2)	8,110
Accumulated Depreciation	(650)	(\$201)	-	(851)
Sub-Total	7,462	(201)	(2)	7,259
Land	1,360	-	-	1,360
Total	\$8,822	(\$201)	(\$2)	\$8,619

At June 30, 2014 and 2013, investment in plant included capital lease assets of \$54.6 million and \$54.6 million, respectively, net of accumulated depreciation on capital lease assets of \$52.3 million and \$48.1 million, respectively (see Note 9).

The University has capitalized interest on borrowings, net of interest earned on related debt reserve funds, during the construction period of major capital projects. Capitalized interest is added to the cost of the underlying assets being constructed, and is amortized over the useful lives of the assets. For the years ended June 30, 2014 and 2013, the University capitalized net interest costs of \$29.7 million and \$27.4 million respectively.

8. BONDS PAYABLE

Amounts Outstanding at June 30, 2014 are as follows (in thousands)

Issue Borrowing	Original Borrowing	Maturity Date	Interest Rate	Amount Outstanding
University of Massachusetts Building Authority:				
Series 2003-1	\$ 137,970	2014	3.875-5.25%	\$ 6,155
Series 2004-A	96,025	2015	4.2-4.5%	4,575
Series 2004-1	183,965	2016	5.25%	16,600
Series 2005-1	25,595	2016	5.0%	5,480
Series 2005-2	212,550	2025	5.0%	25,200
Series 2008-A	26,580	2038	variable	21,930
Series 2008-1	232,545	2038	variable	194,530
Series 2008-2	120,560	2038	4.0-5.0%	105,725
Series 2009-1	247,810	2039	3.0-5.0%	198,670
Series 2009-2	271,855	2039	6.423-6.573%	271,855
Series 2009-3	28,570	2039	5.283-6.173%	27,250
Series 2010-1	118,985	2020	5.0%	96,645
Series 2010-2	430,320	2040	3.8-5.45%	430,320
Series 2010-3	3,005	2040	5.75%	2,880
Series 2011-1	135,040	2034	variable	131,090
Series 2011-2	101,700	2034	variable	99,135
Series 2013-1	212,585	2043	2.00%-5.00%	212,585
Series 2013-2	71,790	2043	.43-2.686%	71,790
Series 2013-3	24,640	2043	4.0% - 5.0%	24,640
Series 2014-1	293,890	2045	3.0% - 5.0%	293,890
Series 2014-2	14,085	2020	.44%-2.1%	14,085
Series 2014-4	157,855	2026	.20% - 3.381%	157,855
				<u>2,412,885</u>
			Unamortized Bond Premium	<u>64,807</u>
			SUBTOTAL	<u>2,477,692</u>
University of Massachusetts HEFA/MDFA:				
2000 Series A	\$ 20,000	2030	variable	20,000
2007 Series D	10,435	2031	3.5-4.25%	9,395
Series 2011	29,970	2034	2.5-4.0%	28,880
				<u>58,275</u>
			Unamortized Bond Premium	<u>1,056</u>
				<u>59,331</u>
WCCC HEFA/MDFA:				
Series 2005-D	\$ 99,325	2029	5.0-5.25%	73,033
Series 2007-E	118,750	2036	3.5-5.0%	104,348
Series 2007-F	101,745	2036	4.0-5.0%	80,893
Series 2011	10,495	2023	2.0-5.0%	8,819
				<u>267,093</u>
			Unamortized Bond Premium	<u>8,398</u>
			SUBTOTAL	<u>275,491</u>
MDFA:				
Clean Renewable Energy Bonds	\$ 1,625	2027	3.5%	1,243
			TOTAL	<u>\$ 2,813,757</u>

Bond Payable activity for the year ended June 30, 2014 is summarized as follows (in thousands):

	<u>Beginning Balance</u>	<u>Additions/ Amortization</u>	<u>Retirements/ Repayments</u>	<u>Ending Balance</u>
University of Massachusetts Building Authority:				
Series 2003-1	\$ 12,035	-	\$ (5,880)	\$ 6,155
Series 2004-A	6,715	-	(2,140)	4,575
Series 2004-1	24,500	-	(7,900)	16,600
Series 2005-1	8,020	-	(2,540)	5,480
Series 2005-2	180,195	-	(154,995)	25,200
Series 2006-2	2,760	-	(2,760)	-
Series 2008-A	22,795	-	(865)	21,930
Series 2008-1	201,655	-	(7,125)	194,530
Series 2008-2	108,300	-	(2,575)	105,725
Series 2009-1	216,870	-	(18,200)	198,670
Series 2009-2	271,855	-	-	271,855
Series 2009-3	27,715	-	(465)	27,250
Series 2010-1	107,950	-	(11,305)	96,645
Series 2010-2	430,320	-	-	430,320
Series 2010-3	2,925	-	(45)	2,880
Series 2011-1	132,450	-	(1,360)	131,090
Series 2011-2	100,020	-	(885)	99,135
Series 2013-1	212,585	-	-	212,585
Series 2013-2	71,790	-	-	71,790
Series 2013-3	-	24,640	-	24,640
Series 2014-1	-	293,890	-	293,890
Series 2014-2	-	14,085	-	14,085
Series 2014-4	-	157,855	-	157,855
Plus: unamortized bond premium	54,033	10,774	-	64,807
Subtotal	2,195,488	501,244	(219,040)	2,477,692
UMass HEFA/MDFA:				
2000 Series A	20,000	-	-	20,000
2007 Series D	9,750	-	(355)	9,395
Series 2011	29,810	-	(930)	28,880
Plus: unamortized bond premium	1,161	-	(105)	1,056
Subtotal	60,721	-	(1,390)	59,331
WCCC HEFA/MDFA:				
WCCC 2005 Series D	81,860	-	(8,826)	73,034
WCCC 2007 Series E	108,135	-	(3,787)	104,348
WCCC 2007 Series F	87,110	-	(6,217)	80,893
Series 2011	9,765	-	(946)	8,819
Plus: unamortized bond premium	8,889	-	(491)	8,398
Subtotal	295,759	-	(20,267)	275,492
MDFA:				
Clean Renewable Energy Bonds	1,338	-	(96)	1,242
Total	\$ 2,553,306	\$ 501,244	\$ (240,793)	\$ 2,813,757

Principal and interest, which is estimated using rates in effect at June 30, 2014, on bonds payable for the next five fiscal years and in subsequent five-year periods are as follows (in thousands):

<u>Fiscal Year</u>	<u>Principal</u>	<u>Interest</u>
2015	\$ 87,321	\$ 108,792
2016	92,261	105,353
2017	94,796	102,580
2018	95,381	99,603
2019	100,456	96,356
2020-2024	525,588	424,214
2025-2029	483,982	327,128
2030-2034	417,320	242,843
2035-2039	492,430	141,492
2040-2044	327,130	42,592
2045-2049	22,831	837
Total	\$ 2,739,496	\$ 1,691,790

Bond payable activity for the year ended June 30, 2013 is summarized as follows (in thousands):

	<u>Beginning Balance</u>	<u>Additions/ Amortization</u>	<u>Retirements/ Repayments</u>	<u>Ending Balance</u>
University of Massachusetts Building Authority:				
Series 2003-1	\$ 17,665		\$ (5,630)	\$ 12,035
Series 2004-A	8,765		(2,050)	6,715
Series 2004-1	32,195		(7,695)	24,500
Series 2005-1	10,440		(2,420)	8,020
Series 2005-2	189,645		(9,450)	180,195
Series 2006-2	5,375		(2,615)	2,760
Series 2008-A	23,630		(835)	22,795
Series 2008-1	208,515		(6,860)	201,655
Series 2008-2	110,750		(2,450)	108,300
Series 2009-1	228,665		(11,795)	216,870
Series 2009-2	271,855			271,855
Series 2009-3	28,155		(440)	27,715
Series 2010-1	114,275		(6,325)	107,950
Series 2010-2	430,320			430,320
Series 2010-3	2,965		(40)	2,925
Series 2011-1	133,765		(1,315)	132,450
Series 2011-2	100,875		(855)	100,020
Series 2013-1		212,585		212,585
Series 2013-2		71,790		71,790
Plus: unamortized bond premium	35,946	19,376	(1,290)	54,032
Subtotal	1,953,801	303,751	(62,065)	2,195,487
UMass HEFA/MDFA:				
2000 Series A	20,000			20,000
2002 Series C	740		(740)	-
2007 Series D	10,090		(340)	9,750
Series 2011	29,970		(160)	29,810
Plus: unamortized bond premium	1,161		(49)	1,112
Subtotal	61,961		(1,289)	60,672
WCCC HEFA/MDFA:				
WCCC 2005 Series D	84,895		(3,035)	81,860
WCCC 2007 Series E	110,520		(2,385)	108,135
WCCC 2007 Series F	89,695		(2,585)	87,110
Series 2011	10,495		(730)	9,765
Plus: unamortized bond premium	9,381		(492)	8,889
Less: deferred loss on refunding	(12,129)	721		(11,408)
Subtotal	292,857	721	(9,227)	284,351
MDFA:				
Clean Renewable Energy Bonds	1,434		(96)	1,338
Total	\$ 2,310,053	\$ 304,472	\$ (72,677)	\$ 2,541,848

University of Massachusetts Building Authority

The bond agreements related to the Building Authority bonds generally provide that the net revenues of the Building Authority are pledged as collateral on the bonds and also provide for the establishment of bond reserve funds, bond funds, and maintenance reserve funds.

The University is obligated under its contracts for financial assistance, management and services with the Building Authority to collect rates, rents, fees and other charges with respect to such facilities sufficient to pay principal and interest on the Building Authority's bonds and certain other costs such as insurance on such facilities.

Pursuant to the authority given by the Building Authority's enabling act, the Commonwealth, acting by and through the Trustees of the University, has guaranteed the payment of principal and interest on the Building Authority's bonds. (The guarantee is a general obligation of the Commonwealth to which the full faith and credit of the Commonwealth are pledged. As is generally the case with other general obligations of the Commonwealth, funds with which to honor the guarantee, should it be called upon, will be provided by Commonwealth appropriation). The Building Authority's enabling act provides that the outstanding principal amount of notes and bonds of the Building Authority guaranteed by the Commonwealth cannot exceed \$200 million. The amount of bond obligations guaranteed by the Commonwealth was \$125.6 million and \$129.5 million at June 30, 2014 and June 30, 2013, respectively.

When the Building Authority no longer has any bonds outstanding, its properties revert to the Commonwealth, and all its funds (other than funds pledged to bondholders) are required to be paid into the Treasury of the Commonwealth.

Variable Rate Bonds On April 23, 2013, the Authority entered into a standby bond purchase agreement with J.P. Morgan Chase Bank, N.A. ("J.P. Morgan") which requires J.P. Morgan to purchase bonds that are tendered and not remarketed. Under the terms of the J.P. Morgan standby bond purchase agreement, the Authority is required to pay J.P. Morgan in quarterly installments a facility fee in the amount of 25 basis points (or higher, under certain circumstances) of the commitment amount. Fees accrued by the Authority in connection with the J.P. Morgan agreement totaled \$0.5 million and \$0.1 million for the year ended June 30, 2014 and June 30, 2013, respectively. The agreement expires in April 2016 and may be extended if a mutual interest exists between both the Authority and J.P. Morgan. Previously, the 2008-1 bonds were supported with an irrevocable direct pay letter of credit (the "Lloyds LOC") issued by Lloyds TSB Bank PLC. Fees accrued by the Authority in connection with the Lloyds LOC totaled \$0.5 million for the year ended June 30, 2013.

On April 16, 2013, the Authority entered into a standby bond purchase agreement with Barclays Bank PLC ("Barclays") which requires Barclays to purchase bonds that are tendered and not remarketed. Under the terms of the Barclays standby bond purchase agreement, the Authority is required to pay Barclays in quarterly installments a facility fee in the amount of 32.5 basis points (or higher, under certain circumstances) of the commitment amount. The agreement expires in April 2016 and may be extended if a mutual interest exists between both the Authority and Barclays. Fees accrued by the Authority in connection with the Barclays agreement totaled \$0.1 million and \$0.1 million for the year ended June 30, 2014 and June 30, 2013, respectively. Previously, the 2008-A bonds were supported by a standby bond purchase agreement with Bank of America, N.A. ("BofA"). Fees accrued by the Authority in connection with BofA standby bond purchase agreement totaled \$24,800 for the year ended June 30, 2013.

The 2011-1 bonds are supported by a standby bond purchase agreement with Wells Fargo Bank, N.A. ("Wells") which requires Wells to purchase bonds tendered and not remarketed in an amount not to exceed the principal on the bonds plus accrued interest up to 185 days at an annual interest rate not to exceed 12 percent. The standby purchase agreement expired on June 9, 2014 and was extended until June 9, 2017. Under the agreement, the Authority was required to pay Wells in quarterly installments a facility fee in the amount of 40 basis points (or higher, under certain circumstances) of the initial commitment. The initial commitment under the agreement was set at \$143.3 million and was subject to adjustment from time to time in accordance with the provisions of the agreement. Under the first amendment to the standby purchase agreement, the Authority is required to pay Wells in quarterly installments a facility fee in the amount of 25 basis points (or higher, under certain circumstances) of the initial commitment. The initial commitment under the first amendment to the standby purchase agreement was set at \$139.1 million and is subject to adjustment from time to time in accordance with the provisions of the agreement. Fees accrued by the Authority in connection with the Wells agreement totaled \$0.6 million and \$0.7 million for the years ended June 30, 2014 and 2013, respectively.

Window Bonds In fiscal year 2011, the Authority issued its 2011-2 bonds in a variable rate Window Bond mode. As with the Authority's other variable rate bonds, the Window Bondholders can tender the bonds at any time. However, unlike the Authority's other variable rate bonds where the bondholders will receive payment on any tendered bonds 7 days from the tender, Window Bondholders are not required to receive funds for the tender until after a 30 day remarketing period and an additional 180 day funding window period. Due to this 210 day funding period, the Authority is not required to obtain any type of liquidity support for the 2011-2 bonds and the bonds are considered supported with self-liquidity. Window Bondholders receive an interest rate on the Window Bonds at a fixed spread over the Securities Industry and Financial Markets Association Municipal Swap Index™ ("SIFMA"). The initial spread to the SIFMA index is 9 basis points (.09%).

Bond Refundings In fiscal year 2014, the Authority refunded \$5.4 million of its 2009-1 series bonds with 2013-3 series bonds. The Authority also refunded \$146.2 million of its 2005-2 series bonds with 2014-4 series bonds. Accordingly, the Authority deposited into trust accounts funds sufficient to provide for all future debt service payments on the refunded bonds until the bonds are called. These advanced refunded bonds are considered defeased and, accordingly, the liability for the bonds payable and the assets held to repay the debt are not recorded in the Authority's financial statements.

In connection with the Authority's prior advanced refundings, the Authority recorded a difference between the reacquisition price and the net carrying amount of the refunded debt of approximately \$84.5 million. This balance is being reported as a component of deferred outflows, loss on debt refunding, and will be amortized as an increase in interest expense over the remaining term of the original life of the refunded bonds. These refundings reduced the Authority's debt service payments in future years by approximately \$36.9 million and resulted in an economic gain (the present value of the savings) of approximately \$25.5 million.

Bond Premium and Issuance Expenses In connection with the Authority's bond issues, the Authority received premiums at issuance totaling approximately \$109.7 million. The Authority amortizes the premiums received as a reduction in interest expense over the life of the respective bond issue.

In connection with the Authority's bond issues, the Authority incurred certain issuance costs associated with the bond offerings. In fiscal years 2014 and 2013 these costs amounted to \$3.6 million and \$2.2 million, respectively, and were expensed in accordance with the provisions of GASB Statement No 65.

Interest Rate Swaps The Authority uses derivative instruments to attempt to manage the impact of interest rate changes on its cash flows and net position by mitigating its exposure to certain market risks associated with operations, and does not use derivative instruments for trading or speculative purposes.

The Authority's contracts are evaluated pursuant to GASB Statement No. 53, *Accounting and Financial Reporting for Derivative Instruments* ("GASB No. 53") to determine whether they meet the definition of derivative instruments, and if so, whether they effectively hedge the expected cash flows associated with interest rate risk exposures. The Authority applies hedge accounting for derivative instruments that are deemed effective hedges and under GASB No. 53 are referred to as hedging derivative instruments. Under hedge accounting, the fair value of the hedging derivative instruments are reported as a deferred inflow or deferred outflow in the statement of net position until the contract is settled or terminated.

All settlement payments or receipts related to hedging derivative instruments are recorded as interest expense in the period settled.

The Authority's hedging derivative instruments at June 30, 2014 and 2013 were as follows:

	Fair Value June 30, 2013	Net Change in Fair Value	Fair Value June 30, 2014	Type of Hedge	Financial Statement Classification
Series 2008-1 Swap	\$ (28,125)	\$ 192	\$ (27,933)	Cash Flow	Deferred outflow
Series 2008-A Swap	(3,232)	32	(3,200)	Cash Flow	Deferred outflow
Series 2006-1 Swap	(37,969)	259	(37,710)	Cash Flow	Deferred outflow
Total	\$ (69,326)	\$ 483	\$ (68,843)		

The terms of the Authority's financial derivative instruments that were outstanding at June 30, 2014 are summarized in the table below:

Type	Effective Date	Termination Date	Rate Authority Pays	Authority Receives	Original Notional Value
Series 2008-1 Swap	Synthetic Fixed May 1, 2008	May 1, 2038	3.388%	70% of 1-Month LIBOR	\$ 232,545
Series 2008-A Swap	Synthetic Fixed Nov 13, 2008	May 1, 2038	3.378%	70% of 1-Month LIBOR	\$ 26,580
Series 2006-1 Swap	Synthetic Fixed Apr. 20, 2006	Nov. 1, 2034	3.482%	60% of 3-Month LIBOR + .18%	\$ 243,830

Fair Values - The fair values of the swaps are estimated using the zero-coupon method. This method calculates the future net settlement payments required by the agreements, assuming the current forward rates implied by the yield curve correctly anticipate future spot interest rates. These payments are then discounted using the spot rate implied by the current yield curve for hypothetical zero-coupon bonds due on the date of each future net settlement on the agreements. As of June 30, 2014 and 2013, the Authority's swaps had a negative fair value of \$68,800,000 and \$69,300,000, respectively, and as such are presented as a deferred outflow.

Credit risk - As of June 30, 2014, the Authority was not exposed to credit risk on the swaps as the fair value was negative. Since changes in interest rates affect the fair values of swap agreements, it is possible that the swap agreements with negative fair values become positive which would expose the Authority to credit risk. To mitigate the potential for credit risk, when a counterparty has a positive fair value and if the counterparty's credit quality falls below A3/A/A, the fair value of the swap will be fully collateralized by the counterparty with U.S. Government Securities or U. S. Government Agency Securities. Collateral posted by the counterparty will be held by a third-party custodian.

The credit ratings for the Authority's counterparties at June 30, 2014 are as follows:

	Credit Ratings		
	Moody's	S & P	Fitch
UBS AG	A2	A	A
Deutsche Bank AG	A2	A	A+
Citi Bank NA	A2	A	A

Basis risk - The Authority is exposed to basis risk on its pay-fixed interest rate swaps because the variable-rate payment received by the Authority (a percent of LIBOR) on these hedging derivative instruments is based on indexes other than the actual interest rates the Authority pays on its hedged variable rate debt. Should the relationship between LIBOR and the actual variable rate interest payments on the bonds converge, the expected cost savings may not materialize. The terms of the related hedging fixed rate swap transactions are summarized in the chart above.

Termination risk - The Authority's swaps are governed under the International Swap Dealers Association Master Agreement (the "Master Agreement"), which includes standard termination events, such as failure to pay and bankruptcy. Additionally, the Master Agreement was amended so that the swap may be terminated by the Authority if the counterparty's credit quality rating falls below certain levels or the counterparty fails to have a rating. Further, the swap may be terminated by the counterparties if the long-term, unsecured, unenhanced senior debt rating of any bonds issued by the Authority is withdrawn, suspended or falls below certain levels or the Authority fails to have a rating. The Authority or the counterparties may terminate the swaps if the other party fails to perform under the terms of the contract. The Authority may also terminate the swaps at its option. If the swap is terminated, the variable-rate bonds would no longer carry a synthetic fixed interest rate and the Authority's interest payment will be based solely upon the rate required by the related bonds as issued. When a termination event occurs, a mark-to-market (or "fair market value") calculation is performed to determine whether the Authority is owed or must pay cash to close out the swap position. A negative fair value means the Authority would incur a loss and need to make a termination payment to settle the swap position. A positive fair value means the Authority would realize a gain and receive a termination payment in settlement of the swap position.

Contingencies - All of the Authority's swaps include provisions that require the Authority to post collateral in the event its credit rating falls below certain levels. In the event the Authority is rated A2 by Moody's Investors Service or A by Standard & Poor's, the Authority would need to post collateral equal to amounts above the fair value of its swaps in liability positions above \$10,000,000. In the event the Authority is not rated or rated below A3 by Moody's Investors Service or below A- by Standard & Poor's, the Authority must post collateral in the amount of the fair value of the swaps in liability positions. The collateral posted is to be in the form of cash obligations guaranteed by the U.S. Treasury, or negotiable debt obligations issued by the Federal Home Loan Mortgage Association or the Federal National Mortgage Association. If the Authority does not post collateral, the derivative instrument may be terminated by the counterparty. The University's credit rating is Aa2 from Moody's Investors Service, AA from Fitch Ratings, and AA- from Standard and Poor's at June 30, 2014; therefore, no collateral has been posted.

Termination of Hedge Accounting - In June of 2011, the Authority undertook an advance refunding of the 2008-3 and 2008-4 variable rate bonds hedged by the Series 2006-1 Swap. As part of the refunding, the Series 2006-1 swap was re-assigned to a new underlying notional (the 2011-1 and 2011-2 Bonds) with identical terms. This refunding and reassignment effectively terminated the original hedge. At June 30, 2011, the Series 2006-1 Swap was considered a hedging derivative instrument. In accordance with GASB No. 53, at the time of a termination event related to an advance refunding of the hedged debt, the balance of the amounts in deferred outflows is to be included in the net carrying amount of the refunded debt for the purposes of calculating the deferred loss on refunding. The balance of the deferred outflows that was included in the net carrying amount of the refunded debt at the time of the refunding was \$22,200,000. The change in fair value of the Series 2006-1 Swap from the refunding date to June 30, 2014 is reported as a deferred outflow as the swap was determined to be effective at June 30, 2014.

Swap payments and associated debt. Using rates as of June 30, 2014, the debt service requirements of the variable-rate debt and net swap payments, assuming current interest rates remain the same for their term, were as follows:

Fiscal Year Ending June 30,	Principal		Interest		Interest Rate Swaps, Net		Total
2015	\$	10,430	\$	381	\$	14,251	\$ 25,062
2016		10,845		374		13,932	25,151
2017		11,625		365		13,536	25,526
2018		11,770		358		13,182	25,310
2019		12,215		349		12,800	25,364
2020-2024		139,770		1,465		53,568	194,803
2025-2029		149,550		767		29,068	179,385
2030-2034		90,205		212		8,344	98,761
2035-2039		9,570		8		361	9,939
Total	\$	445,980	\$	4,279	\$	159,042	\$ 609,301

As actual rates vary, variable-rate bond interest payments and net swap payments will vary.

MassDevelopment

Effective October 1, 2010, Massachusetts Health and Educational Facilities Authority ("MHEFA") was merged into the Massachusetts Development Finance Agency ("MassDevelopment"), a body politic and corporate and a public instrumentality of The Commonwealth of Massachusetts. As of such date, MHEFA has dissolved and all of its rights, powers and duties, and properties were exercised and performed by MassDevelopment and any and all obligations and liabilities of MHEFA have become obligations and liabilities of MassDevelopment.

University of Massachusetts Series A, D and 2011

The University, through MassDevelopment, has issued bonds in order to construct new student centers on the Boston and Lowell campuses; to create a pool of funds to acquire telecommunications, electronics, computer, office, research, equipment and administrative systems; and to fund the related renovation costs and to refund previously issued bonds.

Variable Rate Debt In March 2000, the University issued \$40.0 million of MHEFA Variable Rate Demand Revenue Bonds, University of Massachusetts Issue, Series A (the "Series A Bonds") to create a pool of funds from which the University could finance and refinance the acquisition of certain equipment and related renovation costs at the various University campuses on a revolving basis throughout the term of the Series A Bonds. The Series A Bonds were remarketed on April 1, 2013 and now bear interest at the long term rate of 0.70%. The newest long term rate period will end on March 31, 2016 and the Remarketed Series A Bonds will be subject to mandatory tender for purchase on April 1, 2016. The purchase price of the bonds will be paid from the remarketing of such bonds. However, if the remarketing proceeds are insufficient, the University will be obligated to purchase the bonds tendered, up to an aggregate principal amount of \$20.0 million. The Remarketed Series A Bonds will mature on November 1, 2030 and are subject to mandatory purchase prior to maturity as described above. Interest on the Remarketed Series A Bonds in the newest long-term rate period is payable on October 1 and April 1. The Remarketed Series A Bonds are considered a reissuance for federal tax purposes. The Remarketed Series A Bonds are not supported by any insurance policy, liquidity facility or other credit enhancement. The Remarketed Series A Bonds are a general obligation of the University payable from all funds of the University permitted to be applied thereto. The University's unrestricted net assets, previously referred to as the expendable fund balance, secure the obligations of the University with respect to the Remarketed Series A Bonds. The University is required to certify annually that there are sufficient funds in the unrestricted net assets to cover the debt service on the Remarketed Series A Bonds. At June 30, 2014 and 2013, the outstanding principal balance on the Bonds is \$20.0 million.

Debt covenants The University of Massachusetts Series A, D, and 2011 bonds include a covenant for the maintenance of a debt service fund as outlined in the related debt agreement. The University is required to make deposits in this debt service fund on or before the twenty-fifth day of each March and September.

Refundings In November 2011, the University issued \$30.0 million of Massachusetts Development Finance Agency Revenue Refunding Bonds (the "Series 2011 Bonds"). The University deposited the proceeds into an irrevocable trust fund to provide for payment of the MHEFA Revenue Bonds, University of Massachusetts Issue, 2002 Series C (the "Series C Bonds"). This payment was made as a lump sum in October 2012. The Series 2011 bonds were issued at a premium of \$1.2 million. These bonds bear interest at various fixed rates ranging from 2.5% to 4.0% and mature on October 1, 2034. At June 30, 2014, the aggregate principal payments outstanding on these bonds were \$28.8 million. As a result of the change in future payments, the University will reduce its aggregate debt service payments by approximately \$4.8 million and achieve an economic gain of \$3.4 million.

In January 2007, the University issued \$10.4 million of MHEFA Revenue Bonds, University of Massachusetts Issue Series D. The proceeds from this issuance were used to advance refund a portion of the MHEFA Revenue Bonds, University of Massachusetts Issue, 2001 Series B (the "Series B Bonds"). These advance refunded bonds were defeased, and accordingly, the liability for the bonds payable and the assets held to repay the debt have not been included in the University's financial statements.

Worcester City Campus Corporation Series D, E, F and 2011

The Worcester City Campus Corporation (WCCC) through MassDevelopment has issued bonds to finance the construction or acquisition of the Lazare Research Building, South Road parking garage, Ambulatory Care Center ("ACC"), two buildings housing the operations of MassBiologics, Two Biotech Park, and to refund previously issued bonds.

Refundings In November 2011, WCCC issued \$10.5 million of Massachusetts Development Finance Agency Revenue Refunding Bonds (the "WCCC Series 2011 Bonds"). The WCCC Series 2011 Bonds were issued at a premium of \$1.1 million. These bonds bear interest at various fixed rates ranging from 2.00% to 5.00% and mature October 1, 2023. At June 30, 2014 and 2013, the aggregate principal payments outstanding on these bonds were \$9.0 million and \$9.8 million, respectively. The proceeds of the WCCC Series 2011 Bonds were used to refund the remaining outstanding portion of the MHEFA Revenue Bonds, WCCC Issue (University of Massachusetts Project), 2001 Series B (the "WCCC Series B Bonds"), which were used to finance the construction of a parking garage and the acquisition and installation of equipment at the Lazare Research Building.

In January 2007, WCCC issued \$118.8 million of MHEFA Revenue Bonds, WCCC Issue (University of Massachusetts Project), 2007 Series E (the "Series E Bonds"). The Series E Bonds were issued at a premium of \$3.9 million. The Corporation deposited \$32.4 million of the proceeds into an irrevocable trust fund to provide for partial advanced refunding of outstanding MHEFA WCCC Series B Revenue Bonds. In accordance with the applicable guidance, a portion of the WCCC Series B Bonds totaling \$30.8 million and the related irrevocable trust has been derecognized by the Corporation. At June 30, 2014 and June 30, 2013, the aggregate principal payments outstanding on the Series E Bonds were \$105.7 million and \$108.1 million, respectively.

In January 2007, WCCC issued \$101.7 million of MHEFA Revenue Bonds, WCCC Issue (University of Massachusetts Project), 2007 Series F (the "Series F Bonds"). The Series F Bonds were issued at a premium of \$2.8 million. These bonds bear interest at various fixed rates ranging from 4.00% to 5.00% and mature October 1, 2036. At June 30, 2014 and June 30, 2013, the aggregate principal payments outstanding on this portion of the Series F Bonds were \$29.1 million and \$29.8 million, respectively. The remaining portion of the bonds bear interest at various fixed rates ranging from 4.00% to 4.50% and mature October 1, 2031. At June 30, 2014 and 2013, the aggregate principal payments outstanding on this portion of the Series F Bonds were \$55.3 million and \$57.4 million, respectively.

In April 2005, WCCC issued \$99.3 million of MHEFA Revenue Bonds, WCCC Issue (University of Massachusetts Project), 2005 Series D (the "WCCC Series D Bonds"). The Corporation deposited the proceeds into an irrevocable trust fund to provide for payment of the MHEFA Revenue Bonds, WCCC Issue (University of Massachusetts Project), 2000 Series A (the "WCCC Series A Bonds"). In accordance with the applicable guidance, the WCCC Series A Bonds and the related irrevocable trust were

derecognized by the Corporation. These bonds bear interest at various fixed rates ranging from 3.00% to 5.25% per year and mature October 1, 2029. The WCCC Series D Bonds were issued at a premium of \$4.1 million. At June 30, 2014 and 2013, the aggregate principal payment outstanding on the WCCC Series D Bonds was \$78.7 million and \$81.9 million, respectively. The proceeds from the WCCC Series A Bonds were previously used to fund the construction of the Lazare Research Building.

These advanced refunded bonds are considered defeased and, accordingly, the liability for the bonds payable and the assets held to repay the debt have not been included in the University's financial statements.

Pledged Revenues WCCC is obligated under the terms of indebtedness to make debt service payments from revenues received from certain facility leases. Total applicable pledged revenues were \$6.6 million for fiscal years 2014 and 2013, respectively.

Clean Renewable Energy Bonds

During 2011, the University entered into an Energy Services agreement for Solar Panel construction with the Commonwealth's Division of Capital Asset Management and Century Bank and Trust Company. The financing arrangement includes \$1.6 million in Clean Renewable Energy Bonds as of June 30, 2014 and 2013.

9. LEASES

The University leases certain equipment and facilities under operating leases with terms exceeding one year, which are cancelable at the University's option with 30 days notice. The rent expense related to these operating leases amounted to approximately \$22.1 million and \$16.8 million for the years ended June 30, 2014 and 2013, respectively. The master leases primarily consist of telecommunications, software, and co-generation systems. The University also leases space to third party tenants. During 2014 and 2013, the amount reported as rental income was \$21.0 million and \$17.7 million, respectively.

The following presents a schedule of future minimum payments under capital and non-cancelable operating leases and a schedule of principal and interest payments on capital lease obligations for the next five years and in subsequent five-year periods for the University as of June 30, 2014 (in thousands):

Year	University Capital Leases			Operating Leases	June 30, 2014	University Capital Lease Obligations	
	Master Leases	Other Leases	Total			Year	Principal
2015	2,186	86	2,272	14,700	2015	\$2,232	\$40
2016	-	-	-	15,657	2016	-	-
2017	-	-	-	13,725	Total Payments	\$2,232	\$40
2018	-	-	-	12,326			
2019 and thereafter	-	-	-	130,142			
Total Payments	2,186	86	2,272	\$186,550			
Less: Amount representing interest	(38)	(2)	(40)				
Present Value of Minimum Lease Payments	\$2,148	\$84	\$2,232				

10. OTHER LONG-TERM LIABILITIES

During the year ended June 30, 2014 the following changes occurred in long-term liabilities as recorded in the statements of net position (in thousands):

	Beginning Balance	Additions/ Adjustments	Reductions/ Adjustments	Ending Balance
University:				
Capital lease obligations	\$2,238	-	(\$2,238)	-
Compensated absences	30,410	1,369	-	31,779
Workers' compensation	10,429	382	-	10,811
Unearned revenues and credits	20,199	10,542	(9,498)	21,243
Advances and deposits	27,943	694	(543)	28,094
Other Liabilities	41,532	5,312	(3,581)	43,263
University Related Organization:				
Other Liabilities	\$3,332	\$ 151	-	\$3,483

During the year ended June 30, 2013 the following changes occurred in long-term liabilities as recorded in the statement of net position (in thousands):

	Beginning Balance	Additions/ Adjustments	Reductions/ Adjustments	Ending Balance
University:				
Capital lease obligations	\$6,539	\$ -	(\$4,301)	\$2,238
Compensated absences	30,820	-	(410)	30,410
Workers' compensation	9,805	624	-	10,429
Unearned revenues and credits	16,501	10,354	(6,656)	20,199
Advances and deposits	26,698	1,486	(241)	27,943
Other Liabilities	18,993	23,184	(645)	41,532
University Related Organization:				
Other Liabilities	\$3,487	\$ -	(\$155)	\$3,332

11. FRINGE BENEFITS

Expenditures for the years ended June 30, 2014 and 2013 include \$244.6 million and \$229.5 million, respectively, for the employer portion of fringe benefit costs (pension expense, health insurance for active employees and retirees, and unemployment compensation) that was paid directly by the Commonwealth of Massachusetts. Of this amount, \$102.8 million for 2014 and \$99.5 million for 2013 was reimbursed to the Commonwealth and \$141.9 million and \$130.0 million, respectively, is included in revenue as state appropriations.

12. MEDICAL SCHOOL LEARNING CONTRACTS

The University's Medical School enters into learning contracts with certain medical students. These contracts give students the option of deferring a portion of their tuition until after residency training, and canceling all or a portion of their tuition if they practice primary care medicine for two or four full years (depending on conditions) in the Commonwealth. The University does not record as revenue the portion of tuition deferred under these learning contracts until actual cash repayments are received. The cumulative amount granted under such learning contracts plus accrued interest totaled \$68.6 million and \$66.3 million at June 30, 2014 and 2013, respectively. Cumulative repayments totaled approximately \$51.2 million and \$48.8 million as of June 30, 2014 and 2013, respectively.

13. RETIREMENT PLANS

The Commonwealth of Massachusetts is statutorily responsible for the pension benefit of University employees who participate in the Massachusetts State Employees' Retirement System ("MSERS"). MSERS, a single employer defined benefit public employee retirement system, is administered by the Massachusetts State Retirement Board and covers substantially all non-student employees. Massachusetts General Laws establish the benefit and contribution requirements. These requirements provide for a superannuation retirement allowance benefit up to a maximum of 80% of the average of a member's highest consecutive three years of regular compensation, if membership started before April 2, 2012, or of the average of a member's highest consecutive five years of regular compensation, if membership started after April 2, 2012. Benefit payments are based upon a member's age, length of creditable service, and group creditable service and group classification. The authority for amending these provisions rests with the Legislature. Members become vested after ten years of creditable service. A superannuation retirement allowance may be received upon the completion of twenty years of service (at any age), or upon reaching the age of 55 with 10 years of service, if membership started before April 2, 2012, or upon reaching age 60 with ten years of service, if membership started on or after April 2, 2012. Members contribute 5%, 7%, 8% and 9% of regular compensation for membership start dates prior to January 1, 1975, from January 1, 1975 to December 31, 1983, from January 1, 1984 to June 30, 1996 and on or after July 1, 1996, respectively. Employees whose membership began on or after January 1, 1979 also contribute an additional 2% of regular compensation in excess of \$30,000.

The University makes contributions on behalf of the employees through a fringe benefit charge assessed by the Commonwealth. Such pension expense amounted to approximately \$ 63.6 million and \$52.2 million for the years ended June 30, 2014 and 2013, respectively. Annual covered payroll approximated 76.4% and 75.4% for the years ended June 30, 2014 and 2013, respectively of annual total payroll for the University. SERS does not issue stand-alone financial statements; however, SERS financial information is contained in the Commonwealth Comprehensive Annual Financial Report and can be obtained by contacting the State Comptroller, One Ashburton Place, 9th Floor, Boston, MA 02108.

Non-vested faculty and certain other employees of the University can opt out of MSERS and participate in a defined contribution plan, the Massachusetts Optional Retirement Program ("ORP"), administered by the Commonwealth's Department of Higher Education. At June 30, 2014 and 2013, there were approximately 4,031 and 4,433 University employees, respectively participating in ORP. Employees contribute at the same rate as members in SERS do and the Commonwealth matches 5% of employee contributions. The Commonwealth contributed \$8.9 million and \$8.7 million in 2014 and 2013, respectively. University employees contributed \$28.0 million and \$20.6 million in 2014 and 2013, respectively.

The MSERS and ORP retirement contributions of employees who become members of MSERS or ORP after January 1, 2011 are subject to a state compensation limit. Effective January 1, 2011, the University established a defined contribution plan, the University of Massachusetts 401(a) Retirement Gap Plan ("the Gap Plan"), administered by the University's Treasury Office.

Employees with MSERS or ORP membership dates after January 1, 2011 are eligible employees for the Gap Plan. Eligible employees begin participation in the Gap Plan when their regular compensation exceeds the state compensation limit in effect for the plan year, at which point their contributions to MSERS or ORP are required to stop for the remainder of the plan year. Employee contributions to the Gap Plan are mandatory and at the same rate as MSERS and ORP; the University contributes 5%. At June 30, 2014 plan assets totaled approximately \$506,000.

14. CONCENTRATION OF CREDIT RISK (Other than Cash and Investments)

The financial instrument that potentially subjects the University to concentrations of credit risk is the receivable from UMass Memorial Medical Center (UMMMC) which is uncollateralized. The receivable from UMass Memorial represents 12.2% and 4.4% of total accounts receivable for the University at June 30, 2014 and 2013, respectively. The University also had uncollateralized receivables from three other organizations comprising approximately 4.8%, 6.5% and 6.0% of the total outstanding receivables at June 30, 2014 and 5.8%, 5.5% and 5.7% of the total outstanding receivables at June 30, 2013.

15. COMMITMENTS AND CONTINGENCIES

The Building Authority, University, and WCCC have outstanding purchase commitments under construction contracts and real estate agreements in amounts aggregating approximately \$148.2 million and \$171.1 million at June 30, 2014 and 2013, respectively. In connection with the investments in certain limited partnership agreements, the Foundation has \$22.4 million and \$26.5 million in committed calls as of June 30, 2014 and 2013, respectively, which are scheduled to be funded over a number of years. The University has entered an Energy Performance Contract that is being managed by the Commonwealth's Division of Capital Asset Management (DCAM) under its Clean Energy Investment Program. This project includes 32 energy conservation measures. The installation costs will be incurred over 2 phases with Phase 1 being approximately \$18.0 million and Phase 2 being approximately \$13.5 million. The term of these transactions is 20 years. The University has a commitment to the Commonwealth for Clean Energy Investment Program Funds used through June 30, 2014 and 2013 in the amount of \$29.7 million and \$30.2 million, respectively.

The University, as an agency of the Commonwealth, is self-insured for property loss exposure, subject to appropriation from the state legislature. However, properties owned by the University of Massachusetts Building Authority located on a campus of the University, such as the Mullins Center, dining commons, and most dormitories, are insured by the Building Authority. In addition, certain properties owned by other University Related Organizations and leased to the University are insured by the related organization. The University and its employees are protected against tort claims through sovereign immunity under Chapter 258 of the Massachusetts General Laws. The University maintains certain liability insurance policies, including Commercial General Liability, leased Automotive Liability, Directors and Officers and Comprehensive Crime policies. Employees of the University are covered for Worker's Compensation protection under Chapter 152 of the Massachusetts General Laws. The University has recorded a liability for future expected costs of its workers' compensation claims of approximately \$15.1 million as of June 30, 2014 and \$14.6 million as of June 30, 2013. Estimated future payments related to such costs have been discounted at a rate of 4.0%.

The University is a defendant in various lawsuits and is subject to various contractual matters; however, University management is of the opinion that the ultimate outcome of all litigation or potential contractual obligations will not have a material effect on the financial position, financial results or cash flows of the University.

From time to time the University and/or its affiliated organizations are subject to audits of programs that are funded through either federal and/or state agencies. The University is aware that the Office of the Inspector General for the U.S. Department of Health and Human Services performed an audit of Medicaid Supplemental Revenues ("MSR") received by UMMMC, the final report for which was issued December 2009. Portions of this report continue to be contested and the final outcome of this audit is currently unknown. Dependent on the final outcome, UMMMC may be required to repay any MSR received deemed to be disallowed as a result of the audit. Dependent on that outcome, the University, consistent with the Agreement for Medical Educational Services, made part of the Definitive Agreement between the University and UMMMC, and its subsequent amendments and the indemnification provisions in these Agreements, may be required to indemnify UMMMC for a portion of any amounts due. Although the final outcome of this audit is currently unknown, and management believes that as of the date of the financial statements it is not probable that a liability exists, management concludes it is reasonably possible that amounts could be repaid and that those amounts may be material to the University's financial position and results of operations.

Five Universities in the Commonwealth of Massachusetts jointly formed the Massachusetts Green High Performance Computing Center, Inc. (MGHPCC) and MGHPCC Holyoke, Inc. in May 2010 and April 2012, respectively, to construct and operate a research computing center located in Holyoke, Massachusetts. MGHPCC and MGHPCC Holyoke, Inc. are tax-exempt organizations under Internal Revenue Code section 501(c) (3). Each respective university agreed to contribute \$10.0 million and as of June 30, 2013, each university had contributed the required amounts. The University's unamortized \$8.0 million investment is included in its Statement of Financial Position within Other Assets.

16. SUBSEQUENT EVENTS

On July 3, 2014, the Authority issued its \$67.4 million Refunding Revenue Bonds, Senior Series 2014-3 (the "2014-3 bonds"). The 2014-3 bonds were issued to refinance the University's Worcester City Campus Corporation 2005-Series D bonds and to pay costs of issuing the 2014-3 bonds. The 2014-3 bonds are due (serially) through 2030 and the interest rate ranges from 2.0% to 5.0%.

On July 8, 2014, the Authority extended \$25.0 million of Series 2013-A commercial paper and issued an additional \$15.0 million of Series 2013-A commercial paper. The Authority also extended \$25.0 million of Series 2013-B commercial paper and issued an additional \$10.0 million of Series B commercial paper.

On July 17, 2014, the Authority entered into a lease, as lessee, with One Beacon Street Limited Partnership, as lessor, for space at One Beacon Street, Boston, Massachusetts to be used primarily as office space by the Authority, the UMASS Club and the University. The lease begins July 15, 2015 and ends December 31, 2030.

For purposes of determining the effects of subsequent events on these financial statements, management has evaluated events subsequent to June 30, 2014 and through December 18, 2014, the date on which the financial statements were available to be issued.

**University of Massachusetts
2014 Annual Financial Report
Supplemental Financial Information
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REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

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Board of Trustees of the
University of Massachusetts

Report on the financial statements

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial statement audits contained in *Government Auditing Standards* issued by the Comptroller of the United States, the business-type activities and the aggregate discretely presented component units of the University of Massachusetts (the "University"), an enterprise fund of the Commonwealth of Massachusetts, as of and for the years ended June 30, 2014 and 2013, and our report thereon dated December 18, 2014 expressed an unmodified opinion on these basic consolidated financial statements as a whole.

The accompanying supplementary schedules of Supplemental Financial Information for University campuses and University related organizations is presented for purposes of additional analysis and is not a required part of the basic consolidated financial statements. Such supplementary information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic consolidated financial statements. The information has been subjected to the auditing procedures applied in the audits of the basic consolidated financial statement and certain additional procedures. These additional procedures included comparing and reconciling information directly to the underlying accounting and other records used to prepare the basic consolidated financial statements or to the basic consolidated financial statement themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary information is fairly stated, in all material respects, in relation to the basic consolidated financial statements as a whole.

A handwritten signature in black ink that reads "Grant Thornton LLP".

Boston, Massachusetts
December 18, 2014

**University of Massachusetts
CENTRAL ADMINISTRATION
Statements of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$10,717	\$13,554
Cash Held By State Treasurer	3,297	542
Accounts, Grants and Loans Receivable, net	2,487	2,996
Short Term Investments	46,347	41,890
Due From Other Campuses	207	500
Other Assets	3,964	4,268
Total Current Assets	67,019	63,750
Noncurrent Assets		
Cash and Securities Held By Trustees	29,940	44,470
Cash Held By State Treasurer	1,904	
Investments	121,329	121,082
Other Assets	7,120	8,129
Investment In Plant, net	91,930	54,762
Total Noncurrent Assets	252,223	228,443
Total Assets	\$319,242	\$292,193
DEFERRED OUTFLOWS OF RESOURCES		
Loss on Debt Refinancing	\$482	\$5,134
LIABILITIES		
Current Liabilities		
Accounts Payable	\$10,011	\$7,125
Accrued Salaries and Wages	1,748	1,566
Accrued Compensated Absences	4,332	3,991
Accrued Interest Payable	597	453
Bonds Payable		16,770
Due To Campuses	46,748	50,290
Due To Related Organizations	400	539
Unearned Revenues and Credits	1,634	1,243
Advances and Deposits	710	942
Other Liabilities	5,671	3,609
Total Current Liabilities	71,851	86,528
Noncurrent Liabilities		
Accrued Compensated Absences	553	475
Bonds Payable	80,712	56,488
Unearned Revenues and Credits	62	5
Other Liabilities	10,446	5,134
Total Noncurrent Liabilities	91,773	62,102
Total Liabilities	\$163,624	\$148,630
Net Position:		
Invested in Capital Assets Net of Related Debt	\$15,953	\$20,312
Restricted		
Nonexpendable	1,606	2,206
Expendable	31,302	24,372
Unrestricted	107,239	101,807
Total Net Position	\$156,100	\$148,697

**University of Massachusetts
CENTRAL ADMINISTRATION
Statements of Revenues, Expenses and Changes in Net Position
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
REVENUES		
Operating Revenues		
Tuition and Fees	\$6,330	\$7,024
Federal Grants and Contracts	4,172	2,450
State Grants and Contracts	4,615	2,983
Local Grants and Contracts	119	173
Private Grants and Contracts	3,174	3,691
Sales and Service, Educational	2,067	2,023
Allocation from Campuses	68,831	60,710
Other Operating Revenues:		
Other	3,874	8,772
Total Operating Revenues	93,182	87,826
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	10,414	12,507
Research	5,159	3,084
Public Service	2,823	1,144
Institutional Support	61,850	60,064
Operation and Maintenance of Plant	449	6,288
Scholarships and Fellowships	6	6
Depreciation and Amortization	5,987	5,641
Total Operating Expenses	86,688	88,734
Operating Income/(Loss)	6,494	(908)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations		10,847
Investment Return	8,310	4,760
Endowment Return	233	224
Interest on Indebtedness	(103)	(680)
Other Nonoperating Income	32	345
Net Nonoperating Revenues	8,472	15,496
Income Before Other Revenues, Expenses, Gains, and Losses	14,966	14,588
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	5,200	
Other Additions/(Deductions)	(12,764)	1,327
Total Other Revenues, Expenses, Gains, and Losses	(7,564)	1,327
Total Increase in Net Position	7,402	15,915
NET POSITION		
Net Position at Beginning of Year, as reported	148,698	133,049
Cummulative effect of change in accounting principle		(266)
Net Position at Beginning of Year, as adjusted	148,698	132,783
Net Position at End of Year	156,100	148,698

University of Massachusetts
AMHERST CAMPUS
Statements of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)

	June 30, 2014	June 30, 2013 (adjusted)
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$28,998	\$27,226
Cash Held By State Treasurer	10,920	11,299
Accounts, Grants and Loans Receivable, net	45,219	36,083
Pledges Receivable, net	2,090	1,761
Short Term Investments	68,440	57,465
Inventories, net	4,651	5,196
Due From Other Campuses	21,511	23,276
Other Assets	501	605
Total Current Assets	182,330	162,911
Noncurrent Assets		
Cash Held By State Treasurer	1,508	4,738
Cash and Securities Held By Trustees	155,484	155,081
Accounts, Grants and Loans Receivable, net	18,904	18,852
Pledges Receivable, net	3,481	2,318
Investments	276,025	249,222
Other Assets		5
Investment In Plant, net	1,605,787	1,472,369
Total Noncurrent Assets	2,061,189	1,902,585
Total Assets	\$2,243,519	\$2,065,496
DEFERRED OUTFLOWS OF RESOURCES		
Deferred Change in Fair Value of Interest Rate Swaps	\$28,199	\$27,820
Loss on Debt Refunding	38,242	36,565
Total Deferred Outflows of Resources	\$ 66,441	\$ 64,385
LIABILITIES		
Current Liabilities		
Accounts Payable	\$44,759	\$51,032
Accrued Salaries and Wages	44,575	42,386
Accrued Compensated Absences	24,713	24,305
Accrued Workers' Compensation	1,927	2,020
Accrued Interest Payable	5,709	6,501
Bonds Payable	84,950	147,295
Accelerated variable rate debt, current	16,300	
Capital Lease Obligations	2,148	4,184
Unearned Revenues and Credits	14,035	13,426
Advances and Deposits	1,149	690
Other Liabilities	6,666	8,034
Total Current Liabilities	246,931	299,873
Noncurrent Liabilities		
Accrued Compensated Absences	12,345	11,876
Accrued Workers' Compensation	4,787	5,017
Bonds Payable	789,293	667,466
Derivative Instrument , Interest Rate Swap	41,552	41,838
Capital Lease Obligations		2,148
Unearned Revenues and Credits	11,827	11,307
Advances and Deposits	13,386	13,348
Total Noncurrent Liabilities	873,190	753,000
Total Liabilities	\$1,120,121	\$1,052,873
Net Position:		
Invested in Capital Assets Net of Related Debt	\$851,475	\$777,589
Restricted		
Nonexpendable	3,973	3,971
Expendable	52,821	48,526
Unrestricted	281,570	246,922
Total Net Position	\$1,189,839	\$1,077,008

**University of Massachusetts
AMHERST CAMPUS
Statements of Revenues, Expenses and Changes in Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
REVENUES		
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$ 95,477 at June 30, 2014 and \$89,345 at June 30, 2013)	\$337,767	\$323,331
Federal Grants and Contracts	98,157	97,930
State Grants and Contracts	15,753	12,734
Local Grants and Contracts	346	316
Private Grants and Contracts	30,950	30,547
Sales and Service, Educational	8,089	8,615
Auxiliary Enterprises	214,759	195,577
Other Operating Revenues:		
Other	16,137	19,225
Total Operating Revenues	721,958	688,275
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	312,844	294,707
Research	108,825	103,727
Public Service	26,140	24,882
Academic Support	58,108	56,305
Student Services	52,163	49,763
Institutional Support	64,305	59,033
Operation and Maintenance of Plant	84,162	77,610
Depreciation and Amortization	82,687	71,594
Scholarships and Fellowships	20,991	22,115
<i>Auxiliary Enterprises</i>	174,666	164,212
Total Operating Expenses	984,891	923,948
Operating Loss	(262,933)	(235,673)
NONOPERATING REVENUES/(EXPENSES)		
Federal Appropriations	7,020	6,774
State Appropriations	272,676	241,423
Gifts	16,139	13,950
Investment Return	29,868	19,471
Endowment Return	8,424	6,258
Interest on Indebtedness	(25,609)	(25,427)
Nonoperating Federal Grants	25,338	23,867
Other Nonoperating Income	(2)	(477)
Net Nonoperating Revenues	333,854	285,839
Income Before Other Revenues, Expenses, Gains, and Losses	70,921	50,166
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	46,191	52,934
Capital Grants and Contracts	8,473	3,226
Disposal of Plant Facilities	(4,053)	(3,978)
Other Additions/(Deductions)	(8,701)	(2,718)
Total Other Revenues, Expenses, Gains, and Losses	41,910	49,464
Total Increase in Net Position	112,831	99,630
NET POSITION		
Net Position at Beginning of Year, as reported	1,077,008	983,791
Cummulative effect of change in accounting principle		(6,413)
Net Position at the Beginning of the Year, as adjusted	1,077,008	977,378
Net Position at End of Year	\$1,189,839	\$1,077,008

University of Massachusetts
BOSTON CAMPUS
Statements of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)

	June 30, 2014	June 30, 2013 (adjusted)
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$5,308	\$7,951
Cash Held By State Treasurer	3,817	3,649
Accounts, Grants and Loans Receivable, net	24,323	22,803
Pledges Receivable, net	684	331
Short Term Investments	24,648	23,983
Inventories, net	811	766
Due From Other Campuses	4,900	5,617
Other Assets	194	298
Total Current Assets	64,685	65,398
Noncurrent Assets		
Cash Held By State Treasurer	1,377	885
Cash and Securities Held By Trustees	349,620	302,781
Accounts, Grants and Loans Receivable, net	8,321	7,696
Pledges Receivable, net	1,514	718
Investments	97,566	94,117
Other Assets		376
Investment In Plant, net	401,843	302,084
Total Noncurrent Assets	860,241	708,657
Total Assets	\$924,926	\$774,055
DEFERRED OUTFLOWS OF RESOURCES		
Deferred Change in Fair Value of Interest Rate Swaps	\$1,218	\$1,102
Loss on Debt Refunding	7,336	7,028
Total Deferred Outflows of Resources	\$ 8,554	\$ 8,130
LIABILITIES		
Current Liabilities		
Accounts Payable	\$12,682	\$14,902
Accrued Salaries and Wages	19,515	17,764
Accrued Compensated Absences	11,484	10,827
Accrued Workers' Compensation	424	328
Accrued Interest Payable	3,889	3,657
Bonds Payable	23,968	37,172
Accelerated variable rate debt, current	306	
Capital Lease Obligations	84	118
Unearned Revenues and Credits	4,875	5,585
Advances and Deposits	2,250	2,001
Other Liabilities	5,243	6,101
Total Current Liabilities	84,720	98,455
Noncurrent Liabilities		
Accrued Compensated Absences	4,230	3,978
Accrued Workers' Compensation	1,054	816
Bonds Payable	476,603	367,350
Capital Lease Obligations		90
Derivative Instrument, Interest Rate Swap	4,412	4,442
Unearned Revenues and Credits	1,478	783
Advances and Deposits	4,420	4,545
Other Liabilities	1,775	1,889
Total Noncurrent Liabilities	493,972	383,893
Total Liabilities	\$578,692	\$482,348
Net Position:		
Invested in Capital Assets Net of Related Debt	\$237,546	\$187,018
Restricted		
Nonexpendable	6,699	6,673
Expendable	22,222	18,387
Unrestricted	88,321	87,759
Total Net Position	\$354,788	\$299,837

**University of Massachusetts
BOSTON CAMPUS
Statements of Revenues, Expenses and Changes in Net Position
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
REVENUES		
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$33,020 at June 30, 2014 and \$31,413 at June 30, 2013)	\$160,317	\$153,084
Federal Grants and Contracts	26,730	27,142
State Grants and Contracts	10,151	10,089
Local Grants and Contracts	724	1,127
Private Grants and Contracts	9,830	10,832
Sales and Service, Educational	3,433	3,000
Auxiliary Enterprises	9,981	9,743
Other Operating Revenues:		
Other	998	749
Total Operating Revenues	222,164	215,766
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	140,539	130,378
Research	29,176	30,465
Public Service	11,478	11,015
Academic Support	29,014	28,876
Student Services	22,867	20,782
Institutional Support	46,159	40,376
Operation and Maintenance of Plant	25,238	22,692
Depreciation and Amortization	13,284	12,770
Scholarships and Fellowships	11,654	11,832
<i>Auxiliary Enterprises</i>	11,353	10,565
Total Operating Expenses	340,762	319,751
Operating Loss	(118,598)	(103,985)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	100,553	89,435
Gifts	4,535	3,767
Investment Return	11,306	8,692
Endowment Return	1,997	1,718
Interest on Indebtedness	(6,665)	(9,570)
Nonoperating Federal Grants	21,173	20,817
Other Nonoperating Income/(Expense)	275	(636)
Net Nonoperating Revenues	133,174	114,223
Income Before Other Revenues, Expenses, Gains, and Losses	14,576	10,238
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	42,978	26,401
Capital Grants and Contracts	1,856	
Disposal of Plant Facilities	(1,157)	(1,039)
Other Additions/(Deductions)	(3,302)	(2,029)
Total Other Revenues, Expenses, Gains, and Losses	40,375	23,333
Total Increase in Net Position	54,951	33,571
NET POSITION		
Net Position at Beginning of Year, as reported	299,837	268,958
Cummulative Effect of Accounting Principle		(2,692)
Net Position at the Beginning of Year, as adjusted	299,837	266,266
Net Position at End of Year	354,788	299,837

University of Massachusetts
DARTMOUTH CAMPUS
Statements of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)

	June 30, 2014	June 30, 2013 (adjusted)
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$1,023	\$2,412
Cash Held By State Treasurer	2,895	1,680
Accounts, Grants and Loans Receivable, net	12,306	23,753
Short Term Investments	3,172	3,879
Inventories, net		792
Due From Other Campuses	1,141	1,310
Due From Related Organizations	181	230
Other Assets	280	32
Total Current Assets	20,998	34,088
Noncurrent Assets		
Cash Held By State Treasurer	2,118	766
Cash and Securities Held By Trustees	49,581	54,725
Accounts, Grants and Loans Receivable, net	2,638	2,340
Investments	13,200	14,666
Other Assets		7
Investment In Plant, net	335,741	318,533
Total Noncurrent Assets	403,278	391,037
Total Assets	\$424,276	\$425,125
DEFERRED OUTFLOWS OF RESOURCES		
Deferred Change in Fair Value of Interest Rate Swaps	\$5,845	\$5,496
Loss on Debt Refunding	23,148	21,474
Total Deferred Outflows of Resources	\$ 28,993	\$ 26,970
LIABILITIES		
Current Liabilities		
Accounts Payable	\$5,861	\$6,490
Accrued Salaries and Wages	11,069	10,357
Accrued Compensated Absences	5,918	5,829
Accrued Workers' Compensation	536	344
Accrued Interest Payable	1,308	1,505
Bonds Payable	46,765	89,332
Accelerated variable rate debt, current	102	
Due To Other Campuses	200	500
Unearned Revenues and Credits	1,739	1,147
Advances and Deposits	1,171	1,191
Other Liabilities	1,562	3,660
Total Current Liabilities	76,231	120,355
Noncurrent Liabilities		
Accrued Compensated Absences	3,829	3,724
Accrued Workers' Compensation	1,331	855
Bonds Payable	177,684	145,287
Derivative Instrument, Interest Rate Swap	15,408	15,522
Unearned Revenues and Credits	54	295
Advances and Deposits	3,032	2,749
Other Liabilities	29,720	30,255
Total Noncurrent Liabilities	231,058	198,687
Total Liabilities	\$307,289	\$319,042
Net Position:		
Invested in Capital Assets Net of Related Debt	\$136,286	\$118,144
Restricted		
Expendable	8,999	7,516
Unrestricted	695	7,393
Total Net Position	\$145,980	\$133,053

**University of Massachusetts
DARTMOUTH CAMPUS
Statements of Revenues, Expenses and Changes in Net Position
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
REVENUES		
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$ 33,161 at June 30, 2014 and \$31,279 June 30, 2013)	\$72,885	\$76,821
Federal Grants and Contracts	8,632	9,421
State Grants and Contracts	5,683	6,268
Local Grants and Contracts	577	315
Private Grants and Contracts	4,000	3,850
Sales and Service, Educational	125	125
Auxiliary Enterprises	48,220	48,405
Other Operating Revenues:		
Other	5,932	5,079
Total Operating Revenues	146,054	150,284
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	68,583	68,426
Research	17,013	18,274
Public Service	4,503	5,513
Academic Support	26,073	25,687
Student Services	11,574	10,971
Institutional Support	17,600	14,104
Operation and Maintenance of Plant	25,015	19,604
Depreciation and Amortization	15,064	13,438
Scholarships and Fellowships	6,659	6,011
<i>Auxiliary Enterprises</i>	30,424	30,055
Total Operating Expenses	222,508	212,083
Operating Loss	(76,454)	(61,799)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	64,633	57,242
Investment Return	2,602	2,190
Endowment Income	1,733	1,509
Interest on Indebtedness	(8,617)	(8,434)
Nonoperating Federal Grants	11,987	10,492
Other Nonoperating Income	587	685
Net Nonoperating Revenues	72,925	63,684
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	(3,529)	1,885
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	14,556	16,037
Capital Grants and Contracts	5,815	13,813
Disposal of Plant Facilities	(1,293)	(1,140)
Other Additions/(Deductions)	(2,622)	(593)
Total Other Revenues, Expenses, Gains, and Losses	16,456	28,117
Total Increase in Net Position	12,927	30,002
NET POSITION		
Net Position at Beginning of Year, as reported	133,053	105,585
Cummulative effect of change in accounting principle		(2,534)
Net Position at Beginning of Year, as adjusted		103,051
Net Position at End of Year	\$145,980	133,053

**University of Massachusetts
LOWELL CAMPUS
Statements of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$5,718	\$6,996
Cash Held By State Treasurer	5,345	5,088
Accounts, Grants and Loans Receivable, net	29,338	31,100
Pledges Receivable, net	1,001	659
Short Term Investments	23,842	17,186
Due From Other Campuses	5,235	5,732
Other Assets	616	706
Total Current Assets	71,095	67,467
Noncurrent Assets		
Cash Held By State Treasurer	1,099	2,787
Cash and Securities Held By Trustees	114,045	35,345
Accounts, Grants and Loans Receivable, net	5,009	4,874
Pledges Receivable, net	1,470	871
Investments	78,339	64,665
Other Assets	740	1,777
Investment In Plant, net	574,746	478,769
Total Noncurrent Assets	775,448	589,088
Total Assets	\$846,543	\$656,555
DEFERRED OUTFLOWS OF RESOURCES		
Deferred Change in Fair Value of Interest Rate Swaps	\$5,820	\$5,789
Loss on Debt Refunding	2,590	3,878
Total Deferred Outflows of Resources	\$ 8,410	\$ 9,667
LIABILITIES		
Current Liabilities		
Accounts Payable	\$16,111	\$17,910
Accrued Salaries and Wages	17,652	16,402
Accrued Compensated Absences	9,253	8,676
Accrued Workers' Compensation	462	404
Accrued Interest Payable	3,260	2,856
Bonds Payable	20,947	20,272
Accelerated variable rate debt, current	33,292	
Unearned Revenues and Credits	6,377	4,388
Advances and Deposits	1,365	1,516
Other Liabilities	12,065	7,919
Total Current Liabilities	120,784	80,343
Noncurrent Liabilities		
Accrued Compensated Absences	5,239	5,014
Accrued Workers' Compensation	1,147	1,003
Bonds Payable	411,125	281,451
Derivative Instruments, Interest Rate Swap	7,471	7,523
Unearned Revenues and Credits	1,297	3,238
Advances and Deposits	3,808	3,854
Other Liabilities	250	250
Total Noncurrent Liabilities	430,337	302,333
Total Liabilities	\$551,121	\$382,676
Net Position:		
Invested in Capital Assets Net of Related Debt	\$199,226	\$193,871
Restricted		
Nonexpendable	3,957	4,185
Expendable	20,485	14,946
Unrestricted	80,164	70,544
Total Net Position	\$303,832	\$283,546

**University of Massachusetts
LOWELL CAMPUS
Statements of Revenues, Expenses and Changes in Net Position
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)**

	June 30, 2014	June 30, 2013 (adjusted)
REVENUES		
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$ 37,245 at June 30, 2014 and \$34,956 at June 30, 2013)	\$152,563	\$139,748
Federal Grants and Contracts	24,362	23,151
State Grants and Contracts	5,121	5,091
Local Grants and Contracts	457	322
Private Grants and Contracts	10,073	10,160
Sales and Service, Educational	33	129
Auxiliary Enterprises	45,101	36,188
Other Operating Revenues:		
Other	6,726	6,046
Total Operating Revenues	244,436	220,835
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	111,203	105,148
Research	36,624	35,921
Public Service	830	1,321
Academic Support	26,112	22,656
Student Services	27,033	21,280
Institutional Support	43,222	39,316
Operation and Maintenance of Plant	34,453	30,056
Depreciation and Amortization	23,926	19,657
Scholarships and Fellowships	9,932	9,767
<i>Auxiliary Enterprises</i>	26,276	21,176
Total Operating Expenses	339,611	306,298
Operating Loss	(95,175)	(85,463)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	88,136	79,228
Gifts	3,484	2,170
Investment Return	8,284	6,440
Endowment Return	1,720	1,554
Interest on Indebtedness	(12,311)	(9,625)
Nonoperating Federal Grants	15,781	15,410
Other Nonoperating Income/(Expense)	8	(239)
Net Nonoperating Revenues	105,102	94,938
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	9,927	9,475
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	2,788	17,164
Capital Grants and Contracts	5,843	5,613
Capital Contribution		3,000
Disposal of Plant Facilities	1,550	(1,388)
Other Additions/(Deductions)	178	(379)
Total Other Revenues, Expenses, Gains, and Losses	10,359	24,010
Total Increase in Net Position	20,286	33,485
NET POSITION		
Net Position at Beginning of Year, as reported	283,546	251,973
Cummulative effect of change in accounting principle		(1,912)
Net Position at Beinning of Year, as adjusted		250,061
Net Position at End of Year	\$303,832	283,546

University of Massachusetts
WORCESTER CAMPUS
Statements of Net Position
As of June 30, 2014 and 2013
(in thousands of dollars)

	Worcester Campus June 30, 2014	Worcester Campus June 30, 2013 (adjusted)	Worcester City Campus Corporation June 30, 2014	Worcester City Campus Corporation June 30, 2013 (adjusted)	Eliminations June 30, 2014	Eliminations June 30, 2013	Combined Totals Memorandum Only June 30, 2014	Combined Totals Memorandum Only June 30, 2013 (adjusted)
ASSETS								
Current Assets								
Cash and Cash Equivalents	\$5,742	\$8,696	\$6,246	\$27,104			\$11,988	\$35,800
Cash Held By State Treasurer	1,593	1,625					1,593	1,625
Accounts, Grants and Loans Receivable, net	115,344	118,558	2,139	695			117,483	119,253
Pledges Receivable, net	7,545	9,710					7,545	9,710
Short Term Investments	26,508	26,513					26,508	26,513
Inventories, net	10,836	13,015					10,836	13,015
Accounts Receivable UMass Memorial	38,762	12,690	2,045	44			40,807	12,734
Due From Other Campuses	13,960	14,355					13,960	14,355
Due From Related Organizations	3,881	1,907	81,623	48,343	(85,504)	(49,711)		539
Other Assets	2,529	3,456	328	539			2,857	3,995
Total Current Assets	226,700	210,525	92,381	76,725	(85,504)	(49,711)	233,577	237,539
Noncurrent Assets								
Cash Held By State Treasurer	423	163					423	163
Cash and Securities Held By Trustees	5,484	30,365	32	24			5,516	30,389
Accounts, Grants and Loans Receivable, net	5,626	5,626					5,626	5,626
Investments	189,494	173,977					189,494	173,977
Investment In Plant, net	659,834	664,682	394,905	414,318			1,054,739	1,079,000
Total Noncurrent Assets	860,861	874,813	394,937	414,342			1,255,798	1,289,155
Total Assets	\$1,087,561	\$1,085,338	\$487,318	\$491,067	(\$85,504)	(\$49,711)	\$1,489,375	\$1,526,694
DEFERRED OUTFLOWS OF RESOURCES								
Deferred Outflows of Resources								
LIABILITIES								
Current Liabilities								
Accounts Payable	\$19,932	\$27,562	\$4,294	\$4,217			\$24,226	\$31,779
Accrued Salaries and Wages	15,905	17,541					15,905	17,541
Accrued Compensated Absences	18,392	19,490					18,392	19,490
Accrued Workers' Compensation	1,003	1,102					1,003	1,102
Accrued Interest Payable	3,651	3,697	3,458	3,647			7,109	7,344
Bonds Payable	8,781	8,195	11,197	9,090			19,978	17,285
Accounts Payable UMass Memorial	3,864	4,364					3,864	4,364
Due to Related Organizations	81,974	48,184	3,484	1,907	(85,504)	(49,711)	(46)	380
Due to Other Campuses	6						6	
Unearned Revenues and Credits	12,263	14,599					12,263	14,599
Advances and Deposits	267	1,606					267	1,606
Other Liabilities	14,114	19,759	3,686	3,448			17,800	23,207
Total Current Liabilities	180,152	166,099	26,119	22,309	(85,504)	(49,711)	120,767	138,697
Noncurrent Liabilities								
Accrued Compensated Absences	5,583	5,343					5,583	5,343
Accrued Workers' Compensation	2,492	2,738					2,492	2,738
Bonds Payable	387,218	390,198	294,514	305,482			681,732	695,680
Unearned Revenues and Credits	6,525	4,571					6,525	4,571
Advances and Deposits	3,448	3,447					3,448	3,447
Other Liabilities	603	3,500	469	504			1,072	4,004
Total Noncurrent Liabilities	405,869	409,797	294,983	305,986			700,852	715,783
Total Liabilities	\$586,021	\$575,896	\$321,102	\$328,295	(\$85,504)	(\$49,711)	\$821,619	\$854,480
Net Position:								
Invested in Capital Assets Net of Related Debt	\$272,937	\$288,219	\$87,344	\$97,020			\$360,281	\$385,239
Restricted								
Nonexpendable	1,152	1,023					1,152	1,023
Expendable	38,674	39,775	27	2,947			38,701	42,722
Unrestricted	188,777	180,425	78,845	62,805			267,622	243,230
Total Net Position	\$501,540	\$509,442	\$166,216	\$162,772			\$667,756	\$672,214

University of Massachusetts
WORCESTER CAMPUS
Statements of Revenues, Expenses and Changes in Net Position
For The Years Ended June 30, 2014 and June 30, 2013
(in thousands of dollars)

	Worcester Campus June 30, 2014	Worcester Campus June 30, 2013	Worcester City City Campus Corporation June 30, 2014	Worcester City City Campus Corporation June 30, 2013	Eliminations June 30, 2014	Eliminations June 30, 2013	Combined Totals Memorandum Only June 30, 2014	Combined Totals Memorandum Only June 30, 2013
REVENUES								
Operating Revenues								
Tuition and Fees (net of scholarship allowances of \$2,283 at June 30, 2014 and \$2,760 at June 30, 2013)	\$16,245	\$14,367					\$16,245	\$14,367
Federal Grants and Contracts	159,994	174,603					159,994	174,603
State Grants and Contracts	35,930	33,140					35,930	33,140
Private Grants and Contracts	55,070	48,391					55,070	48,391
Sales and Service, Educational	8,045	5,345					8,045	5,345
Auxiliary Enterprises	31,424	33,101				(3,470)	31,424	29,631
Other Operating Revenues:								
Sales and Service, Independent Operations	44,296	46,062					44,296	46,062
Sales and Service, Public Service Activities	446,557	446,925	44,908	33,277	(42,987)	(33,083)	448,478	447,119
Other	37,384	42,674	59,110	57,238	(36,743)	(38,944)	59,751	60,968
Total Operating Revenues	834,945	844,608	104,018	90,515	(79,730)	(75,497)	859,233	859,626
EXPENSES								
Operating Expenses								
<i>Educational and General</i>								
Instruction	53,538	53,969			(72)	(74)	53,466	53,895
Research	213,221	215,744			(90)	(86)	213,131	215,658
Public Service	32,211	30,657					32,211	30,657
Academic Support	11,693	12,129			(102)	(102)	11,591	12,027
Student Services	5,760	5,950					5,760	5,950
Institutional Support	55,909	58,067			(294)	(275)	55,615	57,792
Operation and Maintenance of Plant	45,695	50,956	24,382	26,100	(24,422)	(30,191)	45,655	46,865
Depreciation and Amortization	43,157	41,582	20,128	20,579			63,285	62,161
<i>Auxiliary Enterprises</i>	24,161	24,557			(1,800)	(1,800)	22,361	22,757
<i>Other Expenditures</i>								
Independent Operations	51,461	54,434			(6,600)	(6,608)	44,861	47,826
Public Service Activities	367,226	334,845	44,376	28,809	(46,350)	(36,361)	365,252	327,293
Total Operating Expenses	904,032	882,890	88,886	75,488	(79,730)	(75,497)	913,188	882,881
Operating Income/(Loss)	(69,087)	(38,282)	15,132	15,027			(53,955)	(23,255)
NONOPERATING REVENUES/(EXPENSES)								
State Appropriations	44,620	41,136					44,620	41,136
Gifts	4,855	10,157					4,855	10,157
Investment Return	25,858	13,933	457	551			26,315	14,484
Endowment Return	2,535	2,351					2,535	2,351
Interest on Indebtedness	(21,871)	(23,759)	(14,320)	(13,869)			(36,191)	(37,628)
Other Nonoperating Income	146	1,385		(59)			146	1,326
Net Nonoperating Revenues	56,143	45,203	(13,863)	(13,377)			42,280	31,826
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	(12,944)	6,921	1,269	1,650			(11,675)	8,571
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES								
Capital Appropriations	419	45					419	45
Capital Grants and Contracts		16,695						16,695
Disposal of Plant Facilities	(1,179)	(1,248)	(66)	(9)			(1,245)	(1,257)
Contributions for Capital Expenditures	(4,976)		5,226	1,514			250	1,514
Other Additions/Deductions	10,778	8,548	(2,985)	(1,216)			7,793	7,332
Total Other Revenues, Expenses, Gains, and Losses	5,042	24,040	2,175	289			7,217	24,329
Total Increase in Net Position	(7,902)	30,961	3,444	1,939			(4,458)	32,900
NET POSITION								
Net Position at Beginning of Year, as reported	509,442	482,328	162,772	163,691			672,214	646,019
Cummulative effect of change in accounting principle		(3,847)		(2,858)				(6,705)
Net Position at Beginning of Year, as adjusted		478,481	162,772	160,833				639,314
Net Position at End of Year	\$501,540	\$509,442	\$166,216	162,772			\$667,756	672,214

**Combining Statements of Revenues, Expenses, and Changes in Net Position for University Related Organizations
For The Years Ended June 30, 2014 and 2013
(in thousands of dollars)**

Supplemental Schedule II

	Eliminations and Adjustments June 30, 2014		The University of Massachusetts Foundation, Inc. June 30, 2014		University of Massachusetts Dartmouth Foundation, Inc. June 30, 2014		Eliminations and Adjustments June 30, 2013		The University of Massachusetts Foundation, Inc. June 30, 2013		University of Massachusetts Dartmouth Foundation, Inc. June 30, 2013	
	Total June 30, 2014		Total June 30, 2014		Total June 30, 2014		Total June 30, 2013		Total June 30, 2013		Total June 30, 2013	
EXPENSES												
Operating Expenses												
<i>Educational and General</i>												
Public Service	\$11,066	(\$658)	\$8,872	\$2,852	\$12,573	(\$732)	\$10,308	\$2,997				
Depreciation	200		200		202		202					
Scholarships and Fellowships	177	(1,326)	642	861	77	(1,175)	561	691				
Total Operating Expenses	11,443	(1,984)	9,714	3,713	12,852	(1,907)	11,071	3,688				
Operating Income/(Loss)	(11,443)	1,984	(9,714)	(3,713)	(12,852)	1,907	(11,071)	(3,688)				
NONOPERATING REVENUES/(EXPENSES)												
Gifts	11,063	(2,019)	6,257	6,825	9,452	217	6,300	2,935				
Investment Income	42,849	(65,246)	103,882	4,213	24,540	(35,589)	57,662	2,467				
Endowment Income	1,070	(16,625)	17,695		1,160	(13,936)	15,096					
Net Nonoperating Revenues	54,982	(83,890)	127,834	11,038	35,152	(49,308)	79,058	5,402				
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	43,539	(81,906)	118,120	7,325	22,300	(47,401)	67,987	1,714				
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES												
Additions to Permanent Endowments	17,566	(1,746)	19,312		16,056	(844)	16,457	443				
Less: Amounts Earned/Received on Behalf of the University		54,746	(54,746)			(637)	637					
Less: Amounts Earned/Received on Behalf of Others	(1,555)		(1,555)		(928)		(928)					
Distribution to University		20,268	(20,268)			46,764	(46,764)					
Other Additions/Deductions	32	94	(17)	(45)	(9,051)	(1,656)	(8,554)	1,159				
Total Other Revenues, Expenses, Gains, and Losses	16,043	73,362	(57,274)	(45)	6,077	43,627	(39,152)	1,602				
Total Increase/(Decrease) in Net Assets	59,582	(8,544)	60,846	7,280	28,377	(3,774)	28,835	3,316				
NET POSITION												
Net Position at Beginning of Year	386,212	(53,286)	394,285	45,213	357,835	(49,512)	365,450	41,897				
Net Position at End of Year	\$445,794	(\$61,830)	\$455,131	\$52,493	\$386,212	(\$53,286)	\$394,285	\$45,213				



December 18, 2014

Management and Audit Committee of the Board of Trustees
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Ladies and Gentlemen:

In connection with our audit of the University of Massachusetts (the "University") financial statements as of June 30, 2014 and for the year then ended, auditing standards generally accepted in the United States of America ("US GAAS") require that we advise management and the Audit Committee of the Board of Trustees (hereinafter referred to as "those charged with governance") of the following internal control matters identified during our audit.

Our responsibilities

Our responsibility, as prescribed by US GAAS, is to plan and perform our audit to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether due to fraud or error. An audit includes consideration of internal control over financial reporting (hereinafter referred to as "internal control") as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we express no such opinion on internal control effectiveness.

Identified deficiencies in internal control

We identified the following internal control matters that are of sufficient importance to merit your attention.

Control deficiencies

A deficiency in internal control ("control deficiency") exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. We identified control deficiencies in prior years that have continuing applicability in fiscal year 2014. Refer to the internal control letter issued in connection with the fiscal year 2013 audit.

1) Consolidation process

The manual consolidation process performed by the University President's Office, along with the efforts of each of the campuses and related organizations, continues to be a challenge and is structured in a way that exposes the University to errors in its financial reporting. The timetable continues to be a challenge and the concentration of effort to complete the consolidation through manual manipulation of system information draws resources away from other activities for an extended period of time during the close process. We continue to recommend that the consolidation process be documented and the President's office revisit the reporting timeline to allow for adequate review of the consolidated results. In addition,

we recommend that management investigate software to allow for more automation of the close process and allow for less manual manipulation, which reduces the risk of error in the financial statements.

University Response

The University agrees that the level of manual manipulation involved in the consolidation process creates a risk of error in the financial statements. PeopleSoft does have consolidation functionality which has been utilized in the Medical School financials as a way to effectively consolidate the multiple units for that campus. Given the Foundation and Building Authority are not utilizing PeopleSoft, the University is unable to automate the consolidation of those units. The University will continue to explore options for further automation of the close process that will allow for less manual manipulation to mitigate the risk of error in the financial statements.

In an effort to improve the consolidation process, the Financial Accounting Reporting Group will also continue to meet monthly to standardize and document accounting procedures with special focus on transaction activity between the Campuses and the Building Authority. Obtaining a comprehensive understanding of the transaction activity between these entities will improve the year end consolidation process.

The Financial Accounting Reporting Group will also work to revise the reporting timeline to allow for adequate review of the consolidated results.

2) Journal entry review and approval process

We noted that the journal entry approval process and controls relating to manual journal entries varies from campus to campus. At certain campuses, preparation and posting of journal entries can be performed by the same individual without a review/approval by a separate individual. On certain campuses, there is a secondary separate review, but the reviewer may not be of an appropriate level to be able to detect an error. We also noted instances where an appropriate review may have taken place, but the documentation supporting that review was lacking to evidence the operation of the control. The Peoplesoft GL system has functionality to allow for an automated review by a predetermined separate individual prior to posting, but this functionality is not enabled by the campuses. This lack of segregation of duties creates an increased risk of error and fraud.

Our recommendation is to apply a consistent policy across all campuses/entities which requires journal entry preparation, review/approval and posting by separate individuals with the appropriate skillset and position to review/approve. This will allow for effective segregation of duties, as well as proper review of the entry prior to posting in the general ledger. We also recommend including a discussion of what would represent acceptable documentation of the control in operation, whether manual or automated, to evidence the controls that are in place to allow for review.

University Response

We acknowledge the importance of maintaining proper segregation of duties to provide a secure control environment for the processing of manual journal entries. During FY14 the Financial Accounting Reporting Group explored the control features in PeopleSoft that provide journal entry input, approval and posting by separate individuals throughout the University. The group noted that although the PeopleSoft system has functionality to allow for an automated review, it does not provide the ability to easily attach supporting documentation, therefore creating delays in journal entry processing.

During FY15 we will continue to develop University-wide guidelines for journal entry processing that provide journal entry input, approval and posting by separate individuals throughout the University. Our goal will be to publish these guidelines by the end of the fiscal year.

3) Reviews of the presentation of certain financial transactions did not detect errors in financial reporting classifications of those transactions or improper accounting for certain transactions

During our FY14 audit, we identified certain errors in classification and/or presentation of financial statement transactions as well as instances where certain transactions were not given appropriate accounting treatment. Refer to the summary of adjustments presented to management and the audit committee in connection with the required communications for the audit of the year ended June 30, 2014. Some of the adjustments were recurring from prior years, while others are new in fiscal year 2014. We have noted progress made by the campuses, President's office as well as the Building Authority and the Foundation with respect to the number of adjustments identified by GT in total, and those identified by GT compared to those identified by management (which is indicative of good controls in place during the close process).

We continue to recommend that as part of the annual closing process, management continue to revisit audit entries made in prior years to ensure they will not recur, and also consider whether presentation is consistent in the prior year when changes are made in the current year. It is also our recommendation that management continue to improve processes to be able to identify instances where transactions should be evaluated for appropriate accounting treatment.

University Response

The Controllers and their respective associates from across the University and related entities meet on a regular basis. This group discusses evolving accounting/reporting issues, PeopleSoft system enhancements/changes, audit activities/results, administrative policies/procedures, inter-unit activity and other issues determined relative to the group. Each year, prior year audit adjustments are discussed and every effort is made to ensure that these items do not recur. The Controller's Group in conjunction with the Financial Accounting Reporting Group is tasked with identifying, developing and standardizing accounting policies and procedures throughout the University. Every effort is made to ensure that all accounting transactions are recorded accurately, timely and consistently.

4) IT General Controls

In the prior year, we identified instances of inappropriate access and segregation of duties conflicts during the course of our review of the overall IT control environment. Management continues to make progress to address these matters, however, there continues to be a number of individuals who have "superuser" access which allows conflicting responsibilities and system access (i.e. segregation between development and production). We further noted instances whereby individuals had access to key administrative functionality or configurations that were not required as part of their daily responsibilities. Manual mitigating controls that are detective in nature (as opposed to preventative) are in place to reduce risks associated with this area. Management also established a control to review these changes on a regular basis. That control was put into place at the end of the prior fiscal year. In reviewing monitoring of these changes in 2014, we noted a four month period whereby the logs were not reviewed on a timely basis, however, the control was remediated prior to year-end.

Regarding revocation of access for status changes, management in the IT function should consider enhancing the monitoring control to ensure that revocation of user access is performed timely.

University Response

The University established a monitoring process to ensure that database change logs are reviewed on a timely basis. We have established key back-up protocol that ensures that the procedure is sustained in the event that the designated reviewer is not available to review the logs as scheduled.

The University expanded their Oracle Identity and Access Management Suite to include automated tools to provision access to system users as well as to analyze and monitor user activity. These tools will help ensure timely revocation of user access. We are developing a plan to deploy these tools during FY15.

5) Access to key tables within the PeopleSoft enterprise system

In prior years, we identified instances where access to key tables within the PeopleSoft enterprise system (i.e. Finance and Administration rate, fringe rate and budget tables) seemed unnecessary to perform the individual's job function. During FY13 management started to remove multiple users and continues to refine role-based security rights within PeopleSoft. Management also has mitigating monitoring and review controls in place. However, preventative controls surrounding access to these tables typically provide a higher level of reliability than monitoring/review controls. In connection with the fiscal year 2014 audit, we continue to recommend that management continue their efforts to review access to these key tables and remove individuals who do not require access based on job function.

University Response

During FY14, the University strengthened access controls for its PeopleSoft system. To continue to improve access controls, a Security Administration Core Team has been established. This group meets periodically to identify and document its mission of implementing standardized security protocols throughout the University.

As noted in 4 above, The University recently expanded their Oracle Identity and Access Management Suite to include automated tools to provision access to system users as well as monitor user activity. We are developing a plan to deploy these tools during FY15.

Recommendations to strengthen internal control

We recommend that the University and those charged with governance consider the following actions to strengthen internal control.

Recommendations relating to the fiscal close process

We noted certain processes that take additional effort and require excessive amounts of time and resources at year end for the close process. We noted that the majority of the campuses do not currently practice any level of interim close procedures. Instituting the practice of a mid-year or quarterly close or partial close process could help to alleviate the issue by building a process wherein certain calculations are made more frequently, and therefore issues can be resolved prior to the year-end close.

Recommendations reported in prior year with continuing applicability

We identified certain recommendations in the prior year which were reported in our letter dated December 20, 2013 that continue to be applicable in 2014. The topics covered included use of a common financial reporting software for the Building Authority and the Foundation, as well as performing an analysis of the historical write off experience at the campuses to support the current reserve policy associated with student accounts receivable. See the prior year letter for full descriptions of the recommendations.

University Response

The University has been in conversation with both the Building Authority and Foundation in regards to using PeopleSoft as a common financial reporting software or other alternatives that allows for integration with the University's PeopleSoft system.

During 2014, the University published Administrative Standards that mandate biannual review of all student accounts receivable by campus controllers. This review along with future reviews will provide a historical basis to evaluate the adequacy of the reserve policy.

University response

The University's written response to the internal control matters identified herein has not been subjected to our audit procedures and, accordingly, we express no opinion on it.

* * *

The purpose of this communication is solely to describe the scope of our testing of internal control and the result of that testing, and not to provide an opinion on the effectiveness of the University's internal control. This communication is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control. Accordingly, this communication is not suitable for any other purpose.

Very truly yours,

