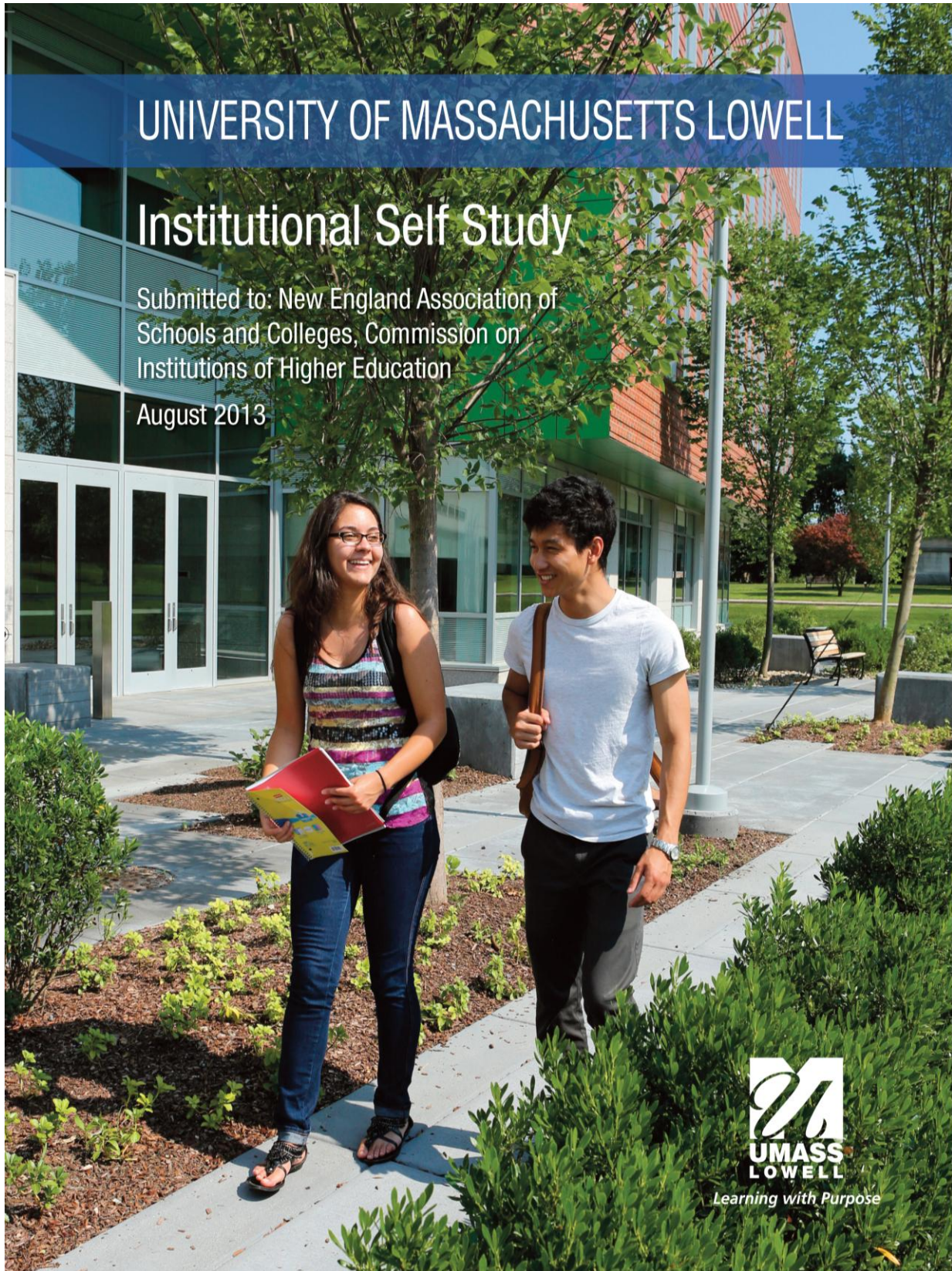


UNIVERSITY OF MASSACHUSETTS LOWELL

Institutional Self Study

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

August 2013



UMASS
LOWELL

Learning with Purpose

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Institutional Characteristics Form

Date June 4, 2013

1. Corporate name of institution: University of Massachusetts Lowell _____
2. Date institution was chartered or authorized: 1894 _____
3. Date institution enrolled first students in degree programs: 1912 (reference “*To Enrich & To Serve*”
By Mary H. Blewett) _____

4. Date institution awarded first degrees: 1912 – Textile School 1935 – Teachers College _____

5. Type of control:

Public

Private

State

Independent, not-for-profit

City

Religious Group

Other

(Name of Church) _____

(Specify) _____

Proprietary

Other: (Specify) _____

6. 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? Refer to website:

<http://www.state.ma.us/legis/laws/mgl/75%2D2.htm> (a copy of the by-laws, enabling legislation establish the legal authority of the institution to award degrees in accordance with applicable requirements is attached).

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

Less than one year of work

First professional degree

At least one but less than two years

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

Institutional Characteristics Form

- | | |
|---|--|
| <input type="checkbox"/> Diploma or certificate programs of at least two but less than four years | <input checked="" type="checkbox"/> Work beyond the master's level but not at the doctoral level (e.g., Specialist in Education) |
| <input checked="" type="checkbox"/> Associate degree granting program of at least two years | <input checked="" type="checkbox"/> A doctor of philosophy or equivalent degree |
| <input checked="" type="checkbox"/> Four- or five-year baccalaureate degree granting program | <input checked="" type="checkbox"/> Other doctoral programs DNP, DPT EdD |
| | <input type="checkbox"/> Other (Specify) |

8. 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 type="checkbox"/> Teacher preparatory |
| <input checked="" type="checkbox"/> Two-year programs designed for full transfer to a baccalaureate degree | <input type="checkbox"/> Professional |
| | <input type="checkbox"/> Other _____ |

9. The calendar system at the institution is:

- Semester Quarter Trimester (Graduate School of Education Only)
 Other _____

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

Institutional Characteristics Form

- a) Undergraduate ____12__ credit hours
- b) Graduate _____9__ credit hours
- c) Professional ____N/A__ credit hours

11. Student population:

- a) Degree-seeking students:

Fall 2012	Undergraduate		Graduate	Total
	Day	CE		
Full-time	8,260	361	1,109	9,730
Part-time	975	1,874	2,322	5,171
TOTAL	9,235	2,235	3,431	14,901

Fall 2012 FTE	Undergraduate		Graduate	Total
	Day	CE		
Full-time	8,651.33	1,044.07	2,167.78	11,863.18

- b) Number of students (headcount) in non-credit, short-term courses: N/A

Institutional Characteristics Form

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

Program	Agency	Accredited since	Last Reviewed	Next Review
College of Engineering- BSE -Civil -Computer -Mechanical -Chemical -Nuclear Option -Plastics -Electrical	Accreditation Board for Engineering and Technology (ABET) Engineering Accreditation Commission	-Civil 1969 -Computer 2005 -Mechanical 1962 -Chemical 1971 -Nuclear 1999 -Plastics 1978 -Electrical 1962	2012	2018
College of Engineering- Engineering Technology - BSET in Electronic - BSET in Mechanical	ABET Technology Accreditation Commission (TAC)	1978	2011	2015
Department of Work Environment -MS Occupational	ABET Applied Science Accreditation			

Institutional Characteristics Form

and Environmental Hygiene	Commission	1992	2012	2017
Manning School of Business -BSin Business Administration -MBA	Association to Advance Collegiate Schools of Business (AACSB International)	1987	2009	2014
Department of Physical Therapy -DPT	American Physical Therapy Association (APTA) Commission on Accreditation of Physical Therapy Education (CAPTE)	1981	2010	2020
School of Nursing -BS in Nursing -MS in Adult/Gerontological Nursing -MS in Family Nursing -MS in Adult Psychiatric Nursing	Commission for Collegiate Nursing Education (CCNE)	1974 1980	2006 2006	2016 2016
Department of Art -BFA in Art	National Association of Schools of Art and Design	1989	2006	2014

Institutional Characteristics Form

	(NASAD)			
Department of Clinical Laboratory and Nutritional Sciences -BS in Medical Laboratory Science	National Accrediting Agency for Clinical Laboratory Sciences (NAACLS)	1978	2010	2016
Department of Music -BM in Sound Recording Technology -BM in Performance -BM in Music Studies -BM in Music Business -MM in Sound Recording Technology	National Association of Schools of Music (NASM)	1972	2002	2014
Graduate School of Education -Graduate programs in Education – Initial teacher preparation and Advanced Preparation	National Council for the Accreditation of Teacher Education (NCATE)	1954	2009	2016
Department of Community Health & Sustainability -BS in Environmental Health	National Environmental Health Science and Protection Accreditation Council (EHAC)	2012	2012	2016

Institutional Characteristics Form

<p>Department of Physics and Applied Physics</p> <p>-MS in Medical Physics</p> <p>-PhD in Physics, Radiological Sciences - Medical Physics Concentration</p> <p>-PhD in BMEBT, Medical Physics Specialization</p>	<p>Commission for Accreditation of Medical Physics Educational Programs (CAMPEP)</p>	<p>2012</p> <p>2012</p> <p>2012</p>	<p>2012</p> <p>2012</p> <p>2012</p>	<p>2015</p> <p>2015</p> <p>2015</p>
<p>Department of Physics and Applied Physics</p> <p>-MS in Radiological Sciences and Protection</p> <p>-BS in Radiological Health Physics</p>	<p>ABET Applied Science Accreditation Commission (ASAC)</p>	<p>2009</p>	<p>2009</p>	<p>2017</p>

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.

Institutional Characteristics Form

	Full degree	50%-99%	FTE
A. In-state Locations			
Haverhill, MA (in progress)			
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
Gulf University of Science and Technology (in progress)	Kuwait City, Kuwait	

Institutional Characteristics Form

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	FTE
A.S. Information Technology	Associate's	100%	86.5
B.S. Information Technology	Baccalaureate	100%	368.5
Bachelor of Liberal Arts	Baccalaureate	100%	139.8
B.A. Psychology	Baccalaureate	100%	125.0
B.S. Business Administration	Baccalaureate	90%	49.9
M.S. Criminal Justice	Master's	100%	145.9
Master's Business Administration	MBA	100%	330.2
Master's Educational Administration	M.Ed.	100%	16
M.S. Information Technology	M.S.	100%	5.3
Master's Reading and language	M.Ed.	100%	21
Master's Curriculum & Instruction	M.Ed.	100%	83.7
Curriculum & Instruction Ed.S.	Ed.S.	100%	.67
Reading & Language Ed.S.	M.Ed.	100%	7.3
Administration, Planning & Policy	Ed.S.	100%	9.6
Certificate Contemporary Communications	Non Degree	100%	2.6
Certificate Graphic Design & Digital Imaging	Non Degree	100%	3.4
Certificate Data/Telecommunications	Non Degree	100%	1

Institutional Characteristics Form

Certificate Information Technology	Non Degree	100%	7.4
Certificate Multimedia Applications	Non Degree	100%	1.8
Certificate Paralegal Studies	Non Degree	100%	31.9
Certificate Security Management & Homeland Security	Non Degree	100%	2.8
Certificate Unix	Non Degree	100%	2.4
Certificate Website Design & Development	Non Degree	100%	18.6
Grad Cert. Behavior Intervention in Autism	Non Degree	100%	116
Grad Cert. Biomedical Engineering	Non Degree	100%	1
Grad Cert. Clinical Pathology	Non Degree	100%	8.7
Grad Cert. Domestic Violence Prevention	Non Degree	100%	4
Grad Cert. Foundations of Business	Non Degree	100%	38.8
Grad Cert. Forensic Criminology	Non Degree	100%	19.7
Grad Cert. Laboratory & Biological Safety	Non Degree	100%	3
Grad Cert. Network Security	Non Degree	100%	1.7
Grad Cert. New Venture Creation	Non Degree	100%	2.3
Grad Cert. Plastics Engineering	Non Degree	100%	8.4
Grad Cert. Security Studies	Non Degree	100%	5.3
Grad Cert. System Models & Management	Non Degree	100%	0
Grad Cert. Sleep & Sleep Disorders in Health & Disease	Non Degree	100%	3
Grad Cert. Victim Studies	Non Degree	100%	0

Institutional Characteristics Form

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

17. List by name and title the chief administrative officers of the institution. (Use the table on the following page.)
18. Supply a table of organization for the institution. While the organization of any institution will depend on its purpose, size and scope of operation, institutional organization usually includes four areas. Although every institution may not have a major administrative division for these areas, the following outline may be helpful in charting and describing the overall administrative organization:
- a) Organization of academic affairs, showing a line of responsibility to president for each department, school division, library, admissions office, and other units assigned to this area;
 - b) Organization of student affairs, including health services, student government, intercollegiate activities, and other units assigned to this area;
 - c) Organization of finances and business management, including plant operations and maintenance, non-academic personnel administration, IT, auxiliary enterprises, and other units assigned to this area;

Institutional Characteristics Form

- d) Organization of institutional advancement, including fund development, public relations, alumni office and other units assigned to this area.

19. Record briefly the central elements in the history of the institution:

Lowell State College – 1894

Granted right to confer Baccalaureate Degrees – 1932

Initiated non-teaching programs – 1960

Lowell Technological Institute - 1895

Control transferred to state – 1918

Granted collegiate status – 1928

Became multi-purpose technological institute – 1953

Lowell University – 1975

Created through merger of Lowell State College and Lowell Technological Institute

University of Massachusetts Lowell - 1991

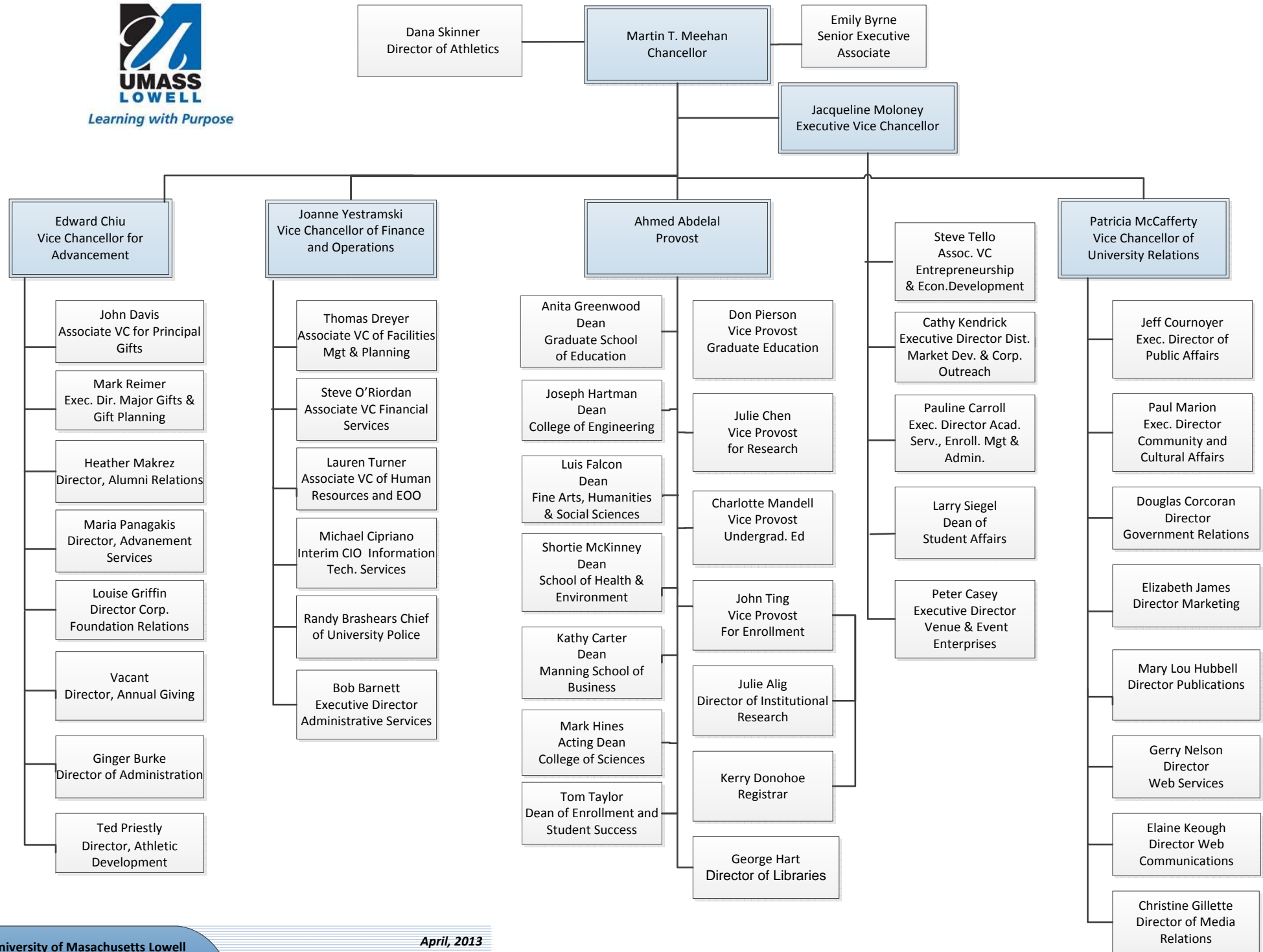
Merged with University of Massachusetts to become one campus in 5-campus system

CHIEF INSTITUTIONAL OFFICERS

Function or Office	Name	Exact Title	Year of Appointment
Chair Board of Trustees	Henry M. Thomas III, JD	Chair	2012
President/CEO	Martin Meehan	Chancellor	2007
Executive Vice President	Jacqueline Moloney	Executive Vice Chancellor	2007
Chief Academic Officer	Ahmed Abdelal	Provost	2008
Deans of Schools and Colleges (insert rows as needed)	Mark Hines	Dean Sciences (acting)	2012
	Luis Falcon	Dean, Fine Arts, Humanities and Social Sciences	2012
	Anita Greenwood	Graduate School of Education	2012
	Jack Wilson	Interim Dean, Engineering	2012-2013
	Joseph Hartman	Dean, Engineering	2013
	Shortie McKinney	Dean, College of Health Sciences	2009
	Kathryn Carter	Dean, Manning School of Business	1994
Chief Financial Officer	Joanne Yestramski	Vice Chancellor for Finance and Operations	2008
Chief Student Services Officer	Laurence Siegel	Dean of Student Affairs	2005
Planning	Ahmed Abdelal	Provost	2008
	Jacqueline Moloney	Executive Vice Chancellor	2007

Institutional Characteristics Form

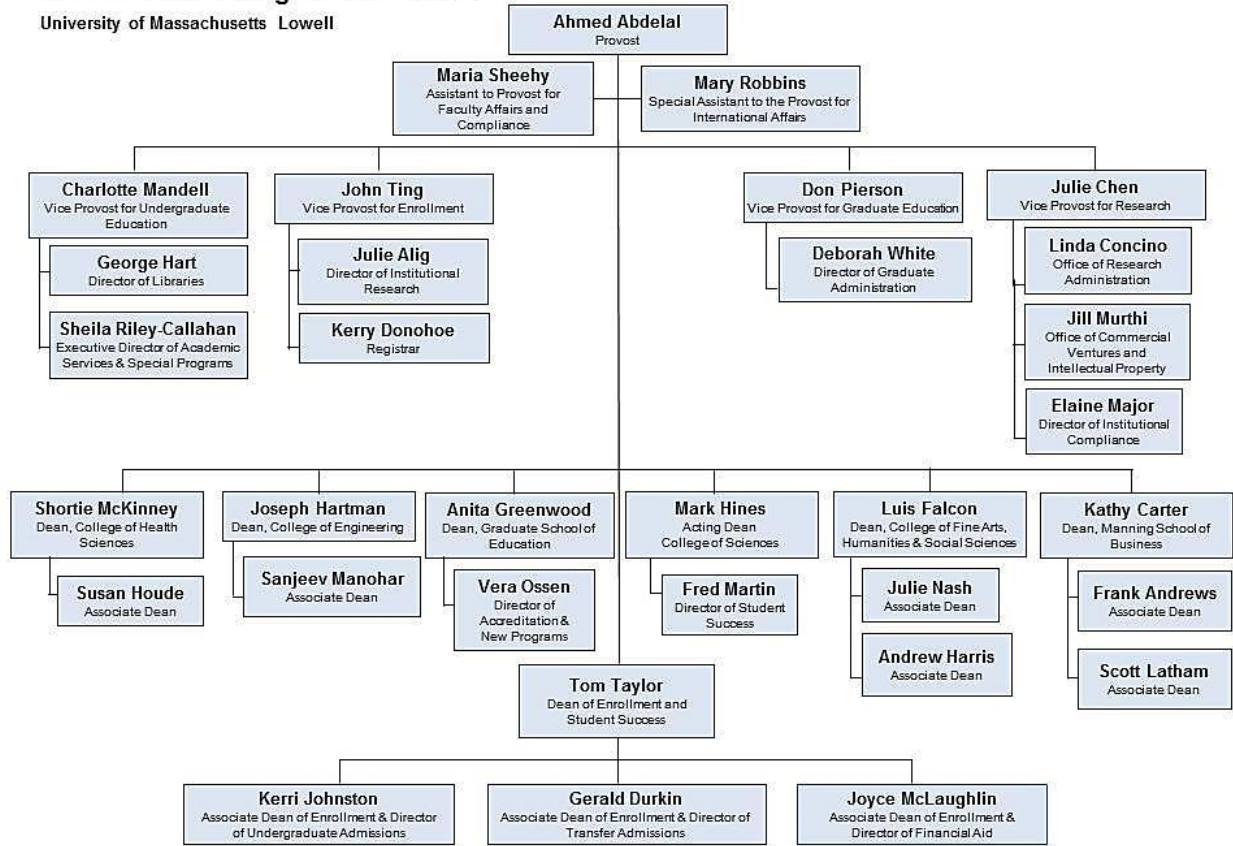
Institutional Research	Julie Alig	Director of Institutional Research	2011
Assessment	Charlotte Mandell	Vice Provost for Undergraduate Education	2008
Development	Edward Chiu	Vice Chancellor for Advancement	2010
Library	George Hart	Director of Libraries	2012
Chief Information Officer	Michael Cipriano	CIO, IT (acting)	2013
Continuing Education	Pauline Carroll	Exec. Dir., Academic Services & Enrollment	2012
	Catherine Kendrick	Executive Director, Distant Marketing Development & Corporate Outreach	2007
Grants/Research	Julie Chen	Vice Provost for Research	2009
Admissions	Linda Southworth	Director of Graduate Admissions	2012
	Kerri Johnston	Assoc. Dean of Enrollment & Director of Undergraduate Admissions	2011
	Gerald Durkin	Assoc. Dean of Enrollment & Director of Transfer Admissions	2008
Registrar	Kerry Donohoe	Registrar	2013
Financial Aid	Joyce McLaughlin	Assoc. Dean of Enrollment/Director of Financial Aid	2011
Public Relations	Patricia McCafferty	Vice Chancellor of University Relations	2011
Alumni Association	Heather Makrez	Director of Alumni Relations	2012
Other			



Organizational Charts

Academic Affairs Organizational Chart

University of Massachusetts Lowell



FY12 Division of Student Affairs

**Executive Vice Chancellor
(Jacqueline Moloney)**

**Dean of Student Affairs
(Larry Siegel)**

Dean of Students' Office
Admin. Assistants
(Lynette Luongo)
(Constance Crooker)

Student Affairs
Business Manager
(June McDermott)

Office Assistant
(*Janice Skryness)

**Associate Dean of Students
Student & Community Engagement
(Brenda Evans)**

Director of Multicultural Affairs
(David Jones)

Assistant Director
(Connie Cabello)

Administrative Assistant
(Mary Ann Karabatsos)

Director of Student Activities & Leadership
(Sarah Rine)

Associate Director
(Tasha Henderson)

Associate Director
(Amy Liss)

Business Manager
(Ruben Sanca)

Program Coordinator
(Kristen Gleason)

Admin. Assistant
(*Carolyn Caci)

Graphic Designer
(*Liron Asher)

Program Assistant
(*Amanda Turner)

**Associate Dean of Students
Student Development & Residence
(James Kohl)**

Director Residence Life
(Joel McCarthy)

Associate Director
(Matthew Austin)

Assistant Director
(Christyn Toomey)

Assistant Director
(Marshall Greenleaf)

Student Service Supervisor
(Sue Bolduc)

ICC Complex Director
(Anyelina Diaz)

Complex Director
Eames/EML/Commons/Unv.
Gardens/ School St.
(Ben Adoo)

Donahue RD
(Cari Renn)

Sheehy & Concordia RD
(Monica Laurent)

Director of Parent Programs
(Karen Humphrey Johnson)

Residential Network Mgr.
(Chuck Yestranski)

Housing Coordinator
(Erin Butterworth)

Fox Lower RD
(Phil Begeal)

Fox Upper RD
(James Warren)

Leitch RD
(Michael Andrade)

Bourgeois RD
(Payne Hiraldo)

Student Mailroom
(Jackie Silva)
*Carol Lemothe
*Chris Jutras
*Elja Piscitello

**Assistant Dean of Students
(Mary Connelly)**

Director of Veterans Services
(Janine Wert)

Benefits Certifying Agent
(*Nancy Sireen)

Campus Ministry
*Imogene Stulken
*Berna Kensingler
*Chris James
*Margaret Leavister

*Denotes part-time staff

**Associate Dean of Students
Health & Wellness
(Ann Marie Ciaraldi)**

Director Counseling Center
(Dr. John Pakstis)

Associate Director
(Rhoda Trietsch)

Senior Staff Psychologist
(Dr. Elyse Lemaire)

AOD Case Manager
(*Linda Adoniuo)

Administrative Asst.
(Jacquie Keeves)

Counseling Interns
*Terry Davies
*Esther Frogel
*Jennifer Leslie
*Corrine Mahoney
*James Trites
*Catherine Webb

Director Student Disabilities Services
(Jody Goldstein)

Assistant Director
(Vacant)

Case Manager
(*Donna Szekely)

Admin. Assistant
(*Aida Phillips)

Executive Director Health Services
(Nancy Quattrocchi)

Assistant Director
(Diana Walker-Moyer)

Nurse Practitioner
(Sharon Cole)

Nurse Practitioner
(*Ellie Ellis)

Immunization Program
Coordinator/Triage
(Gina Destremp, RN)

Nurse Practitioner
(*Amy Friedman Lee)

Medical Office Mgr.
(Gail Murphy)

AOD Health Educator
(*Susan Pulido)

Health Educator
(*Tracy Moore)

Insurance Coordinator
(*Jeanne Michaud)

Immunization Clerk
(*Betsy Oder)

**Assistant Dean of Students
Career Development
(Pat Yates)**

Associate Director Cooperative Education
(Diane Hewitt)

Assistant Director Management
(Martina Witts)

Assistant Director Engineering
(Erin Doyon)

Assistant Director Science
(Sandhya Balasubramanian)

Admin. Assistant
(Karen O'Donnell)

Associate Director
(Priscilla March)

Assistant Director
(Dana Norton)

Career Counselor
(*Anne Apigian)

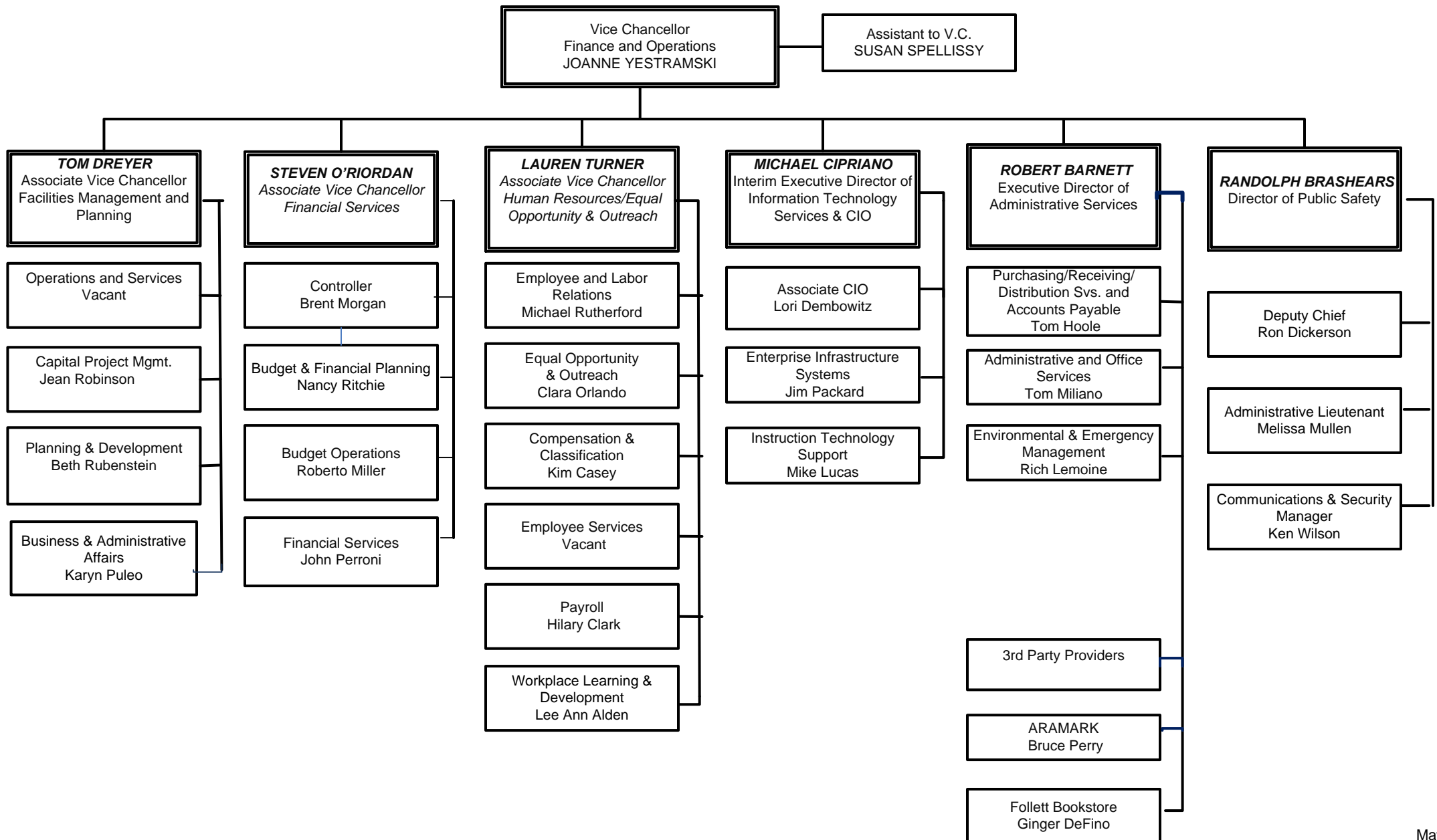
Career Counselor
(*Rae Trachman-Perry)

Career Counselor
(*Virginia Anderson)

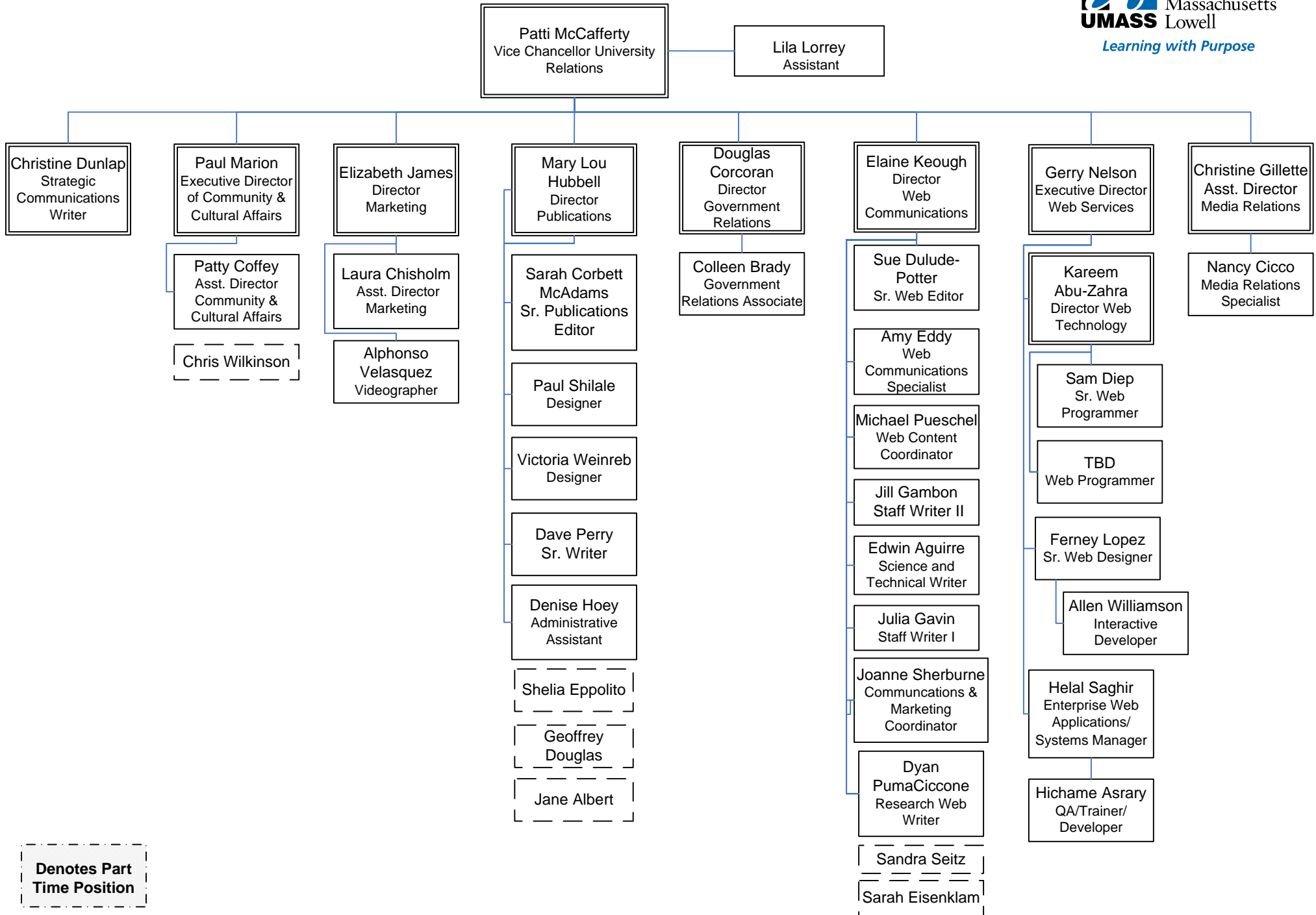
Recruiting Program Mgr.
(Claire Hall)

54 Full-time/31 Part-time Staff

Office of the Vice Chancellor of Finance and Operations Functional Organization Chart



UMass Lowell University Relations Organizational Chart - 1/13



Denotes Part Time Position

* Denotes Contractor

*Karen Angelo

Table of CIHE Actions, Items of Special Attention, or Concerns: Since Fifth Year Reports

Date of CIHE Letters	Detailed Actions, items of special attention, or concerns	CIHE Standards cited for each matter	Self-study page number where each matter is addressed
November 17, 2008	<ol style="list-style-type: none"> 1) Continuing to assure Financial stability, in relation to the goals established in the new strategic plan; 2) Establishing a comprehensive effort to develop and integrate assessment across the institution; 3) Ensuring that the University has an appropriate balance of full-time and part-time faculty 	<ol style="list-style-type: none"> 1) 2.2; 9.1; 9.3; and 9.8 2) 2.5; 2.6; 4.48; 10.12 3) 5.8 	<ol style="list-style-type: none"> 1) 12, 92 2) 7, 13, 17, 26, 41-46, 106 3) 47-48
October 22, 2010	<ol style="list-style-type: none"> 1) Continuing to address the financial challenges in light of federal stimulus funding coming to an end; 2) Achieving its goal to increase student selectivity while growing day school enrollments 2.6% per year through 2013; 3) Using the results of assessment efforts to improve academic programs; 4) Meeting its own goal to increase the number of full-time faculty by 30% over the next five years 	<ol style="list-style-type: none"> 1) 9.3 2) 6.1; 6.2; 6.4 3) 4.45; 6.6 4) 5.8 	<ol style="list-style-type: none"> 1) 12, 92 2) 10, 13, 60-64 3) 7, 13, 17, 26, 41-46, 106 4) 47-48.

CIHE Detailed Actions, Items of Special Attention or Concerns

<p>April 12, 2013</p>	<p>Accepted proposal for substantive Change: Additional Instructional Location at Gulf University for Science and Technology with Site Visit Scheduled for Spring, 2015 with special attention to:</p> <ol style="list-style-type: none"> 1) Clarifying how oversight responsibilities for the program will be shared between UML and GUST; 2) Developing curricula for the programs to be offered at GUST; 3) Assuring sufficient faculty with appropriate qualifications and experience to teach in the program; 4) Implementing its plans to provide appropriate student services at the GUST location and to provide opportunities for gender interaction at the undergraduate level; 5) Securing sufficient funding for the initiative, including resources to support anticipated facilities construction and renovations, library resources, and research. 	<ol style="list-style-type: none"> 1) 3.10 2) 4.6 3) 5.2 4) 11.5, 6.11 5) 9.3 	
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Introduction to the Self-Study Process

In September 2011, Provost Ahmed Abdelal and Executive Vice Chancellor Jacqueline Moloney appointed Vice Provost for Undergraduate Education Charlotte Mandell and Associate Dean of the College of Health Sciences Susan Houde as co-chairs of the Self-Study team. The co-chairs, along with the President of the [Faculty Senate](#), the Associate Dean of Student Affairs, and the Associate Vice Chancellor for financial services attended the NEASC Self-Study Workshop in Southbridge, MA, in October 2011; the co-chairs also attended the NEASC 126th Annual Meeting and Conference in December of that year. These productive sessions helped Drs. Mandell and Houde determine the most effective method for directing the NEASC Self-Study and for engaging the University community in the process.

Next, co-chairs for each Standard subcommittee were chosen; Drs. Mandell and Houde solicited nominations for this group from members of both the Deans' Council and the University's [Strategic Planning Committee](#). Once selected, these chairs constituted the Steering Committee of the Self-Study and provided a broad representation of the University community. This process was thoughtful and deliberate and occurred over a six-week period. Individuals with strong leadership and organizational skills who are knowledgeable in a content area made up the [Steering Committee](#) because of the importance of these attributes in conducting the Self-Study review.

At their first meeting in November 2011, the Steering Committee discussed the accreditation process and reviewed materials from the NEASC Self-Study Workshop, developed a preliminary timeline for completing the work, and exchanged views on how best to form committees that would represent the entire University community. The presidents of the [Student Government Association](#) and the [Graduate Student Association](#) and representatives from the Office of Student Affairs were asked to nominate University-engaged students. Nominations were also solicited for professional staff members with expertise in the content of various Standards. Once a pool of interested faculty, staff, and students had been identified, the Self-Study co-chairs invited each nominee to serve on an appropriate subcommittee (See [Committee Members](#)).

In December, subcommittee chairs attended a Steering Committee retreat to discuss the overall process, writing, Standards, timeline and individual sections of the report. All co-chairs contacted their committee members and familiarized them with the individual Standards by mid-January 2012. The following month, an orientation to the Self-Study process was held for all subcommittee members.

Resources for subcommittees were posted on the [Shareit.uml.edu](#) website (an electronic drop-box) and all co-chairs posted materials in the appropriate folder in order to facilitate the work of each group. NEASC materials and other documents that were helpful during the Self-Study process were posted on this site by Drs. Mandell and Houde. [Shareit.uml.edu](#) became the repository for documents in support of each Standard, including outlines, drafts, evidence, and data files to enhance communication between each subcommittee and Drs. Mandell and Houde.

Subcommittees met as needed during spring 2012 and submitted detailed outlines of their progress by the end of March. Drs. Mandell and Houde reviewed each outline in detail in April and May and offered suggestions based on their review of the Standard criteria. They met with each set of subcommittee co-chairs and discussed the outline, and provided feedback on format and organization. Sub-committees and the [Office of Institutional Research and Reporting](#) (OIR) began work on data tables also in spring 2012.

Introduction to the Self-Study Process

Drs. Mandell and Houde held a group meeting with subcommittee co-chairs in late spring 2012 to update them on the progress of the Self-Study and to fine tune the timeline for completion. The group discussed ways to obtain input from the entire University community in fall 2012 and strategies to disseminate Self-Study drafts throughout the University during the 2012-2013 academic year. In June 2012, Dr. Mandell made a presentation on the Self-Study progress at the University Strategic Planning Retreat. Seventy to eighty individuals that included representation from each subcommittee participated. Regular updates on progress made were also presented at Faculty Senate meetings.

By the end of June 2012, each subcommittee had submitted a draft narrative of their Standard to the co-chairs, who reviewed the materials during July and August. Drs. Mandell and Houde met individually with each pair of co-chairs in early September to suggest ways of refining the texts. Co-chairs then took the initial drafts back to their groups for revisions and returned a second version to Drs. Mandell and Houde in October 2012. At this time each subcommittee was assigned a primary Self-Study co-chair to work with in the final stages of the report writing and data collection.

In summer 2012 a process for indexing evidence was developed using the Shareit.uml.edu website. A graduate student assisted in the development of a record system for the acquisition of evidence for each Standard. After review of each draft by one of the Self-Study co-chairs, a listing of evidence required was provided to the graduate student and was reviewed with each of the subcommittee co-chairs. The evidence needed for each Standard, including links, documents for the workroom, and electronic files, was specified, recorded and organized by the student under the supervision of Dr. Mandell.

The first formal draft was given to Dr. Carol Anderson, Associate Director of the NEASC Commission on Institutions of Higher Education, in September 2012. Dr. Anderson met with Drs. Mandell and Houde in that same month and a group meeting with all the Standard subcommittee co-chairs followed. The two co-chairs and all subcommittees incorporated ideas from the meetings into the on-going drafts of the Standard reports. Both the OIR and Drs. Mandell and Houde worked together to complete the Data First Forms and to ensure integration of the data into the formal narrative.

When Drs. Mandell and Houde received the revised draft of the document from the subcommittees, it was posted on a newly established [NEASC website](#) to allow review by the University community. Daily notices on *UML Today*, the daily news email to University staff and faculty, announced the posting of the Self-Study document and requested review of and feedback on it using a posted web link. Responses were forwarded to the subcommittee co-chairs for incorporation into the next draft of the narrative, which was then emailed to the deans, Executive Vice Chancellor, and Provost for review. Feedback was received from the University community over a period of six weeks, ending in mid-December 2012.

Revisions of the document were collected, reviewed, and edited by the two co-chairs in January 2013 to make certain each narrative conformed to the recommended page allowance, to ensure that each one was appropriately annotated, and most importantly to confirm the inclusion of each aspect of the Standards requested by NEASC. The new draft was posted on the University's NEASC website in mid-February with requests for review again through *UML Today*. Open review of the document continued until April 11, 2013 and comments were accepted on an ongoing basis using the posted web link.

Four open forums that provided an overview of the Self-Study process and review of the draft were held in March and April 2013. An executive summary of the document was provided to those in attendance and posted on the University's NEASC website. Two open forums were held on each of the North and South campuses and two additional forums were held with students: the first with the leadership of all student organizations on campus and the second with a student advisory board. Following responses from the website that contained the posted document, open forums, and independent review by an emeritus faculty member, Drs. Mandell and Houde incorporated feedback and finalized the text, which was edited,

Introduction to the Self-Study Process

posted again on the University's website, and reviewed by the [Executive Cabinet](#), Senior Cabinet, and Deans' Council prior to submission for review to NEASC in July 2013.

The Chair of the NEASC review team made a preliminary visit to campus in May 2013. Following his visit, the document underwent another revision to address his comments and suggestions. The final Self-Study report and supporting materials were provided to the NEASC office and the review team members in August 2013. Planning for the fall review team visit took place in summer 2013. The invitation to provide public comment was posted on the main page of the University web site as well as in the Lowell and Lawrence newspapers.

This Self-Study follows our University's strategic planning process at an opportune time. In requiring us to chart our development, it also calls upon us to examine with purpose our goals and the methods we are using to achieve them. We are proud of our accomplishments thus far and realize that as a University working together we are well poised to build on our accomplishments and surpass the goals outlined in our [2020 Strategic Plan](#).

Overview of the University of Massachusetts Lowell

Since the submission of the 2008 NEASC five-year report, the University of Massachusetts Lowell has undergone a period of remarkable growth that demonstrates its commitment to excellence in teaching, research and community engagement. According to every index by which Universities are typically measured, our progress has been profound. In the fall of 2007 total enrollment was 11,635 students and today it exceeds 16,000. This increase reflects growth in our undergraduate, graduate, online, and continuing education student populations. While growing our enrollment we have also increased selectivity of the freshman cohort: average SAT and GPA scores rose from 1083 and 3.18, respectively, for the freshman cohort in 2007 to 1127 and 3.29 in 2012. In addition, the overall diversity of the cohort improved from 17.1% to 22.9% during the same period.

Increased enrollment and fees resulted in an enhanced operating budget that allowed the University to hire more full-time faculty; the number rose from 407 in 2007 to 540 in 2012. As a consequence, the percentage of class sections taught by part-time faculty decreased from 33% in 2011 to 22% in 2012 and we project that this figure will drop to 18% by fall 2013. Having additional full-time faculty has strengthened academic advisement. Furthermore, the budget increase enabled us to recruit senior faculty, which has enriched both research and scholarship. These achievements, together with increases in overall research productivity and internal investments, boosted research expenditures from \$36M in FY07 to \$61M in FY12.

In the same timeframe, the University reinforced academic offerings by adding doctoral programs in all business disciplines and in the social and pharmaceutical sciences. We added professional options in 19 master's programs in order to strengthen opportunities for workforce development. These professional graduate degrees combine a science or engineering discipline with courses in business fundamentals, advanced communication, and project leadership (often co-op). The [professional science masters'](#) options were developed in accordance with a 2007 recommendation from the National Academy of Sciences; the engineering leadership masters' programs reflect a University initiative to develop analogous offerings in engineering.

Since 2007, UMass Lowell has steadily improved facilities that support both academic programs and student life. Two recently constructed academic buildings are now in operation - one for nanotechnology and emerging technology applications in engineering, pharmaceutical sciences, and the natural sciences, and the other for social and health science departments. The University also has added 1800 beds to residence halls and will add an additional 1000 this fall. Over the past five years we have carried out extensive renovations throughout the physical campus in addition to acquiring and renovating a major sports arena, the Tsongas Center.

The Massachusetts Division for Capital Asset Management and Maintenance (DCAMM) has developed a five-year detailed architectural plan for renovation of the entire North Campus, which includes refurbished teaching and research facilities for engineering and the natural sciences. DCAMM is currently developing an analogous plan for renovation of the South Campus that houses the fine arts, social sciences, health sciences, and education. A new facility for the School of Business, on our North Campus, is in the design phase with anticipated completion in 2015.

The University has made considerable efforts to increase student success by adding supplemental instructional resources to challenging gateway courses, by strengthening academic advisement, and by initiating an early intervention system to identify students who are exhibiting problems in classroom performance. We have enhanced our experiential learning program for undergraduates by hiring additional professional staff to develop opportunities for co-ops in both industry and business and to

Overview of the University of Massachusetts Lowell

expand our service learning experiences both locally and globally. The success of these combined efforts is evidenced by increases in both our first-year retention rate, which rose from 75% in fall 2007 to 81% in fall 2012, and our six-year graduation rate, which rose from 44% to 54% in the same time period.

UMass Lowell has developed cooperation agreements in education and research with over 100 major universities in over 40 countries in Africa, Asia, Australia, Europe, and South and Central America. Our international mission is to encourage faculty and student exchanges and promote collaborative academic projects. We are proud to host the U.S. office of the World Association for Cooperative Education (WACE), which focuses on work-integrated learning and fosters exchange of co-ops between member institutions. Engineering students have carried out co-op, service-learning, and capstone projects in India, Peru, and Turkey. Our major, ongoing international effort is the development of a second instructional site in partnership with the Gulf University of Science and Technology (GUST) in Kuwait and the Raytheon Company. NEASC has approved this second instructional site with an effective date of March 8, 2013. The NEASC Commission finds that, “The initiative, which involves a unique partnership among the two educational institutions, industry (Raytheon Company), and government (Kuwait National Offset Company), is consistent with the University’s mission and is expected not only to advance and elevate higher education in Kuwait but also to have a positive impact on inter-cultural understanding between Kuwait and the United States.” It is this type of collaborative effort that informs the University’s global vision.

This institution is on a trajectory for steady improvement that will be reflected in our performance benchmarks by the year 2020. For the past three years, *U.S. News and World Report* has ranked UMass Lowell among the nation’s top 200 Universities and our ranking has advanced steadily through the last three cycles. In 2010, the [Carnegie Foundation](#) classified UMass Lowell as RU/H: Research Universities (high research activity), and for the past three years we have received the additional Carnegie designation for universities that offer Curricular Engagement and Outreach Partnerships. Our Division of Online and Continuing Education has received six national Sloan Consortium Awards, including the Award for Excellence in Online Teaching and Learning in 2009 and the Ralph E. Gomory Award for Quality Online Education in 2011. Finally, we are pleased that PayScale.com, in a ranking of 30-year net return on educational investment, has ranked the University of Massachusetts, Lowell campus, number 50 nationally among all public and private institutions and number 10 among all public institutions in its [2013 College Education ROI Rankings](#).

The tangible climate of excitement and pride that pervades UMass Lowell these days is reflected in the pages of this Self-Study. A tremendous amount of thoughtful reflection, careful planning, and effective implementation on the part of our faculty, administration, staff, and students will enable our University to meet the dual challenges of strategic growth and continuous quality improvement. We are proud of our institution and of the combined efforts of its employees to move it forward by working together.

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.uml.edu/About/mission.aspx	

Mission Statement published	URL	Print Publication
1. Report Card	http://www.uml.edu/docs/Report%20Card%205.13_tcm18-108140.pdf	
2.		
3.		
4.		

Related statements	URL	Print Publication
1. 2020 Strategic Plan	http://www.uml.edu/2020/	
2. Mission: UMass System	http://www.massachusetts.edu/system/about.html	
3. Mission: UMass System	http://media.umassp.edu/massedu/policy/Mission%20Statement.pdf	

Standard One: Mission and Purposes

Description

The University of Massachusetts Lowell traces its roots to 1894-1895 when the Commonwealth of Massachusetts established two colleges: the Lowell Normal School and the Lowell Textile School. Located on opposite sides of the Merrimack River in the industrial mill city of Lowell, the stated purpose of the colleges was “to enrich and serve its citizens” by training teachers who could develop an educated citizenry and by training engineers who could contribute entrepreneurial talents to the work force. The colleges flourished and became “recognized as the economic and educational lifeblood of the city and the region.” (Blewett and McKenna, 1995) Over the course of a century the schools grew, became more comprehensive, and merged in 1975 into the University of Lowell. Shortly thereafter, in 1991, the new University joined with four other state university campuses to form the five-campus University of Massachusetts System. Now known as the University of Massachusetts Lowell, the school retains a high degree of administrative autonomy led by a chancellor who reports to the President and Trustees of the System.

The [mission of the University of Massachusetts 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.

In 2007, the mission of UMass Lowell was thus:

The mission of the University of Massachusetts Lowell is to enhance the intellectual, personal and cultural development of its students through excellent, affordable educational programs. The University seeks to meet the needs of the Commonwealth today and into the future and supports the development of sustainable technologies and communities through its teaching, research, scholarship and engagements.

Following his appointment as Chancellor in 2007, Martin Meehan and his leadership team defined a new direction for UMass Lowell that better integrated our institution’s goals with those of the System cited above. The current [mission of the University](#) follows:

In accord with the UMass System’s mission, the University of Massachusetts Lowell is a public research university committed to excellence in teaching, research and community partnerships. The University is dedicated to transformational education that fosters student success, lifelong learning and global awareness. UMass Lowell offers affordable, experience-based undergraduate and graduate academic programs taught by internationally recognized faculty who conduct research to expand the horizons of knowledge. The programs span and interconnect the disciplines of business, education, engineering, fine arts, health sciences, humanities, sciences and social sciences. The University continues to build on its founding tradition of innovation, entrepreneurship and partnerships with industry and the community to address challenges facing the region and the world.

Appraisal

The development of the [2020 Strategic Plan](#) was led by Provost Ahmed Abdelal and Executive Vice Chancellor Jacqueline Maloney and involved more than 200 faculty, staff, and students. This representative group of the University community engaged in a thoughtful and deliberate process in which they examined all aspects of the University and identified principal goals that addressed the University's mission. This strategic planning taskforce developed 25 benchmarks that constitute a report card for annual assessment of progress. This taskforce continues to meet regularly and to report to one another at two Strategic Planning Commission meetings each year. The Report Card is updated annually, published on the UMass Lowell website, and included as an appendix to this Self-Study. The [2013 Report Card](#) documents progress since 2007 and identifies the 2015 target for each of the 25 benchmarks.

The *2020 Strategic Plan* is organized around five general themes that we have named [Pillars of Excellence](#). These Pillars, displayed prominently across the University in order to communicate the themes of the Strategic Plan to the campus community, have helped us clarify areas in which we can augment student services, enhance technological resources, and broaden our relationship with the community in Lowell and the Merrimack Valley where our institution is located. What follows is a list of the Pillars and the action we have taken to achieve the aspirational goals identified therein.

1. **Transformational Education**: The University has augmented programs in experiential learning by hiring professional staff to develop co-op and service learning opportunities in both business and industry. Research scholarships were established and are awarded competitively to incoming freshmen for work on projects under the guidance of faculty. These awards build on traditions of innovation, entrepreneurship, and partnership with both industry and the community. The University has also deepened interdisciplinary learning by establishing academic programs and research centers that operate across disciplines. In addition, we have enhanced student success by systematically identifying challenging gateway courses and developing applied approaches that have improved student performance and brought about increased retention and graduation rates.
2. **Global Engagement and Inclusive Culture**: UMass Lowell has successfully increased the overall diversity of the student body, expanded the global representation of the faculty, enhanced the residential experience of international students and established the [Office of Multi-Cultural Affairs](#) to support inter-cultural understanding. In addition, we have successfully built partnerships in education and research with more than 100 leading international institutions in Africa, Asia, Australia, Europe, and South and Central America (see [List](#) of International Partnerships). Our international initiatives place particular emphasis on reflecting the cultural background of residents of the City of Lowell and Merrimack Valley. We have tripled the number of professional staff in the International Students and Scholars Office and we have established a new [Office of Study Abroad and International Experiences](#) in order to assist us in achieving our goal of providing students with an international, multi-cultural, and all-inclusive academic community.
3. **Innovative Research and Entrepreneurship**: The University has strengthened research efforts by creating new research centers that utilize the skills of faculty members working on related problems, by recruiting world-class researchers, and by expanding graduate programs. Since 2008, UMass Lowell has attracted new faculty who are leaders in their fields, and has built two state-of-the-art facilities, one for applications of nanotechnology, the natural and pharmaceutical sciences, and engineering, and the other to house departments in the social and health sciences. We have also expanded the [Office for Ventures and Intellectual Property](#). In 2011, the University began awarding research scholarships to engage top freshman applicants in research by pairing

Standard One: Mission and Purposes

them with faculty mentors early in their careers. Students may take advantage of these scholarships beginning in the summer semester following their freshman year.

4. **Leverage Our Legacy and Our Place:** A history of innovation is embedded in the development of Lowell, starting with the establishment of the textile industry that is historically associated with the Industrial Revolution in the United States. The institutions that were precursors of UMass Lowell were developed to educate the workforce necessary to run the area's textile mills. As regional industry, business, and communities evolved, academic and research programs evolved along with them. As an example, the establishment of the University's NSF-funded Center for Nanomanufacturing has its roots in the polymer manufacturing that was needed for the textile industry. The University has strengthened its relationships with alumni and community partners through the creation of advisory boards for each of the colleges and the development of programs that foster community engagement in research and service learning.
5. **Entrepreneurial Stewardship in Higher Education:** An entrepreneurial approach to stewardship of human, physical and financial resources is the hallmark of UMass Lowell's approach to protecting student access and building a healthy and sustainable future. By creating transparent approaches to management, such as the publically accessible Report Card, we foster responsible development. The campus is proud of its recent commitment to a campus climate plan as well as to other initiatives that foster sustainability, including the Campus Transportation Plan, the commitment to Leadership in Energy and Environmental Design (LEED) Silver Certification for all new construction, and the work of the Department of Environmental and Emergency Management. (See Standard 8.)

Mission and Strategic Goals Guide Decision Making

The 2007 revised mission statement aligns UMass Lowell with the University System. Our new mission is more ambitious than the one it replaced as it is not focused solely on the region immediately surrounding the University but aspires to serve the state and the nation and to contribute globally. The revised mission guided the development of the *2020 Strategic Plan*, which, in turn, has guided resource allocation and other developments at the University over the past five years. Our aspiration for recognition as a national research institution led us to hire faculty with credentials that allowed them to join the University with tenure upon entry and permitted us to invest in research facilities such as the \$90M Mark and Elisia Saab Emerging Technology and Innovation Center (ETIC). The desire to be globally connected prompted us to hire professional staff to support the academic interests of faculty and students in their efforts to elevate our institution to a global status. The desire to provide strong experiential learning led us to hire professional staff to support co-op and service-learning placements and to establish research scholarships for undergraduate students. As a part of our goal to enhance student life, we have acquired the 6500 seat Tsongas Sports Arena and have become a member of Division I athletics. All of these aspirations are supported by a detailed [five-year budget](#) that outlines the University's financial plans for achieving these goals in a financially sustainable way.

Projections

- While considerable effort has been invested in sharing information with all stakeholders, we recognize that this must be a continuing effort. Therefore, the Strategic Planning Commission will review the strategic plan in the 2013-2014 academic year and continue to renew and refine *UMass Lowell 2020* as new developments and challenges arise. Additionally, the deans of each college/school are in the process of creating detailed plans designed to help the University

Standard One: Mission and Purposes

achieve its strategic goals. These steps will be fully launched in academic year 2013-2014 and will effectively engage each unit of the University.

- Convocation for new students will include the review of the University mission statement beginning in September 2013.
- Beginning in fall 2013, University orientation for new faculty and staff will include the distribution of the University mission statement, the *2020 Strategic Plan*, an overview of the Pillars of Excellence, and the most recent Report Card. Discussion about these documents will be led by University leaders, and the importance of working together toward achieving strategic goals will be emphasized in the discussions.
- Updates to mission, strategic plan, Pillars and the report cards will be posted on the website by the web office. Email notification of all changes will be made to all faculty and staff through [UML Today](#).

Institutional Effectiveness

The University of Massachusetts evaluates its mission statement every five years as an integral part of the strategic planning process. Revisions to the mission plan are subject to approval by the President of the University of Massachusetts System. The Report Card provides our faculty, students, and staff with annual opportunities for assessing progress, or lack thereof, in each of the 25 benchmark areas. It also provides the same assessment opportunity to the University System governing board, to UMass Lowell alumni, and to advisory boards for colleges, schools and departments. The University leadership welcomes this public scrutiny and considers it a strong incentive for continuous improvement.

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

Standard 2: Planning and Evaluation

PLANS

Year of Completion		Effective Dates		URL or Folder Number
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Strategic Plans

- Immediately prior Strategic Plan
- Current Strategic Plan
- Next Strategic Plan

?	?	?	?	
?	2009	?	2010-2020	http://www.uml.edu/2020/
?		?		

Other institution-wide plans

- North Campus Master Plan
- South Campus Sector Plan

- Financial Report and Plan
- Technology plan
- Technology capital plan

Capital Plan

Affirmative Action Plan

Campus Transportation Plan

Strategic Development Plan

(Add rows for additional institution-wide plans, as needed.)

?	2011	?	?	North Campus Master Plan
?	2011	?	?	South Campus Sector Plan
?		?		http://www.uml.edu/docs/FY12%20-%20Financial%20Report%20and%205%20Year%20Plan%20Summary_tcm18-108217.pdf
?	2012	?	2013-2017	IT Strategic Directions
?	2012	?	2013-2017	IT Capital Plan 2013 - 2017
?	2012	?	2013-2017	http://www.uml.edu/docs/UML%20FY13-17%20Capital%20Plan%20Update%20approved%20by%20BOT_tcm18-108215.pdf
?	2012	?	2012-2013	http://www.uml.edu/docs/FINAL%20Update%20to%20Board%2009_tcm18-105122.pdf
?	2011	?	2011 - 2016	http://www.uml.edu/docs/uml_REPORTv10_FINAL_gjv_sm_tcm18-64107.pdf Plans for Schools and Colleges Advancement Strategic Plan 2020.pptx

Plans for major units (e.g., departments, library)

1. Library Plan

2. Climate Action Plan

3. Athletics

?	2012	?	2013-2017	University%20Libraries%20Long-Range%20Plan%202013-2017[1]
	2012			http://www.uml.edu/docs/2012.01.09%20222915.00%20UMass%20CAP%20FINAL_tcm18-108135.pdf
	2013		2013 - 2017	http://www.uml.edu/docs/Vision%202020%20-

Standard Two: Planning and Evaluation

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EVALUATION

Academic program review

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

Sample program review reports (name of unit or program)

1. Department of Physics
2. Department of Exercise Physiology
3. Department of Criminal Justice
4. Department of Chemistry
5. Department of Environmental Studies

(Insert additional rows, as appropriate.)

System to review other functions and units

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

Sample program review reports (name of unit or program)

1. Centers for Learning And Academic Support Annual Report
3

(Insert additional rows, as appropriate.)

Other significant evaluation reports (Name and URL or Location)

<i>Example: Advising: www.notrealcollege.edu/advising</i>
1. Annual Indicators Report (See also 2009 , 2010 , 2011)
2
3

%20Strategic%20Plan%20for%20Division%20I%20Athletics_tcm18-108237.pdf
URL or Folder Number

AQAD: Academic Quality Assessment and Development
Every 7 years

Print copy in Workroom
Exercise Physiology Report.pdf
AQAD- FAHSS Psychology- Self Study 2013.pdf
Print copy in Workroom
Print copy in Workroom

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Print copy in Workroom

Date
2012

Standard Two: Planning and Evaluation

Description: Planning

Since 2007 the University has engaged in a comprehensive and ongoing planning process, described in Standard One, that resulted in the [2020 Strategic Plan](#). This process was informed by the work of numerous planning and assessment bodies that are described below.

Key Planning and Assessment Bodies: With the arrival of Chancellor Meehan in 2007 and the development of his executive leadership team, the University has become increasingly data-driven in its planning and has achieved a robust collaboration among the offices of Enrollment Management, Academic Affairs, Continuing Education, Financial Affairs, Facilities, and Information Technology. In addition to the high-level strategic planning conducted by the Commission as described in Standard One, planning and evaluation at the University are led by the [Executive Cabinet](#) (Chancellor, vice-chancellors and Provost) and the Deans' Council (Provost, vice-provosts, academic deans, associate deans, Dean of Enrollment Management, Director of Libraries, Director of Institutional Research, and Registrar). The Executive Cabinet meets biweekly and deals with financial and facilities planning, advancement and alumni issues, and coordination with the Office of the President of the University System. The Deans' Council meets weekly and focuses on enrollment management strategies, admissions, financial aid/scholarships, academic program development and policies, and progress with student success. This Council also regularly assesses progress with the strategic benchmarks and develops strategies for dealing with challenges that are discerned by analysis of the data. Both the Executive Cabinet and the Deans' Council rely on reports developed by Enrollment Management, Institutional Research, the Research Office, and the Office of Finance. Members of both the Executive Cabinet and the Dean's Council meet as a Senior Cabinet at least twice each year with other administrative officers such as the Dean of Students, Director of Facilities, and the Chief of Police, to review issues of concern and to ensure that lines of communication remain open and collegial.

The [Faculty Senate](#), an elected body, has a number of standing committees that deliberate regarding curricula and academic programs and recommend approval of new programs or discontinuance of existing ones. Both tenure-track and non-tenure-track faculty are represented by the [Massachusetts Society of Professors \(MSP\)](#), which is the faculty union. The Provost and deans frequently present reports to the Senate and participate, as needed, in discussions. The Provost and the Chancellor consult with both the full Senate and its executive board.

System-level Committees: At the [University of Massachusetts System](#) level, the Senior Vice President for Academic, Student, and International Affairs chairs monthly meetings of provosts of the five System campuses. This group studies topics under review by the President's Office and/or the [Board of Trustees](#), and makes recommendations to the Senior Vice President. The Provosts' Council also works to encourage collaboration among System institutions. All key initiatives and issues are reviewed, and approved if required, by the appropriate committee of the Board of Trustees before they can be instituted on campus.

Institutional Research: The [Office of Institutional Research and Reporting \(OIR\)](#) has a director and five professional staff members. This office reports to the Vice Provost for Enrollment Management and provides analyses for units of the University as needed. It develops regular reports regarding student success - course performance, retention rates, graduation rates - and provides both short- and long-term projections in these areas. The OIR also prepares reports requested by the President's Office, the State Board of Education, and the federal government. In addition to the OIR, the Provost's Office has contracted with [Hanover Research](#), a professional business and marketing research firm, to assist in

Standard Two: Planning and Evaluation

developing additional data-analysis and planning capabilities. The Provost's Office has also contracted with the [Educational Advisory Board](#) (EAB) to provide best practice research on educational leadership and analysis of important trends in higher education. As part of the EAB's newly formed Student Success Collaborative, the University will be provided with an extensive analysis of the relationships between course enrollments, course grades, and student retention and graduation. This analysis will include data from the last 10 years for all full-time undergraduate students across the University.

Peer Groups: In order to compare ourselves with institutions similar to our own, we updated our list of peers in 2012. Working closely with the Provost, OIR defined the general parameters of appropriate institutions to which UMass Lowell could compare itself. We focused on public universities with a range, similar to our own, of academic programs, student demographics, geographical setting, and ranking among national research universities, using the rankings in [U.S. News & World Report](#) as a general guide. Metrics used are admission standards (SAT scores and GPA), student success (retention and graduation rates), research intensity (Carnegie classification), research expenditures (dollars per tenure-track and tenured faculty), and number of doctorates awarded per tenure-track faculty. This analysis allowed us to identify eight peer institutions that fell within a reasonable range in these metrics. Two of these, UNH and URI, are considered aspirational peers on the basis of their higher standings in student success. Two tables, representing the extent of overlap in these metrics with the selected peer institutions, are shown below. (See also [Peer Institutions Presentation of Methodology 2010-2012](#), [Peer Institutions](#), [Rationale for Selection](#).)

TABLE 2.1 Analysis of Peer and Aspirant Universities

	U.S. News & World Report Rank	Overall Score	UG Ac. Reputation Index	Avg. Frosh Retention	2011 Grad Rate (predicted)	2011 Grad Rate (actual)	% Classes <20	% Classes >50	% Faculty FT	SAT/ACT 25%ile	SAT/ACT 75%ile	Frosh Top 10% H.S. Class	Acceptance Rate a	Avg. Alumni Giving Rate
Blue highlight indicates +/- 20% of UML values.														
UMass Lowell	170	32	54	79	57	50	57	3	72	1000	1210	17	65	9
UML Rank Among Peers	6/9	6/9	9/9	7/9	3/9	7/9	1/9	1/9	9/9	3/9	2/9	6/7	4/9	1/9
Georgia State Univ.	Tier 2	n/a	55	83	55	48	16	13	88	1000	1190	n/a	51	6
San Diego State Univ.	165	33	60	84	53	66	28	24	78	980	1190	n/a	33	2
Univ. of Maine	156	35	58	78	57	60	53	12	88	970	1190	21	78	9
Univ. of Maryland Baltimore	160	34	59	86	69	57	36	13	85	1110	1310	25	61	4
Univ. of New Hampshire *	106	46	63	88	62	77	42	15	82	1010	1210	20	74	8
Univ. of Rhode Island *	147	38	59	80	51	63	33	9	80	990	1200	18	76	6
Univ. of Wisconsin – Milwaukee	Tier 2	n/a	60	72	50	40	40	11	86	910	1110	8	71	3
Virginia Commonwealth Univ.	170	32	59	85	55	53	35	17	84	980	1190	18	66	5

* Denotes aspirational-peer.

TABLE 2.2: Additional Analyses of Peer and Aspirant Universities

Arrows indicate relative change from previous year	Undergrad Enrollment ^b (F11)	Grad Enrollment ^b (F11)	Total Enrollment ^b (F11)	Total Research Expenditures ^c (‘000’s) (‘09)	Research Expenditures per FT TT Faculty ^{c*} (‘000’s) (‘09)	Research Doctorates Awarded ^{c**} per 100 FT Faculty (‘10)	Total Endowment ^c (\$M) (‘10)
Blue highlights indicate +/- 20% of UML values							
Sources ^b : IPEDS; ^c : ASU MUP * Includes NTT and Research faculty ** Does not include professional doctorates							
UMass Lowell	11,729 ↑	3,702 ↑	15,431 ↑	\$ 52,431 ↑	\$ 149.4 K ↑	10.4 ↓	\$ 41.1 ↑
<i>UML Rank Among Peers</i> ↑ = good	7/9	5/9	6/9 ↑	8/9 ↑	6/9 ↑	6/9	9/9
Georgia State Univ.	24,096	7,926	32,022	\$60,557	\$81.9	20.9	\$ 87.5
San Diego State Univ.	25,787	4,745	30,532	\$79,190	\$103.4	7.4	\$ 109.4
Univ. of Maine Orono	8,911	2,257	11,168	\$100,580	\$225.5	7.9	\$ 193.1
Univ. of Maryland Baltimore Co.	10,573	2,626	13,199	\$75,571	\$199.9	11.0	\$ 49.0
Univ. of New Hampshire	12,602	2,526	15,128	\$107,860	\$220.1	9.2	\$ 206.4
Univ. of Rhode Island	13,219	3,098	16,317	\$83,375	\$142.5	12.6	\$ 84.9
Univ. of Wisconsin – Milwaukee	24,270	5,080	29,350	\$44,115	\$55.9	11.7	\$ 72.6
Virginia Commonwealth Univ.	23,498	8,129	31,627	\$150,989	\$228.4	14.2	\$ 280.7

Both UMass Lowell’s Executive Cabinet and the President of the UMass System approved this list. The executive cabinet will assess it periodically, based on the advancement by UMass Lowell relative to national research universities.

The University System also compares performance of institutions within the System in the [Annual Indicators Report](#) (See also [2009](#), [2010](#), [2011](#)). This report is prepared in the central Office of Institutional Research and Reporting under the leadership of the Senior Vice President for Academic, Student, and International Affairs.

Description: Evaluation

Teaching Evaluation: Teaching is evaluated in a number of ways. Since December 2012, all adjunct faculty have been evaluated by students using an approved [standard instrument](#) designed collaboratively by members of the adjunct faculty union and the University administration. Full-time tenure-track faculty members are evaluated once every semester through in-class assessments by chairs and through a student evaluation instrument developed by each college. (See, for example, [Student Evaluation of Teaching Form](#) for the College of Sciences.) Non-tenure-track and pre-tenured faculty are evaluated by students in each of their courses. All tenured faculty are required to administer student evaluations in at least one course. All colleges have developed or are developing student instruments to ensure consistency of evaluations within each college.

Program Review: Academic programs not accredited by an external accrediting body are evaluated on a five to seven year cycle in accordance with a UMass System-wide policy on [Academic Quality Assessment and Development](#) (AQAD review). The primary purpose of this policy is to assess and

Standard Two: Planning and Evaluation

improve the core academic functions of teaching and learning, research/professional/creative activity, and public service/academic outreach. This assessment is carried out at the level of program or department and includes a self-study, external review, program response, and an action plan based on the results. After the reports have been reviewed by the dean, Provost and Chancellor, the Provost forwards an annual executive summary to the President's Office. Core criteria include compliance with campus mission, rigor and coherence of curricula, faculty quality and productivity, measures of student success, and prudent use of resources. (For sample reports, see [Academic Quality Assessment and Development \(AQAD\)-Index](#).)

Periodic Multi-year Review (PMYR) of Tenured Faculty: The purpose of these seven-year reviews of tenured faculty is to create opportunities for timely consultation, intervention, and assistance designed to encourage professional development and/or changes in direction that could benefit both the faculty member and the department. The review begins with self-assessment, which is considered, together with a *curriculum vitae*, by the personnel committee and the departmental chair. The self-assessment can either be accepted by the personnel committee and the chair or sent back to the faculty member for revision. The final materials are then reviewed by the college dean, who adds her/his perspective before providing the Provost with an annual report.

Workload Determination: This new policy was developed in 2011 by the Provost and college deans in collaboration with the Executive Board of the faculty union. Its primary goal is to ensure that all tenured faculty have equitable total workload, which is defined as the sum of efforts in teaching, research, and service. A major premise of this policy is that tenured faculty can contribute differentially to the missions of the department, college, and University. A policy was developed in each college by a faculty committee that included all departmental chairs and one or more faculty union representatives and was chaired by the dean. The final policies were reviewed and approved by the Provost and the faculty union Executive Board before being put in place. Although the college policies vary in detail, all faculty are assessed relative to research: research-productive (highest research level), research-active, or focused on teaching and service (lowest research level). Appropriate definitions were developed for the three levels by each college committee, and in each college research productivity determines expectations in teaching and service. (For individual college workloads, see [Workload Index](#).)

Identification of Gateway Courses: The OIR works closely with the Vice Provost for Undergraduate Education to identify gateway courses, defined as those particularly challenging courses in which students are at high risk of failure (defined by grades of D, W, or F). Each semester the OIR produces a _that lists course sections with high failure rates. Departmental chairs work with the deans and Provost's Office to identify strategies to improve student performance through supplemental instruction or provision of graduate assistants and senior undergraduates as tutors. (See Standards 4 and 5; see also [DWF Rate summary of all Courses \(Crosstab\) - 2008 Spring to 2012 Fall](#).)

Student Success: The OIR generates annual reports or [Factbooks](#) on student retention and graduation rates by both college and major. Analysis of these reports is used to identify issues in student success.

Accreditation: In addition to University accreditation by NEASC, professional programs are also evaluated by their respective national accrediting agencies. With the exception of computer science, all programs that can benefit from professional accreditation are currently approved. A list of [accredited programs](#) can be found on the UMass Lowell website.

Our computer science program is not currently accredited by ABET. Although many national research universities do not choose to obtain ABET accreditation for computer science, we have benefitted from the advice of the chair of the NEASC team in this regard. Because a high proportion of programs ranked

Standard Two: Planning and Evaluation

between 50 and 127 nationally are, in fact, accredited, we plan to seek ABET accreditation for the computer science program at UMass Lowell.

Assessment of Student Engagement and Satisfaction: Since 2011, the Vice Provost for Undergraduate Education has administered the [National Survey of Student Engagement](#) (NSSE) annually to evaluate the effect of numerous student support initiatives (learning communities, first-year seminars, early warning systems, curricular changes) on student engagement and satisfaction. The [results](#) of this survey provide indirect measures of students' learning and indicate their satisfaction with various aspects of their experience at UMass Lowell. The results are shared with the Executive Cabinet, Deans' Council, [Faculty Senate](#), and [Student Government Association](#).

Assessment of Learning Outcomes: In 2009 the University joined the [Voluntary System of Accountability](#) (VSA), a consortium of public universities that presents standardized college profiles, including reports on learning outcomes in the areas of communication and critical thinking. The [ETS Proficiency Profile](#) has now been administered to two cohorts of students. Although comparisons between incoming and outgoing students offer the predictable [result](#) that students' skills are augmented over the course of their University education, the challenge of recruiting a sufficient number of student-participants has led us to consider an alternative methodology based on the application of the American Association of Colleges and Universities' [LEAP VALUE rubrics](#) to student work. (See Standard 4.)

Assessment of Support System for Tenure-track Faculty: In 2009 the University joined the [Collaborative on Academic Careers in Higher Education](#) (COACHE) and administered its survey to pre-tenure faculty in order to better understand how best to support them. The survey is administered electronically by COACHE and now includes annual administration to all full-time faculty. The results are gathered anonymously and are disaggregated by both gender and ethnicity. (See [2010 COACHE survey](#))

Appraisal: Planning

Academic Planning: A focus of the [2020 Strategic Plan](#) is to increase the number of graduate programs and the number of graduate students across the University. As a result, all disciplines in the Manning School of Business offer the PhD degree and the College of Fine Arts, Humanities, and Social Sciences (FAHSS) now offers doctoral degrees in both criminal justice and global studies. In addition the College of Health Sciences, collaborating with UMass Medical School, grants both master's and doctoral degrees in pharmaceutical sciences; these degree programs represent the first such public programs in Massachusetts.

Responding to needs for workforce development in the state and the nation, UMass Lowell led UMass System campuses in initiating and developing 19 [Professional Science Masters'](#) (PSM) degrees in accordance with the recommendation by the National Academy of Sciences. The development of these degrees was supported by funding from the [Alfred P. Sloan Foundation](#). In addition to courses in the discipline, these non-thesis options provide courses in fundamentals of business and finance, high-level communication, and project leadership, with an internship experience. Enrollment in these programs has steadily increased.

At the undergraduate level, we are developing programs in areas that we consider to be of significant interest and need. FAHSS has developed a minor and is developing a major in the areas of journalism and media studies. The Faculty Senate has recently approved interdisciplinary baccalaureate and master's programs in public health developed by the College of Health Sciences. A six-year interdisciplinary clinical doctorate in pharmacy is being developed in collaboration with the UMass Medical School, which will be responsible for clinical training in an interdisciplinary and integrated health setting. This program

Standard Two: Planning and Evaluation

will be the first in the state at a public university and will be further distinguished by having clinical training designed by medical faculty.

The University has strengthened experiential learning by investing in professional staff who, in coordination with faculty, identify co-op and service-learning opportunities in industry, business, and the community that are appropriate to each major. Similarly, the University has funded research scholarships for top entering freshmen to encourage undergraduates to explore learning through discovery at an early stage in their education.

The University received [NEASC authorization](#) to develop an instructional site in Kuwait in partnership with the Gulf University for Science and Technology and the Raytheon Company effective March 8, 2013. The NEASC Commission found that, “The initiative, which involves a unique partnership among the two educational institutions, industry (Raytheon Company), and government (Kuwait National Offset Company), is consistent with the University’s mission and is expected not only to advance and elevate higher education in Kuwait but also to have a positive impact on inter-cultural understanding between Kuwait and the United States.” Considerable planning for this endeavor is now in progress and we hope to begin offering classes in Kuwait in fall 2014. UMass Lowell tenured faculty and academic leaders will provide oversight of all academic programs. Tenured faculty will also participate in teaching, which will be supplemented by new faculty who will be hired incrementally over seven years.

The University has submitted a second substantive change proposal for an additional instructional location in the nearby city of Haverhill and hopes to admit its first class of students to this satellite campus in spring 2014, pending NEASC approval. Programs to be offered in Haverhill will be chosen based on assessments of need in this region of Massachusetts.

UMass Lowell’s essential requirement for considering new instructional sites is the ready availability of initial funding from external sources until the new site and developed programs are sufficiently mature to bring new positive revenues to the University. The Kuwait project is funded by industry and the Haverhill project has specific funding from the state.

Enrollment and Selectivity: Confronted with constrained resources at the state level and the resulting fluctuations in the level of state support, in 2008 the University decided to enhance revenue generation by increasing both efficiency and enrollments. Our strategy has been to increase enrollments in undergraduate majors and in non-thesis master’s programs where teaching capacity is not fully deployed or where faculty ranks are being strengthened to increase research and development capacities. We also increased enrollments in continuing education courses by developing new online programs. These efforts were highly successful, resulting in 8-10% increases annually and an overall increase of 38% in the operational budget over four fiscal years.

The University has made considerable effort to recruit applicants and to attract admitted students to enroll; we have simultaneously tried to maintain or increase selectivity despite larger enrollments. These efforts were successful: the average SAT score (verbal plus math) and GPA for the freshman cohort increased from 1083 and 3.18 in 2007 to 1127 and 3.29 in 2012. Freshman enrollments are up more than 17% from 1243 in 2007 to 1500 in 2012. Transfer enrollment is up 36% from 716 in 2007 to 1123 in 2012, due in part to a streamlined transfer process between the University and local community colleges (See Standard 6.).

Although we are confident about our ability to continue to increase enrollment, accurate projections remain a challenge because the University is not in a steady state with regard to the determinants of enrollments and selectivity. Our efforts to attract applicants have been rewarding, yet the increases create challenges in estimating the number of course sections to offer and in projecting both classroom and

Standard Two: Planning and Evaluation

residential needs. So far, the University has been able to respond effectively to the increased needs of this larger student body.

Global Engagement and Inclusive Community: In keeping with the UMass Lowell commitment to foster a global and inclusive community, the University is attracting more students representing more diverse locations and backgrounds than ever before. The campus realized an overall increase of 86% in minority student enrollment between fall 2007 and fall 2012, with freshman numbers having increased by 52%, transfer students by 108%, and graduate students by 190%. At this point, a total of 24.5% of UMass Lowell's student population comes from minority backgrounds. While in-state students are still the majority on campus, out-of-state enrollments are increasing as a result of both national and international initiatives. Recognizing that the initial base was relatively low, the non-resident enrollments have doubled between 2007 and 2012. The University has also increased its international reach, with more than 100 new international students, hailing from 53 countries, attending this year. (See [examples of Memoranda of Understanding](#).)

One challenge of the growth in the number of international students is the need to enhance resources to support students' needs. The Provost's Office has increased the professional staff in the [Office of International Students and Scholars](#) for processing visas and welcoming students to campus and in the [Office of Study Abroad and International Experiences](#) to coordinate exchange of students with international partners and support the development of courses taught by UMass Lowell faculty in collaboration with faculty from partner institutions. We recognize the need to further strengthen academic support for international students and in particular to encourage a higher level of language proficiency in both new and graduating students. To that end, the Department of English is strengthening services to English language learners through the development of a fully supported, comprehensive writing center and by expanding supervision of peer tutors in the Centers for Learning to include English language support. The Graduate School of Education offers courses in Academic Writing for international graduate students that are designed to assist them with not only grammatical nuances, but also with the expectations for thesis writing.

While the University has been successful in attracting and retaining students from under-represented populations and international students (See Standard 6.), the challenge of attracting diverse faculty and staff continues. The office of [Human Resources and Equal Opportunity and Outreach](#) (EOO) includes diversity training, and administrative leadership is intent on creating a faculty profile that better reflects the student population. The new Director of EOO will play an essential role in helping to achieve this goal.

Evidence of Success of Graduates: A reasonable measure of the success of UMass Lowell's graduates can be found at [PayScale.com](#), which charts return on investment of academic institutions across the country. The data reported on this website shows that UMass Lowell graduates earn the highest mid-career salary of all public colleges and universities in New England. UMass Lowell was ranked 10th in 2012 in return on investment among public institutions in the nation. The data for 2013 (below) indicates that the 30-year net return on investment (ROI) for UMass Lowell graduates is \$1.1M, compared with an average of \$0.6M for the formal peer institutions referenced earlier in this chapter. In fact, in a recent analysis of the national rankings by [US News and World Report](#) against PayScale.com's mid-career salary rank, [Business Insider](#) concluded that the University of Massachusetts Lowell, together with other schools that emphasize experiential learning, emerged as best value school.

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Table 3.1: Return on Investment for 2013

	30-Year Net Return on Investment (ROI) (2013 dollars)	Annualized Net Return-on- Investment (ROI)
University of Massachusetts Lowell	\$1,094,000	8.8%
Peers Average	\$616,100	6.8%

Source: Payscale.com, downloaded 5/30/13.

National concern with the increasing cost of education and the return on investment makes us especially proud of our accomplishments in this area. The strong standing by UMass Lowell graduates may reflect the history of our institution as one that has always had close connections with industry. The current emphasis by UMass Lowell on strengthening experiential learning will likely contribute to the continuation of our success in this area. The University's OIR is providing a clearer view of the accomplishments of UMass Lowell graduates through [National Student Clearinghouse](#) data. The University Alumni Office has developed a new online community to help sustain lifelong relationships between the University and alumni. The online community allows alumni to update personal and professional contact information, post jobs, photos, and class notes, and search for other alumni.

Community Engagement: The University's commitment to being a collaborative community partner has been recognized by the City and public schools of Lowell, by the National Park Service headquartered in the City of Lowell and also by outside agencies. The Carnegie Foundation for the Advancement of Teaching has classified UMass Lowell as a [Community-Engaged University](#), a prestigious national honor that signifies a high level of commitment to partnering with organizations in the public and private sectors and to contributing to the public good. Furthermore, for the past three years UMass Lowell has been named to President Obama's [Higher Education Community Service Honor Roll](#), the highest federal recognition a university can receive for its commitment to volunteerism, service learning, and civic engagement, with the added recognition of "with distinction" for the last two years.

Budget: Enrollment growth and increases to student tuition and fees have resulted in significant new revenues that can be invested in implementing the 2020 strategic goals. These new revenues offset state budget cuts and allow for investments in additional faculty, new technology, new facilities, and extensive renovations. While increased enrollments have brought a number of existing undergraduate programs to near capacity, some social science departments such as political science and sociology remain significantly below capacity and newly developed and planned programs such as journalism and media studies, public health, pharmaceutical science, and master's programs in all areas are yet to be fully populated.

Although the current number of non-resident students remains relatively low, we expect that number to increase, based on new efforts to attract students from the west coast and through international partnerships, and we expect those increased enrollments to generate additional revenue. We continue to develop new collaborations with international partners for two-plus-two programs for bachelor's degrees and three-plus-two programs for master's degrees. In addition, the [Division of Online and Continuing Education](#) (OCE) will continue to expand its enrollment and thereby increase its contribution to revenue growth.

The uncertainty regarding support of higher education at both state and national levels requires, however, vigilance and responsive management. The Executive Cabinet updates a [five-year budget projection](#) annually based on financial performance in the preceding year, and current enrollment projections for

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resident, non-resident, international, continuing education, and online students. Renovation and debt cost estimates and estimates for indirect costs and fund-raising are also included in these projections. Each year performance in the preceding year is measured against projections in the [Report Card](#).

One area that has demonstrated steady growth but is difficult to project is the endowment. Consequently, funding from the endowment is most often used to support one-time investments. The [Boston Business Journal](#) this year reported that UMass Lowell has the fastest-growing endowment among public universities in Massachusetts. Our annual fundraising has more than doubled in the past five years, from \$8.2 to \$17.6 million, and alumni participation has increased from 7.4% to 11%, a number the University hopes to improve with the start of a new capital campaign.

Appraisal: Evaluation

In 2008 the University devised a five-year plan that projected increases in enrollment, research funding, fund-raising, and retention and we have exceeded what seemed at the time to be ambitious projections in each of the last four fiscal years. The University successfully increased its operational budget by 38% between 2008 and 2012. Increased selectivity of the freshman cohort along with simultaneous increases in enrollment, retention, and graduation rates is the result of a University community working in concert.

For the first time in its history, UMass Lowell was ranked by [U.S. News and World Report](#) among Tier I national research universities: in the top 260 among private and public institutions and in the top 100 among public. The University has elevated its ranking in each of the past three years, and now is ranked at number 170 among all public and private schools.

Additional national and international rankings support a general assessment of a national research university that is advancing steadily. The [Carnegie Foundation for the Advancement of Teaching](#) ranks UMass Lowell as a Doctoral Research University, High, reflecting the quality of graduate programs and research. At a time of economic instability and increased state and national attention to accountability measures, ranking of the University as 10th in the nation in the 30-year return on investment scale by PayScale.com is rewarding.

The Division of Online and Continuing Education is nationally recognized as evidenced by receipt of numerous awards for its quality, including [6 Sloan-C awards](#) for excellence in online education from the [Sloan Consortium](#). All of the programs in the Division are offered in conjunction with their home colleges and departments and therefore undergo the same governance and quality review as the rest of the University. The Division has established an Assessment for Excellence program (Recipient of 2011 [Sloan-C Gomery Award](#)) that further enhances its ongoing improvement efforts. The University now offers 40 fully online degrees and certificates. Online courses are instructor-led, highly interactive, and boast high student and faculty satisfaction rates. Registrations of over 20,000 in 2012 gives UMass Lowell the distinction of having one of the largest online programs in New England.

The three inter-related policies described above regarding program review – [Academic Quality Assessment and Development](#) (AQAD), [Periodic Multi Year Review](#) of tenured faculty (PMYR), and policies governing equity in [faculty workload](#) - are clearly important in assessing faculty productivity. The development of college-specific workload policies that aim at equitable deployment of faculty is a significant achievement that reflects the benefit of effective collaboration between the University administration and the faculty union. If these policies are applied in a careful and integrated manner, the University can achieve high degrees of productivity and effectiveness in faculty deployment.

Institution of standard teaching evaluations across the University will bring consistency across colleges, and the creation of a committee of tenured faculty elected to craft the evaluation instrument will ensure

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transparency in the process. The campus community realizes that student evaluations are only one measure of teaching success, and we will continue to use classroom observations and student success rates to assess excellence in teaching.

The creation of the [Report Card](#), updated annually and published on the University website, represents a significant advance in the coherence and transparency of the University's ongoing evaluation of its progress. The publication of critical benchmarks and goals not only permits an accurate appraisal of progress toward achievement of University objectives but it also identifies areas that require attention. For example, while student diversity has grown significantly, it was clear that diversity of faculty required special attention. This realization led Human Resources to develop a plan for further diversifying the faculty in collaboration with the college deans and the Provost. In addition, a [Strategic Planning Committee](#) was developed to foster inclusion among all groups at the University.

This year's [NSSE survey](#) revealed a slightly lower satisfaction rate for UMass Lowell freshman than that recorded for peer universities, while the level of satisfaction for our graduating seniors was higher than that of our peers. Based on these results, we understand the need to work harder to enhance our students' first-year experience. To that end, we have hired additional freshman advisors, developed new support programs, and scheduled more welcome events. We have also actively encouraged faculty and administrators to attend conferences and workshops focused on increasing student success.

While the tradition of accreditation in the Colleges of Engineering, Health Sciences, and Business has long existed, assessment of student learning outcomes, as distinct from student success, remains a challenge for the non-professional colleges. Although, outstanding work is occurring in individual programs, and some efforts have been made to systematize these efforts, (e.g., [Learning Outcomes](#) on the UMass Lowell website), a need still remains for a more extensive University-wide systematic approach. The information obtained through the administration of the ETS Proficiency Profile has not been useful in guiding program and policy development. To address the need for assessment of the University's core learning outcomes, a subcommittee of the Standing Committee on Teaching and Learning is developing a revision of our general education program. An essential part of this revision is focused on using the LEAP VALUE rubrics (See [Association of American Colleges and Universities](#).) with the goal of having all general education courses include a clear statement of learning outcomes, methods of assessing outcomes, and a plan for ongoing tracking of student work to assess achievement.

Interdisciplinary collaboration across departmental and college boundaries through the establishment of graduate groups has been successfully applied in the development of new graduate programs. In this model, members of an interdisciplinary graduate group that crosses both departmental and college boundaries collaborate in teaching and in supervision of dissertations. This model was used in the development of new PhD programs in criminal justice, pharmaceutical sciences, and global studies. UMass Lowell has provided leadership within the system to extend this model to other universities. An example is the establishment of the newly authorized PhD in pharmaceutical sciences, for which the graduate group consists of 30 faculty members at UMass Lowell and 25 faculty members from the UMass Medical School. The strength of the faculty group model was noted by the external reviewers of the program. Another example is the participation by the UMass Medical School and UMass Lowell in establishing, developing, and directing a Center for Medical Devices that serves as an incubator at UMass Lowell.

Projections: Planning and Evaluation

Institutional Research: While analytical professional staff have been added to the OIR, given the demands on this office resulting from increased emphases on accountability measures, as well as the need to continue to base decision-making and planning on complete data and analysis, we plan to invest more

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resources in this area in the future. Two high-level positions in research and reporting as well as an additional position in assessment of student learning outcomes will be filled in AY2014.

Expansion of Capacity and Classrooms: Representatives from Academic Affairs, Facilities, the Budget Office, and Student Affairs form a group called the Space Committee that meets weekly to ensure the availability of adequate classroom, research, and faculty office space. Last fall, the Space Committee initiated an Annual Call for new and renovated space requests. Based on this experience, minor modifications to the Annual-Call process and timeline were made – e.g., review of outcomes, addition of a second deadline in the spring for new faculty office requests. By December 2015, the Space Committee will review the first two years of the Annual Call process and incorporate new data on classroom usage, enrollments, faculty hires, and research expenditures to development an assessment of classroom, research, and office space needs (and underutilized spaces) for the next five years.

New Instructional Sites: The addition of a major instructional site in Kuwait, supported by the Raytheon Company, is an exciting enhancement of UMass Lowell and its global presence. Having received NEASC approval of the site, implementation of this major project will require significant planning and on-going assessment efforts. Similarly, the planned addition of a site in Haverhill, MA, will require significant efforts in marketing, planning, management, and close coordination between the colleges and OCE. By fall 2014, a team led by the VP for Enrollment and including the deans and OCE will develop a plan for course offerings and classroom utilization for the full expansion into the space to be available in January 2015.

Institutional Effectiveness

As UMass Lowell enjoys ongoing growth, coordination of planning among divisions across the institution will be crucial. The University's thoughtful management will balance the planning needs of the campus in the areas of academics, finances, facilities, and resources. The Report Card, a benchmarked measure of progress towards strategic goals, will continue to guide policy and allocation of resources and maintain transparency to the University community.

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

Standard 3: Organization and Governance

Please attach to this form:

- 1) A copy of the institution's organization chart(s).

[See Institutional Characteristics: Organization Charts;](#)

See also: [Index of Organizational Charts](#)

- 2) A copy of the by-laws, enabling legislation, and/or other appropriate documentation to establish the

legal authority of the institution to award degrees in accordance with applicable requirements.

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

UMass President's Office

URL of documentation of relationship

<http://www.massachusetts.edu/po/>

<http://www.massachusetts.edu/adminfin/index.html>

<http://www.massachusetts.edu/aasair/index.html>

Governing Board

URL

By-laws

UMass Board of Trustees

<http://media.umassp.edu/massedu/policy/Revised%20By-Laws%202013.pdf>

<http://www.massachusetts.edu/bot/> <http://www.massachusetts.edu/policy/index.html>

Board members' names and affiliations

<http://www.massachusetts.edu/bot/members.html>

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Board committees

?	a. Board of Trustees
	b. Committee on Science Technology and Research
	c. Advancement Committee
	d. Committee on Academic and Student Affairs
	e. Committee on Administration and Finance
	f. Audit Committee

(Insert additional rows as appropriate.)

URL or document name for meeting minutes

http://www.massachusetts.edu/bot/minutesshort.html
http://www.massachusetts.edu/bot/minutesshort.html
http://www.massachusetts.edu/bot/minutesshort.html
http://www.massachusetts.edu/bot/minutesshort.html
http://www.massachusetts.edu/bot/minutesshort.html
http://www.massachusetts.edu/bot/minutesshort.html

Major institutional committees or governance groups*

a. Faculty Senate
b. Graduate Student Association
c. Student Government Association
d. Dean's Council
e. Executive Cabinet
f. Senior Cabinet
g. Executive Committee of Faculty Senate
h. Graduate Policy and Academic Affairs Committee

URL or document name for meeting minutes

http://www.uml.edu/Faculty-Senate/Minutes/default.aspx
DFF%203%20University%20of%20Massachusetts%20Lowell%20SGA%202012-2013%20Senate.docx
Deans%20Council%207-10-13%20(3).pdf
GPAC%20Minutes%20Sept%202012%20for%20Standard%203%20DFF.pdf

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i. Undergraduate Policy Committee
j. Space Committee
k. Athletic Visioning
l. Budget Planning
m. Climate Action Steering Committee
n. Economic Development, Entrepreneurship and Corporate Relations
o. Global Engagement and Inclusive Culture
p. Innovative Research
q. Facilities Renewal and Campus Master Planning Committee
r. NEASC Steering Committee
s. Transformational Education Committee -Advising Subcommittee

UPC%20Minutes%20Oct%202012%20for%20Standard%203%20DFF.pdf
http://www.uml.edu/2020/2020-Commission/Athletic-Visioning.aspx
http://www.uml.edu/docs/Vision%202020%20-%20Strategic%20Plan%20for%20Division%20I%20Athletics_tcm18-108237.pdf
http://www.uml.edu/2020/2020-Commission/
http://www.uml.edu/2020/2020-Commission/Budget-Planning.aspx
http://www.uml.edu/2020/2020-Commission/
http://www.uml.edu/2020/2020-Commission/Climate-Action.aspx
http://www.uml.edu/docs/2012.01.09%20222915.00%20UMass%20CAP%20FINAL_tcm18-108135.pdf
http://www.uml.edu/2020/2020-Commission/Economic-Development.aspx
http://www.uml.edu/2020/2020-Commission/Global-Engagement.aspx
http://www.uml.edu/2020/2020-Commission/Innovative-Research.aspx
http://www.uml.edu/2020/2020-Commission/Master-Planning.aspx
http://www.uml.edu/Academics/Provost-Office/NEASC/steering-committee.aspx
http://www.uml.edu/2020/2020-Commission/Transformational-Education.aspx

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-Fellows Sub-Committee
-General Education Sub-Committee
t. Web Advisory Committee

(Insert additional rows as appropriate.)

http://www.uml.edu/2020/2020-Commission/Web-Advisory.aspx

*Include faculty, staff, and student groups.

Standard Three: Organization and Governance

Description

UMass Lowell is a public institution of higher education, part of a five campus UMass public university system, and subject to the authority of a system President's Office, a Board of Trustees, (BOT), and in limited cases, a State Board of higher Education (BHE).

The University of Massachusetts System, The Board of Trustees and the President's Office

The University of Massachusetts is governed by a BOT that functions as a legislative body dealing mainly with questions of policy, budget, and curriculum. The Board is not an administrative or management body. In certain rare instances, when required by the Massachusetts General Laws, it may function as an appeal body.

The BOT establishes the general policies governing the University, but has delegated many powers to the President and, through the President, to campus chancellors. Currently the Board has seventeen members appointed by the Governor. The Massachusetts Secretary of Education is a voting member; at least five members must be alumni and one is a labor representative. In addition, each campus has one elected student on the board, but only two of the five students are voting members in any given year. Each campus has an elected faculty representative to the Board who functions as an observer and reports to his or her respective faculty senate.

The BOT has a wide variety of fiduciary and academic policy responsibilities. The Trustees approve the University's annual operating and capital budgets. These budgets reflect the plans of the University to utilize state-appropriated funds, revenues from student charges and other enterprise charges, grants and contracts. The University System Vice President and Treasurer, with the assistance of the Comptroller, Auditor, and outside consultants regularly report on the financial condition of the University. A set of six [performance targets/indicators](#) is the basis of University and campus fiscal reporting: operating margin, financial cushion, debt service to operations, endowment per student, and current ratio and net return on assets. Additionally, investment performance and other reports are provided to the Trustees. The Trustees annually set mandatory student charges for the University. The Trustees also approve campus requests for endowment gifts of \$500,000 or greater for inclusion in the endowment funds of the campuses to which the gifts are made, approve land acquisition and disposal and major building construction projects, the establishment of new revenue operations, and other significant financial transactions.

The BOT provides broad oversight on academic policy and student affairs. Its members vote on tenure and personnel matters for faculty, create and revise academic and student policies (such as criteria for approval of new degree programs or student government constitutions), make recommendations on new academic degree programs, and review financial aid policies, public service activities, technology transfer issues, and admissions requirements. The Board receives periodic updates on academic restructuring and reallocation efforts, enrollment and admissions data, and cross-campus collaborations. The group approves new academic degrees and substantive changes to existing ones. Campuses, working with the President's Office, provide the BOT information about need, demand, mission, resources, curriculum, and faculty.

The Board enacts strategic priorities for the University in the areas of teaching, research, and services, and determines, along with the President, the mission statement for the UMass system. (See Standard 1

for discussion of mission statements.) The Board may enact policies related to academic matters in order to establish procedural standards that should be followed by all campuses. Examples include the Policy on Centers and Institutes, the Undergraduate Admissions Policy, and the Policy on the Awarding of Honorary Degrees. The Board monitors the academic performance of the University through a number of routine reports, including the annual indicators of the [University Performance Measurement System](#), the fall report on enrollment and admissions, and annual reports on [Academic Quality Assessment and Development](#) (AQAD), a cyclical review conducted every seven years of every academic department that does not undergo professional accreditation. The Board takes action on named professorships and votes on individual campus [Student Codes of Conduct](#) (See Standards 6 and 11). Similarly, the Board approves student government constitutions and faculty governance policies.

Finally, the Board conducts a major review of the UMass System President three years into his or her first appointment and every five years thereafter, appoints a new president when a vacancy occurs and assists the President's Office in an initial three-year review of the performance of the campus chancellors and subsequent chancellor reviews at five-year intervals. These performance reviews are rigorous and include input from relevant stakeholders, such as campus administrators, faculty, staff, students, alumni, and community leaders.

The UMass President's Office provides leadership and facilitates campus work with the BOT, the BHE and the state government. The UMass President represents the University to the public and the legislature while facilitating campus efforts to increase non-state revenues, achieve cost efficiencies and increase corporate and alumni giving. The President's Office oversees operation of a variety of central administrative services with the goal of facilitating scale economies, common solutions to problems, and improved coordination through effective communication networks. Some examples include IT services, delivery of online programs, purchasing, internal audit and General Counsel, and investment management of campus funds.

The University of Massachusetts Lowell

On each UMass campus the [Chancellor](#) provides leadership for carrying out the campus educational mission. Martin Meehan has served as Chancellor of UMass Lowell since 2007. The UMass Lowell campus advancement in an era of decreased state funding has been due not only to the charismatic leadership and vision of the Chancellor, but also to the inclusive, transparent internal governance structure that has evolved over the last five years and to the energy, dedication and integrity of those in leadership positions at every layer of that structure. Chancellor Meehan won the [Chief Executive Leadership Award](#) from the Council for Advancement in Support of Education (CASE) at its annual meeting in New York in January 2012.

The Chancellor is advised by an [Executive Cabinet](#), consisting of the Executive Vice Chancellor, Provost (chief academic officer), and Vice Chancellors of Finance and Operations, University Relations, and Advancement. This Cabinet meets weekly to review strategic planning, budgeting, enrollment, facilities, advancement and communications. The Executive Cabinet also meets with the executive boards of the faculty union and Faculty Senate at the start of each academic year and at the outset of major strategic initiatives. A larger cabinet, the Senior Cabinet, includes the Executive Cabinet members plus deans, associate deans, Registrar, high-level directors and executive directors of areas such as Athletics, Information Technology, Libraries, Equal Opportunity and Outreach, and the Police Chief. This Senior Cabinet meets once every semester and reviews progress made towards strategic goals.

Emphasis on areas such as research, enrollment management, and graduate education in the [2020 Strategic Plan](#) led to the establishment of new vice provosts: Vice Provost for Research who provides oversight for sponsored programs, research centers, compliance, and ventures and intellectual property; Vice Provost for Enrollment Management who focuses on student recruitment, admission, and financial

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aid; Vice Provost for Graduate Education, who provides oversight for graduate programs and guides the development of new programs; Vice Provost for Undergraduate Education, who focuses on assessment of student learning and enhancing success of undergraduates.

The Provost is advised by a Deans' Council that meets weekly to review and develop policies and monitor progress related to student retention, student success, and the development of new academic initiatives. In addition to the Provost and the four vice provosts, the Dean's Council includes deans and associate deans from each of the colleges plus the Dean of Enrollment Management and Student Success, the Registrar and the Director of Libraries. Typically the academic deans communicate cabinet level discussions and policy decisions to departmental chairs in their respective colleges. Members of the Deans' Council attend meetings of the monthly [Faculty Senate](#) thus providing an additional forum for communication.

The University has six colleges/schools, each with its own dean and associate and/or assistant dean: College of Fine Arts, Humanities and Social Sciences; Graduate School of Education; Francis College of Engineering; Manning School of Business; College of Health Sciences; College of Sciences. The academic deans report directly to the Provost. The [academic departments](#) included in each college are listed on the UMass Lowell website. The [Division of Online and Continuing Education](#) (OCE) has an Executive Director for Academic Services and Enrollment and an Executive Director for Distance Market Development & Corporate Outreach. The OCE executive directors report to the Executive Vice Chancellor and the Provost. Program development, curriculum offerings, and staffing of courses within OCE are closely coordinated with chairs of the departments that offer the corresponding programs in the day school.

Academic deans are expected to monitor quality and drive strategic growth in existing degree programs and spearhead new academic initiatives. The budget for each college is determined collaboratively by the dean and the Provost and is then allocated to individual departments. Academic deans also allocate faculty positions to departments, apportion merit pay increases in accordance with provisions in the faculty union, Massachusetts Society of Professors ([MSP, contract](#)), and develop and implement workload policies for their colleges, which are also subject to provisions of the faculty contract. Deans review and make recommendations to the Provost on all faculty appointments, reappointments, promotions and tenure decisions within their colleges or schools.

Departmental chairs oversee departmental budgets, schedule classes, review the performance of full-time faculty for merit increases, write annual performance reviews including classroom evaluations of full-time non-visiting lecturers and untenured tenure-track faculty, organize and supervise searches for full-time faculty, hire and monitor student evaluations of the performance of adjunct faculty, and oversee curriculum revision and faculty participation in interdisciplinary programs. Chairs work closely with the OCE in developing degree and certificate programs and overseeing faculty staffing of those programs. Chairs are members of the faculty union who are elected for three-year terms by the full-time non-visiting faculty in their departments, although the Chancellor, in consultation with the Provost, may veto an election result or recall a chair for non-performance of contractual duties. (See the MSP contract, [Article XVII](#).)

Faculty members influence governance on campus through the faculty union, the [Faculty Senate](#) and participation on the UMass Lowell 2020 [strategic planning committees](#), while students influence governance through the [Student Government Association](#) (SGA) for undergraduate students, [the Graduate Student Association](#) (GSA) and the [Graduate Employee Organization](#) (GEO). Students also serve as members on a number of University committees.

The faculty union for full-time benefitted faculty negotiates wages, benefits, working conditions and grievance procedures with the administration. The full-time faculty includes tenure track faculty, non-

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tenure track lecturers, and clinical and research faculty. The results of union negotiations over establishment of non-tenure track full-time faculty positions, wages, and working conditions are codified in the current contract. Although details of the contract, especially with respect to working conditions, are specific to the Lowell campus, there is a high degree of pattern bargaining on wages and benefits across the four unionized UMass campuses (UMass Amherst, UMass Boston, UMass Dartmouth, UMass Lowell). Union contracts must be approved by both the Governor and the Massachusetts House and Senate. The Executive Board of the union is comprised of full-time bargaining unit members elected by secret ballot. In addition to the major officers and at-large representatives elected by all full-time faculty members, each college division elects its own representative to the Executive Board.

Recently, adjunct faculty members have been organized by the UAW. In April 2010, the [United Automobile and Aeronautics Workers \(UAW\)](#) submitted a petition to the Massachusetts Labor Relations Board seeking to represent all part-time/adjunct faculty at the University of Massachusetts Lowell. The Board, after a six-month process, recognized the UAW as the exclusive bargaining agent for all UMass Lowell part-time faculty, excluding those individuals who are otherwise employed by the University of Massachusetts Lowell in a benefited position (e.g., generally, other full-time employees of the University who also teach on a part-time or overload basis).

In the spring of 2011, members of the University administration and elected members of this new bargaining unit initiated negotiations to establish the unit's inaugural contract on behalf of the University's adjunct faculty. The first [contract for adjunct faculty](#) was approved in the summer of 2012. The contract secures wage and benefit increases for all adjunct faculty together with seniority and terminal degree step pay differentials, as well as criteria and procedures for renewal and non-renewal of contract.

The University maintains effective working relationships with all of the [unions](#) that represent various groups of staff working at the University, including the MTA Maintenance and Trades unit, MTA Clerical/Technical unit, MTA Grants & Contracts Employee unit, SEIU Mid-Management Professional unit, and the Teamsters University Police unit. Each of these agreements includes language that establishes a labor/management structure involving regular meetings between labor and management throughout the year. Collective bargaining agreements for these, and other units, generally follow a three-year term. Current agreements are in force through June 30, 2014.

During the summer of 2012, the University and the UAW unit that represents graduate student employees, began negotiations for a successor contract to the 2009-2012 collective bargaining agreement that stipulates the wages, hours, and working conditions of UMass Lowell research assistants, graduate assistants, and teaching assistants. The parties have met several times since July and continue to meet to discuss the respective parties' proposals. In the meantime, the University continues to enforce the provisions of the existing contract.

The [Faculty Senate](#) has primary responsibility for assuring the integrity and quality of the academic enterprise. Three years ago the Faculty Senate hired a full-time administrative assistant who has greatly improved access to minutes, by-laws, members, and Senate policies. Every academic department is entitled to elect one senator for every five full-time faculty members. The Senators elect a President, Vice President and a representative to the [Board of Trustees](#) plus an alternate BOT representative each year. The Executive Committee of the Senate consists of these elected officers plus the chairs of the standing committees of the Senate and the faculty Coordinator of General Education at UMass Lowell. Currently, the major standing committees of the Senate are the [Graduate Policy and Affairs Committee](#), the [Undergraduate Policy Committee](#), the [Research and Development Committee](#), the [Academic Governance Committee](#) and the newly formed Library Committee. Much of the Senate's work has involved review of new program initiatives at both graduate and undergraduate levels. In addition the Faculty Senate provides a forum for communication with the administration.

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An additional opportunity for faculty input into governance and strategic planning is involvement in one of the standing committees of the UMass Lowell [2020 Strategic Plan](#). Over 200 faculty, administrators, and professional staff have participated in these committees since their inception. In 2012-2013 the committees, which in the aggregate include over 125 faculty members, are structured around five [Pillars of Excellence](#) (See Standard 1.) In general, the committees of the Planning Commission are charged with developing strategies to promote growth and improve effectiveness in their respective focus areas and to assure that the ambitious benchmarks in the UMass Lowell Report Card are attained.

The [Student Government Association](#) (SGA) elects officers including President, Vice President, representative to the [Board of Trustees](#), senior class officers and senators from each college or school on campus. The group is concerned with policies that impact the quality of the student experience on campus. It plans entertainment, sponsors speaker events, and funds a variety of student clubs, currently 149, to engage students in campus intellectual and social life. It organizes lobbying efforts on Massachusetts legislation that affects students and holds a contest for an outstanding teacher award each year. Student government leadership reports that they have access to high-level administration and that their concerns receive a timely and professional hearing. SGA's Executive Cabinet meets with the Chancellor, several vice-chancellors, the Vice-Provost for Undergraduate Education, and several members from the Dean of Student Life's office once a month. The SGA representative on our Self-Study task force, Corey Lanier, reports:

These meetings have proven to be very effective. To give an example, we mentioned the idea of getting hydration stations put on campus at one of our lunch meetings. The entire room discussed it, and within a few months one was put in on campus and has been a huge success... Whenever any member of the SGA e-mails an administrator or faculty member, a response is usually received in the next 24 hours, often time within the same hour. Also when a request for a meeting is made by a student, a meeting usually takes place within a week.

The [Graduate Student Association](#) (GSA) similarly elects its officers and focuses its efforts on enhancing students' personal and academic experiences, as well as on strategies to support their success upon graduation. They provide three awards annually for outstanding graduate club, outstanding graduate student, and outstanding faculty member. In addition, they provide up to \$500 per graduate student each semester to help support student expenses when presenting papers at conferences. There are 33 GSA clubs and organizations (GSOs) registered for the 2012-2013 academic year.

In addition to the day school undergraduate and graduate programs, UMass Lowell has a highly acclaimed [Division of Online and Continuing Education](#) (OCE), one of the oldest and largest continuing education units in the state, with close to 30,000 registrations annually, roughly 20,000 of which are for online courses. All of the academic programs, degrees, and certificates offered through OCE are under the jurisdiction of the Provost and the colleges and departments that are responsible for the academic integrity of the programs. The curricula for the programs are developed collaboratively by departmental faculty, OCE faculty coordinators who serve as liaisons to the colleges, and OCE professionals. Faculty coordinators and/or departmental chairs provide academic oversight of the curriculum, supervise the faculty, and advise students. Proposals for new programs undergo market and student demand analysis and follow the guidelines established by the [Faculty Senate](#). OCE offers courses in multiple formats including face-to-face on-campus, online, and blended (a combination of face-to-face and online).

The online programs are part of [UMass Online](#) created by the University of Massachusetts [President](#) and the [Board of Trustees](#) in 2001 to meet the educational needs of students locally, nationally and internationally. With the inception of UMass Online, the University is able to share its tradition of excellence beyond the geographical constraints of its five campuses. The Executive Director for Distance Market Development and Corporate Outreach at UMass Lowell is a member of the Continuing Education Council, an advisory group to UMass Online.

Appraisal

Since 2007 the UMass Lowell campus has experienced growth in campus enrollments, diversity of the student body, endowments, physical facilities, funded research, SAT scores, graduate programs, and community service--all in a challenging financial environment of sharply diminished state support. This suggests that campus governance structures and leadership are performing effectively. For example, since 2007 overall enrollment is up 37%, annual fundraising is up 84%, research funding is up 66%, online and continuing education enrollments are up by 45%, UMass Lowell has been reclassified by the [Carnegie Foundation](#) as a “Doctoral Research /High” institution, and UMass Lowell is now on the [US News and World Report list](#) of the top tier 200 universities in the U. S. These results could not have been achieved without a high level of cooperation among senior management and a high level of support on the part of lower management, departmental chairs, faculty, staff, students, and alumni.

The relationships among the UMass Lowell administration, the current [Board of Trustees](#) and the new University [President](#) are characterized by a high degree of mutual respect. In academic year 2010-2011 the Board of Trustees voted unanimously to favorably rate the Chancellor’s three-year performance, after meeting with constituent groups on campus, alumni representatives, and Lowell area politicians and community leaders. The Provost has been successful in obtaining approval from the Board for all candidates for whom he has recommended tenure, and for all of UMass Lowell’s proposed new program initiatives from both the BOT and the BHE. The high approval rates of UMass Lowell’s Chancellor and Provost by the President’s Office and among Board of Trustee members are based on UMass Lowell’s consistent ability in recent years to attain or surpass assessment benchmarks for financial soundness, enrollment growth, academic quality improvement, and endowment fundraising.

Traditionally, the BHE and its Commissioner have exercised primary governance responsibility over the state and community colleges and have not questioned policy decisions of the UMass [Board of Trustees](#). A new level of activism, however, has become apparent at the BHE. New program proposals have undergone closer scrutiny than in prior years. In response, UMass Lowell proposed new structures (graduate group model) for interdisciplinary programs and encouraged collaborative work across departments and campuses facilitating the approval of new programs at the BHE level (See Standard 4).

Last year the Commissioner of Higher Education requested that all institutions of higher education adopt a common set of assessment benchmarks as part of the [Vision Project](#). In response, UMass Lowell proposed a [report card](#) of quantifiable measures of progress towards advancing the goals in the Five [Pillars of Excellence](#) mentioned earlier in this narrative. This report card has been offered to the Commissioner of Higher Education and to provosts of the other UMass campuses to serve as a potential model of accountability and self-assessment for the University system in response to the Vision Project.

The management style of the current administration is more communicative and inclusive than that of the previous administration as illustrated by the Provost’s weekly meetings with the Deans’ Council and meetings, when needed, with departmental chairs in each of the colleges/schools. The 2020 [Strategic Planning Committee](#) and its subcommittees, the Faculty Senate and its committees, individual college-level planning committees and the faculty union, provide ample opportunities for interested faculty and staff members to become involved in planning and to provide valuable input. There are multiple channels through which information flows from cabinet level administration and the Deans’ Council to faculty, staff and students. These include informational emails, Faculty Senate meetings, chairs’ retreats, and college/school level meetings about proposed campus initiatives, policy decisions and progress towards attainment of assessment benchmarks on the UMass Lowell Report Card.

Because the University has undergone significant growth in size and changes in institutional culture in the last five years, some areas of tension have arisen. For example, the increased focus on efficiency, quality and productivity has challenged the norms of several departments. The administration, however, has

shown great willingness to work with deans and departmental chairs to create new strategies to promote a culture of excellence. Discussions concerning the role of non-tenure track faculty, graduate teaching assistants, allocation of space, and class enrollment limits are active.

In a variety of areas across the University, new processes and procedures are being developed for improved governance. These include guidelines for faculty workload, research centers and institutes, graduate group models, performance management, and evaluation of professional staff. The new Associate Vice Chancellor of [Human Resources and Equal Opportunity and Outreach](#) is implementing a comprehensive [performance management and evaluation system](#) to address long-standing disparities in compensation and to motivate staff professional development. The Research Center and Institute Review Committee, under the leadership of the Vice Provost for Research and with input from the University community, has developed a set of criteria and [guidelines for establishing new institutes and centers](#) and periodic review of existing research centers and institutes on campus.

As a part of the 2020 strategic planning process, the University administration recognized the need to restructure and invest in the administrative infrastructure in order to support the University's plans for growth. To that end, the services of Sibson Consulting, a Division of Segal, were engaged in the fall of 2010 to conduct an assessment of the effectiveness of the Human Resources (HR) and Equal Opportunity and Outreach (EOO) offices of the University. (See [Sibson Report](#).) They identified concerns related to under-resourcing as well as gaps in HR systems essential to effective management and engagement of the workforce. These included a performance management program; position classification and compensation system; automation of an enterprise system for managing payroll and HR records more efficiently; management of data to support critical University work force reporting; a more strategic approach to hiring practices to ensure the development of qualified and diverse candidate pools and consistent and fair search processes; improved labor and employee relations and consistent application of labor contracts and University policies and procedures. Corrective measures for these issues have all been implemented and are in different stages of completion.

As noted earlier, the Provost has developed guidelines for an interdisciplinary graduate group approach to designing and staffing new interdisciplinary graduate degree programs. Following program approval, formation of the graduate group begins when the Provost appoints an eight-member Executive Committee selected from members of the founding faculty. The Executive Committee is comprised of the Vice Provost for Graduate Education, deans and senior faculty involved in the program, and one faculty member who is designated as Program Director. Faculty who wish to join with founding faculty and become members of the graduate group must apply to the Executive Committee. The Program Director and graduate group are then responsible to the Executive Committee for operation of the program, including student recruitment, program outreach, admission, course scheduling, curriculum development, policy implementation, and program assessment. Members of the graduate group teach within the program, advise students, and serve on admission and dissertation committees. Membership in the graduate group is open to any full-time UMass or state university faculty members who are qualified to teach in the academic program and who have interest and expertise in the group's area. Coordination of the governance of these graduate groups with traditional departmental governance of graduate programs will need to be clarified in the next few years as the number of course offerings and students in new interdisciplinary programs expands.

Finally, there is room for further development of governance infrastructure in the area of financial transparency. Campus accounts are subject to the requirements of Massachusetts state fund accounting requirements and related compliance audits. UMass Lowell also is required to regularly present financial results to the [Board of Trustees](#) in a format standardized across campuses in the UMass System and designed to assure prudent management of operating funds and capital planning. [Summaries of these reports](#) as well as indicators in the UMass Lowell Report Card of performance benchmarks are readily

available to all. There is, however, still no comprehensive accounting database designed to facilitate management decisions in a constrained financial environment. For example, principles for allocating overhead costs across departments and functional areas or for estimating contributions of different activities to net operating revenues are not clear to many faculty and staff, even those in management positions such as departmental chairs.

The optimal operating structure for UMass Online is presently being considered by the Office of the President and the Continuing Education Council in response to concerns raised by Mellenbrook policy advisors following an evaluation of the status and future direction for online education at the five campuses of the University System. (See [Mellenbrook report, Feb. 2012](#).) Further attention to the specific responsibilities of UMass Online and examination of its fit into the overall structure of the University was recommended along with a re-assessment of the current financial model. It is likely that a reconfiguration of UMass Online will be proposed in the near future. In the short-term, the UMass Online is now under the purview of the Senior Vice President for Academic Affairs and the Provosts' Council.

The role of departmental chairs and the level of compensation associated with serving in the chair role are articulated in the MSP contract ([Article XVII](#)) and these topics were areas of discussion during the collective bargaining process in spring 2012 between the University and the union. Both parties acknowledged that this period of the University's transformation provided a good opportunity to review the role and compensation of chairs and to that end agreed to establish a joint committee to review and make recommendations on issues related to the duties of chairs and the formula for their compensation. This review is underway.

Projections

- Review of new and existing research centers and institutes occurred in summer 2012 for the first time and feedback was provided to each group in the fall of 2012; centers and institutes that did not fully meet the criteria were reviewed again in summer 2013. Groups that meet University criteria will be reviewed every three years, but will submit annual reports to the Vice Provost for Research, who is overseeing this effort in conjunction with an appointed review committee.
- Clarification of implementation details of the interdisciplinary group model of graduate program development will occur as founding faculty groups gain experience in rolling out their programs for startup in fall 2013 and 2014. Provost Abdelal and Vice Provost Pierson will oversee this effort in conjunction with representatives from the founding faculty of new programs.
- Development of a strategic management cost and profit center accounting system will begin in spring 2013 before the *2020 Strategic Plan* Financial Planning and Budget Review Committee hearings under the leadership of the Associate Vice Chancellor for Financial Services.
- The administration of the division of continuing education will work with the other UMass campus online and continuing education administrators and the President's Office to review and address the concerns about UMass Online and the relationship with system campuses expressed in the Mellenbrook Report.

Institutional Effectiveness

The Report Card developed as a result of the *2020 Strategic Plan* is updated annually, along with data reported to the UMass President's office and the Board of Higher Education. Through these data, particularly those recorded in the Report Card, the success of various sectors of the University can be evaluated. In areas where benchmarks are not being achieved, University structures, policies and procedures will be reviewed.

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

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

FALL 2012 DATA

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

Degree Level/ Location & Modality	Associate's	Bachelor's	Dual Degree	Master's (E6)	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	27	8,572	n.a.	859	172	63	n.a.	355	10,048
Other Campus FTE	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Branches FTE	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Other Locations FTE	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Overseas Locations FTE (A1)	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
On-Line FTE	70	949	n.a.	433	2	2	n.a.	8	1,464
Correspondence FTE	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Low-Residency Programs FTE	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Total FTE	97	9,521	0	1,292	174	65	0	363	11,511
Unduplicated Headcount Total	230	11,025	n.a.	2,102	120	143	n.a.	480	14,100
Degrees Awarded, Most Recent Year	36	1,836	n.a.	739	35	13	n.a.	45	2,704

Standard Four: The Academic Program

Student Type/ Location & Modality	Non-Matriculated Students	Pathway Students	Visiting Students	Title IV-Eligible Certificates: Students Seeking Certificates (E20)	
				Undergraduate	Graduate
Main Campus FTE	215	114	n.a.	7	67
Other Campus FTE	n.a.	n.a.	n.a.	n.a.	n.a.
Branches FTE	n.a.	n.a.	n.a.	n.a.	n.a.
Other Locations FTE	n.a.	n.a.	n.a.	n.a.	n.a.
Overseas Locations FTE (A26)	n.a.	n.a.	n.a.	n.a.	n.a.
On-Line FTE	215	0	n.a.	70	209
Correspondence FTE	n.a.	n.a.	n.a.	n.a.	n.a.
Low-Residency Programs FTE	n.a.	n.a.	n.a.	n.a.	n.a.
Total FTE	430	114	n.a.	78	275
Unduplicated Headcount Total	1,261	132	n.a.	215	586
Certificates Awarded, Most Recent Year	n.a.	n.a.	n.a.	110	390

Notes:

- 1) Enrollment numbers should include all students in the named categories, including students in continuing education and students enrolled through any contractual relationship.
- 2) Each student should be recorded in only one category, e.g., students enrolled in low-residency programs housed on the main campus should be recorded only in the category "low-residency programs."
- 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.

**Standard 4: The Academic Program
(Headcount by UNDERGRADUATE Major)**

For Fall Term, as of Census Date

3 Years Prior (FY 2010)	2 Years Prior (FY2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013

CSCE

Certificate

?	College of Fine Arts, Humanities, & Social Science	-	86	87	100	113
	Contemporary Communications	-	1	4	7	8
	Graphic Design/Digital Imaging	-	13	13	8	9
	Paralegal	-	54	61	77	87
	Security Mngmnt & Homeland Security	-	18	9	8	9
	College of Science	-	112	109	101	78
	Database Management Tech	-	6	9	9	7
	Data/Telecommunication	-	7	4	5	4
	Information Technology	-	31	24	23	17
	Multimedia	-	9	11	6	5
	Technical Writing (C22)	-	6	-	-	-
	Unix	-	7	10	6	5
	Web Design & Development	-	46	51	52	40
	College of Engineering	-	29	24	13	7
	Cam Computer Asst Manufacturing	-	4	5	4	2
	Computer Engineering Tech	-	2	-	-	-
	Electronics Technology	-	7	7	4	2
	Manufacturing Technology	-	3	6	3	2
	Manufacture Tech GI	-	1	1	-	-

Standard Four: The Academic Program

	Plastics Engineering Tech	-	2	3	2	1
	Land Surveying (C22)	-	7	1	-	-
	Water Treatment (C22)	-	3	1	-	-
	Waste Water Treatment (C22)	-	1	-	-	-
College of Health Sciences		-	6	-	1	1
	Nutrition	-	6	-	1	1
	Total	-	234	220	215	197

Associate

?	College of Science	81	80	100	142	139
	Information Technology	81	80	100	142	139
	College of Engineering	41	45	38	39	53
	Civil Engineering Tech (C22)	7	4	1	1	2
	Civil Eng. Tch Surveying Optn	3	2	2	-	-
	Civil Eng. Tch Waste Water Tr Op (C22)	1	-	-	1	1
	Electronic Engineering Tech	15	19	18	15	20
	Mechanical Engineering Tech	15	20	17	22	30
	Manning School of Business	63	63	72	49	44
	Management	63	63	72	49	44
?	Undeclared	-	-	-	-	-
	Total	185	188	210	230	237

Standard Four: The Academic Program

CSCE

Baccalaureate		Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013
?	College of Fine Arts, Humanities, & Social Science	591	637	616	637	677
	Criminal Justice	99	109	95	91	97
	Criminal Justice Homeland Security	-	-	-	1	1
	Criminal Justice Paralegal Opt	15	17	24	18	19
	Criminal Justice Police	-	-	-	1	1
	Liberal Arts	285	290	265	286	304
	Psychology	192	221	232	240	255
	College of Science	652	739	782	844	910
	Applied Mathematics	5	5	8	6	6
	Applied Math Computer Optn (C22)	1	1	2	1	1
	Information Technology	627	714	757	824	888
	Mathematics	12	10	9	9	10
	Math Statistics Optn	4	4	3	1	1
	Math/Teaching	3	5	3	3	4
	College of Engineering	149	147	152	152	152
	Civil Engineering Tech (C22)	18	13	11	6	6
	Civil Eng. Tch Environmental Op (C22)	7	6	5	2	2
	Electronic Engineering Tech	42	53	61	65	65
	Mechanical Engineering Tech	71	68	69	73	73
	Mech Eng. Tech Manufacturing Op (C22)	7	5	3	3	3
	Mech Eng. Tech Plastics Op (C22)	4	2	3	3	3
	College of Health Sciences	8	17	34	55	77
	Nursing	8	17	34	55	77
	Manning School of Business	78	101	83	102	114
	Business Administration	78	101	83	102	114
	Total	1,478	1,641	1,667	1,790	1,931

Standard Four: The Academic Program

DAY						
Baccalaureate		Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013
?	College of Fine Arts, Humanities, & Social Science	2,687	2,899	3,025	2,991	3,111
	American Studies	9	10	10	9	9
	Criminal Justice	688	748	790	834	867
	Economics	67	58	56	54	56
	English	236	259	273	291	303
	Fine Arts (C130)	208	225	213	210	218
	History	134	173	154	148	154
	Liberal Arts	247	271	272	226	235
	Modern Languages	12	17	21	18	19
	Music Education	117	21	26	12	12
	Music Business	-	81	79	87	90
	Music Studies	-	37	78	66	69
	Music Performance	244	78	46	44	46
	Music Perf/Sound Record Tech	-	131	152	144	150
	Philosophy	55	61	52	53	55
	Political Science	136	125	115	111	115
	Psychology	468	537	616	608	632
	Peace and Conflict Resolution	-	-	4	13	14
	Sociology	66	67	68	63	66
	College of Science	852	969	1,088	1,182	1,229
	Biological Sciences	330	385	412	464	483
	Chemistry	77	88	95	92	96
	Computer Science	198	230	277	316	329
	Environ Sci/Meteorology	94	91	99	79	82
	Mathematics	97	110	129	134	139
	Physics	56	65	76	97	101

Standard Four: The Academic Program

College of Engineering	1,316	1,503	1,629	1,842	1,916
Chemical Engineering	181	204	237	299	311
Civil Engineering	215	242	267	277	288
Computer Engineering	103	120	141	140	146
Electrical Engineering	317	331	324	353	367
Mechanical Engineering	381	477	533	630	655
Plastics Engineering	119	129	127	143	149
College of Health Sciences	807	939	1,026	1,136	1,181
Clinical Lab Sciences	120	140	136	165	172
Environmental Health	-	3	6	11	11
Exercise Physiology	214	252	296	372	387
Community Health and Sustainability	64	70	82	102	106
Nursing	370	421	444	425	442
Nutritional Science	39	53	62	61	63
Manning School of Business	1,231	1,252	1,383	1,504	1,564
Business Administration	283	179	216	147	153
Bus Admin - Accounting	244	264	299	324	337
Bus Admin - Entrepreneurship	-	71	65	80	83
Bus Admin - Finance	177	191	181	207	215
Bus Admin - International Business Conc.	-	4	36	56	58
Bus Admin - Management	338	336	388	442	460
Bus Admin - Marketing	130	142	138	150	156
Bus Admin - MIS	59	65	60	84	87
Bus Admin - Supply Chain & Operations Mngmt	-	-	-	14	15
Undeclared	1,059	1,008	777	580	603
Total	7,952	8,570	8,928	9,235	9,604
Total Undergraduate	9,615	10,633	11,025	11,470	11,970
	(E180)	(G180)	(I180)	(K180)	

*"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.

** FY2014 are calculated projections. Due to rounding, column totals may appear inaccurate.

**Standard 4: The Academic Program
(Headcount by GRADUATE Major)**



For Fall Term, as of Census Date

		3 Years Prior (FY 2010)	2 Years Prior (FY2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Master's		Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013
?	College of Fine Arts, Humanities, & Social Science	372	321	323	316	367
	Autism Studies	-	-	-	9	10
	Community Social Psychology	32	22	28	35	41
	Criminal Justice	248	188	197	182	211
	Music Education	-	24	23	25	29
	Music Studies	36	-	-	-	-
	Peace & Conflict Resolution	-	-	9	-	-
	Peace & Conflict Studies	-	-	-	21	24
	Regional Econ/Social Development	56	69	51	34	39
	Sound Recording Tech - Management	-	18	15	10	12
	College of Science	224	214	230	248	288
	Biological Sciences	43	49	52	48	56
	Chemistry	13	9	19	19	22
	Computer Science	98	100	102	78	90
	Environmental Studies (C24)	-	-	-	31	36
	Information Technology	-	-	-	9	10
	Mathematics	48	33	30	38	44
	Physics	7	4	5	6	7
	Radiological Science & Protection	15	19	22	19	22
	Graduate School of Education (B29)	191	267	340	362	420
	Curriculum & Instruction	112	163	223	228	264
	Education Administration	40	48	50	68	79
	Reading and Language	39	56	67	66	77

Standard Four: The Academic Program

College of Engineering	339	372	391	398	462
Chemical Engineering	19	17	17	17	20
Civil Engineering	37	42	51	61	71
Computer Engineering	30	28	31	41	48
Electrical Engineering	94	102	98	88	102
Energy Engineering	14	23	35	42	49
Environmental Studies (C24)	23	27	31	-	-
Mechanical Engineering	47	51	61	69	80
Plastics Engineering	75	82	67	80	93
College of Health Sciences	150	188	210	197	229
Clinical Lab Sciences	29	37	35	33	38
Health Informatics and Management	39	53	57	44	51
Nursing	48	64	79	87	101
Work Environment	34	34	39	33	38
Manning School of Management	224	317	378	557	646
Accounting (C48)	-	-	-	16	19
Business Administration	163	207	239	363	421
Bus Admin - Accounting	9	20	31	43	50
Bus Admin - Finance	33	50	56	64	74
Bus Admin - Information Technology	19	32	39	53	61
Bus Admin - Manufacturing	-	1	1	-	-
Innovation and Tech Entrepreneurship	-	7	12	18	21
Grad Studies (UMass)	5	8	11	24	28
Biomedical Eng. & Biotech	4	7	10	22	26
Marine Science	1	1	1	2	2
Total	1,505	1,687	1,883	2,102	2,438

Standard Four: The Academic Program

Doctorate

?	College of Fine Arts, Humanities, & Social Science	-	-	4	25	25
	Criminal Justice	-	-	4	25	25
	College of Science	155	172	193	199	199
	Chemistry	36	38	41	45	45
	Computer Science	53	66	71	80	80
	Physics	54	58	66	60	60
	Polymer Science	12	10	15	14	14
	Graduate School of Education	112	106	107	99	99
	Language Arts & Literacy	30	27	24	23	23
	Leadership in Schooling	56	55	54	48	48
	Math & Science Education	26	24	29	28	28
	College of Engineering	89	115	133	152	152
	Chemical Engineering	5	7	7	10	10
	Civil Engineering	1	2	6	9	9
	Computer Engineering	3	8	7	10	10
	Electrical Engineering	36	44	51	55	55
	Energy Engineering	7	7	10	9	9
	Mechanical Engineering	8	10	14	15	15
	Plastics Engineering	29	37	38	44	44
	College of Health Sciences	132	151	171	172	172
	Nursing	25	30	35	40	40
	Physical Therapy	80	88	103	101	101
	Work Environment	27	33	33	31	31
	Manning School of Business	-	-	-	1	1
	Business Administration - MIS (C48)	-	-	-	1	1
	Grad Studies (UMass)	81	83	76	95	95
	Biomedical Eng. & Biotech	78	78	72	91	91
	Marine Science	3	5	4	4	4
	Total	569	627	684	743	743

Standard Four: The Academic Program

Graduate Certificate Programs (A124)

?	College of Fine Arts, Humanities, & Social Science	-	280	341	336	336
	Criminal Justice	-	52	50	61	61
	Music Education	-	-	5	-	-
	Peace and Conflict Resolution	-	-	-	4	4
	Psychology	-	220	278	267	267
	Regional Econ/Soc Devel	-	8	8	4	4
	College of Science	-	41	25	27	27
	Biological Sciences	-	21	13	12	12
	Chemistry	-	3	1	2	2
	Computer Science	-	6	6	10	10
	Mathematics	-	9	5	3	3
	Physics	-	1	-	-	-
	Radiolog. Sci & Protection	-	1	-	-	-
	Graduate School of Education	-	5	43	5	5
	Curriculum & Instruction	-	5	43	5	5
	College of Engineering	-	47	44	41	41
	Chemical Engineering	-	-	1	2	2
	Civil Engineering	-	-	-	2	2
	Electrical Engineering	-	13	15	8	8
	Energy Engineering	-	2	1	2	2
	Environmental Studies	-	4	4	-	-
	Mechanical Engineering	-	5	7	6	6
	Plastics Engineering	-	23	16	21	21
	College of Health Sciences	-	75	75	89	89
	Clinical Lab Sciences	-	17	17	21	21
	Health Informatics and Management	-	34	35	42	42
	Nursing	-	16	9	16	16
	Nursing - Post Mast Cert	-	7	13	10	10
	Work Environment	-	1	1	-	-

Standard Four: The Academic Program

Manning School of Business		-	95	105	88	88
Business Administration		-	95	105	88	88
Total		-	543	633	586	586

Total Graduate		2,074	2,857	3,200	3,431	3,768
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(E158) (G158) (I158) (K158)

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Standard 4: The Academic Program
(Credit Hours Generated By Department or Comparable Academic Unit) (A2)

		(FY 2010)	(FY2011)	(FY 2012)	(FY 2013)	(FY 2014)
CSCE		Su'09-Sp'10 (E4)	Su'10-Sp'11 (G4)	Su'11-Sp'12(I4)	Su'12-Sp'13 (K4)	Su'13-Sp'14
Undergraduate						
?	College of Fine Arts, Humanities, & Social Science	28,649	29,647	31,671	33,717	35,740
	Art	1,188	1,485	1,443	1,695	1,797
	Cultural Studies	1,629	1,860	1,926	1,926	2,042
	Economics (C9)	4,227	4,590	5,161	5,628	5,966
	English	5,784	5,295	5,577	6,068	6,432
	History	2,727	2,839	2,914	3,141	3,329
	Interdisciplinary FAHSS (C12)	165	164	196	248	263
	Journalism and Media Studies	-	-	-	-	-
	Music	268	226	297	217	230
	Philosophy	1,089	1,074	1,140	1,386	1,469
	Political Science	1,722	1,931	1,984	1,987	2,106
	Psychology	5,262	5,500	5,969	6,282	6,659
	Regional Economic and Social Development	-	-	-	-	-
	School of Criminology and Justice Studies (C19)	3,334	3,339	3,573	3,782	4,009
	Sociology	1,254	1,344	1,491	1,357	1,438
	College of Sciences	20,289	21,830	24,044	25,247	27,216
	Biological Sciences	1,374	1,593	1,602	1,599	1,724
	Chemistry	2,453	2,823	2,892	2,951	3,181
	Computer Science	396	582	441	425	458
	Environmental Science	64	53	-	67	72
	Mathematics (C26)	15,105	15,921	18,065	19,085	20,574
	Physics (C27)	897	858	1,044	1,120	1,207
	Graduate School of Education	-	-	-	-	-
	Education	-	-	-	-	-
	College of Engineering	2,822	2,732	2,789	3,409	3,409
	Chemical & Energy Engineering (C31)	30	-	-	147	147
	Civil Engineering	55	54	48	162	162
	Electrical & Computer Engineering	288	525	501	663	663

Standard Four: The Academic Program

Engineering Technology (C34)	2,115	1,861	2,035	1,892	1,892
Interdisciplinary Engineering	-	1	43	104	104
Mechanical Engineering	333	240	117	441	441
Plastics Engineering	1	51	45	-	-
College of Health Sciences	1,663	1,408	1,759	2,509	3,513
Community Health & Sustainability	237	189	192	186	260
Clinical Lab & Nutritional Sciences	967	827	715	741	1,037
Interdisciplinary Health	252	325	364	402	563
Pharmaceutical Sciences	-	-	-	-	-
Physical Therapy	33	12	12	60	84
School of Nursing	174	55	476	1,120	1,568
Work Environment	-	-	-	-	-
Manning School of Business	3,963	4,038	4,758	5,457	6,112
Accounting	1,011	990	1,035	1,263	1,415
Interdisciplinary Management	-	57	36	21	24
Management (C49)	2,424	2,457	2,898	2,964	3,320
Operations Information Systems	528	534	789	1,209	1,354
Special Programs	-	-	3	-	-
Honors	-	-	-	-	-
UTEACH Lowell	-	-	-	-	-
ROTC	-	-	-	-	-
Aerospace Studies	-	-	-	-	-
Graduate Studies (C56)	-	-	3	-	-
No College	-	-	-	18	18
No College	-	-	-	18	18
Total	57,386	59,655	65,024	70,357	76,008

CSCE	(FY 2010)	(FY 2011)	(FY 2012)	-	(FY 2013)	-	(FY 2014)
Graduate	Su'09-Sp'10 (E4)	Su'10-Sp'11 (G4)	Su'11-Sp'12(14)		Su'12-Sp'13 (K4)		Su'13-Sp'14
College of Fine Arts, Humanities, & Social Science	6,799	6,950	7,016		7,017		7,298
Art	-	-	-		-		-

Standard Four: The Academic Program

Cultural Studies	-	-	-	-	-
Economics	-	-	-	-	-
English	-	-	-	3	3
History	-	-	-	-	-
Interdisciplinary FAHSS (C12)	-	-	-	21	22
Journalism and Media Studies	-	-	-	-	-
Music	-	15	9	29	30
Philosophy	-	-	-	-	-
Political Science	-	-	-	-	-
Psychology	2,374	3,294	3,678	3,687	3,834
Regional Economic and Social Development	30	26	20	37	38
School of Criminology and Justice Studies (C19)	4,395	3,615	3,309	3,240	3,370
Sociology	-	-	-	-	-
College of Sciences	576	630	776	863	898
Biological Sciences	56	25	31	39	41
Chemistry	16	3	4	6	6
Computer Science	327	406	501	697	725
Environmental Science	21	27	18	-	-
Mathematics (C84)	112	123	222	111	115
Physics (C27)	44	46	-	10	10
Graduate School of Education	1,213	1,763	2,414	2,249	2,339
Education	1,213	1,763	2,414	2,249	2,339
College of Engineering	967	1,159	1,341	1,521	1,582
Chemical & Energy Engineering (C31)	2	3	3	-	-
Civil Engineering (C90)	102	135	156	204	212
Electrical & Computer Engineering	439	672	738	795	827
Engineering Technology	-	-	-	-	-
Interdisciplinary Engineering	11	22	14	7	7
Mechanical Engineering	33	7	10	63	66
Plastics Engineering	380	320	420	452	470
College of Health Sciences	1,397	1,588	1,841	1,995	2,075
Community Health & Sustainability	977	964	1,092	1,113	1,158
Clinical Lab & Nutritional Sciences	174	240	231	240	250
Interdisciplinary Health	63	66	66	84	87

Standard Four: The Academic Program

Pharmaceutical Sciences	-	-	-	-	-
Physical Therapy	153	177	202	234	243
School of Nursing	-	57	151	249	259
Work Environment	30	84	99	75	78
Manning School of Business	3,298	4,336	4,571	6,108	6,352
Accounting	516	634	747	1,271	1,322
Interdisciplinary Management	-	69	15	282	293
Management (C49)	2,032	2,642	2,706	3,347	3,481
Operations Information Systems	750	991	1,103	1,208	1,256
Special Programs	25	11	55	49	51
Honors	-	-	-	-	-
UTEACH Lowell	-	-	-	-	-
ROTC	-	-	-	-	-
Aerospace Studies	-	-	-	-	-
Graduate Studies (C56)	25	11	55	49	51
No College	-	-	-	-	-
No College	-	-	-	-	-
Total	14,275	16,437	18,014	19,802	20,594

Standard Four: The Academic Program

DAY	(FY 2010)	(FY2011)	(FY 2012)	(FY 2013)	(FY 2014)
		Su'10-Sp'11 (G4)		Su'12-Sp'13 (K4)	
	Su'09-Sp'10 (E4)		Su'11-Sp'12(14)		Su'13-Sp'14
College of Fine Arts, Humanities, & Social Science	98,706	105,577	106,915	105,995	110,235
Art	6,274	6,297	6,645	6,074	6,317
Cultural Studies	3,126	3,885	4,909	4,866	5,061
Economics (C9)	9,339	8,829	9,045	10,083	10,486
English (C127)	18,401	19,092	17,812	16,687	17,354
History	7,708	7,996	8,379	8,433	8,770
Interdisciplinary FAHSS (C12)	1,933	2,321	2,461	1,846	1,920
Journalism and Media Studies	-	-	-	-	-
Music	8,731	9,227	9,898	8,904	9,260
Philosophy	6,024	6,387	5,771	6,994	7,274
Political Science	6,886	7,104	6,812	7,330	7,623
Psychology	14,790	16,350	16,776	16,779	17,450
Regional Economic and Social Development	366	369	327	171	178
School of Criminology and Justice Studies (C19)	9,164	11,156	11,670	11,773	12,244
Sociology	5,964	6,564	6,410	6,055	6,297
College of Sciences	49,478	53,842	57,098	59,262	61,632
Biological Sciences (C139)	7,662	8,892	9,963	10,842	11,276
Chemistry	5,929	6,495	7,087	8,293	8,625
Computer Science	3,500	3,887	4,568	5,170	5,377
Environmental Science	2,237	2,648	2,447	2,069	2,152
Mathematics	20,193	21,269	22,130	22,153	23,039
Physics (C27)	9,957	10,651	10,903	10,735	11,164
Graduate School of Education	291	273	408	540	562
Education	291	273	408	540	562
College of Engineering	19,066	21,904	24,789	27,184	28,271
Chemical & Energy Engineering (C31)	1,854	2,280	2,818	3,043	3,165
Civil Engineering	2,685	3,200	3,901	4,167	4,334
Electrical & Computer Engineering	6,347	7,011	7,099	7,534	7,835
Engineering Technology (C34)	32	36	-	-	-
Interdisciplinary Engineering	1,600	1,906	1,950	2,225	2,314
Mechanical Engineering	4,844	5,499	7,019	8,416	8,753

Standard Four: The Academic Program

Plastics Engineering	1,704	1,972	2,002	1,799	1,871
College of Health Sciences	18,397	19,716	20,162	21,553	22,415
Community Health & Sustainability	1,969	2,212	2,267	2,749	2,859
Clinical Lab & Nutritional Sciences	8,799	8,735	8,218	9,105	9,469
Interdisciplinary Health	1,083	1,122	1,377	1,422	1,479
Pharmaceutical Sciences	-	-	-	-	-
Physical Therapy	1,873	2,111	2,458	2,796	2,908
School of Nursing	4,673	5,536	5,842	5,481	5,700
Work Environment	-	-	-	-	-
Manning School of Business	21,064	21,161	22,659	24,730	25,719
Accounting	5,529	5,727	5,994	5,850	6,084
Interdisciplinary Management	-	234	291	240	250
Management (C49)	11,662	11,342	11,925	13,909	14,465
Operations Information Systems	3,873	3,858	4,449	4,731	4,920
Special Programs	450	211	826	1,377	1,432
Honors	270	-	552	855	889
UTEACH Lowell	-	-	28	256	266
ROTC	96	108	150	159	165
Aerospace Studies	84	103	96	107	111
Graduate Studies (C56)	-	-	-	-	-
No College	-	540	-	-	-
No College	-	540	-	-	-
Total	207,452	223,224	232,857	240,641	250,267

Standard Four: The Academic Program

DAY		(FY 2010)	(FY2011)	(FY 2012)	(FY 2013)	(FY 2014)
		Su'09-Sp'10 (E4)	Su'10-Sp'11 (G4)	Su'11-Sp'12(14)	Su'12-Sp'13 (K4)	Su'13-Sp'14
College of Fine Arts, Humanities, & Social Science		2,514	2,458	2,445	2,705	2,976
	Art	-	-	-	-	-
	Cultural Studies	-	-	-	-	-
	Economics	-	-	-	-	-
	English	-	-	-	-	-
	History	-	-	39	-	-
	Interdisciplinary FAHSS (C12)	-	-	171	243	267
	Journalism and Media Studies	-	-	-	-	-
	Music	416	517	449	398	438
	Philosophy	-	-	-	-	-
	Political Science	-	-	-	-	-
	Psychology	580	462	537	651	716
	Regional Economic and Social Development	879	948	679	513	564
	School of Criminology and Justice Studies (C19)	639	531	570	900	990
	Sociology	-	-	-	-	-
College of Sciences		5,981	6,365	6,546	6,988	7,687
	Biological Sciences	850	1,039	1,024	1,130	1,243
	Chemistry	1,051	1,024	1,162	1,081	1,189
	Computer Science	1,716	1,909	1,925	1,997	2,197
	Environmental Science	289	378	321	300	330
	Mathematics (C201)	867	747	812	1,077	1,185
	Physics (C27)	1,208	1,268	1,302	1,403	1,543
Graduate School of Education		2,911	3,330	3,402	3,254	3,579
	Education	2,911	3,330	3,402	3,254	3,579
College of Engineering		7,107	7,639	8,220	9,065	9,972
	Chemical & Energy Engineering (C31)	1,035	1,029	1,092	1,248	1,373
	Civil Engineering (C90)	771	936	1,252	1,243	1,367
	Electrical & Computer Engineering	2,581	2,582	2,444	2,877	3,165
	Engineering Technology	-	-	-	-	-
	Interdisciplinary Engineering	31	15	5	2	2
	Mechanical Engineering	964	1,290	1,644	1,586	1,745

Standard Four: The Academic Program

Plastics Engineering	1,725	1,787	1,783	2,109	2,320
College of Health Sciences	4,995	5,787	6,261	6,335	6,969
Community Health & Sustainability	279	252	126	96	106
Clinical Lab & Nutritional Sciences	315	353	363	451	496
Interdisciplinary Health	93	114	138	144	158
Pharmaceutical Sciences	-	-	-	-	-
Physical Therapy	2,277	2,660	3,120	3,084	3,392
School of Nursing	1,117	1,456	1,495	1,610	1,771
Work Environment	914	952	1,019	950	1,045
Manning School of Business	861	1,192	1,634	2,477	2,725
Accounting	196	191	243	424	466
Interdisciplinary Management	-	72	81	129	142
Management (C49)	485	664	932	1,502	1,652
Operations Information Systems	180	265	378	422	464
Special Programs	767	737	982	1,048	1,153
Honors	-	-	-	-	-
UTEACH Lowell	-	-	-	-	-
ROTC	-	-	-	-	-
Aerospace Studies	-	-	-	-	-
Graduate Studies (C56)	767	737	982	1,048	1,153
No College	-	-	-	-	-
No College	-	-	-	-	-
Total	25,136	27,508	29,490	31,872	35,059

** FY2014 are calculated projections. Due to rounding, column totals may appear inaccurate.

Standard Four: The Academic Program

Description: Academic Program

The University's mission affirms the goal of providing "transformational education that fosters student success, lifelong learning and global awareness." Our wide range of undergraduate and graduate degree programs and graduate certificates is consistent with this mission. The University continues to provide high-quality and affordable education that blends traditional, online, and innovative classroom pedagogies with experience-based opportunities and partnerships with industry and the community.

UMass Lowell currently offers 120 baccalaureate, 39 master's, and 33 doctoral programs. Since the interim report of 2008 several new interdisciplinary programs have been added: minors in robotics, joint military studies, biomedical engineering, education, energy engineering, and peace and conflict studies; BA and MA programs in peace and conflict studies; PhD programs in global studies, business, criminal justice, criminology, and pharmaceutical sciences.

The University currently offers four Associate's, 20 baccalaureate and 12 graduate degree programs through the [Division of Online and Continuing Education](#) (OCE). All programs offered through the OCE are coordinated through their respective departments. Full-time tenured faculty coordinators drawn from the home departments oversee the academic offerings. Over 50% of the Division's offerings are delivered online. The OCE works with departments and colleges/schools to provide the resources necessary to deliver high quality programs to students, supports all of the University's web-enhanced, blended, and online courses and provides extensive faculty development and support.

General Education: The University is in the process of revising its general education requirements. The main goals are reevaluation of the curriculum, development of new assessment approaches for essential learning outcomes, and better coordination of course offerings. A sub-committee of the Committee on Transformational Education will finalize and circulate the revised program to faculty in fall 2013, as it could then be considered for approval and implementation in AY 2014.

Oversight of Quality and Coherence: The academic leadership of the University is responsible for maintaining the coherence and quality of all academic programs and monitoring their continued relevance to the University's mission. As a public institution, the University is mindful of the needs of the commonwealth and the region in its management of the academic portfolio and in the creation of new programs. Decisions about new programs are guided by data on faculty strengths, student interest, and market assessment. Decisions about discontinuance of programs are guided by program quality, costs, student enrollments, and program productivity. New programs and changes to existing programs, graduate and undergraduate, must be reviewed and approved at both departmental and college levels, typically by standing curriculum committees. Following approval at the college level, either the [Undergraduate Program Committee](#) (UPC) or [Graduate Policy and Affairs Committee](#) (GPAC) of the [Faculty Senate](#) reviews proposals for new programs, or substantive changes to existing ones. Programs approved at the committee level are submitted to the full Faculty Senate and reviewed by the Office of the Provost. Subsequently, new approved proposals are reviewed by the Senior Vice President for Academic, Student, and International Affairs, and those approved are submitted to the Board of Trustees of the UMass System. Approved proposals are then submitted to the Board of Higher Education of the State of Massachusetts for final approval. This sequential approval process provides full oversight of the coherence, quality, and need for the proposed academic programs.

Standard Four: The Academic Program

Departmental chairs, faculty, and graduate program directors are responsible for the development and direction of approved programs, including management of advisement and retention, instructional methods, student learning and achievement; oversight is provided by the dean of the relevant college and the Office of the Provost. A robust system ([Academic Quality Assessment and Development](#)) is in place to ensure periodic review of all academic programs – graduate and undergraduate, including those delivered online through OCE. Oversight of interdisciplinary programs is accomplished through a faculty group structure in which a faculty coordinator and an advisory group of faculty from relevant disciplines take responsibility for curriculum development, course scheduling, and student advisement. Interdisciplinary programs are approved or modified according to the same processes that apply to programs in individual disciplines.

[Policies and procedures for creation of new programs](#) or revision of existing ones are published on the Faculty Senate webpage. In cases where enrollments are consistently low, the Provost's Office has worked with the relevant dean, chair, faculty and the Office of Admissions to enhance recruitment. For example, a new option was added to the undergraduate program in environmental studies to attract non-natural-science majors who may not have extensive backgrounds in mathematics. In cases where low student demand persists, the Provost can recommend discontinuation of a program to the System President, who authorizes the discontinuation. In such cases, an announcement is posted on the web and in the catalog stating that no new students are being admitted to the programs in question. The process is outlined on the [UMass System website](#).

Program Design: All undergraduate baccalaureate degrees require a minimum of 120 credits, with at least 36 credits addressing the breadth-of-learning outcomes in general education courses and a minimum of 30 credits in the major. Associate degrees (offered through OCE) require a minimum of 60 credits. All master's-level courses require a minimum of 30 credits, and PhD programs require 60 credits. All degree programs have a coherent design and require a sequence of courses from less to more advanced. Advanced courses focus on depth of knowledge and require students to have developed sophisticated skills and knowledge.

Courses are numerically sequenced: 100-level are typically broad, introductory classes; 400-level are generally advanced undergraduate classes, often with prerequisites. Graduate level offerings are identified by 500, 600 and 700 prefixes. Graduate students may enroll in 400-level courses with permission of the academic advisor. Qualified undergraduates may enroll in 500-level courses with permission of the instructor.

All baccalaureate programs require students to complete a general education curriculum that incorporates the outcomes of clear communication, critical thinking, and information literacy. English language skills of foreign nationals are tested through TOEFL and an English writing placement test is given to all entering undergraduates. All degree programs incorporate substantial requirements in writing and oral communication integrated throughout the curricula, often culminating in a capstone level experience, such as a thesis, project or other significant integrative written work.

Requirements for all academic programs are published in the [online university catalogs](#) and on the departmental pages of the University website. Learning outcomes specific to each undergraduate degree program are published on the [Student Learning Outcomes](#) website. In addition, [curriculum check sheets](#) that outline optimal pathways through a major are available online for all undergraduate programs. Changes to requirements are indicated in the online catalog and on the personalized advisement reports accessible through the [Intercampus Student Information System](#) (iSiS).

In addition to NEASC accreditation, all accredited professional programs undergo regular review by the appropriate accrediting agencies: the Accreditation Board for Engineering and Technology (ABET), the

Standard Four: The Academic Program

Association to Advance Collegiate Schools of Business (AACSB), the Commission on Accreditation of Physical Therapy Education, the Commission on Collegiate Nursing Education, the National Association of Schools of Art and Design, the National Accrediting Agency for Clinical Laboratory Sciences, the National Association of Schools of Music, and the National Council for the Accreditation of Teacher Education. A listing of [accredited programs](#) is available on the UMass Lowell website. Computer science, currently not professionally accredited, will now be seeking ABET accreditation. (See Standard 2.)

Programs not specifically accredited are reviewed on a seven-year cycle through Academic Quality Assessment and Development (AQAD). The [guidelines](#) for AQAD reviews, published on the University website, outline a rigorous evidenced-based self-assessment followed by an external team review, a departmental response to the reviewers' report, and a departmental action plan, which is reviewed by the dean and the Provost's Office. (See [AQAD Index](#)).

At the time of this writing, the University has submitted two substantive-change proposals to NEASC for creation of two additional instructional locations, one in Haverhill, MA, and the other in Kuwait. The programs to be offered at these two sites represent an array of disciplinary and interdisciplinary programs that are strategic to the University mission and strategic goals. The Kuwait site has been approved, effective March 2013; the Haverhill proposal is pending. (Available in physical evidence room).

The Kuwait plan is a partnership among UMass Lowell, the Gulf University of Science and Technology (GUST) in Kuwait City, the Kuwait Offset Corporation (KOC, a governmental agency), and Raytheon Company. Raytheon and KOC together will fund a number of dual and collaborative programs to be offered at GUST/UMass in Kuwait, using offset funds, for the first five to seven years. GUST has committed to provide housing and transportation for UMass Lowell faculty within Kuwait and to continue funding this partnership if and when offset funds are no longer available. GUST/UMass Lowell will offer an array of bachelor's and master's level programs in engineering and in the natural and social sciences. Two marketing studies by the University of Kuwait and by [KPMG](#), (a network of firms providing audit, tax and advisory services) have guided identification of programs to be offered. The [review by the NEASC Commission](#), stated "The initiative, which involves a unique partnership among the two educational institutions, industry (Raytheon Company), and government (Kuwait National Offset Company), is consistent with the University's mission and is expected not only to advance and elevate higher education in Kuwait but also to have a positive impact on inter-cultural understanding between Kuwait and the United States."

Appraisal: The Academic Program

In keeping with its mission as a national public research university, UMass Lowell has developed a number of new programs that respond to important statewide and national needs:

- Interdisciplinary MS and PhD programs in pharmaceutical sciences have been approved at all levels and are ready for implementation in fall semester 2014. The graduate faculty group for this program consists of 30 faculty members from engineering, and the natural and health sciences at UMass Lowell, and 25 faculty members from the UMass Medical School. These programs are responsive to the substantial and growing pharmaceutical industry in Massachusetts. UMass Lowell and the Medical School have successfully collaborated in implementation of doctoral programs in biomedical engineering and biotechnology as well as in operation of the Massachusetts Center for Medical Devices at UMass Lowell.
- A doctoral program in pharmacy practice is under development and will be housed in the College of Health Sciences. This program will be implemented in collaboration with UMass Amherst and

Standard Four: The Academic Program

the UMass Medical School. The latter will provide the required clinical training in an interdisciplinary and integrated health care setting at its associated hospitals.

- The College of Health Sciences is currently developing BS and MS programs in public health, which are areas of growing demand. Present faculty in the Departments of Work Environment and Community Health and Sustainability, both of which are recognized nationally and globally, will provide a solid foundation for these new programs.
- The College of Fine Arts, Humanities and Social Sciences (FAHSS) has implemented a new master's program in autism studies, housed in the Department of Psychology, in response to the pressing need for qualified behavior analysts to address the global epidemic in the incidence of autism. FAHSS has also implemented a PhD in criminology and is developing a newly authorized PhD program in global studies.
- The Graduate School of Education is currently preparing a proposal to establish a PhD in education that will require 60 credits of study beyond the master's level and will have three options: leadership in education; language, literacy and cultural communication; research and evaluation. The research and evaluation option will be offered as a joint degree with the University of Massachusetts Boston.
- A major UMass Lowell innovation is the development of professional master's program (PSM) options in the sciences. The PSM includes courses in the science discipline, 3 courses in business fundamentals including a high-level communication course, and project leadership experience through a co-op in industry. UMass Lowell led the UMass System in this effort and secured Sloane Grant funding to support its development. The PSM is a recommendation made in 2007 by the National Academy of Sciences to address national needs in workforce development. Nineteen such options have been approved by the President's Office.

Academic Oversight: Program reviews through AQAD and accreditation agencies for professional programs provide regular assessments of the quality of academic programs and of their compliance with accepted practices in their disciplines. In cases where there are programmatic concerns, these concerns drive future planning and action. Some examples follow.

- After reviewing the UMass Lowell Department of Mechanical Engineering for accreditation in 2012, the ABET site team wrote that, "The focus on design-build-test throughout the curriculum, culminating in the capstone design course, produces a special program that provides students with a particularly rich integrated sequence of hands-on experiences to enhance and compliment their undergraduate knowledge."
- In the [2012 ABET review of the Department of Civil and Environmental Engineering](#), the reviewers identified a weakness in the absence of a course that prepared students sufficiently in the sciences. In response, the Department of Civil Engineering created a course called Geology for Engineers that will address this need.
- In a 2006 AQAD review of the Department of English the reviewers wrote that, "The required curriculum is conservative by today's standards, relying on a classical and aesthetic approach to literature and period studies... [which]... ignores the current trend toward transnational studies." In response, the Department revised its curriculum to reflect current disciplinary practices. They reduced the Literary History "Great Books" requirement from 6 classes to 3 and hired a new associate professor to offer Asian-American and world literature courses. All English majors are now required to take at least one course that addresses issues of diversity (ethnicity, gender, ability, or nationality).
- [The 2002 AQAD reviewers for the Department of Physics](#) stated that, "The goals and objectives of the Department are consistent with the campus mission and priorities. This is evident in the Self Study; the experience, breadth of knowledge, and credentials of the department faculty are an asset, and one that needs to be maintained in the face of many anticipated retirements; the

curriculum is relevant, rigorous, current, and coherent... At the graduate level both the M.S. and Ph.D. programs are well conceived in both Physics and Applied Physics.”

- The University’s [NCATE accreditation report](#) states:

The unit and its school partners design, implement, and evaluate field experiences and clinical practice so that teacher candidates and other school professionals develop and demonstrate the knowledge, skills, and professional dispositions necessary to help all students learn... The unit has created and maintained strong partnerships with a variety of school districts in order to provide candidates with diverse opportunities and settings. ...The unit has an assessment system that collects and analyzes data on applicant qualifications, candidate and graduate performance, and unit operations to evaluate and improve the performance of candidates, the unit, and its programs.

[National Survey of Student Engagement](#) (NSSE): Providing further validation of programmatic quality, results of administration of NSSE between 2005 and 2012 provide indirect measures of student learning with benchmarked comparisons with peers. (See [NSSE data index](#)) Table 4.1 shows the change in level of academic challenge for first-year and senior students at UMass Lowell in comparison with Carnegie peers. Since 2008, the survey scores have been consistently comparable to those of these peers, and exceeded peers in 2011.

Table 4.1 Level of Academic Challenge (NSSE)

Source	2005	2008	2011	2012
First Year UMass Lowell	49.5*	52.2	54.7*	53.7
First Year Carnegie Peers	54.2	53.4	53.3	53.6
Seniors UMass Lowell	56.5	56.1	55.9	57.8
Seniors Carnegie Peers	55.3	57.4	56.7	57.2

Scores range from 0 to 100
*p<.05, **p<.01;***p<.005

Equally important is the demonstration of collegiate-level skills in the English language. Table 4.2, below, presents an average score for the NSSE items that address reading and writing. Again, the results show that our student’s scores are comparable to those of the Carnegie peers.

Table 4.2: Average reading and writing scores (NSSE Items 1.3a-e)

Source	2005	2008	2011	2012
<i>In your experience at your institution during the current school year, about how often have you done each of the following? 1=Never, 2=Sometimes, 3=Often, 4=Very often (assigned readings, written papers,etc)</i>				
First Year UMass Lowell	2.47	2.396	2.403	2.346
First Year Carnegie Peers	2.396	2.428	2.326	2.298
Seniors UMass Lowell	2.6	2.474	2.492	2.506
Seniors Carnegie Peers	2.536	2.574	2.472	2.434

*p<.05, **p<.01;***p<.005

NSSE findings, presented in Table 4.3, provide indirect evidence of the importance of and support for the use of information resources and information technology. Between 2005 and 2011, UMass Lowell students scored below Carnegie peers; through expansion of computer laboratories and attention to pedagogy, however, the deficits in this area were eliminated in 2012.

Table 4.3 NSSE Items relating to information use and technology in comparison to our Carnegie peers

Source	2005	2008	2011	2012
<i>To what extent does your institution emphasize each of the following? (Using computers in academic work) 1=Very little, 2=Some, 3=Quite a bit, 4=Very much</i>				
First Year UMass Lowell	2.98	3.05	3.28	3.34
<i>First Year Carnegie Peers</i>	<i>3.34***</i>	<i>3.33***</i>	<i>3.33</i>	<i>3.32</i>
Seniors UMass Lowell	3.4	3.34	3.34	3.43
<i>Seniors Carnegie Peers</i>	<i>3.47</i>	<i>3.47**</i>	<i>3.45**</i>	<i>3.43</i>
<i>To what extent has your experience at this institution contributed to your knowledge, skills, and personal development in the following areas? (Using computer and information Technology) 1=Very little, 2=Some, 3=Quite a bit, 4=Very much</i>				
First Year UMass Lowell	2.77	2.84	2.96	2.97
<i>First Year Carnegie Peers</i>	<i>3.01***</i>	<i>3.08***</i>	<i>3.02</i>	<i>3.05</i>
Seniors UMass Lowell	3.21	3.17	3.12	3.22
<i>Seniors Carnegie Peers</i>	<i>3.22</i>	<i>3.23</i>	<i>3.19</i>	<i>3.2</i>

*p<.05, **p<.01;***p<.005

New Instructional Sites: Careful planning will be needed to ensure that implementation in Kuwait follows all standards of accreditation and that programs there remain at the same level as those on the Lowell campus. The planning for this project, as the NEASC Commission notes, has been deliberate and extensive and will continue to be so as the plan is implemented. Although the plans for Haverhill are less expansive, implementation will also require adherence to standards and careful development of programs in response to regional needs.

Description: Undergraduate Degree Programs

All undergraduates at the University must earn at least 120 credits and complete major requirements as well as the general education curriculum requirements in order to earn a baccalaureate degree. The general education requirements consist of a minimum of 36 credits distributed to ensure breadth of knowledge, with outcomes in clear communication, information literacy and critical thinking addressed throughout the curriculum. Every baccalaureate program includes at least 15 credits of upper-level courses that address the general education learning outcomes specified above and supplement the 36-credit distribution requirement, thus bringing the total to more than the 40 credits required in Standard 4. The remaining credits outside the academic major and the general education program allow students to choose a minor, a second major, or unrestricted elective courses. At least half the courses within the academic major must be upper-level courses and many programs require students to complete a capstone project to complete their degree. Program requirements are clearly outlined in the online catalog, on the departmental web pages, and in the personalized advisement reports that are accessible through iSiS. In addition, semester-by-semester curriculum checklists serve as roadmaps that lead students through each undergraduate degree program.

Every undergraduate program is intentionally designed to prepare students to achieve in-depth study in a major area while also preparing them to achieve general education learning outcomes. Early courses provide foundations for the advanced work that students will be required to perform. Prior to enrollment, incoming students are given the opportunity to participate in readiness courses in mathematics and in college writing. During the first semester, students are grouped into learning-communities, clusters of three courses designed around a common theme or major, to facilitate the development of social and academic networks. A growing number of [living and learning communities](#), described in Standard 6,

include residences as well as classes. Since 2009, most programs have developed first-year seminars focused on orientation to college and orientation to the profession. All incoming students participate in two semesters of college writing, courses that have a maximum enrollment of 19 students. The Common TextU program, begun in 2005, serves as an extended learning community for the entire freshman class and as a professional learning community for faculty members teaching in the writing program. As students advance through their programs, coursework and requirements become more rigorous, require more creative and integrative thinking, and demand greater facility with information resources.

Appraisal: Undergraduate Programs

Beyond Traditional Study: To enhance engaged learning, the University has strengthened opportunities for experiential learning, including cooperative education (co-ops) and service learning. The Provost's Office worked extensively with cooperative education staff, academic deans, and chairs in engineering, business, and the sciences to increase the number of organized co-op opportunities in industry and business. Figure 4.1 shows that this effort resulted in significant increases in the number of formal co-ops in these colleges.

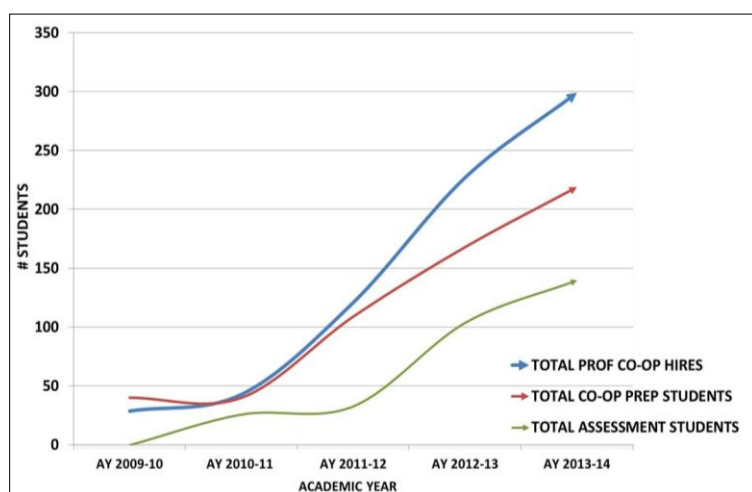


Figure 4.1 UMass Lowell Professional Co-op Program AY 2009-2013: Total Student Numbers

Service-Learning (SL) at UMass Lowell has expanded across the entire University, with courses currently offered in each of the six colleges/schools with four SL staff members dedicated to the expanding and supporting SL initiatives. This past academic year approximately 77 courses were offered that have a service-learning component, engaging approximately 3,700 students. (See also, The Major: Appraisal.)

This year the University launched Difference Makers, a co-curricular program designed to encourage students to develop innovative and entrepreneurial projects. The first Difference Maker Competition had over 40 interdisciplinary student group entries. As part of the process, these students received coaching and education on ideation, problem-solving, and entrepreneurship.

Undergraduate students are encouraged to learn through discovery by carrying out research projects guided by faculty mentors. Research co-ops, semester-long awards worth \$4000 each, were given to our top 200 incoming freshmen with the understanding that research is to be carried out in their first summer at the University or in their second year. The program, in its second year, provides students an opportunity to gain practical experience by working with a faculty mentor in a research laboratory, perhaps studying biopharmaceuticals; in a community service agency such as the Lowell Center for the Blind; in a healthcare environment such as a clinical lab investigating antibiotic resistance; or in a

Standard Four: The Academic Program

business oriented setting such as the Lowell Chamber of Commerce. The Emerging Scholars program provides students with a unique year-long opportunity to apply the theoretical knowledge gained from courses at UMass Lowell to a faculty member's on-going research while enhancing knowledge of research methods, technical skills, and research presentation.

Interdisciplinary learning is facilitated by offering students a rich array of [interdisciplinary majors and minors](#). Processes are being developed to facilitate the staffing and administration of such interdisciplinary programs.

In keeping with the strategic goal of becoming a global university, UMass Lowell encourages the creation of international faculty partnerships, exchange programs, international service-learning experiences and recruitment of international students. Currently the University has academic partnerships with more than 105 universities in 39 countries worldwide. In 2012, the institution created an office for [Study Abroad and International Experiences](#), which supports international opportunities for service-learning, capstone projects, and co-ops. This office also supports UMass Lowell faculty in developing and managing intensive courses that may be team-taught along with faculty from the international partner school. Faculty-led study abroad programs have grown from two to seven per year, with more under development.

The University is considering a variety of approaches to streamline the evaluation of international transfer credits. A successful approach in this regard has been the development of a number of transfers from international partners through articulated three-plus-two BS/MS programs. The prototype for such transfer agreements has been implemented in computer science where students spend three years at their home institution in China (University of Shanghai for Science and Technology, Xi'an Jiaotong University) before coming to UMass Lowell for the final two years of the program.

The University is currently exploring ways to strengthen courses in the English language for international students through collaboration between the Department of English and the Graduate School of Education. The goal is to enable international students to become fluent in English communication beyond the minimal TOEFL proficiency required for admission. The Graduate School of Education has also developed innovative new courses for effective teaching for international students.

The Honors Program: Undergraduate students have the opportunity to pursue knowledge and understanding at an enhanced level through the [Honors Program](#). The Honors Program is open to incoming freshmen with high SAT scores (combined score of 1200), GPA (3.25), and class ranking (upper 10%), as well as to current or transfer students who meet the GPA requirement of 3.25. Honors Program enrollment was 649 in fall 2012 and is projected to increase to 867 in 2013. At present, the Program requires a first year seminar in honors, an honors-only college writing course, a sophomore-level honors course, a research course to facilitate the writing of the honors thesis, and an honors thesis.

In 2008, the Commonwealth Honors visiting review team wrote, "The program has a clearly articulated mission of providing intellectual challenge and fostering engaged citizenship. It reinforces the mission of the university and the Commonwealth and supports the development of students who will contribute to their communities' sustainable and responsible growth. The program is deeply committed to undergraduate research and showcases student initiatives in the sciences, technology, arts, and humanities through an annual research day." The visiting team [report](#) also included suggestions for improvements, including the development of additional dedicated Honors courses.

These recommendations were implemented, leading to the development of a more complete Honors' curriculum. The University has provided specific housing for Honors students in the form of an Honors Living and Learning Community, which is now a thriving program. Additional funds are now planned for

enhancing curricular offerings and increasing the advisement staff for the Honors Program in FY 2014. (See also Appraisal and Standard 6 for additional discussion of Honors.)

Bolstering Student Success in Gateway Courses: While broadening its portfolio of programs, UMass Lowell retains a strong tradition of excellence in the areas of science and technology. In 2008, an unusually high failure rate in Calculus I and II, required for science and engineering majors, was noted in the mathematics AQAD review. In response, the Mathematics Department replaced its pre-calculus-calculus sequence with new courses (Calculus 1a and 1b) that better integrated pre-calculus and calculus. In addition, a problem-oriented intensive three-week calculus camp was developed to augment student skills thus allowing students who achieved near-passing grades to advance, and tutoring resources were increased. Figure 4.2 below shows the annual improvement in DWF rates in the calculus sequence since 2006. (See also Standard 6.)

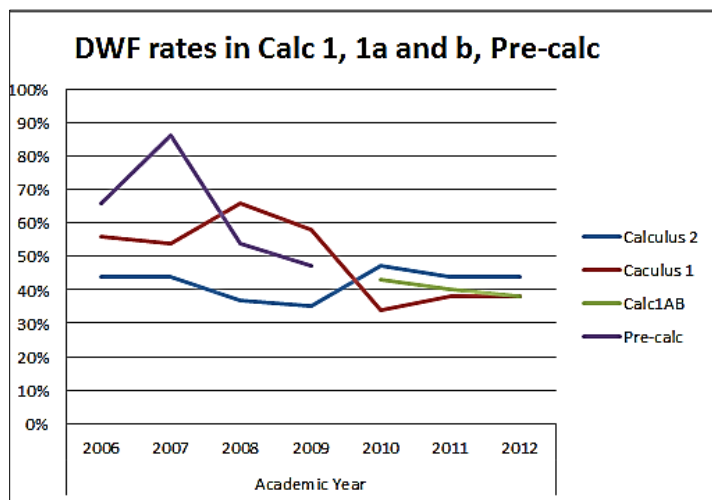


Figure 4.2 Annual DWF rates in Calculus 1, 1a and b, and pre-calculus.

In 2012, the Mathematics Department noted that there were systematic differences in the success rates of students in particular majors. As a consequence, the faculty has created a new calculus course that is discipline specific, Calculus for the Life Sciences. This differentiation recognizes that the engineering curriculum requires students to have a higher level of comprehension of differential equations than is the case for students in the biological sciences.

Description: General Education

The goal of the general education curriculum at UMass Lowell is to help students prepare for productive careers, for responsible citizenship in the region, country, and world, and to be lifelong learners. Courses within the program are designed to provide students with a foundation that prepares them for continued work within their major and minor fields and to imbue them with intellectual habits that will enable them to become self-directed learners. The general education requirements for every undergraduate program ensure breadth and integration in the arts and humanities, the physical and natural sciences, and the social sciences. In consultation with faculty advisors and peers, students choose general education courses outside their major disciplines that broaden their knowledge, develop their critical thinking, and improve their communication skills. Students demonstrate competence through successful completion of their courses, all of which require at least three assessments in the course of a semester. Through courses that

may be in or out of their major department, students learn to better understand diversity, to confront ethical choices, and to complete projects individually and with groups.

The general education curriculum addresses eight learning outcomes: (1) breadth of knowledge; (2) critical thinking; (3) clear communication; (4) diversity; (5) ethics; (6) self-direction; (7) collaboration; (8) information literacy.

The first three learning outcomes are fulfilled through the course distribution requirement that includes two courses in writing, one course in mathematics, and three courses each in arts and humanities, sciences, and social sciences (equaling 36 to 38 credits). The remaining five outcomes are provided within the major department or through additional elective courses. All eight learning goals are embedded in the curriculum as a whole. Every baccalaureate program includes at least 15 credits of upper-level courses that address the general education learning outcomes specified above and supplement the 36-credit distribution requirement, thus exceeding the 40 credits specified in the Standards. Thus, a student's first exposure to a particular goal may be in general education courses, but each student should find the principles behind these goals reinforced repeatedly throughout his or her undergraduate experience.

A General Education Coordinating Committee oversees coherence in the general education offerings. Faculty interested in having a course approved for general education apply for approval to their department, college and to the Coordinating Committee, which reviews the course to determine whether the content addresses the two main general education learning outcomes, critical thinking and clear communication. Faculty may also request approval for courses addressing diversity and ethics.

In 2012, the state of Massachusetts became a [Liberal Education and America's Promise \(LEAP\)](#) state, participating with other states in the Association of American Colleges and Universities (AAC&U) collaboration that advances the achievement of a liberal education for all students. Following a request from the President's Office, the UMass Lowell Faculty Senate, in conjunction with the Provost's Office, decided to participate as a pilot LEAP university. While there is a great deal of overlap between the learning outcomes in the current general education curriculum at Lowell and the "essential learning outcomes" articulated in the LEAP literature, there are areas (described below) where these goals can be more closely aligned. In 2012, a subcommittee of the [UMass Lowell Committee on Transformational Education](#) began a process of updating and revising the general education curriculum, using the LEAP framework as a guide. The process is addressed more fully in the Appraisal and Projection sections of this chapter.

Appraisal: General Education

In AY2010-11 the General Education Coordinating Committee reviewed a random sample of the syllabi currently in use in approved general education courses. The Committee found that the majority of the syllabi made no mention of general education learning. The Committee concluded that this probably was the result of having many such courses taught by newly hired faculty who were not aware of the expected learning outcomes for the general education courses. This assumption, as well as the decision by UMass Lowell to become a LEAP state, led to a decision to revise the current general education program.

In the summer of 2012, a committee was formed to study a variety of general education models, and make recommendations as to how to proceed with revising the existing program. The committee recommended that the campus:

- Revisit the current general education learning outcomes and integrate them with the LEAP essential learning outcomes to facilitate future assessment efforts.

Standard Four: The Academic Program

- Create a sequential or hierarchical program that encourages the achievement of essential learning outcomes throughout all levels of the curriculum.
- Create a system that permits more efficient and equitable management of general education courses and better alignment of course needs with departmental teaching resources.
- Ensure that departments and/or colleges have policies and procedures to provide better oversight of course content.
- Communicate the goals of general education more clearly to students, faculty, and parents.
- Require assessment of student work for every course that is designated as meeting a general education outcome.
- Allow advanced learning outcomes to be achieved within the academic disciplines as well as within the distribution requirement.

Assessment of General Education Outcomes: In 2011 the University joined the [Voluntary System of Accountability](#) (VSA). At that time, membership in VSA required assessment of communication and critical thinking skills for freshmen and seniors using one of the three approved assessment instruments. Following a review of the three instruments, the General Education Coordinating Committee selected the ETS-Proficiency Profile. The Proficiency Profile has been administered four times, twice in the fall for first-year students and twice in the spring for seniors. The results of these tests were not found to be useful because difficulties in recruiting students created non-representative samples and consequently the data collected from the test provided little guidance for formative change. Consistent with policy changes by the VSA, which now support the use of authentic assessment using LEAP VALUE rubrics as an alternative to standardized testing, and consistent with our proposed changes to general education, we are currently building the infrastructure necessary to use methods of assessment that rely on the evaluation of authentic student materials collected in a variety of lower level and capstone courses. Preliminary results of assessment of clarity of communication, quantitative reasoning, and civic engagement are promising and are described in the Assessment section of this chapter. The University is working to establish strong processes for the assessment of general education learning outcomes using authentic student work, thus creating a richer source of material to evaluate and guide pedagogy.

Description: The Major

Published descriptions of majors and concentrations for undergraduate programs are available through the [online catalog](#) and on departmental websites. Links to [program descriptions](#) can be found on the UMass Lowell website. A number of tools are available to help students to navigate their progress toward the completion of the degree. Curriculum check sheets map optimal semester-by-semester sequencing through the major, personalized advising reports are available through iSiS and students are encouraged to meet with their academic advisors at least once per semester. The University calendar includes a specific advising period of two to three weeks in mid-semester during which faculty hold extra office hours to meet with advisees.

Each academic department is responsible for the structure, content, and instructional methods of its academic programs and for assessing student learning. Departments develop programs of study with courses tiered at 100, 200, 300, and 400 levels to provide continuity, sequential progression, and depth of knowledge. Courses numbered 100 and 200 are typically survey or introductory courses that require no prerequisites. Courses numbered 300 or 400 typically have prerequisites that are part of the requirements of the major. Synthesis of the cumulative knowledge within the major is regularly enhanced through capstone projects in courses numbered at the 400 level. Enrollment in upper level courses is maintained at low levels to deepen professor-student interaction.

Majors leading to professional degrees often have planned practicum experiences in off-campus settings. In the College of Health Sciences students in exercise physiology have a full semester clinical experience in settings such as a cardiac rehabilitation center. In some programs, like psychology or English writing, practica or co-ops are available to students but are not a requirement of the major. These are described more fully in the Appraisal section below.

Appraisal: The Major

Experiential Aspects of Learning: In the School of Business and Colleges of Science and Engineering, co-ops in industry and business have been incorporated into the academic curriculum. Figure 4.1 shows the rapid acceleration in the number of students who have completed co-ops. Opportunities for these exciting experiences have been highly valued by many UMass Lowell students as evidenced by student assessments in focus groups. A typical assessment by a student in such a group follows: “The co-op has given me the opportunity to define the industry and work I want to be doing, which affects my choice of graduate school coursework and the path I want to take in that direction.”

Service learning (SL): Service learning is encouraged across all colleges. The College of Engineering has long been a leader in incorporating service-learning into the curriculum with its signature program, SLICE (Service Learning in a College of Engineering), which integrates service learning throughout the engineering curriculum. In the 2012 ABET site team review, the SLICE program was described as an institutional strength:

Experience-based undergraduate programs (Service Learning Integrated in the College of Engineering) provide engineering students with excellent real-world experience, and provide valuable service to the local and global community partners. Service-based activities are infused into core engineering courses, and offered as options in one-credit courses and the engineering capstone design courses.

In the last two years, a similar service-learning program has been developed in the College of Sciences.

In 2011 the College of Fine Arts, Humanities and Social Sciences established the [Office of Service Learning](#) to support faculty in developing service-learning for liberal arts majors. In 2013, sixteen faculty members were awarded mini-grants to develop and teach SL courses. The English Department, for example, offers a course called Writing and Community that arranges academic internships for students in the greater Lowell community. The History Department will offer a new course, History Writing and Community, in fall 2013 that will pair students with community partners and give students the opportunity to use their historical-research skills on a project of mutual benefit. To underscore the importance and value of service learning, the University has begun acknowledging the accomplishments of faculty working in this area as part of an annual [Research and Community Engagement Symposium](#). Faculty involvement in SL workshops and events increased by over 30% since 2011.

Program Review and Continuous Improvement: Departments and programs have sought ways to continuously improve as the University grows. A number of departments have made changes to the curriculum for their majors that extend the range of options and enhance the quality of education. Examples include significant revisions to the first-year course curriculum in the Music Department to better integrate theory and practice; revisions to the biology curriculum to accommodate new co-op programs, strengthened offerings in cell biology and environmental sciences and modified requirements in mathematics; restructuring of the BA in environmental and atmospheric sciences to better address increased global and student interest in environmental issues.

Standard Four: The Academic Program

In the last two administrations of NSSE, scores have indicated relatively low student-faculty interaction among first year students. To address this weakness, and to better guide students to completion of the degree, several resources have been developed including welcome-events in departments, creation of freshmen orientation activities, expanded advising support at the college level, and access to online advising guides. The recently adopted [Starfish](#) software allows faculty who teach freshman courses to provide warning early in the semester to academic and student life advisors regarding students who are not attending classes regularly. It also encourages students to consult faculty and access available resources in a timely fashion. Faculty response to Starfish surveys has been very strong, with an approximately 90% response rate.

This year the University has joined the [Student Success Collaborative offered by the Educational Advisory Board](#). As part of this initiative, a 10-year analysis linking all courses and grades achieved by undergraduate students to degree completion will be carried out this summer. Significant benchmarks will be linked to academic success in each undergraduate program. The results will be used for analyses of risk at the program and college levels; results will also be used to develop advising interfaces with guides to both choice of major and to the scheduling of courses within particular majors.

Description: Graduate Degree Programs

The University offers 39 master's and 33 doctoral degrees in six colleges. Detailed descriptions and degree requirements for all programs are published in the online [graduate catalog](#). In addition, twelve master's programs and 18 graduate certificate programs are offered through the Division of Online and Continuing Education.

Consistent with the University's strategic goal of expanding experiential education, most graduate degree programs require research-based experiences such as a thesis or project for master's students, and a dissertation, scholarly project, or practicum for doctoral students. Master's degree programs may provide the choice of a thesis, project, or non-thesis option. Non-thesis options require additional coursework and typically serve students who are already employed in the workforce.

Master's programs require a minimum of 30 credits beyond the baccalaureate degree and doctoral programs require a minimum of 46. Graduate certificate programs require 12 or more credits within a set of graduate courses. The certificate programs offer students the opportunity to strengthen their credentials beyond the baccalaureate degree through a set of well-connected courses that have a coherent theme, and to explore the option of continuing for a graduate degree. (See Standard 6.)

Graduate degree specific requirements are consistent with common standards across institutions of higher education. The doctor of philosophy degree and the master's degree require a blend of discipline-specific courses with an increasing level of complexity plus a research project which may lead to a dissertation or thesis under the supervision of at least one faculty member. The coursework and research projects require the student to make use of an existing body of knowledge and to build on it by synthesizing and providing insight into the research at hand. The thesis or dissertation and related papers must facilitate the dissemination of knowledge in the discipline. A doctoral dissertation must be an original work. A master's thesis may be original work or a demonstration of a past work with a new application.

Requirements for admission, degree requirements, and any program-specific variants – for example a non-thesis option or program tracks – are clearly published in the [online catalog](#) and on the [admissions](#) page of each program. Prospective students may apply to a specific graduate degree program, including master's, doctoral, or certificate programs. Students may enroll as non-degree students but may only transfer a maximum of 12 credits into a degree program. All students seeking admission to graduate-

Standard Four: The Academic Program

level study must show evidence of having earned a baccalaureate degree or its U.S. equivalent from an accredited college or university. Applicants to graduate programs submit their applications electronically through the University's graduate website. The graduate coordinator for each program reviews applications, in some cases with the assistance of a faculty committee.

Each academic department is responsible for the structure, content, and instructional methods of its academic programs and for assessing student learning. Departments develop programs of study with courses tiered at 500, 600, and 700 levels to provide continuity, sequential progression, and depth of knowledge. Course numbering identifies the increasing depth of study in the discipline. Courses numbered 500 are typically master's-level courses, require no prerequisites other than an approved baccalaureate degree in the same or closely related major, and may be taken by senior year baccalaureate students with permission from the instructor. Courses numbered 600 or 700 indicate more advanced study and may have 500-level prerequisites. Synthesis of learning is accomplished through master's theses, projects, comprehensive examinations, and doctoral dissertations. The departmental chair or graduate coordinator ensures that degree requirements are satisfied.

Students who successfully complete a graduate program demonstrate that they have acquired the knowledge and developed the skills that are identified as the program's objectives through one or more pathways. Ph.D. students must successfully complete a program degree specific qualifying examination before being officially considered a doctoral candidate. For course-only graduate degrees, students must demonstrate mastery of the knowledge by maintaining a consistent record of success in the classroom that includes appropriate completion of core requirements and a minimum GPA. For research-based degrees, the demonstration is through the writing of a thesis for master's students and of a dissertation for doctoral students and the subsequent defending of this research before a committee of faculty and possibly outside experts.

New graduate degree programs and/or revisions to existing programs undergo a process of review at various academic levels. Graduate programs typically originate at the departmental level or as an effort of an interdisciplinary group of faculty. Proposals for degree programs are reviewed by the relevant academic units within a college – or colleges in the case of a program across colleges – including a graduate committee at the college level and the Office of the Dean. Subsequently, proposals are reviewed by the Graduate Policy and Affairs Committee (GPAC) of the Faculty Senate to ensure that new programs and/or changes to existing programs are consistent with the University's mission and strategic goals and with the requirements of other graduate programs at the University, and that they maintain the integrity of graduate education. GPAC provides feedback on proposals and offers suggestions for strengthening new program plans and changes to existing programs. Once approved by GPAC, the proposal moves to a full vote of the Faculty Senate. Throughout this process, proposals for new programs and/or changes are under the supervision of the Office of the Provost, which has the ultimate responsibility of final approval before the document moves to the UMass central review process.

In the past five years the University has reconfigured a number of existing master's degree programs to enhance their attractiveness and relevance to a changing workplace and economy. Nineteen [Professional Science Master's](#) (PSM) options have been approved by the President's Office. A PSM is an innovative graduate degree designed to allow students to pursue advanced education in the sciences or mathematics while simultaneously developing workforce skills. PSM programs consist of two years of coursework in an academic discipline or interdisciplinary area along with courses in the fundamentals of business (typically three courses in finance, marketing or entrepreneurship and an advanced communication course), and a project leadership component designed as a co-op.

As a way to encourage undergraduates to pursue master's degrees at UMass Lowell, the University has instituted a [Plus One](#) program in a number of areas. Students in this program are encouraged to apply for

master's level work during their junior year. Plus-One students may take two graduate-level courses during their senior year, which may be counted toward both their undergraduate and graduate degrees with permission of the graduate coordinator. To be eligible for the Plus-One program, students must have a minimum GPA of 3.0 both when they apply to the program and when they complete the baccalaureate degree.

In order to fully utilize the depth and richness of faculty expertise, Provost Abdelal has encouraged the development of interdisciplinary graduate programs using a graduate group model. In this model, the graduate group includes faculty across disciplines, departments, programs and, in some cases, colleges, as well as partnerships with other UMass campuses. Examples of interdisciplinary offerings include master's programs in peace and conflict studies, security studies, and pharmaceutical sciences, and PhD programs in biomedical engineering, criminology, global studies, and pharmaceutical sciences. A number of new interdisciplinary graduate programs that represent collaborations between the College of Health Sciences and the College of Fine Arts, Humanities, and Social Sciences are currently in the planning stage.

An example of the way in which the graduate group model has been implemented is the [Biomedical Engineering and Biotechnology Graduate Program](#) (BMEBT) that spans multiple campuses – Boston, Dartmouth, Lowell and Worcester (Medical School) – of the University of Massachusetts System and allows students to earn master's and doctoral degrees that combine biomedical sciences and engineering. The graduate group for this program at UMass Lowell consists of over 30 faculty members who have elected an executive committee and conducted an internal search for a graduate coordinator. The latter reports to the Vice Provost for Graduate Education and has the responsibility for coordinating with chairs of the participating departments.

Faculty engaged in the teaching and mentoring of graduate students are either tenured or have tenure-track appointments with appropriate terminal degrees. The expectation is that faculty who serve as advisors to graduate students are actively engaged in relevant research.

Appraisal: Graduate Degree Programs

In 2008, administration of graduate programs underwent a change: the Graduate School was eliminated as an administrative entity and all graduate programs were placed under the purview of the Vice Provost for Graduate Education. The rationale for this change was that the Provost and a vice provost working with college deans are in a more effective position to initiate and lead change than is a graduate dean who is independently located within the administrative structure. The Vice Provost for Graduate Education provides oversight for curriculum enhancement including the design, revision, and development of new graduate programs. The Vice Provost also appoints graduate coordinators for programs in consultation with chairs and deans, works with GPAC, and coordinates review of new programs with the Board of Trustees and the Board of Higher Education.

Graduate programs are cohesive, requiring scholarly and professional activities beyond those at the undergraduate level. A committee brought together by the research advisor and the student oversees quality assurance of theses and dissertations. Faculty members work together to ensure that course content aligns properly as students progress through a set of related classes. Theses, exams and projects are used to assess a student's learning, ability to synthesize new ideas, and capacity to employ critical thinking skills.

The University has developed a large number of new graduate programs and the resulting increase in enrollments, particularly at the master's level, requires the addition of faculty. This need is being addressed by the addition of new faculty in areas of growth. Further, accomplished senior faculty have been recruited or are being sought in areas where graduate programs have been added, such as in

criminology, global studies, and pharmaceutical sciences. (See [Newly Approved Graduate Programs](#).) We understand, however, that it is critical to regularly assess both faculty strengths and programmatic needs in order to ensure the integrity of the new programs.

The increasing number of faculty who wish to participate in interdisciplinary graduate programs adds complexity to the accounting for faculty effort outside the traditional boundaries of academic departments and colleges. Discussion of various approaches for addressing this problem surrounding interdisciplinary academic programs is needed to determine the most effective solution. The Provost's Office will lead discussions on this issue with deans, chairs, and graduate directors.

With the development of numerous new doctoral programs, the role of the graduate teaching assistant (GTA) (in business, humanities, and the social sciences) has shifted from facilitating faculty work to serving as assistants-to-faculty teaching large course sections or as instructors of record in introductory courses. The latter requires that the GTA be master's-prepared. In the laboratory sciences and engineering, the GTA normally assists in laboratory instruction under the supervision of the faculty member who serves as instructor of record, assists with design of course content, provides general oversight in the running of laboratory courses, and facilitates the work of full-time faculty. GTA's are fully supported through University funding. In contrast, graduate research assistants (GRA), whose role is to assist in faculty sponsored research, are supported by externally funded grants and the University subsidizes these appointments by waiving 75% of the student's tuition and fees.

Strengthening recruitment of high caliber candidates for all Ph.D. programs is also needed.

Description: Integrity in the Award of Academic Credit

All University programs are subject to regular review through the AQAD process or by external accreditors. A list and description of [accredited programs](#) is published on the University website. All programs adhere to norms at national research universities and to accreditation regulations with respect to goals, outcomes, and degree requirements. New programs go through a sequenced approval process beginning with the academic department followed by the college, the appropriate academic committee of the Faculty Senate, the Faculty Senate, the Office of the Provost, and finally by the Board of Trustees and the Board of Higher Education. (See Standard 3.)

The University offers four associate degrees through the Division of Online and Continuing Education (OCE); each requires students to successfully complete a minimum of 60 credits of course work. All University baccalaureate degrees require a minimum of 120 credits and all master's degrees require a minimum of 30 credits. Undergraduate certificate programs, offered only through OCE, and graduate certificates require at least 12 credits. The Education Specialist (CAGS) degree requires a minimum of 30 credits and doctoral programs require a minimum of 46 credits beyond the baccalaureate degree.

All new courses and changes to existing ones are documented in the [online catalog](#) along with clearly stated descriptions. In order to ensure completeness of course descriptions and to avoid duplication of courses, all new courses or changes to course descriptions are approved by departmental chairs and by either the Undergraduate Policy Committee (UPC) or the Graduate Policy and Affairs Committee (GPAC) of the Faculty Senate. Graduation requirements for each degree are clearly stated on the University website and any changes to a program must go through the approval process described above. Notice of programs that have been discontinued is posted in the online catalog along with the statement that the University is not accepting any new students. The University does, however, continue to support students who have already enrolled in discontinued programs.

Standard Four: The Academic Program

The assignment of course credit is based on contact hours. Coursework and outcomes for accelerated courses, on-campus, blended, or online courses are comparable to those of 15-week courses. Students are expected to complete approximately 30 hours of study outside of the classroom for every course credit per semester. This [policy](#) is posted on the Registrar's website and the academic catalogs ([undergraduate](#) and [graduate](#)).

Co-ops are not assigned academic credit. Rather, one credit is assigned to preparatory and evaluative courses that precede and follow the co-op experience. Co-ops are developed by a co-op coordinator in consultation with a departmental faculty coordinator. The rotation of courses within departments allows co-op students to complete degree requirements within the published program length. The University is currently encouraging all departments with significant co-ops or internships to offer required courses in one of the summer terms to ensure good progress towards the degree.

The instructor of record has autonomy in the assignment of grades. Grade changes at the undergraduate level, other than grades of Incomplete (submitted following the end of an academic semester), require the approval of the college dean. At the graduate level, any change of grade must be submitted to the Registrar, however late grade changes require approval by GPAC prior to submission. Specific grading policies are published in course syllabi.

In addition to fall and spring semester classes, OCE offers one winter intersession and two summer sessions. All academic programs offered through OCE are under the jurisdiction of the appropriate academic departments and colleges with oversight from the Provost's Office. Full-time and adjunct faculty teaching in OCE are hired and assigned by the academic departments. All partial or fully on-line courses are instructor led, whether synchronous or asynchronous, and all involve sustained interaction with students and multiple assessments of student work.

Up to 90 credits of graded undergraduate coursework that bear grades of C- or above may be transferred to UMass Lowell from accredited four-year institutions. Transfer equivalencies are evaluated by academic departments and are published in an interactive online [transfer dictionary](#). A full list of [articulation agreements](#) may be found on the UMass Lowell website. [Residency requirements](#) for all students are described on the UMass Lowell website, in the undergraduate catalog, and also on individual advisement reports.

The University's graduate admission requirements, both general and program-specific, are available online. Up to 12 credits of graded graduate coursework that bear a grade of B or better may be transferred into a master's degree program at UMass Lowell from an accredited program at another institution. In the case of a doctoral program, up to 24 course credits taken in the completion of a qualifying master's degree may be transferred from an accredited institution of higher learning. Policies regarding [transfer of graduate credits](#) are published in the online catalog.

The University has a clearly formulated procedure for reporting and tracking incidents of academic dishonesty at both the [undergraduate](#) and [graduate](#) levels. Course instructors apply sanctions for academic dishonesty as specified in their course syllabi. The Provost's Office maintains a record of all reported incidents of academic dishonesty and may apply more severe sanctions, including suspension or dismissal, when deemed necessary. Faculty are encouraged to place clear statements on plagiarism and other acts of academic dishonesty on their syllabi. (See Standard 11.) The University library maintains a license for Turnitin®, and faculty are encouraged to evaluate the originality of student work through the Turnitin® site. The Faculty Development Center provides workshops on the use of Turnitin® and best practices in preventing academic dishonesty.

Appraisal: Integrity in the Award of Academic Credit

UMass Lowell's programs and policies ensure that integrity is maintained in the awarding of academic credits. A Definition of a Credit hour is published on the University website. (See [Defining a Credit Hour](#)). Copies of the federal guidelines on the definition of a credit hour have been circulated to Deans and to the Faculty Senate, the entities responsible for oversight of new or changed programs. Procedures and policies are clearly delineated on the web and in our literature. Requirements for in-class and out-of-class work are typically included on course syllabi. The University's long and acclaimed experience with online and distance learning has identified a range of best practices for ensuring quality programs. (See [Index of Syllabi](#).)

Recently the campus has been making increased use of student evaluation data. The administration and the faculty union reached an agreement in the last contract negotiation to have each college create and use a standard evaluation instrument. This is expected to produce a more consistent approach to course evaluation across each college.

In the last several years, the University has seen significant improvements in the completion rates to degrees. Six-year graduation rates have increased from 44% in 2007 to 54% in 2012. Thus, the goal set in the report card of 56% by 2015 appears readily feasible. Further work is needed and is planned, where needed, on student retention, progress towards degree, advisement, active and engaged learning, and supplemental instruction.

Description: Assessment of Student Learning

The academic and institutional leadership of UMass Lowell supports regular and meaningful assessment of student learning as essential to improve student outcomes and experience. The goal of the University is to establish a culture of assessment and robust systems that rely on a variety of quantitative and qualitative methods that will allow us to gain an understanding of student learning and direct pedagogical practice and curricular design.

In 2009, following the fifth-year NEASC Report acknowledging that the campus needed to strengthen its assessment efforts, the campus created an Assessment Task Force of faculty and staff. The task force implemented a campus-wide conference for deans, departmental chairs, and key administrators. The conference was designed to increase understanding of the meaning and importance of assessment of student learning. Subsequently, eleven Assessment Fellows for 2009-10, chosen by competitive application from 5 different departments, participated in a year-long faculty development program, facilitated by the Faculty Development Center, to broaden awareness of assessment across the University. This development work, along with the work of the statewide AMCOA project described below, has laid the foundation for the changes in our approach to assessment of general education.

In the last two years, UMass Lowell has been an active participant in a project initiated by the [Massachusetts Board of Higher Education: Advancing a Massachusetts Culture of Assessment](#) (AMCOA). AMCOA has sponsored several state-wide conferences focusing on assessment activities in which UMass Lowell faculty in biology, business, chemistry, education, English, and psychology have participated. The goal of AMCOA is to share best practices in assessment across the state. Funded by the Board of Higher Education, UMass Lowell has completed one pilot project, in collaboration with our two primary feeder community colleges, to assess writing across the college curriculum using LEAP VALUE rubrics with authentic samples of student work.

Methodology used in the pilot project was applied to a major study of student learning outcomes in the College Writing sequence carried out by the English Department's First Year Writing Program (FYWP). Over this academic year, this project has served to introduce over 30 faculty to the practice of authentic,

Standard Four: The Academic Program

formative assessment. In fall 2012, 524 anonymous student essays were collected from College Writing I sections and evaluated by 26 faculty members using an adaptation of the VALUE rubric on written communication. Readers observed that too many assignments directed students into research writing without proper scaffolding. Informed by these findings, the First Year Writing program convened a team and rewrote the learning outcomes for College Writing I. During the course of fall, 2013, professional development will be provided to bolster faculty's ability to help students achieve strong results in all learning outcomes.

In spring 2013, the assessment reading process was repeated with College Writing II; 24 faculty members read 466 essays and assessed them with a similar rubric. At the time of this writing, investigators are beginning to tabulate and analyze the data for this second round and in fall, 2013 the FYWP will use the resulting data to carry out similar program adjustments for the second-semester course.

A second project, funded by the Lumina Foundation, is now underway to examine ways in which quantitative literacy can be assessed and enhanced across the curriculum. Faculty from biology, business, criminal justice, and psychology programs created assignments that were aligned with the content of the LEAP VALUE rubric in quantitative literacy. The assignments were administered spring, 2013 and an analysis of the results is in process. This project was implemented in collaboration with Middlesex Community College, the primary feeder school of our transfer students. The results of the project will be used to further efforts to align the curriculum of community college and University programs.

A third AMCOA-funded project using the LEAP rubrics for social responsibility, civic engagement, and creative thinking focuses on a comparison of three types of experiential learning: service learning, co-op and co-curricular "Difference-Maker" activities. As part of this project, a series of five faculty development workshops were arranged to attempt to craft a rubric that could be used as a common assessment tool for integrated learning. Implementation of scoring with the newly crafted rubric is planned for AY2014.

Since 2010 the campus has expanded its use of the [National Survey of Student Engagement](#) (NSSE). Where in the past NSSE was administered only once every three years, the Provost's Office is now administering it annually. NSSE data are presented publicly to groups of faculty, students, and staff for analysis and as one of the sources of information being used by the Committee on Transformational Education and by the Division of Student Services. Key NSSE indicators have been incorporated into the campus [Report Card](#). Goals have been set for 2015 for overall student satisfaction, enriching educational experience, and overall quality of advising.

At present, assessment is managed through the office of the Vice Provost for Undergraduate Education. A new Vice Provost for Enrollment position has been created to further advance assessment activities within the University. To share and centralize assessment efforts across campus, an [assessment website](#), organized by baccalaureate programs within the campus' six colleges, was developed. The website provides a mission statement, a link to the program's course of study, and a listing of specific and measurable learning outcomes for that program. The next step, now underway, is to add curricular maps that will identify the way in which courses within each program's curriculum are linked to the learning outcomes. The goal is to also include all graduate programs and to help programs choose appropriate instruments and methods for the collection of meaningful data that can be used to assess student success in attaining the specified outcomes.

The campus continues to require all programs that are not professionally accredited to carry out an [Academic Quality Assessment and Development](#) (AQAD) self-study every five to seven years. AQAD requires each program to undergo both a rigorous internal self-study and a careful examination of its efforts by external reviewers. AQAD guidelines strongly emphasize a focus on student learning. One of

its five primary areas of focus, “Programs shall ensure teaching/learning environments that facilitate student success,” specifies the following areas of inquiry:

- To what extent does the program have articulated learning outcomes (content and skills) for students?
- By what means are these outcomes measured?
- Are they achieved by most students?
- How is assessment of student learning outcomes used in reviewing or evaluating program curriculum and faculty?

Appraisal: Assessment of Student Learning

Assessment of General Education Outcomes: The ETS proficiency profile has been administered four times to assess critical thinking and clear communication. Due to the lack of a representative sample, the university is in the process of developing resources for the assessment of authentic student work using the LEAP VALUE rubrics.

Although not explicitly linked to any particular course, the development of information literacy is an essential learning outcome of the general education program. In order to assess information literacy, the UMass Lowell reference librarians (funded by a Massachusetts Board of Library Commissioners LSTA Grant) administered the ETS iSkills test, which targets information and communication skills, to 160 first-year students. The test was administered prior to any library instruction and again after a second library instruction session in spring semester 2009. The library sessions were found to bolster the skills needed in selecting appropriate databases and developing search skills and techniques. In 2010, the library administered the ETS iCritical Thinking test, a modified version of the iSkills test, to 25 seniors. [Results](#) of that test showed an improvement in information literacy skills in seniors relative to freshmen. The library is continuing to develop new programs to assess information literacy.

Undergraduate Programs: Assessment: With increasing emphasis on the importance of assessment, colleges and departments across the campus have launched a number of important initiatives to assess both degree programs and specific majors. Examples of programmatic assessment follow.

- The Manning School of Business has defined learning objectives by academic program and has mapped desired objectives to appropriate courses required of all students. Within these courses, specific student assignments are developed and evaluated. Assessment of oral communication and quantitative skills is accomplished through the use of outside reviewers, typically successful business alumni, who use rubrics to evaluate student presentations. A modification or change in curriculum may be required based on assessment results, such as the identification for possible requirement of a dedicated global business course, or the introduction of a supplemental instruction program.
- All undergraduate programs in the Francis College of Engineering are accredited by the Accreditation Board for Engineering and Technology (ABET). Since 2000, programs have been accredited using the Engineering Criteria 2000 outcomes-based accreditation model. Program educational objectives and student learning outcomes are assessed with both direct (course data, exams, projects, capstone projects, labs) and indirect measures (employer surveys, alumni surveys, senior exit surveys).
- In addition to using the Fundamentals of Education (FE) exam as an assessment tool, the College of Engineering has conducted student learning outcomes surveys for all undergraduate courses

every semester since 2006, with analysis of results from an array of direct and indirect measures of achievement of undergraduate program outcomes. In addition, some engineering departments also require external review of senior capstone projects. The 2012 ABET self-study team identified assessment as a strength of the civil engineering program, noting that, “The program has a well-developed system for data collection through surveys of students, alumni, and other constituencies for evaluation and assessment to implement improvements to the program. Multiple incremental improvements were documented in the self-study report.”

- In the College of Fine Arts, Humanities, and Social Sciences, the Criminal Justice and Criminology Department conducts annual evaluations for the Board of Higher Education, including assessments of student learning. Two courses were added to the curriculum following a concern addressed in the program review.
- In the College of Health Sciences, graduates from a number of programs are required to pass certification or licensure exams to be qualified to work in their chosen field. Faculty from the programs evaluate the student pass rates on such tests, comparing them to the national average on a yearly basis, to determine the need for changes in the curriculum. Nursing Department faculty also consider student evaluations, senior and graduate exit surveys, alumni and employer surveys, and input from departmental advisory boards in the evaluation of the curriculum.
- The College of Sciences has used grade distribution data to improve student success in a number of gateway courses. The Computer Science Department has enjoyed positive course outcomes in Computing I and Computing II using peer mentoring. The Mathematics Department has developed a supplemental instruction program for Management Precalculus and Management Calculus, with the result that failure rates have declined and students have been able to move steadily forward in their coursework.
- Following the AQAD review of 2008, The Department of Mathematics developed several programs, described above, to facilitate success rates in calculus courses. Most recently, following an analysis of DWF rates in calculus, and calculus requirements across peer institutions, it was determined that the creation of a special calculus section for biology majors, Calculus for Life Sciences, would be beneficial to biology students and would be in keeping with national norms for biology instruction.
- The Physics Department administers the ETS Major Field Test in physics to graduating seniors and uses the results as a way to assess student learning and improve the quality of instruction.
- The Department of Chemistry is developing a test to differentiate between students likely to succeed in Chemistry I and those that may need an additional course to allow them to succeed. Chemistry has also performed artificial intelligence assessment and learning evaluations in some courses (e.g., ALEKS) for possible use in all classes based upon instructor evaluation and feedback.
- In the Office for Career Services, professional co-op programs are assessed through student focus groups. Specific objectives related to learning are identified and measured. The professional co-op program uses student and employer evaluations, work experience reflection brochures, and student presentations to measure achievement of the objectives. The student and employer evaluations are shared with related departmental chairs and faculty, and curricular changes have been made based on the results of the evaluations.

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- The current 2013 return on investment data ([PayScale.com rankings](#)) rank UMass Lowell at number 50 in the country among all private and public institutions on 30 year net-return on investment and at number 10 among all public universities in the country. These rankings are very significant for UMass Lowell because they capture what has been communicated to University leadership regularly by business and industry – that our graduates come to them prepared for the workplace.

Assessment: Graduate Programs

Graduate programs undergo continuous monitoring and evaluation. Some examples of assessment activities at the graduate level include:

- All MEd candidates in the Graduate School of Education must successfully complete a Teacher Performance Assessment (TPA) during their practicum, and candidates can only receive licensure if they successfully complete a Pre-service Performance Assessment (PPA).
- Graduates of the MS, DNP and DPT programs in the College of Health Sciences and of the MS program in autism studies in the College of Fine Arts, Humanities, and Social Sciences are required to pass certification or licensure exams in order to qualify to work in the role for which they were prepared academically. Faculty evaluate graduate performance on exams, papers, projects, class involvement, presentations, and discussions. Students participate in an exit survey that allows faculty to address concerns expressed and refine programs based on feedback.

Projections

- The Committee on Transformational Education will complete the planning phase of the general education revision by the end of AY2014. Campus-wide approval for the revised curriculum will be sought during that time. If approval is obtained, implementation will begin in fall 2014. As part of that revision, replacement of the ETS MAPP exam with a plan that relies on assessment of authentic samples of student work will be implemented.
- The assessment website will continue to be developed by the Vice Provosts of Undergraduate Education and Graduate Education so that all undergraduate and graduate degree programs will have measurable student learning outcomes; will ensure that these outcomes can be met through the curriculum; and will have methods and procedures in place for assessing student learning and using the information for continuous quality improvement. Initial publication of outcomes and curricular maps for all programs should be completed by fall of 2014.
- The Provost's Office is currently searching for an experienced assessment professional who will be likely housed in Institutional Research.
- Working with the Educational Advisory Board, Student Success Collaborative, data analytics will be used to direct change for programs with high rates of "at-risk" students; and to design an interface allowing advisors to quickly identify students with risk factors. The analytics and the interface should be completed by the spring of 2014.
- With the development of two additional instructional locations, plans to migrate specific academic programs should be finalized soon by the Office of the Provost, working with admissions and the Deans' Council. Courses will be introduced on the Haverhill campus in fall 2013 and in Kuwait in fall 2014.

Standard Four: The Academic Program

- The Office of the Provost will develop a template for the collection of quantitative data for AQAD program evaluation that will provide indicators and trends of student and faculty success. The data will enrich the narrative of AQAD reports as well as facilitate a smooth process for the collection of AQAD data with the Office of Institutional Research. The template will be completed during the fall 2013 semester.

Institutional Effectiveness

The University of Massachusetts Lowell has multiple strategies that ensure the integrity, effectiveness, and quality of both graduate and undergraduate academic programs. Efforts continue to strengthen and enhance the assessment of student learning in a systematic manner. Accreditation self-studies of programs and regular AQAD reviews of non-accredited programs provide the opportunity for program assessment, analysis, and the development of strategies to address weaknesses. Data based on faculty and student input, as well as University and external feedback on the self-studies, are used to improve program offerings and student learning.

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

Standard 5: Faculty
(Rank, Gender, and Salary, Fall Term)

		3 Years		2 Years		1 Year		Current Year*		Next Year	
		Prior		Prior		Prior		-		Forward (goal)	
		(FY 2010)		(FY 2011)		(FY 2012)		(FY 2013)		(FY 2014)	
		Fall 2009		Fall 2010		Fall 2011		Fall 2012		Fall 2013 ^Q	
		FT	PT	FT	PT	FT	PT+	FT	PT+	FT	PT
Number of Faculty* (A9)		?									
Professor	Male	145	0	137	0	139	19	138	12	132	12
	Female	39	0	38	0	41	3	41	0	39	0
Associate	Male	54	0	54	0	70	3	85	3	81	3
	Female	44	0	48	0	53	0	61	0	59	0
Assistant	Male	64	0	63	0	47	0	38	0	48	0
	Female	49	0	52	0	47	0	43	0	52	0
NTT Lecturers	Male	0	0	3	0	26	0	37	0	35	0
	Female	0	0	4	0	25	0	44	0	41	0
Clinical Faculty	Male	2	0	1	0	1	1	1	1	1	1
	Female	6	0	9	0	9	0	11	0	11	0
Visiting Faculty	Male	9	0	9	0	5	0	15	2	18	2
	Female	13	0	16	0	14	0	16	0	24	0
Adjunct Faculty	Male	0	283	0	337	0	298	0	248	0	226
	Female	0	185	0	233	0	216	0	193	0	207
Total	Male	274	283	267	337	288	321	314	266	315	244
	Female	151	185	167	233	189	219	216	193	226	207

Standard Five: Faculty

	3 Years		2 Years		1 Year		Current Year*	Next Year		
Professor	184	0	175	0	180	22	179	12	171	12
Associate	98	0	102	0	123	3	146	3	140	3
Assistant	113	0	115	0	94	0	81	0	100	0
NTT Lecturer	0	0	7	0	51	0	81	0	76	0
Clinical Faculty	8	0	10	0	10	1	12	1	12	1
Visiting Faculty	22	0	25	0	19	0	31	2	42	2
Adjunct Faculty	0	468	0	570	0	514	0	441	0	433
Total	425	468	434	570	477	540	530	459	541	451

Standard Five: Faculty

Salary for

Academic Year

		FT	PT	FT	PT	FT	PT	FT	PT	FT	PT
Professor	Minimum	\$54,770	--	\$92,253	--	\$80,112	\$8,667	\$99,777	\$11,145	\$99,777	\$11,145
	Mean	\$114,657	--	\$116,176	--	\$120,869	\$22,097	\$127,880	\$20,063	\$127,014	\$19,000
Associate	Minimum	\$39,944	--	\$73,826	--	\$76,138	\$2,889	\$80,000	\$1,445	\$80,000	\$1,400
	Mean	\$90,744	--	\$92,838	--	\$95,005	\$8,667	\$99,543	\$10,580	\$99,000	\$9,000
Assistant	Minimum	\$33,844	--	\$55,334	--	\$65,331	--	\$65,000	--	\$65,000	--
	Mean	\$74,339	--	\$75,630	--	\$78,116	--	\$83,006	--	\$83,300	--
NTT Lecturer	Minimum	--	--	\$50,000	--	\$52,039	--	\$50,000	--	\$50,000	--
	Mean	--	--	\$59,714	--	\$67,360	--	\$67,976	--	\$67,976	--
Clinical Faculty	Minimum	\$64,000	--	\$64,960	--	\$65,000	\$28,889	\$69,272	\$20,667	\$69,000	\$20,667
	Mean	\$68,080	--	\$69,381	--	\$71,786	\$28,889	\$76,510	\$20,667	\$75,000	\$20,667
Visiting Faculty	Minimum	\$35,000	--	\$40,000	--	\$42,000	--	\$38,000	\$68,000	\$38,000	\$68,000
	Mean	\$61,805	--	\$67,669	--	\$62,940	--	\$62,373	\$76,391	\$62,154	\$76,391
Adjunct Faculty	Minimum	--	\$1,788	--	\$1,445	--	\$5,056	--	\$6,760	--	\$6,700
	Mean	--	\$21,361	--	\$20,276	--	\$19,880	--	\$26,122	--	\$26,000

*"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.

† As of Fall 2011 PT Faculty include Adjuncts and Retired Faculty. If a retired faculty held rank at UML prior to retirement their previous rank is reported separately from the 'Adjunct' group.

Ω As of June 2013.

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

	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)	
	Fall 2009		Fall 2010		Fall 2011		Fall 2012		Fall 2013 ¹	
	FT	PT	FT	PT	FT	PT†	FT	PT†	FT	PT

Highest Degree Earned: Doctorate

Professor	172	0	164	0	169	21	168	12	173	12
Associate	93	0	97	0	118	3	139	3	141	3
Assistant	106	0	110	0	88	0	75	0	76	0
NTT Lecturer	0	0	5	0	43	0	69	0	72	0
Clinical Faculty	4	0	3	0	4	1	6	1	6	1
Visiting Faculty	13	0	12	0	8	0	16	1	16	1
Adjunct Faculty	0	122	0	148	0	129	0	136	0	135
Total	388	122	391	148	430	154	473	153	484	152

Highest Degree Earned: Master's

Professor	12	0	11	0	11	1	11	0	11	0
Associate	5	0	5	0	5	0	6	0	6	0
Assistant	6	0	4	0	5	0	6	0	6	0
NTT Lecturer	0	0	2	0	8	0	12	0	12	0
Clinical Faculty	4	0	7	0	6	0	6	0	6	0
Visiting Faculty	9	0	13	0	11	0	15	1	15	0
Adjunct Faculty	0	320	0	395	0	365	0	285	0	280
Total	36	320	42	395	46	366	56	286	56	280

Highest Degree Earned: Bachelor's

Professor	0	0	0	0	0		0	0	0	0
Associate	0	0	0	0	0		1	0	1	0
Assistant	1	0	1	0	1	0	0	0	0	0
NTT Lecturer	0	0	0	0	0	0	0	0	0	0
Clinical Faculty	0	0	0	0	0	0	0	0	0	0
Visiting Faculty	0	0	0	0	0	0	0	0	0	0
Adjunct Faculty	0	26	0	26	0	19	0	20	0	19
Total	1	26	1	26	1	19	1	20	1	19

Standard Five: Faculty

Highest Degree Earned: Professional License

Professor	0	0	0	0	0	0	0	0	0	0	0
Associate	0	0	0	0	0	0	0	0	0	0	0
Assistant	0	0	0	0	0	0	0	0	0	0	0
NTT Lecturer	0	0	0	0	0	0	0	0	0	0	0
Clinical Faculty	0	0	0	0	0	0	0	0	0	0	0
Visiting Faculty	0	0	0	0	0	0	0	0	0	0	0
Adjunct Faculty	0	0	0	1	0	1	0	0	0	0	0
Total	0	0	0	1	0	1	0	0	0	0	0

?

Fall Teaching Load, in credit hours (A49)

Professor	Maximum	n/a	n/a	n/a	n/a	18	6	20	6	17	6
	Median	n/a	n/a	n/a	n/a	7	3	6	3	6	3
Associate	Maximum	n/a	n/a	n/a	n/a	18	3	18	3	16	3
	Median	n/a	n/a	n/a	n/a	6	3	6	3	6	3
Assistant	Maximum	n/a	n/a	n/a	n/a	18	0	15	0	14	0
	Median	n/a	n/a	n/a	n/a	6	0	6	0	6	0
NTT Lecturer	Maximum	n/a	n/a	n/a	n/a	16	0	15	0	16	0
	Median	n/a	n/a	n/a	n/a	10	0	11	0	12	0
Clinical Faculty	Maximum	n/a	n/a	n/a	n/a	15	0	15	0	15	0
	Median	n/a	n/a	n/a	n/a	11	0	9	0	10	0
Visiting Faculty	Maximum	n/a	n/a	n/a	n/a	15	0	18	15	18	15
	Median	n/a	n/a	n/a	n/a	9	0	11	11	11	11
Adjunct Faculty	Maximum	n/a	n/a	n/a	n/a	0	18	0	18	0	18
	Median	n/a	n/a	n/a	n/a	0	6	0	5	0	6

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.

† As of Fall 2011 PT Faculty include Adjuncts and Retired Faculty. If a retired faculty held rank at UML prior to retirement their previous rank is reported separately from the 'Adjunct' group.

Ω As of June 2013.

Standard Five: Faculty

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

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) ^o	
F'09 + Sp'10		F'10 + Sp'11		F'11 + Sp'12		F'12 + Sp'13		Fall '13 projected	
FT	PT	FT	PT	FT	PT†	FT	PT†	FT	PT

of Faculty Appointed (A9)

Professor	1	0	3	0	3	0	2	0	4	0
Associate	4	0	0	0	2	1	7	0	1	0
Assistant	2	0	14	0	13	0	20	0	22	0
NTT Lecturer	0	0	6	0	27	0	13	0	0	9
Clinical Faculty	0	0	1	0	1	0	1	0	1	0
Visiting Faculty	4	0	5	0	4	0	3	1	13	0
Adjunct Faculty	0	118	0	175	0	138	0	79	0	0
Total	11	118	29	175	50	139	46	80	41	9

of Faculty in Tenured Positions

Professor	184	0	175	0	179	0	178	0	170	0
Associate	83	0	93	0	111	0	135	0	133	0
Assistant	1	0	0	0	0	0	0	0	0	0
NTT Lecturer	0	0	0	0	0	0	0	0	0	0
Clinical Faculty	0	0	0	0	0	0	0	0	0	0
Visiting Faculty	0	0	0	0	0	0	0	0	0	0
Adjunct Faculty	0	0	0	0	0	0	0	0	0	0
Total	268	0	268	0	290	0	313	0	303	0

of Faculty Departing (A29)

Professor	1	0	0	0	0	0	2	0	0	0
Associate	0	0	3	0	1	0	4	0	0	0
Assistant	1	0	0	0	10	0	9	0	1	0
NTT Lecturer	0	0	0	0	3	0	17	0	1	0

Standard Five: Faculty

Clinical Faculty	0	0	0	0	1	0	1	0	0	0
Visiting Faculty	0	0	5	0	5	0	6	0	0	0
Adjunct Faculty	0	87	0	149	0	233	0	17	0	0
Total	2	87	8	149	20	233	39	17	2	0

of Faculty Retiring

	?									
Professor	10	0	7	0	4	0	12	0	1	0
Associate	3	0	1	0	0	0	1	0	1	0
Assistant	0	0	0	0	0	0	0	0	0	0
NTT Lecturer	0	0	0	0	0	0	0	0	0	0
Clinical Faculty	1	0	0	0	0	0	0	0	0	0
Visiting Faculty	0	0	0	0	0	0	0	0	0	0
Adjunct Faculty	0	0	0	0	0	0	0	0	0	0
Total	14	0	8	0	4	0	13	0	2	0

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† As of Fall 2011 PT Faculty include Adjuncts and Retired Faculty. If a retired faculty held rank at UML prior to retirement their previous rank is reported separately from the 'Adjunct' group.

Ω As of June 2013.

Standard 5: Faculty
(Number of Faculty by Department or Comparable Unit, Fall Term) (A2)

3 Years		2 Years		1 Year		Current Year*		Next Year Forward (goal)	
Prior		Prior		Prior					
(FY 2010)		(FY 2011)		(FY 2012)		(FY 2013)		(FY 2014)	
Fall 2009		Fall 2010		Fall 2011		Fall 2012		Fall 2013 ^Q	
FT	PT	FT	PT	FT	PT+	FT	PT+	FT	PT

Number of Faculty by Department (or comparable academic unit)

v	College of Fine Arts, Humanities, & Social Science	132	205	136	259	155	314	179	265	180	258
	Art	11	15	9	16	9	18	9	19	9	16
	Cultural Studies	8	8	10	14	12	23	14	20	12	20
	Economics (C13)	9	8	12	12	13	23	15	19	15	19
	English	14	62	18	81	28	74	35	54	35	54
	History	11	6	12	8	14	16	16	15	15	10
	Interdisciplinary FAHSS (C16)	0	1	0	3	0	1	0	1	0	2
	Journalism and Media Studies	0	0	0	0	0	0	1	0	1	0
	Music	14	53	14	49	15	35	18	22	17	22
	Philosophy	7	8	6	10	6	9	7	11	8	11
	Political Science	7	12	9	19	10	22	10	17	12	17
	Psychology	20	17	20	26	23	51	25	50	25	50
	Regional Economic and Social Development	9	0	0	0	0	0	0	0	0	0
	School of Criminology and Justice Studies (B23)	15	9	17	16	16	34	19	28	20	28
	Sociology	7	6	9	5	9	8	10	9	11	9
	College of Sciences	89	43	95	50	100	100	114	85	115	85
	Biological Sciences	12	2	13	2	14	4	16	5	15	5
	Chemistry	15	5	15	7	18	13	20	7	20	7
	Computer Science	15	1	16	2	15	4	19	5	21	5
	Environmental Science	5	4	6	5	6	2	6	0	6	0
	Mathematics	26	23	26	26	26	66	30	62	30	62

Standard Five: Faculty

Physics	16	8	19	8	21	11	23	6	23	6
Graduate School of Education	14	4	14	6	18	10	18	9	18	9
Curriculum and Instruction	14	4	14	6	18	10	18	9	18	9
College of Engineering	79	17	72	18	84	30	93	26	92	26
Chemical & Energy Engineering	10	2	12	0	13	1	15	1	15	1
Civil Engineering	10	5	10	4	12	7	13	5	14	5
Electrical & Computer Engineering	22	7	20	7	23	5	26	4	27	4
Engineering Technology	4	0	1	0	1	15	1	11	1	11
Mechanical Engineering	14	2	13	2	17	1	20	2	19	2
Plastics Engineering	19	1	16	5	18	1	18	3	16	3
College of Health Sciences	71	29	75	44	73	49	72	41	77	41
Community Health & Sustainability	9	2	8	1	6	10	6	10	6	10
Clinical Lab & Nutritional Sciences	11	9	14	14	15	18	14	22	15	22
Pharmaceutical Sciences	0	0	0	0	0	0	0	0	2	0
Physical Therapy	12	7	12	10	12	12	13	2	14	2
School of Nursing	27	10	29	17	28	8	27	6	30	6
Work Environment	12	1	12	2	12	1	12	1	10	1
Manning School of Business	40	13	42	21	47	31	54	28	59	32
Accounting	11	2	11	4	13	9	14	4	15	6
Management	19	11	23	11	25	16	29	15	32	16
Operations Information Systems	10	0	8	6	9	6	11	9	12	10
Division of Online and Continuing Education (B52)	0	157	0	172	0	6	0	0	0	0
Honors Program (Interdisciplinary)	0	0	0	0	0	0	0	5	0	0
Total	425	468	434	570	477	540	530	459	541	451

*"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.

† As of Fall 2011 PT Faculty include Adjuncts and Retired Faculty. If a retired faculty held rank at UML prior to retirement their previous rank is reported separately from the 'Adjunct' group

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Ω As of June 2013.

Standard Five: Faculty

Description: Faculty

Faculty Composition: The University faculty includes full-time tenure-track (TT) and tenured faculty who focus on teaching, research, and service. TT faculty positions require the PhD or appropriate terminal degree for appointment at the assistant professor level and the PhD and successful experiences at tenure-track or tenured positions for appointment as associate or full professors. The faculty also includes non-tenure-track lecturers (NTT; less than 20%) who focus their efforts on teaching and service. Normally, the NTT faculty are assigned to courses in general education and introductory courses in the major. Most (85%) of NTT faculty have the PhD or appropriate terminal degree and 15% are master's-prepared. Both TT and NTT faculty are represented by the faculty union, the [Massachusetts Society for Professors \(MSP\)](#).

UMass Lowell employs part-time (adjunct) faculty, to a lesser extent, who typically teach general education courses in areas with high demand such as English and mathematics and courses in continuing education. Part-time faculty members are represented by an independent union affiliated with the [United Auto Workers \(UAW\)](#). UMass Lowell also employs graduate teaching assistants (GTAs) for laboratory instruction under the supervision of full-time faculty. GTAs who have already completed the master's degree may serve as instructors of record in introductory courses. GTAs are represented by an independent union that is affiliated with the UAW (See <http://www.uml.edu/hr/Labor-Relations/TA-Labor.aspx>).

The NEASC Commission, in its letter of October 2010, emphasized the need to reduce the University's reliance on adjunct faculty and sought further information on our stated goal of increasing full-time faculty by 30% by 2015. The University is indeed on track to achieve this 2015 goal (See [Report Card](#)). The number of full-time faculty has grown from 425 in fall 2009 to 535 in fall 2012 (See table below.), representing a 26% increase. By the same token, the percentage of credit hours taught by part-time faculty decreased to 22% in fall 2012 and we project that it will drop to 18% in fall 2013. The University decreased reliance on part-time faculty both by hiring new TT and NTT faculty and by instituting minimal enrollment limits for classes: 8, 12, and 16 for graduate, upper-division, and lower-division classes, respectively.

Table 5.1 Trends in Number of FTE Faculty

	Fall 2009	Fall 2010	Fall 2011	Fall 2012
FT Faculty	425	434	484	535
PT FTE Equivalent**	156	190	180	153
FTE**	581	624	664	688
% Instruction Capacity by Adjuncts	27%	30%	27%	22%

Source: OIR, HR census files. "Data First Forms" prepared for NEASC self-study.

**Calculated according to IPEDS (Department of Education) methodology: FT + [(1/3)PT]

Strategy in Hiring of Faculty: As outlined above, the University has supplemented the hiring of tenure-track faculty with non-tenure track full-time faculty. The latter category was created, in consultation with the faculty union, in order to reduce reliance on part-time faculty in the teaching of general education

Standard Five: Faculty

courses in English, mathematics, languages, and introductory courses in the natural sciences. Full-time NTT faculty have enhanced ability to meet with students outside class hours and perform service functions in support of student learning. These duties are consistent with the job description for full-time NTT faculty: 60% teaching and 40% service. The NTT faculty are primarily assigned to departments that have significant obligations to offer introductory courses.

In contrast, newly hired tenure-track and tenure-upon-entry faculty are assigned to academic departments based on: 1) the number of undergraduate majors; 2) numbers of master's degree programs and size of enrollments; 3) nature of doctoral programs, if any; 4) existing and potential research productivity; and 5) contribution to existing and potential centers of excellence.

Recruitment and Appointment Process: The recruitment and appointment process for full-time faculty is open and orderly and fully articulated in [Article VII](#) of the [MSP contract](#). The dean prepares a hiring plan for the college, with input from the departmental chairs, relative to departmental teaching obligations, anticipated contributions to research productivity, the strategic goals of college and the University, and the availability of budgetary resources. The plan is submitted to the Provost for approval. In the past five years, the Provost has approved, and on occasion, encouraged, the hiring of senior faculty with tenure upon entry, based on an assessment of the potential positive impact for such hires on advancing departmental, college, and University goals. A position announcement, approved by the dean, Provost, and Human Resources (HR) is posted on the [Human Resources website](#) and is also placed in appropriate national journals, web-based employment sites, and publications that are directed at candidates from underrepresented populations.

The criteria for appointment, promotion, and tenure are described in Article VII of the faculty contract. Typically the procedure for appointing a new faculty member begins with a departmental search committee often consisting of all departmental faculty, or an agreed upon subset of the faculty. This committee carries out the initial screening of faculty candidates. The candidates selected by the search committee are recommended first to the departmental chair and then to the dean. [Equal Opportunity and Outreach \(EOO\)](#) reviews the results of the search to ensure that it has been conducted in compliance with the campus affirmative action plan and, if so, then sends its review to the dean. The dean, if approving, sends a hire recommendation to the Provost who, in turn, reviews and, if approving, authorizes the dean to negotiate salary and conditions.

Tenure and Promotion: The criteria and processes for consideration for promotion and/or tenure are clearly articulated in the faculty contract. Tenure-track faculty must present their credentials for tenure and promotion to associate professor by the sixth year of employment at the University. Individuals not receiving tenure and promotion receive a terminal seventh-year contract.

UMass Lowell follows a UMass System policy for periodic review of tenured faculty, the [Periodic Multi-year Review](#) (PMYR). The purpose of the PMYR is to assist faculty in their professional development and to create opportunities for self-reflection, intervention, and assistance where necessary ([MSP contract, Appendix A-13](#)). The PMYR is typically carried out at the same academic year that a periodic departmental program review ([AQAD](#)) is conducted. This context encourages consideration of the ways in which a department contributes to the overall mission and strategic goals of both the college and the University. A third and related policy developed and adopted by each college in 2012 governs faculty workload. These college-specific policies aim at achieving equity in total effort in teaching, research, and service for faculty across departments and colleges. These policies also provide an additional opportunity to link faculty assignments with departmental and college needs and enable faculty to apply their talents differentially in support of departmental and college needs and strategic goals.

Lecturers: Lecturers are NTT faculty who receive annual contracts based on evidence of excellence in teaching and service. After six years, lecturers can be considered for promotion to senior lecturers who can then expect continuation at the University.

Faculty Compensation: Base salaries are established by rank in the MSP contract, [Article XIX](#). For faculty with postdoctoral experience, salaries are recommended by the chair to the dean, and by the dean to the Provost. Start-up funds are also recommended by the dean. In the case of laboratory engineering and science faculty, start-up recommendations are made by the Vice Provost for Research. Final offers are made to the candidates by the Provost. Comparisons of average salaries at UMass Lowell with those at peer institutions (based on IPEDS 2011 data) show that salaries at UMass Lowell are very competitive at all ranks.

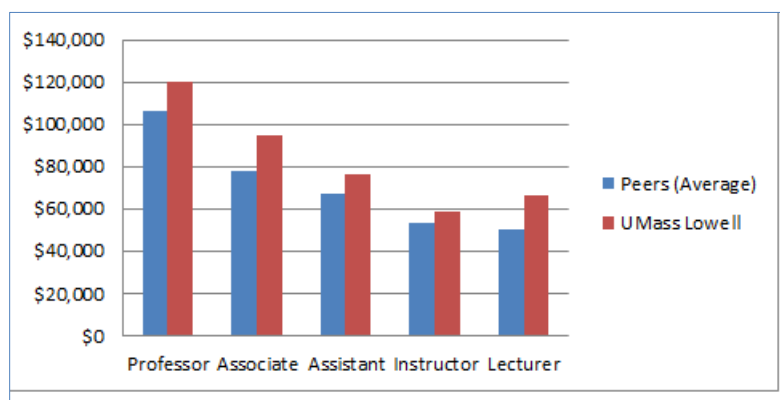


Figure 5.1 Comparison of UMass Lowell Salaries with Average Peer Salary

Faculty members who meet the eligibility criteria for satisfactory performance receive a salary increase negotiated by the [President's](#) Office and parent union; faculty are also eligible for college merit and dean's merit. All TT and NTT faculty are eligible for professional development funds that are provided to departments at \$1000 per faculty member per year. The dean and the Provost provide supplemental funds for travel to international meetings based on assessments of merit by the dean.

The Provost's Office conducts an annual salary review process in which faculty requests for salary increases are reviewed by the dean of the college and by a committee agreed upon by the MSP and the Provost. These requests are evaluated on the basis of merit and internal and external salary comparisons, with final decisions made by the Provost. In recent years, positive reviews have resulted in salary adjustments ranging from \$4000 to \$15,000.

Each year the University, in consultation with the academic departments, gives Teaching Excellence Awards in the amount of \$1,000 to deserving faculty members. The University also annually awards a University Professorship to one faculty member with a distinguished record. This award is based on judgment of a committee that is constituted by the Provost in consultation with the MSP. This award is granted for three years and carries with it a \$10,000 cash stipend and reduced teaching load for the purpose of enhancing scholarly work.

Faculty Assignments and Workloads: Workloads are consistent with the MSP contract; broad teaching load guidelines are specified in [Article XVI](#) of the document. In Academic year 2011-12, with the goal of achieving greater total workload equity, college workload committees were established by the Provost in collaboration with the MSP. Each college workload committee consisted of departmental chairs, an MSP representative, and the dean of the college who served as chair.

Standard Five: Faculty

The guidelines each college developed reflect the workload of its full-time TT faculty and the nature of disciplines taught. All colleges defined three levels of research productivity in the context of the norms of the discipline: research-productive; research-active; and focus on teaching and service. (See [Workload Agreements](#).) The maximum teaching load for both tenured and tenure-track faculty is 18 credit hours per academic year. This maximum load is reduced to 15 credit hours for research-active faculty and to 12 credit hours for research-productive faculty. The teaching load can be similarly reduced by 3 or 6 credit hours per academic year for major service efforts, in accordance with college-specific workload agreements.

The maximum teaching load for NTT faculty is also 18 credits, to which is added significant service that is defined at 40% effort. An exception to the workload policy applies to faculty who are assigned exclusively to introductory writing and language courses: in these instances the maximum teaching load is 24 credit hours. The rationale for this exception is that in these cases the NTT faculty member is teaching multiple sections of one course with enrollments of 19 or less.

Annual Evaluation of Faculty Performance: The evaluation of full-time TT faculty ([Article IX](#) of the contract) includes assessments of instructional effectiveness, research productivity, and service contributions. The standard evaluation areas for NTT faculty are instructional effectiveness and service contributions. Student evaluations are conducted in every class for all non-tenured TT faculty, assistant clinical professors, and lecturers. These evaluations are considered part of the annual evaluation and reviews associated with personnel action. Student evaluations of tenured faculty, associate clinical faculty and senior lecturers are conducted in one class per semester. The purpose of these student evaluations is to inform faculty, departmental chairs, the dean of the college, and the Provost about student perceptions of their classroom experience. Student evaluations are viewed as one means by which faculty and departments may promote and maintain quality instruction and are not used to support negative personnel action. Instruments for student evaluation of faculty are developed by an evaluation committee in each college.

For untenured TT and NTT faculty, the departmental chair or designee makes at least one classroom visit each semester and prepares an annual evaluation. The Departmental Personnel Committee performs an annual review and provides a positive or negative recommendation regarding reappointment. Adjunct faculty are evaluated on the basis of teaching effectiveness as measured by student evaluations. All adjunct faculty are evaluated in all courses by a [student evaluation instrument](#) that was agreed upon by the Provost's Office and the adjuncts' faculty union. All courses taught within the [Division of Online and Continuing Education \(OCE\)](#) are evaluated using the common student evaluation form for adjunct faculty.

Description: Teaching and Advising

Syllabi: Faculty are responsible for ensuring that the content and methods of instruction support student learning, the University mission, and the standards of their professions. Faculty are expected to provide a syllabus for each course. While no specific template for the syllabus is required, suggested components include course description, course objectives, required texts, reading and writing assignments with deadlines for completion, class attendance policy, evidence expected for meeting course objectives, rubrics for grading, plagiarism guidelines, and the instructor's University e-mail and office hours. (See [Index of Syllabi](#)).

Students in each program are taught by a variety of faculty in order to expose them to varying points of view. Generally, individual faculty select their own texts and course materials and pedagogical approaches used, except in cases where departmental decisions have supported the use of common approaches to these course elements.

Curriculum: Faculty participation in and oversight of course and program development is ensured through the work of departmental and college-level curriculum committees as well as by the Faculty Senate. After approval by departmental or college level curriculum committees, new or revised academic programs and new courses are presented to sub-committees of the [Faculty Senate](#) for review and approval ([Undergraduate Policy Committee](#) or [Graduate Policy and Affairs Committee](#)). If approved, new programs must then be reviewed and approved by vote of the full Faculty Senate, which includes representation from tenured, non-tenured TT, and NTT faculty in all departments. The [General Education Coordinating Committee](#) of the Faculty Senate oversees the development, review, and approval of all general education courses. Faculty who wish to offer general education courses must submit course syllabi, sample course content, learning outcomes, sample assessment materials, and a clear explanation of the way in which the course relates to the general education program. The Committee provides feedback and direction to applicants for general education approval. (See also Standards 3 and 4.)

Instructional Technology: Over the last decade, the University has focused on the use of technology to enhance teaching and learning. Academic technology training is provided by several campus organizations, including the [Centers for Learning](#), the [Faculty Development Committee](#), the [Office of Information Technology](#), the Division of Online and Continuing Education (OCE), and [the Office of the Provost](#). Training and support is available for a variety of academic technologies, including Echo 360 (lecture capture), Blackboard, wikis, clickers, i-Pads, Turnitin®, and Acrobat. The OCE provides training for all faculty (full-time and adjunct) who teach web-enhanced, blended, or online courses.

Graduate Teaching Assistants (GTAs): GTAs are employed to assist faculty in large courses and in instruction of laboratories. They are carefully selected by the academic department and require the approval of the dean and the Provost. GTAs are supervised by a faculty member with oversight by the departmental chair. Each GTA is formally reviewed at the end of each academic year. Masters-prepared GTAs can serve as instructors of record for introductory courses.

Student Advisement: Full-time faculty serve as academic advisors to students, and advising takes place primarily at the departmental level. The availability of full-time NTT faculty with 40% effort in service has significantly enhanced the faculty resources available for advising. Faculty office hours, usually three hours per week, are increased to five hours during the advising period to provide more time for student advising. In addition, within the last several years, individual faculty members have been provided with extra compensation to work in the capacity of transfer coordinator, freshman coordinator, or graduate coordinator in their departments. For at-risk students, mid-semester evaluations and mid-term grades provide an opportunity to intervene by providing counseling and tutoring. (See also standard 6 for description of Starfish® EARLY ALERT.). Students taking courses in the Division of Online and Continuing Education (OCE) are advised by full-time departmental faculty whose teaching assignments in OCE are usually for extra compensation. The Division of OCE also has compensated program coordinators who advise students.

Description: Scholarship, Research, and Creative Activity

Overview: The recently re-organized [Office of the Vice Provost for Research](#) (VPRO) oversees UMass Lowell's campus-wide planning efforts and administrative services with respect to research, core research facilities, research institutes and centers, and technology transfer and compliance activities. The VPRO, working with faculty, has developed research policies and guidelines on ethics, consulting, grant spending, intellectual property, research centers and institutes, training in the handling of animals, use of recombinant DNA, radioactive research materials and biological agents, safety in the lab, and export control policies.

Standard Five: Faculty

Specific efforts are being made to identify and support research areas that have a critical mass of faculty with competitive expertise. The VPRO sponsors regular informational luncheon sessions, called Enlightened Bites, that enable faculty from across the University to meet and discuss research opportunities, use of resources, and other topics of interest such as the writing of successful seed grant proposals, internal University funding, or an overview of [Commercial Ventures and Intellectual Property \(CVIP\)](#). In addition, in partnership with the five-campus UMass System, training by consultants has provided faculty support in the development and submission of NIH grant proposals.

Key achievements in research and scholarship include a steady increase in research awards, higher proposal success rates, and the establishment of mechanisms for better tracking and visibility of scholarly productivity. Discounting one-time stimulus (ARRA) funds in FY11, UMass Lowell is on track to increase its awards by roughly \$3.8M per year, increasing by 14% of our FY10 numbers (See figure 5.2a). NSF research expenditures are more complex to analyze, because they include both increases in expenditures of external research funding and internal investments. (See figure 5.2b.) Our internal investments have included reductions in teaching loads for research-productive faculty, reduced teaching for tenure-track assistant professors, and hiring of professional staff for operating core facilities. Total NSF research expenditures have lagged behind our increases in awards, but we anticipate continued steady increases, despite the federal funding climate, as we diversify and strengthen our research funding portfolio. Ongoing efforts include increasing partnerships with industry and government labs, establishing more visible center-level programs, and providing assistance to agency and faculty members, based on success rates.

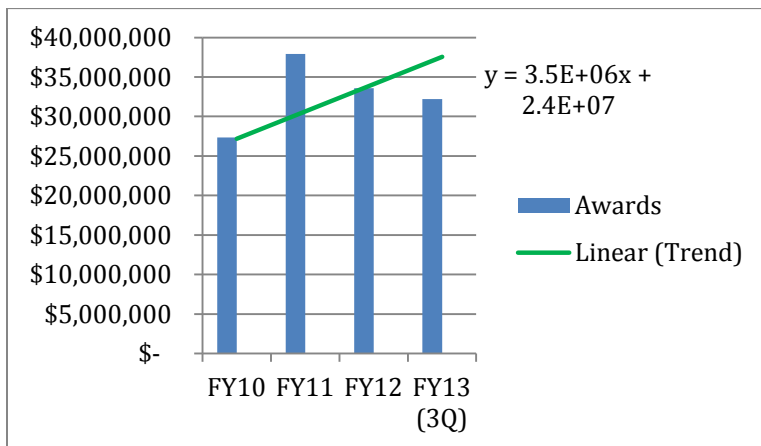


Figure 5.2a: Research Awards (note that FY13 is only up to Q3)

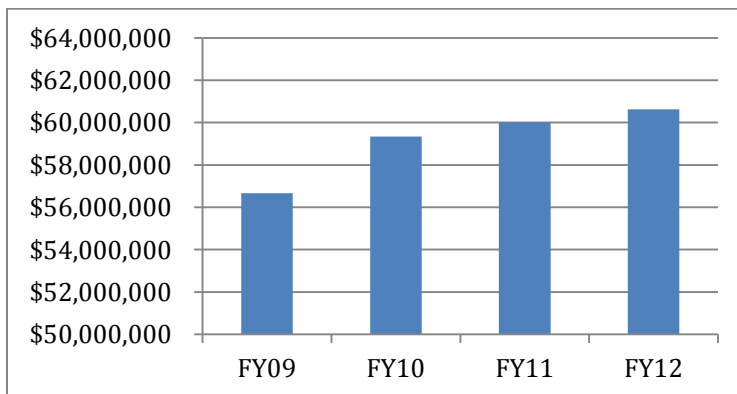


Figure 5.2b: Research Expenditures

Supporting Faculty Scholarship: Over the past five years, the institution has placed great emphasis on actively encouraging faculty scholarship. More time has been provided for productive scholarship through the implementation of faculty workload agreements that link research effort to assigned teaching and service loads; the addition of NTT faculty to carry a large share of teaching of lower-division courses and student advisement; reductions in teaching load for tenure-track assistant professors; hiring high quality graduate teaching assistants to assist faculty in large courses and in laboratory instruction. Specific examples of additional funding resources include regular competitions for internal research seed grants for tenure-track faculty and independent competitions for tenured faculty; increased competitiveness for UMass System-wide funding; regular funding of professional development at the departmental level; supplemental funding for use of core (shared) research facilities (See Table 5.2). Other resources such as staff support and facilities are described later in this section.

Table 5.2 Examples of Funding Support for Faculty Scholarship

Funding	Emphasis	Typical Funding Amounts
Internal seed grants (including Healey and Public Service Awards)	Funds are distributed to both tenure-track and tenured faculty. Awards have been distributed to all colleges	Awards of \$5-10K, with approximately \$100K awarded annually as part of this RFP (other seed funding provided separate from this RFP due to timing – some examples seen below)
UMass President's office Science & Technology awards	Seed funding for "Center-level" efforts, with multiple faculty (and sometimes multi-campus).	Awards of \$100-150K. In recent years, Lowell has received 1-2 per year. When only 1 is awarded, the VPR office has often provided \$20-40K to the second and third most promising proposals to provide seed support.
UMass President's office Creative Economy awards	Funding for projects that have a connection to the community and/or to the arts and humanities.	Awards of \$25-40K. In recent years, Lowell has received a high percentage of these awards – roughly 3-6 each year.
Departmental Professional Development Funds	Funding for conference travel, publication costs, and other professional development	
VPRO travel funds	Funding for faculty to visit program directors and other key funding agency personnel	Travel expense reimbursement.
VPRO core research facilities (CRF) training grants and seed grants	Supplemental funding that faculty can apply for to cover user fees for student training on instruments and for educational and/or seed efforts to obtain preliminary data.	Varies by instrument
CVIP (tech transfer) technology development fund (system-wide)	Funding for further development of research and university IP that has significant commercial potential	Awards of \$25K. Lowell has typically received 2-3 awards/year.
CVIP internal seed funds	Funding for further development of research and university IP that has significant commercial potential, and are deemed worthy, but because of timing or other factors, did not	Awards of \$10-25K. Typically 2-4 projects are funded annually.

Standard Five: Faculty

Funding	Emphasis	Typical Funding Amounts
	receive system funds.	
Other UMass system-wide funding opportunities	e.g., Life Sciences Moment Fund (collaboration with the Medical School), high performance computing center collaborations (State-wide), Next Hundred Million – collaborations with MA Biologics	Varies

The University has expanded recognition of research accomplishments at University events and in publications. The highest recognition of faculty accomplishment within the University is the distinguished University Professor award. The honor recognizes an individual who, over a period of years, has consistently demonstrated exemplary teaching, internationally significant research, and extraordinary service to the University community. The award is bestowed annually, based on a committee recommendation after review of nominations solicited from the campus. Faculty awards for research and commercialization are typically presented at the annual faculty symposium, recognizing faculty productivity for the past year – i.e., awards for high number of refereed publications, high research expenditures, or top licensing and patent activity. In addition, a liaison to the University’s Office of Public Affairs has been added to the Provost’s Office in order to ensure visibility and to help prioritize publicity needs.

Policies and Procedures Related to Research: The UMass Lowell commitment to the principles and standards of academic freedom and academic responsibility is articulated in [Article XV](#) of the faculty contract. Faculty are expected to act and perform their duties in a responsible and ethical manner.

The UMass System [Board of Trustees](#) establishes high-level policies with few specifics on process. Each campus is then responsible for developing compatible processes and guidelines that elaborate on ways in which the campus will address issues such as conflict of interest, scholarly misconduct, and export control. All such processes related to research are available on the [research administration website](#); details related to [institutional compliance](#) (e.g., [IRB](#), [IACUC](#), [IBC](#)) are also posted on the website. (See also Standard 11.) Most of these processes were drafted by groups of faculty, administrators, and research staff who looked at best practices at other institutions and then tailored the processes to UMass Lowell. For most of our compliance committees, we have established a consistent rotation of members and chairs in order to involve and educate a large number of faculty in the important process of institutional and individual compliance and responsibility for meeting ethical and legal concerns. In collaboration with the administration, the Faculty Development Committee conducts workshops for faculty on topics related to plagiarism and academic integrity. UMass Lowell maintains a site license to the plagiarism detection software *Turnitin®*, the use of which is addressed in the plagiarism workshop.

Support of Research and Scholarship: One of the key shifts in support of research has been the emphasis on faculty collaboration through disciplinary and interdisciplinary research centers. In the current challenging funding climate, the University has recognized that in order for our faculty to be competitive for funding, faculty recruitment, and student recruitment, it is necessary to establish UMass Lowell as having centers of excellence in a number of clearly defined areas. In order to establish these areas of excellence, we have encouraged a bottom-up approach in which faculty propose new centers and institutes, and the proposals that meet or exceed our criteria for these entities are given priority in terms of staff support and visibility at the University (See [Center Guidelines](#)). One of the main requirements of these centers is that they must show a connection to the instructional program, rather than viewing themselves as independent of the academic enterprise. Such connections include supporting or collaborating with graduate certificates, undergraduate minors and concentrations, and interdisciplinary

Standard Five: Faculty

degree programs; supporting the undergraduate and/or graduate research program to provide experiential learning opportunities; and direct reporting to one or more deans.

Whether as part of a center or through their individual efforts, University faculty have enhanced the quality and experience of graduate and undergraduate students through participation in a wide variety of research projects. Faculty have participated in the [Research Scholar Co-op](#) program for outstanding undergraduate students by serving as mentors for students who receive the research scholarships (See Standard Six). Both graduate and undergraduate students present their work at the research symposia and conferences conducted at UMass Lowell and at national and international professional meetings.

Faculty scholarly work in the humanities, social sciences, and fine arts has been encouraged through the [Interdisciplinary Exchange and Advancement](#) (IDEA) communities. The IDEA Communities initiative, facilitated by the [Center for Women and Work](#) (CWW), was designed to enhance mentoring and support for innovative ideas and scholarly work by UMass Lowell faculty. Each IDEA Community engaged a small group of faculty from a variety of departments and colleges, including one who served as facilitator, to share interests around a common topic. A long-term gerontology IDEA community has evolved into the Gerontology Research Group and has also prompted the establishment of a Regional Consortium of Gerontological Community-Engaged Researchers.

In addition to facilitating interdisciplinary collaborations across the Lowell campus through research centers, another strategic objective of the University is to foster partnerships across the five-campus university System and with other complementary partners. One example includes the five-campus partnership in the [UMass Center for Clinical and Translational Science](#) (UMCCTS). UMass Lowell faculty who conduct clinical or translational research may become members of this group and receive benefits, such as eligibility to apply for pilot grant programs, reduced rates for use of research core services at the UMass Medical School, and facilitation of academic/community partnerships. Regular seminars and research symposia are offered with involvement of researchers from the five-campus System. A second example is the recently formed [Harnessing Emerging Research Opportunities to Empower Soldiers](#) (HEROES), a collaborative effort with the Natick Soldier Research, Development, and Engineering Center (NSRDEC). This collaboration provides expanded opportunities for NSRDEC researchers to work side-by-side with UMass Lowell faculty and students on projects vital to soldier safety and well-being. These projects include the areas of flame-retardant materials, nutrition, parachute technology, anti-microbial coatings, and ballistic protection.

To ensure that the University can keep up with the demand for state-of-the-art instruments to conduct fundamental experiments (e.g., electron microscopes, animal imaging, 3D printing, nanofabrication), the University has funded maintenance and upgrade of equipment in core shared facilities and other facilities, and has hired professional staff for operation of shared facilities. We have established an online database of all capital (and potentially shared) [equipment](#) and created an online reservation and billing system for users of our major core research facilities (e.g., materials characterization lab, nanofabrication lab, robotics test-bed). Plans are in place to continue the expansion of this database and to include services that may be of interest to a broader set of faculty, which could include services such as biostatistics, educational program assessment, qualitative analysis, proposal writing, and project management.

The University has also embarked on a major increase in and renovation of physical facilities. Two new academic buildings have been completed in the last year – the [Mark and Elisia Saab/ ETIC](#) and the Health and Social Sciences Building (HSSB). The former represents an interdisciplinary research facility with both core research facilities (e.g., nanofabrication lab/clean room, American Society for Testing and Materials (ASTM) physical properties lab, and plastics processing high bay) and faculty research labs focused on nanomanufacturing, nanomedicine, and flexible/printed electronics. The latter provides new classroom, office, research and teaching labs for nursing, psychology, and criminal justice. Recently

developed master plans provide guidelines for strategic renovation of research and teaching facilities across the campus. (See also standard 8.)

Faculty exercise a substantive role in the development and administration of research policies and practices. There are several different groups that provide input to and/or are responsible for implementation of research policies and practices. Table 5.3 provides a summary of some of the major committees.

Table 5.3 Faculty Committees with Significant Input on Research Policies and Practices

Committee	Selection	Role
Faculty Development	1 rep from each college; selected by Provost's office with recommendations from deans	Organize P&T workshop; develop programs to assist faculty in research, teaching, and service
Center Directors	All directors of university research centers and institutes	Provide input on policies and practices concerning centers and research
Faculty PIs	All funded PIs and new faculty	Provide input on policies and practices concerning research
Core Research Facilities Advisory	Representative users	Review user fees, usage policies, investments in new and existing equipment, outreach effectiveness
Senate R&D	Subcommittee of the Faculty Senate	Address research concerns such as the misconduct policy, IP guidelines
Office of Commercial Ventures and Intellectual Property (CVIP) Faculty Advisory	Selected by CVIP (tech transfer) with recommendations from faculty, chairs, deans	Provide input on policies and practices; serve as ambassadors to encourage entrepreneurship and IP creation
UMII Advisory	Representative faculty and administrators	Provide input on new structure for interacting with companies
Institutional Compliance Committees (IRB, IACUC, IBC, Conflicts, Radiation safety)	Representative faculty	Review protocols, cases, policies and practices.

Appraisal

The University is growing in terms of student enrollment, faculty hiring, reputation and infrastructure. Student enrollment has increased over 37% in the past 5 years. New faculty have been added in areas that experienced significant enrollment increases and have also been added to strengthen the quality of teaching and research programs in selected departments. The percentage of credit hours taught by adjunct faculty has decreased to 22% and is projected to decrease further to 18% in fall 2013. New faculty laboratories have been developed through construction of new facilities ([Mark and Elisia Saab Emerging Technologies and Innovation Center/ETIC and HSSB](#)) and through renovation of existing facilities. Most laboratories for new faculty in engineering and the natural sciences have been upgraded and renovated.

Standard Five: Faculty

The construction of new facilities has vacated an excess of 45,000 assignable square feet (ASF) that will be renovated for use as classrooms and faculty offices. This process is ongoing.

The new college workload policies have created greater equity in teaching and service responsibilities across the University, as well as criteria for reduced teaching loads for research active and research productive faculty. The policies have also improved the recognition of scholarship in disciplines that do not traditionally have access to significant external funding as well as recognition of those faculty who are funded researchers. The new policies provide greater transparency and accountability of the course assignment process and an enhanced ability to identify future hiring needs.

The results of the three prior NSSE surveys ([2008](#), [2011](#), and [2012](#)) have shown that additional support for the advising function could improve student success outcomes. Some of this need has been addressed by creating a strong advising role for NTT faculty, by appointing designated coordinators for first-year and transfer students, and, in some colleges, by supplementing faculty advisors with professional advisors. [The Committee on Transformational Education](#) has brought speakers to campus and offered workshops addressing advising. Data analytics, now being developed through the [Student Success Collaborative of the Education Advisory Board](#), will provide faculty with accurate and actionable risk assessments for each of their advisees. In addition, as the University works toward automating some aspects of the registration process, the role of faculty in advising can shift from providing semester-by-semester course recommendations to offering long-term goal and career choices.

Technology training is offered by a number of units across the University. The distributed nature of training support services provides some challenges in regard to faculty access to these services. At present there is no single point of contact for faculty development opportunities. Training support services are offered by the Division of Online and Continuing Education (OCE), the Office of Information Technology, the Centers for Learning, and the Faculty Development Committee. Each unit determines training schedules, course offerings and course policies. Recent training efforts have focused on teaching faculty to use specific technologies. There may be, however, benefit to the expansion of programs that assist faculty in examining issues of pedagogy, assessment, student retention, and research. The Faculty Development Committee and the Committee on Transformational Education are working together to implement mentoring models and expanded programing to foster advancement in teaching and scholarship.

Over the past year, the Division of Online and Continuing Education has trained over 119 day and evening faculty in online educational techniques and pedagogy. Currently over 715 faculty members, teaching fully online, blended, and web-enhanced courses using Blackboard, are supported by the OCE. All new online courses are reviewed by the OCE to ensure that they adhere to the model of best practices established by the Division. The OCE has won many awards for the quality of its programs, including six [national Sloan-C awards for excellence](#) that they attribute, in great part, to the quality of their training.

In addition to the campus' extensive online education program, faculty make considerable use of web-enhanced courses. Since the summer of 2012, the University has offered 1268 web-enhanced sections. Faculty use web enhancements to facilitate student access to course materials, lecture notes and assignments both in and outside of the classroom. The Faculty Development Committee provided 126 technology training sessions in AY2011. These sessions focused on the use of specific campus technologies such as Echo 360 (lecture capture), Blackboard, wikis, clickers, iPads, Turnitin®, Photoshop, and Acrobat. Small grant programs have been integrated to assess the impact of technology on student learning. For example, the [Echo360 LightHouse Project Grants](#) are intended to enhance and extend the use of lecture capture technology at the University by providing funding to faculty to explore and implement innovative uses of Echo 360, assess the use of this resource, and evaluate retention and performance of students exposed to lecture capture. Nine faculty projects are currently funded by this

initiative. Data show that the use of lecture capture by faculty has increased steadily over the past four years, going from 80 classes in 2009-2010 to 230 classes in 2012-2013.

In academic year 2011-2012, all campus classrooms were upgraded with computer and video projection equipment, computers, and Internet access. The campus adopted a standard technology platform in these smart classrooms in order to facilitate ease-of-use for faculty teaching across campus. In addition, lecture capture technology is provided in 85 classrooms. (See also Standard 7.)

The University is in the midst of a shift in pedagogy in relationship to the role of GTAs in the classroom. One of the key objectives of the UMass Lowell [2020 Strategic Plan](#) is to strengthen both quality and quantity of graduate and research programs, including distinctive doctoral programs. New GTAs at UMass Lowell will be doctoral students who may be designated as instructor of record in some classes. The GTA instructor of record will have full responsibility for planning, teaching, and grading. Mentoring of GTAs will be needed as the University develops new PhD programs and allows master's-prepared TAs to have increased autonomy in the classroom. The administration and the GTA union are discussing plans to develop formal training for new GTAs.

In general, over the past five years, the institution has implemented many changes to positively affect the growth of faculty research and scholarship. Key among these changes are: a major emphasis on increasing "center-level" collaborations; more individual faculty training related to obtaining and managing grants; increased access to shared equipment and improved facilities; improved compliance processes; and greater recognition of faculty accomplishments. Nevertheless, many of these changes are still relatively new and evolving. For example, new centers are forming based on the interests of newly hired and existing faculty, but many of these do not yet have the robust community that mature centers provide to enhance student experiences, generate national reputation, and increase funding opportunities. Similarly, although we have established the core research facility (CRF) structure, there are currently only three formal CRFs with technical staff. We anticipate the number of CRFs will grow to approximately ten, and that the searchable database will more than triple in number of equipment and services listed.

Our faculty training opportunities for grants and compliance cover significant breadth and are of high quality, but we would like to increase participation by providing more online training and more targeted training by discipline and experience level. Average participation in workshops is currently on the order of 15 to 25 faculty (or relevant technical staff) per session.

We are currently launching a further new initiative intended to decrease the time that it takes for new faculty to be productive in research and scholarship. The Office of Research Administration, working with the Faculty Development Committee plans to implement: (1) a first year "launch team" to assist with immediate questions such as laboratory readiness, student hiring, and meeting potential collaborators; and (2) longer-term mentoring support.

Finally, faculty recognition based on current individual metrics is greatly improved, but we are currently implementing a digital database (Digital Measures®) to regularly generate aggregated numbers of refereed journals, books, honors and awards, etc. by department, college, and university.

Projections

- In order to further ensure equity in faculty workloads, the Provost's Office is working with deans and chairs to establish course enrollment caps that are aligned with norms at national research universities. Towards this goal, the OIR has secured, from the Delaware Consortium, average enrollments at research universities for introductory and upper-division courses in various

disciplines. Now that UMass Lowell has identified an updated set of peers, the OIR Office will seek similar data for these institutions by Spring 2014.

- Formal mentoring programs for new faculty will be implemented through the auspices of the Faculty Development Committee. These programs will support the role of the mentor and provide guidance for the scholarship mentor/mentee relationship. The goal is to have scholarship mentors for all non-tenured tenure track faculty by fall 2014.
- While the Provost's Office has organized bi-annual retreats for chairs and deans and has encouraged participation of chairs in workshops organized by national organizations, these approaches need to be supplemented by holding regular retreats for chairs on campus. Topics for these retreats will include management skills, educational pedagogies, enhancing student success, and approaches for strengthening of research and scholarship.
- A second and expanded administration of the [Collaborative on Academic Careers in Higher Education](#) (COACHE) survey was performed in AY2013. This administration included both tenured and non-tenured TT faculty. The Office of the Provost and the FDC will disseminate and evaluate the results during AY2013-2014.
- A training program will be established to better prepare GTAs for teaching. Negotiations are under way to include an orientation program in the GTA union contract. The Office of the Provost will oversee the development of an orientation program for implementation in FY14.

Institutional Effectiveness

The development and implementation of college-specific workload policies has significantly enhanced efficiency and performance of UMass Lowell faculty. That these policies were developed through collaboration among faculty, chairs, deans, and the administration is a testament to the collaborative approach that is in place. The success of the faculty in enhancing retention and student success has led to the advancement of the University in its national standing

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

**Standard 6: Students
(Admissions, Fall Term)**

?

Credit Seeking Students Only - Including Continuing Education

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)
Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013

CSCE

Freshmen - Undergraduate

?

Completed Applications	55.0	46.0	44.0	42.0	40.0
Applications Accepted	54.0	45.0	44.0	40.0	38.0
Applicants Enrolled	31.0	20.0	23.0	25.0	20.0
% Accepted of Applied	1.0	1.0	1.0	1.0	1.0
% Enrolled of Accepted	0.6	0.4	0.5	0.6	0.5

Percent Change Year over Year

Completed Applications	-	-0.2	0.0	0.0	0.0
Applications Accepted	-	-0.2	0.0	-0.1	-0.1
Applicants Enrolled	-	-0.4	0.2	0.1	-0.2

Transfers - Undergraduate

?

Completed Applications	461.0	497.0	498.0	484.0	470.0
Applications Accepted	454.0	484.0	490.0	476.0	462.0
Applications Enrolled	292.0	310.0	302.0	289.0	277.0
% Accepted of Applied	1.0	1.0	1.0	1.0	1.0
% Enrolled of Accepted	0.6	0.6	0.6	0.6	0.6

Standard Six: Students

DAY

Freshmen - Undergraduate

Completed Applications	?	5913.0	7286.0	7720.0	8049.0	8981.0
Applications Accepted	?	4287.0	5361.0	5020.0	5297.0	5715.0
Applicants Enrolled	?	1522.0	1620.0	1433.0	1495.0	1655.0
% Accepted of Applied		0.7	0.7	0.7	0.7	0.6
% Enrolled of Accepted		0.4	0.3	0.3	0.3	0.3

Percent Change Year over Year

Completed Applications	-	0.2	0.1	0.0	0.1
Applications Accepted	-	0.3	-0.1	0.1	0.1
Applicants Enrolled	-	0.1	-0.1	0.0	0.1

**(A46) Average of Statistical Indicator of Aptitude of Enrollees:
(Define Below)**

Average combined SAT	?	1083.0	1089.0	1113.0	1125.0	1136.0
Average HS weighted GPA		3.2	3.2	3.3	3.3	3.4

Transfers - Undergraduate

Completed Applications	?	1829.0	1978.0	2027.0	1883.0	1845.0
Applications Accepted		1470.0	1552.0	1586.0	1698.0	1647.0
Applications Enrolled		935.0	1001.0	1056.0	1119.0	1090.0
% Accepted of Applied		0.8	0.8	0.8	0.9	0.9
% Enrolled of Accepted		0.6	0.6	0.7	0.7	0.7

Master's Degree

Completed Applications	?	1159.0	1029.0	1147.0	1376.0	1404.0
Applications Accepted		940.0	865.0	944.0	1154.0	1177.0
Applications Enrolled		485.0	489.0	488.0	602.0	614.0
% Accepted of Applied		0.8	0.8	0.8	0.8	0.8
% Enrolled of Accepted		0.5	0.6	0.5	0.5	0.5

Standard Six: Students

First Professional Degree - All Programs

	?					
Completed Applications						
Applications Accepted						
Applications Enrolled						
% Accepted of Applied		-	-	-	-	-
% Enrolled of Accepted		-	-	-	-	-

Doctoral Degree

	?					
Completed Applications		478.0	462.0	502.0	522.0	532.0
Applications Accepted		268.0	273.0	280.0	289.0	295.0
Applications Enrolled		118.0	129.0	158.0	156.0	159.0
% Accepted of Applied		0.6	0.6	0.6	0.6	0.6
% Enrolled of Accepted		0.4	0.5	0.6	0.5	0.5

*"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

3 Years Prior (FY 2010)	2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Fall 2009	Fall 2010	Fall 2011	Fall 2012	Fall 2013

CSCE

UNDERGRADUATE

First Year Full-Time Headcount	54.0	40.0	32.0	32.0	34.6
Part-Time Headcount	249.0	246.0	232.0	226.0	255.8
Total Headcount	303.0	286.0	264.0	258.0	290.3
Total FTE	142.9	133.7	117.1	120.1	133.2

Second Year Full-Time Headcount	84.0	79.0	79.0	64.0	77.3
Part-Time Headcount	300.0	396.0	383.0	378.0	425.0
Total Headcount	384.0	475.0	462.0	442.0	502.2
Total FTE	187.7	219.0	220.9	203.4	234.3

Third Year Full-Time Headcount	98.0	106.0	111.0	125.0	127.6
Part-Time Headcount	366.0	382.0	390.0	443.0	465.2
Total Headcount	464.0	488.0	501.0	568.0	592.7
Total FTE	228.7	245.7	250.4	293.3	300.2

Fourth Year Full-Time Headcount	72.0	103.0	102.0	127.0	123.8
Part-Time Headcount	440.0	477.0	548.0	625.0	655.0
Total Headcount	512.0	580.0	650.0	752.0	778.8
Total FTE	229.9	273.5	300.7	349.7	363.2

Standard Six: Students

UG Certificates	Full-Time Headcount	8.0	11.0	11.0	13.0	13.0
	Part-Time Headcount	223.0	223.0	209.0	202.0	229.5
	Total Headcount	231.0	234.0	220.0	215.0	242.5
	Total FTE	72.2	80.1	76.9	77.6	85.1

NDS	Full-Time Headcount	24.0	14.0	21.0	20.0	22.2
	Part-Time Headcount	599.0	506.0	530.0	499.0	574.6
	Total Headcount	623.0	520.0	551.0	519.0	596.8
	Total FTE	180.1	145.4	152.8	146.1	166.8

NAVITAS	Full-Time Headcount	0.0	2.0	30.0	67.0	52.4
	Part-Time Headcount	0.0	0.0	25.0	65.0	50.3
	Total Headcount	0.0	2.0	55.0	132.0	102.7
	Total FTE	0.0	1.7	34.6	82.1	72.4

Total Undergraduate Students

	Full-Time Headcount	340.0	355.0	386.0	448.0	450.8
	Part-Time Headcount	2177.0	2230.0	2317.0	2438.0	2655.3
	Total Headcount	2517.0	2585.0	2703.0	2886.0	3106.0
	Total FTE	1041.4	1099.1	1153.5	1272.3	1338.5
	% Change FTE Undergraduate	na	0.1	0.0	0.1	0.1

DAY

UNDERGRADUATE

First Year	Full-Time Headcount	2603.0	2648.0	2464.0	2355.0	2558.6
	Part-Time Headcount	111.0	114.0	94.0	76.0	87.4
	Total Headcount	2714.0	2762.0	2558.0	2431.0	2646.1
	Total FTE	2597.6	2672.8	2501.3	2409.8	2590.3

Second Year	Full-Time Headcount	1770.0	2011.0	2068.0	2045.0	2183.8
	Part-Time Headcount	156.0	167.0	186.0	201.0	199.0
	Total Headcount	1926.0	2178.0	2254.0	2246.0	2382.8
	Total FTE	1797.1	2068.1	2111.8	2100.0	2241.0

Standard Six: Students

Third Year	Full-Time Headcount		1646.0		1703.0		1941.0		2083.0		2136.5
	Part-Time Headcount		182.0		200.0		239.0		249.0		250.9
	Total Headcount		1828.0		1903.0		2180.0		2332.0		2387.5
	Total FTE		1709.5		1792.3		2045.3		2180.1		2240.2

Fourth Year	Full-Time Headcount		1189.0		1394.0		1557.0		1777.0		1770.2
	Part-Time Headcount		295.0		333.0		379.0		449.0		425.8
	Total Headcount		1484.0		1727.0		1936.0		2226.0		2195.9
	Total FTE		1296.6		1524.3		1722.9		1961.4		1942.5

NDS	Full-Time Headcount		11.0		6.0		8.0		16.0		12.7
	Part-Time Headcount		68.0		99.0		90.0		150.0		123.4
	Total Headcount		79.0		105.0		98.0		166.0		136.2
	Total FTE		30.4		33.7		33.2		48.8		43.3

Total Undergraduate Students

	Full-Time Headcount		7219.0		7762.0		8038.0		8276.0		8661.9
	Part-Time Headcount		812.0		913.0		988.0		1125.0		1086.5
	Total Headcount		8031.0		8675.0		9026.0		9401.0		9748.4
	Total FTE		7431.1		8091.1		8414.5		8700.1		9067.3
	% Change FTE Undergraduate		na		0.1		0.0		0.0		0.0

GRADUATE

(A112) Degrees	Full-Time Headcount	↓	829.0		918.0		990.0		1081.0		1166.7
	Part-Time Headcount	↓	1245.0		1403.0		1590.0		1764.0		1883.3
	Total Headcount		2074.0		2321.0		2580.0		2845.0		3050.0
	Total FTE	↓	1393.2		1559.9		1704.5		1892.6		2031.2
	% Change FTE Graduate		na		0.1		0.1		0.1		0.1
GR Certificates	Full-Time Headcount	↓	22.0		34.0		23.0		28.0		28.7
	Part-Time Headcount	↓	405.0		502.0		597.0		558.0		648.5
	Total Headcount		427.0		536.0		620.0		586.0		677.3

Standard Six: Students

Total FTE	200.6	264.1	282.2	275.2	320.0
% Change FTE Graduate	na	0.3	0.1	0.0	0.2

NDS Full-Time Headcount	22.0	12.0	14.0	17.0	17.5
Part-Time Headcount	531.0	557.0	488.0	559.0	587.9
Total Headcount	553.0	569.0	502.0	576.0	605.4
Total FTE	230.1	232.0	203.2	235.4	246.4
% Change FTE Graduate	na	0.0	-0.1	0.2	0.0

Total Graduate Students

Full-Time Headcount	873.0	964.0	1027.0	1126.0	1212.8
Part-Time Headcount	2181.0	2462.0	2675.0	2881.0	3119.8
Total Headcount	3054.0	3426.0	3702.0	4007.0	4332.6
Total FTE	1823.9	2056.0	2189.9	2403.2	2587.2
% Change FTE Graduate	na	0.1	0.1	0.1	0.1

GRAND TOTAL

Grand Total Headcount	13602.0	14686.0	15431.0	16294.0	17187.1
Grand Total FTE	10296.5	11246.2	11757.9	12375.6	12992.9
% Change Grand Total FTE	na	0.1	0.0	0.1	0.0

*"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
(Financial Aid, Debt, and Developmental Courses)

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

[Quick Facts](#); [Factbooks](#) [Facts at a Glance](#); [Common Data Set](#)

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Budget***	Next Year Forward (goal)
(FY 2010)	(FY 2011)	(FY 2012)	(FY 2013)	(FY 2014)
Fall 2009 Actual	Fall 2010 Actual	Fall 2011 Actual	Fall 2012 (projected)	Fall 2013 (projected)

? **Student Financial Aid**

Total Federal Aid		\$70,946,378	\$83,492,537	\$87,661,127	\$90,848,300	\$94,379,580
Grants		\$12,082,977	\$15,641,815	\$15,520,531	\$15,573,300	\$15,955,580
Loans		\$58,568,017	\$67,470,139	\$71,675,136	\$74,825,000	\$77,974,000
Work Study		\$295,384	\$380,583	\$465,460	\$450,000	\$450,000
Total State Aid		\$6,699,842	\$7,121,443	\$8,167,706	\$8,791,544	\$9,415,382
Total Institutional Aid		\$20,765,614	\$19,912,527	\$23,392,545	\$25,847,949	\$28,317,920
Grants		\$18,764,511	\$17,777,643	\$21,406,265	\$23,147,747	\$25,617,920
Work		\$2,001,103	\$2,134,884	\$1,986,280	\$2,700,202	\$2,700,000
Total Private Aid		\$8,027,222	\$8,281,731	\$10,255,253	\$12,434,000	\$14,326,000
Grants		\$1,032,392	\$1,031,324	\$1,014,227	\$1,300,000	\$1,300,000
Loans		\$6,994,830	\$7,250,407	\$9,241,026	\$11,134,000	\$13,026,000
	total	\$106,439,056	\$118,808,238	\$129,476,631	\$137,921,793	\$146,438,882

Student Debt (B23)

Percent of students graduating with debt*

Undergraduates	62%	61%	64%		
Graduates	30%	33%	37%		

For students with debt:

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

Undergraduates	\$21,212	\$24,099	\$25,966		
Graduate Students	\$21,704	\$23,206	\$25,088		

Standard Six: Students

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

Undergraduates	\$11,261	\$12,688	\$13,799		
Graduate Students	\$16,024	\$14,417	\$16,561		

	FY2007	FY2008	FY2009	FY2010	FY2011 (draft)
Cohort Default Rate					
2-year	3.7	2.4	3.6	4.9	6.9
				FY2009	FY2010 (draft)
3-year	--	--	--	5.0	7.8

Percent of First-year students in Developmental Courses**

English as a Second/Other Language	n/a	n/a	n/a	n/a	n/a
English (reading, writing, communication skills)	n/a	n/a	n/a	n/a	n/a
Math	n/a	n/a	n/a	n/a	n/a
Other	n/a	n/a	n/a	n/a	n/a

* 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 Six: Students

Description: Admissions

Requirements for Undergraduate Admissions: Requirements for admission to the University's undergraduate programs are posted on the UMass Lowell website and are regularly communicated to high school and community college counselors. In fall 2012, the freshman admission process was changed from a rolling admission program to an Early Action and Regular Decision program. All deadlines are clearly listed on the web site and through the Common Application. Because the Commonwealth Honors Program offers undergraduate students a rigorous and prestigious undergraduate experience, all entering freshman and transfer students who meet the requirements for the Program are invited to apply to this program.

Academic assessment for placement purposes precedes registration. Going beyond the basic Department of Higher Education (DHE) requirements, all incoming freshman students are assessed in writing and mathematics (using Accuplacer®) and, if their verbal SAT score is below 510, for reading. Based on these results, students are enrolled in the appropriate first-semester courses, which may include supplemental learning components. (See Standard Four.)

The University follows the National Association for College Admissions Counselors' [Statement of Principles of Good Practice](#) and adheres to the [Massachusetts DHE](#) requirements and ensures compliance by having the [Office of Institutional Research and Reporting](#) review, submit, and publish all official admissions data.

Graduate Admission: Requirements for admission to the University's graduate programs are posted on the [graduate admissions website](#). Applicants are evaluated by faculty graduate coordinators in the academic departments to which they are applying. In order to facilitate this evaluation process, the Office of Graduate Admissions implemented, in fall 2010, a document imaging system that enables graduate coordinators to view all application documents and evaluate application materials in a secure environment, and submit admission decisions from virtually anywhere in the world, thus greatly improving the efficiency and accuracy of the system.

Enrollment: The strategic goals of [UMass Lowell 2020](#) include increasing enrollments in majors that have capacity or are targeted for investment as research centers of excellence; increase selectivity in majors that are particularly demanding in quantitative or verbal proficiencies; and increase diversity. The Division of Enrollment Management is central to the admission of undergraduate students in the day colleges and in the [Division of Online and Continuing Education \(OCE\)](#). Enrollment Management consists of three offices: Admissions, [Financial Aid](#), and Transfer. The Office of Graduate Admissions is central to the enrollment of graduate students.

The University has increased enrollments by: (1) developing strong participation by colleges and departmental coordinators in coordination with the central offices; (2) increasing financial aid and strengthening opportunities for co-ops, service learning, and international experiences; (3) placing emphasis on distinctive experiential learning aspects of UMass Lowell programs in marketing and branding efforts; (4) joining the Common Application System; (5) expanding participation in recruitment events (high schools, college fairs, New England Association for College Admission Counseling). These efforts were successful as evidenced by the data shown in Fig. 6.1, which show increases in enrollment between fall 2009 and 2012 for undergraduate, graduate, and continuing and online education programs. Figures 6.2 and 6.3 show trends for admission of freshmen and transfer students, respectively.

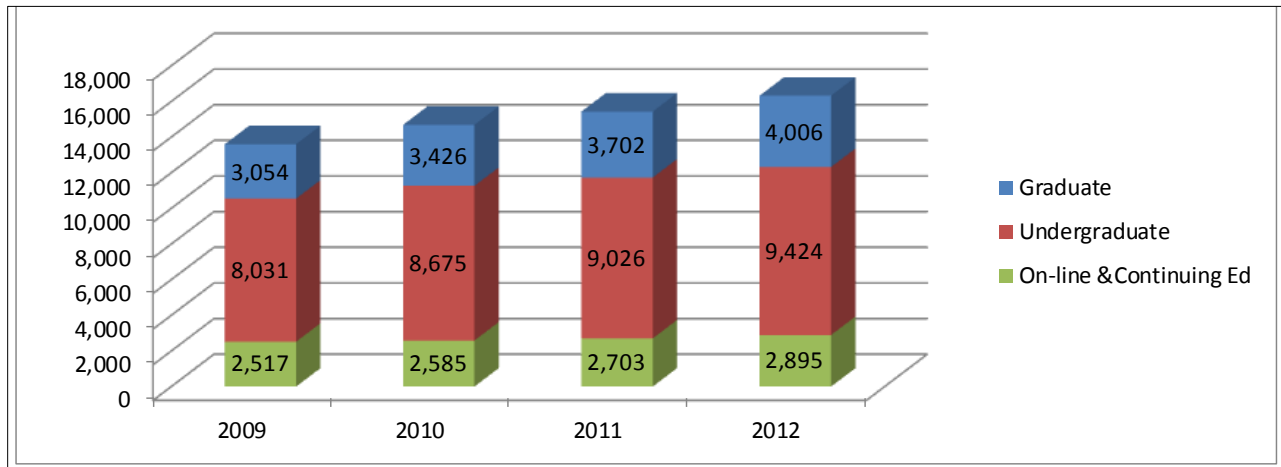


Figure 6.1 Fall Semester Enrollment

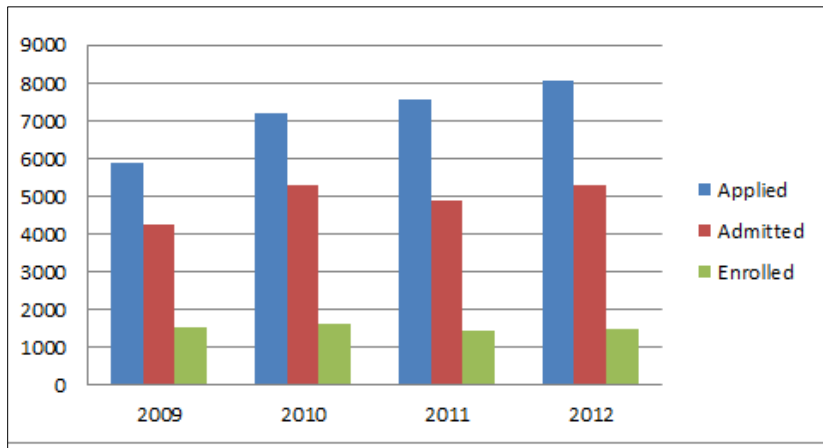


Figure 6.2 Trend of First-Time Freshman Admissions (fall semester)

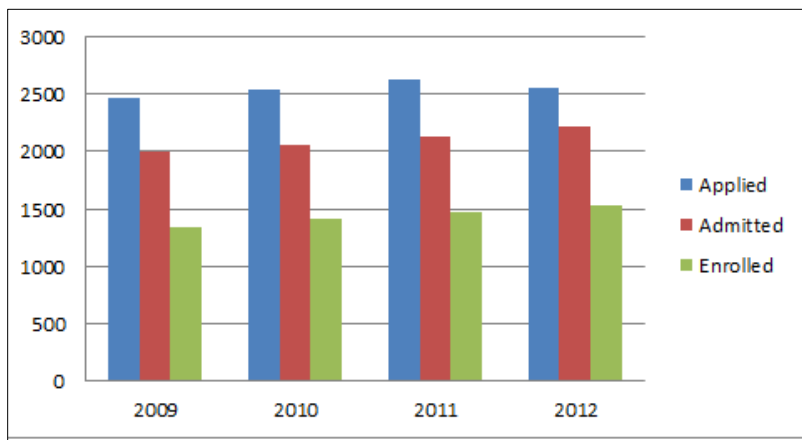


Figure 6.3 Trend of Transfer Admissions

Approximately half of all incoming undergraduate students enter as freshmen and the other half as transfer students, largely from two-year colleges. Between the calendar years of 2009 and 2012, new transfer student enrollment increased by 14% (from 1339 to 1525). This increase represents the

Standard Six: Students

University's growing access to community college students in the region, thus allowing us to meet a long-standing commitment to regional economic and social development. Students transferring to UMass Lowell for fall 2012 increased by an additional 6% from the previous year, to 1119, which, when combined with greater retention, raises the total degree-seeking undergraduate student number to 9256, the largest in UMass Lowell history and 4% higher than the previous year.

A third undergraduate admission stream comes from the OCE, which serves a largely non-traditional population. In 2012, 1122 of 2908 (39%) OCE students were non-Massachusetts residents, the majority of whom (68%) took courses on-line. Like day school programs, all OCE programs are fully accredited where such accreditation is available. Degree-seeking on-line and continuing education student enrollment has also increased during the past four years. Since fall 2008, OCE enrollment has grown from 2396 to 2703 (an increase of 12.8%). As with undergraduate day-school programs, there has been a sizeable increase in the number of students from underrepresented populations. Since fall 2008, OCE enrollment of minority students has increased from 338 (14% of the student body) to 612 (25.7% of the student body).

Non-resident and international students: In order to increase our out-of-state student population, UMass Lowell recruits actively in California, Florida, New England, New Jersey, New York, North Carolina, and Pennsylvania. We also established an improved scholarship program (see [Scholarships](#)). Between 2009 and 2012, first-year freshman enrollments for non-Massachusetts residents increased from 143 to 161 students (12.6% increase); transfer enrollments increased from 103 to 172 students (an increase of 67%).

In order to further internationalize the campus, UMass Lowell partners with two international organizations: the Australia-based [Navitas](#), which recruits students world-wide and has done so from approximately 35 countries; the China-based CERNET, which is associated with Tsinghua University and recruits students from China. Each of these organizations recruits students to a pathway program that is provided through the partnership with UMass Lowell. This pathway program is intended to strengthen preparation of recruited students by providing one or two semesters of English language training, orientation to U.S. culture, and introductory courses in the area of the student's academic interest. The latter introduces the student to the major and also enhances academic language proficiency. Successful students matriculate into both the UMass Lowell undergraduate and graduate programs.

The number of undergraduate out-of-state and international students, while still low, has been increasing. The number of new international undergraduates increased from 53 for fall 2012 to more than 100 for fall 2013. The out-of-state population has increased by over 10% each year since 2009. Thus, our projection for fall 2013 is 1,060, which is 11% of our total undergraduate population. This number for fall 2013 is 57% higher than that for fall 2009 (then 8.4% of total undergraduates).

Selectivity of undergraduate admission: Beginning in 2008, strategies for recruitment were revised in order to improve the selectivity of students while expanding enrollments. Criteria for admission were set for individual majors rather than the college as a whole. The specific targets established for each major were based on qualifications of applicants, requirements for student success, the teaching capacity in the major, and capacity of specialized facilities. In addition, print and web materials were revised to emphasize distinctive aspects of learning including academic reputation, quality of learning facilities, and success of graduates. Opportunities for experiential learning and international experiences were emphasized. Academic departments became closely engaged in recruitment of strong applicants. These efforts led to increases in the SAT scores between fall 2010 and fall 2012. The goal published in the [Report Card](#) in fall 2012 shows that UMass Lowell is well ahead of the projection. In fact, based on the available data for admission for fall 2013, the 1130 target is likely to be exceeded this fall. Figure 6.4 shows dramatic improvements in the quality of the incoming freshman class accompanying simultaneous growth in the size of the incoming class.

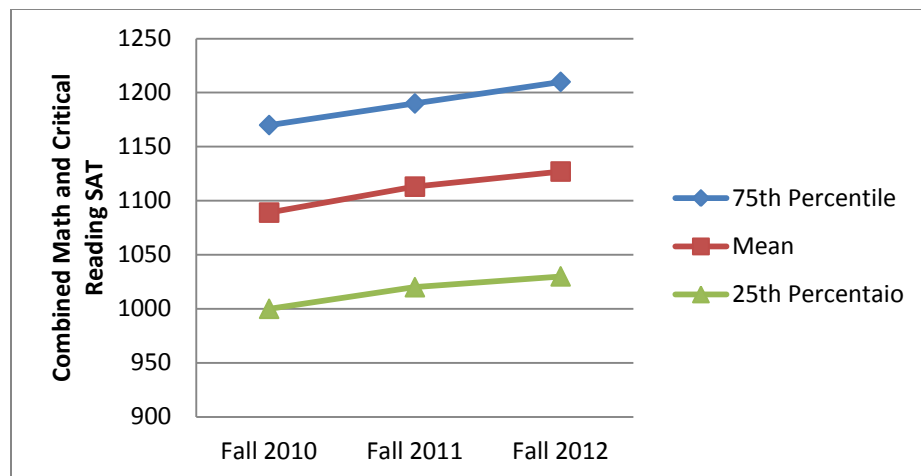


Figure 6.4 First Year Combined Math and Verbal SAT Scores

Diversity: In addition to increasing overall enrollments and freshmen selectivity, a second strategic goal has been to increase the diversity of the student body. This increase in diversity has been achieved for both domestic (out-of-state/national) and international students. For the last two years, the percentage of new undergraduate students of color (26%) was the highest in University history (up from 19% in 2007). This increase included each of the major ethnic groups; African-American, Asian-American, and Hispanic-American.

In order to enhance global engagement of faculty and students and to increase the number of international students on campus, UMass Lowell has developed cooperation agreements with more than 100 leading global institutions in **Africa** (including the University of Cape Town, University of Nairobi, and Cairo University), **Asia** (including Ben-Gurion University and Haifa University in Israel, Bilkent and Middle East technical Universities in Turkey, and Tsinghua and Shanghai Universities in Beijing), **Europe** (including Berlin Technical University, Queens and Dublin City Universities in Ireland, Universities of Madrid, Barcelona, and Valencia in Spain, Adam Mickiewicz University in Poland and Charles University in the Czech Republic), and South America (including the University of Sonora in Mexico and the University of Lima in Peru). Each of the cooperation agreements includes exchange of students and also collaboration of faculty in research and in mentoring of graduate students, and in teaching of team-taught and faculty-led courses ([International Faculty-led programs](#)).

Graduate Enrollment: The University has placed increased emphasis on developing new degree programs that address critical needs regionally, nationally, and internationally. Nineteen Professional Science Master’s options have been created within ten master’s programs; these terminal degrees are geared to help meet the job demands of professionals. The number of doctoral programs also grew from 15 to 33 between 2007 and 2011.

Since 2009 enrollment of master’s students has increased by approximately 40% (from 1505 to 2102). The sources of this increase include a combination of plus-one programs, high-demand for the on-line MBA programs, new international partnership initiatives, and Professional Science Master’s programs. Since 2009 enrollment of Doctoral Students has increased by approximately 30% (from 569 to 743).

Appraisal: Admissions

Between 2008 and 2013, student admission decisions have become increasingly based on data in the context of a highly intentional strategy for student recruitment that is major-specific. Review of strategic

goals and progress toward those goals takes place regularly in the Deans Council. The collaboration between the college deans and the enrollment professionals has made recruitment and admission a shared endeavor and has contributed to UMass Lowell success in increasing enrollments across all sectors of the University while simultaneously raising selectivity, particularly of the freshman class.

The decision to make admission decisions by major has been fundamental to the success of increasing both undergraduate enrollments and the selectivity of incoming freshmen. Overall marketing and infrastructure improvement have also contributed to success in recruitment. A University branding effort, noted in Standard Ten, greatly refined and clarified the UMass Lowell message to all prospective students. Clear messaging is critical as the web provides the University’s only contact with many prospective students. Forty-two percent of freshman applicants last year were students whose first contact with the University was their web-based application.

Another contributing factor to successful recruitment has been the centralization of the University scholarship program. Since the fall of 2011, all endowed and incoming student scholarships have been managed by the Financial Aid Office and offered to incoming freshman and transfer students at the point of acceptance. The development of a Research and Community Co-op Scholars program, initially piloted by the College of Engineering for students enrolled fall 2010, offers students the opportunity to work with a faculty member doing research or scholarship and receive \$4000 of compensation following their first year, with the condition that they earn a cumulative grade point average of 3.0 or higher. Since initiating this program, there has been an increased yield of merit applicants, most notably among Commonwealth Scholarship students (1400 SAT and 3.75 GPA), whose yield increased from 35% in 2010 to 57% in 2012 and among Deans’ Scholarship students (1200 – 1270 minimum SAT and 3.5 GPA), whose yield increased from 22% in 2010 to 27% in 2012.

In addition, the decisions to join the Common Application program (fall 2010 class) and to go to an Early-Action/Regular-Decision form of admissions (fall of 2012 class) produced a 36.8% increase in freshman applications relative to 2009.

Description: Retention and Graduation

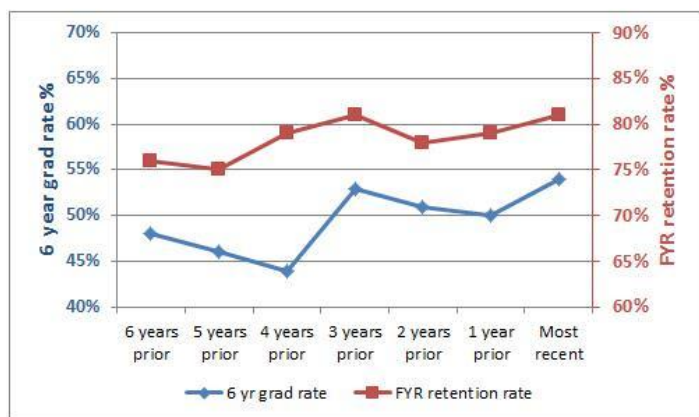


Figure 6.5 Retention and Graduation Rates since 2007

The Office of Enrollment and Student Success actively tracks retention and graduation rates. Figure 6.5 shows significant improvement in both measures since 2007. A wide variety of factors including family income, diversity, residency (e.g. in-state or out-of-state), gender, college and major, athletic participation, veteran status, and first generation status are used to disaggregate retention data and better understand how each contributes to student success.

To improve student retention, the University builds a connection with students immediately upon admittance.

Summer orientation programs help students navigate the campus and identify campus resources, assess students for course placement, assist with the course registration process, and foster the development of an inclusive personal and social foundation. Transfer students participate in a more abbreviated orientation, but the goal is the same: to establish a connection to the University community and resources.

Standard Six: Students

OCE provides numerous services to their students through a variety of mediums including face-to-face orientations, telecasts, and web page information that includes [orientation](#) materials. The Graduate Program Admissions Office provides an orientation program for new students prior to the start of each semester.

To help students better prepare for their first semester, in addition to one-day [Strategies for Success](#) workshops, the University offers two-week readiness workshops in calculus and writing prior to the start of the academic year. Once classes begin, student-ambassadors contact each new student to offer assistance and support through email, Facebook®, and phone calls. The Orientation Office provides newsletters twice each semester that coincide with the advising period and the final exam period.

Beginning in 2009, each incoming freshmen has been assigned to a learning community in which 19 students share three common courses: College Writing I, a freshmen seminar or introductory course in the major, and a general education course. Ideally, learning communities facilitate social interaction among students, and between students and instructors, ultimately leading to the formation of networks that enhance student success. (See Standard 4.)

Financial Aid is critical to the success of admitted students, 36% of whom have a family income of \$30,000 or less. Aid, in various forms, is awarded each year. The Financial Aid Office is involved with the initial awarding and renewal process for all scholarships. Aid packages are designed following federal methodology and are awarded in a manner consistent with federal and state regulations and institutional policies. The [Student Employment Office](#) implemented a web-based [Job Hawk](#) that makes a wide assortment of student employment opportunities available to both students and employers. By centrally managing these various streams of financial aid, the university has been able to use institutional resources more strategically.

Over four years, UMass Lowell has increased its aid by 24% from \$20.8M to \$25.9M, and the total of all Financial Aid increased 30% from \$106M to \$138M. Over the same period, enrollment has increased 20%, from 13,602 to 16,294 students.

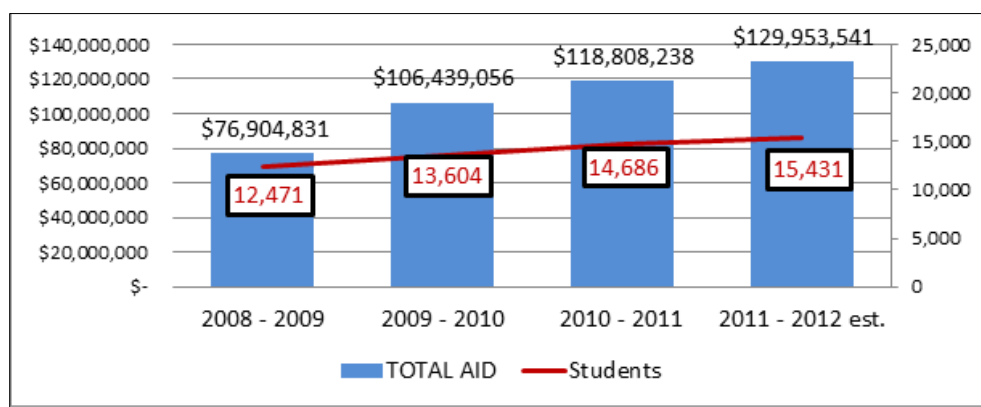


Figure 6.6 Four-Year comparison of Financial Aid to Student Enrollment

Undergraduate students who are at risk of “stopping out” are identified early by tracking such factors as class attendance, mid-semester grades, dropped classes, and outstanding debt. In fall 2012, the University implemented the [Starfish](#)™ software package in order to facilitate the identification of attendance and academic risks by faculty teaching first year courses. Retention and graduation are also supported by the services and strategies described in more detail in the following student services section of this report.

Engaged students are more likely to persist and graduate. Thus, the University has created many pathways to experiential learning. At the point of admission, highly qualified incoming first year students are offered a Research or Community Co-op Scholarship that commences after their first year. Student scholars work on research or service-learning projects with faculty members over the course of the summer or in their second year of study, receiving \$4,000 and gaining valuable experience. Students receiving student employment through need-based programs have the opportunity to participate in campus co-ops with established learning outcomes. Non-need-based employment on and off campus provides additional meaningful employment opportunities. The [Career Services and Cooperative Education Center](#) was expanded by the addition of master's-prepared professionals as co-op coordinators in order to strengthen development of co-ops in business and industry. These experiences provide additional financial opportunities as students pursue their education. Service learning is increasingly a component of many courses. It is featured in our NSF-funded [SLICE](#) program – Service Learning Integrated throughout the College of Engineering. In addition, [the Center for Community Research and Engagement](#) provides a clearinghouse of service learning and volunteer opportunities.

The institution has established and published policies on academic standing that are described in the online catalogs. ([Academic Standing: Undergraduate](#) and [Academic Standing: Graduate](#)). Two policies are in place to provide academic remedies for undergraduate students who encounter early challenges that may block subsequent success. Undergraduate students are permitted to replace or delete up to 15 credits of grades below the grade of C (seven credits in the case of students who transfer more than 60 credits from an outside institution). In addition, students who leave the University in poor academic standing may participate in a [Fresh Start program](#) following a two-year leave or the achievement of an associate's degree at a community college. Graduate students have the option of deleting one grade per degree to maintain good academic standing. Masters and doctoral degree candidates and non-degree students who have been absent from the University for four years or longer may be readmitted under the Graduate Fresh Start program. If admitted into a degree-granting program, returning graduate students are treated as if they were new students under the terms of [Graduate Fresh Start](#) program.

Appraisal: Retention and Graduation

In fall 2007, UMass Lowell's full-time freshman one-year retention rate was 75%, seven percentage points below the 82% average for institutional peers (2013 [Report Card](#), section I.B). Freshman retention rose to 81% for fall 2012. Based on this progress, reaching or exceeding the 83% projected for fall 2015 (report card) is now feasible.

First-year retention data also showed that freshmen who participated in residential learning communities have a higher retention rate (89%) than those who participated only in academic learning communities (82% retention) or simply lived in residence halls (also at 82%). These data led the Deans' Council to establish more residential learning communities.

Analysis of the available data for various academic programs showed that the highest retention rate was in the College of Health Sciences (87%). These programs are characterized by strong advising and clear career goals. In general, male students (78%) lagged behind female students (87%) in fall-to-fall retention as well as in GPA (male 2.729; female 3.059). Students who did not file for financial aid constituted a higher risk group, with only 74% retained as opposed to 82% for those who filed. Class attendance was shown to have direct correlation to retention. A sample of students in College Writing courses revealed that only 27% of students who missed 3 or more classes in the first eight weeks of the fall semester were registered for classes in the following fall semester.

In order to improve student persistence, the University has undertaken a combination of proactive and responsive initiatives. The Starfish™ initiative is successful to the extent that faculty faithfully report

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problems (90% reporting rate) and all students with multiple flags are contacted. A financial literacy initiative is underway, as well as a collaborative effort to reach out to students who have not filed for financial aid to help assist them with their finances. The University has recently joined the [Student Success Collaborative of the Education Advisory Board](#), which will provide data analytics and predictive modeling to identify and intervene with students at risk of failure.

Responsive measures include shared follow-up initiatives with students after they experience academic, financial, or personal difficulties. Students with financial aid and unpaid balances have their aid reviewed and are contacted during the advising and registration period. Students who are in satisfactory academic standing but who have not registered are contacted by the office of the academic dean and/or department chairpersons to offer additional advising. Those doing poorly and those who want to change majors are referred to the [Center of Learning and Academic Support Services](#) (CLASS) for advising and assistance in changing majors. In May 2012, 70.7% of the first-year cohort was enrolled for the fall semester. By September, with this type of intentional outreach, first year retention had increased to 81.3%.

The University's revised [Satisfactory Academic Progress](#) procedures, prompted by changes to federal financial aid guidelines, engage faculty in helping students select courses that will enable them to progress toward completion of their degree. For the fall 2012 semester, 93% of all financial aid students (9,453/10,170) were making satisfactory progress, and of the 717 that were not, 70% (505) had their plans approved, 1% (5) had them denied, and 29% (207) had not yet appealed.

Transfer students present a particular challenge. Their spring-to-fall retention rate (72.8%) is lower than that of the fall first-year cohort (83.5%) and the continuing-student cohort (74.8%). The following steps are being taken to improve success among transfer students: expanded roles for transfer coordinators, better curricular-alignment and articulation with community colleges, development of bridge programs for transfer students, and consideration of learning communities for transfer students.

The six-year graduation rate increased to 50% in 2011, an increase of 6% since 2007. This was the highest increase of all New England public research institutions, giving us a national ranking of 24th among the 150 public colleges and universities (*Chronicle of Higher Education*). This year the graduation rate has risen to 54%. UMass Lowell has maintained a rate above 50% for the past five years (2008 – 2012). Stronger advising, greater student engagement, and success in our first-year programs should help increase this figure in the future. The target for 2015 is 55%.

Graduate programs are reviewed internally by their respective academic departments and are carefully examined through [professional accreditations](#) or the [Academic Quality Assessment and Development \(AQAD\)](#) process. As reported in Standard Two, Planning and Evaluation, the on-line and continuing education programs are regularly assessed as part of the business function of that unit. The University, however, needs to devise processes for developing data on retention, continuance, and graduation rates for graduate students.

Description: Student Services

The University of Massachusetts Lowell strives to prepare students to be “Work Ready, Life Ready, World Ready” by providing student services through an integrated approach rooted in collaboration among the Division of Student Affairs, the Division of Enrollment Management, Academic Affairs, Athletics, and University Police and Auxiliary Services. These areas work together to engage students in intellectual, personal, social and professional development opportunities in a proactive and supportive environment throughout the college experience.

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The [Division of Student Affairs](#) has taken the lead in providing non-academic student services and acts as a coordinating entity for other areas providing these services. Over the past 10 years, Student Affairs has focused on the enhancement of student satisfaction and engagement with the institution; meeting students' basic and higher order developmental needs; and improving retention and graduation rates by honoring the diversity of University community members; welcoming feedback in order to continually assess and improve services; treating all students with respect and sensitivity; conducting business in a professional manner; and maintaining confidentiality in accordance with the Family Education and Privacy Act (FERPA).

In order to meet these commitments the University engaged in an ambitious campaign to improve the quantity and quality of student spaces across campus. These improvements include the addition of approximately 1800 residence hall beds through the acquisition of a former hotel in downtown Lowell, now known as the UMass Lowell Inn and Conference Center, the leasing of high quality apartments near campus, the renovation of Fox Hall to add three residential floors, the long term lease of the 510 bed Riverview Suites apartment style residence hall, and the construction of the 472 bed University Suites residence hall. During the summer of 2012, the primary student dining hall underwent an eleven million dollar renovation to become a state-of-the-art-dining facility. The University is currently undergoing the planning and construction of a new 270,000 square foot student center, which will serve as the hub of student life and student services on campus. (See also Standard 8.)

In 2007 the Division of Student Affairs was restructured to address the evolving needs of a growing student population. Prior to 2007 all offices within the Division reported directly to the Dean of Students. As the number of students and scope of services increased, an additional layer of management, consisting of four associate deans and one assistant dean, was added to provide more focused oversight and coordination in the areas of career and cooperative education, health and wellness, student honor societies and religious life, student and community engagement, and student development and residence life. In addition, several services were added including the Offices of Veterans Services, Parent Programs, Student Conduct and Multicultural Affairs. The Office of Career Services was reorganized into the Career Services and Cooperative Education Center.

Staff members providing student services throughout the University are selected based on formal training and relevant work experience. All professional staff members participate in a new employee orientation program provided by [Human Resources and Equal Opportunities and Outreach](#). The Division of Student Affairs provides additional professional development opportunities including topical discussions at monthly Division meetings, participation in webinars, subscriptions to professional journals, attendance at regional and national conferences, and the opportunity to take on leadership roles within professional organizations.

The [Strategic Planning Committee on Transformational Education](#) identified a need for increased academic support beyond the classroom and enriched campus life with an emphasis on learning. Since the publication of *Strategic Plan 2020* the institution has worked to achieve these goals through improved or expanded services to students, as described below:

Student Engagement and Student Life: The [Office of Residence Life](#) is committed to the personal and academic success of residential students. Its mission is to provide a safe, inclusive, interactive and well maintained living and learning environment that promotes personal and academic success of students while preparing them to be engaged citizens. Over the past five years, the Office of Residential Life developed a residential educational curriculum that serves as a guide for educational and social programming in the residence halls. The curriculum is focused on University and community involvement/leadership, healthy living, social justice, career development and academic success. Particular emphasis is placed on the experience of first year students through the [First Year Residential](#)

[Education program](#), which focuses on programming related to academic success as students transition into and through the college experience.

Beginning in 2008, the Office of Residence Life established [living and learning communities](#) (LLCs) for students with shared curricular or co-curricular interests, supported by a collaboration of faculty advisors and staff. The first of these, the Commonwealth Honors House, was created in partnership with the [Commonwealth Honors Program](#). Since that time, additional living and learning communities have been established on campus in collaboration with the colleges and this past year over 760 students participated in more than a dozen LLCs. All living and learning communities at UMass Lowell emphasize interaction between students and faculty members. Recent data showed that retention of freshman in LLCs was 89%, 7% higher than the rate for all freshmen in residence halls and 10% higher than that for commuter students

Office of Residence Life staff consists of master's-level professionals, graduate fellows who serve as First Year Residential Educators and Resident Advisors who work to create a social and academic support structure through programming and personalized interactions with individual residents and small groups, and by fostering an inclusive and positive residential community.

In recognition of the importance of the residential experiences, UMass Lowell has increased its residential capacity from 23% of the undergraduate population in 2007 to 40% in 2012. Moreover, the University is strategically designing a range of housing options to meet the varying needs of students by renovating existing properties and by acquiring or building new ones: for example, apartment style housing in Riverview Suites is planned to open in fall 2013; suite style housing in University Suites is also planned for fall 2013; renovation beginning in fall 2013 of Leitch and Bourgeois Halls will provide enhanced traditional style housing.

In 2011, the [Office of Student Activities and Leadership](#) and the [Office of Multicultural Affairs](#) were brought under the oversight of a newly created Associate Dean of Student Affairs to better integrate efforts of both offices and provide greater attention to the engagement of students in the university experience.

The **Office of Student Activities and Leadership** works with the 188 registered clubs and organizations on campus to provide program advisement in the way of venue choice, marketing, fiscal responsibility and information on accessing University services. This office also facilitates the engagement of students with the greater Lowell community through monthly community-service based events such as the Walk for Hunger, MLK Day of service, and a river clean up that resulted in over 370 service hours provided by students during the 2011-2012 academic year.

Formalized leadership training is offered through six student leader network dinners attended by approximately 70 students per event. A fall leadership retreat is held for students to explore how to better lead the organization they serve. [An Emerging Student Leader Conference](#) is held each spring for students who are preparing for leadership roles. The Office of Student Activities and Leadership also provides club officer training sessions and software to enhance leadership skills, and helps students create networking opportunities. The University supports an active chapter of [Omicron Delta Kappa](#), the national leadership honor society.

The **Office of Multicultural Affairs** is the hub for intercultural advancement, diversity, community development, and inclusion efforts with respect to students. Re-established in 2009, the office serves as an information clearinghouse for the campus community regarding issues of diversity and social justice, and operates as a source of support for traditionally underrepresented communities. The office provides support and services to 36 multicultural student organizations and implements inclusive programmatic

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initiatives such as heritage awareness month celebrations, MLK Week, cultural immersion trips, diversity peer education, and an invisible identity series. The Office of Multicultural Affairs also advises and mentors students individually and in groups for academic, professional and personal development, and facilitates student and professional staff diversity trainings. (See also Standard 11.)

The [Office of Veterans Services](#) was established in fall 2011 in response to a recommendation from the Standing University Committee on Veteran's Affairs. The office has streamlined and simplified admissions and military benefits processes by providing individual advising, establishing an online Veteran's Administration benefits certification request process, and working toward paperless processes. Veterans Services has also worked to engage current veteran students in the campus community by creating a veterans' lounge, hosting an annual military ball, establishing a chapter of the SALUTE national honor society, recognizing graduating senior veterans at commencement, and implementing a veteran-specific orientation program. A new veterans living and learning community was established in the fall of 2012 in collaboration with the Office of Residence Life and currently 15 students are resident. This number is expected to double in fall of 2013.

In recognition of the important role parents play in the success of students, the [Office of Parent Programs](#) was created to develop relationships with parents and engage them positively in the experience of students. Parent Orientation and the Parent Speaker Series (delivered in online and face-to-face formats) offer information on topics including academic advising and registration, career exploration, and financial aid. The Parent Programs monthly newsletter provides information on important dates and deadlines along with an update on campus news. In addition, the Parent Advisory Council (PAC) offers parents the opportunity to provide feedback and to act as ambassadors to the parents of current and prospective students.

Opening Week Activities: First Year Students and Beyond! Prior to the beginning of classes, [Opening Week](#) has become a venue for engagement and orientation activities for all students. These activities are coordinated by the Office of Student Activities and Leadership, the Office of Multicultural Affairs, the Office of Residence Life, Athletics, Campus Recreation and Conference and Event Services. Programs include late night entertainment, class pride building activities, safety education, and spirit events. The Opening Week activities include the student convocation ceremony, first established in fall 2006, for the University community to welcome all new students to UMass Lowell.

Recreation and Athletics: UMass Lowell currently has 19 intercollegiate varsity athletic teams. As of July 1, 2013, all teams are Division I and compete in the America East conference with the exception of men's ice hockey, which is a member of the Hockey East Association. The move to America East was prompted by a recommendation from the [Strategic Planning Commission's Committee on Student Athletics](#) to become a Division I school. Both the Faculty Senate and the student government gave unanimous support to the invitation by America East to join their conference. The University has developed a [five-year plan](#) for the budget, facilities, personnel and scholarships to support this move. UMass Lowell emphasizes the personal and academic success of all student athletes, as exhibited by a commitment to student-athlete development and leadership programming. (See [Athletics Report - January 2013](#).)

Chancellor Meehan has full responsibility for the University's athletics program and retains considerable autonomy for intercollegiate athletics; the [President](#) of the UMass System and the [Board of Trustees](#) have responsibility for specific aspects of the program such as approval of student fees. All funds received and expended for athletics are handled in compliance with NCAA and state requirements.

Student athletes are admitted to UMass Lowell in accordance with the same procedures used for all students. An admissions counselor acts as a liaison to the athletics division to ensure compliance with

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University and NCAA rules regarding admission of these students. Student athletes are held to the same standards and policies, and are evaluated by the same campus agencies, as are all students. Athletic programs are committed to strict compliance with NCAA conference and institutional standards.

The [Campus Recreation Center](#) (CRC) offers a wide variety of programs and services that meet the changing needs of the diverse community, and also manages current on-campus recreational facilities. The Recreation Department offers a bicycle shop to encourage alternative student transportation. (See also Standard 9.)

Student Behavior, Academic Dishonesty, and Grievances and Appeals: UMass Lowell has established clear standards for student behavior that are outlined in the [Student Conduct Code](#). The Student Conduct Code is distributed as a handout to all students during summer orientation sessions, and electronically to all students at the beginning of fall semester. All violations of the Student Conduct Code are addressed by the University conduct process in the newly created [Office of Student Conduct](#); Since fall 2011, all conduct cases have been managed and recorded using the newly implemented [Judicial Action](#)® electronic student conduct module.

The Academic Dishonesty Policy and the processes for students to pursue a grievance or appeal is published in both the online [undergraduate](#) and [graduate](#) academic catalogs. Faculty are encouraged to include this policy in their course syllabi. (See standards 4 and 11.) The University has a license to the plagiarism detection software, Turnitin®, and provides training to faculty in the use of it. The [First Year Writing Program](#) provides an online module explaining plagiarism and offering strategies to avoid it in written work. The library provides a [libguide](#) on plagiarism as well.

Student Support Services: [Student Health Services](#) (SHS) provides accessible, affordable, quality health care to all full-time students, with a particular focus on wellness and prevention. Information about SHS is disseminated to students on a web page, monthly electronic newsletter SH101, brochures, orientation sessions for students and parents, and an admissions letter. SHS coordinates the [Student Health Insurance program](#) and works with University Admissions to ensure that all incoming students have the required vaccinations and health records required for enrollment.

All clinical staff are licensed, registered, nationally board certified and participate in continuing education programs specific to their college health. Nurse practitioners, under the supervision of a consultant physician, provide direct health care to full-time students for both urgent episodic illness and injuries, and also provide preventative and maintenance care for chronic illnesses. Student Health Services publishes a [Privacy Policy](#) that is available on the Student Health Services website and is posted in the SHS office.

Health insurance is mandatory and is available through the University for those who are unable to prove they have equal or better coverage from another source. The insurance plan offered by Harvard Pilgrim Health Care through the University covers students on or off campus and is in effect for a full year. It is required for international students and is not available to on-line only students.

The [Counseling Center](#) provides personal counseling to remediate emotional issues that affect student learning and impede success. All clinical staff members are fully licensed as mental health practitioners and as such continue to upgrade their skills on a regular basis. Students who require psychiatric evaluation, medication evaluations, or monitoring can access psychiatric services. All appointments and services provided by the counselors within the Counseling Center are free to full-time students, but students must pay a fee for psychiatric services. The Counseling Center records are confidential and do not become part of students' academic records. The Center works with the UMass Lowell Police Department and the Office of Residence Life to provide emergency/crisis oriented mental health access to

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assist in evaluation and disposition of students in distress. They consult with faculty, staff, parents and concerned others on issues related to student distress, and suggest plans for intervention.

[Student Disability Services \(SDS\)](#) is committed to providing equal access and reasonable accommodations, where appropriate, for all qualified disabled students as covered under Section 504 of the Rehabilitation Act of 1973 and Title II of the Americans with Disabilities Act Amendments Act. SDS includes a self-disclosure form in all admissions packages to provide students with the opportunity to confidentially disclose a disability to SDS.

SDS works to integrate students with disabilities into the larger student population by providing [academic accommodations](#) while maintaining confidentiality and academic integrity, and assuring that students with disabilities have a comparable academic experience to that of the overall student population. In 2010 SDS implemented a number of [assistive technologies](#) including Kurzweil firefly, Dragon Naturally, Smart Pens, and Communication Access Real Time (CART). Students' rights and responsibilities are published on the SDS website. SDS maintains confidential records in accordance with FERPA regulations.

SDS is staffed by qualified individuals who are trained in the assistive technologies listed above. Since 2009, the SDS staff has increased from one staff member to three fulltime and one halftime staff member. SDS employs two bilingual staff members to better address the needs of all students. SDS also sponsors student groups whose main goal is to empower and engage students with disabilities.

Campus Safety: The [UMass Lowell Police Department \(UMLPD\)](#) includes 30 full-time sworn police officers, 18 campus security officers (CSO), and support staff. All UMass Lowell police officers draw their authority from the UMass Board of Trustees and the Middlesex County Sheriff. They receive the same level of training as municipal or town level police officers in the Commonwealth of Massachusetts, and have attended an accredited police academy. UMLPD services include a uniform patrol division, criminal investigation division, legal bureau, and community policing officers that conduct outreach, and crime prevention and educational programs.

UMLPD secures all campus buildings during evening hours and residence halls 24 hours a day. Resident halls are monitored throughout the evening and night hours by a combination of security officers and student resident advisors. UMLPD strategically employs 250 security cameras across campus, as well as 110 emergency call boxes, to enhance their monitoring of campus. In addition, campus security officers offer a Walking Escort Program and a shuttle bus, to provide a safe means of transportation after dark.

The UMLPD prepares the annual [Campus Crime Report](#) in cooperation with campus and local law enforcement agencies in accordance with the requirements of the Clery Act.

The UMass Lowell behavioral intervention team, called [Students at Risk \(STARs\)](#), is a collaborative group made up of representatives from the Dean of Students' Office, Student Health Services, the Counseling Center, Disability Services, Campus Conduct, the Office of Residence Life, Emergency Medical Service, and the UMass Lowell Police Department. This team meets weekly during the academic year to discuss students whose behavior has concerned a member of the University community and to devise a course of action. When students appear to be at high risk, the Dean of Students formulates an intervention strategy often involving the student's family.

UMass Lowell [Transportation Services](#) manages and operates a campus transportation program for all faculty, staff and students that serves all campuses and leased properties. The campus operates its own transportation vans, and provides bus service through a competitively bid services contract.

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The University funded two transportation studies, (See [Transportation Plan 2012](#)). As a result, operational efficiency measures have been initiated, such as set vehicle departure times and an increased number of vehicles to provide service to UMass Lowell community members. The hours of operation and the service routes have been expanded to provide better access to the downtown Lowell area. Currently a fleet of at least 12 busses operates on campus, and van service has increased from four vans to 11 since 2007. In response to a request from the Student Government Association, Web Services launched a mobile optimized site for the bus shuttle tracker that allows students to monitor the locations of campus buses.

[University Dining Services](#) provides a comprehensive food services program to meet the dining and nutritional needs of students, faculty and staff. The dining program at UMass Lowell is provided by ARAMARK. There is a range of dining venues across campus including three dining halls and eleven retail locations. University Dining Services also provides food service for the UMass Lowell Inn and Conference Center, the Tsongas Center and University Catering Services. Health, nutrition and concern for dietary needs are important priorities for Dining Services.

Student Academic Support: [The Centers for Learning and Academic Support Services \(CLASS\)](#) provides tutoring and advising support for a broad range of students, and active mentoring for at-risk students. Since 2011, the Centers have played an active role in identifying at-risk students and proactively seeking to support them. The Centers have also been effective in steering students who are not succeeding in a particular major toward alternative programs that better fit their skills.

Tutoring is provided on-line and face-to-face in individual and small groups by faculty-recommended peer tutors. Peer tutors are required to maintain GPA's of 3.0 or greater and complete a [College Reading and Language Association \(CRLA\)](#) approved training program. Tutoring is provided for over 60 courses in all majors on both a drop-in and scheduled appointment basis. Faculty coordinators in STEM disciplines work with tutors to conduct peer-facilitated study groups. The Centers for Learning [Peer Tutoring Program](#) is certified by the CRLA.

The Strategies for Success programs are day-long academic orientations available to all incoming students each summer; each session is typically attended by about 130 students. These programs are designed to provide students with a tool kit of skills that will assist them in making a successful transition to UMass Lowell. This collaborative program combines the expertise of faculty, professional staff and current students and offers practical advice and insight to incoming students that will improve the quality of their academic experiences.

The [Advising Center](#) provides students with the information they need to make informed decisions about their academic careers through one-on-one meetings, workshops, and drop-in advising. The Center serves as a central clearinghouse for information on all University academic programs and policies; provides graduate test preparation for the GRE, GMAT, MTEL and MCAT; offers study skills workshops; and serves as a support center for students and faculty on utilizing the Intercampus Student Information System (iSiS) system effectively.

The [Career Services and Cooperative Education Center](#) helps students successfully transition from their academic pursuits to their career goals by promoting and facilitating career education, exploration of career options, and connections with possible employers. The Career and Co-op Center executes networking events, information sessions and workshops; offers career counseling to assist students in career decision-making; provides vocational assessment services to help students make informed decisions about future plans. The Center also developed and presents an experiential learning curriculum.

The Career and Co-op Center has several services online through its [website](#) that are designed to meet student needs for easy access to career-related information and services. The Center facilitates employer-

student connections through an online recruiting system called [CareerLINK](#) and in collaboration with the UMass Lowell Alumni-Student Career Connections group on [LinkedIn](#). Online career development resources accessible from the Center's website include online job interviewing practice using InterviewStream (*What Can I Do With This Major?*), career videos, and online assessment vehicles.

Appraisal: Student Services

UMass Lowell's growth in student enrollment and retention is due in part to efforts by units across the University to increase student participation in campus life, to engage them in the overall UMass Lowell experience, and to enhance support services that will allow them to succeed. Offices providing student services consistently elicit feedback by means of regularly scheduled discussions, focus groups, and program evaluations that are designed to clearly and compassionately understand student needs and pave the way for student satisfaction. In response to student feedback and awareness of best-practices at other institutions, the University regularly initiates program and service enhancements.

Student Engagement and Student Life: Since 2007, UMass Lowell has steadily worked to enrich campus life and has viewed the residential experience as a lynch pin of that effort. The University has expanded the availability and quality of housing and has enhanced the experience of students in residence by significantly increasing programming to engage them outside of the classroom. The residential experience has become increasingly popular as evidenced by the 17% growth in the number of undergraduate students choosing to live in the residence halls. The increase of undergraduate students in residence since 2007 is projected to reach 25% with the addition of two new residence halls in the fall of 2013. The rate of students' self-selection into living and learning communities in the first year, and the student-driven creation of upper-class living and learning communities, further demonstrate the importance of the resident experience as a recruitment and retention tool.

The efforts of the Office of Student Activities and Leadership and the Office of Multicultural Affairs are another cornerstone of the engagement of students at UMass Lowell. Since 2007, many more students are participating in campus activities as indicated by an increase in the number of student groups on campus from approximately 100 in fall 2007 to 188 in fall 2012. The University also saw a 50% increase in student memberships in student groups from 1600 in fall 2007 to 2348 in the fall of 2012. The *Mission All In: Student Rewards Program*, which tracks attendance at a variety of campus events, shows increases in attendance at a significant number of University events including all athletic events at home, and select ones away from campus, and all traditional campus functions.

The Office of Multicultural Affairs has contributed to the increased diversity of the student population by establishing support networks to meet the needs of students with non-dominant identities. The Office continues to expand its outreach efforts by advising 36 student organizations and having direct mentoring relationships with more than 65 students from under-represented populations. Results from the [2011](#) and [2012](#) NSSE surveys show UMass Lowell's ratings to be significantly higher than those at our New England peer institutions on the items that address diversity. For example, responses from UMass Lowell students were positive to questions such as the following: "In the past year, how often have you had serious conversations with a student of a different race or ethnicity than your own?"; "How often have you had serious conversations with students who are very different from you in terms of their religious beliefs, political opinions or personal values?"

Gains in access, retention and satisfaction of veteran students at UMass Lowell have been facilitated by the creation of the Office of Veterans Services. With the assistance of improved administrative and student service initiatives, an increased number of veterans have been admitted; approximately 1200 student veterans registered with Veterans Services in Fall 2012 compared to 500 registered in Fall 2011. Since 2010, student veteran fall- to-spring semester retention rates increased from 84% to 98%.

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Parent participation in Parent, Family and Friends Orientation has increased by approximately 50%, from approximately 200 to 300 parents, since the summer of 2011. Program evaluations for this event have revealed an overwhelmingly positive view, with many parents commenting that after having attended the orientation they felt much more informed about the institution and more at ease with their child's transition to university life. While attendance has been increasing, Parent Orientation and other programs operated by the Office of Parent Programs reach a relatively small proportion of parents. As the office looks forward to its second year of operation, continued emphasis will be placed on increasing participation through the use of technology.

Athletics has become a greater part of campus life at UMass Lowell than ever before as indicated by increased attendance at Riverhawk hockey games and membership in the Blue Fan student group whose purpose is to increase spirit and support for athletic teams. Since 2005, participation in intramural sports has risen from 1300 to 4095 annually. Similarly, club sports teams have grown in number from 14 to 22, with 455 students currently participating.

In order to meet the increasing demand for campus recreation opportunities, the University is creating a new fitness and wellness space on South Campus in the fall of 2013. Even with this expansion, the University is continuing to examine ways to efficiently and effectively utilize existing space, while strategically examining ways to increase outdoor field space and facilities for recreational use.

The University is in the process of enhancing support services for athletes, in particular the advising and academic support programs, in order to meet NCAA Division I requirements. In addition, the Athletic Department is working to enhance the Riverhawk Leaders Program to encourage student athletes to explore their own personal values and develop leadership skills necessary to be successful as both a student and an athlete.

Student Support Services: Student Support Services across campus have continued to expand in size and scope while maintaining high levels of reported satisfaction from students. Quality assurance studies for Health Services and the Counseling Center indicated high levels of service and satisfaction among students. In 2012, evaluations by students at the end of their sessions at the Counseling Center revealed that 82% believed that counseling had helped them to be more successful in school and 99% of clients indicated that if they needed help again, they would return. In addition, 98% of students who retained psychiatric services reported that they appreciated the availability of psychiatric and medication services, and 99% would like to see services expanded. With this success and the high rate of use, Health Services and the Counseling Center are evaluating how to shorten wait times and increase the number of appointments available to students.

Student Disability Services has also seen an increase in demand for services, with over 500 students currently registered compared to approximately 200 in fall 2008. In response to increased numbers of students and representations of disabilities, the SDS has expanded staff, enhanced programming, and increased availability of assistive technology. The office has developed a policy manual providing regularly updated information to the SDS website. Within two years, all records will be maintained in a secure electronic database. An ongoing challenge for SDS has been finding the resources (space and staff) to accommodate special testing needs (extended time and disturbance-free space) for students with disabilities. Student services and academic affairs are working together to develop strategies for addressing these needs.

Campus safety is of paramount importance, particularly at an urban institution. Since the hiring of the current Chief of Police in 2009, UMLPD has addressed the singular challenges of policing a college

Standard Six: Students

campus in an urban environment by enhancing the [community policing program](#) and by hiring additional recruits with community policing backgrounds.

The University has constructed a new 15,000 square foot state-of-the-art police station that was occupied in May 2013 (See Standard 8.). The facility centralizes operations and provides a designated area for community policing educational programs. The Department also continues to strengthen collaborative efforts with student groups through community outreach and day-to-day interactions.

The STARs team has typically reviewed over 130 students each year since 2007 with issues ranging from excessive alcohol use to high-risk behaviors to selves or others. Approximately 25 students are maintained on the STARs list at any given time for monitoring and/or intervention. Most students who are brought to the attention of the STARs team continue at the University, in part due to the intervention facilitated and coordinated by STARs.

In support of added transportation, the Transportation Services staff was increased from 16 student employees in 2010 to over 40 in 2012. In cooperation with the City of Lowell, the campus conducted a study of regional transportation issues that affect the campus. One of the results from that effort was the establishment of the [University's Transportation Demand Management](#) (TDM) program, which supports sustainable transportation options to and from campus. In 2012 UMass Lowell hired its first TDM coordinator to oversee programs such as bike sharing, carpooling, vanpooling, Mass Transit programs and car share programs.

Demand for high quality dining options on campus has resulted in over \$20 million in dining improvements since fall 2007, including an \$11 million renovation to the primary food service venue on campus to create the state-of-the-art University Dining Commons. Dining choice was expanded with the addition of brand name venues such as Sal's Pizza, Taco Bell, Subway, Starbucks and Einstein Bros Bagels, and the addition of over 200 hours per week of food service across campus in the fall of 2012.

Student Academic Support: In the 2011-2012 academic year, the Centers for Learning and Academic Support Services (CLASS) held 2741 meetings with undergraduates. Additionally, 903 meetings were held with students on Academic Warning and/or those who failed to meet federal requirements for financial aid in order to help them develop strategies for improved academic success. An Academic Intervention Program was piloted by the Provost's Office and CLASS to provide academic support to students who had not succeeded in their chosen major, but had been allowed to remain at the University in a probationary status. Sixteen out of 30 students participated in this program in 2011, and 15 of them remained at the University. CLASS has also reached out to more than 300 first-year students who were identified by faculty participating in the Starfish™ initiative as being at risk academically and has facilitated 6979 face-to-face tutoring sessions. To meet increased demand, CLASS expanded service in fall 2006 to provide on-line interactive tutoring sessions in first-year high-risk STEM courses, including Calculus I and II, Physics I and II, and Chemistry I and II. Response to online tutoring has not been high, however, so CLASS is currently considering other approaches to the delivery of this function. CLASS also provided 57 classroom presentations in AY2013, reaching over 1400 students.

The Career Services and Cooperative Education Center continues to engage students and to connect students and employers effectively as evidenced by increases in student appointments and attendance at trainings, and by increases in employer participation in networking and recruitment events. Over a three-year period, numbers of students receiving individual career counseling and coaching has increased by 123%; the overall number of outside-of-classroom presentations given has increased 22%, enabling the Center to reach 37% more students; and the overall number of classroom presentations has increased by 33%, enabling the Center to reach 19% more students in an efficient manner. In three years, employer attendance at career fairs has increased by 41%.

Standard Six: Students

One of the most significant challenges that the Career and Co-op Center staff has confronted is the establishment of a formalized co-op experience at the University. The Career and Co-op Center has worked collaboratively with academic units to establish an effective process for students to attain a cooperative educational experience. The two units have also collaborated in developing procedures for documenting and record keeping and for arriving at an experiential learning curriculum designed to prepare students for and assist them in assessing cooperative educational experiences. As a result of these combined efforts, cooperative educational placement rates have increased 262% since the program's inception in 2010. In addition, levels of learning goal attainment have been high and student evaluation rates by employers have been consistently positive – 100% of students received grades of A or B for on-the-job performance.

As UMass Lowell continues to expand, there will be continuing need to expand residential, academic, and recreational support for students.

Projections

- Overall enrollment and the selectivity of incoming freshman students will continue to increase in keeping with the [2020 Strategic Plan](#) through continued collaboration among the Office of Admissions, the academic deans and departmental chairs, and student services units on campus.
- The planned implementation of a virtual student services center followed by a physical student service center is intended to help students manage the complex relationship between the costs of course enrollment and the resources required to cover those costs. The Office of the Dean of Enrollment Management and Student Success will implement the virtual student services center in the fall of 2013, and the physical student services center will open in the fall of 2014 upon the opening of the new University Crossing Student Center.
- Increasing availability and quality of student housing will continue to be an institutional priority. Two new residence halls will open providing 1000 new apartment and suite style residence hall beds to students. In addition, during the 2013-2014 academic year, two existing residence halls will undergo major renovation to improve buildings, infrastructure, and enhance common space.
- Disability Services and Academic Affairs will implement a plan to improve testing spaces for students requiring special accommodations for testing by 2014.
- With the transition from Division II to Division I athletics, expanded recreational facilities and support for student athletes are being planned. The planning process, which has engaged student services, facilities and public affairs, has already begun. Implementation will begin in fall 2013.

Institutional Effectiveness

UMass Lowell systematically and annually assesses its effectiveness in all three areas addressed in Standard Six: admissions, retention and graduation, and student services. This assessment, in turn, becomes the basis on which we revise our admissions standards and action plans, expand our retention strategies, and direct our services in order to achieve the strategic goals clearly defined in our mission.

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

Standard 7: Library and Other Information Resources: Library

Standard 7: Library and Other Information Resources			Most Recently	NEASC Visit	Next Year
	3 Years Prior	2 Years Prior	Completed Year	projection)	(goal)
	(FY 10)	(FY 11)	(FY 12)	(FY 13)	(FY 14)
Expenditures					
Materials	\$1,991,987	\$1,894,004	\$1,982,536	\$ 1,960,642	\$ 1,978,648
Salaries & Wages*	\$2,556,763	\$2,699,770	\$ 2,700,057	\$ 2,727,708	\$ 2,754,467
Other operating	\$348,589	\$437,962	\$ 364,006	\$ 241,884	\$ 245,000
* includes work study funding					
Collections					
Total print volumes	298,765	286,221	273,396	274,010	274,610
Electronic books	70,161	75,042	80,875	107,598	107,600
Print/microform serial subs	0	0	0	0	0
Unduplicate Full text e-Jrnl	50,004	55,261	59,053	59,043	59,033
Microforms	88,316	27,199	20,154	20,154	20,154
Total media materials	12,098	11,199	11,214	11,207	11,222
Personnel (FTE)					
Librarians	16.86	14.88	13.61	14.24	14.24
Other lib personnel	16	14.6	15.65	14.43	14.43
Library Instruction					
Total library sessions	252	313	355	397	404
Total library attendance	4,951	5,802	7,036	8,270	8,410
Reference and Reserves					
In-person refquestions	2,725	3,226	3510	3,794	3,995
Virtual ref questions	275	406	248	320	390
Traditional Reserves:	2266	1834	1488	1,300	1,200
E-Reserves:	0	0	0	0	0
Circulation (do not include reserves)					
Total/FTE student	10,374	11,826	12,505		
Total physical book usage	16,519	14,092	12,514	10,444	8,333
Total ebook downloads		257,056	300684	351,800	422,160
Total full-text article	657,687	981,357	1,194,692	1,445,577	1,734,692
# hits to library website	11,491,214	15,710,127	18,720,785	22,277,734	25,619,394
Availability/attendance					
Hrs of operation Ly & O'L	109.5	109.5	109.5	109.5	109.5
Hrs of operation/weekCTR	48	48	48	48	48
Gate counts/year -- main campus					NA
Gate counts/year -- average branch campuses					NA

Standard 7: Library and Other Information Resources					
(Information Technology)					
	3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year	Next Year Forward (Goal)
	FY2010	FY2011	FY2012	FY2013	FY2014
Course Management System	BLACKBOARD				
<u>Number of classes using the system</u>					
Online	657	727	823	876	954
Blended	35	58	70	75	85
Web-Enhanced	674	759	872	1055	1200
<u>Bandwidth</u>					
On-Campus Network	10 GIG	10 GIG	10 GIG	10 GIG	10 GIG
Off-Campus access - Admin (Mbps)	200 MEG	200 MEG	200 MEG	200 MEG	300 MEG
Off-Campus access - Student (Mbps)	200 MEG	400 MEG	400 MEG	500 MEG	700 MEG
High-Performance Networks (Mbps)	0	50 MEG	50 MEG	50 MEG	50 MEG
Wireless protocols(s)	A, B & G	A, B, G & N	A, B G & N	A, B, G & N	A, B, G & N
<u>Network</u>					
<u>Percent of residence halls connected to network</u>					
Wired	100	100	100	100	100
Wireless	80	80	100	100	100
<u>Percent of classrooms connected to network</u>					
Wired	80	100	100	100	100
Wireless	70	80	85	95	100
Public Wireless Access Points	450	600	850	1400	1600
<u>Multimedia classrooms</u>					
All Campuses	75	100	100	100	100

Standard Seven: Library and Other Informational Resources

<u>IT Personnel (FTE)</u>					
Centralized IT	37	38	39	42	43
Decentralized IT	10	10	10	10	10
<u>Software systems and versions</u>					
Students	Peoplesoft Student v9.0				
Finances	Peoplesoft Finances v9.1				
Human Resources	Peoplesoft Resources v9.0				
Advancement	Peoplesoft Advancement v8.0				
Library	Voyager, Ariel, Illiad				
Website Management	Tridien				
Portfolio Management	Wiki Spaces, Digital Measures				
Interactive Video Conferencing	LifeSize, Tandberg, Polycom, GoToMeeting, FuzeMeeting				
Digital Object Management	ImageNow - Perceptive 6.x				

Standard Seven: Library and Other Informational Resources

The [Library](#) and [Information](#) Technology units at UMass Lowell share a mission to support the University in achieving excellence in teaching, learning, research, and public service. These units provide resources, training, collaborative spaces, infrastructure, and services to advance student and faculty success and build the necessary informational architecture, shared library spaces, and business processes to achieve these goals.

Description: Resources and Access

Students and faculty enjoy use of three library facilities located within a mile and a half of each other in the city of Lowell: O’Leary Library on South Campus, Lydon Library on North Campus, and the Center for Lowell History in downtown Lowell.



Figure 7.1: O’Leary and Lydon Libraries and the Center for Lowell History

O’Leary Library is a six-story, mixed-use building that houses a recently renovated Learning Commons that includes the [Centers for Learning](#) (tutoring and advising rooms), a media services facility, a library instruction lab, a library reference and information desk, group study rooms, a satellite public service desk for information technology, a feeder office for career services, and a Starbucks. Quiet study is available on the mezzanine and in the library reading room, which also provides interlibrary loan, circulation, and reserve services. In addition, the building houses the English Department, faculty offices and the Graduate School of Education.

The [Media Services](#) facility is a hands-on workspace supporting the use of digital multimedia technologies. Media Services offers public access to more than 20 computer workstations with multiple audio, video and graphic editing software applications. It is staffed with individuals who have educational media technology expertise to support student efforts. Facilities include a separate sound room for audio narrations.

Lydon Library is a five-floor building where students have access to a Learning Commons, featuring group study rooms, a lounge, computer workstations, a library instruction lab, and a quiet study area. The book collections are located on the third and fourth floors. Books may be requested electronically for courier delivery to South Campus.

The third facility, the [Center for Lowell History](#), is located in the Mogan Cultural Center which is owned by the National Parks Service and contains 94 special collections documenting the history of Lowell. Our investment in these primary historical records serves the University community at all levels; in FY2012 over a thousand unique researchers, consulted these collections.

The library employs 12 part-time and 26 full-time staff. The 13 full-time librarians are members of the [Massachusetts Society of Professors](#), the faculty union, and are tenured or tenure-track. The three library division heads (Public Services Division with 6 librarians, Access/Technical Services Division with 5 librarians and Media Services Division with 2 media specialist librarians) are equivalent to academic chairs and are elected to three-year terms.

The library schedule provides 144 hours each week of in-person reference assistance to students, faculty, and community walk-ins as well as e-mail, chat, and phone service. In response to student requests, building hours, posted on the Library website, have been extended from midnight to 2AM on Monday through Thursday and also on Fridays during exam times. The Center for Lowell History provides 45 hours each week of in-person research services and phone, e-mail, and chat services. The Media Services facility provides 105 hours each week of access to media equipment, support, and staff expertise.

Collections: The UMass Lowell Libraries subscribe to a combined [collection](#) of 65,000 online, digital journals, magazines, newspapers and serial reference works. To facilitate article discovery, we subscribe to a current, best-practice discovery system from EBSCO, customized for our databases and subscriptions. We invest nearly \$2 million in these subscriptions to support work through the doctoral level in the sciences, engineering, health, education, humanities, and social sciences.

We subscribe to 107,000 e-books, and tallied more than 350,000 downloads last year. Our print collection of 185,000 titles supports our local users and our membership in the [Boston Library Consortium](#) provides access to a combined collection of nearly 30 million print volumes. Our new, integrated library catalog, to debut in January 2014, is the [OCLC WorldCat®](#). It displays local UMass Lowell holdings, both print and electronic, Boston-area holdings, and worldwide (WorldCat) holdings. The full catalog contains 236 million item records.

As the Internet and broadband access became mature technologies, the promise of investing in digital access has superseded broad investment in print ownership, and UMass Lowell has embraced the opportunity for universal access to published scholarship.

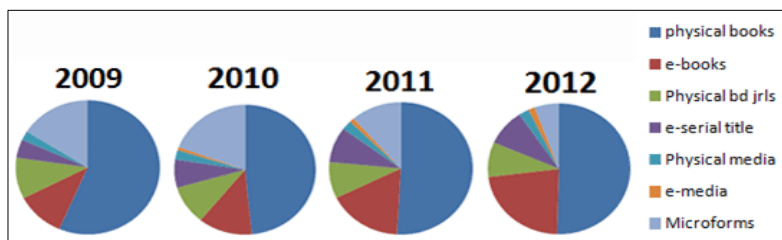


Figure 7.2 Proportion of Print and Electronic Materials since 2009

The above graphs show the changing proportion of physical to electronic items in the library over time. This shift in format has been in response to both day and online students' requests for flexible access to materials supporting their coursework.

Instruction: Six reference librarians (including the Head of Public Services) are responsible for library instruction and continued review and update of the library's information literacy program to keep it aligned with the American Library Association's standards. All freshmen in College Writing I and II (120-130 classes) receive library instruction. In addition, reference librarians work with faculty in assigned academic departments and colleges to provide classes and supporting research guides (using a

content management and web publishing platform known as LibGuides) on discipline-specific resources (175-190 library sessions per year). Each year, 5000 to 7000 students receive information literacy and library resource instruction. From 2008 to 2010, reference librarians were involved in assessing student information literacy using the ETS iSkills on samples of incoming freshmen, second semester freshmen and then seniors ([iSkills results](#) and See also Standard 4.). To further strengthen instruction in information literacy, the library is currently developing online worksheets that engage students in the process of generating research topics and in the use of specific library resources

Appraisal: Resources and Access

The level and breadth of information resources (i.e., copyrighted subscriptions) at UMass Lowell supports the work of a national research university. These resources are essential to support student work through the doctoral level and to support faculty research. Core subscriptions in digital resources reflect an ongoing, annual commitment of nearly \$2 million. This core subscription base is further enhanced by the Boston Library Consortium, the consortium that provides efficient and comprehensive access to inter-library loan.

Analysis of the usage rates of our collections provides an indirect measure of the information-seeking skills of our students. This analysis reveals a range of skills appropriate to students at the introductory level as well as those seeking specialized degrees and advanced levels of study. Students in first-year and lower-level undergraduate courses are heavy users of the popular, multidisciplinary databases. One in particular, *Academic Search Premier*, saw over 100,000 article downloads in 2012; another family of online databases, published by Gale and targeting general undergraduate users, saw over 450,000 article downloads that year. More specialized databases, such as those of the American Psychological Association, saw more than 103,000 article downloads in 2012 (nearly double the 2009 total). The upper level, transdisciplinary database from Elsevier, *ScienceDirect* (providing access to advanced scientific literature), registered nearly 124,000 article downloads (up from 92,000 in 2009). The databases of the American Chemical Society registered over 20,000 downloads; the CINAHL database (used in nursing) registered over 15,000 downloads, and *Business Source Premier* registered over 22,000 articles downloaded.

Overall Expenditures: Table 7.1, shows a comparison of UMass Lowell library expenditures per FTE from 2011 in comparison to our peer and aspirant universities (taken from the Association of Colleges and Libraries Database).

Table 7. 1 Comparison of Library Expenditures with Peers and Sister Campuses (sorted by Library Expenditure per FTE)

	Total Library Expenditures	Library Materials Expenditures	Prof Staff Full Time	Enrollment (FTE)	Library Staff per 1000 FTE	Library Expenditure per FTE	Materials Expenditure per FTE
University of Massachusetts Boston	\$3,874,867	\$1,757,000	19	11,887	1.60	\$326	\$148
Georgia State University	\$11,574,651	\$5,835,420	50	30,926	1.62	\$374	\$189
University of Rhode Island	\$6,442,093	\$3,268,506	18	15,252	1.18	\$422	\$214
University of Massachusetts-Lowell	\$4,766,497	\$1,894,004	22	11,243	1.96	\$424	\$168
University of Wisconsin - Milwaukee	\$11,554,181	\$3,647,585	43	25,626	1.68	\$451	\$142
San Diego State University	\$12,429,608	\$2,248,430	32	27,073	1.19	\$459	\$83

	Total Library Expenditures	Library Materials Expenditures	Prof Staff Full Time	Enrollment (FTE)	Library Staff per 1000 FTE	Library Expenditure per FTE	Materials Expenditure per FTE
Virginia Commonwealth University	\$16,756,979	\$8,711,031	52	29,328	1.77	\$571	\$297
University of Massachusetts Amherst	\$16,480,195	\$6,439,539	58	26,993	2.15	\$611	\$239
University of Maryland-Baltimore County	\$7,355,804	\$3,792,514	24	11,248	2.14	\$654	\$337
University of New Hampshire	\$11,254,992	\$5,476,361	41	15,078	2.73	\$746	\$363
University of Maine	\$8,816,669	\$5,329,583	22	9,265	2.39	\$952	\$575
MEDIAN	\$11,254,992	\$3,792,514	32	15,252	2.00	\$459	\$214

Staffing: Our headcount of professional library staff has gone from 22 to 21 since FY 2010, and falls within the range of similar-sized peers and sister campuses. In 2011, the most current year for comparative data, we had a ratio of 1.96 professional staff for each 1,000 FTE of student enrollment. The median of the group shown in Table 7.1 is 2, with a range from 1.18 (URI) to 2.73 (UNH). Our increasing use of technology to reach more students further enhances our outreach and productivity.

Materials: Our expenditure on materials per FTE student also falls within the range of our peers. Although it falls below the median, it is important to note that our participation in a variety of consortia, most particularly the Boston Library Consortium, allows us to make use of expanded access to materials as noted above.

Assessment: Although significant efforts have been made in the area of assessment of information literacy more work is needed in this area. The Director of Libraries, along with division and departmental heads, have begun to develop a plan for regular and systematic assessment of how well the library is meeting users’ needs and expectations, specifically including the use of and proficiency in information and technological literacy. The strategy to establish ongoing assessment will include the following activities:

- Gathering of detailed web analytics showing student use of recommended resources.
- Establishment of an Electronic Resource Management (ERM) system to monitor use of databases.
- Sampling of student bibliographies to provides a measure of students’ use of information. While providing usage records for the library, this sampling will also provide rich and important data with respect to the general education outcome in information literacy.
- Online survey assessments sent to faculty for their feedback on library training initiatives. Use of worksheets capturing pre- and post- class measures will be expanded.

Expanded Outreach: While as many as 7000 students receive library instruction each year, we do not reach all students equally. For example, transfer students who do not enroll in College Writing I and II miss the introduction to and hands-on experience with the library databases that freshmen receive. A concerted effort is planned to reach out through expanded technology to students who are not within the reach of traditional library instruction. The library is also working with the [Division of Online and Continuing Education \(OCE\)](#) to create virtual library orientations that will be accessible not only to all students attending class on campus but to all online students as well.

Description: Information and Technological Literacy

The 2020 Committee on Information Technology envisions that UMass Lowell will become a leader in the use of information and instructional technology in order to sustain top-quality teaching, learning, and research. In order to realize this vision, the following collaborators provide support to administrative and academic technology services: the [Office of Information Technology](#) (IT), the [Division of Online and Continuing Education \(OCE\)](#), [Centers for Learning and Academic Support Services](#) (CLASS), and the [Division of Media Services](#). IT is responsible for providing a robust and reliable information technology infrastructure and core information technology services. OCE provides training and support for online and blended learning. CLASS provides academic services, student support for computer labs, and faculty support for academic technology collaboration resources. The Division of Media Services provides support for the development of visual and auditory media.

The Instructional Technology Services group, which consists of seven full-time employees and an academic-technology manager, oversees the operation and maintenance of all technology-enabled spaces on campus, manages the lecture capture infrastructure and library electronic resources, and provides training for faculty and staff in the adoption, implementation, and deployment of instructional technology on campus. OCE has three full-time faculty development specialists to support online and blended learning environments. The Office of Instructional Technology maintains a help desk with 24-hour phone service and a full-service function in the libraries of both North and South Campuses.

Online and Blended Learning: [UMass Online](#) provides market and technological support for the five campuses in the UMass system and serves 1500 different online courses each year. In 2009, UMass Online conducted an extensive evaluation process in order to select a replacement for its learning management system, Blackboard Vista. The Division of OCE implemented the transition from Blackboard Vista to Blackboard Learn 9.1 on the Lowell campus in 2012-2013.

Institutional Use of Information Technology: PeopleSoft Campus Solutions is used as the enterprise-wide student information system. This is a collaborative application shared with UMass Boston and UMass Dartmouth and is supported by a common UMass service, the University Information Technology Systems (UITS). At Lowell, the system is referred to as iSiS – Intercampus Student Information System.

UMass Lowell has upgraded to version 9.0 of PeopleSoft Campus Solutions and is current on all bundle updates. This system maintains full software support from Oracle/PeopleSoft. The PeopleSoft application is composed of many modules across the spectrum of the student lifecycle – including recruiting and admissions, student records, student financials, academic advising, and financial aid.

Lecture Capture and Smart Classrooms: During 2010-2011, \$850,000 was invested to upgrade classroom hardware. Currently, 100% of the dedicated teaching spaces on campus are Technology Enhanced Classrooms (TEC). This technology provides faculty with efficient and effective methods to interact with their students. This upgrade also included lecture capture devices in heavily utilized classrooms.

Appraisal: Information and Technological Literacy

UMass Lowell strives to continually upgrade resources in order to ensure maximum accessibility to technology for individuals on campus and online. Faculty-captured lectures and lecture archives have been available for student review since 2005. Over 150 faculty members have participated in this program, with approximately 100 courses per semester being recorded in an audio/video and screen capture format. Lectures are fully portable and accessible via desktop on any operating system or mobile device in either a streamed or podcast format. Annual surveys, conducted each spring between 2009 and 2011, show that students are embracing this technology and specifically cite this resource as a factor in their academic success. Access statistics for Academic Year 2012 indicate over 65,000 student views.

Training and Support: The Office of Information Technology and the [Faculty Development Committee](#), have developed new faculty workshops and expanded current offerings to focus on emerging educational technology trend (for example, Web-Enhanced Teaching, Technology-Enhanced Classrooms, Lecture-Capture Technologies, Utilizing Clickers in the Classroom). Comparisons of faculty development offerings from 2010 to 2012 document the impact of this effort, with the number of classes increasing from 7 to 39 and attendees increasing from 31 to 262. Current initiatives include the development of collaborative tools that provide faculty access to desktop conferencing from office, home, or mobile device. To provide “just-in-time” technology training to new faculty members, a Classroom Technology Toolkit was offered as part of the 2012 new-faculty orientation.

Information Literacy: This is an identified goal of the University’s general education program. Incoming freshmen receive an orientation to information literacy by the library and in their college writing courses. Each academic department is responsible for providing specialized and increasingly sophisticated skills in evaluating research through sequentially programmed coursework. Literacy skills are evaluated by means of specific course assignments and capstone projects within each major.

Projections

- Over the next two years, the library will build an interactive learning network that connects students, faculty, and administrators directly to the library and its resources, and to each other at the individual, course, and cohort levels. The learning network will have a Libguide for each course, integrating faculty and library insights and connections to the research and scholarship supporting the coursework. Students will have personalized library portals.
- Automated Library System: The library has signed an agreement to replace the online public access catalog, Voyager ILS, with a web-based service called WorldShare. The plan is to replace the current system with this more modern, user-friendly, and cost-effective system by January 1, 2014.
- Library Website: The library website is in need of redesign that is more consistent with the University website while also incorporating mobile access to resources. Mobile website software has been purchased and all library guides now include mobile versions. A new website, based on industry best practice, will go live on January 1, 2014.
- Assessment of information literacy using authentic student work will be enhanced with library staff support by 2015. Information literacy is an explicit learning outcome of both our current and proposed general education programs.

Institutional Effectiveness

Both the library and the Office of Information Technology have developed five-year plans ([Library Plan](#); [IT Plan](#)) that are regularly reviewed as technology needs, budgetary constraints, and enrollment issues arise. The Department of Online and Continuing Education provides ongoing reviews of enrollments in online, blended, and web-enhanced classes. Review of progress toward the five-year plan, library utilization data, and feedback on services and training are used for improvement of library services.

In sum, these activities and projections reflect our engagement in the collaborative culture that is flourishing at UMass Lowell. The sense of purpose and commitment that is evident across the University is reflected in our plans to share knowledge more effectively with students, faculty, and staff. Our projected improvements will contribute directly and vigorously to teaching, learning, and research outcomes at UMass Lowell.

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

Standard 8: Physical and Technological Resources

Effective Date: September 1,
2012

Campus location	Serviceable Buildings	Assignable Square Feet
Main campus	45	2,181,384
Other U.S. locations		
International locations		

Note: Revenue and expenditures are reported in thousands (\$000); assignable square feet are reported in actual numbers.

	3 Years Prior (FY 2010)	2 Years Prior (FY 2011)	1 Year Prior (FY 2012)	Current Year* (FY 2013)	Next Year Forward (goal) (FY 2014)
Revenue (\$000)					
Capital appropriations (public institutions)	\$5,645	\$5,737	\$17,771	\$22,727	\$19,500
Operating budget	\$3,757	\$8,318	\$10,264	\$6,050	\$6,000
Gifts and grants	\$29,757	\$3,639	\$1,854	\$5,000	\$5,000
Debt	\$33,161	\$48,932	\$85,216	\$81,351	\$98,000
TOTAL	\$72,320	\$66,626	\$115,105	\$115,128	\$128,500
Expenditures (\$000)					
New Construction	\$24,498	\$31,571	\$77,513	\$99,459	\$101,500
Renovations, maintenance and equipment	\$19,822	\$35,055	\$37,592	\$15,669	\$27,000
Technology					
TOTAL	\$44,320	\$66,626	\$115,105	\$115,128	\$128,500

** Tsongas Center purchased for \$1 in FY10. Recorded capital contribution (gift) of \$28m, FMV of the land and building.

Assignable square feet	Main campus	Off-campus	Total
Classroom	120,612		120,612
Laboratory	325,775		325,775
Office	395,626		395,626
Study	64,249		64,249
Special	190,654		190,654
General	182,981		182,981
Support	463,425		463,425
Residential	408,908		408,908
Other	3,000		3,000

Standard Eight: Physical and Technical Resources

Major new buildings, past 10 years 2002-2012				
Building name	Purpose(s)	Assignable Square Feet	Cost (\$000)	Year
East Garage	Support	186,000	\$13,789	FY2007
ICC	Residential	119,000	\$15,592	FY2010
Tsongas Center	Athletic	119,000	** \$28,000	FY2010
ETIC	Academic-Research	29,000	\$81,500	FY2013
North Garage	Support	193,000	\$20,000	FY2013
** Tsongas Center Purchased for \$1				
New buildings, planned for next 5 years				
Building name	Purpose(s)	Assignable Square Feet	Cost (\$000)	Year
HSSB	Academic-Research	40,000	\$41,000	FY2013
South Garage	Support	193,000	\$20,000	FY2014
University Suites	Residential	97,000	\$56,000	FY2014
University Crossing & Salem St.	Administrative	202,000	\$91,500	FY2015
Manning School of Business	Academic	TBD	\$35,000	FY2016
Major Renovations, past 10 years				
The list below includes renovations costing \$2M or more				
Building name	Purpose(s)	Assignable Square Feet	Cost (\$000)	Year
ICC	Residential	87,452	\$13,699	FY2010
Fox Hall	Residential	16,397	\$13,766	FY2010
Tsongas Center	Athletic	118,577	\$8,060	FY2012
Wan 2nd,3rd,4th	Acadmic, Administrative	37,226	\$18,139	FY2012
OLeary 1st,4th	Acadmic, Administrative	31,209	\$8,810	FY2012
Fox Hall - Dining	Service	16,154	\$9,058	FY2013
UC Salem St.	Administrative	85,000	\$2,353	FY2013
Renovations planned for next 5 years				
The list below includes renovations costing \$2M or more				
Building name	Purpose(s)	Assignable Square Feet	Cost (\$000)	Year
North Power Plant	Service	8,393	\$2,518	FY2013
Perry	Academic	43,478	\$25,000	FY2016
Olsen	Academic	56,207	\$20,000	FY2016
McGauvran	Student Life	26,500	\$15,000	FY2016
North Quad	Academic	TBD	TBD	FY2016
Coburn	Academic	TBD	TBD	FY2016
Weed	Academic	39,000	TBD	FY2016

Standard Eight: Physical and Technical Resources

Description: Physical Resources

Overview: The University of Massachusetts Lowell comprises more than 3.6 million gross square feet (GSF) of space in 45 buildings on 125 acres, divided among three campuses that span the Merrimack River. Since the 2008 Fifth Year Report, the University has made significant improvements in the physical facilities that support academic programs, student life, and the research mission of the university. (See also Standard 9.)

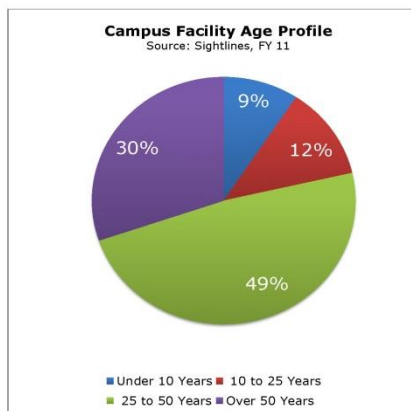


Figure 8.1 Campus Facility Age Profile

As Figure 8.1 indicates, 79% of University buildings are more than 25 years old and 30% are more than 50 years old, which provides certain challenges in terms of addressing deferred maintenance needs.

Since 2008, an extensive program of **capital expansion** and renewal has been underway, affecting all areas of campus life, including residential life, classroom space, and laboratories for teaching and research, administration and support services. Between 2008 and 2012, the number of GSF of campus space has grown from 2.7 million to 3.6 million and will exceed 4 million by 2016. The following major capital projects have been completed (or are underway) since the five-year NEASC report:

1. [Mark and Elisia Saab Emerging Technologies Innovation Center](#) (ETIC) – an 84,000 GSF research facility providing state-of-the-art space for research in plastics engineering, nanotechnology, electro-optics, and pharmaceuticals.
2. Health and Social Science Building – a 69,000 GSF academic building providing classroom space, laboratories and faculty offices for criminal justice, psychology and nursing.
3. University Suites – a 147,000 GSF, 472-bed suite-style residence hall.
4. Riverview Suites – a 172,000 GSF, 500-bed apartment style residence hall, under a 10-year lease.
5. North Campus Garage – 650-car structured parking garage to accommodate enrollment growth.
6. South Campus Garage – 760-car structured parking facility to accommodate enrollment growth.
7. University Crossing – hospital property repurposed through renovation and new construction into 230,000 GSF to house student clubs and activities, a one-stop student center, undergraduate admissions, the main University bookstore, dining, campus police, transportation, and administrative offices.

Facility Renewal and Acquisition: UMass Lowell has invested considerable resources on facility renovations and repurposing facilities to align with current academic needs. Over the last three fiscal years, more than \$49 million has been spent on renovating existing academic and residential buildings. Highlights include:

1. Renovation of the O’Leary (South) and the Lydon (North) Libraries to create a state-of-the-art learning commons at each location.

Standard Eight: Physical and Technical Resources

2. Renovation of two floors of the Wannalancit building on the East campus, enabling the move of administrative departments (Finance, Facilities and Human Resources) from the North and South Campuses, thus creating additional classrooms and offices for faculty and academic staff.
3. Renovation of a floor of Wannalancit to create space for the Massachusetts Medical Devices Center, an incubator for medical device start-ups - a collaborative effort among the College of Engineering and the School of Business at UMass Lowell and the UMass Medical School in Worcester.
4. Acquisition, modernization and upgrade of a purchased hotel to serve as both a 500-bed student residence hall and a conference venue: the UMass Lowell Inn and Conference Center.
5. Renewal of many faculty offices as well as laboratories across the University.
6. Acquisition and renovation of a previously city-owned sports arena - the Tsongas Center.
7. Upgrades to infrastructure and equipment throughout residential and academic facilities.
8. Complete upgrade to the dining facility of Fox Dining Hall on the East Campus.
9. Upgrade of the power plant on North Campus, increasing efficiency.
10. In AY2011-2012 all campus classrooms were upgraded with computer and video projection equipment, computers, and Internet access. In addition, lecture capture technology is provided in 85 classrooms. (See also Standards 5 and 7.)

Facilities Department: The 145-person Facilities Department oversees design, construction, operation and maintenance of campus facilities, including buildings and grounds. In 2009, a new planning division was created in the Facilities Department to evaluate capital needs on a continuous basis. The project management team includes 7 LEED certified professionals, architects, and mechanical and civil engineers. The Facilities operating budget has been increased over the past five years and is now at \$23 million.

Assessment of needs is ongoing and is reviewed in bi-monthly meetings of the Space Committee, consisting of the Vice Provost for Research, Dean of Students, Vice Chancellor for Finance and Operations, Associate Vice Chancellor for Facilities, and directors of planning and project management. Requests for additional space, space moves, renovations and new facilities are assessed at this level before presentation to the [Executive Cabinet](#) for potential inclusion in the five-year capital budgeting process. Ongoing planning and evaluation of physical assets has been enhanced by the development of a campus information system for facilities, including campus mapping, GIS systems, and CAD for infrastructure, drawings and utilities.

[Environmental and Emergency Management](#) (EEM): This department has 13 professional staff and oversees environmental safety, risk reduction, regulatory compliance, emergency preparedness, and occupational health. EEM is organized into four units: Environmental Health and Safety (EHS), Emergency Management, Life Safety Systems and Permitting, and Sustainability.

[UMass Lowell Climate Action Plan:](#) This plan was developed and announced in January 2012. It includes a baseline inventory of greenhouse gas (GHG) emissions, review of accomplishments between 2007-2012, and a listing of interim milestones. This plan also explores strategies to reach carbon neutrality and addresses opportunities to expand outreach campus-wide. Interim goals for reductions in CO₂ have been established for 2020 and 2030, with the ultimate goal of carbon neutrality in 2050.

[Sustainability:](#) In the last several years, UMass Lowell has taken important steps toward greater sustainability. The University has:

- Invested \$15 million in energy efficiency projects;
- Converted to natural gas as a primary heating fuel;

Standard Eight: Physical and Technical Resources

- Committed to achieve LEED Silver or better on all new buildings;
- Overseen a pilot project on renewable energy generation through solar photovoltaic power that was designed by a UMass Lowell professor in engineering;
- Increased solid waste recycling rate from 17% in 2008 to 55% in 2012;
- Installed sub-meters on electric, natural gas, steam and condensate lines for 45 buildings;
- Strengthened existing internal campus transportation network to ease student commuting on campus. Users can now download an application to cell phones that shows locations of buses in real time;
- Expanded central energy management system to provide better control of HVAC systems

Appraisal: Physical Resources

Strategic Facility Planning and Development: The following strategic goals have guided growth and changes in facilities:

1. Expanding facilities to support increased student enrollments and faculty research growth, and enhanced learning facilities;
2. Moving non-academic uses from the centers of the North and South Campuses to the perimeter to provide additional space for academic programs at the center;
3. Transitioning to a residential campus with housing for 50% of undergraduates;
4. Increasing energy efficiency and sustainability.

Much of the assessment and planning work has been carried out in close cooperation with the state [Division of Capital Asset Management and Maintenance](#) (DCAMM). This close collaboration has resulted in increased funding by the state. Beginning in 2008, UMass Lowell and DCAMM undertook a comprehensive assessment of facilities in the context of UMass Lowell's strategic goals. This assessment framed the overall relationships between the University's three campuses (East, North, and South) and the City of Lowell.

A [five-year plan](#) for space renovation of engineering and science facilities was developed in collaboration with DCAMM and their contracted architectural team. This plan specified:

1. Development of a new facility, Emerging Technologies and Innovation Center (ETIC), for applications of nanotechnology in manufacturing and biomedical and pharmaceutical research. The design of this facility provided space for industry partners that can benefit from use of state-of-the-arts specialized capabilities. This 80,000 assignable square feet (ASF) facility was funded by a combination of state funds, grants, and fundraising, and is now completed.
2. The adoption of a plan for a new 40,000 ASF building for the Manning School of Business, to be completed in 2016. This facility is located proximally to Saab ETIC to enhance collaboration with engineering in technology innovation. The move to this new facility will release 14,000 ASF for renewal and reassignment to other faculty and staff offices for engineering and the natural sciences.
3. Moving non-academic facilities from North Campus to other locations, in particular to University Crossing, to allow in place expansion of academic departments. Accordingly, Campus Police, EEM, and IT have been moved to the renovated facility at University Crossing. Career Services and the bookstore are to be moved into the University Crossing facility now under construction. The Facilities division has moved away from North Campus and Advancement will soon move to another location. Over 40,000 ASF will have been released through this process.
4. Better alignment of user needs to building capabilities: concentrating utility-intensive facilities in space that was designed with this capability; reusing historic buildings for office and seminar

facilities. Accordingly, Computer Science and Central IT will be moved from a science laboratory facility (Olsen Hall) to offices vacated elsewhere on North Campus. Furthermore, an engineering facility (Perry Hall) and the top three floors of a science facility (Olsen Hall) will be fully renovated to provide high quality utility intensive laboratories for teaching and research and instructional space. Design of improvements to both buildings is anticipated to begin in 2013.

5. Upgrading of engineering and physics laboratories in Pinanski, which also houses the nuclear research reactor.

Increasing Classroom capacity: New classroom capacity is being added rapidly: on South Campus the HSSB building will provide, effective this fall, seven new flexible classrooms and additional learning labs. The Riverview Suites project, effective this fall, will provide five additional classrooms, as well as space for additional living/learning communities. The moves of central administrative offices to Wannalancit on East Campus and the planned moves of Enrollment Management, Student Affairs, and the vice chancellors to University Crossing will vacate 75,000 ASF for use as academic offices (200 - 300 offices) and classrooms (13). The Business building will add 7 new classrooms plus additional specialized learning facilities. (See [Accommodating Classroom Space](#))

In total, 12 new classrooms, which is equivalent to 10% of the current classroom inventory, will come on line this fall. An additional 20 classrooms will be added by 2016. These new classrooms are being added at a higher rate than the planned growth in enrollment. Plans are under consideration for building two dedicated classroom facilities on North and South Campus to accommodate growth beyond 2016.

Libraries/Learning Centers: As with libraries across the country, UMass Lowell libraries are moving to a model that emphasizes the growing importance of digital resources, and the growing emphasis on interactive group learning. A key change is the reduction in on-site hard copy items – low-circulation books and journals – and an increase in spaces allocated to training, group work, assisted access to learning resources, and interactive programs. The recent renovation to provide a learning commons on each campus, at O’Leary and Lydon, reflects this new emphasis.

Residential Space: We project that in the next few years the percentage of undergraduates living in University residence halls will rise to 50%. This projected increase has triggered discussions to consider what is needed for the development of a “24/7” campus. The University is assessing several large properties adjacent to our campuses for eventual acquisition and development.

Laboratories: The University has acquired some 20,000 GSF in leased space off-campus to support specialized research needs for faculty with laboratories in bio-plastics manufacturing and robotics testing and research.

Transportation: A more extensive transportation system has been implemented across the three campuses. A phone application has been developed that allows students to locate arrival times of busses and vans at various stops. Free Wheelers Bike Share has been also added as a transportation option.

Deferred Maintenance: In 2011, UMass Lowell hired the ISES Corporation to conduct a comprehensive **physical condition assessment** of all campus buildings and to assist in developing an approach to addressing deferred maintenance needs. ISES identified \$456,033,942 in facility needs. The University’s approved five-year capital plan for FY13–17 includes planned expenditures of more than \$25 million per year, from all funding sources, for deferred maintenance and modernization of existing facilities.

Projections: Physical Resources

1. University Crossing is projected for completion in 2014. This 230,000 GSF campus center will draw together a full range of offices from the student health center and student clubs to the offices of Admissions, Financial Aid, Registrar, Career and Cooperative Education services, a large bookstore and dining venues. Campus police, Transportation, and Environmental and Emergency Management are already located in adjacent renovated space. This complex will also house the Chancellor's Office and provide space for key administrative leaders at a location central to all three campuses.
2. Enrollment growth over the past five years has led to more fully utilized classrooms across the University. Although a number of classrooms will become available with completion of the new Business building and with recently vacated spaces on North and South Campuses, the addition of new dedicated classroom facilities is a priority over the next ten years. A new facility on South Campus, of approximately 80,000 GSF (40,000 ASF for classrooms and 26,000 ASF for academic facilities), is under consideration by the Executive Cabinet and the Facilities Department. It is anticipated that construction of this building will start by 2020.
3. In February 2013, UMass Lowell joined NCAA Division I Athletics, which aligned the University with academic peer institutions. While UMass Lowell already has a state-of-the-art sports arena (Tsongas Center), the move to Division I will require the University to add basketball capability to the sports arena, to make improvements to the North Campus Costello facility, and to institute the use of artificial turf for field hockey and Lacrosse. These renovations should be completed by 2014.
4. Various moves completed or planned for the South Campus will allow the University to develop a central landscaped mall stretching from the historic Coburn building to the O'Leary library. This effort could involve restoring Coburn and adding an annex that addresses code requirements and adds 10,000 ASF of classrooms. This vision includes the demolition of the existing South Dining Hall and its replacement by a new facility in a renovated McGauvran Hall (student clubs now housed there are to move into University Crossing in 2014).

Description: Technological Resources

[Office of Information Technology](#) (OIT): This office oversees the strategic development and management of information resources and technology on the campus. Consisting of 37 full-time employees and a temporary workforce of contractors and students, OIT includes Network Engineering, Network Operations, Voice Operations, Academic Technology, Instructional Technology, IT Project Management, Administrative Systems Integration, Enterprise Infrastructure Systems, Help Center, and Information Security.

The UMass Lowell user community is served by a vigorous network, telecommunications, and wireless infrastructure. One hundred percent of our classrooms are technology enhanced and University classrooms and conference rooms have robust audio-visual capabilities.

Several applications that serve the campus community are hosted in UMass Lowell's data center or in the cloud. The University's Enterprise Resource Planning (ERP) applications (Student, HR, Finance, Business Intelligence) are hosted in a state-of-the-art data center managed by the UMass [President's](#) office IT group (UITS) in Shrewsbury, MA. In addition to core administrative systems, the Blackboard Learning Management system is managed by UMass On-Line and hosted in the UMass Shrewsbury data center.

Connectivity between the UMass President's office shared-services facility and the UMass campuses is provided through the UMass MITI fiber optic network. The MITI network is UMass Lowell's internet

service provider (ISP) and the campus has invested in redundant connectivity to the MITI network. Through MITI, the campus has access to Internet2 resources.

Distributed Technology in the Colleges: In addition to central IT and central learning laboratories covered under Standard 7, other specialized learning laboratories are distributed in the various academic colleges and are supported by distributed IT staff. (See [Student Laboratory Inventory](#))

1. The [Centers for Learning](#) provides 13 computer laboratories (364 stations), offering both Apple and Windows computers, available to undergraduate and graduate students. These labs are located in academic buildings, in the libraries, and in the residence halls. They supplement the open access computer stations available in the University libraries.
2. Sixteen laboratories, equipped with high-speed computers and specialized software, are available to engineering students.
3. Three labs are provided for computer sciences, running both Linux and windows software.
4. Twenty-six labs are provided within the College of Sciences.
5. The Manning School of Business houses two computer-learning laboratories, each outfitted with business-related software.
6. The College of Health Sciences houses two labs that provide access to clinical software and statistical packages.
7. FAHSS houses three art labs, equipped with graphic design software, and a specialized music lab that supports the program in sound recording technology.

Major Technological Resources: The University has a number of major technological resources that support research, teaching and service in engineering and the sciences:

1. Nuclear Research Reactor: This reactor is one of 28 research reactors housed at universities in the U.S. It is licensed and overseen by the Nuclear Regulatory Commission. Staff operators are thoroughly trained and licensed federally. This facility has an extensive security plan. It is used for research and for work with industry. Associated with this facility are a Co-60 irradiation facility, a 5MeV van de Graf accelerator, and a variety of radiation counting instruments.
2. Advanced Physical Science Laboratories: These include a Submillimeter Wave Technology Laboratory, Photonics and Optoelectronic Device Fabrication Center, Laser Applications Lab, and the Biomedical Terahertz Technology Center
3. The Saab ETIC Nanofabrication Laboratory: This nanofabrication facility offers Class 100-, Class 1,000- and Class 10,000-level clean facilities equipped to handle complex research projects that require micro- and nano-scale fabrication. It is specifically designed for faculty research as well as for collaborative initiatives with corporate partners and has an on-site dedicated staff.
4. Large Scale Manufacturing Center: This high bay facility, housed in ETIC, enables research and development in plastics manufacturing, including injection molding and extrusion. It can accommodate the large equipment used in full-scale manufacturing and provides for research in blown film and vertical injection molding areas.
5. Materials Characterization Laboratory: This metrology facility includes capabilities for microscopy, surface analysis, mass spectrometry, physical property determination and sample preparation equipment, including scanning and transmission electron microscopes, atomic force microscopes, an ion-beam scanning electron microscope, optical microscopes, an X-ray photoelectron spectrometer, a confocal fluorescence microscope, and various X-ray diffraction instruments.
6. Specialized Nursing Laboratories: Innovative teaching technologies and human simulation enhance student learning with state-of-the-art nursing laboratories in the recently completed HHS building. The hospital demonstration wing simulates an inpatient unit with a nurse's station, three four-bed patient rooms, as well as medication, utility, and storage rooms. The health assessment laboratories offer three rooms equipped with twelve exam tables and diagnostic tools.

Additionally, four simulation and two debriefing rooms will deliver the latest in high fidelity mannequin and computer/camera technology using realistic patient and family case scenarios.

7. Specialized Music Industry Facilities: The music facilities include a state-of-the-art audio surround-compatible tracking and mixing facility featuring an API Vision recording and production console, with an array of professional outboard equipment as well as both a 24-track analog *Studer* recorder and multiple digital platforms. This space also boasts a full 5.1 surround monitoring capability for critical listening and a computer aided instructional lab with 21 stations; this space has the latest Macintosh computers, MIDI keyboards and a myriad of software applications for music making and notation as well as for multimedia and web design.
8. Specialized Multimedia Digital Design Lab: The Library Media Center is a singular, hands-on, campus-wide facility supporting the use of digital multimedia technologies. It offers public access to over 20 computer workstations loaded with multiple audio, video and graphic editing software applications, and is staffed with educational media technology expertise and support. Facilities include a separate sound room for audio narrations.

Appraisal: Technological Resources

Over the past decade, significant efforts have been made to upgrade our technological resources and facilities. In addition to the new buildings, many laboratories in existing buildings have been renovated and state-of-the-art equipment has been purchased. These laboratories are all used for both research and education. Many undergraduate students participate in research or conduct senior design/capstone projects utilizing these facilities.

Areas that require improvement follow:

- Maintenance and Replacement of Equipment by Technical Staff: The University is working on better models for keeping equipment and technological facilities in high-quality condition and ensuring sustainable replacement of older equipment with state-of-the-art equipment for research and education. The preferred model for maintenance and replacement of equipment in technological facilities is to hire technical staff who can also provide training for use of facilities. One variation on this model involves hiring fewer staff and maintaining more service contracts, but this can be very costly and provides less opportunity for growth over time.
- Optimized Use of Technological Resources: A related challenge is making people aware of capabilities on campus. Many faculty are not aware of equipment that exists in the University that might advance their research and scholarship. We have established an online searchable database of technological resources, but are still in the process of developing awareness of this resource and creating processes by which access is provided for a broad range of users (e.g., identifying strategies beyond user fees for core research facilities).
- Animal Facility: UMass Lowell currently has a limited, but functional animal facility. As new faculty expand our research and education activity in biomedical and pharmaceutical sciences, and other fields requiring animal studies, there is a significant need for larger and better-equipped animal facilities. The first phase of the North Campus strategic plan includes a major expansion of the animal facility in the Olsen building. Recent startup packages have also included funds for new small animal imaging systems, and other related instrumentation. Non-rodent-based animal studies will continue to take place in cooperation with the UMass Medical School.

Projections: Technological Resources

- Over the next 15 to 18 months, the next generation wide-area network called UMassnet will replace MITI. The new network will provide better performance, more redundancy, and enable a further centralization of campus data center resources in Shrewsbury, MA. The UMassnet private

cloud not only furthers our data center optimization strategy but it also allows for a remote disaster recovery facility to be housed at UMass Amherst. UMassnet will provide network access to the new [Massachusetts Green Higher Performance Computing Center \(MGHPCC\)](#) in Holyoke, MA. MGHPCC is a data center dedicated to research computing. The facility has space, power, and cooling capacity to support 680 racks of computing and storage equipment.

- Over the next two years, Information Technology plans to convert a substantial percentage of classrooms into a digital/analog hybrid environment, which will allow connectivity to all types of emerging presentation devices. The UMass System-wide Data Center Optimization and Next Generation Network initiatives plan to relocate or co-locate servers and storage to the Shrewsbury campus, though this is dependent on a bandwidth increase and new network hardware on the Lowell campus.
- Various campus master plans have noted deficiencies in network closets and needs for other technological upgrades, and plans are underway to remediate the most critical of these problems within the next two years.

Institutional Effectiveness

In the last five years the campus has developed comprehensive and detailed analyses of its physical and technological assets and liabilities. Systems have been implemented to facilitate integration of strategic goals into both short-term and long-term planning. Bi-monthly meetings of the Space Committee provide a forum for ongoing coordination and decision-making regarding requests for additional space, space moves, renovations, and new facilities. Expanded resources in both the facilities and technology areas should prepare the University to address the growth, infrastructure, and technology needs of the next ten years.

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

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

FISCAL YEAR ENDS month & day: (June / 30)		2 Years Prior (FY 2010)	1 Year Prior (FY 2011)	Most Recent Year (FY 2012)	Percent Change2 yrs-1 yr prior 1 yr-most recent	
ASSETS						
?	CASH AND SHORT TERM INVESTMENTS	\$25,750	\$32,154	\$29,129	24.9%	-9.4%
?	CASH HELD BY STATE TREASURER	\$2,657	\$4,776	\$6,332	79.8%	32.6%
?	DEPOSITS HELD BY STATE TREASURER				-	-
?	ACCOUNTS RECEIVABLE, NET	\$15,119	\$21,639	\$24,205	43.1%	11.9%
?	CONTRIBUTIONS RECEIVABLE, NET	\$74	\$111	\$2,035	50.0%	1733.3%
?	INVENTORY AND PREPAID EXPENSES				-	-
?	LONG-TERM INVESTMENTS	\$51,709	\$60,613	\$51,471	17.2%	-15.1%
?	LOANS TO STUDENTS	\$4,449	\$5,427	\$5,454	22.0%	0.5%
?	FUNDS HELD UNDER BOND AGREEMENT	\$88,406	\$150,716	\$106,652	70.5%	-29.2%
?	PROPERTY, PLANT AND EQUIPMENT, NET	\$199,217	\$250,776	\$342,341	25.9%	36.5%
?	OTHER ASSETS	\$13,383	\$9,088	\$16,566	-32.1%	82.3%
	TOTAL ASSETS	\$400,764	\$535,300	\$584,185	33.6%	9.1%
LIABILITIES						
?	ACCOUNTS PAYABLE AND ACCRUED LIABILITIES	\$33,093	\$41,900	\$56,398	26.6%	34.6%
?	DEFERRED REVENUE & REFUNDABLE ADVANCES	\$7,841	\$8,173	\$7,496	4.2%	-8.3%
?	DUE TO STATE				-	-
?	DUE TO AFFILIATES				-	-
?	ANNUITY AND LIFE INCOME OBLIGATIONS				-	-
?	AMOUNTS HELD ON BEHALF OF OTHERS	\$893	\$1,257	\$1,247	40.8%	-0.8%
?	LONG TERM DEBT	\$165,745	\$261,152	\$251,148	57.6%	-3.8%
?	REFUNDABLE GOVERNMENT ADVANCES	\$3,941	\$3,835	\$4,012	-2.7%	4.6%
?	OTHER LONG-TERM LIABILITIES	\$6,962	\$5,514	\$11,911	-20.8%	116.0%
	TOTAL LIABILITIES	\$218,475	\$321,831	\$332,212	47.3%	3.2%
NET ASSETS						
UNRESTRICTED NET ASSETS						
	INSTITUTIONAL	\$44,779	\$63,806	\$49,110	42.5%	-23.0%
?	FOUNDATION	\$10,456	\$11,040	\$12,637	5.6%	14.5%
	TOTAL	\$55,235	\$74,846	\$61,747	35.5%	-17.5%
TEMPORARILY RESTRICTED NET ASSETS						
	INSTITUTIONAL	\$123,004	\$133,934	\$185,572	8.9%	38.6%
?	FOUNDATION	\$307	\$812	\$636	164.5%	-21.7%
	TOTAL	\$123,311	\$134,746	\$186,208	9.3%	38.2%
PERMANENTLY RESTRICTED NET ASSETS						
	INSTITUTIONAL				-	-
?	FOUNDATION	\$3,743	\$3,877	\$4,018	3.6%	3.6%
	TOTAL	\$3,743	\$3,877	\$4,018	3.6%	3.6%
?	TOTAL NET ASSETS	\$182,289	\$213,469	\$251,973	17.1%	18.0%
	TOTAL LIABILITIES AND NET ASSETS	\$400,764	\$535,300	\$584,185	33.6%	9.1%

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

FISCAL YEAR ENDS month & day: (June/ 30)		3 Years Prior (FY2010)	2 Years Prior (FY2011)	Most Recently Completed Year (FY 2012)	Current Budget* (FY 2013)	Next Year Forward (FY 2014)
OPERATING REVENUES						
?	TUITION & FEES	\$131,872	\$141,505	\$157,669	\$173,112	\$189,188
?	ROOM AND BOARD	\$26,171	\$29,514	\$31,813	\$32,460	\$43,201
?	LESS: FINANCIAL AID	\$(29,631)	\$(28,562)	\$(30,619)	\$(33,254)	\$(35,748)
	NET STUDENT FEES	\$128,412	\$142,457	\$158,863	\$172,318	\$196,641
?	GOVERNMENT GRANTS & CONTRACTS	\$25,923	\$30,365	\$28,305	\$33,338	\$34,894
?	PRIVATE GIFTS, GRANTS & CONTRACTS	\$12,639	\$13,244	\$13,163	\$16,404	\$17,382
?	OTHER AUXILIARY ENTERPRISES	\$838	\$1,015	\$1,380	\$1,874	\$2,286
	ENDOWMENT INCOME USED IN OPERATIONS	\$344	\$874	\$1,329	\$1,415	\$1,698
?	OTHER REVENUE (specify): Sales & Service, Educational	\$921	\$228	\$375	\$251	\$276
	OTHER REVENUE (specify): Other Operating Revenues	\$3,602	\$4,694	\$4,202	\$5,171	\$5,685
	NET ASSETS RELEASED FROM RESTRICTIONS					
	TOTAL OPERATING REVENUES	\$172,679	\$192,877	\$207,617	\$230,771	\$258,862
OPERATING EXPENSES						
?	INSTRUCTION	\$83,159	\$90,691	\$101,858	\$112,262	\$121,622
?	RESEARCH	\$33,730	\$35,285	\$36,794	\$39,982	\$41,835
?	PUBLIC SERVICE	\$1,940	\$2,216	\$1,824	\$2,413	\$2,429
?	ACADEMIC SUPPORT	\$20,184	\$20,164	\$23,058	\$23,502	\$24,972
?	STUDENT SERVICES	\$15,846	\$17,405	\$20,516	\$19,608	\$19,835
?	INSTITUTIONAL SUPPORT	\$25,415	\$32,135	\$39,376	\$36,719	\$38,713
	FUNDRAISING AND ALUMNI RELATIONS					
?	OPERATION, MAINTENANCE OF PLANT (if not allocated)	\$22,116	\$27,482	\$32,737	\$33,404	\$34,374
?	SCHOLARSHIPS & FELLOWSHIPS (Cash refunded by public institutions)	\$4,996	\$8,413	\$8,674	\$9,027	\$9,830
?	AUXILIARY ENTERPRISES	\$18,525	\$18,814	\$19,832	\$22,116	\$27,973
?	DEPRECIATION (if not allocated)	\$14,357	\$16,085	\$16,927	\$22,412	\$27,728
?	OTHER EXPENSES (specify):					
	OTHER EXPENSES (specify):					
	TOTAL OPERATING EXPENDITURES	\$240,268	\$268,690	\$301,596	\$321,445	\$349,311
	CHANGE IN NET ASSETS FROM OPERATIONS	\$(67,589)	\$(75,813)	\$(93,979)	\$(90,674)	\$(90,449)
NON OPERATING REVENUES						
?	STATE APPROPRIATIONS (NET)	\$62,205	\$76,303	\$77,868	\$77,800	\$80,474
?	INVESTMENT RETURN	\$5,360	\$8,514	\$3,975	\$1,195	\$1,390
?	INTEREST EXPENSE (public institutions)	\$(3,584)	\$(4,596)	\$(5,310)	\$(9,839)	\$(10,895)
	GIFTS, BEQUESTS & CONTRIBUTIONS NOT USED IN OPERATIONS	\$28,996	\$1,901	\$2,105	\$8,000	
?	OTHER (specify): Nonoperating Federal	\$10,967	\$14,290	\$15,695	\$15,842	\$16,317

Standard Nine: Financial Resources

	Grants					
	OTHER (specify): Other Non-Operating	\$77	\$167	\$126	\$184	\$202
	OTHER (specify): Federal Stimulus Funds	\$22,662	\$5,735			
	NET NON OPERATING REVENUES	\$126,683	\$102,314	\$94,459	\$93,182	\$87,488
	INCOME BEFORE OTHER REVENUES EXPENSES, GAINS, OR LOSSES	\$59,094	\$26,501	\$480	\$2,508	\$(2,961)
?	CAPITAL APPROPRIATIONS (public institutions)	\$1,340	\$5,463	\$41,220	\$26,383	\$19,500
?	OTHER	\$(6,353)	\$(784)	\$(3,196)	\$(1,613)	\$(1,537)
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$54,081	\$31,180	\$38,504	\$27,278	\$15,002

**"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
(Statement of Debt)**

FISCAL YEAR ENDS month & day (June / 30)		3 Years Prior (FY2010)	2 Years Prior (FY2011)	Most Recently Completed Year (FY 2012)	Current Budget* (FY 2013)	Next Year Forward (FY 2014)
	DEBT					
	BEGINNING BALANCE	\$101,537	\$165,745	\$261,152	\$251,148	\$392,373
	ADDITIONS	\$85,389	\$102,262		\$150,000	
	? REDUCTIONS	\$(21,181)	\$(6,855)	\$(10,004)	\$(8,775)	\$(9,187)
	ENDING BALANCE	\$165,745	\$261,152	\$251,148	\$392,373	\$383,186
	INTEREST PAID DURING FISCAL YEAR	\$3,584	\$4,596	\$5,310	\$9,839	\$10,895
	CURRENT PORTION	\$16,525	\$16,367	\$53,284	\$48,896	\$46,302
	BOND RATING					
	DEBT COVENANTS (PLEASE DESCRIBE):					

*"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 (June / 30)		3 Years Prior (FY2010)	2 Years Prior (FY2011)	Most Recently Completed Year (FY 2012)	Current Budget* (FY 2013)	Next Year Forward (FY 2014)
NET ASSETS						
	NET ASSETS BEGINNING OF YEAR	\$128,208	\$182,289	\$213,469	\$251,973	\$279,251
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$54,081	\$31,180	\$38,504	\$27,278	\$15,002
	NET ASSETS END OF YEAR	\$182,289	\$213,469	\$251,973	\$279,251	\$294,253
FINANCIAL AID						
SOURCE OF FUNDS						
	UNRESTRICTED INSTITUTIONAL	\$17,596	\$16,071	\$17,594	\$19,353	\$21,289
	FEDERAL, STATE & PRIVATE GRANTS	\$14,770	\$18,466	\$19,118	\$19,350	\$19,920
	RESTRICTED FUNDS	\$2,262	\$2,438	\$2,582	\$3,237	\$3,294
?	TOTAL	\$34,628	\$36,975	\$39,294	\$41,940	\$44,503
	% DISCOUNT OF TUITION & FEES	26.3%	26.1%	24.9%	24.2%	23.5%
?	% UNRESTRICTED DISCOUNT	13.3%	11.4%	11.2%	11.2%	11.3%
PLEASE INDICATE YOUR INSTITUTION'S ENDOWMENT SPENDING POLICY:						
The amount of the endowment return made available during a fiscal year which commences on July 1 is to be computed at the rate of 4% to 6% of the Endowment Fund's average market value for the preceding twelve quarters on a one year lag and three-year share average.						

*"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 Nine: Financial Resources

Description

One of the recommendations by NEASC following the review of the UMass Lowell 2010 Interim Report was to continue to address financial challenges in light of the federal stimulus funding coming to an end. The strategies developed, implemented and recognized by the NEASC Commission in 2010 to address these financial challenges have allowed UMass Lowell to continue to advance toward its strategic goals.

UMass Lowell has completed four years of budget development under the UMass Lowell 2020 strategic planning framework. The [Financial Planning and Budget Review Committee \(FPBRC\)](#) process implemented in fiscal years 2010, 2011 and 2012 was extensive and greatly increased transparency, accountability, and strategic use of resources. Fiscal year 2013 planning process included greater attention to developing a multi-year financial plan that supports the [2020 Strategic Plan](#). Financial performance throughout this time period reflects the campus emphasis on addressing the concerns referenced by NEASC in its 2010 acceptance letter, despite additional state reductions.

In 2013, UMass students paid \$11,847 in tuition and fees. The tuition accounts for only 12% (\$1,459) of the total amount students pay, and this tuition revenue for in-state students goes into the general fund of the Commonwealth of Massachusetts. The state appropriation to the University of Massachusetts is received at the System level and the Lowell campus receives about 15 percent of this appropriation. The University does retain non-resident tuition, which is currently at \$12,000. UMass Lowell relies on the combination of state support, student fee revenue, non-resident tuition, institutional share of indirect costs, and fund-raising for its General Operating Funds budget (commonly referred to as the Educational and General (E&G) Budget). General Operating Funds provide the primary source of revenue for costs of instruction, academic support, student services, administration, plant operations and maintenance, and institutional financial aid. The total campus budget of \$304.5M in FY2012 includes auxiliary revenues and restricted funds, such as external gifts and grants and contracts.

Tuition: Tuition is set by the state, and the [Board of Trustees](#) has sole authority to set mandatory student fees; as a result, student fees have become an important revenue source for UMass. Thus, campus fee revenue is comparable to tuition revenue at other public universities: tuition and mandatory fees for a full-time resident are comparable to other New England public research universities as well as to our peer institutions. Beginning in fiscal year 2012, the state legislature allowed UMass Lowell to retain out-of-state tuition revenue. In FY2013, tuition revenue from out-of-state students is estimated at \$5.0 million, after accounting for waivers, granted primarily to graduate students. The state simultaneously reduced its yearly appropriation to UMass Lowell by the total amount of out-of-state tuition revenue the year the legislation passed. Out-of-state tuition generated above the 2012 level therefore results in additional revenue for the institution, which incentivizes growth in out-of-state student enrollment. Out-of-state enrollment has increased in recent years and is projected to grow further in the future based on expanded international and out-of-state recruitment efforts. This type of enrollment growth is part of the campus strategic efforts to broaden its revenue base. (See Standard 6.)

Financial Aid: The University of Massachusetts Lowell is committed to helping qualified students reach their educational goals by providing a variety of financial aid programs and resources. In fiscal year 2012, the University awarded over \$130 million in financial aid to qualified students in federal, state, campus and other sourced grants and waivers, scholarships, undergraduate and graduate loans and campus

employment. As state support has declined and students and their families have had to contribute a larger share of the costs of education, the campus has continued to increase the campus scholarship budget. Between FY2009 and FY2012 institutional support for students more than doubled from \$11.1 million to \$22.3 million in need-based and merit awards. Coordination among the Financial Aid, Admissions, and Development offices has improved to ensure recruitment efforts are supported to meet campus enrollment management goals. For example, in 2010 the campus began to award merit-based discounts to non-resident students in order to attract more out-of-state students. In addition, management of endowment-based scholarships has moved from the Office of University Advancement to Financial Aid to better target awards earlier in the recruitment process for high-achieving students.

Advancement: The [Office of Advancement](#) secures gifts that help UMass Lowell advance its mission and fulfill its strategic plan. The University engages in a regular fundraising program that includes annual giving, major gifts, planned giving, and corporate and foundation support. Constituencies including alumni, parents, friends, corporations, foundations, faculty, and staff of the University, are the focus of Advancement's efforts. Gifts are solicited in numerous ways, including personal engagement, direct mail, events, and electronic solicitations. In the University's most recently completed fiscal year, the Office of Advancement raised nearly \$17.6 million in gifts and pledges. The Office currently is in the midst of developing a comprehensive fundraising campaign and funds raised through this effort will help support University priorities including student financial assistance, faculty resources, athletics and educational facilities.

Donors and constituents are consistently updated on the progress, success, and events at UMass Lowell through the quarterly [alumni magazine](#), and by [annual reports](#) to endowment donors. In addition, an annual Celebration of Philanthropy is held for those in the Chancellor's Leadership Society, as well as an annual Scholar Donor Luncheon that allows the recipients to meet the donors of their scholarships. Major gift officers, in conjunction with our stewardship officer, are responsible for the stewardship of major gifts and informing donors as to the use and impact of donations. Solicitation and campaign materials reflect the impact that philanthropic gifts have on students and on the University community.

The Advancement group is committed to maintaining the strictest levels of confidentiality regarding donors. The University closely adheres to the [Advancement Gift Policies and Procedures Manual](#), which describes charitable gift policies and procedures that have been set forth by the Internal Revenue Service and by the Council for the Advancement and Support of Education's Management; UMass Lowell follows appropriate reporting standards set forth by the National Association of College and University Business Officers (NACUBO). The office staff works closely with the Controller's Office to follow all necessary accounting procedures in order to accept and acknowledge a charitable contribution and make it available for its intended use.

Financial Planning: The UMass Board of Trustees votes on the budget every spring. The operating budget for each of the system campuses, including UMass Lowell, is delineated individually in the budget document presented to the Board. The budget for the coming fiscal year is submitted as part of a package that includes the past two years of actual results, a projection for the current fiscal year, and a projection for the next fiscal year: [Fiscal Year 2013 Operating Budget](#). The University Operating Budget follows the standard Generally Accepted Accounting Principles (GAAP)-based financial statement presentation format. The [President's](#) Office establishes general guidelines for the development of the Budget. The campus develops additional planning assumptions to guide the development of the detailed working budget that are integrated into the submitted Operating Budget. The Board of Trustees' review and approval of the Operating Budget coincides with the review and approval of student charges for the upcoming academic year. With reductions in state support in recent years, the contribution of student

revenues to the operating budget has increased; therefore the outcome of the student charge discussions becomes a significant milestone in the annual budget process.

The request for state funds begins nine months before the July 1 start of each fiscal year. The President's Office coordinates the five-campus request process and establishes parameters based on the outcome of a University-wide funding formula ([Fiscal Year 2013 University State Budget Request](#)). The budget requests from each of the five campuses are consolidated into one University request that is submitted to the Massachusetts Department of Higher Education for approval. The Department submits budgets to the Governor for the three sectors of higher education: the community colleges, state colleges, and the University. The Governor includes higher education appropriation recommendations as part of the budget request submitted to the General Court (Legislature) in January of each year.

Consistent with the goals of the strategic plan, UMass Lowell appointed a Financial Planning and Budget Review Committee (FPBRC) to increase transparency; to open up the ways in which the campus makes short and long term operating and capital budgeting decisions; and to help empower managers while increasing the accountability and responsibility over the management of University resources. The Committee membership includes representation from each academic college, the President of the [Faculty Senate](#), the [Executive Cabinet](#), and other senior administrative officers. The committee annually holds a series of budget hearings to review campus budget planning assumptions. It meets with each of the heads of major budgetary units to identify strategic areas of investment, track success and identify challenges to be considered by the Executive Cabinet as it makes final budget allocation decisions.

In February, the [Budget and Financial Planning Office](#) begins formulating tentative funding estimates for the general operating funds budget based on projected enrollment, anticipated level of state appropriations, student fee and tuition revenue, interest earnings, indirect cost recovery from grants and other unrestricted operating, auxiliary and grant and contract revenues, as well as expected changes in fixed and variable costs. The allocations are reworked throughout the spring as the enrollment and budget outlook becomes clearer and the FPBRC process unfolds. Once the student charge vote is passed and the state appropriation is finalized, final budget allocations are made to divisions within the University.

The campus also maintains a [multi-year financial plan](#) (MYFP) to monitor its financial status, project capacity to adequately resource the strategic plan and the capital plan, and react to changes in major revenue or expenditure categories. The MYFP is updated annually at the same time as the University Operating Budget. The MYFP is reviewed by the FPBRC and establishes the general framework within which operating and capital budgets will be developed in future fiscal years.

The Budget and Financial Planning Office closely monitors student enrollment, models future-year enrollment patterns and assesses the effect on operating and capital budgets and the MYFP. The Office works with the [Executive Cabinet](#), the Provost's Office, Residential Life, Online and Continuing Education, the Office of Research Administration, and Facilities Management and Planning to project the impact of enrollment and research growth, new faculty hires, and academic and student service program changes on University services and financial performance. The campus maintains debt repayment schedules going out 30 years and has identified periods over that span during which the campus would have the capacity to take on additional debt. These data are used to develop the capital plan. Full depreciation costs are included in the budget and these funds support renovation and capital improvements. Separate from this long-range projection model, the Provost's Office maintains an allocation model for determining how best to allocate monies for new tenure-track positions to address teaching needs and invest in promising research initiatives.

The MYFP projections are submitted with the [Financial Indicators Report](#) to the [President's](#) Office annually. The Financial Indicators Report includes financial and facility performance indicators that

measure the long-term financial health of the institution and assess the capacity to cushion against negative downturns in the economy. These indicators are compared against the ratios at peer institutions as a further measure of financial stability.

Total budgeted operating and non-operating revenues generated by UMass Lowell in FY2013 were \$326.5 million. Tuition and fee revenues represented the largest source of budgeted revenues at \$140.6 million, or 43% of total revenue. The state appropriation of \$77.8 million represented the second largest source of revenues or 24% of total. The campus' dynamic enrollment growth has driven tuition and fee and auxiliary enterprise revenue (such as residence hall and food service revenues) increases since FY2007. Enrollment grew by more than 37% between FY2007 and FY2012. Increases in tuition, fees, and room and board rates during this time period, coupled with significant increases in student enrollment, generated higher levels of revenue as a portion of the University's total income. The University's very successful Online and Continuing Education program has increased its contribution to the budget.

Total revenue growth during 2007-2013 was 51%: tuition and fees increased 95%, and auxiliary enterprise revenue increased 230%. The state appropriation decreased 13%. FY2013 budgeted student revenues increased 10% over FY2012 actual revenue due to enrollment growth and increased rates. Figure 9.1 shows the growth in major revenue categories from FY2007 to FY2013.

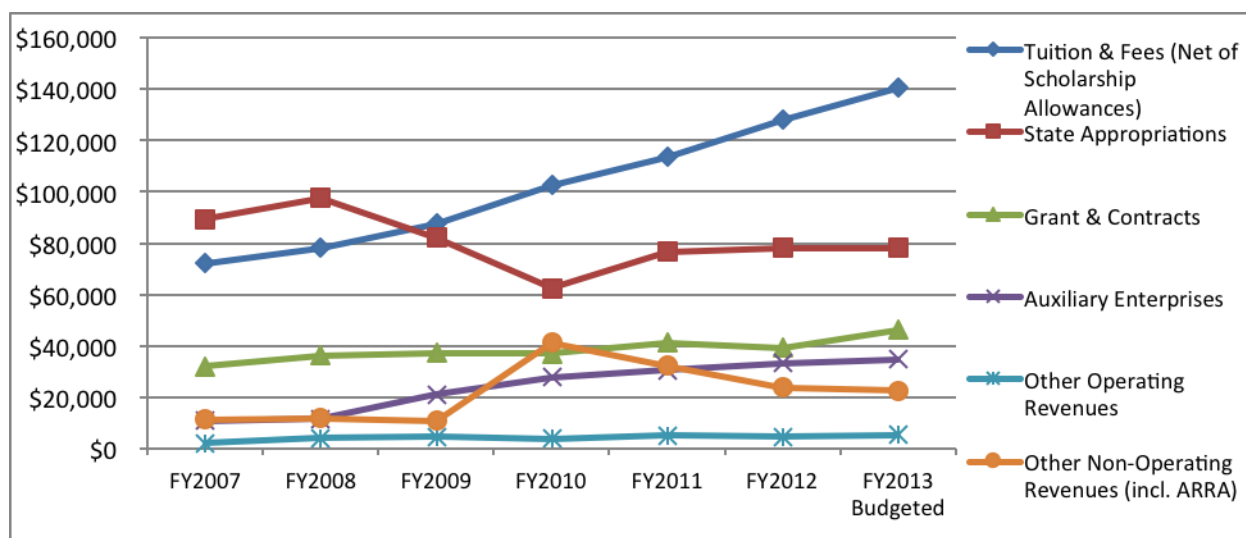


Figure 9.1: Revenue Trends, FY07 to FY13 (in millions)

The University's total operating expenses increased from \$215.9 million to \$321.5 million between FY2007 and FY2013. Figure 9.2 shows University expenditures by major category.

Starting mid-way through FY2009, the state's fiscal crisis and overall economic downturn began to impact the campus' approach to strategic planning. Specifically, a mid-year budget cut by the state resulted in a reduction of \$5.5 M in revenue to UMass Lowell. Campus leadership decided not to impose across-the-board cuts, but instead made selective cuts in areas that were deemed less critical to the academic mission of the University. These included streamlining non-academic areas and evaluating all programs through a lens that put students' needs and academic programming first. More than 50 full-time and 20 part-time jobs that were deemed not critical to the central academic and student success missions of the institution were eliminated through attrition, consolidation, and layoffs. In general, this approach to University functions resulted in a flatter, more streamlined organization. As a result, a multi-year strategy was developed that aimed at increasing revenues from all sources: enrollment in areas with unused

teaching capacity and/or where faculty are being added in order to strengthen research; online and continuing education enrollments; research funding; fund-raising; increased emphasis on recruitment of non-resident and international students. The University was successful in realizing the ambitious revenue increases in each of these areas.

In order to be able to continue to increase revenues, UMass made intense efforts to develop new academic programs in areas of market need. Furthermore, the University stepped up efforts to recruit international students and invested in recruiting non-resident students on the west coast with initial emphasis in California. A new and significant project is a partnership with the Gulf University for Science and Technology, Raytheon Company, and the Kuwait Offset Company to establish a second instructional site in Kuwait. This project will be financed by offset funds, which are expected to exceed \$50 million over five to seven years. A detailed financial agreement between UMASS Lowell and Raytheon is expected to be completed this summer, which will allow classes to start in fall 2014. This new site is expected to attract students not only from the Gulf but also from Southern Asia, thus serving as a major international pathway (KPMG marketing study commissioned by Raytheon). This new site was reviewed very positively by NEASC in March 2013. (See [NEASC letter of review](#))

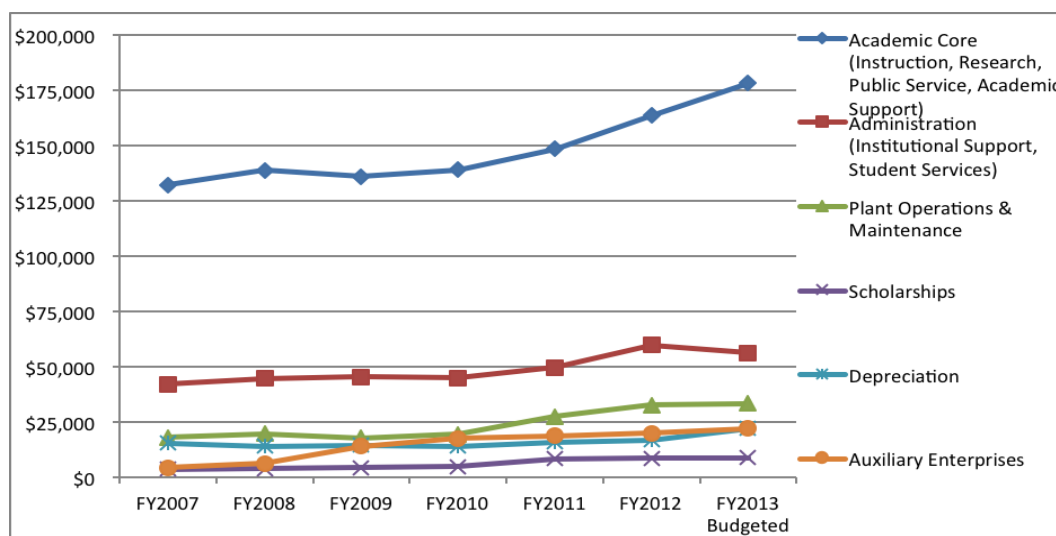


Figure 9.2: Expenditure Trends, FY07 to FY13 (in millions)

Administrative Effectiveness: Since the last NEASC review, UMass Lowell has reorganized and refocused both the academic and administrative areas. The College of Arts and Sciences was divided to form the College of Fine Arts, Humanities and Social Sciences and the College of Science. In addition, four vice provost positions (for undergraduate, graduate, research, and enrollment) were added to the Provost’s Office. This academic restructuring better accommodates the growth, complexity and strategic importance of each of these areas to the University’s future.

Three separate administrative vice chancellor areas – administration and finance, information technology, and facilities – were consolidated into a single Office of the Vice Chancellor for [Finance and Operations](#); this change has improved the coordination of campus financial, capital and technology planning. Under the Vice Chancellor for Finance and Operations a number of administrative and campus service departments, including parking and transportation, access services, mail, distribution and duplication services, procurement, and contract management were moved under a single Administrative Services department to improve service delivery and reduce operational cost. Also, separate offices of [Human Resources and Equal Opportunity and Outreach](#) were consolidated to enhance both campus recruitment and service to current employees.

The Vice Chancellor for Finance and Operations (F&O) is a member of the [Executive Cabinet](#) and oversees an integrated management team for facilities management and capital planning, information technology, administrative services, public safety, human resources and financial services. The F&O division leadership coordinates both operating and capital budgets and financial planning throughout the annual budget planning cycle. The financial services department, which includes the offices of budget and financial planning, controller, grant accounting, bursar and student billing operations, is staffed by qualified budget and accounting personnel, many with CPAs, and many years of experience in financial services. Staff members take advantage of professional development and continuing professional educational opportunities through national and regional business officer organizations.

In early 2012, the University initiated a new campus-wide [Performance Management System](#) to improve the on-going planning, coaching, and evaluation process between employees and their supervisors. The campus set and achieved the target of 100% compliance in completing performance evaluations. In addition, the Human Resources, Equal Opportunity and Outreach Department launched a campus-wide compensation and classification review to develop a comprehensive market-based compensation and classification framework for setting salaries. This review included a complete updating of all job descriptions for all employees throughout the campus, matching job expectations, qualifications, duties and responsibilities. (See also Standards 3 and 11.).

Appraisal

A significant development in FY2010 and FY2011 was the impact of state budget cuts and the receipt of federal stimulus (ARRA) funds. UMass Lowell was allocated a total of \$22.7 million in ARRA funding in FY2010 and \$5.7 million in FY2011. The ARRA funds were not expected to last beyond FY2011 and therefore the campus made the decision to focus the use of these funds on one-time investments that would advance the strategic plan. Operationally, UMass Lowell used the actual ARRA funds to support salary and fringe benefit costs of campus employees and targeted the campus funds freed up by the federal stimulus monies on mostly one-time projects that would not place additional pressures on the operating budget. Projects funded were those that would improve the overall quality of academic programs and enhance the entire student learning and living experience, such as:

- Support for faculty and student work including smart classroom upgrades, lab equipment investments and library materials (Standards 7 and 8);
- Increases in student recruitment budgets targeted to out-of-state and international students (Standard 6);
- Funding for capital repairs and renewal, academic office renovations, energy efficiency and space inventory systems (Standard 8);
- Transportation system improvements (Standard 8);
- Marketing, branding and development investments to improve recruiting and external relations, including web enhancements and content management system upgrades, enhanced signage and way-finding improvement (Standards 8 and 10);
- Enhancement of the University's information technology systems, including academic computing, network support, audio visual and video conferencing upgrades, training, document management, and workflow systems to improve processing efficiencies (Standards 7 and 8);
- Public safety investments including police equipment upgrades, added emergency phones, blue light, and security camera upgrades (Standard 8);
- Investments in campus advancement and fundraising operations.

In FY2011, FY2012 and FY2013, additional revenue growth from enrollment allowed the campus to build on the ARRA-backed initiatives. The campus increased tenure and non-tenure track faculty

numbers, funded additional improvements in facilities, invested further in recruitment and student services, and further consolidated and realigned administrative areas to better meet the growth-related demands placed on programs and facilities. New staff members have been hired in growth-impacted service areas, such as admission, financial aid, veterans' services and international student support. In addition, the campus was able to make additional contributions to the campus quasi-endowment in FY2010, FY2011, and FY2012 totaling \$7.3M.

The campus has funded 100 new tenure-track and non-tenure-track faculty since FY2010 to meet program needs and enrollment growth. At the same time, part-time (adjunct) FTE, which transiently increased, is now reduced to 153 FTE in FY 2012, which accounts for teaching 22% of total credit hours. The University has budgeted new faculty positions each fiscal year with an overall goal of maintaining a faculty/student ratio of 15 to 1 (both graduate and undergraduate). Staffing levels have increased in areas of critical importance to the strategic plan, primarily in the facilities, public safety, student services, and academic support areas.

Gross campus square footage has grown by nearly 1,000,000 GSF since 2005 with the acquisition and construction of new facilities. Projected cost increases for facilities in recent years have been required to maintain operations and maintenance levels for the expanding square footage. Also, increased borrowing through the UMass Building Authority to purchase, renovate, and build new facilities has increased the budget commitment to servicing debt by \$5.5M in recent years. A facility condition assessment conducted in 2011 calculated total deferred maintenance at the UMass Lowell campus to be in excess of \$456 million. Addressing the maintenance and renewal needs of the campus in the coming years will be a significant challenge for the campus. However, budgeting full depreciation allows for steady reductions in deferred maintenance.

The success of the UMass Lowell [2020 Strategic Plan](#) is linked closely to the success of the campus multi-year financial plan (MYFP). The major financial indicators tracked by the [Board of Trustees](#) and [President's Office](#) are woven into the measures that UMass Lowell is tracking as part of its annual [Report Card](#).

The projected results of the MYFP show anticipated annual operating deficits for FY2013 through FY2016, with surpluses projected thereafter. These projections are consistent with the FY2013 operating budget approved by the Board of Trustees and the MYFP reviewed by the President's Office. University administration believes that an operating deficit of this size is a prudent investment in campus growth and strategic initiatives. The deficits will be covered by reserves. However, the overall financial health of the campus remains strong as evidenced by the projected increase in unrestricted net assets, overall growth in operating revenues and continued growth in available cash on an annual basis through FY2017.

Each of the following entrepreneurial stewardship benchmarks will be tracked by the campus Report Card, reported in the annual financial indicator reports, and supported by the MYFP: total operating revenues, private funds raised annually, total endowment and annual growth in endowment, endowment per student, alumni giving, research expenditures, and license income growth (innovative research).

Another important indicator of financial health that is tracked by both the UMass Lowell campus and the UMass System is the debt service ratio. Despite the new borrowings projected for the coming years, the MYFP debt service to operations ratio is below the 8% policy threshold set by the Board of Trustees. This estimate and the continued growth in available cash and unrestricted net assets provide additional flexibility in the MYFP should certain assumptions fail to materialize or should the campus decide to increase its investment in facility improvements.

The UMass Lowell campus has a system of internal controls that ensures sound stewardship of its funds. Accounting and purchasing policies are coordinated with the University System office and are issued, updated and re-issued as necessary by administrative announcements to the campus community. Expenditures are controlled by the budgets established at the beginning of the fiscal year or project period. Payroll, fringe and requisitions for supplies, equipment and services are encumbered to ensure that funds are set aside before purchase orders are issued. The campus competitively bids all contracts for goods and services in accordance with state and University purchasing regulations. The University system-wide Procurement Council has been actively identifying group purchasing opportunities and revisions to large contracts to increase volume discounts on common goods and services. The Board of Trustees created efficiency task forces in the financial management and information technology areas that are identifying additional opportunities for collaboration across the University System. UMass Lowell leadership is well represented in the membership of the task forces.

The University has an integrated financial system that supports timely and accurate transaction processing and financial reporting. Each system has secure workflow processes that allow electronic routing and approval of transactions. The major systems are: PeopleSoft Financial Systems – Accounting and Budgeting, PeopleSoft Student Systems – Student Billing and Receivables, Registrar, Housing and Financial Aid, and PeopleSoft HR – Payroll, Time and Attendance.

The finance systems allow for online, real-time inquiry of transactions and balances. Various queries and budget reports are also readily available. The campus is working with the System office to develop improved financial reporting tools for departmental business managers, principal investigators and senior management. In 2011 the campus rolled out the Summit reporting tool to financial system end-users. The UMass system developed this business intelligence tool and is moving all enterprise reporting to this environment eventually integrating the student system and human resource information into Summit.

Better reporting tools, improved reporting for senior campus management, and the availability and distribution of key financial reports online continue to be a challenge for this dynamic campus. New tools to assist in the maintenance of the MYFP and to control personnel and payroll commitments are under review and are a high priority for implementation in 2013 - 2014.

Through separation of duties and practices, external and internal audit oversight, and system security measures, the campus takes all reasonable steps to ensure that financial resources are managed effectively and appropriately. Each year, the campus re-issues an administrative announcement that includes a copy of its whistleblower and fraud policies. Conflict of interest and disclosure policies as well as other research and institutional compliance policies and guidelines are posted on the [Office of Research Administration website](#) and are re-issued regularly. [Board of Trustees](#) policies concerning financial management and personnel are available on the Board of Trustees website. Annual financial statements are prepared by the campus and consolidated at the System level, audited by an independent audit firm, and presented to the Board of Trustees for review ([Annual Financial Report, June 30, 2012](#)). Helping to ensure that the campus is financially stable, UMass Lowell is subject to regular financial audits from a variety of entities:

- Grant Thornton, our external audit firm, currently performs the annual general purpose financial audit in accordance with Generally Accepted Auditing Standards (GAAS). In addition, Grant Thornton performs the annual audit of federal awards in accordance with OMB A-133 guidelines.
- As a state agency, the University is subject to periodic audits by the Office of the State Auditor.
- As a recipient of federal grants and contracts, the University is subject to audit from relevant government agencies, such as the Department of Health and Human Services.

- Internal audits are conducted periodically by the University System Director of Internal Audit and cover a variety of issues including cash handling and accounting procedures.
- Other programmatic audits may be required by sponsoring entities in addition to the general purpose financial audit and are performed by various auditing firms.

All audit reports are submitted to the Audit Committee of the [Board of Trustees](#). Management letter comments and other recommendations are presented to the Board with corrective action plans as necessary.

The campus has developed written policies for each of its major financial activities. These policies and instructions are distributed to interested parties and many are available on the campus website. (See [Financial Services](#).) The campus relies on the financial tools and practices described above to ensure the integrity of its financial management.

Projections

- **Diversifying and Growing Non-state Sources of Revenue:** The University's multi-year financial plan uses conservative estimates of state support and assumes modest annual increases in student charges. However, the plan does require meeting aggressive enrollment, fundraising, auxiliary services and other non-state revenue growth. The specific goals are outlined in the [Report Card](#). Meeting these targets will require a coordinated and sustained effort from all campus areas including enrollment management, academic affairs, research administration, finance and operations, and advancement. Progress will continue to be tracked annually through both the annual budget process and the annually updated multi-year financial plan. The appropriate benchmarks are communicated to the University community and to the public in the Report Card, which has a page on the University website.
- **Funding New and Renovated Facilities Projects:** The Board of Trustees annually reviews and approves an updated five-year capital plan for each of the UMass campuses. This approval authorizes campuses to move forward on capital planning, securing financing and completing renovations, repairs and new construction projects. The [FY2013 to FY2017 capital plan](#) for the Lowell campus outlines \$513 million in planned spending on capital projects that address growth, the strategic objectives of the campus, and targeted reduction of the backlog of deferred maintenance. The capital plan is based on sound master planning and facilities condition assessments (Standard 8) and is resourced through the campus multi-year financial plan. Planning, financing and execution of the capital plan represent a collaborative effort among the campus Facilities Department, the state Division of Capital Asset Management and Maintenance (DCAMM) and the [University of Massachusetts Building Authority](#) (UMBA).
- **Improving Financial and Capital Planning Reporting:** The University's budgeting and financial and capital planning has become complex and requires sophisticated reporting and modeling tools to provide senior management executive-level data and information to make short and long term decisions. The campus PeopleSoft enterprise data systems (general ledger, human resources and student information systems) generate considerable operational and transactional data that require significant effort to summarize for management review and decision-making. These data must be more accessible than they have been in the past to the Executive Cabinet, deans, directors and departmental managers to allow them to maintain proper budgetary control and ensure institutional financial health. Campus and system office staff in the University IT System (UITS) developed the Summit financial reporting tool in 2011 for department-level business managers and principal investigators. The campus will roll out similar tools with human resource data in

2013, including a position management program for fiscal year 2014. The Facilities Department has developed a project management reporting tool (Team Dynamics) that will be integrated with the Summit tool to improve the monitoring of capital projects and budgets beginning in fiscal year 2014. Finally, the University will be acquiring a financial planning tool in 2013 to support longer-term projections, ratio modeling and financial scenario-driven decision making beginning in fiscal year 2014.

- The University is developing a sustainable financial model for the the planned improvements to the campus recreation program. The model will be integrated into the multi-year financial and capital plans. The goal is to expand resources for athletics and recreation in a way that meets the identified strategic needs while marginally impacting the current levels of support provided by the campus. The Student Government Association leadership has agreed to the institution of a new \$750 fee to support the movement to Division I Athletics. New sources of revenue will be also raised through implementing more aggressive strategies to grow the donor base, increased revenues from Riverhawk (booster) Club activities, and expanding group sales initiatives to increase the ticket base for all UMass Lowell sports. (See [Athletic Plan](#).)

Institutional Effectiveness

UMass Lowell is committed to maintaining a fully integrated strategic plan, capital plan and financial plan that are reviewed annually through a transparent and inclusive budget process. Performance will continue to be tracked and compared to peers and national and higher education industry standards and results will be reported in the Report Card to internal and external stakeholders. The campus will continue to actively engage in financial assessment and efficiency and effectiveness activities with the President's Office and the Board of Trustees.

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

Standard 10: Public Disclosure

Information	Web Addresses	v	Print Publications
How can inquiries be made about the institution? Where can questions be addressed?	http://www.uml.edu/Directory/Question.aspx		
Notice of availability of publications and of audited financial statement or fair summary	http://www.uml.edu/docs/Annual%20Financial%20Report%202012_tcm18-108218.pdf		
Institutional catalog	http://www.uml.edu/catalog/		
Obligations and responsibilities of students and the institution	http://www.uml.edu/docs/Bill-of-Rights-and-Responsibilities_tcm18-109861.pdf		
Information on admission and attendance	http://www.uml.edu/Admissions-Aid/default.aspx		
Institutional mission and objectives	http://www.uml.edu/About/mission.aspx		
Expected educational outcomes	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/default.aspx ; http://www.uml.edu/Academics/undergraduate-programs/Gened/		
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	http://www.uml.edu/About/default.aspx		
Requirements, procedures and policies re: admissions	http://www.uml.edu/admissions/information-for/default.aspx http://www.uml.edu/Grad/info-for/default.aspx		
Requirements, procedures and policies re: transfer credit	http://www.uml.edu/admissions/information-for/transfers/transferable-credits.aspx http://www.uml.edu/Catalog/Graduate/Policies/Transfer-Credit.aspx		
A list of institutions with which the institution has an articulation agreement	http://www.uml.edu/admissions/information-for/transfers/articulation-agreement.aspx		
Student fees, charges and refund policies	http://www.uml.edu/Tuition-fees/default.aspx		

Standard Ten: Public Disclosure

Rules and regulations for student conduct	http://www.uml.edu/student-services/reslife/policies/code-of-conduct.aspx		
Procedures for student appeals and complaints	http://www.uml.edu/Registrar/Student-Appeals.aspx		
Other information re: attending or withdrawing from the institution	http://www.uml.edu/Registrar/Policies-and-Procedures/withdraw.aspx		
Academic programs	http://www.uml.edu/Academics/departments.aspx		
Courses currently offered	http://www.uml.edu/Registrar/Schedules/class-schedules/spring-courses.aspx		
Other available educational opportunities	http://www.uml.edu/international-programs/default.aspx ; http://www.uml.edu/student-services/career-services/		
Other academic policies and procedures	http://www.uml.edu/Registrar/Policies-and-Procedures/default.aspx		
Requirements for degrees and other forms of academic recognition	http://www.uml.edu/catalog/undergraduate/policies/general_degree_requirements.htm http://www.uml.edu/Catalog/Graduate/default.aspx		
List of current faculty, indicating department or program affiliation, distinguishing between full- and part-time, showing degrees held and institutions granting them	Available on College and Department websites, see examples below: http://www.uml.edu/Health-Sciences/faculty/Faculty-list.aspx http://www.uml.edu/Health-Sciences/CLNS/faculty/default.aspx http://www.uml.edu/Health-Sciences/CLNS/faculty/Adjunct-Faculty/default.aspx		
Names and positions of administrative officers	http://www.uml.edu/About/leadership/campus-leadership.aspx		
Names, principal affiliations of governing board members	http://www.massachusetts.edu/bot/index.html		
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	NA		

Standard Ten: Public Disclosure

Programs, courses, services, and personnel not available in any given academic year.	_NA		
Size and characteristics of the student body	http://www.uml.edu/About/quick-facts.aspx		
Description of the campus setting	http://www.uml.edu/About/about-lowell/default.aspx		
Availability of academic and other support services	http://www.uml.edu/CLASS/default.aspx http://www.uml.edu/student-services/Offices/default.aspx		
Range of co-curricular and non-academic opportunities available to students	http://www.uml.edu/student-services/student-activities/		
Institutional learning and physical resources from which a student can reasonably be expected to benefit	http://www.uml.edu/facilities/Capital-Improvements/default.html#intro		
Institutional goals for students' education	http://www.uml.edu/About/learning-with-purpose.aspx http://www.uml.edu/Academics/undergraduate-programs/Gened/		
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.uml.edu/docs/Report%20Card_tcm18-51181.pdf ; http://www.uml.edu/docs/2007-2008%20MTEL%20Results_tcm18-47926.pdf		
Total cost of education, including availability of financial aid and typical length of study	http://www.uml.edu/FinancialAid/apply/default.aspx		
Expected amount of student debt upon graduation	https://uml.studentaidcalculator.com/welcome.aspx		
Statement about accreditation	http://www.uml.edu/About/Accreditation.aspx		

Standard Ten: Public Disclosure

Description

The University of Massachusetts Lowell seeks to provide accurate, accessible, clear, and complete information to current and prospective students and to faculty, staff, alumni, collaborating partners, and members of the interested public. To meet the informational needs of its diverse constituents, the University offers a wide range of communication methods including print and electronic media, television and billboards, and, more recently, Facebook, Twitter, YouTube and LinkedIn.

A description of UMass Lowell, academic catalogs, policies and procedures, and news stories about students, alumni, faculty and staff are accessible on the appropriate pages of the [University website](#). Statistics and other facts about the University may be found on the website at [Quick-facts](#), [Report Card](#), and in the annually published [fact books](#). Detailed descriptions of academic offerings are available on the website for both [undergraduate](#) and [graduate](#) programs and in the online [catalogs](#). There is also information on expected student learning outcomes on departmental websites and centrally located on the [Provost's Office website](#). The Office of University Relations (OUR) reviews information presented on all media sites for accuracy. To facilitate inquiries about the University, contact information (address, email, phone) is presented on all UMass Lowell web-pages; inquiries are also addressed through social media such as facebook.

Under the direction of the Vice Chancellor for University Relations, the OUR is the central clearinghouse for information about the University and is responsible for keeping campus constituents informed and for presenting the University to the general public. The OUR assists with strategic communications, government and community relations, publications, media relations, marketing, web services, and outreach. In keeping with its expanded mission to communicate a clear, consistent image of UMass Lowell to all audiences as stated in the [2020 Strategic Plan](#), this unit has seen significant budgetary growth with fourteen added positions in the past five years.

Working closely with the Executive Cabinet, the Office of University Relations is responsible for the production, design, accuracy, timeliness and consistency of all University media. These include mailings, websites, brochures, and electronic newsletters. The Office of the Provost and the Office of the Registrar, working with Web Services, maintain the content of the online catalogs. The Division of OCE maintains the OCE catalog. The Office of University Relations works collaboratively with all University divisions in responding to inquiries from the public.

The [Office of Institutional Research](#) (OIR) is responsible for compiling, verifying, analyzing and reporting the University's official data. These data includes information on admissions, enrollment, student retention, and graduation rates. The OIR reports to the Provost and provides analytical and research support to the University community. Until recently, the Office was compliance-focused, handling primarily projects that were mandated by external entities (e.g., IPEDS surveys, HEIRS data collection, UMass President's Office data submissions). In 2011 the separate offices of Institutional Reporting and Institutional Research were merged to facilitate access to both census data and live production data, thus increasing efficiency and expanding capacity. Currently the OIR submits the University's IPEDS surveys; supports the Office of Admissions in data reporting; generates the common data set and responds to college guidebook surveys (such as *U.S. News & World Report*); publishes an annual [Fact Book](#); implements and analyzes surveys, such as the National Survey for Student

Engagement (NSSE), the Collaborative on Academic Careers in Higher Education (COACHE) faculty survey, and in-house surveys such as the annually administered Learning Community survey; generates reports for the Provost's Office regarding at-risk students and enrollment projections; undertakes substantive research projects at the request of the Provost's Office involving predictive analysis. Measures of student success, such as progress with retention and graduation rates, are a key focus of this office.

UMass Lowell abides by the Freedom of Information Act, the Open Records Law and the Open Meetings Law providing access to information and documents by the media and the public. The Vice Chancellor for University Relations, in consultation with the Executive Cabinet and legal counsel, balances the public's right to know with an individual's right to privacy as outlined by the Family Education Rights and Privacy Act (FERPA). The Chief of University Police works collaboratively with the Dean of Students and local law enforcement agencies and is responsible for the supervision and distribution of criminal statistics and safety information, in compliance with the Jeanne [Clery Disclosure](#) Campus Security Policy and Crime Statistics Act.

During the past five years, OUR has focused on improving and enhancing electronic forms of communication. The website is increasingly recognized as the primary source of comprehensive information about the University, its mission, academics and student learning outcomes, research and creative work, campus life, and news and events. Data analytics show that the volume of web traffic at the University has increased dramatically since 2008.

In 2012, following extensive research, and consultation with a web strategy consultant, the website underwent a comprehensive redesign and transitioned to a new web content management system, SDL Tridion. A key change has been to reduce the silos along organizational lines throughout the site; the website is now organized by function rather than by hierarchy. The homepage was redesigned with clear points of entry for students (current and prospective), faculty and staff, alumni, and the general public. "[Explore](#)" pages were created to facilitate review of broad academic options and permit prospective students to review similar programs across colleges (for example, computer science and computer engineering). Other enhancements include the increased inclusion of videos and profiles of faculty, staff, students and alumni to illustrate the University's growth and accomplishments.

The University publishes its mission in the [online catalog](#) and also on the [University website](#). The University's strategic plan and pillars of excellence can be found at <http://www.uml.edu/2020>. Our annual [financial report](#), as well as a description of [University leadership](#), may be accessed on the web. Each academic department's website lists current faculty members, academic administrators, and staff. The online catalog and University website include information about [accreditation](#), where appropriate.

Course descriptions, program overviews, and general procedures and requirements related to admission, the transfer of credit, student fees, charges and refund policies, policies related to attending or withdrawing from the institution, changing academic programs and other educational opportunities can be found online in the [catalog](#). Much of this information can also be found on the [Admissions](#) website. Archived versions of the catalog, created annually, may be found at www.uml.edu/catalog/archives.aspx. Initiated by the office of the Registrar, courses that have not been offered in three years are removed from the current catalog following a review by the academic deans. The Office of the Registrar publishes changes to academic policies and programs in the catalog after approval by the Faculty Senate and the Provost.

Students can access a wide range of information, including the online catalog, the student [Conduct Code](#) and the student [Bill of Rights and Responsibilities](#) directly from the [Student Life website](#). These pages

provide information regarding student support including: the online catalog and the academic calendar, financial aid, campus employment, co-op programs, study-abroad, student clubs, and organizations. In 2012, the Financial Aid Office launched [Jobhawk](#), an online search tool for student employment that facilitates access to campus based and non-campus based employment opportunities. A comprehensive list of articulation agreements is available on the [Admissions website](#).

UMass Lowell publishes information about the total [cost of education](#), including the availability of financial aid, on the websites for Admissions, Financial Aid, and Student Financial Services. Detailed institutional data on retention and graduation rates are available within the Factbooks on the [Institutional Research](#) site, and in the University Report Card. Debt Calculators are accessible on the Financial Aid website.

The primary way that students access course information is through the Intercampus Student Information System (iSiS). In 2006, an electronic advising report was built into iSiS to better represent progress toward a degree. At the [iSiS login page](#), there are tutorials for faculty, staff and students. For example, students have tutorials showing how to add and drop classes, to request a transcript, or run an advising report. Faculty have tutorials demonstrating how to enter grades, view advising reports, unofficial transcripts, or schedules of students and advisees.

The OUR provides daily information about events on campus and press reports that reference UMass Lowell through [UML Today](#), an intranet news and information website for faculty/staff and students. Campus news is also presented in electronic newsletters, which are distributed throughout the year to alumni and friends. [NewsLine](#), a four-page print publication, is distributed ten times per year and used to convey major news, projects and campus plans to external and internal audiences, including community, business, government leaders, and major donors (4,500 copies plus electronic distribution). The OUR partners with the University Advancement Office in designing and publishing the [Alumni Magazine](#) three times each year (73,000 copies).

The University online catalogs, the FactBooks and promotional materials are reviewed regularly and archived annually under the coordination of the Office of the Provost. The OIR reviews published institutional data for accuracy and consistency. UMass Lowell distributes accurate information about its accreditation status in the online catalogs, view books, and on the Provost's webpage. Drafts of this [Self-Study](#) were posted on the campus website, and campus constituents were invited to provide feedback. The final version of the Self-Study will remain on the website for the duration of the accreditation review. One year prior to the accreditation team visit scheduled in the fall of 2013, notice of the reaccreditation process was published on the *UML Today* site. Notification of the re-accreditation process was also published in the Lowell Sun and the Lawrence Eagle Tribune on August 8, 2013. Readers were invited to submit comments about UMass Lowell to NEASC.

Appraisal

The NEASC five-year report submitted in 2008 stated that:

UMass Lowell is working to ensure consistency and accuracy of published materials, both in electronic and hard copy; it is continuing to add to the information readily available through the [www.uml.edu](#) website and to provide site navigation that allows easy access to that information. With the addition of staff in the Office of Institutional Research, the campus plans to be more intentional in its collection and analysis of data in a variety of areas, including student success and achievement, student satisfaction, and alumni feedback.

These efforts have expanded, as the leadership team, headed by Chancellor Meehan, began the transformation of UMass Lowell in accord with the UMass Lowell 2020 strategic plan. This comprehensive strategic planning process involved market research, focus groups, surveys and interviews with key internal and external stakeholders. Essential to this transformation has been strengthening of communications to all constituencies. This effort was led by the OUR in an 18-month process, working with Maguire Associates (a higher-education marketing and branding consultant firm), and involving the University community to refine the representation of the University to all stakeholders. During this process three primary themes emerged: UMass Lowell prepares students to be **work ready, life ready, and world ready**; these are summed up by tagline: **Learning with Purpose**. The OUR also developed a guide ([Branding Guide](#)) to ensure that the text and graphics of all official communications present a clear and consistent representation of the university.

Web Services has expanded its efforts to monitor access and usability of the web. *Webtrends Analytics on Demand* was secured to provide usage statistics for desktop, mobile, social and web channels. A comparison of the period between October and January demonstrates that web visits have more than doubled (from 1,065,060 to 2,184,209 visits) between 2011 and 2012.

In 2012, Snyder Consulting conducted a usability study of the UMass Lowell web site and the online Catalog. The results of the study showed satisfaction with the overall design and experience. Search/usability tracking showed that the new site is highly effective, enabling users to easily find desired topics without an internal search. One year before launch, there were 19,714 searches for registrar, email, iSiS and financial aid, compared with only 69 searches in the same time period since the launch. The study identified some concerns with structure, navigation, terminology and content for specific websites, and Web Services is in the process of determining how best to address such concerns.

Web Services implemented a “soft” launch of a responsive design for the www.uml.edu site in December of 2012 in order to make the site usable for mobile devices. The current version is optimized for Apple iPhone with a focus on Android next. Although the current version provides access to all content on the web, the final version will use an optimized information architecture and content strategy for mobile.

The transition from Collage to Tridion was intended to provide a consistent “look” and “feel,” while providing relatively easy modification of content. Web Services provides training in the use of Tridion for editing individual web pages. The goal is to allow all units to edit their own websites within the template designed by Web Services, with review by Web Communications prior to publication.

A listing of full-time faculty is published on the University website. The information provided includes departmental and program affiliations, degrees held and the institutions having awarded them. Because the involvement of part-time faculty differs from semester to semester, continued efforts by all departments, coordinated through the Office of the Provost, are required to keep the faculty web sites updated each semester with both the full-time and part-time faculty. This is a recent development, as part-time faculty had not been included on the website or in the online catalogs prior to 2012.

The Student Information System (iSiS) is administered through a three-campus consortium (UMass Boston, UMass Dartmouth and UMass Lowell). While this creates efficiencies in cost and labor, it creates organizational barriers that limit the responsiveness of the system to change as needed. Nonetheless, in the past two years much energy has been focused on the expansion of the advising capability within iSiS, including the development of a clearer advising report and the creation of an advising page that provides easy access to critical student information. This advising page will serve as the center for communication between students and their advisors, as well as a repository for advising notes. The University plans to integrate more sophisticated data analytics permitting customized semester-by-semester advice to students about most successful pathways to take when registering for courses.

As the University strengthens and expands its work on program assessment, a Student Learning-Outcome page is being developed. At present, it includes program-specific student learning outcomes. Working with departmental chairs, the Office of the Provost is in the process of adding curriculum maps and methods of assessment for each of these learning outcomes. (See standard 4.).

In 2009, UMass Lowell joined the Voluntary System of Accountability (VSA). The [College Portrait](#) for UMass Lowell is available online. A discussion of the reporting of Learning Outcomes in the VSA is included in Standard 4.

Projections

- Training programs will continue to be offered by Web Services to ensure that all departments, colleges, and divisions have at least one member who is trained to modify the respective unit's web page(s).
- A clearly defined process for modifications to the web will be in place by the end of AY2013-2014.
- A catalog working group, appointed by the Provost, has been charged with creating a more consistent format for the online catalogs and developing a clearer process for updating them. The working group will make their recommendations to the Provost no later than the end of AY2013-2014.
- The Office of University Relations is spearheading an effort to have a coordinated social media presence to help recruit and retain students, as well as support fundraising efforts. UMass Lowell plans to retain a social media consultant to assess current social networking and make recommendations. This assessment will be completed by the end of AY2013-2014.
- The cross-functional team (Admissions, Information Technology, Registrar, International Relations, Financial Services, Financial Aid) working with the technology services will complete modifications to the advising pages of iSiS in AY 2013-2014.

Institutional Effectiveness

UMass Lowell has considerably improved its communication strategy for its various constituencies, which has resulted in a clear, concise, and consistent campus message. The institution will continue to prioritize its commitment to public disclosure and is deeply committed to ensuring that its publications and reports contain reliable and accurate information that is clear, complete, accessible, and meets the needs of those who need to make informed decisions about our University.

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

Standard 11: Integrity

P	Policies	Last Updated	URL Where Policy is Posted	Responsible Office or Committee
	Academic Honesty	2012	http://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Integrity.aspx http://www.uml.edu/Catalog/Graduate/Policies/Academic-Integrity.aspx	Office of the Provost
	Intellectual property rights	1996	http://www.uml.edu/docs/IntellecPropertyUML_tcm18-2409.pdf	Board of Trustees
	Conflict of interest	1996	http://media.umassp.edu/massedu/policy/ConfInterUML.pdf	Board of Trustees
	Privacy rights	2012	http://www.uml.edu/Catalog/Undergraduate/Policies/Student-Records.aspx	Registrar; Office of Student Affairs; Information Technology
	Fairness for students	2013	http://www.uml.edu/Student-Life/	Office of Student Affairs
	Fairness for faculty	2013	http://www.uml.edu/equal/default.html	Human Resources/Equal Opportunity and Outreach
	Fairness for staff	2013	http://www.uml.edu/equal/default.html	Human Resources/Equal Opportunity and Outreach
	Academic freedom	2012	http://faculty.uml.edu/msp/files/contract2012/2012-Contract-Article-XV.pdf	Office of the Provost
	Other _EOO_____		http://www.uml.edu/equal/Resources/default.aspx	Human Resources/Equal Opportunity and Outreach
	Other _____			

Non-discrimination policies

Recruitment and admissions	2012	http://www.uml.edu/Catalog/Undergraduate/Admissions/Equal-Opportunity.aspx http://www.uml.edu/Catalog/Graduate/Policies/Equal-and-Fair-Treatment.aspx	Equal Opportunity and Outreach; Office of Chancellor
Employment	2009	http://www.uml.edu/docs/Policy%20on%20Equal%20Opportunity_tcm18-105140.pdf	Human Resources/Equal Opportunity and Outreach
Evaluation	2009	http://www.uml.edu/hr/Equal/Equal-Opportunity/Default.aspx	Office of the Provost; Office of the Chancellor
Disciplinary action	2012	http://www.uml.edu/student-services/reslife/policies/code-of-conduct.aspx	Division of Student Affairs

Standard Eleven: Integrity

Advancement			Office of Advancement
Other _____			

Resolution of grievances

Students	2013	http://www.uml.edu/Registrar/Student-Appeals.aspx	Office of the Provost
Faculty	2012	http://www.uml.edu/hr/pdf/Faculty_Contract.pdf	Office of the Provost
Staff	2012	http://www.uml.edu/hr/Labor_Units/Labor_Units.html	Human Resources
Other _____			

2	Other	Last Updated	Relevant URL or Publication	Responsible Office or Committee
	1			
	2			
	3			
	4			
	5			

Standard Eleven: Integrity

Description

The University of Massachusetts Lowell is an ethical citizen of the Commonwealth of Massachusetts, providing high quality education in an atmosphere of free inquiry while promoting fairness, honesty, and transparency. The University, with the assistance of the UMass System Office of the General Counsel, continuously monitors, supports, and recognizes the highest standards of integrity and ethics in its conduct and relationship with internal and external constituents. UMass Lowell is chartered by the Commonwealth and holds degree-granting authority from the associate's level through the doctoral level from the Higher Education Coordinating Council and the Trustees of the University of Massachusetts. All programs are periodically reviewed by [professional accrediting agencies](#) such as ABET, NCATE, CCNE, AACSB, or through [Academic Quality Assessment and Development](#) (AQAD) Reviews. All proposals for new programs must be approved at all levels (Department, College, Faculty Senate, President and Board of Trustees and Massachusetts Board of Higher Education). (See Standard 4.)

UMass Lowell policies and practices on ethics and fairness are articulated in a series of official documents and postings: the [University's website](#), the undergraduate, graduate, and Online and Continuing Education [catalogs](#), [student](#) and [faculty handbooks](#), [Principles of Employee Conduct](#), [Collective Bargaining Contracts](#), [Institutional Review Board Manual](#), and administrative announcements made via [UML Today](#). These policies are consistent with each other and are accessible online to all members of the University community. They are reviewed for currency by the relevant divisions and by the Office of University Relations.

The Associate Vice Chancellor for [Human Resources and Equal Opportunity and Outreach](#) collaborates with administrators to implement best practices in diversity and inclusion. This encompasses but is not limited to the recruitment of people from underrepresented populations, people of color, women, and other groups protected under federal and state law.

HR/EOO conducts outreach to diverse individuals by participating in career fairs and community events; contacting professional affiliations representing diverse and underrepresented groups; and by posting job announcements in venues that are designed to attract job seekers from underrepresented populations. To demonstrate its commitment to diversity and inclusion, EOO, representing the University, collaborated with representatives from the two other largest employers in Lowell (Lowell General Hospital and Middlesex Community College) to co-sponsor the launch of the [Merrimack Valley Commonwealth Compact](#) (MVCC) in 2010. The MVCC, a regional collaborative of the statewide Commonwealth Compact, also includes several other employers in the region such as Community Teamwork, Inc., Enterprise Bank, Lowell Community Health Center, and The TJX Companies. The goal of the MVCC is to establish Lowell and the Merrimack Valley Region as an inclusive community for diverse groups.

EOO promotes fair and equitable treatment for all members of the University community in a manner that is consistent with the strategic priority to foster an inclusive campus community ([2020 Strategic Plan](#)). Combined with education, EOO strives to advance cultural competency, based on dignity, fairness and mutual respect. EOO presents regularly scheduled monthly [training](#), in collaboration with Employment Services, to search committees regarding equal opportunity and fairness in the employee search process. Furthermore, EOO provides two web-based programs on diversity education and awareness: [Respecting](#)

[Differences, Preventing Discrimination](#) and [Prevention of Sexual Harassment](#). New employees are expected to complete these programs within the first year of employment at the University.

The University is committed to cultivating learning, working, and living environments that do not include discrimination or harassment, and where students, faculty, and staff can thrive. Thus, the web-based programs referred to above are available to faculty, staff, and student employees. The content is updated as needed to reflect relevant changes.

In addition to EOO, the [Office of Multicultural Affairs](#) (OMA), described in Standard 6, was established in 2009 and is committed to creating an inclusive community for students, staff, and faculty of all backgrounds. Through a wide range of programming, consulting, training, and support, OMA promotes an environment within which all members of the University community can appreciate, celebrate, and develop mutual respect for cultural differences, values, and beliefs. The overarching mission of OMA is consistent with the *2020 Strategic Plan* for increasing diversity and inclusiveness.

Policies and procedures are in place when grievances arise under [collective bargaining agreements](#) with unions representing faculty, staff, and graduate student employees. Each agreement lists a grievance office and procedures for handling contractual conflicts and filing complaints. Student employees use the same processes that faculty and staff use for addressing complaints.

The integrity of the promotion and tenure (P&T) process is agreed upon by the University administration and the [Massachusetts Society of Professors](#) (MSP), with opportunities for evaluations and revision during development of the triennial collective bargaining agreement. The criteria and procedures for promotion and tenure are outlined in the [union contract](#), which is accessible online to all faculty members. In the 2009 [Collaborative on Academic Careers in Higher Education](#) (COACHE) survey tenure-track faculty reported a need for greater clarity in the P and T process. In response, the Provost created detailed [guidelines](#) that are published on the UMass Lowell website. In addition, the [Faculty Development Committee](#), in collaboration with the Provost, organizes annual promotion and tenure workshops to provide additional information and to respond to queries regarding dossier preparation, timeline, evaluation, and the right of faculty members to file rebuttals throughout the process.

Policies and procedures governing student grievances on matters involving student behavior are clearly delineated online on the website, [Student Conduct Code](#) and Discipline Process, as well as highlighted in the new [Student Bill of Rights and Responsibilities](#). In addition, policies on academic integrity are described in the [undergraduate](#) and [graduate](#) catalogs and faculty are encouraged to include academic integrity policies in course syllabi. General grading policies and information about academic appeals are found in the catalogs and faculty are strongly encouraged to list specific grading criteria in course syllabi. Formal student grievances regarding monetary disputes are filed with and handled by the Office of the Vice Provost for Undergraduate Education or the Office of the Vice Provost for Graduate Education, via the Student Status Committee (including representatives from the registrar's office, health services, student financial services and financial aid). The University [Appeals procedures](#) concerning grade, monetary, and conduct disputes guarantees due process and protects the rights of both students and faculty.

The University honors its commitment to academic freedom and the free pursuit and dissemination of knowledge. Faculty and student members have the academic freedom to seek knowledge and understanding and to exchange ideas through inquiry, research and scholarly activities, discussions, publications, and public presentations or performances. A description of faculty rights and responsibilities regarding freedom of expression is stated in the faculty union contract [Article XV](#). The student Conduct Code (Appendix D, page 31) under [Guidelines for Responses to Demonstrations on University Property](#),

outlines the academic freedoms of student community members. These principles apply to both teaching and research, as well as to activities that are external to the University community.

The [Institutional Review Board](#) (IRB) of the [Office of Institutional Compliance](#) (OIC) 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 board bases its protections on four basic principles: respect for persons, minimizing harm, maximizing benefits, and justice ([Belmont Report](#), National Commission for the Protection of Human Participants, 1979). The board follows regulations set forth by the Department of Health and Human Services and the Food and Drug Administration. The IRB is composed of 15 members appointed by the Vice Provost for Research and reviews all research projects that involve human subjects. On average, 140 projects have been reviewed each year for the past 5 years. The OIC also ensures that members of the campus community adhere to policies and mandates relating to [animal use in research](#), [biological safety](#), and [export controls](#).

The University has in place policies to ensure the **safety** of all its members, affiliated constituents, and visitors (See <http://www.uml.edu/Police/default.aspx>.) Crime statistics are reported in compliance with the [Clery Act](#). Given the extensive use and storage of digital information, [data security policies](#) and technology have been developed to ensure protection of members' personal information that is consistent with FERPA.

With its strong connection to the city of Lowell and surrounding communities, and its strong emphasis on service learning, the University is cognizant of its responsibilities to community members and organizations. Thus, in accordance with UMass Board of Trustees policy, comprehensive [background checks](#), including **Criminal Offender Record Information** (CORI), are conducted on all new benefited UMass Lowell employees instituted to ensure the safety of the University community and wider community members. The HR/EOO office works with new employees to process these background checks and details/results of the checks remain in the HR/EOO office. Students must also undergo a [CORI check](#) in order to participate in coursework placement, community service, service learning or voluntary activity related to UMass Lowell, when their activity will include direct and unmonitored access to at-risk populations. This most often occurs in the Graduate School of Education and the College of Health Sciences. Students who do not provide permission to conduct a CORI check are not permitted to participate in the educational activities described. Other students may need to undergo a CORI check if deemed appropriate by the course coordinator, appropriate dean, or supervisor.

Appraisal

Public complaints about lack of institutional integrity or lack of ethics are rare at the University of Massachusetts Lowell. The UMass Lowell community experiences the disagreements and tensions that are inevitable in an active and diverse community, but issues of misconduct or grievances are dealt with promptly, in accordance with the policies stated in the catalog or the relevant contract, and in agreement with the defined published due process.

The University maintains a balance between consistency and flexibility in an attempt to set high standards of conduct, and to hold the members of its community accountable to those standards. This includes the area of [academic integrity in scholarship and research](#) where the interest of academia and industry might collide. In these cases, the University strives to uphold its standards of academic freedom and ethical behavior while fulfilling its ethical and legal obligations. The University, via the Research and Development Committee of the [Faculty Senate](#), has been revising policies regarding research misconduct to ensure the integrity and quality of research conducted at UMass Lowell ([Faculty Senate Minutes](#)). The University, through the Human Resources Department, also complies with the state mandate requiring all

employees to receive training related to the [Conflict of Interest Law](#) and faculty members are expected to disclose any [conflict of interest relating to intellectual property and commercial ventures](#). The faculty, Massachusetts Society of Professors (MSP), contract addresses issues related to intellectual property rights of faculty and the [Intellectual Property Policy](#) can be found as an appendix to the MSP 2012-2014 union contract.

The University, through the [Division of Student Affairs](#), strives to continuously examine its policies and procedures relating to student conduct. The University ensures that students adhere to the conduct code but also realizes that the processes by which cases are managed and evaluated may need periodic updates and integration of new technologies. The University maintains a license for **Turnitin®**, a leading academic plagiarism detector. During the past two academic years, approximately 184 faculty members have had active accounts with Turnitin® for their courses. In another example, UMass Lowell initiated changes to the processing of student misconduct cases in 2011 by instituting a new system, called [Judicial Action](#), which manages all ongoing cases, including coordinated communication with students about their respective hearings and assigned officers. Judicial Action also consolidates all the information in the campus conduct process into one central area so that reports and violations for each student can be seen by members of the Dean of Students' Office, the Office of Residence life, and the Office of Student Conduct. Overall, Judicial Action allows for further transparency and coordination of the conduct process across the campus community.

The University promotes the free pursuit of knowledge for its faculty, staff, and students while adhering to federal and state regulations and standards, such as the [Family Educational Rights and Privacy Act](#) (FERPA) and the [Health Insurance Portability and Accountability Act](#) (HIPAA). We recognize, however, that further training about privacy laws would benefit the campus community.

The Office of the Ombudsperson, where disagreements about policy or personal conflicts could be handled informally and privately, was eliminated in 2008 because employees tended to rely on their representative unions to address concerns. Since that time, the MSP and the Provost's Office have successfully resolved all grievances by individual faculty members without having to resort to arbitration. Both the administration and the unions strive to achieve transparency and formal documentation of all grievance cases involving students, staff, and/or faculty. Depending on who is involved, members of the University community are directed to follow the proper procedures for filing grievances with the appropriate entities or offices assigned to handle the respective grievances. This change has allowed the University to establish greater consistency and transparency in procedures across cases, while adhering to federal, state, and University mandates, and to collective bargaining agreements. During the past five years, faculty and staff filed 99 complaints and graduate student employees filed five complaints.

Issues of work equity are of great importance to the University, including equity in total workload among faculty across diverse disciplines. While the nature and foci of work may differ across disciplines, the University supports fair workload distributions within and between disciplines. In early 2012, the University implemented new [workload policies](#) developed by individual college faculty committees and approved by both the MSP and Provost. The University also negotiated with the faculty union to incorporate merit raises (in addition to across-the-board raises) in recent collective bargaining agreements to reward exemplary work in teaching, research/scholarship, and/or service work. Furthermore, the University has in place an annual [salary review process](#) by which faculty and librarian members may submit an application to request a salary review.

The University strives to create an inclusive and diverse community and to actively address issues of discrimination and fairness. One of the ways the University implements plans to diversify the faculty and staff is through affirmative action planning. The [Affirmative Action Plan](#) (AAP) outlines the University's efforts to comply with federal and state antidiscrimination laws, and to develop policies and practices in

support of those laws. The goals of the University's AAP are to increase the potential for the University, through the faculty and staff, to represent the diversity in the communities it serves. Since 2005, the number of minority faculty members has increased based on gains in Asian-Americans and in African-Americans. When combined with staff data for a summary of the total workforce, Asian-Americans show the largest gains followed by an increase in Hispanic-Americans. Currently, under-represented groups constitute 16% of the total workforce at UMass Lowell. This reflects a steady increase since 2005 and exceeds the goal projected for 2015 in the University's 2020 strategic planning [Report Card](#). Although the overall progress is encouraging, the University continues to work toward increasing African-Americans and Hispanics in the faculty and in positions of leadership in order to provide a richer experience for the campus community as a whole. Updates to the AAP are presented to the [Board of Trustees](#) every two years. Currently, a new AAP is being prepared to cover the next five years.

UMass Lowell acknowledges that another area for improvement is **accessibility** to all campus facilities for all, regardless of physical ability. Accessibility is incorporated in the design of all new facilities (e.g., Emerging Technologies and Innovation Center, Health and Social Sciences Building, University Suites), as well as in the renovation of existing facilities. The improvement in accessibility is an ongoing process and will continue until all facilities are completely accessible by all members and visitors of the campus community.

In compliance with the Americans with Disabilities Act, as amended in 2008, the [Office of Disability Services](#), recognizes that disability status may encompass dimensions that are invisible and/or non-physical. Disability Services institutes various [accommodations](#) to students with learning disabilities, such as providing extended time for testing and/or reduced distraction in the environment, hiring of a note-taker for students, and/or providing sign-language interpreters. The Office has adopted [assistive technologies](#) for students with hearing and vision impairments, including Kurzweil, Pulse Smartpen, JAWS, and Dragon. Recently, the University modified a policy that stated that only full-time students could qualify for Dean's list in response to concerns raised by students. This policy was changed to eliminate an unintended bias against students with disabilities who maintained part-time status as part of their recommended academic plan.

The University seeks to adhere to the standards of the NEASC Commission on Institutions of Higher Education. Representatives of the University community participated in the public discussions during the process of revising the standards, and the University remains committed to the process of peer review as exemplified by the work of the Council for Higher Education Accreditation (CHEA). The Chancellor, Provost, Faculty Senate, Executive Cabinet, Senior Cabinet, and the Deans Council regularly review institutional policies and procedures. Issues of fairness, justice, and integrity are always at the forefront of these reviews that are conducted to resolve specific issues and cases, and are sometimes conducted on a campus-wide basis when warranted. These reviews then become policies that are widely distributed in the University community through administrative announcements, via *UML Today*, under the Chancellor's or Vice-Chancellor signatures, and in revisions to the webpages, catalogs, and handbooks.

The [Division of Online and Continuing Education](#) (OCE) follows nationally recognized best practices to promote student integrity in online education

- OCE has rigorous business processes for students to retrieve their login information: Students must provide their First Name, Last Name and their complete 8 digit student ID number. If they do not remember their ID number, they must provide their date of birth, last name and HR employee ID or social security number in order to gain access to online coursework. All log-in information is transmitted through encrypted internet connections.
- OCE trains faculty on ways to effectively use the official Blackboard LMS system, including how to randomize test questions for multiple choice exams, and provides written suggestions on

employing best assessment practices. For example, faculty are encouraged to require students to complete the entire exam once they have begun it, and students cannot go back to the exam later.

- All faculty members teaching online courses are required to provide detailed syllabi for their courses, including learning outcomes, and competency measurements. Assessment of student learning includes exams, quizzes, writing assignments, projects, and in many cases, depending on the subject matter, scholarly research papers. Faculty interact with students on discussion boards and chat sessions. Thus, faculty teaching online courses acquire deep familiarity with students' abilities based on sustained contact with them on a daily and weekly basis.

Projections

The substantial growth of UMass Lowell in recent years requires expanded focus on integrity issues in the following areas:

- Systematic and centralized training of students, staff, and faculty regarding various federal and state laws (e.g., FERPA, HIPAA, ADA, CORI, etc.): The University, through coordination between HR and the Division of Student Affairs, will develop materials and training workshops (both in-person and online) and institute mandatory training sessions for students, staff, and faculty as part of their orientation process to the University. This training will be implemented in fall 2013.
- Full accessibility to campus facilities and improvements in disability services: The University recognizes the importance of adherence to the ADA and through its various projects, including the planning of new facilities and renovation of existing facilities. The Department of Facilities Management and Planning, in collaboration with the Committee for Facilities Renewal and Master Campus Planning (Strategic 2020 Plan) and the Office of Disability Services, will ensure that full accessibility is incorporated in all projects. The Office of Disability Services will continue to examine and adapt new assistive technologies, including those for online learning. The campus should be fully accessible by 2020.
- Increases in ethnic diversity among faculty and staff: The University is committed to issues of diversity and inclusiveness, including the need to increase ethnic diversity among faculty and staff members to reflect recent increases in ethnic diversity among student members. Human Resources in coordination with the Office of Equal Opportunity and Outreach are in the process of updating the University's current Affirmative Action Plan and will implement the new plan for the next five years, beginning in 2013.

Institutional Effectiveness

The University of Massachusetts Lowell aspires to meet the highest standards of integrity within the institution and to serve as a model among its peers. The University is committed to creating and maintaining a campus community where all members feel appreciated, respected, connected, and engaged with the larger life of the campus. Under the direction of the Chancellor and Provost, and with the oversight of the Faculty Senate and 2020 Strategic Planning Commission, the offices and departments of the University will continue to systematically monitor and review their policies and practices so as to meet and maintain the highest standards of integrity.

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

Appendix

1. [Affirmation of Compliance](#)
2. [E1A-Forms](#)
3. [E1B Forms](#)
4. [S-Forms](#)
5. [Members of the NEASC self-study committee](#)
6. [Financial Report including Auditor's management letter](#)
7. **List of Supporting Documents on Flash Drive**

Affirmation of Compliance



**NEW ENGLAND ASSOCIATION OF SCHOOLS AND COLLEGES
COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION**
209 Burlington Road, Bedford, MA 01730
Voice: (781) 271-0022 Fax: (781) 271-0950 Web: <http://cihe.neasc.org>

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.uml.edu/Registrar/Grades-and-Transcripts/default.aspx
Print Publications	
Self-study/Fifth-year report Page Reference	

- 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.uml.edu/catalog/undergraduate/admissions/transfer_students.htm http://www.uml.edu/registrar/transfer/ http://www.uml.edu/admissions/information-for/transfers/transferable-credits.aspx http://www.uml.edu/admissions/information-for/transfers/articulation-agreement.aspx
Print Publications	
Self-study/Fifth-year Report Page Reference	Page 31 and 32

- 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.uml.edu/docs/Student%20Appeals%20and%20Complaints_tcm18-90764.pdf
Print Publications	
Self-study/Fifth-year Report Page Reference	Student Services Page 36-37; Integrity page 45-46

- 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

July, 2012

Appendix: Affirmation of Compliance

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.)

<p>Method(s) used for verification</p>	<p>The Division of Online and Continuing Education follows nationally recognized best practices to promote student integrity in online education. The Division has won numerous awards for the quality of its online program, including 6 national SLOAN awards.</p> <p>The Division has rigorous business processes for students to retrieve their login information. For example, they must provide their First Name, Last Name and their complete 8 digit UMS ID number. If they don't remember their 8 digit UMS ID#, they can go into ISIS at http://www.umassadmin.net/ISIS/idlookup/ where they have to enter their exact birthday, last name and HR employee ID or social security number, a procedure which is not that easy to perform. All log-in information is passed by encrypted internet connections.</p> <p>The Division trains faculty on how to effectively use the official Blackboard LMS system, including how to randomize test questions for multiple choice exams and provides written suggestions on employing best assessment practices. For example, faculty require students to complete exams once they have begun the exam, and students cannot go back to the exam later.</p> <p>All faculty are required to provide detailed syllabi for their courses, including learning outcomes, and competency measurements. Assessment of student learning includes exams, quizzes, writing assignments, projects, and in many cases, depending on the subject matter, scholarly research papers. Faculty members' interaction with their students throughout the semester allows them to determine what information students know or don't know about the course material. In addition, instructors formulate an informed opinion on how a student is learning in the class based on the types of questions they ask.</p> <p>Faculty acquire a good knowledge of their students based on sustained contact with them on a daily and weekly basis. In addition, their collecting of a robust sample of student work throughout the semester, whether through exams, discussion board, chat, writing assignments and research papers helps faculty evaluate their students and their capabilities.</p>
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Appendix: Affirmation of Compliance

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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.uml.edu/Academics/provost-office/NEASC/review.aspx
Print Publications	
Self-study Page Reference	

The undersigned affirms that _____ (institution name) meets the above federal requirements relating to Title IV program participation, including those enumerated above.

Chief Executive Officer:  Date: 4/19/13

Option E1: Part A. Inventory of Educational Effectiveness Indicators

Summary of NEASC Assessment Inventory: Spring 2012										
CATE GOR Y			(1) Have forma l learni ng outco mes been develo ped?	(2) Where are these learning outcomes published ?	URL	(3) Other than GPA, what data/evidence is used to determined that graduates have achieved the stated outcomes for the degree?	(4) Who interprets the evidence? What is the process?	(5) What changes have been made as a result of using the data/evidence	(6) Date of most rece nt prog ram revie w	Revie w
Degre e	Program (s)	Track/O ption		Print	Website					
all	Instituti on								2008	NEAS C- 5- year review

Appendix: E-Forms

all	General Education		Yes	Website	http://www.uml.edu/Academics/undergraduate-programs/Gened/Course-Requirements.aspx	ETS Proficiency Profile; LEAP VALUE rubrics; analysis of course syllabi	General education Committee of Faculty senate; Committee on Transformational Learning	1) Following a content-analysis of syllabi, a significant change to the General Education is proposed, bringing it in closer alignment with the LEAP rubrics, integrating ongoing assessment, and shifting some of the responsibility for achievement of essential learning outcomes, to the major discipline; 2) In response to high DWF rates, and the report of the visiting Mathematics AQAD team, the method of instruction for Calculus I and II has changed in a variety of ways; 3)following analysis of 700 papers in College Writing II, the Department of English has revised and refined the existing learning outcomes for that course, and has launched a series of professional development workshops to support faculty efforts to meet those revised outcomes.	2013	
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Appendix: E-Forms

Ph.D.	Biomedical Eng. & Biotech					Qualifying Exam and Doctoral Dissertation, capstone project	Faculty serving on Doctoral Program in Biomedical Engineering and Biotechnology review on regular basis		2012	AQAD , Commission for Accreditation of Medical Physics Education Programs (CAMPEP)
Ph.D.	Business Administration	Finance; International Business; Leadership; management information systems; Technology Management; accounting	Yes					NA	New Program - to launch in 2014	AACSB
Ph.D.	Chemistry	Environmental Studies; Biochemistry	No	NA	NA	Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense	Faculty of Department of Chemistry review on ongoing Basis, Graduate Curriculum Committee		2011	AQAD

Appendix: E-Forms

D. Eng. and Ph.D.	Chemical Engineering		Yes		http://www.uml.edu/Catalog/Graduate/Engineering/Chemical-Engineering/Doctoral-Programs.aspx	Qualifying Exam and Doctoral Dissertation	Faculty of Department of Chemical Engineering review on regular basis	Changed core curriculum to ensure critical objectives were covered; Also changed credit requirements to provide more flexibility for Ph.D. qualifying exam		AQAD
D. Eng. and Ph.D.	Civil and Environmental Engineering	Webpage	Yes	Student Handbook	http://www.uml.edu/Catalog/Graduate/Engineering/Civil-Environmental-Engineering/Doctoral-Programs.aspx	Qualifying Exam and Doctoral Dissertation	Faculty of Department of Civil and Environmental Engineering review on regular basis			AQAD
D. Eng. and Ph.D.	Computer Engineering		Yes	Student Handbook		Qualifying Exam and Doctoral Dissertation and public defense	Faculty of Department of Electrical and Computer Engineering review on regular basis		2012	ABET
Ph.D.	Computer Science	Computational Mathematics -- Bio/Chem Informatics	Yes		http://www.uml.edu/Catalog/Graduate/sciences/Computer-Science/Default.aspx	Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense	Faculty of Department of Computer Science review on ongoing basis			

Appendix: E-Forms

Ph.D.	Criminal Justice and Criminology	Crime, Criminals & Community; Global Perspective on Crime & Justice; Justice System & Policy; Technology & Criminal Justice; Victims, Crim & Justice	yes		http://www.uml.edu/Catalog/Graduate/FAHSS/Criminal-Justice/PhD-Program.aspx	Qualifying Exam and Doctoral Dissertation and public defense	Faculty of Department of Criminal Justice and Criminology review on regular basis	NA-New program	New Program - Not yet evaluated	AQAD
D. Eng. and Ph.D.	Electrical Engineering		Yes	Student Handbook Doctoral Handbook		Qualifying Exam and Doctoral Dissertation with public defense	Faculty of Department of Electrical and Computer Engineering review on regular basis			AQAD
Ph.D.	Energy Engineering		yes	Website	http://www.uml.edu/Engineering/Chemical/Programs/graduate-doctoral.aspx	Qualifying Exam and Doctoral Dissertation with public defense	Faculty affiliated with Energy Engineering with review on a regular basis.			AQAD

Appendix: E-Forms

Ph.D.	Global Studies	Comparative cultures; Security & Human Rights; Socio-Economic development;	Yes		http://www.uml.edu/FAHSS/Interdisciplinary/Global-Studies/Program-Objectives.aspx	Qualifying Exam and Doctoral Dissertation and public defense	Faculty serving on the Global Studies Program review on a regular basis.	NA-New program	New program	AQAD
Ed. D.	Language Arts and Literacy		Yes	Website	http://www.uml.edu/docs/Updated%20Doctoral%20handbook_tcm18-48069.pdf	Two comprehensive examinations as well as the dissertation proposal and defense	Four faculty affiliated with the doctoral program discuss outcome of examination twice per year	Improved procedures for grading comprehensive examinations	2009	NCATE
Ed. D.	Leadership in Schooling		Yes	Leadership in Schooling – developed a comprehensive set of learning outcomes –	see page 12 of doctoral handbook http://www.uml.edu/docs/Updated%20Doctoral%20handbook_tcm18-48069.pdf	Leadership in Schooling utilizes portfolio assessment, oral presentations, qualifying examination, dissertation proposal and defense all described in the doctoral handbook	Four faculty affiliated with the doctoral program. Leadership in Schooling faculty regularly meet to discuss how outcomes are met through the portfolio and qualifying examinations	The change from written examinations to portfolio and oral defense assessment of competency was a result of examining the outcomes and recognizing that leadership students were not demonstrating the knowledge and skills needed to progress in doctoral study.	2009	NCATE

Appendix: E-Forms

Ph.D. and D.Eng .	Marine Sciences and Technology			-		Comprehensive and qualifying written examinations as well as the dissertation proposal and defense	Faculty affiliated with the Marine Sciences and Technology Program review on an ongoing basis	Faculty created seminars to support the students' research efforts in a peer-peer format, much needed to ensure high quality analysis of data and sound conclusions	2009	NCAT E
Ed. D.	Mathematics and Science Education		Yes	Website & Handbook	http://www.uml.edu/docs/Updated%20Doctoral%20handbook_tcm18-48069.pdf	Comprehensive examination and a qualifying paper, as well as the dissertation proposal and defense	Faculty affiliated with each doctoral program assess the comprehensive examination twice per year			
Ph.D. and D.Eng .	Mechanical Engineering	Mechanical				Qualifying Exam and Doctoral Dissertation with public defense	Faculty of Mechanical Engineering review on ongoing basis			AQAD
Ph.D. and D.Eng .	Mechanical Engineering	Energy				Qualifying Exam and Doctoral Dissertation with public defense	Faculty of Mechanical Engineering review on ongoing basis			AQAD

Appendix: E-Forms

Ph.D.	Nursing		Yes	Doctoral Handbook	http://www.uml.edu/health-sciences/Nursing/Programs/phd-nursing.aspx	Comprehensive examination Dissertation, student surveys, course evaluations, retention, recruitment and length of time to complete the program	Faculty serving on Doctoral of Nursing Program review on an ongoing basis at Monthly PhD Program Committee meetings	Addition of a formal mentored research experience prior to the dissertation phase and the addition of a required course in curriculum and teaching. Format of delivery changed to an executive weekend, online/blended method. Total credits changed from 60 to 48, reducing the total number of electives from 5 to 2 and combining 4 courses into 2 to eliminate redundancy.	2008	AQAD
DNP	Nursing		Yes	DNP Student Handbook	http://www.uml.edu/SHE/Nursing/Programs/DNP-Program.aspx	A scholarly project, and handbook with competencies established by American Association of College of Nursing (AACN)	Faculty serving on Doctoral of Nursing Program Committee on an ongoing basis	Using student evaluations, the total program credits have been decreased from 41 to 33 credits while meeting the AACN DNP competencies. A Saturday per month and online format is being developed. Changes in the curriculum have been made to help the Dept. raise goals of cultural competency and inclusivity	New program	New program-review by CCNE 2016

Appendix: E-Forms

D.P.T.	Physical Therapy		yes	Website	http://www.uml.edu/Catalog/Graduate/Health-Environment/Physical-Therapy/Doctoral-Program.aspx	Licensure exam, graduation rates, job placement, surveys of graduates	Curriculum Committee, faculty at retreat and advisory board	Added content to courses in the areas of integumentary, pharmacology, imaging, wellness and community service	2010	American Physical Therapy Association (APTA); Commission on Accreditation of Physical Therapy Education (CAPTE)
Ph.D.	Physics	Radiological Sciences	Yes	Website	http://www.uml.edu/Sciences/physics/Programs-of-Study/Radiological-Sciences/Mission-and-Educational-Objectives.aspx	Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense	Faculty of Department of Physics review on ongoing Basis	Improved strategic planning and development of new courses	2009	AQAD

Appendix: E-Forms

Ph.D.	Physics	Medical Physics	Yes	Website	http://www.uml.edu/Catalog/Graduate/sciences/Medical-Physics/Default.aspx	Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense	Faculty of Department of Physics review on ongoing Basis		2012	Commission for Accreditation of Medical Physics Educational Programs (CAMP EP)
D.Eng./Ph.D.	Plastics Engineering		Yes	Website	http://www.uml.edu/Catalog/Graduate/Engineering/Plastics-Engineering/Doctoral-Programs.aspx	Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense	Faculty of Department of Chemistry review on ongoing Basis		2012	AQAD
Ph.D.	Polymer Science					Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense	Faculty affiliated with program in Polymer Science review on ongoing Basis		2012	AQAD
Ph.D.	Radiological Sciences					Comprehensive exam, Oral Research Proposal, Doctoral Thesis and Public Defense, seminars	Faculty affiliated with the Radiological Sciences Program review on ongoing basis		2012	Commission for Accreditation of Medical Physics Educational Programs (CAMP EP)

Appendix: E-Forms

ScD	Work Environment	Occupational and Environmental Hygiene	Yes			Comprehensive exam, Oral Research Proposal Dissertation and Public Defense, Annual doctoral student review by Dept. faculty, alumni survey, employer survey	Faculty of Department of Work Environment review on ongoing Basis at Department meetings, Graduate Committee	Reconfiguration of the curriculum with fewer options offered	2008	AQAD
MS	Accounting									AACSB
M.S.	Autism Studies				http://www.uml.edu/FAHSS/Psychology/Graduate/Autism-Studies.aspx	Supervisor evaluations	Graduate Program Committee	NA - New Program	2013	AQAD
M.S.	Biology	Biotechnology Biological Sciences,	Yes		http://www.uml.edu/Sciences/biology/Programs-of-Study/Graduate.aspx	Oral/written presentation of project or thesis research proposal to committee members; Oral defense of research project or thesis to thesis committee, university and outside community; Submission of publishable thesis; Submission of scientific research manuscript to peer reviewed journal; Submission of abstract for oral presentation at scientific meeting; Submission of poster presentation at professional scientific meeting; Submission of research grant proposal as principal investigator for internal or external funding; Demonstrated proficiency in oral and written communication skills by successful	Scientific grant proposal, manuscript, professional conference reviewers for peer reviewed proposals, publications and presentations at scientific meetings; Individual faculty and thesis committee members for projects and theses	Individual faculty members incorporate written student comments from course evaluations completed every semester; Biology Graduate Academic Policy Committee responds to new program suggestions, addresses plagiarism/disciplinary issues, and approves curriculum changes and use of graduate courses outside department for Biology MS curriculum; Faculty approved modifications in MS Biotechnology option and PSM Applied	2013	AQAD

Appendix: E-Forms

						completion of Professional Communication in Science and Technology course required of all master's degree candidates		Biotechnology option to provide greater flexibility and elective course selection; Outreach efforts with representatives/alumni from Pfizer, Genzyme, Abbott Labs, Bristol Myers Squibb, Natick Army Research Labs, Berg Biosystems and other biotechnology/pharmaceutical companies to foster research collaborations, internships, and develop on-site Biology graduate courses;		
M.S.	Biology	Professional Science Masters-	Yes			Oral/written presentation of project or thesis research proposal to committee members; Oral defense of research project or thesis to thesis committee, university and outside community; Submission of publishable thesis; Submission of scientific research manuscript to peer reviewed journal; Submission of abstract for oral presentation at scientific meeting; Submission of poster presentation at professional scientific meeting; Submission of	Scientific grant proposal, manuscript, professional conference reviewers for peer reviewed proposals, publications and presentations at scientific meetings; Individual faculty and thesis committee members for projects and theses Graduate Coordinator for all PSM internship documentation;	Individual faculty members incorporate written student comments from course evaluations completed very semester; Biology Graduate Academic Policy Committee responds to new program suggestions, addresses plagiarism/disciplinary issues, and approves curriculum changes and use of graduate courses outside department for	2013	AQAD

Appendix: E-Forms

						research grant proposal as principal investigator for internal or external funding; Demonstrated proficiency in oral and written communication skills by successful completion of Professional Communication in Science and Technology course required of all master's degree candidates	Coordinators for PSM Reflective Seminar	Biology MS curriculum; Faculty approved modifications in MS Biotechnology option and PSM Applied Biotechnology option to provide greater flexibility and elective course selection; Outreach efforts with representatives/alumni from Pfizer, Genzyme, Abbott Labs, Bristol Myers Squibb, Natick Army Research Labs, Berg Biosystems and other biotechnology/pharmaceutical companies to foster research collaborations, internships, and develop on-site Biology graduate courses;		
MS	Biomedical Engineering & Biotechnology					Oral/written presentation of project or thesis research proposal to committee members; Oral defense of research project or thesis to thesis committee, university and outside community; Submission of publishable thesis; Submission of scientific research manuscript to peer reviewed journal;	Scientific grant proposal, manuscript, professional conference reviewers for peer reviewed proposals, publications and presentations at scientific meetings; Individual faculty and thesis committee		2012	Commission for Accreditation of Medical Physics Educational Programs

Appendix: E-Forms

						Submission of abstract for oral presentation at scientific meeting; Submission of poster presentation at professional scientific meeting; Submission of research grant proposal as principal investigator for internal or external funding; Demonstrated proficiency in oral and written communication skills by successful completion of Professional Communication in Science and Technology course required of all master's degree;	members for projects and theses			ms (CAM PEP)
MBA	Business Administration	Accounting; Finance; Information Technology	Yes	Website	http://www.uml.edu/MSB/About-Us/Assurance-Learning-Center/GRAD-Assurance-of-Learning-Schedule.aspx	Written case analysis as well as electronic surveys where appropriate. 'Survey Monkey' is used to assess Team Leadership and Membership. Exit surveys, graduate exit survey, projects, alumni surveys	Random samples of student work are sent to external assessors (primarily Advisory Board members or other business professionals) ; Results are tabulated by the Dean's Office and; That data is shared with the GPC. Curriculum changes, if any, are suggested by the GPC	We have initiated a radically new graduate program that will refocus our Global Awareness. Increase in number of faculty, Name change to Manning School of Business	2008	AACSB
M.S.E	Chemical Engineering	Leadership				Thesis with oral defense	Faculty of Department of Chemical Engineering review on regular basis			AQAD

Appendix: E-Forms

MS	Chemistry	Analytical, biochemistry, organic, inorganic, physical chemistry, polymer science	No	NA	NA	Thesis Option with oral defense, scientific papers, laboratories, alumni survey	Faculty of Department of Chemistry review regularly, Graduate Curriculum Committee	Development of PSM programs in Chemistry	2011	AQAD
MS	Chemistry	Professional Science Masters-Pharmaceutical Biochemistry, Chemistry & Polymer Science	No	NA	NA	Professional Internship alumni survey	Graduate Chemistry Curriculum Committee		2011	AQAD
MSE	Civil and Environmental Engineering	Leadership; Environmental; Geoenvironmental; Geotechnical; Structural; Transportation								AQAD
M.S.	Clinical Lab Sciences		Yes	Website	http://www.um.edu/Catalog/Graduate/Health-Environment/Clinical-Lab-Nutritional-Sci/Default.aspx				2014	AQAD

Appendix: E-Forms

M.S.	Clinical Lab Sciences	PSM				Professional Internship			2014	AQAD
M.A.	Community Social Psychology		Yes	Student Practicum Manual		Supervisor evaluations	Graduate Program Committee	Revision of competencies	2013	AQAD
MSE	Computer Engineering					Masters' Thesis	Faculty of the Department of Electrical and Computer Engineering review on ongoing basis			AQAD
MS	Computer Science	Information Technology	Yes	Website	http://www.contiunged.uml.edu/degrees/MSIT.cfm	Master's thesis	Faculty of the Department of Computer Science review on an ongoing basis		2005	Scheduled for AQAD (2014). Will seek ABET accreditation instead
M.S.	Computer Science	Computational Mathematics, Bio/Chem Informatics	Yes	Website	http://www.uml.edu/Catalog/Graduate/Sciences/Computer-Science/Masters-Program.aspx	Master's thesis	Faculty of the Dept. of Computer Science review on an ongoing basis		2005	Scheduled for AQAD (2014). Will seek ABET accreditation instead
M.A.	Criminal Justice		Yes	Website	http://www.uml.edu/Catalog/Graduate/FAHSS/Criminal-Justice/Masters-Program.aspx	Masters' Thesis option, Alumni Survey, Student Exit Survey, Graduate Student Survey, Student evaluations of courses	Faculty of the Department of Criminal Justice review on ongoing basis, Graduate Curriculum Committee	Increased emphasis on online education, Development of a doctoral program	2009	AQAD

Appendix: E-Forms

M.Ed.	Curriculum and Instruction: Initial and Advanced Licensure Programs		Yes	Faculty list course goals and/or objectives syllabi which are housed on our website http://www.uml.edu/Education/Courses/Course-Syllabi.aspx and changed each semester to reflect the courses taught.	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/education/default.aspx	Key assignments in each program measure Content knowledge Pedagogical content knowledge; Professional and pedagogical knowledge and skills; Data from 6-8 assignments are gathered. Program culminates in a practicum which requires candidates to demonstrate their knowledge and skills and impact on student learning	Faculty of the Graduate School of Education. By program area, faculty examine the success of candidates in meeting the outcomes and explore areas for change in programs	Examples: The Initial Licensure master's programs, faculty adopted the TPA (teacher performance assessment) to measure effects on student learning which were not revealed by previous practicum experiences. Field work was integrated into all methods courses to more closely tie theory to practice	2009	NCATE
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Appendix: E-Forms

M.Ed and Ed.S	Curriculum and Instruction: Options in: Autism, Science Education, Special Education		Yes	NSTA for science education, website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/education/curriculum-instruction.aspx	The culminating course in the program – capstone – requires the candidates to complete a TEACHER WORK SAMPLE in which they design a unit of study, gather pre and post assessment data and analyze the success of their teaching in terms of student learning. Candidates must then reflect on changes needed for future curriculum design and instruction	Completer data are discussed by the GSE’s Program Leadership Team when a concern is raised by the Director of Accreditation	In order to ensure that all curriculum and instruction students achieve the learning outcomes, regardless of area of specialization, program faculty restructured the degree to include five common courses. 01.630 04.635 04.637 04.638 04.650 (capstone) http://www.uml.edu/Education/Programs-of-Study/Masters/Curriculum-Instruction.aspx	2009	NCATE
M.A.	Econ and Social Dev Regions	website		NCTM for mathematics education	http://www.uml.edu/FAHSS/Economic-Social-Development/About-Us.aspx	Thesis or Project.	Faculty affiliated with the Program in Economic and Social Development of Regions review on ongoing basis.			

Appendix: E-Forms

M.Ed. And Ed.S.	Educational Administration	Website	Yes	IRA for reading education	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/education-admin.aspx	Key assignments in each program measure content knowledge; Pedagogical content knowledge; Professional and pedagogical knowledge and skills. Data from 6-8 assignments are gathered. Program culminates in a year-long practicum for candidates seeking licensure as a principal. Program culminates in a capstone course for candidates not seeking licensure.	Leadership in Schooling faculty meet at least once a semester to ensure that their courses are meeting standards. Completer data for the new program are not yet available because of the timeline imposed by the Massachusetts Department of Elementary and Secondary Education	A group of principals has been recruited to act as Leadership Fellows to provide input on the currency of the program for preparing principal candidates. All courses have integrated real-world field experiences which prepare candidates for aspects of their role prior to the year-long practicum.	2009	NCATE
MSE	Electrical Engineering	Leadership; Optics		NCTE for English education						AQAD
MSE	Energy Engineering	Leadership; Nuclear; Solar		NCSS for history education						AQAD
MS	Environmental Studies	Atmospheric; Environmental; Geoscience;		ELCC for administrative leadership		Thesis	Thesis advisory committee		2010	AQAD
MS	Environmental Studies	Atmospheric; Environmental; Geoscience; PSM		ACEI for elementary education		Thesis	Thesis advisory committee		2010	AQAD

Appendix: E-Forms

M.S.	Health Informatics and Management	Health Management; Health Informatics	Yes	Website	http://www.uml.edu/Catalog/Graduate/Health-Environment/Community-Health-Sustainability/Master-of-Science.aspx	Capstone Project or Master's Thesis with Public presentation	Faculty of the Department of Community Health and Sustainability review on annual basis	Consolidated Health Care Database Design and Healthcare Database Development into a single course, redesigned Health Informatics into a more technical, theoretical course, redesigned Quantitative methods in Health Management into an applied statistics course	2004, presently undergoing AQAD review 2013	AQAD
M.S.	Innovation & Tech Entrepreneurship								2010 as new	AACSB
MS	Marine Sciences					Thesis option with public defense	Faculty affiliated with the Program in Marine Sciences review on regular basis			
M.S.	Mathematics	Applied & Computational; Industrial; Mathematics for Teachers; Probability & Statistics	Yes	Website	http://www.uml.edu/Catalog/Graduate/sciences/Mathematical-Sciences/Default.aspx	Thesis option	Faculty of the Department of Mathematical Sciences review annually. Graduate Curriculum Committee	Establishment of current options	2008	AQAD
M.S.E	Mechanical Engineering	Leadership								AQAD

Appendix: E-Forms

M.M.	Music Education	Teaching ; Community Music	Yes	Website	http://www.uml.edu/Catalog/Graduate/FAHSS/Music/Masters-Programs.aspx	Thesis and oral defense	Faculty affiliated with Music Education Program review	Increased efforts in recruitment. Addition of a Research in Music Education course and changes in core requirements	2003	NASM ; NCATE
M.S.	Nursing	Adult Psychiatric-Mental Health; Adult/gerontological nursing/family health nursing	yes	MS Program Student Handbook	http://www.uml.edu/Catalog/Graduate/Health-Environment/Nursing/Masters.aspx	Practicum Project National Certification Exam, alumni surveys, employer surveys, graduation exit surveys	Faculty affiliated with nursing programs review regularly at monthly MS/DNP Program	Content and objectives have been revised in some of the courses. Increased content in gerontology in the family health program	2006	CCNE
M.A.	Peace and Conflict Studies	Conflict Resolution; Organizational Leadership; Policy Analysis	yes		http://www.uml.edu/Catalog/Graduate/FAHSS/PACS/Masters.aspx		Portfolios are assessed by a faculty member. Each student presents a roundtable based on the portfolio for their peers and usually one other faculty member who provides feedback. The portfolios then become publicly available documents in the PCS library.	Portfolio results are reported to the PCS faculty . This is used by faculty as they plan courses and program elements. Portfolios will be reviewed as part of our periodic program review by external auditors. The portfolios have also been made available to the Dean’s Office for review as an informal look at our program		AQAD

Appendix: E-Forms

M.M.	Performance	Choral, Instrumental, conducting				Adjudicated recitals,	Faculty in the major	Addition of an Introduction to Graduate Studies course and changes in core requirement courses. Program phase out.	2003	NASM ;
M.S.	Physics	Optical Science				Thesis or Project with oral defense; comprehensive exam	Faculty affiliated with program review on ongoing basis			
M.S.E	Plastics	Leadership; Coatings & Adhesives; Fibers & Composites; Synthetic Fibers				Thesis option, cumulative examinations, proposal defense	Faculty affiliated with program review on ongoing basis			AQAD
M.S.	Radiological Science and Protection	Radiological Science and Protection (PSM)	Yes	Website	http://www.um.edu/Sciences/physics/Programs-of-Study/Radiological-Sciences/Mission-and-Educational-Objectives.aspx	Thesis or Project with oral defense; comprehensive exam, internship	Faculty affiliated with program review on ongoing basis, Physics Graduate Committee	Addition of BS/MS option	2010	AQAD , ABET

Appendix: E-Forms

M.S.	Physics, Radiological Science and Protection	Medical Physics	Yes	Website	http://www.uml.edu/Sciences/physics/Programs-of-Study/Medical-Physics/default.aspx	Thesis or Project with oral defense; comprehensive exam, alumni surveys, internship, employer surveys, technical presentations	Faculty affiliated with program review on ongoing basis, Physics Graduate Committee	Addition of BS/MS option	2009	Commission for Accreditation of Medical Physics Educational Programs (CAMP EP)
M.Ed and Ed.S	Reading and Language		Yes	Website	Learning outcomes are found at http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/education.aspx Standards are translated into learning outcomes on the syllabi which are published each semester on the GSE website	Key assignments in each program measure Content knowledge; Pedagogical content knowledge; Professional and pedagogical knowledge and skills. Data from 6-8 assignments are gathered. Program culminates in a practicum for candidates seeking licensure as a reading specialist. Program culminates in a capstone course for candidates completing the degree without licensure.	Data are submitted to Director of Accreditation, who with the Faculty Chair oversee the program and advise faculty of the changes needed in order to meet IRA and state standards. This occurs at the end of the practicum	The practicum experience has been restructured so that the online component is taught by the field supervisor to provide a more cohesive experience for candidates. Initially there was only 1 practicum, but a second practicum was added to meet the competency for literacy coach.	2009	NCATE
M.A.	Security Studies							New program	NA-new program	AQAD

Appendix: E-Forms

M.M.	Sound Recording Technology		Yes			Thesis and oral defense or Sound Recording Technology Project	Faculty affiliated with the Sound Recording Technology program review on a regular basis	Addition of course-Research in SRT and changes in core requirements	2003	NASM
M.S.	Work Environment	Cleaner Production and Pollution Prevention: Ergonomics & Safety; Epidemiology; (MS and PSM)	Yes	Website	http://www.uml.edu/Catalog/Graduate/Health-Environment/Work-Environment/Master-of-Science.aspx	Thesis or Project with oral defense	Faculty affiliated with the Department of Work Environment Review on a regular basis at Department meetings	Decrease in the number of options in the Master's program	2008	AQAD
M.S.	Work Environment	Occupational & Environmental Hygiene; all (MS and PSM)	Yes	website	http://www.uml.edu/Catalog/Graduate/Health-Environment/Work-Environment/Master-of-Science.aspx	Thesis or Project with oral defense, graduating student exit surveys, course objectives evaluation form, capstone portfolio, job placement, employer surveys	Faculty of the Department of Work Environment Review on a regular basis at Department meetings	Decrease in the number of options in the Master's program	2012	ABET Applied Science Accreditation Commission
B.A.	American Studies	General								AQAD
B.A.	American Studies	Thematic								AQAD

Appendix: E-Forms

B.S.	Biology	Biotechnology; Bioinformatics; ecology	Yes	Website	http://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/sciences/bio-sci.aspx				2013	AQAD
B.S.	Business Administration	Accounting, Entrepreneurship, Finance, International Business, Management, Management Information Systems, Marketing, Supply Chain and Operations Management	Yes	Website	http://www.uml.edu/Academics/Provost-office/Student-Learning-Outcomes/business/bus-admin-bs.aspx	Exit surveys, written case analysis, exams, presentations, projects alumni surveys, graduate exit surveys, e-portfolios	Department faculty	Increase in hiring of faculty and updating of technology, Change name to Manning School of Business	2009	AACSB
B.S.E.	Chemical & Energy Eng.	Biological, Nuclear, paper, Nano	Yes	Student Handbook, Website	http://www.uml.edu/Academics/Provost-office/Student-Learning-Outcomes/engineering/chemical.aspx	Capstone Project, employer survey, alumni survey, student work, senior class exit surveys, end of semester student outcomes survey	Reviewed by Department faculty on an annual basis	Increase selectivity on admission- Increase high school required overall GPA, increase high school math and science GPA, require high school physics and math. Increased number of faculty. Increased nuclear design content in the nuclear option.	2013	ABET

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B.S.	Chemistry	Forensic Science	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/sciences/chemistry.aspx	Senior project, presentations, Laboratory reports, alumni surveys	Undergraduate Curriculum Committee	Walk-in tutoring center, web site to assist in freshman laboratory courses	2011	AQAD
B.S.	Civil Engineering		Yes	Student Handbook	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/engineering/civil.aspx	Capstone Project, Graduating student exit survey, NCEES Fundamentals of Engineering Exam, Table 4-10 Dept. self study-Performance targets of 11 student outcomes, alumni survey	reviewed by Department of Civil Engineering	Following the review of the ABET site team, two changes have been made: the curriculum has been changed to add a new science course (Geology for Engineers) and the Program Education objectives have been re-framed. New strategies for data collection and assessment have been implemented.	2013	ABET
B.S.	Clinical Lab Sciences	Medical Laboratory Science	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/SHE/clinical-lab-nut-sciences.aspx	ACSP Board of Certification scores, graduate employer surveys, program evaluations by clinical instructors, student course evaluations, senior exit surveys	Program directors, Department faculty and chairperson	Change in format of senior seminar to improve exam scores by increasing emphasis on student responsibility and monitoring of student progress and determining student weaknesses	2010	NAAC LS

Appendix: E-Forms

B.S	Community Health	Community Health; Environmental Health	yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/SHE/comm-health-sustain.aspx	supervised practicum and service learning - alumni survey	undergraduate department faculty	Emphasis in freshman and sophomore courses on teaching methodology and assessment strategies that provide faculty with information on the students' capacity to apply course content in real world situations	2004	AQAD
B.S.E.	Computer Engineering		yes	Student Handbook	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/engineering/electrical-computer.aspx	Capstone Project, alumni surveys, course data, senior exit surveys, ABET assessment data	reviewed by Department of Electrical and Computer Engineering and members of Advisory Board	Increase selectivity on admission- Increase high school required overall GPA, increase high school math and science GPA, require high school physics and math	2013	ABET
B.S.	Computer Science	Bioinformatics; Robotics minor	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/sciences/computer-science.aspx		Reviewed by the Department of Computer Science faculty and members of the Industrial Advisory Board		2005	Scheduled for AQAD (2014). Will seek ABET accreditation instead
B.S.	Criminal Justice & Criminology	Corrections; Homeland Security; Information & Technology; Police; Research & Evaluation; Violence	Yes	Website	http://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/fahss/criminal-justice.aspx	Alumni Survey, Internship/field placement, Undergraduate exit survey, Student Exit Survey, Course evaluations	Undergraduate Program Committee		2009, 2011	AQAD, DHE

Appendix: E-Forms

B.A.	Economics		Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/economics.aspx				2005	AQAD
B.S.E.	Electrical Engineering		yes	Student Handbook	http://www.uml.edu/Catalog/Undergraduate/Engineering/Departments/Electrical-Computer-Engineering/policy/objectives.aspx	Capstone, senior exit surveys, alumni surveys, employer surveys, DWF rates, course grades	reviewed by Department of Electrical and Computer Engineering and members of Advisory Board	Increase selectivity on admission- Increase high school required overall GPA, increase high school math and science GPA, require high school physics and math. Institute a vigorous process for monitoring students who get grades below a C. Strengthened assessment process.	2013	ABET
B.S.E.T.	Electronic Engineering Technology	Electronic	yes	Website	http://continuinge.d.uml.edu/engtech/electronic_eng.htm	Completion of projects, laboratory performance, laboratory reports, oral presentations, and/or exams that assess performance criteria for each outcome. Alumni and employer surveys	Faculty, program coordinator -Uses Deming Cycle of continuous improvement	Improved rubrics for evaluating program outcomes	2011	ABET Technology Accreditation Commission (TAC)
B.A.	English	Creative Writing	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/english-creative-writing.aspx	Public reading of creative works, alumni surveys, portfolio assessment	Faculty affiliated with the Creative Writing program review on ongoing basis	Increases in full time faculty with less reliance on adjunct faculty	2007	AQAD

Appendix: E-Forms

B.A.	English	Journalism and Professional writing	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/english-journalism-professional-writing.aspx	Capstone, practica, alumni surveys, portfolio assessment	Faculty affiliated with the Journalism concentration review on ongoing basis.	Increases in full time faculty with less reliance on adjunct faculty	2007	AQAD
B.A.	English	Literature	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/english-literature.aspx	Semester long projects are presented at the Student Research Symposium, portfolio assessment, alumni survey	Faculty affiliated with the Literature concentration review on ongoing basis.	Increases in full time faculty with less reliance on adjunct faculty	2007	AQAD
B.A.	English	Theatre Arts	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/english-theatre-arts.aspx	Public theatrical production; practica alumni surveys, portfolio assessment	Faculty affiliated with the Theatre program review on ongoing basis	Increases in full time faculty with less reliance on adjunct faculty	2007	AQAD
B.S.	Environmental Health		Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/SHE/comm-health-sustain.aspx	Capstone practicum, percentage of students placed in jobs,	Reviewed by Faculty of Department of Environmental Health on an annual basis	Newly established program	2012	National Environmental Health Science and Protection Accreditation Council (EHAC)

Appendix: E-Forms

B.S.	Environmental Science	Atmospheric; Environmental; Geoscience	Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/science/env-sci-atmospheric.aspx	Senior research project, internships, alumni survey	Department faculty	Development of a Master's degree program	2010	AQAD
B.S.	Exercise Physiology		Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/SHE/exercise-phys.aspx	Clinical Practicum and Senior Seminar, Employer feedback, Alumni surveys	Dept. Curriculum faculty review the evidence and present it to full faculty for review	Entry level DPT/EP program: The GPA needed to move into the DPT program was determined by analysis of undergraduate GPAs and success in DPT program of graduates from recent years	2009	AQAD
B.F.A.	Fine Arts	Art History; Graphic Design				Alumni survey, senior capstone, juried exhibitions, senior studio portfolio review	Department faculty	Increases in the number of faculty,	2007	National Association of Schools of Art and Design (NASAD)
B.A.	History		Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/history.aspx	Research papers and projects, oral presentations, exams, alumni survey	Department faculty		2007	AQAD
B.S.	Information Technology								2008	AQAD

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B.L.A	Liberal Arts	Multiple Concentrations	No			Internships, alumni survey	Curriculum committee	Graduate Exit Survey	2007	AQAD
B.A.	Mathematics		Yes	website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/sciences/math.aspx	Senior Seminar: Capstone project	Faculty in the Department of Mathematics, Undergraduate Curriculum Committee	Extensive changes to the calculus sequence have been based on success rates in calculus courses	2009	AQAD
B.S.	Mathematics	Applied Computation, Bioinformatics, Business Applications, General, Probability Statistics, Teacher	Yes	website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/sciences/math-applied.aspx	Senior Seminar: Capstone project	Faculty of the Department of Mathematics review on an annual basis, Undergraduate Curriculum Committee	Extensive changes to the calculus sequence have been based on success rates in calculus courses	2009	AQAD
B.S.E.	Mechanical Engineering		Yes	Student Handbook, Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/engineering/mechanical.aspx	Capstone project and presentation, alumni surveys, employer surveys, senior survey, course outcomes survey	Faculty of Department of Mechanical Engineering review on Annual basis	Increase selectivity on admission- Increase high school required overall GPA, increase high school math and science GPA, require high school physics and math. Content on statistics was increased. Assessment process was refined. Refined student outcomes. Added physics to science courses	2013	ABET

Appendix: E-Forms

B.S.E.T.	Mechanical Engineering Technology	Mechanical	yes	Website	http://continuing.d.uml.edu/engtech/mechanical_eng.htm	Completion of projects, laboratory performance, laboratory reports, oral presentations, and/or exams that assess performance criteria for each outcome. Alumni and employer surveys	Faculty, program coordinator -Uses Deming Cycle of continuous improvement	Improved rubrics for evaluating program outcomes	2011	ABET Technology Accreditation Commission (TAC)
B.A.	Modern Languages		Yes	website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/modern-languages.aspx	Internships, research papers and projects, oral presentations, alumni survey	Department faculty	Graduate exit survey	2009	AQAD
B.M	Music Business					Internship. Job placement rates	Reviewed by faculty affiliated with the music business program		2003	NASM
B.M	Music Studies					Panel/jury evaluation each semester, recitals with adjudication, composition projects, alumni survey	Faculty teaching in the music program	Course syllabi revisions for clarity	2003	NASM
B.S.	Nursing	Website	Yes	Website & Handbook	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/SHE/nursing.aspx	Practicum, licensure exam, alumni surveys, employer satisfaction surveys	Undergraduate program Committee in the Department	Strategies for Success has been added as a first year seminar	2006	CCNE

Appendix: E-Forms

B.S.	Nutritional Sciences								New program	AQAD
B.A.	Peace and Conflict Studies									AQAD
B.M	Performance	Instrumental; Vocal					Faculty in the Department	Revisions in course syllabi and clarity in pedagogy throughout the curriculum. Addition of Instrumental Pedagogy course	2003	NASM
B.A.	Philosophy	Communications and critical thinking	yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/philosophy.aspx				2007	AQAD
B.S.	Physics	Photonics	yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/sciences/physics.aspx	Capstone Project and ETS Major Field Test, Laboratory work	Faculty in the Physics Department	Active strategic planning with new course offerings	2009	AQAD

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B.S.	Physics	Radiological Health Physics	yes	Website	http://www.uml.edu/Sciences/physics/Programs-of-Study/Radiological-Sciences/Mission-and-Educational-Objectives.aspx	Capstone project and internship, alumni surveys, employer surveys, exit interviews	Faculty of Department of Physics		2009	ABET- Applied Science Accreditation Commission
B.S.E.	Plastics Eng		Yes	website & handbook	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/engineering/plastics.aspx	Capstone project and presentation, employer satisfaction surveys, alumni surveys, performance indicators of student outcomes assessment Table 3-2 of ABET self study	Faculty of Department of Plastics engineering annually	Added Co-op program based on student, alumni and advisory Board Increase selectivity on admission- Increase high school required overall GPA, increase high school math and science GPA, require high school physics and math. Revised assessment and continuous quality improvement process.. Revised pre-requisites of courses	2013	ABET - 2013
B.A.	Political Science		Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/political-science.aspx	Practicum, Alumni survey	Department faculty	Introduction of freshman introduction to political science course for earlier connection to major. Strengthened advising program.	2010	AQAD

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B.A.	Psychology		Yes	Student Handbook Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/psychology.aspx	Under development	Undergraduate Program Committee	Ongoing revision of research sequence; establishment of expectations by course level	2013	AQAD
B.A.	Sociology		Yes	Website	http://www.uml.edu/Academics/provost-office/Student-Learning-Outcomes/fahss/sociology.aspx	Practicum experience, research project, directed study or thesis, alumni survey	Faculty in the Department	Development and approval of new courses	2013	AQAD
B.M	Sound Recording Technology					Internship, job placement rates, feedback from alumni	Faculty in the program	Revisions in course syllabi	2003	NASM

Option E1: Part b. Inventory of Specialized and Program Accreditation

(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.). *	(6) Date and nature of next scheduled review.
Electronic Engineering Technology (BS) Program- Accreditation Board for Engineering and Technology (ABET) Technology Accreditation Commission (TAC)	August 3, 2011 Accredit	No issues identified	Completion of projects, laboratory performance, laboratory reports, oral presentations, and/or exams that assess performance criteria for each outcome. Alumni and employer surveys	September 30, 2015 Comprehensive general review
Mechanical Engineering Technology (BS)-ABET TAC	August 3, 2011 Accredit	No issues identified	-Projects -Laboratory performance -Laboratory reports -Oral presentations and/or exams that assess performance criteria for each outcome -Alumni and employer surveys	September 30, 2015 Comprehensive general review

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<p>Civil Engineering Technology (BS)-ABET TAC</p>	<p>August 3, 2011</p> <p>Accredit</p>	<p>-Proposed plan for attainment of discipline specific outcomes is incomplete. Assessment, evaluation, and improvement processes must be demonstrated</p> <p>-Must demonstrate that faculty is adequate to provide program leadership, continuity, proper frequency of course offerings, appropriate levels of student-faculty interaction, and effective student advising and counseling</p>	<p>-Projects</p> <p>-Laboratory performance</p> <p>-Laboratory reports</p> <p>-oral presentations and/or exams that assess performance criteria for each outcome</p> <p>-Alumni and employer surveys</p>	<p>September 30, 2012</p> <p>Report to describe actions to correct concerns</p> <p>2015</p>
<p>Civil Engineering (BS)-ABET Engineering Accreditation Commission (EAC)</p>	<p>2012</p> <p>Accredit</p>	<p>-Clarity of program educational objectives</p> <p>-Engineering content in basic science course</p>	<p>Table 4-10 Self Study-Performance Targets of 11 Student Outcomes</p> <p>-Capstone design portfolio</p> <p>-Graduating student exit survey</p> <p>-NCEES Fundamentals of Engineering (FE) exam</p> <p>-Employment rate</p> <p>-Alumni survey</p> <p>-Traditional faculty evaluations</p> <p>-GPA</p> <p>-Individual course surveys</p>	<p>2018</p>

Appendix: E-Forms

<p>Computer Engineering (BS) ABET EAC</p>	<p>2012 Accredit</p>	<p>-Commended on the assistive technology program that serves the community -Completion of pre-requisites of courses -Collection and evaluation of data to complete the continuous improvement cycle -Regular, systematic assessment of program educational objectives and student outcomes</p>	<p>-Alumni Survey -Senior exit surveys -Course data -ABET Assessment data -DWF rates -Course grades</p>	<p>2018</p>
<p>Mechanical Engineering (BS) ABET EAC</p>	<p>2012 Accredit</p>	<p>-Sustainability of rich integrated sequence of hands-on experiences in using a design-build-test framework -Continuous improvement based on the systematic utilization of assessment results -Documentation and stable delivery of the mathematics portion in the engineering courses -Student faculty ratio in relation to increase in student enrollments</p>	<p>-Alumni Surveys -Employer surveys -Capstone presentation and reports -Senior survey -Course outcomes survey -FE Exam -Course indicators</p>	<p>2018</p>
<p>Chemical Engineering (BS) ABET EAC</p>	<p>2012</p>	<p>-Impact of program growth on faculty and staff time and future impact on meeting student needs</p>	<p>-Employer Survey -Alumni Survey</p>	<p>2018</p>

Appendix: E-Forms

	Accredit		<ul style="list-style-type: none"> -Student Work -Senior class exit surveys -End of semester student outcomes surveys 	
Chemical Engineering-Nuclear Option (BS) ABET EAC	2012 Accredit	<ul style="list-style-type: none"> -Capstone dedicated to nuclear engineering -Impact of program growth on faculty and staff time and future impact on meeting student needs 	<ul style="list-style-type: none"> -Employer Survey -Alumni Survey -Student Work -Senior class exit surveys -End of semester student outcomes surveys -Capstone Design Project 	2018
Plastics Engineering (BS) ABET EAC	2012 Accredit	<ul style="list-style-type: none"> -Gathering of data to assess student outcomes -Use of assessment results in continuous improvement. -Completion of pre-requisites to courses -Graduate student involvement in periodic review and revision of educational objectives 	<ul style="list-style-type: none"> -Table 3-2 Self Study: 18 performance indicators of student outcomes -Employer satisfaction -Alumni Surveys 	2018

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<p>Electrical Engineering ABET EAC</p>	<p>2012 Accredit</p>	<ul style="list-style-type: none"> -Commended on the assistive technology program that serves the community -Completion of pre-requisites of courses -Collection and evaluation of data to complete the continuous improvement cycle 	<ul style="list-style-type: none"> -Senior exit surveys -Alumni Survey -Employer survey -DWF rates -Course grades, 	<p>2018</p>
<p>Work Environment- MS in Occupational and Environmental Hygiene ABET Applied Science Accreditation Commission</p>	<p>2012 Accredit</p>	<ul style="list-style-type: none"> -Process for review of educational objectives -Process for review and revision of student outcomes -Assessment of educational objectives and student outcomes -Replacement of retiring faculty -Budgeting process for supplies and equipment 	<ul style="list-style-type: none"> -Graduating student exit surveys -Course survey forms -Alumni surveys -Faculty evaluation of student work -Course objectives evaluation form -Capstone portfolio evaluations -Job placement -Employer survey -Certified Industrial Hygiene (CIH) Exam 	<p>2017</p>
<p>Business- Baccalaureate in</p>	<p>2009</p>	<p>-Assurance of learning</p>	<p>-Exit surveys</p>	<p>2014</p>

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<p>Business Administration Association to Advance Collegiate Schools of Business (AACSB International)</p>	<p>Accredit</p>	<p>-Definitions of categories of faculty including academically qualified, professionally qualified, and participating and supporting faculty</p>	<p>-Written case analysis -Exams -Presentations -Projects -Alumni survey -Graduate Exit Survey -E-Portfolios</p>	
<p>Business- Masters in Business Administration (AACSB International)</p>	<p>2009 Accredit</p>	<p>-Assurance of learning -Definitions of categories of faculty including academically qualified, professionally qualified, and participating and supporting faculty</p>	<p>-Exit surveys -Written case analysis -Exams -Presentations -Projects -Alumni survey -Graduate Exit Survey</p>	<p>2014</p>
<p>Business- Masters in Management Science in Manufacturing (AACSB International)</p>	<p>2009 Accredit</p>	<p>-Assurance of learning -Definitions of categories of faculty including academically qualified, professionally qualified, and participating and supporting faculty</p>	<p>Exit surveys -Written case analysis -Exams -Presentations</p>	<p>2014</p>

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			<ul style="list-style-type: none"> -Projects -Alumni survey -Graduate Exit Survey 	
<p>Physical Therapy- Doctoral Program in Physical Therapy (DPT)</p> <p>Commission on Accreditation of Physical Therapy Education (CAPTE)</p>	<p>2010</p> <p>Accredit</p>	<ul style="list-style-type: none"> -Equity of workload assignments -Contemporary expertise of faculty -Administrative and secretarial support -Adequacy of office space -Ongoing scholarly agendas of faculty -Supplemental activities for students on probation -Mechanisms for maintaining current clinical education files 	<ul style="list-style-type: none"> -Licensure exam (National Physical Therapy Association (NPTE)) -Employment Rate -Graduating student surveys, -Graduation rates 	<ul style="list-style-type: none"> -Progress Compliance Report by 2012 -Self Study Report and on-site visit 2020
<p>Nursing- BS Program in Nursing</p> <p>Commission for Collegiate Nursing Education (CCNE)</p>	<p>2006</p> <p>Accredit</p>	<ul style="list-style-type: none"> -Sufficiency of fiscal and physical resources that are reviewed, revised, improved as needed -Sequencing of courses -Licensing exam pass rates 	<ul style="list-style-type: none"> Licensure exam (National Council Licensure Examination for RNs – NCLEX-RN), alumni surveys, employer satisfaction 	<ul style="list-style-type: none"> Continuous improvement progress report- 2011 Comprehensive self study and review – 2016
<p>Nursing-MS Program in</p>	<p>2006</p>	<ul style="list-style-type: none"> -Sufficiency of fiscal and physical resources that are reviewed, revised, 	<ul style="list-style-type: none"> Certification exam (American Academy of Nurse Practitioners 	<ul style="list-style-type: none"> Continuous improvement

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<p>Nursing</p> <p>-Option in Adult/ Gerontological Nursing</p> <p>-Option in Psychiatric/Mental Health Nursing</p> <p>-Option in Family Health Nursing</p>	<p>Accredit</p>	<p>improved as needed</p> <p>-Clarity of specific course content in syllabi</p> <p>-Sequencing of courses</p>	<p>(AANP) or American Nurses Credentialing Center (ANCC), alumni surveys, employer satisfaction surveys</p>	<p>progress report- 2011</p> <p>Comprehensive self study and review – 2016</p>
<p>Art- Art and Design (BFA)</p> <p>-National Association of Schools of Art and Design (NASAD)</p>	<p>2006</p> <p>Accredit</p>	<p>-Titling of program</p> <p>-Exhibition space</p> <p>-Studio equipment</p> <p>-Faculty retention</p> <p>-Strategic planning</p> <p>-Technical support</p> <p>-Student access to facilities</p> <p>-Student art work</p> <p>-Currency of curriculum</p> <p>-Student advising</p>	<p>-Alumni Survey</p> <p>-Senior Capstone</p> <p>-Juried exhibitions</p>	<p>2014</p>
<p>Clinical Laboratory and Nutritional Sciences- Medical Laboratory Sciences</p>	<p>2010</p>	<p>-No issues identified</p>	<p>-Student Exit Survey</p> <p>-Employer Survey</p> <p>-National Credentialing Agency</p>	<p>2016</p>

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(BS) National Accrediting Agency for Clinical Laboratory Sciences (NAACLS)	Accredit		for Laboratory Personnel (NCA) Exam -Alumni Survey -Graduation Rates -Job Placement Rates	
Music- Performance (BM) National Association of Schools of Music (NASM)	2005 Accredit	-Improvisation -Adequacy of Equipment -Adequacy of recruiting materials -Understanding of musical forms -Fundamentals of pedagogy	-Panel/jury evaluation each semester -Recitals with adjudication -Composition projects	2014
Music-Sound Recording Technology (BM) NASM	2005 Accredit	-Improvisation -Understanding of musical forms	-Job placement rates -Alumni Surveys	2014
Music- Music Business (BM) NASM	2005 Accredit	-Improvisation -Understanding of musical forms	-Internship	2014
Music-Music Studies (BM)	2005	-Improvisation	-Panel/jury	2014

Appendix: E-Forms

NASM	Accredit	-Understanding of musical forms -Functional knowledge of voice -Functional knowledge of wind, string, and percussion instruments	evaluation each semester -Recitals with adjudication -Composition projects	
Music-Sound Recording Technology (MM) NASM	2005 Accredit	-Enrollments -Adequacy of recruiting materials -Percentage of courses that are graduate courses	-Comprehensive review Thesis or project	2014
Graduate School of Education- Graduate Programs in Education National Council for the Accreditation of Teacher Education (NCATE)	2010 Accredit	-No issues identifiedS	-MTEL Exam (MA Tests for Educator Licensure) -Alumni Survey -Action Research Project -Case Study/Action Plan -MA Preservice Performance Assessment -Mentor Teacher Survey -Employer Survey	2016
Community Health and Sustainability Environmental Health (BS) National Environmental Health Science and	2012 Accredit	-Graduation of students from the program -Formalization of an advisory committee	-Number of graduates receiving the B.S. degree -Percentage of graduates remaining in Massachusetts	2016

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Protection Accreditation Council (EHAC)			after graduation -Percentage of graduates placed in jobs	
Physics and Applied Physics- MS in Medical Physics Commission for Accreditation of Medical Physics Educational Programs (CAMPEP)	2012 Accredit	-Number of physics faculty and reduction of teaching loads -Funding to support all PhD students -Dedicated Medical Physics TAs -Administrative support	-Thesis -GPA	2015
Physics and Applied Physics- PhD in Physics, Radiological Sciences- Medical Physics Concentration CAMPEP	2012 Accredit	-Number of physics faculty and reduction of teaching loads -Funding to support all PhD students -Dedicated Medical Physics TAs -Administrative support	-Dissertation -Qualifying Comprehensive Examination -Capstone Project -GPA	2015
PhD in Biomedical Engineering and Biotechnology (BMEBT), Medical Physics Option CAMPEP	2012 Accredit	-Number of physics faculty and reduction of teaching loads -Funding to support all PhD students -Dedicated Medical Physics TAs -Administrative support	-Dissertation -Qualifying Comprehensive Examination -Capstone Project -GPA	2015
Physics and Applied Physics- BS in Radiological	2009	-Assessment of program objectives -Assessment of program outcomes	-GPA -Capstone project	2017

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<p>Health Physics ABET Applied Science Accreditation Commission (ASAC)</p>	<p>Accredit</p>	<ul style="list-style-type: none"> -Use of assessment data for continuous quality improvement -Radiation detection and dosimetry equipment -Student computers 	<ul style="list-style-type: none"> -Laboratory reports -Internship -Alumni Surveys -Employer surveys -Exit interviews 	
<p>Physics and Applied Physics- MS in Radiological Sciences and Protection ABET Applied Science Accreditation Commission (ASAC)</p>	<p>2009 Accredit</p>	<ul style="list-style-type: none"> -Assessment of program objectives -Assessment of program outcomes -Use of assessment data for continuous quality improvement -Radiation detection and dosimetry equipment -Student computers -Course waiver process 	<ul style="list-style-type: none"> -Thesis or project -Laboratory reports -Internship -Technical presentations -Alumni Surveys -Class grades -Employer surveys 	<p>2017</p>

(The S-series) Documenting Student Success

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.

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Form S1. RETENTION AND GRADUATION RATES						
Student Success Measures/ Prior Performance and Goals	3 Years Prior FY2010	2 Years Prior FY2011	1 Year Prior FY2012	Most Recent Year FY2013	Goal for FY2014	
IPEDS <u>Retention</u> Data						
Associate degree students	--	--	--	--	--	
Bachelors degree students	81%	78%	79%	81%	82%	
IPEDS <u>Graduation</u> Data						
Associate degree students	--	--	--	--	--	
Bachelors degree students	53%	51%	50%	54%	55%	
Other Undergraduate Retention Rates (1)						
a	First-time, Part-time Bachelors	47%	39%	50%	44%	46%
b	Full-time Transfers	77%	79%	78%	79%	80%
c	Female	83%	79%	83%	86%	86%
d	Male	79%	78%	77%	78%	80%
e	Minority	83%	78%	81%	82%	82%
f	PELL-Grant Eligible **	79%	80%	80%	82%	82%
g	Veterans *	In progress				
Other Undergraduate Graduation Rates (2)						
a	Five-Year	48%	45%	46%	49%	--
b	Four-Year	29%	29%	30%	29%	--
c	4-Year Graduation Rate of Upper-Level Transfer Students	65%	77%	65%	70%	72%
d	Female – 6 year	55%	60%	58%	61%	62%
e	Male – 6 year	51%	46%	45%	50%	52%
f	Minority – 6 year	45%	40%	44%	48%	50%

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g	Veterans*	In progress				
h	Athletes	58%	50%	69%	73% (prelim)	73%
i	PELL-Grant Eligible **	In progress				
Graduate programs						
Retention rates first-to-second year (3)						
Graduation rates @ 150% time (4)						
Median Semesters to Degree ^a						
Master’s (Overall)		5.0	5.0	5.0	n/a	5.0
Doctorate (Overall)		10.0	8.0	9.0	n/a	9.0
Distance Education						
Course completion rates (5)		In progress				
Retention rates (6)						
Graduation rates (7)						
Branch Campus and Instructional Locations						
Course completion rate (8)		n/a	n/a	n/a	n/a	n/a
Retention rates (9)		n/a	n/a	n/a	n/a	n/a
Graduation rates (10)		n/a	n/a	n/a	n/a	n/a
Definition and Methodology Explanations						
1	a) IPEDS b) UMPO Student Profile c), d) and e) CSRDE submissions (various years)					
2	a) and b) IPEDS c) UMPO Student Profile d), e) and f) CSRDE submissions (various years) h) NCAA submissions (various years)					
3						
4						
5						
6, 7	Calculation of online students’ success is the subject of a study scheduled to be carried out in Summer 2013 by all UMass campuses, at the direction of UMPO IR.					
8, 9,10	Not Applicable					
* See page 9 for methodology.						

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** See page 10 for methodology.
 † See page 11 for methodology.
^a See page 11 for details by degree awarded.

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 (2013)	Goal for 2014	
Success of Students Pursuing Higher Degree: As of May, 2013						
1	Graduate degrees earned by Bachelor’s degree recipients	Not yet available	14% (09/10 recipients)	8% (10/11 recipients)	~1% (11/12 recipients)	15%
2	Graduate school attendance rate by Bachelor’s degree recipients	Not yet available	38% (09/10 recipients)	33% (10/11 recipients)	28% (11/12 recipients)	30%
Institutions attended include: Arizona State University; Bentley University; Boston University; California Institute of Technology; Iowa State University; Kaplan University; Massachusetts Institute of Technology; Northeastern University; Princeton University; Salem State University; Simmons College; Southern New Hampshire University; Suffolk University; Tufts University; Universities of Colorado, Connecticut, Illinois at Chicago, Massachusetts-Boston, Massachusetts-Lowell, Pittsburgh, Southern California, and Wisconsin – Madison; and Yale University.						
Definition and Methodology Explanations						
Source: Office of Institutional Research, National Student Clearinghouse.						
Rates at Which Graduates Pursue Mission-Related Paths (e.g., Peace Corps, Public Service Law)						
1	Gilder-Lehrman Institute of American History’s History Scholar Award ^a				1 (2013)	
2	Portz Scholar ^b		1 (2011)			
3	Proposal Acceptance - University of Michigan's Interuniversity Consortium for Political and Social				1 (2013)	

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	Research ^c					
4	Benjamin A. Gilman International Scholarship	7 Recipients (2010-2012) and 1 Alternate (2011)				
5	Fulbright Scholar		1 (2011)			
6	APsia Harold W. Rosenthal Fellowship for public policy			1 (2012)		
7	APsia/Japan Foundation Center for Global Partnership Japan Travel Program for Future U.S. Leaders			1 (2012)		
8	Bachelor’s degree recipients who have accepted an offer of employment at time of graduation. ^d				20%	
Definition and Methodology Explanations						
<p>^a 2013 graduate was one of 15 students nationally to receive the Gilder-Lehrman Institute of American History’s History Scholar Award</p> <p>(Source: Commencement press release).</p> <p>^b One of three Honors Students in the country recognized nationally by the National Collegiate Honors Council in 2011</p> <p>(Source: http://nchchonors.org/public-press/officers-committees/nchc-committees/awards-grants/nchc-portz-scholars-recipients/).</p> <p>^c One of 12 proposals accepted nationwide for 2013 ICPSR summer program (Source: Professor Buzawa).</p> <p>^d Career Services Graduating Student Survey 2013, self-reported sample of 794 Bachelor’s degree recipients.</p>						
Rates at Which Students Are Successful in Fields for Which They Were Not Explicitly Prepared						
1	<i>NOT APPLICABLE</i>					
Documented Success of Graduates Achieving Other Mission-Explicit Achievement (e.g., Leadership, Spiritual Formation)						
1						
2						
Definition and Methodology Explanations						

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Other (Specify Below)	
1	UMass Lowell was recognized by the Carnegie Foundation for the Advancement of Teaching for its "Curricular Engagement and Outreach and Partnerships."
2	UMass Lowell was included on President Obama's 2010 Higher Education Community Service Honor Roll with Distinction.
Definition and Methodology Explanations	
Source: UMass Lowell 2020, Report Card for 2012	

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Form S3. LICENSURE PASSAGE AND JOB PLACEMENT RATES						
		3 Years Prior	2 Years Prior	1 Year Prior	Most Recent Year (2013)	Goal for 2014
State Licensure Passage Rates *						
1	Massachusetts Tests for Educator Licensure [MTEL], 139/139	90%	100%	100%	TBD	100%
2						
3						
4						
5						
National Licensure Passage Rates *						
1	National Physical Therapy Examination [NPTE], 73/74	100%	100%	96.7%	TBD	100%
2	National Council Licensure Examinations (NCLEX), 251/255	95%	86%	90%	93% (1 st quarter results)	95%
3	Fundamentals of Engineering Exam Annual results; [natl avg] 40/262 ^a	91% [78%]	91% [77%]	71% [78%]	TBD	≥80%
4						
5						
Job Placement Rates **						
1						
2						
3						

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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>					
<p>Institutional Notes of Explanation</p>					
a	<p>The Fundamentals of Engineering (FE) exam is a required preliminary step for licensure as a Professional Engineer; most engineering disciplines do NOT require Professional Licensure in order to practice except for Civil Engineering, and as a result the FE exam is taken primarily by Civil Engineering students (46 total BSCE grads in 11-12).</p>				
b					
c					
d					
e					
f					

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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						
Placement Rates **						
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
* 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						

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years.

Form S1, "Retention and Graduation Rates"

Methodology for Creating "Veteran Students" Cohort

In consultation with the Office of Veterans Services, the population for a given year of entry was determined to be those students who met at least one of the following criteria:

1. have been awarded VA benefits;
2. have a military status;
3. receive Veterans waivers through the Office of Student Financial Services; or,
4. receive third-party aid through the Office of Student Financial Services.

Beginning with Fall 2012, with the exception of third-party aid, this data is accurate and consistently-maintained within the student administrative software system. Prior years' data is less reliable, making the calculation of graduation rates ill-advised. Further, since third-party waivers are processed by the Office of Student Financial Services off-line, it is not possible to identify all veteran students that have received aid in previous years. Finally, cohort membership in a given year will ultimately be dependent upon veterans identifying themselves as such to the University. For this reason it is possible that the present analysis underrepresents the number of veterans among the University's student population.

Methodology for Creating "Pell-Grant Eligible" Cohort

A given year's cohort of Pell-eligible students was created based upon those students in the first-time, full-time, degree-seeking cohort who were determined by Financial Aid to be eligible for a federal Pell grant. Their one-year retention rates were calculated according to the same methodology as that used for the overall Fall cohort of which they are a member. Because Pell-eligibility can change from year to year, the methodology for calculating a six-year graduation rate for these students continues to be refined.

Form S1, "Retention and Graduation Rates"**Methodology for Calculating Graduate Student Time-to-Degree**

Completion data was queried for each fiscal year to identify the recipients of graduate degrees. These students' admit term for the degree awarded in the specific fiscal year was found. The number of active terms between the admit term and completion term was calculated for each student's enrollment in each graduate program in question. Results were disaggregated by degree level, and within each level, by specific type of degree awarded. The median number of terms for each degree level, and within each for each degree award, was calculated. In a given year, there were three terms in which a graduate student could possibly be registered: Fall, Spring, and Summer (either summer term or trimester).

Median Semesters to Degree

	AY 2010	AY 2011	AY 2012
Master's (Overall)	5.0	5.0	5.0
CAGS/Ed.S.	5.5	6.0	8.0
MA	4.0	4.0	4.0
MBA	6.0	6.0	7.0
M.Ed.	5.0	5.0	4.0
MM	5.0	5.0	4.5
MS	4.0	4.0	4.0
MSE	5.0	4.0	4.0
Doctorate (Overall)	10.0	8.0	9.0
DNP	n/a	n/a	6.0
DPT	8.0	8.0	8.0
Ed.D.	14.0	16.0	15.0
En.D.	n/a	n/a	5.0
Ph.D.	10.0	7.0	10.0
Sc.D.	13.0	9.5	13.0

Auditor's letter



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Report of Independent Certified Public Accountants on Accompanying Information

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the
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Massachusetts

We have audited, in accordance with auditing standards generally accepted in the United States of America (US GAAS) established by the American Institute of Certified Public Accountants and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the University of Massachusetts as of and for the years ended June 30, 2012 and 2011, and our report dated December 19, 2012, which is presented in the preceding section, expressed an unqualified opinion on those financial statements. Our audits were performed for the purpose of forming our opinions on these financial statements that collectively comprise the University's financial statements.

Our audits were conducted for the purpose of forming an opinion on the basic financial statements of the business-type activities and the aggregate discretely presented component units of the University of Massachusetts (the "University") taken as a whole. The supplemental information listed in the accompanying index is presented for purposes of additional analysis, rather than to present the financial position, results of operations, and cash flows of the individual entities, and is not a required part of the basic 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 consolidated financial statements. The information has been subjected to the auditing procedures applied in the audits of the basic financial statements and certain additional procedures. These additional procedures included comparing and reconciling the information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America established by the American Institute of Certified Public Accountants. In our opinion, the consolidating information is fairly stated, in all material respects, in relation to the consolidated financial statements as a whole.

Boston,
Massachusetts
December 19,
2012

Members of NEASC Self Study Committee
University of Massachusetts Lowell NEASC Standard Sub-Committees (11/28/2012)

Standard 1: Mission & Purpose

Don Pierson – Co-Chair	Education
Bob Giles- Co-Chair	Sciences
Mary Elizabeth Hooker	Health Sciences
Christine Dunlap	Executive Director of Strategic Communications (retired 12/12)
Valerie Kijewski	Business
Christopher Niezrecki	Engineering
James Coates	FAHSS
James Tarr	Student Trustee (graduated 5/12)
Phil Jeffroy	Student Trustee (9/12-)

Standard 2: Planning and Evaluation

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Fred Martin – Co-Chair	Sciences
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Pat Yates	Career Services
Erin Fleury	Graduate Student
Steven Tello	Business
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Christine Dunlap	Executive Director of Strategic Communications (retired 12/12)
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Ramaswamy Nagarajan	Engineering

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Eve Buzawa – Co-Chair	FAHSS & Trustees
Lauren Turner	Associate Vice Chancellor of Human Resources
Jay Simmons	Education
Kenneth Levasseur	Sciences
Stuart Friedman	Business
Robert Tamarin	Sciences (sabbatical 2012-2013)
Corey Lanier	Undergraduate Student

Standard 4: Academic Programs

Undergrad, General Education, Integrity

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Marie Frank – Co-Chair	FAHSS
James Whitten	Sciences
Martin Margala	Engineering
David Kazmer	Engineering
Jacqueline Dowling	Health Sciences
Arthur Mittler	Sciences
Scott Latham	Business

Appendix: Members of NEASC Self-Study Committee

Whitley Kaufman	FAHSS
James Canning	Sciences
Christopher Carlsmith	FAHSS
Paula Haines	FAHSS
Pauline Carroll	Online & Continuing Education
Nancy Deluca	Sciences

Graduate

James Sherwood – Co-Chair	Engineering
Jim Egan – Co-Chair	Sciences
Alkim Akyurtlu	Engineering
Paul Tracy	FAHSS
Eugene Rogers	Health Sciences
Michaela Colombo	Education
Danielle Carkin	Student, President of GSA
Partha Chowdhury	Sciences
Sanjeev Manohar	Engineering
Holly Yanco	Sciences

Assessment

Richard Siegel – Co-Chair	FAHSS
John McKelliget – Co-Chair	Engineering
Marvin Stick	Sciences
David Lustick	Education
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Cynthia Ferrara	Health Sciences

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Pradeep Kurup – Co-Chair	Engineering
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Alfred Donatelli	Engineering
Kristin Nielson	FAHSS
Xiaoqi (Jackie) Zhang	Engineering
Liana Cheney	FAHSS
Susan Braunhut	Biology
Luvai Motiwalla	Business
Lorraine D'Agostino	Education (1/13 –)
Ellen Michaud Martins	Adjunct Union President, FAHSS (1/13 -)

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Tom Taylor – Co-Chair	Dean of Enrollment and Student Success
James Kohl	Associate Dean of Student Affairs
Brian Dano	SGA President
David Jones	Director of Multiculturalism
Vera Ossen	Education
Alex Case	FAHSS
Clairmont Carter	Business

Appendix: Members of NEASC Self-Study Committee

Ardeth Thawngmung	FAHSS
Frank Andrews	Business

Standard 7: Library and Information Resources

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Standard 8: Physical and Technological Resources

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Mark Hines	Sciences
Vanessa Kent	Student
Frank Vila	Student
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Standard 10 & 11: Public Disclosure & Integrity

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Catherine Kendrick	Continuing Studies
Joyce White	Health Sciences

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Doreen Arcus

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Technical Assistance

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Deborah Friedman
Erin Fleury
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Ellen Keane

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Susan Houde

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Charlotte Mandell – Co-Chair
Susan Houde – Co-Chair
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Annual Financial Report

June 30, 2012



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December 19, 2012

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, 2012. 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, 2012 including comparative information as of June 30, 2011.

The University's net assets increased \$248.0 million from \$2.14 billion in fiscal year 2011 to \$2.39 billion in fiscal year 2012. 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 2012, the University met or exceeded its targets for all five indicators. Overall, the University made important progress in fiscal 2012 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
Acting University Controller

University of Massachusetts
2012 Annual Financial Report
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Report of Independent Certified Public Accountants

Board of Trustees of the
University of Massachusetts

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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, 2012 and 2011, which collectively comprise the University's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America established by the American Institute of Certified Public Accountants. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing 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 over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinions.

In our opinion, the 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 as of June 30, 2012 and 2011, and the respective changes in financial position and cash flows, where applicable, thereof for the years then ended in conformity with accounting principles generally accepted in the United States of America.

Accounting principles generally accepted in the United States of America require that management's discussion and analysis 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 established by the American Institute of Certified Public Accountants. 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 financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Grant Thornton LLP

Boston, Massachusetts
December 19, 2012

**University of Massachusetts
Management's Discussion and Analysis (unaudited)
June 30, 2012**

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, 2012 with comparative information as of June 30, 2011 and June 30, 2010. 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 2011, the University enrolled approximately 59,480 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 assets increased \$248.0 million from \$2.14 billion in fiscal year 2011 to \$2.39 billion in fiscal year 2012. Net Assets at June 30, 2010 were \$1.97 billion. The major components of the increase in fiscal year 2012 relate to investments in infrastructure and positive operating margins due primarily to greater student fee revenues and cost reductions. From fiscal year 2011 to fiscal year 2012, the University's operating revenue declined by \$173.6 million and operating expenditures declined by \$199.2 million. The corresponding decline in both operating revenue and expenditure is primarily due to the 2011 sale of MedMetrics Health Partners ("MHP") which was a wholly-owned subsidiary of U Health Solutions, Inc. (formerly Public Sector Partners) which is a wholly owned subsidiary of Worcester City Campus Corporation which, in turn is a unit of the Medical School.

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 Assets, Statement of Revenues, Expenses and Changes in Net Assets 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 assets (the difference between assets and liabilities) are one indicator of the University's financial health. Over time, increases or decreases in net assets 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 assets includes all assets and liabilities 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 received, regardless of when cash is exchanged. Net assets are 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 assets are reported as restricted when constraints are imposed by third parties, such as donors or enabling legislation. Restricted net assets are 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 assets 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 state aid, 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 Assets				
As of June 30, 2012, 2011 and 2010				
(in thousands of dollars)				
	University June 30, 2012	University June 30, 2011	FY11-12 Change	University June 30, 2010
ASSETS				
Current Assets	\$617,093	\$581,207	\$35,886	\$554,377
Noncurrent Assets				
Investment In Plant Net of Accumulated Depreciation	3,098,186	2,582,651	515,535	2,324,392
All other noncurrent assets	1,594,140	1,862,508	(268,368)	1,476,628
Total Assets	\$5,309,419	\$5,026,366	\$283,053	\$4,355,397
LIABILITIES				
Current Liabilities	\$880,104	\$609,291	\$270,813	\$584,562
Noncurrent Liabilities	2,039,939	2,275,685	(235,746)	1,801,682
Total Liabilities	\$2,920,043	\$2,884,976	\$35,067	\$2,386,244
NET ASSETS				
Invested in Capital Assets Net of Related Debt	\$1,504,102	\$1,283,888	\$220,214	\$1,133,264
Restricted				
Nonexpendable	17,773	17,112	661	16,899
Expendable	188,083	184,909	3,174	218,517
Unrestricted	679,418	655,481	23,937	600,473
Total Net Assets	\$2,389,376	\$2,141,390	\$247,986	\$1,969,153

University of Massachusetts				
Condensed Statement of Net Assets for Related Organizations				
As of June 30, 2012, 2011 and 2010				
(in thousands of dollars)				
	University Related Organizations June 30, 2012	University Related Organizations June 30, 2011	FY11-12 Change	University Related Organizations June 30, 2010
ASSETS				
Current Assets	\$2,597	\$5,222	(\$2,626)	\$4,562
Noncurrent Assets				
Investment In Plant Net of Accumulated Depreciation	8,822	9,019	(197)	1,699
All other noncurrent assets	364,516	355,378	9,138	308,057
Total Assets	\$375,934	\$369,619	\$6,315	\$314,318
LIABILITIES				
Current Liabilities	\$14,612	\$15,785	(\$1,173)	\$16,063
Noncurrent Liabilities	3,487	3,413	74	3,664
Total Liabilities	\$18,099	\$19,198	(\$1,099)	\$19,727
NET ASSETS				
Invested in Capital Assets Net of Related Debt	\$8,822	\$9,020	(\$198)	\$1,699
Restricted				
Nonexpendable	273,995	254,625	19,370	240,595
Expendable	60,278	73,995	(13,717)	48,127
Unrestricted	14,740	12,781	1,959	4,170
Total Net Assets	\$357,835	\$350,421	\$7,414	\$294,591

At June 30, 2012, total University assets were \$5.31 billion, an increase of \$283.1 million over the \$5.03 billion in assets recorded for fiscal year 2011. The University's largest asset continues to be its net investment in its physical plant of \$3.10 billion at June 30, 2012 (\$2.58 billion in fiscal year 2011 and \$2.32 billion in fiscal year 2010).

University liabilities totaled \$2.92 billion at June 30, 2012, an increase of \$35.1 million over fiscal year 2011. Long-term liabilities represent 70% of the total liabilities which primarily consist of bonds payable amounting to \$1.82 billion at June 30, 2012.

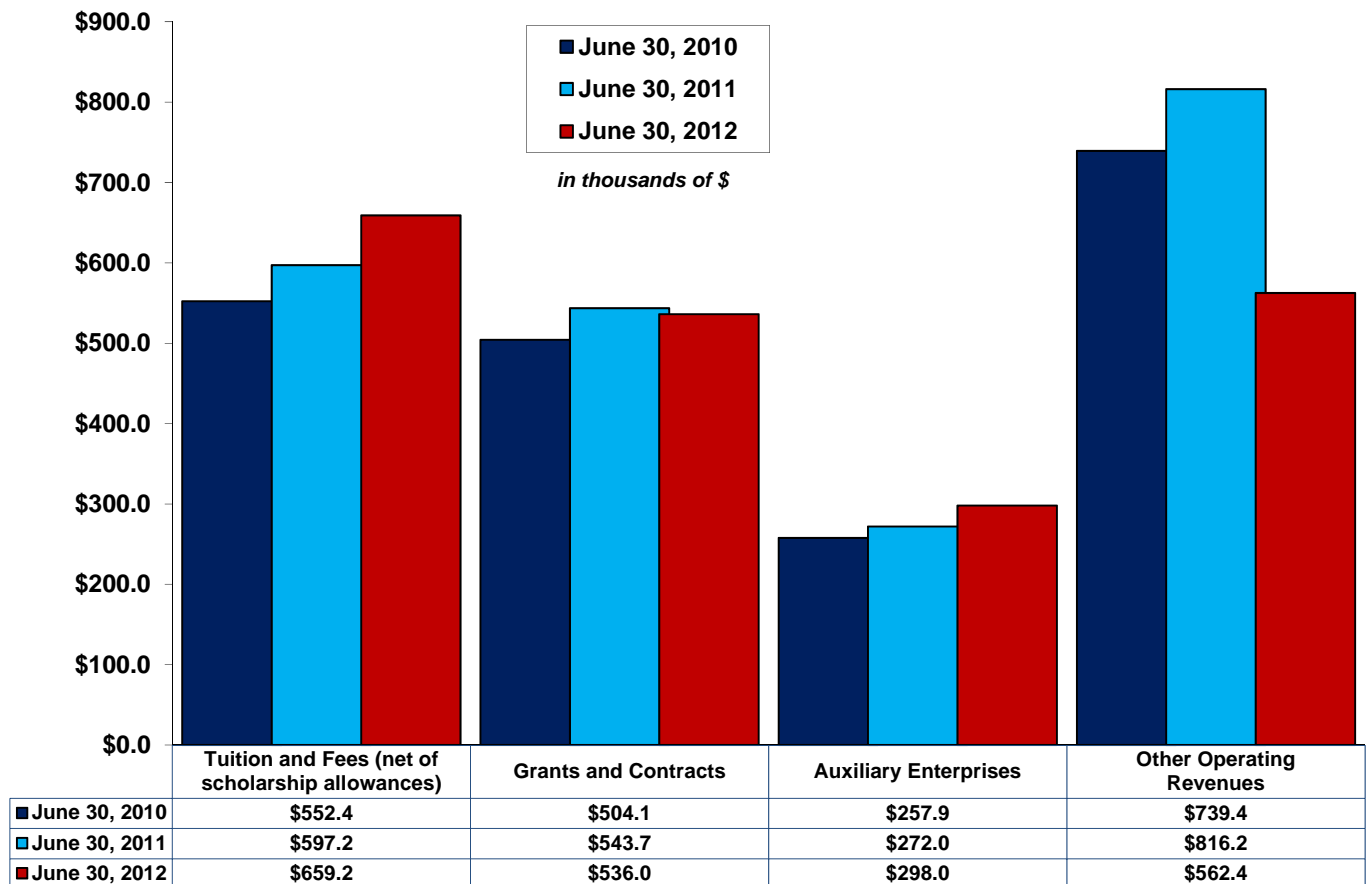
The University's current assets as of June 30, 2012 of \$617.1 million were below the current liabilities of \$880.1 million, as the current ratio was 0.70 dollars in assets to every one-dollar in liabilities. June 30, 2011 current assets of \$581.2 million were below current liabilities of \$609.3 million, resulting in a current ratio of .95. June 30, 2010 current assets of \$554.4 million were below current liabilities of \$584.6 million, resulting in a current ratio of 0.95.

The unrestricted and restricted expendable net assets totaled \$867.5 million in fiscal year 2012, which represents 33.5% of total operating expenditures of \$2.59 billion. The unrestricted and restricted expendable net assets totaled \$840.4 million in fiscal year 2011, which represents 30.1% of total operating expenditures of \$2.79 billion. The unrestricted and restricted expendable net assets totaled \$819.0 million in fiscal year 2010, which represents 31.6% of total operating expenditures of \$2.59 billion for that fiscal year. The increase in expendable net assets is attributed to operating surpluses.

University of Massachusetts				
Condensed Statement of Revenues, Expenses, and Changes in Net Assets				
For The Year Ended June 30, 2012, 2011 and 2010				
(in thousands of dollars)				
	University June 30, 2012	University June 30, 2011	FY11-12 Change	University June 30, 2010
Operating Revenues				
Tuition and Fees (net of scholarship allowances of \$197,319 at June 30, 2012, \$178,676 at June 30, 2011 and \$177,850 at June 30, 2010)	\$659,180	\$597,200	\$61,980	\$552,419
Grants and Contracts	536,031	543,727	(7,696)	504,114
Auxiliary Enterprises	297,956	272,020	25,936	257,852
Other Operating Revenues	562,360	816,166	(253,806)	739,403
Total Operating Revenues	2,055,527	2,229,113	(173,586)	2,053,788
Operating Expenses	2,589,626	2,788,784	(199,158)	2,588,548
Operating Loss	(534,099)	(559,671)	25,572	(534,760)
Nonoperating Revenues / (Expenses)				
Federal Appropriations	6,845	5,826	1,019	5,922
State Appropriations	517,392	505,799	11,593	415,889
State Appropriations - Federal Stimulus Funds	10	37,897	(37,887)	150,639
Interest on Indebtedness	(64,434)	(65,358)	924	(49,113)
Other Nonoperating Income	65,738	119,709	(53,971)	103,917
Nonoperating Federal Grants*	73,908	70,643	3,265	60,324
Net Nonoperating Revenues	599,459	674,516	(75,057)	687,578
Income Before Other Revenues, Expenses, Gains or Losses	65,360	114,845	(49,485)	152,818
Capital Appropriations, Grants and Other Sources	193,913	62,824	131,089	77,426
Disposal of Plant Facilities	(13,606)	(10,682)	(2,924)	(12,125)
Other Additions / (Deductions)	2,317	5,250	(2,933)	9,729
Total Other Revenues, Expenses, Gains, and Losses	182,624	57,392	125,232	75,030
Total Increase in Net Assets	247,984	172,237	75,747	227,848
Net Assets				
Net Assets at Beginning of Year	2,141,390	1,969,153	172,237	1,741,305
Net Assets at End of Year	\$2,389,374	\$2,141,390	\$247,984	\$1,969,153

University of Massachusetts Condensed Statement of Revenues, Expenses, and Changes in Net Assets for University Related Organizations For The Year Ended June 30, 2012, 2011 and 2010 (in thousands of dollars)				
	University Related Organizations June 30, 2012	University Related Organizations June 30, 2011	FY11-12 Change	University Related Organizations June 30, 2010
Operating Expenses	\$15,905	\$12,107	\$3,798	\$11,198
Operating Loss	(15,905)	(12,107)	3,798	(11,198)
Nonoperating Revenues				
Other Nonoperating Income	3,731	52,571	(48,840)	31,148
Net Nonoperating Revenues	3,731	52,571	(48,840)	31,148
Gain / (Loss) Before Other Revenues, Expenses, Gains or Losses	(12,174)	40,464	(52,638)	19,950
Additions to Permanent Endowments	19,604	15,195	4,409	13,003
Other	(16)	171	(187)	4,867
Total Other Revenues, Expenses, Gains, and Losses	19,588	15,366	4,222	17,870
Total Increase/(Decrease) in Net Assets	7,414	55,830	(48,416)	37,820
Net Assets				
Net Assets at Beginning of Year	350,421	294,591	55,830	256,771
Net Assets at End of Year	\$357,835	\$350,421	\$7,414	\$294,591

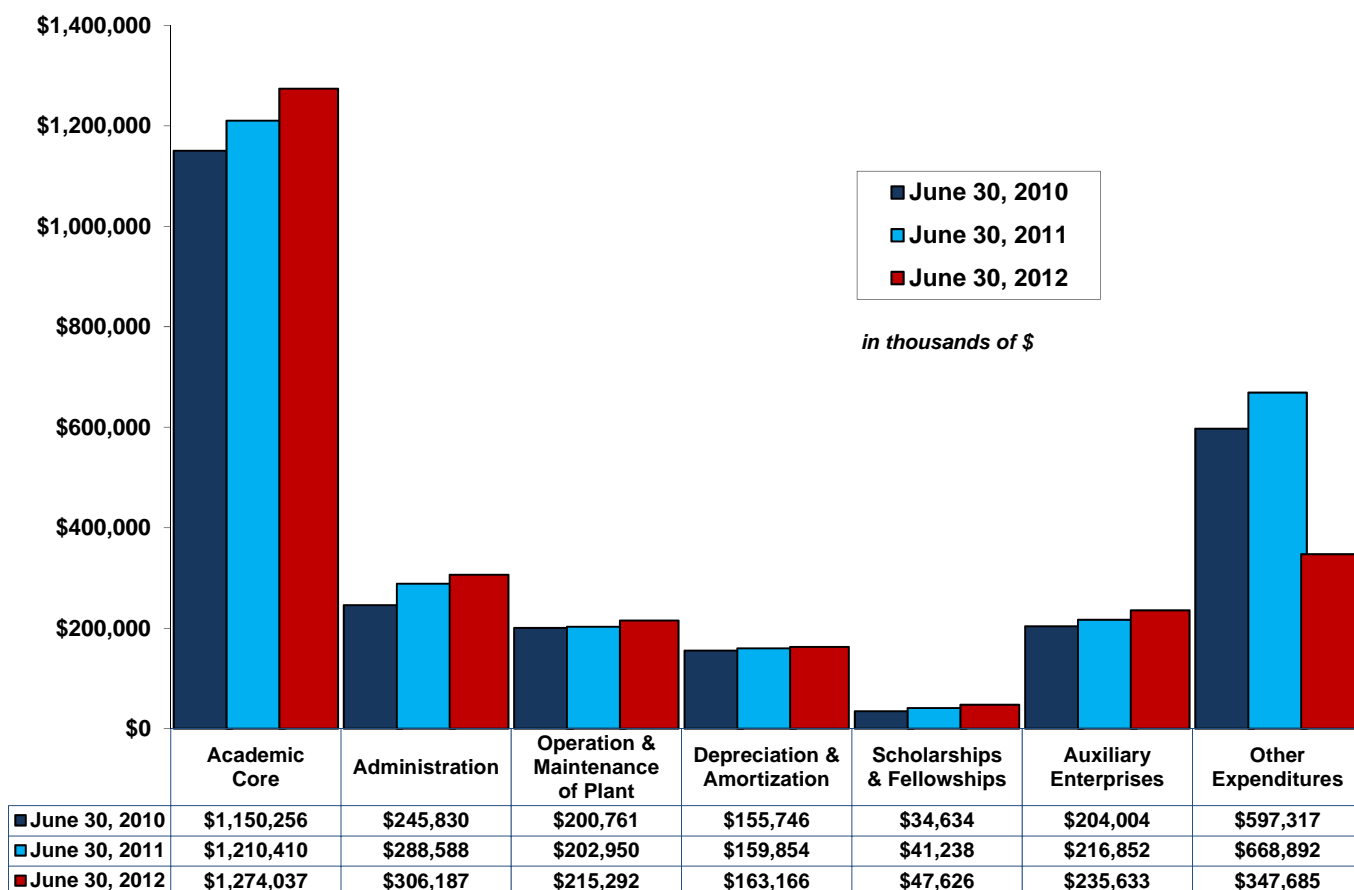
Sources of Operating Revenues, Fiscal Year 2010 to Fiscal Year 2012



Total operating revenues for fiscal year 2012 were \$2.06 billion. This represents a \$173.6 million decrease from the \$2.23 billion in operating revenues in fiscal year 2011. As mentioned previously, the decline in revenue from fiscal year 2011 to fiscal year 2012 is attributable to the 2011 sale of MedMedtrics Health Partners which was included in the Medical School results. Total operating revenues for fiscal year 2010 were \$2.05 billion. 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 2012, 2011, and 2010.

Operating Expenses by Category, Fiscal Year 2010 to Fiscal Year 2012



In fiscal year 2012, operating expenditures, including depreciation and amortization of \$163.2 million, totaled \$2.59 billion. Of this total, \$1.27 billion or 49% was used to support the academic core activities of the University, including \$417.1 million in research. In fiscal year 2011, operating expenditures totaled \$2.79 billion. Operating expenditures were \$2.59 billion in fiscal year 2010. The chart above displays fiscal year 2012, 2011, and 2010 operating spending.

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 \$360.3 million, \$345.7 million, and \$361.4 million for the years ended June 30, 2012, 2011 and 2010, respectively. Included in expenditures are CWM expenditures of \$311.9 million, \$316.5 million, and \$330.4 million for the years ended June 30, 2012, 2011, and 2010, 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 \$112.3 million, \$200.2 million, and \$125.9 million for the years ended June 30, 2012, 2011, and 2010, respectively. Finally, Public Service Activity expenditures also include payments made to the Commonwealth of Massachusetts of \$60.0 million, \$177.0 million, and \$92.0 million for the years ended June 30, 2012, 2011, and 2010, respectively, pursuant to requirements of legislation enacted by the State Legislature of Massachusetts.

State Appropriations

In fiscal year 2012, state appropriations represent approximately 19% 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 \$11.6 million from fiscal year 2011, with the increase attributable to a higher level of fringe benefit support allocated to University employees paid through the state appropriation.

The financial statements for the years ended June 30, 2012 record as tuition revenue approximately \$37.03 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 \$49.73 million in fiscal year 2011 and \$49.08 million in fiscal year 2010. 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 non-resident students. The amount of tuition retained by the University during 2012, 2011, and 2010 was \$50.8 million, \$34.6 million, and \$31.5 million, respectively.

The following table details the Commonwealth operating appropriations received by the University for fiscal years ending June 30, 2012, 2011 and 2010 (in thousands):

	2012	2011	2010
Gross Commonwealth Appropriations	\$425,656	\$434,963	\$383,717
Plus: Fringe Benefits*	154,953	147,511	108,634
	580,609	582,474	492,351
Less: Tuition Remitted	(37,029)	(49,731)	(49,084)
Less: Mandatory Waivers	(26,187)	(26,944)	(14,236)
Net Commonwealth support	\$517,392	\$505,799	\$429,031

*The Commonwealth pays the fringe benefit cost 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.

**It should be highlighted that in fiscal years 2010 and 2011 the Commonwealth distributed federal stimulus funding to the University in addition to the state appropriations. The \$150.6 million provided in FY2010 and the \$37.9 million provided in FY2011 are not included in the table.

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 capital improvements, including appropriations provided by the Commonwealth of Massachusetts. In fiscal year 2012, the \$150.4 million of capital support provided to the University through appropriations and grants from the Commonwealth was \$122.3 million more than the capital appropriations provided in fiscal year 2011. This increase is attributed to the Commonwealth's Division of Capital Asset Management ("DCAM") funding of several large capital projects which include: the Lab Science Building on the Amherst campus, the Science Complex on the Boston campus, Carney Library improvements on the Dartmouth campus, the Health Social Sciences Building on the Lowell campus and the Albert Sherman Center on the Worcester campus. The University projects that although capital support will fluctuate year to year, the level of capital appropriations from the Commonwealth will continue to be significant in future years as major construction projects managed by the Commonwealth's construction agency are underway at all five of the University's campuses.

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. These two campuses have been the primary catalyst in the University's research funding growth in recent years, however, the Boston, Dartmouth, and Lowell campuses continue to experience growth in sponsored research activity.

The following table details the University's grant and contract revenues (in thousands) for the fiscal years ended June 30, 2012, 2011, and 2010:

	2012	2011	2010
Federal Grants and Contracts	\$355,792	\$371,426	\$333,538
State Grants and Contracts	67,927	62,597	64,328
Local Grants and Contracts	3,077	1,937	1,880
Private Grants and Contracts	109,235	107,767	104,368
Total Grants and Contracts	\$536,031	\$543,727	\$504,114

Discretely Presented Component Units

University of Massachusetts Foundation, Inc.

The combined University and Foundation endowment has increased to approximately \$574.1 million at June 30, 2012 from \$517.7 million at June 30, 2011 which was also up from \$459.8 million at June 30, 2010.

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% to 6% of the endowment fund's average market value for the preceding twelve quarters on a one-year lag and three-year share average. The Foundation revised its policy during fiscal year 2011 and it went into effect for the fiscal year 2012 distribution. The new policy is to have 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 \$13.6 million (4%) and \$10.3 million (4%) in fiscal years 2012 and 2011, respectively. In fiscal year 2010, the Board of Directors approved an exception to the spending policy due to the significant decrease in market performance in 2008 and 2009. The distribution was 1.5% of the fiscal year 2009 ending fair value or \$5.8 million.

The total investment returns of the Foundation for fiscal year 2012, including realized and unrealized investment activity was a net loss of approximately \$.2 million as compared to a net gain of \$93.3 million in fiscal year 2011 and a net gain of approximately \$66.3 million in 2010. The decrease for fiscal year 2012 is consistent with investment return performance at other institutions.

University of Massachusetts Dartmouth Foundation, Inc.

Total marketable securities for the Dartmouth Foundation were \$43.2 million at June 30, 2012, up from \$40.4 million at June 30, 2011, and up from \$32.3 million in fiscal year 2010, 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 2012, including realized and unrealized investment activity, was a net loss of approximately \$.2 million as compared to a net gain of \$4.2 million in 2011 and a net gain of \$2.6 million in 2010.

Tuition and Fees

The University strives to provide students with the opportunity to obtain a quality education. In fiscal year 2004, the University established the practice of limiting the annual increases in total mandatory student charges (tuition and mandatory fees) for resident undergraduate students to rate increases of no greater than the rate of inflation. However, with state appropriations declining by \$188.3 million over the two year span from fiscal year 2008 to fiscal year 2010, the University's Board approved a \$1,500 increase for academic year 2009-2010 in total mandatory student charges for resident undergraduate students. Due to the receipt of \$150.6 million of federal stimulus funds in fiscal year 2010, a rebate of \$1,100 was provided to resident undergraduate students who had initially paid the \$1,500 increase for academic year 2009-2010. Due to the fact that the full \$1,500 increase approved for the 2009-2010 academic year stayed in effect for the 2010-2011 academic year, the University's Board decided that this in effect served as a significant increase over the prior year student charge level and voted in June 2010 to keep mandatory student charges at the currently approved level. 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.

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 2011 semester, Massachusetts residents accounted for approximately 85% and 57% of the University's total undergraduate and graduate enrollment, respectively. Total enrollment in the fall of 2011 was 59,480 FTE (69,670 headcount students). Enrollments at the University have shown significant increases over the last five years (51,069 FTE in fall 2007). 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.

The average Scholastic Aptitude Test ("SAT") scores for entering University freshmen ranged from 1043 to 1189 at the University's campuses in the fall of 2011. The average high school G.P.A. of entering freshmen ranged from 3.10 to 3.64. For comparison purposes, the 2011 national average SAT composite score was 1011.

Degrees Awarded

The University awards four levels of degrees, including associate, bachelors, masters and doctoral/professional degrees. A total of 14,711 degrees were awarded in the 2010-2011 academic year: 248 associate degrees, 9,958 bachelor degrees, 3,889 master degrees, 430 doctoral degrees and 186 Professional Practice degrees.

Bonds Payable

As of June 30, 2012, the University had outstanding bonds of approximately \$2.24 billion representing \$1.88 billion of University of Massachusetts Building Authority bonds (the "Building Authority Bonds"), \$62.0 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 \$292.9 million of bonds financed through the Worcester City Campus Corporation (the "WCCC Bonds"). Bonds payable is the University's largest liability at June 30, 2012. 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 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).

In fiscal year 2011, the Building Authority issued bonds in the amount of \$552.3 million through three Series and refunded two series as follows:

- The Building Authority issued Series 2010-1 bonds in the amount of \$119.0 million, Series 2010-2 Build America bonds in the amount of \$430.3 million, and Series 2010-3 bonds in the amount of \$3.0 million for various construction and renovation projects at the Amherst, Boston, Dartmouth, and Lowell campuses.
- The Building Authority refunded two outstanding variable-rate demand bond series that had been issued in 2008. These bonds were being supported by two liquidity agreements with Bank of America that were set to expire on June 10, 2011. The refunding was completed in order to replace the expiring agreements. The Bank of America liquidity support was replaced with a Wells Fargo liquidity facility, Series 2011-1 for \$135.0 million and Citibank Window Bonds, Series 2011-2 for \$101.7 million. The 2011-1 Bonds were used to redeem the 2008-3 Bonds, and the 2011-2 bonds were used to redeem the 2008-4 Bonds.

In fiscal year 2010, the Building Authority issued bonds in the amount of \$548.3 million through three Series:

- The Building Authority issued Series 2009-1 bonds in the amount of \$247.8 million for various construction and renovation projects at the Amherst, Boston, Dartmouth, Lowell, and Medical School campuses and for the construction of the Edward M. Kennedy Institute for the United States Senate on the Boston Campus.
- The Building Authority issued Series 2009-2 Build America bonds in the amount of \$271.9 million for various construction and renovation projects at the Amherst, Boston, Lowell, and Medical School campuses.
- The Building Authority issued Series 2009-3 bonds in the amount of \$28.6 million for construction and renovation projects at the Medical School campus.

Capitalized Lease Obligations

At June 30, 2012, the University had capital lease obligations with remaining principal payments of approximately \$12.0 million which is a \$5.6 million decrease from the remaining principal payments of \$17.6 million at June 30, 2011. At June 30, 2010, the University had capital lease obligations with remaining principal payments of approximately \$23.1 million. 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 10% 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, 2012 and 2011 was \$ 136.9 million and \$138.5 million, respectively.

Capital Plan

In September 2012, the University's Trustees approved a \$3.1 billion five-year (fiscal years 2013-2017) update to its capital plan to be financed from all available funding including projects already in process as well as new projects. 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 (formerly Massachusetts Health and Educational Facilities Authority) financing, Commonwealth appropriations, and private fund raising. The execution of the University's capital plan is contingent upon sufficient funding from the Commonwealth.

The University's five-year capital plan for fiscal years 2013-2017 includes both new projects and major projects that were previously approved by the University Trustees in prior-year capital plans. The major projects in the five-year capital plan and their estimated total project cost include:

Amherst Campus

- study and construction of student-housing of up to 1,500 beds for \$188.0 million
- construction of the New Life Sciences Laboratory Building for approximately \$160.0 million
- construction of a Life Sciences Research Facility for \$95.0 million

- construction of an academic classroom building for approximately \$91.0 million
- replacement of Bartlett Hall for \$50.0 million
- construction of a Physical Sciences Building for \$85.0 million
- renovations to the Morrill Science Complex totaling approximately \$51.3 million
- repairs to the Lederle Graduate Research Complex for \$41.3 million
- construction of a new electrical substation and related upgrades for \$40.0 million
- addition to the Isenberg School of Management for \$40.0 million
- improvements of McGuirk Stadium for \$34.5 million

Boston Campus

- construction of the Integrated Science Complex for \$182.0 million
- roadway and utility relocations for \$143.0 million in a move to restructure the entire campus
- renovations of existing campus buildings to address deferred maintenance for \$75.0 million
- construction of a Living/Learning Center for \$100.0 million
- construction of a 1,200 vehicle parking garage to meet current demand for approximately \$45.0 million
- construction of two new academic building for a total of \$213.0 million

Dartmouth Campus

- construction of a new academic building in order to consolidate operations and create more academic space for approximately \$75.0 million
- construction of Mass Accelerator for Biomanufacturing for approximately \$25.6 million
- extensive library renovations to address deferred maintenance and to improve services for approximately \$46.0 million
- an energy/water conservation project for \$40.0 million
- acquisition of the Advanced Technology Manufacturing Center for \$11.4 million
- construction or renovation of a marine fisheries research building for \$48.0 million
- expansion of the Charlton College of Business for \$15.0 million

Lowell Campus

- construction of the Emerging Technology Innovation Center for approximately \$81.5 million
- construction of Health and Social Sciences Building on the South Campus for \$41.0 million
- reconfiguration of the North Campus science and engineering space for approximately \$90.0 million
- construction of two parking garages to increase capacity for approximately \$40.0 million
- creation of the University Crossing Complex for \$91.4 million to consolidate administration services, student services, and a retail at a prime location
- construction of a new residential hall for \$56.0 million
- energy conservation projects and power plant improvements for approximately \$30.0 million

Worcester Campus

- construction of a new science facility to support new programs in stem cell research, RNAi therapies, and gene silencing for approximately \$350.0 million
- expansion of the existing power plant to improve efficiency and meet the energy requirements of the growing Campus for approximately \$51.0 million
- HVAC upgrades and replacements for approximately \$38.5 million
- construction of a parking garage to meet increased demand for \$40.0 million

Beginning in the late 1990s, the University enhanced its program to address deferred maintenance needs at its campuses. As a result, the University has made investments to repair and renovate facilities at the University's campuses through the use of operational funds, campus borrowing, and state support.

Factors Impacting Future Periods

In fiscal year 2011, a 23-member committee, comprised of faculty, trustees, alumni, students, academic leaders and community leaders, initiated a wide-ranging, national search to find the best person to lead the University of Massachusetts System. On January 13, 2011, Robert L. Caret was elected President of the University.

President Caret assumed the presidency of the University of Massachusetts after completing presidencies at San Jose State University and Towson University. President Caret presided over periods of significant growth at both universities. His presidency at Towson University in Maryland lasted for eight years where he also served as a faculty member, dean, executive vice president and provost during his more than 25-year tenure at the university. He also served for eight years as the President of San Jose State University in California. He received his PhD in organic chemistry from the University of New Hampshire in 1974 and his Bachelor of Science degree in chemistry and mathematics from Suffolk University in 1969.

In his first year of leadership at the University of Massachusetts, President Caret, in coordination with the Board of Trustees, conducted two successful Chancellor searches enabling the University to maintain its positive trajectory with the selection of Dr. Kumble R. Subbaswamy to lead the Amherst Campus and Dr. Divina Grossman to lead the Dartmouth Campus. Both Chancellors assumed their new positions on July 1, 2012.

Prior to his role at the University of Massachusetts, Dr. Subbaswamy, a physicist, served as provost at the University of Kentucky since 2006. He joined Kentucky's physics faculty in 1978 after serving as a post-doctoral fellow at the University of California, Irvine. During his first 18 years at the University of Kentucky, he served as associate dean of Arts and Sciences and as chair of the Department of Physics and Astronomy. Chancellor Subbaswamy was also dean of the college of arts and sciences at the University of Miami from 1997 to 2000, when he left to become dean of arts and sciences at Indiana University in Bloomington, serving until 2006. He was active in promoting life sciences-related economic development efforts in Indiana and Kentucky. He is also active in academia nationally and internationally, serving on a number of panels, including the American Council on Education and the German-American Fulbright Commission. Chancellor Subbaswamy holds a B.S. in physics from Bangalore University, an M.S. in physics from Delhi University and a Ph.D. in physics from Indiana University.

Prior to joining the University of Massachusetts, Dr. Grossman was the Founding Vice President for Engagement at Florida International University where she had also served as Dean of the College of Nursing and Health Sciences and Dean of the School of Nursing. While at Florida International University, Dr. Grossman established the Office of Engagement to provide leadership in implementing the FIU vision of "a public research university that is locally and globally engaged." Dr. Grossman directed the development of major FIU partnerships, including Project ACCESS (Achieving Community Collaboration in Education and Student Success) with Miami Dade County Public Schools; Life Sciences South Florida, a public-private collaborative initiative to develop an industry cluster in South Florida focusing on life sciences and biotechnology; as well as significant expansion of university-wide internships with corporations, community organizations, public and private agencies; and implementation of a service learning initiative. She also executed the merger of the School of Nursing and the School of Health Sciences and spearheaded the growth and expansion of new academic programs. Dr. Grossman holds a PhD in Nursing from the University of Pennsylvania, M.S. in Nursing from the University of Miami, and a BS in Nursing from the University of Santo Tomas (Philippines).

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 acquired several strategic properties in fiscal years 2010 and 2011:

- On February 2, 2010, the Massachusetts Board of Higher Education issued approval for UMass Dartmouth to offer the juris doctorate (J.D.) degree and establish the first public law school in the Commonwealth. On November 16, 2010, the Foundation completed the acquisition of the building and land at 333 Faunce Corner Road, Dartmouth, MA, from the Board of Trustees of Southern New England School of Law. This acquisition marks the culmination of the gift of the assets of Southern New England School of Law to the University of Massachusetts Foundation, Inc. and the University of Massachusetts Dartmouth. On July 1, 2010, the University of Massachusetts Dartmouth began operation of the law school, now known as UMass Law School at Dartmouth. The focus of the law school is on public-service, with a curriculum concentrating on civil and human rights, legal support for businesses, economic justice, and community law. Implementing its strategic plan to receive full accreditation from the American Bar Association, effective June 8, 2012, the School of Law has been provisionally approved by the accrediting Council of the Bar Association. If the Law School continues to meet Bar Association standards over the next three years, it will receive full accreditation.
- Also in February 2010, the Lowell campus accepted the transfer of the 6,500-seat Tsongas Arena from the City of Lowell. The renamed Tsongas Center at UMass Lowell has been remodeled and is a vibrant addition to the University and the surrounding communities. The Tsongas Center is host to hockey games, concerts, functions, school events and other community activities.
- In May 2010, the University's Boston Campus finalized the purchase of the former site of the Bayside Exposition Center, which is located less than one mile from the main campus. This acquisition adds 20 acres of waterfront property to the Campus and includes 1,500 parking spaces. The Boston Campus will be using the property temporarily for parking and storage space as it completes major capital projects over the next few years but they continue to collaborate with the City of Boston on the master planning around the ideal development of the property in the future.
- In January 2011, the University's Lowell Campus purchased the former Saint Joseph's Hospital in Lowell. When acquired, the property consisted of six buildings totaling 300,000 square feet located within walking distance of University's North, South, and East campuses in Lowell. The Lowell Campus is in the process of converting the property through a combination of new construction and renovation into an important campus connection point focused on student and administrative services to be known as University Crossing.

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 FY13-17 capital

plan projects spending \$3.1 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 picture of the University. In order to support the University's capital plan, the University of Massachusetts Building Authority completed a bond issuance in October 2009 to fund approximately \$512.5 million of renovations, new construction, and deferred maintenance projects at the Amherst, Boston, Dartmouth, Lowell, and Worcester campuses. In November 2010, the Building Authority issued an additional \$552.3 million in bonds to fund a number of new construction and renovation projects across the University. While no target date has been set, the University anticipates another bond issuance in calendar year 2013.

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 colleges, 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.

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 a major research complex at the University's Medical School in Worcester. Additional funding is anticipated to construct a \$95 million 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 \$193.9 million in fiscal year 2012.

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.

This focus on the development of life sciences research and business in the Commonwealth dovetails with the fact that The University of Massachusetts Medical School's (UMMS) Craig C. Mello, PhD, and his colleague Andrew Fire, PhD, of Stanford University, were awarded the 2006 Nobel Prize in Physiology or Medicine for their discoveries related to ribonucleic acid (RNA). The findings of Drs. Mello and Fire demonstrated that a particular form of RNA, the cellular material responsible for the transmission of genetic information, can silence (RNAi process) targeted genes. Due to these findings, companies worldwide at the forefront of pharmaceutical innovation have purchased licenses to RNAi technology, co-owned by the UMMS, to aid in their development of treatments for disease. In addition, UMMS researchers are using RNAi technology to speed investigation into a variety of diseases. The work of Dr. Mello has not only produced revenue streams for the University and aided the work of his fellow researchers, but it has also helped recruit other distinguished faculty and researchers to the University. This recognition highlights the strength of UMMS research and has enhanced the overall reputation of the entire University.

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 now underway to develop, adjacent to the campus, 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. Once established, the Institute is likely to add significant prominence to the Boston Campus and the University.

Research funding for the University of Massachusetts continued its upward growth, approaching the \$600 million mark for fiscal year 2011. Research expenditures increased by 8.1% to \$586.7 million in Fiscal Year 2011 from \$542.7 million in Fiscal Year 2010. 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 100 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 2012, UMassOnline achieved an 11% increase in revenue and a 7% increase in enrollment. Compared to the previous year, revenues increased from approximately \$65.2 million to \$72.1 million.

In July 2012, University President Caret announced the appointment of Dr. John Cunningham as Interim CEO of UMassOnline. Dr. Cunningham, who has held a series of faculty and university leadership positions at UMass for more than 25

years, is also currently serving as Vice President for Academic Affairs, Student Affairs, and International Relations for the UMass System. He replaces former UMassOnline CEO Dr. Ken Udas who recently joined the private higher education sector.

Dr. Cunningham has been a member of the faculty at UMass Amherst since 1986. During the 90's he was the Principal Investigator on three USDA education grants: incorporating computer-mediated telecommunications in instruction, developing an internet "bulletin board" for nutrition education, and the "Interactive Distance Education and Access (IDEA) Leadership Project." He also served as deputy provost at UMass Amherst for over a decade, working with the academic deans and the Faculty Senate, and supervising the directors of campus-wide undergraduate academic support units to ensure the quality and availability of the general education program. In addition, he oversaw the Division of Continuing and Professional Education and the University Without Walls units with substantial online portfolios delivered through UMassOnline.

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.

In keeping with the University's mission to remain accessible, leadership followed a strategy beginning in 2004 which limited the annual increases for mandatory student charges to levels below the estimated current inflation rate. The University believed that this "at or below inflation" approach for student charge increases would provide reasonable stability and predictability for students, their families, and institutional planners. The University was able to maintain these limits on its student charge increases through fiscal year 2009 because of stable support from the Commonwealth. On October 15, 2008, faced with a large state budget deficit, Governor Patrick implemented a fiscal action plan to close the gap that included more than \$1.0 billion in immediate cuts and spending controls across state government. As part of this action plan, the administration reduced the University's fiscal year 2009 state appropriation by 5%, or approximately \$24.6 million. As the state and national economy continued to deteriorate, the administration reduced the University's fiscal year state appropriation by an additional \$2.8 million in January 2009.

In response to these mid-year reductions and the anticipated further reduction of the state appropriation for fiscal year 2010, the University departed from its five-year practice of limiting student charge increases to at or below the rate of inflation. For fiscal year 2010, the University Trustees approved a mandatory student charge increase of up to \$1,500 for in-state undergraduate students. The approved increase included specific language that authorized rebates of the charge increases based upon the level of federal support provided by The American Recovery and Reinvestment Act of 2009 ("ARRA"). The Commonwealth's budget for fiscal year 2010 approved on June 29, 2009 reduced the University's state appropriation by \$53.5 million in comparison to the final fiscal year 2009 state appropriation after the reductions made in October 2008 and January 2009. The fiscal year 2010 state budget also eliminated \$10.2 million of line item funding specific to the University.

To protect the University from the full impact of the budget reductions made in fiscal year 2009 and fiscal year 2010, the Commonwealth's Executive Office of Education distributed to the University in September 2009, \$118.6 million of the federal education stabilization funds available to the Commonwealth from ARRA. In October 2009, in response to lower state revenue projections, the state rescinded an additional \$32.0 million from the University's state appropriation. The Commonwealth's Executive Office of Education replaced this lost appropriation with an equal amount of ARRA education stabilization funds. The receipt of this federal revenue allowed the University to remain consistent with the Board of Trustee vote on student charges taken on February 27, 2009 and offer a partial rebate of the \$1,500 student charge increase.

The fiscal year 2011 budget approved by the Legislature and signed by the Governor on June 30, 2010 included a base state appropriation of approximately \$424.1 million for the University; an increase in the base state appropriation of approximately \$44.2 million in comparison to fiscal year 2010. In addition, \$4.4 million of line item funding specific to the University that was not funded in fiscal year 2010 was restored for fiscal year 2011. The University received an additional \$5.5 million from the Commonwealth to support the fiscal year 2011 cost of collective bargaining agreements. Subsequent to the finalization of the Commonwealth's fiscal year 2011 budget, federal legislation was passed that authorized approximately \$200 million for protecting education jobs in the Commonwealth. With the receipt of this funding, the Commonwealth's Executive Office of Education distributed \$37.8 million of ARRA funds to the University for fiscal year 2011.

The Commonwealth's budget for fiscal year 2012 signed by Governor Patrick included a base state appropriation for the University of approximately \$418 million for the current fiscal year. While this appears to be a \$6.0 million decline from fiscal year 2011, the Governor's budget is actually provided level funding for the University. This is due to the fact that the Legislature passed a bill that permitted the University's Boston, Dartmouth, Lowell, and Worcester campuses to retain tuition collected from non-resident students starting in fiscal year 2012. The amount of non-resident tuition estimated to be collected by these four campuses totaled \$11.6 million for the initial year. Prior to the legislation, the approximately \$11.6 million of non-resident tuition would have been remitted to the Commonwealth. Therefore, the \$418 million base state appropriation provided for fiscal year 2012 is equal to the \$424.0 million fiscal year 2011 base state appropriation plus a continuation of the \$5.5 million of collective bargaining support initially provided in fiscal year 2011 less the \$11.6 million of tuition revenue to be retained by the four campuses.

In addition to the level funding of the base state appropriation, the Commonwealth's fiscal year 2012 budget included \$6.4 million of line item funding specific to the University. However, this positive support was offset by the fact that the University received almost no ARRA stimulus funds in fiscal year 2012. As a result of the flat state support, the elimination of the federal stimulus funding, and the realization that the Commonwealth would not be providing support for the fiscal year 2012 costs of the collective bargaining contracts signed in fiscal year 2011, the University's Board of Trustees voted on June 8, 2011 to increase mandatory student charges by 7.5% for resident undergraduate students for the 2011-2012 academic year.

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 FY13 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.

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.

University of Massachusetts
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)

	University	University Related Organizations	University	University Related Organizations
	June 30, 2012	June 30, 2012	June 30, 2011	June 30, 2011
ASSETS				
Current Assets				
Cash and Cash Equivalents	\$61,769		\$56,751	
Cash Held By State Treasurer	17,167		13,895	
Accounts, Grants and Loans Receivable, net	227,740		224,309	
Pledges Receivable, net	4,199	\$1,648	6,071	\$4,582
Short Term Investments	268,600		233,392	
Inventories, net	21,442		22,588	
Accounts Receivable from UMass Memorial, net	5,808		10,664	
Due From Related Organizations	173	542	51	632
Other Assets	10,195	407	13,486	8
Total Current Assets	617,093	2,597	581,207	5,222
Noncurrent Assets				
Cash and Cash Equivalents		778		684
Cash Held By State Treasurer	11,874		5,793	
Cash and Securities Held By Trustees	819,794		1,170,175	
Accounts, Grants and Loans Receivable, net	41,993		39,162	
Pledges Receivable, net	2,828	8,586	1,180	5,798
Investments	609,242	355,088	596,838	348,791
Other Assets	32,774	64	29,850	105
Deferred Outflows of Resources	75,635		19,510	
Investment In Plant Net of Accumulated Depreciation	3,098,186	8,822	2,582,651	9,019
Total Noncurrent Assets	4,692,326	373,338	4,445,159	364,397
Total Assets	\$5,309,419	\$375,934	\$5,026,366	\$369,619
LIABILITIES				
Current Liabilities				
Accounts Payable	\$169,787	\$49	\$126,532	\$61
Accrued Salaries and Wages	93,555		81,075	
Accrued Compensated Absences	71,892		72,753	
Accrued Workers' Compensation	4,467		3,726	
Accrued Interest Payable	20,218		20,681	
Bonds Payable	415,860		188,952	
Capital Lease Obligations	5,502		5,473	
Assets Held on behalf of Others		11,978		11,458
Accounts Payable to UMass Memorial	3,613		16,422	
Due To Related Organizations	542	173	632	51
Deferred Revenues and Credits	46,248	2,412	46,705	4,215
Advances and Deposits	10,154		6,994	
Other Liabilities	38,266		39,346	
Total Current Liabilities	880,104	14,612	609,291	15,785
Noncurrent Liabilities				
Accrued Compensated Absences	30,820		26,541	
Accrued Workers' Compensation	9,805		9,821	
Arbitrage Rebate Payable			14	
Bonds Payable	1,824,474		2,122,233	
Capital Lease Obligations	6,539		12,116	
Derivative Instruments, Interest Rate Swaps	106,110		51,342	
Deferred Revenues and Credits	16,501		20,080	
Advances and Deposits	26,697		26,688	
Other Liabilities	18,993	3,487	6,850	3,413
Total Noncurrent Liabilities	2,039,939	3,487	2,275,685	3,413
Total Liabilities	\$2,920,043	\$18,099	\$2,884,976	\$19,198
Net Assets:				
Invested in Capital Assets Net of Related Debt Restricted	\$1,504,102	\$8,822	\$1,283,888	\$9,020
Nonexpendable	17,773	273,995	17,112	254,625
Expendable	188,083	60,278	184,909	73,995
Unrestricted	679,418	14,740	655,481	12,781
Total Net Assets	\$2,389,376	\$357,835	\$2,141,390	\$350,421

The accompanying notes are an integral part of the financial statements.

University of Massachusetts
Statements of Revenues, Expenses, and Changes in Net Assets
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)

	University	University Related	University	University Related
	June 30, 2012	June 30, 2012	June 30, 2011	June 30, 2011
REVENUES				
Operating Revenues				
Tuition and Fees (net of scholarship allowances of \$197,319 at June 30, 2012 and \$178,676 at June 30, 2011)	\$659,180		\$597,200	
Federal Grants and Contracts	355,792		371,426	
State Grants and Contracts	67,927		62,597	
Local Grants and Contracts	3,077		1,937	
Private Grants and Contracts	109,235		107,767	
Sales and Service, Educational	19,311		18,011	
Auxiliary Enterprises	297,956		272,020	
Other Operating Revenues:				
Sales and Service, Independent Operations	61,087		52,619	
Sales and Service, Public Service Activities	383,855		670,557	
Other	98,107		74,979	
Total Operating Revenues	2,055,527		2,229,113	
EXPENSES				
Operating Expenses				
<i>Educational and General</i>				
Instruction	633,481		596,341	
Research	417,124		414,268	
Public Service	75,665	\$15,240	66,548	\$11,551
Academic Support	147,767		133,253	
Student Services	107,246		98,361	
Institutional Support	198,941		190,227	
Operation and Maintenance of Plant	215,292		202,950	
Depreciation and Amortization	163,166	203	159,854	127
Scholarships and Fellowships	47,626	462	41,238	429
<i>Auxiliary Enterprises</i>	235,633		216,852	
<i>Other Expenditures</i>				
Independent Operations	53,734		41,911	
Public Service Activities	293,951		626,981	
Total Operating Expenses	2,589,626	15,905	2,788,784	12,107
Operating Loss	(534,099)	(15,905)	(559,671)	(12,107)
NONOPERATING REVENUES/(EXPENSES)				
Federal Appropriations	6,845		5,826	
State Appropriations	517,392		505,799	
State Appropriations - Federal Stimulus funds	10		37,897	
Gifts	22,143	8,891	26,504	14,308
Investment Income	27,192	(5,255)	77,773	37,049
Endowment Income	15,623	95	10,207	1,214
Interest on Indebtedness	(64,434)		(65,358)	
Nonoperating Federal Grants	73,908		70,643	
Other Nonoperating Income	780		5,225	
Net Nonoperating Revenues	599,459	3,731	674,516	52,571
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	65,360	(12,174)	114,845	40,464
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES				
Capital Appropriations	150,367		28,109	
Capital Grants and Contracts	43,891		30,354	
Additions to Permanent Endowments		19,604		15,195
Net Amounts Earned/Received on Behalf of Others		107		(1,397)
Capital Contribution	(345)		4,361	1,666
Disposal of Plant Facilities	(13,606)		(10,682)	
Gain from Sale of Discontinued Operations			9,655	
Other Additions/Deductions	2,317	(123)	(4,405)	(98)
Total Other Revenues, Expenses, Gains, and Losses	182,624	19,588	57,392	15,366
Total Increase in Net Assets	247,984	7,414	172,237	55,830
NET ASSETS				
Net Assets at Beginning of Year	2,141,392	350,421	1,969,153	294,591
Net Assets at End of Year	\$2,389,376	\$357,835	\$2,141,390	\$350,421

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, 2012 and 2011
(in thousands of dollars)

	University June 30, 2012	University June 30, 2011
CASH FLOWS FROM OPERATING ACTIVITIES		
Tuition and Fees	\$730,873	\$668,202
Grants and Contracts	667,310	601,982
Payments to Suppliers	(989,163)	(1,261,310)
Payments to Employees	(1,206,719)	(1,168,247)
Payments for Benefits	(317,157)	(295,311)
Payments for Scholarships and Fellowships	(47,620)	(41,232)
Loans Issued to Students and Employees	(6,308)	(4,409)
Collections of Loans to Students and Employees	5,353	5,439
Auxiliary Enterprises Receipts	301,266	263,276
Sales and Service, Educational	17,769	15,899
Sales and Service, Independent Operations	68,408	75,050
Sales and Service, Public Service Activities	415,292	741,461
Net Cash Used for Operating Activities	(360,696)	(399,200)
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES		
State Appropriations	580,609	582,533
State Appropriations - Federal Stimulus Funds	10	37,897
Tuition Remitted to the State	(37,029)	(49,731)
Federal Appropriations	6,845	5,826
Gifts and Grants for Other Than Capital Purposes	24,794	22,376
Nonoperating Federal Grants	73,908	70,643
Student Organization Agency Transactions	(40)	303
Net Cash Provided by Noncapital Financing Activities	649,097	669,847
CASH FLOWS FROM CAPITAL AND OTHER FINANCING ACTIVITIES		
Proceeds from Capital Debt		539,012
Bond Issuance Costs Paid	(24)	(10,971)
Capital Appropriations	133,653	21,822
Capital Grants and Contracts	46,187	30,099
Purchases of Capital Assets and Construction	(318,942)	(221,979)
Principal Paid on Capital Debt and Leases	(72,885)	(62,239)
Interest Paid on Capital Debt and Leases	(54,929)	(53,469)
Use of Debt Proceeds on Deposit with Trustees	(345,214)	(148,602)
Net Cash (Used for) / Provided by Capital Financing Activities	(612,154)	93,673
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from Sales and Maturities of Investments	1,379,520	1,028,009
Interest on Investments	17,872	20,639
Purchase of Investments	(1,409,649)	(1,029,342)
Net Cash (Used for) / Provided by Investing Activities	(12,257)	19,306
NET (DECREASE)/INCREASE IN CASH AND CASH EQUIVALENTS	(336,010)	383,626
Cash and Cash Equivalents - Beginning of the Year	1,246,614	862,988
Cash and Cash Equivalents - End of Year	\$910,604	\$1,246,614
RECONCILIATION OF OPERATING LOSS TO NET CASH USED BY OPERATING ACTIVITIES		
Operating Loss	(\$534,099)	(\$559,671)
<i>Adjustments to reconcile loss to net cash used by Operating Activities:</i>		
Depreciation and Amortization Expense	163,166	159,854
<i>Changes in Assets and Liabilities:</i>		
Receivables, net	(6,038)	(2,746)
Inventories	1,146	(9,370)
Due to/from Related Organizations	(212)	467
Accounts Receivable/Payable UMass Memorial	(7,953)	16,283
Other Assets	(1,969)	753
Accounts Payable (non-capital)	10,079	(11,551)
Accrued Liabilities	16,623	9,586
Deferred Revenue	(4,036)	6,338
Advances and Deposits	3,169	741
Other Liabilities	(572)	(9,884)
Net Cash Used for Operating Activities	(360,696)	(399,200)
SUPPLEMENTAL DISCLOSURE OF NONCASH ACTIVITIES:		
Assets acquired and included in accounts payable and other liabilities	\$95,253	\$62,091
Loss on disposal of capital assets	(13,606)	(10,932)
Securities lending activity		(2,664)
Unrealized gains on investments	(17,711)	48,623

The accompanying notes are an integral part of the financial statements.

**University of Massachusetts
Notes to Financial Statements
June 30, 2012 and 2011**

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

ORGANIZATION

The financial statements herein present the financial position, results of operations, changes in net assets, and cash flows of the University of Massachusetts (“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 (“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, of which U Health Solutions, Inc. (“UHS”) see note 6) is a subsidiary, 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. (“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 (“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. Promises of additions to non-expendable endowments are not recognized until cash or other assets are 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 requires external financial statements to be reported on a consolidated basis and establishes standards for external financial reporting by public colleges and universities that resources be classified into the following net asset 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:** Net assets subject to externally imposed stipulations that they be maintained permanently by the University.
- **Restricted Expendable:** Net assets 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:** Net assets 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 to net assets, and included in supplies and services on 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.

CLASSIFICATION OF ASSETS AND LIABILITIES

The University presents current and non-current assets and liabilities in the statements of net assets. 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 in 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 amount 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 statement.

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, 2012 and 2011 was \$124.7 million and \$125.9 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 2012 and 2011. 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 assets to temporarily restricted net assets, and would be recorded in realized and unrealized gains (losses) on sale of investments. In fiscal years 2012 and 2011, the deficiencies were \$1.2 million and \$0.4 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.

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 or historical treasures. Effective fiscal year 2012, the University no longer capitalizes library book acquisitions.

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
Library Books	15 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 assets 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 estimated accrual.

DEFERRED REVENUE

Deferred revenue consists of amounts billed or received in advance of the University providing goods or services. Deferred 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, 2012 and 2011 record as tuition revenue approximately \$37.0 million and \$49.7 million, respectively, of tuition received by the University and remitted to the State Treasurer's Office for the general fund of the Commonwealth of Massachusetts. During fiscal year 2004, the Amherst campus was granted authority to retain tuition for out of state students as part of a pilot program authorized by the Commonwealth. This pilot program was extended indefinitely in 2005. This program has been approved effective 2012 for the remaining campuses. The amount of tuition retained by the University during 2012 and 2011 was \$50.8 million and \$34.6 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):

	2012	2011
Gross Commonwealth Appropriations	\$425,656	\$434,963
Plus: Fringe Benefits	154,953	147,511
	<u>580,609</u>	<u>582,474</u>
Less: Tuition Remitted	(37,029)	(49,731)
Less: Mandatory Waivers	(26,187)	(26,944)
Net Commonwealth support	<u>\$517,392</u>	<u>\$505,799</u>

As part of the fiscal year 2010 budget process, the University received a budget from the Commonwealth that was \$95.7 million less than the previous year. In order to address this significant decrease in funding, Governor Deval Patrick awarded \$150.6 million in Education Stabilization Funds to the University. These funds originated from the passage of the American Recovery and Reinvestment Act ("ARRA") of 2009 and were utilized for educational and general expenditures in order to mitigate the need to raise tuition and fees for in-state residents and to modernize, renovate, or repair facilities. In fiscal year 2011, the University's prior year budget cut was partially restored with an increase of \$44.5 million. Additionally, the state awarded \$37.9 million in State Fiscal Stabilization funds ("SFSF") to the University. Fringe benefits for payroll at the rate of 31.82% were funded by the University as charged to these funds. These funds were not appropriated to the University in fiscal year 2012.

AUXILIARY ENTERPRISES

Auxiliary Enterprise revenue of \$298.0 million and \$272.0 million for the years ended June 30, 2012 and 2011 respectively are stated net of room and board charge allowances of \$0.6 million and \$1.7 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 \$360.3 million and \$345.7 million for the years ended June 30, 2012 and 2011, respectively. Included in expenditures are Commonwealth Medicine expenditures of \$311.9 million and \$316.5 million for the years ended June 30, 2012 and 2011, 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 as required by the enabling legislation enacted by the Commonwealth in 1997. Educational services revenues included in public service revenues were \$112.3 million and \$200.2 million for the years ended June 30, 2012, and 2011, respectively. Finally, Public Service Activity expenditures also include payments made to the Commonwealth of Massachusetts of \$60.0 million and \$177.0 million for the years ended June 30, 2012 and 2011, 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, 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, 2012 and June 30, 2011, 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 Worcester Medical School campus has assumed the obligation for the cost of fringe benefits provided by the Commonwealth to University employees (other than those employees

paid from state appropriated funds) for all periods on or after July 1, 1989. The University 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 of Massachusetts and University of Massachusetts Building Authority are agencies of the Commonwealth of Massachusetts and are exempt from Federal income tax under Section 115(a) of the Internal Revenue Code. The Worcester City Campus Corporation, U Health Solutions, Inc. and the University Related Organizations are 501(c)(3) organizations and are exempt from Federal Income tax under the Internal Revenue Code and similar state provisions. Accordingly, no provision for income taxes has been recorded in the accompanying financial statements.

COMPARATIVE INFORMATION AND RECLASSIFICATIONS

The University's financial statements include prior year comparative information. Certain prior year amounts have been reclassified to conform with the current year presentation. During 2012, the University changed certain information in financial year 2011 classifications which resulted in an increase in Institutional Support of \$5.7 million, increase in Interest on Indebtedness of \$1.2M, decrease to Research Expense of \$5.7 million and decrease in Other Additions and Deductions of \$1.2 million. These reclassifications have no effect on the total net assets at June 30, 2011 or changes in net assets for the year then ended. Management considers these errors to be immaterial.

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 22.8% and 21.6% of the University's investments at June 30, 2012 and 2011, 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 for 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, 2012 and 2011, all cash and investment accounts were held on behalf of the University by the Trustees, in the Trustee's 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; non-interest bearing accounts are fully insured through December 31, 2013. None of the accounts are collateralized above the FDIC insured amounts. The University also invested in individual CD's and BNY Mellon's CDARS program. These funds are invested in individual certificates of deposit in \$250,000 increments and are therefore fully insured by the FDIC. At June 30, 2012 and 2011, the carrying amounts, bank balances and FDIC insured amounts are as follows (in thousands):

	2012			2011		
	Book Balance	Bank Balance	FDIC Insured	Book Balance	Bank Balance	FDIC Insured
Depository Accounts	\$ 42,057	\$ 59,054	\$ 58,698	\$ 37,400	\$ 55,400	\$ 54,800
Certificates of Deposit	40,650	40,650	40,400	40,650	40,650	40,650
Money Market	217,006	217,006	1,500	186,730	186,730	1,500
Total	\$ 299,713	\$ 316,710	\$ 100,598	\$ 264,780	\$ 282,780	\$ 96,950

At June 30, 2012 the University held a carrying and fair market value of \$638.7 million in non-money market investments compared to a carrying and fair market value of \$632.0 million at June 30, 2011. In the event of negligence due to the University's custodian and/or investment manager(s), it is expected that investment balances of \$638.7 million and \$632.0 million at June 30, 2012 and 2011, 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, 2012 and June 30, 2011, respectively, there is no portion 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 shows the fair value (in thousands) and average credit quality of the fixed income component of the University's investment portfolio as of June 30, 2012 and 2011, respectively:

<u>Asset Class</u>	<u>June 30, 2012 Fair Value</u>	<u>Average Credit Quality</u>	<u>June 30, 2011 Fair Value</u>	<u>Average Credit Quality</u>
Short duration	\$304,965	AAA	\$263,212	AAA
Intermediate duration	246,646	A	270,530	A

The table below shows the fair value (in thousands) by credit quality of the rated debt investments component of the University's investment portfolio as of June 30, 2012 and 2011, respectively:

Rated Debt Investments - 2012
(in thousands)

	S&P Quality Ratings								
	Fair Value	AAA	AA	A	BBB	BB	B	<B	Unrated
U.S Agencies	\$ 19,180	\$ 1,124	\$ 18,020	\$ -	\$ -	\$ -	\$ -	\$ 36	\$ -
U.S Government	24,244	73	23,053	1,118	-	-	-	-	-
Foreign Gov'n't Bonds	2,186	1,141	91	26	202	410	-	-	316
Certificates of Deposit	40,500	40,500	-	-	-	-	-	-	-
Corporate Debt	123,489	24,213	11,472	40,316	16,537	4,946	5,685	3,051	17,269
Bond Mutual Funds	96,456	39,924	4,016	13,524	18,308	1,833	694	359	17,798
Municipal/Public Bonds	4,725	752	2,044	1,386	169	-	55	-	319
Money Market Funds	240,831	237,034	1,090	-	-	-	-	-	2,707
	\$ 551,611	\$ 344,761	\$ 59,786	\$ 56,370	\$ 35,216	\$ 7,189	\$ 6,434	\$ 3,446	\$ 38,409

Rated Debt Investments - 2011
(in thousands)

	S&P Quality Ratings								
	Fair Value	AAA	AA	A	BBB	BB	B	<B	Unrated
U.S Agencies	\$ 29,986	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 48	\$ 29,938
U.S Government	11,172	2,565	-	-	-	-	-	-	8,607
Foreign Gov'n't Bonds	2,753	1,763	-	141	449	94	-	-	306
Certificates of Deposit	40,500	40,500	-	-	-	-	-	-	-
Corporate Debt	135,746	32,440	10,533	35,762	25,173	6,716	6,569	3,696	14,857
Bond Mutual Funds	110,469	21,758	7,959	14,275	15,973	1,657	891	550	47,406
Municipal/Public Bonds	4,340	1,512	531	843	304	36	152	234	728
Money Market Funds	198,776	197,805	-	-	-	-	-	-	971
	\$ 533,742	\$ 298,343	\$ 19,023	\$ 51,021	\$ 41,899	\$ 8,503	\$ 7,612	\$ 4,528	\$ 102,813

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 Investment Policy 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, 2012 and 2011, respectively:

<u>Asset Class</u>	<u>6/30/12 Allocation</u>	<u>6/30/12 Fair Value</u>	<u>6/30/11 Allocation</u>	<u>6/30/11 Fair Value</u>
Short Duration	35%	\$304,965	32%	\$263,212
Intermediate Duration	28%	246,646	33%	270,530
Alternative Assets	23%	200,219	21%	179,027
Equities	11%	102,895	12%	100,570
Commodities	2%	17,836	2%	14,791
Real Estate	1%	5,281	0%	2,100

Investments - 2012

(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	\$ 19,180	\$ 5,883	\$ 3,130	\$ -	\$ 10,167
US Government	24,244	1,145	18,005	5,021	73
Foreign Government Bonds	2,186	-	500	691	995
Certificates of Deposit	40,500	40,500	-	-	-
Corporate Debt	123,489	12,187	45,211	22,394	43,697
Bond Mutual Funds	96,456	4,188	67,662	14,017	10,589
Municipal/Public Bonds	4,725	231	865	1,347	2,282
Money Market Mutual Funds	240,831	240,831	-	-	-
Sub Total Debt Securities	\$ 551,611	\$ 304,965	\$ 135,373	\$ 43,470	\$ 67,803

Other Investments

Alternative Assets	\$ 200,219
Equity Securities- International	44,472
Equity Securities- Domestic	58,423
Commodities	17,836
Real Estate	5,281
Grand Total	\$ 877,842

Investments - 2011

(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	\$ 29,986	\$ 9,968	\$ 2,468	\$ 1,198	\$ 16,352
US Government	11,172	836	6,551	3,476	309
Foreign Government Bonds	2,753	-	373	2,380	-
Certificates of Deposit	40,500	40,500	-	-	-
Corporate Debt	135,746	8,254	57,256	26,662	43,574
Bond Mutual Funds	110,469	4,878	53,820	41,892	9,879
Municipal/Public Bonds	4,340	-	612	663	3,065
Money Market Mutual Funds	198,776	198,776	-	-	-
Sub Total Debt Securities	\$ 533,742	\$ 263,212	\$ 121,080	\$ 76,271	\$ 73,179

Other Investments

Alternative Assets	\$ 179,027
Equity Securities- International	49,558
Equity Securities- Domestic	51,012
Commodities	14,791
Real Estate	2,100
Grand Total	\$ 830,230

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 \$29.0 million at June 30, 2012 and \$19.7 million at June 30, 2011. 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 Federal Deposit Insurance Corporation (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, 2012 and June 30, 2011 there are investments of \$63,000 and \$2.0 million, respectively, available from Master Lease agreements entered into by the University for capital asset purchases at the Amherst and Boston campuses. Additionally, there is \$13.7 million and \$11.0 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 \$805 million and \$1.154 billion, respectively, held by trustees related to the Building Authority. At June 30, 2011, this includes \$3.8 million of designated funds awarded by the Commonwealth of Massachusetts for

capital projects which are held in trust by the Building Authority. At June 30, 2012 there were no funds designated. Also, at June 30, 2011, there was \$3.4 million available to be used by WCCC for capital construction purposes. At June 30, 2012, there were no funds available to be used by WCCC for capital construction purposes.

Pursuant to Trust Agreements between the Building Authority and its bond trustees, all funds deposited with those trustees (approximately \$0.8 billion at June 30, 2012 and \$1.2 billion at June 30, 2011) 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 held by Trustees consist of the following as of June 30, 2012 and 2011 (in thousands):

	<u>2012</u>	<u>2011</u>
Fully insured bank accounts	\$56	\$70
Permitted money market accounts (MMA)	<u>575,203</u>	<u>506,074</u>
	<u>\$575,259</u>	<u>\$506,144</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, 2012 and 2011, the Building Authority’s cash deposits of \$.06 million and \$.07 million, respectively, were not subject to custodial credit risk as they were fully insured. 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, 2012 (in thousands):

<u>Investment type</u>	<u>Investment Maturities (in Years)</u>				
	<u>Fair value</u>	<u>Less than 1</u>	<u>1 to 5</u>	<u>6 to 10</u>	<u>More than 10</u>
Debt Securities					
US Treasuries	\$ 10,247	\$ -	\$ 10,247	\$ -	\$ -
US Agencies	214,500	30,495	184,005	-	-
Repurchase Agreements	5,318	-	-	5,318	-
MMA	<u>575,203</u>	<u>575,203</u>	-	-	-
	<u>\$ 805,268</u>	<u>\$ 605,698</u>	<u>\$ 194,252</u>	<u>\$ 5,318</u>	<u>\$ -</u>
Other Investments:					
MDFA Bonds	\$ 673				
Revolving Loan	13,735				
Master Leases	63				
	<u>\$ 819,738</u>				

As of June 30, 2011 (in thousands):

<u>Investment type</u>	<u>Investment Maturities (in Years)</u>				
	<u>Value</u>	<u>Less than 1</u>	<u>1 to 5</u>	<u>6 to 10</u>	<u>More than 10</u>
Debt Securities					
US Treasuries	\$ 71	\$ 71	\$ -	\$ -	\$ -
US Agencies	642,201	103,037	519,235	19,930	-
Repurchase Agreements	5,318	-	-	5,318	-
MMA	<u>506,074</u>	<u>506,074</u>	-	-	-
	<u>\$1,153,664</u>	<u>\$609,182</u>	<u>\$519,235</u>	<u>\$25,248</u>	<u>\$ -</u>
Other Investments:					
MDFA Bonds	\$ 3,416				
Revolving Loan	10,987				
Master Leases	2,037				
	<u>\$ 1,170,104</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 certificates 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 (MMDT), a money market account sponsored by the Treasurer of the Commonwealth and managed by Fidelity Investments. Additionally, the Building Authority's Bond Trustee invests some of the Building Authority's funds in money market accounts that are permitted and are collateralized by Treasuries.

No credit risk disclosures are required under GASB 40 related to the Building Authority's investment in Treasuries. The Building Authority's investments in Agencies are rated at the highest level by Standard & Poor's Rating Services and Moody's Investors Service, Inc. The Building Authority's investments in repurchase agreements are fully collateralized by Treasuries and Agencies but are not themselves rated. The 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, 2012 the Building Authority had 10.1% of its investments with the Federal Home Loan Mortgage Corporation. As of June 30, 2011 the Building Authority had 16.1% of its investments with the Federal Home Loan Mortgage Corporation, 16.1% of its investments with the Federal Home Loan Bank and 21.6% of its investments with the Federal National Mortgage Association.

5. ACCOUNTS, GRANTS AND LOANS RECEIVABLE

Accounts, grants and loans receivable at June 30 consist of the following (in thousands):

University:	2012	2011
Students Accounts Receivable	\$47,167	\$41,534
Less allowance for uncollectible accounts	(16,329)	(15,303)
	<u>30,838</u>	<u>26,231</u>
Grants and Contracts Receivable	82,335	81,391
Less allowance for uncollectible accounts	(2,427)	(3,223)
	<u>79,908</u>	<u>78,168</u>
Students Loans Receivable	42,938	41,822
Less allowance for uncollectible accounts	(309)	(258)
	<u>42,629</u>	<u>41,564</u>
Commonwealth Medicine	56,216	64,599
Less allowance for uncollectible accounts	(1,007)	(947)
	<u>55,209</u>	<u>63,652</u>
Other	62,611	55,218
Less allowance for uncollectible accounts	(1,462)	(1,362)
	<u>61,149</u>	<u>53,856</u>
Total, net	\$269,733	\$263,471
Less current portion, net	(227,740)	(224,309)
Long-term, net	<u>\$41,993</u>	<u>\$39,162</u>

UMASS MEMORIAL

Effective March 31, 1998, the former University of Massachusetts Clinical Services Division (which was comprised of the University of Massachusetts Medical School Teaching Hospital Trust Fund, University of Massachusetts Medical School - Group

Practice Plan, and the University of Massachusetts Medical Center Self Insurance Trust), was merged into a separate Massachusetts not-for-profit corporation named UMass Memorial Health Care, Inc. ("UMass Memorial"). UMass Memorial, a separate entity, is not under the control of the University, and therefore is not a component of these financial statements. In connection with the merger of UMass Memorial and the former Clinical Services Division of the University in 1998, 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, 2012 and 2011, the reimbursements for services provided to UMass Memorial were \$128.5 million and \$127.0 million, respectively. Included in these amounts is payroll paid by the University on behalf of UMass Memorial in an agency capacity in the amount of \$83.1 million and \$80.9 million for fiscal years 2012 and 2011, respectively. At June 30, 2012 and 2011, the University has recorded a receivable in the amount of \$5.8 million and \$10.7 million, respectively from UMass Memorial consisting of \$2.8 million and \$9.0 million, respectively, in payroll and related fringe charges. The University has recorded a payable at June 30, 2012 of \$3.6 million primarily for cross-funded payroll. At June 30, 2011, the University had a payable of \$16.4 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, 2012, the net assets of the Foundation included as related organizations in the combined financial statements of the University are \$365.4 million, of which \$342.5 million are restricted funds and \$23.0 million are unrestricted funds. During the fiscal year ended June 30, 2012, the University received approximately \$40.6 million from the Foundation, and disbursed approximately \$42.9 million to the Foundation of which \$35.2 million related to the establishment of quasi-endowment. At June 30, 2012, the University's investments include \$242.9 million of endowment funds held in a custodial relationship at the Foundation, and \$229.9 million in ITIF.

As of June 30, 2011, the net assets of the Foundation included as related organizations in the combined financial statements of the University are \$360.0 million, of which \$338.9 million are restricted funds and \$21.1 million are unrestricted funds. During the fiscal year ended June 30, 2011, the University received approximately \$18.2 million from the Foundation, and disbursed approximately \$8.3 million to the Foundation of which none related to the establishment of quasi-endowment. At June 30, 2011, the University's investments include \$212.7 million of endowment funds held in a custodial relationship at the Foundation, and \$245.5 million in ITIF.

The University leases office space from the Foundation for an annual rent of approximately \$0.5 million.

UHealthSolutions, Inc. (formerly Public Sector Partners, Inc. "PSP") and its previously wholly-owned subsidiary, MedMetrics Health Partners, Inc., is a corporation that offers a wide range of program management and consulting services to both public sector agencies and nonprofit organizations. UHS is affiliated with Commonwealth Medicine, a division of the Medical School and WCCC is its sole member. The majority of the net assets of MHP were sold to a third party on April 11, 2011, and the remainder of the MHP assets were transferred to UHS. UHS received \$12.7 million as consideration and recognized a gain of the sale of the net assets of \$9.7 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 after 3 years 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. As of June 30, 2012 and 2011, the Authority had provided operating support for the Club of approximately \$0.2 million and \$0.7 million, respectively.

7. INVESTMENT IN PLANT

Investment in plant activity for the year ended June 30, 2012 is comprised of the following (in thousands):

University:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$3,126,849	\$207,543	(\$12,181)
Equipment and Furniture	614,625	28,305	(38,443)	604,487
Software	133,264	2,915	(2,097)	134,082
Library Books	110,423	-	(8,805)	101,618
	3,985,161	238,763	(61,526)	4,162,398
Accumulated Depreciation	(1,868,779)	(163,582)	41,784	(1,990,577)
Sub-Total	2,116,382	75,181	(19,742)	2,171,821
Land	56,556	2,216	(941)	57,831
Construction in Progress	409,713	537,862	(79,041)	868,534
Sub-Total	466,269	540,078	(79,982)	926,365
Total	\$2,582,651	\$615,259	(\$99,724)	\$3,098,186

University Related Organizations:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$7,942	-	-
Equipment and Furniture	172	-	(\$2)	170
	8,114	-	(2)	8,112
Accumulated Depreciation	(455)	(\$195)	-	(650)
Sub-Total	7,659	(195)	(2)	7,462
Land	1,360	-	-	1,360
Total	\$9,019	(\$195)	(\$2)	\$8,822

Investment in plant activity for the year ended June 30, 2011 is comprised of the following (in thousands):

University:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$2,885,304	\$242,806	(\$1,261)
Equipment and Furniture	601,564	35,349	(22,288)	614,625
Software	128,331	4,933	-	133,264
Library Books	109,968	8,932	(8,477)	110,423
	3,725,167	292,020	(32,026)	3,985,161
Accumulated Depreciation	(1,731,042)	(158,831)	21,094	(1,868,779)
Sub-Total	1,994,125	133,189	(10,932)	2,116,382
Land	52,989	3,567	-	56,556
Construction in Progress	277,278	277,562	(145,127)	409,713
Sub-Total	330,267	281,129	(145,127)	466,269
Total	\$2,324,392	\$414,318	(\$156,059)	\$2,582,651

University Related Organizations:	Beginning Balance	Additions/ Adjustments	Retirements/ Adjustments	Ending Balance
	Buildings and Improvements	\$1,119	\$7,398	(575)
Equipment and Furniture	172	-	-	172
	1,291	7,398	(575)	8,114
Accumulated Depreciation	(352)	(126)	23	(455)
Sub-Total	939	7,272	(552)	7,659
Land	760	800	(200)	1,360
Total	\$1,699	\$8,072	(752)	\$9,019

At June 30, 2012 and 2011, investment in plant included capital lease assets of approximately \$84.7 million and \$85.0 million, respectively, net of accumulated depreciation on capital lease assets of approximately \$74.0 million and \$70.0 million, respectively (see Note 9). The University had a capital contribution of \$4.4 million during 2011 mostly due to a gift and \$29.8 million during 2010 as a result of acquiring assets below fair value.

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, 2012 and 2011, the University capitalized net interest costs of \$41.4 million and \$35.2 million respectively.

8. BONDS PAYABLE

Amounts outstanding at June 30, 2012 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%	\$ 17,665
Series 2004-A	96,025	2015	4.2-4.5%	8,765
Series 2004-1	183,965	2016	5.25%	32,195
Series 2005-1	25,595	2016	5.0%	10,440
Series 2005-2	212,550	2025	5.0%	189,645
Series 2006-2	21,240	2014	5.47-5.49%	5,375
Series 2008-A	26,580	2038	variable	23,630
Series 2008-1	232,545	2038	variable	208,515
Series 2008-2	120,560	2038	4.0-5.0%	110,750
Series 2009-1	247,810	2039	3.0-5.0%	228,665
Series 2009-2	271,855	2039	6.423-6.573%	271,855
Series 2009-3	28,570	2039	5.283-6.173%	28,155
Series 2010-1	118,985	2020	5.0%	114,275
Series 2010-2	430,320	2040	3.8-5.45%	430,320
Series 2010-3	3,005	2040	6%	2,965
Series 2011-1	135,040	2034	variable	133,765
Series 2011-2	101,700	2034	variable	100,875
				<u>1,917,855</u>
			Unamortized Bond Premium	35,946
			Less Deferred Loss on Refunding	(69,719)
			SUBTOTAL	<u>1,884,082</u>
University of Massachusetts HEFA/MDFA:				
2000 Series A	\$ 20,000	2030	variable	\$ 20,000
2002 Series C	35,000	2034	4.2%	740
2007 Series D	10,435	2031	3.5-4.25%	10,090
Series 2011	29,970	2034	2.5-4.0%	29,970
				<u>60,800</u>
			Unamortized Bond Premium	1,161
			SUBTOTAL	<u>61,961</u>
WCCC HEFA/MDFA:				
Series 2005-D	\$ 99,325	2029	5.0-5.25%	\$ 84,895
Series 2007-E	118,750	2036	3.5-5.0%	110,520
Series 2007-F	101,745	2036	4.0-5.0%	89,695
Series 2011	10,495	2023	2.0-5.0%	10,495
				<u>295,605</u>
			Unamortized Bond Premium	9,381
			Deferred Loss on Refunding	(12,129)
			SUBTOTAL	<u>292,857</u>
MDFA:				
Clean Renewable Energy Bonds	\$1,625	2027	3.5%	1,434
			TOTAL	<u><u>\$ 2,240,334</u></u>

Bonds payable activity for the year ended June 30, 2012 is summarized as follows (in thousands):

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Retirements/ Repayments</u>	<u>Ending Balance</u>
University of Massachusetts Building Authority:				
Series 2000-A	\$1,645		(\$1,645)	-
Series 2003-1	23,045		(5,380)	\$17,665
Series 2004-A	10,735		(1,970)	8,765
Series 2004-1	39,935		(7,740)	32,195
Series 2005-1	12,745		(2,305)	10,440
Series 2005-2	197,825		(8,180)	189,645
Series 2006-2	7,860		(2,485)	5,375
Series 2008-A	24,435		(805)	23,630
Series 2008-1	215,120		(6,605)	208,515
Series 2008-2	113,105		(2,355)	110,750
Series 2009-1	240,120		(11,455)	228,665
Series 2009-2	271,855			271,855
Series 2009-3	28,570		(415)	28,155
Series 2010-1	118,985		(4,710)	114,275
Series 2010-2	430,320			430,320
Series 2010-3	3,005		(40)	2,965
Series 2011-1	135,040		(1,275)	133,765
Series 2011-2	101,700		(825)	100,875
Plus: unamortized bond premium	44,031		(8,085)	35,946
Less: deferred loss on refunding	(72,376)		2,657	(69,719)
Subtotal	1,947,700		(63,618)	1,884,082
UMass HEFA/MDFA:				
2000 Series A	20,000			20,000
2001 Series B	280		(280)	-
2002 Series C	30,660		(29,920)	740
2007 Series D	10,140		(50)	10,090
Series 2011		29,970		29,970
Plus: unamortized bond premium		1,161		1,161
Subtotal	61,080	31,131	(30,250)	61,961
WCCC HEFA/MDFA:				
WCCC 2001 Series B	12,545		(12,545)	-
WCCC 2005 Series D	87,800		(2,905)	84,895
WCCC 2007 Series E	112,295		(1,775)	110,520
WCCC 2007 Series F	92,165		(2,470)	89,695
Series 2011		10,495		10,495
Plus: unamortized bond premium	8,638	1,113	(370)	9,381
Less: deferred loss on refunding	(12,568)		439	(12,129)
Subtotal	300,875	11,608	(19,626)	292,857
MDFA:				
Clean Renewable Energy Bonds	1,530		(96)	1,434
Total	\$2,311,185	\$42,739	(\$113,590)	\$2,240,334

Maturities and interest, which is estimated using rates in effect at June 30, 2012, on bonds payable for the next five fiscal years and in subsequent five-year periods are as follows (in thousands):

	<u>Principal</u>	<u>Interest</u>
2013	\$ 70,846	\$ 93,955
2014	77,846	91,093
2015	77,776	87,545
2016	79,701	83,941
2017	82,616	80,179
2018-2022	448,983	340,037
2023-2027	470,323	244,657
2028-2032	467,425	150,945
2033-2037	331,450	68,816
2038-2042	168,728	11,904
Total	\$2,275,694	\$1,253,072

Bonds payable activity for the year ended June 30, 2011 is summarized as follows (in thousands):

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Retirements</u>	<u>Ending Balance</u>
University of Massachusetts Building Authority:				
Series 2000-A	\$3,215		(\$3,215)	-
Series 2000-1	1,155		(1,155)	-
Series 2000-2	5,680		(4,035)	\$1,645
Series 2003-1	28,205		(5,160)	23,045
Series 2004-A	12,630		(1,895)	10,735
Series 2004-1	45,960		(6,025)	39,935
Series 2005-1	14,945		(2,200)	12,745
Series 2005-2	200,040		(2,215)	197,825
Series 2006-2	10,825		(2,965)	7,860
Series 2008-A	25,215		(780)	24,435
Series 2008-1	221,475		(6,355)	215,120
Series 2008-2	115,370		(2,265)	113,105
Series 2008-3	136,275		(136,275)	-
Series 2008-4	102,495		(102,495)	-
Series 2009-1	244,410		(4,290)	240,120
Series 2009-2	271,855			271,855
Series 2009-3	28,570			28,570
Series 2010-1		\$118,985		118,985
Series 2010-2		430,320		430,320
Series 2010-3		3,005		3,005
Series 2011-1		135,040		135,040
Series 2011-2		101,700		101,700
Revolving Line of Credit	401		(401)	-
Plus: unamortized bond premium	29,787	21,177	(6,933)	44,031
Less: deferred loss on refunding	(42,048)	(32,267)	1,939	(72,376)
Subtotal	1,456,460	777,960	(286,720)	1,947,700
UMass HEFA:				
2000 Series A	20,000			20,000
2001 Series B	546		(266)	280
2002 Series C	31,345		(685)	30,660
2007 Series D	10,190		(50)	10,140
Subtotal	62,081		(1,001)	61,080
WCCC HEFA:				
WCCC 2001 Series B	13,700		(1,155)	12,545
WCCC 2005 Series D	90,575		(2,775)	87,800
WCCC 2007 Series E	114,000		(1,705)	112,295
WCCC 2007 Series F	94,530		(2,365)	92,165
Plus: unamortized bond premium	9,029		(391)	8,638
Less: deferred loss on refunding	(13,266)		698	(12,568)
Subtotal	308,568		(7,693)	300,875
MDFA:				
Clean Renewable Energy Bonds		1,625	(95)	1,530
Total	\$1,827,109	\$779,585	(295,509)	2,311,185

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 of 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 \$200.0 million. The Building Authority issued bonds are all Commonwealth guaranteed with the exception of Series 2000-2, Series 2003-1, Series 2004-1, Series 2005-1, Series 2005-2, Series 2006-2 (federally taxable), Series 2008-1, Series 2008-2, Series 2009-1, Series 2009-2 (federally taxable), Series 2009-3 (federally taxable), Series 2010-1, Series 2010-2 (federally taxable), Series 2010-3 (federally taxable) and Series 2011-1.

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 The 2008-1 bonds are supported with an irrevocable direct pay letter of credit (the Lloyds LOC) issued by Lloyds TSB Bank plc (Lloyds). The Lloyds LOC, upon presentation of required documentation, will pay the Bond Trustee the amount necessary to pay the principal and accrued interest on the bonds. The Lloyds LOC expires in April 2013 and may be extended at the option of Lloyds. Under the terms of the Lloyds LOC, the Authority is required to pay Lloyds in quarterly installments a facility fee in the amount of 26.5 basis points (or higher, under certain circumstances) of the commitment amount. Fees accrued by the Building Authority in connection with the Lloyds LOC totaled \$0.6 million for the years ended June 30, 2012 and 2011.

The 2008-A bonds are supported by a standby bond purchase agreement with Bank of America, N.A. ("BofA") which requires BofA to purchase bonds tendered and not remarketed in an amount not to exceed the principal on the bonds plus accrued interest up to 184 days at an annual interest rate not to exceed 12 percent. Under this agreement, the Authority is required to pay BofA in quarterly installments a facility fee in the amount of 12 basis points of the initial commitment. The initial commitment under the agreement was set at \$28 million and is subject to adjustment from time to time in accordance with the provisions of the agreement. The agreement expires in April 2013 and may be extended at the option of the BofA. Fees accrued by the Authority in connection with the standby bond purchase agreement totaled \$43,600 and \$37,600 for the years ended June 30, 2012 and 2011, respectively.

The 2008-4 bonds were supported by a standby bond purchase agreement with Bank of America, N.A. (BofA) which required BofA to purchase bonds tendered and not remarketed in an amount not to exceed the principal on the bonds plus accrued interest up to 184 days at an annual interest rate not to exceed 12%. Under this agreement, the Building Authority was required to pay BofA in quarterly installments a facility fee in the amount of 35 basis points of the initial commitment. The initial commitment under the agreement was set at \$110.0 million and was subject to adjustment from time to time in accordance with the provisions of the agreement. The agreement expired in 2011 and could have been extended at the option of the BofA. Fees accrued by the Building Authority in connection with the standby bond purchase agreement totaled \$0 and \$362,000 for the years ended June 30, 2012 and 2011, respectively. The agreement terminated when the 2008-4 bonds were refunded in June of 2011.

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. Under this agreement, the Building Authority is 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 \$135.0 million and is subject to adjustment from time to time in accordance with the provisions of the agreement. The agreement expires in 2014 and may be extended at the option of the Wells. Fees accrued by the Building Authority in connection with the standby bond purchase agreement totaled \$674,600 and \$33,400 for the years ended June 30, 2012 and 2011, respectively.

Window Bonds In fiscal year 2011, the Building Authority issued its 2011-2 bonds in a variable rate Window Bond mode. As with the Building Authority's other variable rate bonds, the Window Bondholders can tender the bonds at any time. But unlike the Building 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 Building 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 interest 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 2011, the Building Authority refunded the 2008-3 and 2008-4 series bonds with its 2011-1 and 2011-2 series bonds. Accordingly, the Building Authority deposited into trust accounts funds sufficient to provide for all future debt service payments on the refunded bonds which were fully repaid in August 2012 when the 2008-3 and 2008-4 series bonds were called.

In previous fiscal years the Building Authority has advanced refunded various bonds by depositing into various trust accounts funds sufficient to provide for all future debt service payments on the refunded bonds until the bonds could be called. Assets held in the trust accounts for this purpose had an aggregate market value of approximately \$311.7 million and \$315.7 million as of June 30, 2012 and 2011, respectively. The unpaid principal amount of the refunded bonds totaled \$292.0 million and \$294.3 million as of June 30, 2012 and 2011, respectively.

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 recorded in the University's financial statements.

In connection with the Building Authority's prior advanced refundings, the Building Authority recorded a difference between the reacquisition price and the net carrying amount of the old debt of approximately \$45.5 million. This difference is being reported as a reduction from bonds payable and will be amortized as an increase in interest expense over the original life of the refunded bonds. The

refundings reduced the Building Authority's debt service payments in future years by approximately \$26.2 million and resulted in an economic gain (the present value of the savings) of approximately \$16.0 million.

Bond Premium, Issuance Expenses and Deferred Amount on Refundings. In connection with the Building Authority's bond issues, the Building Authority received premiums at issuance totaling approximately \$67.3 million. The Building Authority will amortize the premiums received as a reduction in interest expense over the life of the respective bond issue.

In connection with the Building Authority's bonds issues, the Building Authority incurred certain issuance costs associated with the bond offerings totaling approximately \$24.0 million. These issuance costs have been capitalized by the University and will be amortized over the life of the respective bond issue.

Pledged Revenues Pursuant to the projects administered by the University of Massachusetts Building Authority, the Authority sets fees, rents, rates and other charges for the use of the projects for each fiscal year in an amount that produces revenues in excess of the amounts needed in such fiscal year for debt service on the related bonds, required contributions to the related Section 10 Reserve Fund, expenses for the Bond trustee and any escrow agent. Such excess revenues are held by the University for the account of and on behalf of the Authority. Total applicable pledged revenues were \$68.4 million for 2012 and \$66.5 million for 2011.

Interest Rate Swaps The Building Authority uses derivative instruments to manage the cash flow impact of interest rate changes on its cash flows and net assets. The Building Authority utilizes financial derivative instruments to attempt to mitigate its exposure to certain market risks associated with operations and does not use derivative instruments for trading or speculative purposes.

The Building Authority's contracts are evaluated pursuant to GASB Statement No. 53, *Accounting and Financial Reporting for Derivative Instruments* (GASB Statement 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 Building Authority applies hedge accounting for derivative instruments that are deemed effective hedges and under GASB Statement No. 53 are referred to as hedging derivative instruments. Under hedge accounting, changes in the fair value of a hedging derivative instrument are reported as a deferred inflow or deferred outflow on the Statement of Net Assets until the contract is settled or terminated.

All settlement payments or receipts for hedging derivative instruments are recorded as interest expense in the period settled.

The Building Authority's hedging derivative instruments at June 30, 2012 are as follows (in thousands):

	Fair Value June 30, 2012	Net Change in Fair Value	Fair Value June 30, 2011	Type of Hedge	Financial Statement Classification for Changes in Fair Value
Series 2008-1 Swap	\$(44,721)	\$ (24,877)	\$(19,844)	Cash Flow	Deferred outflow
Series 2008-A Swap	(5,126)	(2,808)	(2,318)	Cash Flow	Deferred outflow
Series 2006-1 Swap	(56,263)	(27,083)	(29,180)	Cash Flow	Deferred outflow
Total	\$(106,110)	\$(54,768)	\$(51,342)		

The terms of the Building Authority's financial derivative instruments that were outstanding at June 30, 2012 are summarized below (in thousands):

Type	Effective Date	Terminatio n Date	Rate Authority Pays	Authority Receives	Original Notional Value	
Series 2008-1 Swap	Synthetic Fixed	5/1/2008	5/1/2038	3.388%	70% of 1-Month LIBOR	\$232,545
Series 2008-A Swap	Synthetic Fixed	5/1/2008	5/1/2038	3.378%	70% of 1-Month LIBOR	\$26,580
Series 2011-1 and 2001-2 Swap	Synthetic Fixed	4/20/2006	11/1/2034	3.482%	60% of 3-Month LIBOR + .18%	\$243,830

Fair Values The fair values of the swaps were 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.

Credit risk As of June 30, 2012, the Building Authority was not exposed to credit risk on the swaps with \$106.1 million in negative fair value. 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 Building 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 Building Authority's counterparties at June 30, 2012 are as follows:

	Credit Ratings		
	Moody's	S & P	Fitch
UBS AG	A2	A	A
Deutsche Bank AG	A2	A+	A+
Citi Bank NA	A3	A	A

Basis risk The Building Authority is exposed to basis risk on its pay-fixed interest rate swaps because the variable-rate payment received by the Building Authority (a percent of LIBOR) on these hedging derivative instruments are based on indexes other than the actual interest rates the Building 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 Building Authority uses the International Swap Dealers Association Master Agreement (Master Agreement), which includes standard termination events, such as failure to pay and bankruptcy. The Schedule to the Master Agreement includes "additional termination events". The additional termination events provide that the swap may be terminated by the Building 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 Building Authority is withdrawn, suspended or falls below certain levels or the Building Authority fails to have a rating. The Building Authority or the counterparties may terminate the swaps if the other party fails to perform under the terms of the contract. The Building 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 Building 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 Building Authority is owed money or must pay money to close out a swap position. A negative fair value means the Building Authority would incur a loss and need to make a termination payment to settle the swap position. A positive fair value means the Building Authority would realize a gain and receive a termination payment to settle the swap position.

Contingencies All of the Building Authority's swaps include provisions that require the Building Authority to post collateral in the event its credit rating falls below certain levels. In the event the Building Authority is rated A2 by Moody's Investors Service or A by Standard & Poor's, the Building Authority would need to post collateral equal to amounts above the fair value of its swaps in liability positions above \$10.0 million. In the event the Building Authority is not rated or rated below A3 by Moody's Investors Service or below A- by Standard & Poor's the Building 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 Building Authority does not post collateral, the derivative instrument may be terminated by the counterparty. The Building Authority's credit rating is Aa2 from Moody's Investors Service and AA from Fitch Ratings at June 30, 2012; therefore, no collateral has been posted.

Termination of Hedge Accounting In June of 2012 the Building 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 Statement 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 \$22.2 million. The change in fair value of the Series 2006-1 Swap from the refunding date to June 30, 2012 is reported as a deferred outflow as the swap was determined to be effective at June 30, 2012.

Swap payments and associated debt Using rates as of June 30, 2012, 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. As rates vary, variable-rate bond interest payments and net swap payments will vary (in thousands).

Fiscal Year Ending June 30	Principal	Interest	Interest Rate Swaps, Net	Total
2013	\$ 9,680	\$ 395	\$ 14,871	\$ 24,946
2014	10,050	388	14,578	25,016
2015	10,430	381	14,251	25,062
2016	10,845	374	13,932	25,151
2017	11,625	366	13,536	25,527
2018-2022	94,640	1,668	60,972	157,280
2023-2027	158,250	1,045	38,932	198,227
2028-2032	124,330	397	15,578	140,305
2033-2037	35,035	48	1,814	36,897
2038	825	1	27	853
Total	<u>\$ 465,710</u>	<u>\$ 5,063</u>	<u>\$ 188,491</u>	<u>\$ 659,264</u>

The Building Authority maintains a Revolving Line of Credit (the Line) with BofA. The Line matures on the anniversary of the date of the agreement and can be extended or renewed at the option of the Bank. At the time of each draw on the Line the Building

Authority must elect to have the interest on the draw calculated based on (a) a percentage of the one-month, two-month or three-month LIBOR rate (LIBOR Rate) plus a fixed rate or (b) the higher of 75% Federal Funds Rate plus 0.5% or 75% the Bank's "prime rate" (Base Rate). Interest is due at the end of the one, two or three month period under a LIBOR Rate draw, the first business day of the calendar quarter for Base Rate draws or the Line's maturity date, whichever comes first. During the term of the Line the Building Authority can elect to have the interest charges incorporated into a subsequent draw. In November 2009 the Line was renewed until January 2012 for \$30.0 million, the unborrowed fee was increased to 0.25% and the interest rate was set at 65% of LIBOR plus 0.85%. In 2012 and 2011 the Building Authority paid \$30,000 and \$64,700, respectively related to charges for the Line. As of June 30, 2012 and 2011 the Building Authority had \$0 and \$0 respectively outstanding under the Line. The interest terms on the draws made under the Line in fiscal 2011 were one-month LIBOR and the interest rates ranged from 1.015% to 1.076%.

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 will be 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, B, C, D and 2011

The University, through MassDevelopment, has issued bonds in order to construct new student centers on the Boston and Lowell Campuses and to create a pool of funds to acquire telecommunications, electronics, computer, office, research, equipment and administrative systems and 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. On March 27, 2009 (the "Mandatory Purchase Date"), the Series A Bonds were subject to mandatory tender for purchase due to the expiration of the liquidity facility supporting the Series A Bonds and the conversion of the Series A Bonds from a weekly rate period to a long-term rate period. Only \$20.0 million of the Series A Bonds were remarketed on the Mandatory Purchase Date (the "Remarketed Series A Bonds" and together with the Series A Bonds the "Bonds"). The initial long-term rate of 0.85% ended on March 31, 2010. The Remarketed Series A Bonds were remarketed again on April 1, 2010 and now bear interest at the long-term rate of 2.20%. The new long-term rate period will end on March 31, 2013 and the Remarketed Series A Bonds will be subject to mandatory tender for purchase on April 1, 2013. 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 new 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. Average interest rates on the Bonds during fiscal year 2012 and 2011 were approximately 2.20% respectively. At June 30, 2012 and 2011, the outstanding principal balance on the Bonds is \$20.0 million.

Debt covenants The University of Massachusetts Series A, B, C and D 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 to an irrevocable trust fund to provide for payment of the University 2002 Series C Bonds. This payment was made as a lump sum in October 2012. The Series 2011 bonds were issued at a premium of \$1.2million. These bonds bear interest at various fixed rates ranging from 2.5% to 4% and mature on October 1, 2034. At June 30, 2012, the aggregate principal payment outstanding on these bonds was \$30.0 million. As a result of the refunding, 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 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 recorded in the University's financial statements.

Worcester City Campus Corporation Series B, 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 "Series 2011 Bonds"). The 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, 2012, the aggregate principal payments outstanding on these bonds were \$10.5 million. The proceeds of the Series 2011 Bonds were used to refund the MHEFA 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 \$101.7 million of Massachusetts Health and Education Facilities Authority ("MHEFA") Revenue Bonds (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, 2012 and June 30, 2011, the aggregate principal payments outstanding on this portion of the Series F Bonds were \$30.4 million and \$31.1 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, 2012 and 2011, the aggregate principal payments outstanding on this portion of the Series F Bonds were \$59.3 million and \$61.1 million, respectively.

In January 2007, WCCC issued \$118.8 million of MHEFA Revenue Bonds (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 to an irrevocable trust fund to provide for partial advanced refunding of outstanding MHEFA Series B Revenue Bonds. In accordance with the applicable guidance, a portion of the Series B Bonds totaling \$30.8 million and the related irrevocable trust has been derecognized by the Corporation.

In April 2005, WCCC issued \$99.3 million of MHEFA Revenue Bonds (the "Series D Bonds"). The Corporation deposited the proceeds to an irrevocable trust fund to provide for payment of the MHEFA Series A Revenue Bonds. In accordance with the applicable guidance, the 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 Series D Bonds were issued at a premium of \$4.1 million. At June 30, 2012 and 2011, the aggregate principal payment outstanding on the Series D Bonds was \$84.9 million and \$87.8 million, respectively. The proceeds from the 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 recorded 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 2012 and 2011, 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.

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 \$20.0 million and \$16.8 million for the years ended June 30, 2012 and 2011, respectively. The master leases primarily consist of telecommunications, software, and co-generation systems. The University also leases space to third party tenants. During 2012 and 2011, the amount reported as rental income was \$13.6 million and \$12.6 million, respectively. The master leases primarily consist of telecommunications, software, and co-generation systems.

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, 2012 (in thousands):

Year	University Capital Leases			Operating Leases	University June 30, 2012 Capital Lease Obligations	Principal	Interest
	Master Leases	Other Leases	TOTAL				
2013	\$5,748	\$132	\$5,880	\$14,585	2013	\$5,502	\$378
2014	4,372	131	4,503	17,233	2014	4,307	196
2015	2,186	87	2,273	16,847	2015	2,232	41
2016	-	-	-	15,875	Total Payments	\$12,041	\$615
2017 and thereafter	-	-	-	34,566			
Total Payments	12,306	350	12,656	\$99,106			
Less: Amount representing interest	(591)	(24)	(615)				
Present Value of Minimum Lease Payments	\$11,715	\$326	\$12,041				

10. CAPITAL LEASES AND OTHER LONG-TERM LIABILITIES

During the year ended June 30, 2012 the following changes occurred in long-term liabilities as recorded in the statements of net assets (in thousands):

	Beginning Balance	Additions/ Adjustments*	Reductions/ Adjustments*	Ending Balance
University:				
Capital lease obligations	\$12,116	-	(\$5,577)	\$6,539
Compensated absences	26,541	\$4,279	-	30,820
Workers' compensation	9,821	-	(16)	9,805
Deferred revenues and credits	20,080	7,270	(10,849)	16,501
Advances and deposits	26,688	367	(357)	26,698
Other Liabilities	6,850	12,459	(316)	18,993
University Related Organization:				
Other Liabilities	\$3,413	\$74	-	\$3,487

* Adjustments include changes in estimates

During the year ended June 30, 2011 the following changes occurred in long-term liabilities as recorded in the statement of net assets (in thousands):

	Beginning Balance	Additions/ Adjustments*	Reductions/ Adjustments*	Ending Balance
University:				
Capital lease obligations	\$17,177	\$412	(\$5,473)	\$12,116
Compensated absences	25,843	698	-	26,541
Workers' compensation	10,688	-	(867)	9,821
Deferred revenues and credits	23,567	9,474	(12,961)	20,080
Advances and deposits	26,507	603	(422)	26,688
Other Liabilities	1,107	6,564	(821)	6,850
University Related Organization:				
Other Liabilities	\$3,046	\$367	-	\$3,413

* Adjustments include changes in estimates

11. FRINGE BENEFITS

Expenditures for the years ended June 30, 2012 and 2011 include \$272.7 million and \$262.3 million, respectively, for the employer portion of fringe benefit costs (pension expense, health insurance for active employees and retirees, and unemployment) that was paid directly by the Commonwealth of Massachusetts. Of this amount, \$117.8 million for 2012 and \$110.9 million for 2011 was reimbursed to the Commonwealth and \$155.0 million and \$151.5 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 medicine in the Commonwealth for one year, or for students matriculating after 1990, two or four (depending on conditions) full years in primary care. 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 \$63.8 million and \$61.4 million at June 30, 2012 and 2011, respectively. Cumulative repayments totaled approximately \$46.4 million and \$43.5 million as of June 30, 2012 and 2011, respectively.

13. RETIREMENT PLANS

The Commonwealth of Massachusetts is statutorily responsible for the pension benefit of University employees who participate in the State Employees' Retirement System ("SERS"). SERS, 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 benefits up to a maximum of 80% of a member's highest three-year average rate of regular compensation. 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 or upon reaching the age of 55 with 10 years of service. Normal retirement for most employees occurs at age 65; for certain hazardous duty and public safety positions, normal retirement is at age 55. Members contribute 5%, 7%, 8% and 9% of regular compensation for hire dates prior to 1975, 1983, June 30, 1996 and after July 1, 1996, respectively. Employees hired after 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 \$64.0 million and \$35.6 million for the years ended June 30, 2012 and 2011, respectively. Annual covered payroll approximated 75.0% and 74.7% for the years ended June 30, 2012 and 2011, 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 SERS and participate in a defined contribution plan, the Massachusetts Optional Retirement Plan ("ORP"), administered by the Commonwealth's Department of Higher Education. At June 30, 2012 and 2011, there were approximately 4,060 and 3,574 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 \$8.0 million and \$7.0 million in 2012 and 2011, respectively. University employees contributed \$18.2 million and \$16.4 million in 2012 and 2011, respectively.

14. CONCENTRATION OF CREDIT RISK

The financial instrument that potentially subjects the University to concentrations of credit risk is the receivable from UMass Memorial which is uncollateralized. The receivable from UMass Memorial represents 2.1% and 3.9% of total accounts receivable for the University at June 30, 2012 and 2011, respectively. The University also had uncollateralized receivables from two other organizations comprising approximately 6.9% and 3.8% of the total outstanding receivables at June 30, 2012 and 6.8% and 6.9% of the total outstanding receivables at June 30, 2011.

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 \$306.7 million and \$483.3 million at June 30, 2012 and 2011, respectively. In connection with the investments in certain limited partnership agreements, the Foundation has \$8.9 million and \$10.2 million in committed calls as of June 30, 2012 and 2011, 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, 2012 and 2011 in the amount of \$16.2 million and \$6.3 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 \$14.3 million as of June 30, 2012 and \$13.5 million as of June 30, 2011. Estimated future payments related to such costs have been discounted at a rate of 4%.

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 UMass Memorial Medical Center (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, UMMC 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 UMMC, and its subsequent amendments and the indemnification provisions in these Agreements, may be required to indemnify UMMC 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 2011, respectively, to construct and operate a research computing center located in Holyoke, Massachusetts. MGHPCC and MGHPCC Holyoke, Inc. are tax-exempt organizations under the Internal Revenue Code section 501(c) (3). Each respective university agreed to contribute \$10M and as of June 30, 2012, each university had contributed the required amounts. The University's \$10M is included in their Statement of Financial Position within Prepaids (\$1M) and Other Assets (\$9M).

16. SUBSEQUENT EVENT

The University has assessed the impact of subsequent events through December 19, 2012, the date of the issuance of the consolidated financial statements, and has concluded that there were no material events that require adjustment to or disclosure in the consolidated financial statements.

**University of Massachusetts
2012 Annual Financial Report
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Report of Independent Certified Public Accountants on Accompanying Information

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We have audited, in accordance with auditing standards generally accepted in the United States of America (US GAAS) established by the American Institute of Certified Public Accountants and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the University of Massachusetts as of and for the years ended June 30, 2012 and 2011, and our report dated December 19, 2012, which is presented in the preceding section, expressed an unqualified opinion on those financial statements. Our audits were performed for the purpose of forming our opinions on these financial statements that collectively comprise the University's financial statements.

Our audits were conducted for the purpose of forming an opinion on the basic financial statements of the business-type activities and the aggregate discretely presented component units of the University of Massachusetts (the "University") taken as a whole. The supplemental information listed in the accompanying index is presented for purposes of additional analysis, rather than to present the financial position, results of operations, and cash flows of the individual entities, and is not a required part of the basic 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 consolidated financial statements. The information has been subjected to the auditing procedures applied in the audits of the basic financial statements and certain additional procedures. These additional procedures included comparing and reconciling the information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America established by the American Institute of Certified Public Accountants. In our opinion, the consolidating information is fairly stated, in all material respects, in relation to the consolidated financial statements as a whole.

Boston, Massachusetts
December 19, 2012

**University of Massachusetts
CENTRAL ADMINISTRATION
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)**

	<u>June 30, 2012</u>	<u>June 30, 2011</u>
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$7,854	\$4,787
Cash Held By State Treasurer	743	688
Accounts, Grants and Loans Receivable, net	2,386	4,431
Short Term Investments	46,901	32,986
Due From Other Campuses	182	421
Other Assets	4,218	7,592
Total Current Assets	<u>62,284</u>	<u>50,905</u>
Noncurrent Assets		
Cash and Securities Held By Trustees	70,549	77,487
Investments	88,781	79,899
Other Assets	9,404	496
Investment In Plant Net of Accumulated Depreciation	31,393	15,181
Total Noncurrent Assets	<u>200,127</u>	<u>173,063</u>
Total Assets	<u>\$262,411</u>	<u>\$223,968</u>
LIABILITIES		
Current Liabilities		
Accounts Payable	\$5,675	\$3,626
Accrued Salaries and Wages	1,336	1,145
Accrued Compensated Absences	3,632	3,738
Accrued Interest Payable	459	465
Bonds Payable	15,822	15,124
Due To Campuses	35,187	22,275
Due To Related Organizations	436	201
Deferred Revenues and Credits	2,067	3,621
Advances and Deposits	464	637
Other Liabilities	6,304	4,262
Total Current Liabilities	<u>71,382</u>	<u>55,094</u>
Noncurrent Liabilities		
Accrued Compensated Absences	375	368
Bonds Payable	57,412	58,830
Deferred Revenues and Credits	192	201
Total Noncurrent Liabilities	<u>57,979</u>	<u>59,399</u>
Total Liabilities	<u>\$129,361</u>	<u>\$114,493</u>
Net Assets:		
Invested in Capital Assets Net of Related Debt	\$17,135	\$14,259
Restricted		
Nonexpendable	2,206	2,257
Expendable	31,560	24,092
Unrestricted	82,149	68,867
Total Net Assets	<u>\$133,050</u>	<u>\$109,475</u>

**University of Massachusetts
CENTRAL ADMINISTRATION
Statements of Revenues, Expenses and Changes in Net Assets
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)**

REVENUES	June 30, 2012	June 30, 2011
Operating Revenues		
Tuition and Fees	\$7,153	\$5,599
Federal Grants and Contracts	2,577	3,906
State Grants and Contracts	2,584	2,632
Local Grants and Contracts	78	169
Private Grants and Contracts	4,305	5,170
Sales and Service, Educational	1,478	1,623
Allocation from Campuses	55,898	53,604
Other Operating Revenues:		
Other	17,603	10,529
Total Operating Revenues	91,676	83,232
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	13,058	13,165
Research	3,279	3,134
Public Service	1,149	1,577
Institutional Support	57,157	50,022
Operation and Maintenance of Plant	6,213	5,537
Scholarships and Fellowships	6	6
Depreciation and Amortization	5,879	7,326
Total Operating Expenses	86,741	80,767
Operating Income	4,935	2,465
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	12,730	10,926
State Appropriations - Federal Stimulus funds	7	
Investment Return	2,089	7,983
Endowment Return	231	193
Interest on Indebtedness	172	(891)
Other Nonoperating Income	(78)	17
Net Nonoperating Revenues	15,151	18,228
Income Before Other Revenues, Expenses, Gains, and Losses	20,086	20,693
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Grants and Contracts	2,282	2,100
Disposal of Plant Facilities		
Other Additions/Deductions	1,206	(1,080)
Total Other Revenues, Expenses, Gains, and Losses	3,488	1,020
Total Increase in Net Assets	23,574	21,713
NET ASSETS		
Net Assets at Beginning of Year	109,476	87,762
Net Assets at End of Year	\$133,050	\$109,475

**University of Massachusetts
AMHERST CAMPUS
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)**

	<u>June 30, 2012</u>	<u>June 30, 2011</u>
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$15,060	\$15,140
Cash Held By State Treasurer	6,815	6,477
Accounts, Grants and Loans Receivable, net	36,581	32,985
Pledges Receivable, net	1,444	1,316
Short Term Investments	97,686	92,072
Inventories, net	5,902	3,952
Due From Other Campuses	15,955	10,056
Other Assets	592	1,010
Total Current Assets	<u>180,035</u>	<u>163,008</u>
Noncurrent Assets		
Cash Held By State Treasurer	4,996	1,657
Cash and Securities Held By Trustees	217,426	332,641
Accounts, Grants and Loans Receivable, net	18,180	17,583
Pledges Receivable, net	1,588	1,120
Investments	215,069	215,472
Other Assets	7,450	7,813
Deferred Outflows of Resources	49,888	15,340
Investment In Plant Net of Accumulated Depreciation	1,241,597	1,065,666
Total Noncurrent Assets	<u>1,756,194</u>	<u>1,657,292</u>
Total Assets	<u>\$1,936,229</u>	<u>\$1,820,300</u>
LIABILITIES		
Current Liabilities		
Accounts Payable	\$47,224	\$40,663
Accrued Salaries and Wages	37,140	32,911
Accrued Compensated Absences	23,593	23,470
Accrued Workers' Compensation	2,226	1,854
Accrued Interest Payable	5,565	5,684
Bonds Payable	243,670	77,327
Capital Lease Obligations	4,039	3,900
Deferred Revenues and Credits	12,402	11,902
Advances and Deposits	510	372
Other Liabilities	6,090	3,917
Total Current Liabilities	<u>382,459</u>	<u>202,000</u>
Noncurrent Liabilities		
Accrued Compensated Absences	11,840	10,127
Accrued Workers' Compensation	4,885	4,888
Bonds Payable	458,437	653,819
Derivative Instrument , Interest Rate Swap	64,570	30,687
Capital Lease Obligations	6,332	10,371
Deferred Revenues and Credits	10,917	11,355
Advances and Deposits	12,998	13,237
Total Noncurrent Liabilities	<u>569,979</u>	<u>734,484</u>
Total Liabilities	<u>\$952,438</u>	<u>\$936,484</u>
Net Assets:		
Invested in Capital Assets Net of Related Debt	\$675,387	\$588,367
Restricted		
Nonexpendable	3,963	3,922
Expendable	77,710	82,295
Unrestricted	226,731	209,232
Total Net Assets	<u>\$983,791</u>	<u>\$883,816</u>

**University of Massachusetts
AMHERST CAMPUS
Statements of Revenues, Expenses and Changes in Net Assets
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)**

REVENUES	June 30, 2012	June 30, 2011
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$101,423 at June 30, 2012 and \$93,364 at June 30, 2011)	\$301,888	\$273,883
Federal Grants and Contracts	103,168	103,748
State Grants and Contracts	13,580	13,547
Local Grants and Contracts	530	377
Private Grants and Contracts	31,164	27,773
Sales and Service, Educational	7,339	6,971
Auxiliary Enterprises	177,650	160,494
Other Operating Revenues:		
Other	15,713	13,310
Total Operating Revenues	651,032	600,103
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	283,236	266,419
Research	108,227	104,345
Public Service	27,357	23,677
Academic Support	56,433	50,340
Student Services	48,304	46,496
Institutional Support	55,203	55,249
Operation and Maintenance of Plant	80,231	83,781
Depreciation and Amortization	68,995	65,379
Scholarships and Fellowships	19,146	15,800
<i>Auxiliary Enterprises</i>	148,153	135,373
Total Operating Expenses	895,285	846,859
Operating Loss	(244,253)	(246,756)
NONOPERATING REVENUES/(EXPENSES)		
Federal Appropriations	6,845	5,826
State Appropriations	239,383	235,698
State Appropriations - Federal Stimulus funds	3	18,759
Gifts	13,750	11,620
Investment Return	8,591	25,911
Endowment Return	7,960	4,678
Interest on Indebtedness	(19,562)	(21,605)
Nonoperating Federal Grants	25,069	25,359
Other Nonoperating Income	(357)	2,364
Net Nonoperating Revenues	281,682	308,610
Income Before Other Revenues, Expenses, Gains, and Losses	37,429	61,854
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	62,480	8,444
Capital Grants and Contracts	5,389	314
Disposal of Plant Facilities	(4,667)	(4,434)
Other Additions/Deductions	(657)	1,722
Total Other Revenues, Expenses, Gains, and Losses	62,545	6,046
Total Increase in Net Assets	99,974	67,900
NET ASSETS		
Net Assets at Beginning of Year	883,817	815,916
Net Assets at End of Year	\$983,791	\$883,816

**University of Massachusetts
BOSTON CAMPUS
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)**

	<u>June 30, 2012</u>	<u>June 30, 2011</u>
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$5,765	\$5,703
Cash Held By State Treasurer	2,864	2,922
Accounts, Grants and Loans Receivable, net	23,246	24,225
Pledges Receivable, net		25
Short Term Investments	40,606	38,749
Inventories, net	722	678
Due From Other Campuses	4,189	2,813
Other Assets	404	745
Total Current Assets	<u>77,796</u>	<u>75,860</u>
Noncurrent Assets		
Cash Held By State Treasurer	2,170	619
Cash and Securities Held By Trustees	246,172	271,070
Accounts, Grants and Loans Receivable, net	6,415	4,645
Investments	80,515	83,206
Other Assets	3,453	3,062
Deferred Outflows of Resources	3,099	(224)
Investment In Plant Net of Accumulated Depreciation	231,286	194,991
Total Noncurrent Assets	<u>573,110</u>	<u>557,369</u>
Total Assets	<u>\$650,906</u>	<u>\$633,229</u>
LIABILITIES		
Current Liabilities		
Accounts Payable	\$6,949	\$9,339
Accrued Salaries and Wages	15,674	13,674
Accrued Compensated Absences	10,347	9,880
Accrued Workers' Compensation	305	243
Accrued Interest Payable	2,658	2,778
Bonds Payable	20,554	20,113
Capital Lease Obligations	1,462	1,570
Deferred Revenues and Credits	5,626	5,536
Advances and Deposits	2,847	3,073
Other Liabilities	3,821	3,265
Total Current Liabilities	<u>70,243</u>	<u>69,471</u>
Noncurrent Liabilities		
Accrued Compensated Absences	3,952	3,382
Accrued Workers' Compensation	670	640
Bonds Payable	293,365	301,086
Capital Lease Obligations	207	1,744
Derivative Instrument, Interest Rate Swap	6,585	3,409
Deferred Revenues and Credits	1,317	1,159
Advances and Deposits	3,649	3,704
Other Liabilities	1,960	
Total Noncurrent Liabilities	<u>311,705</u>	<u>315,124</u>
Total Liabilities	<u>\$381,948</u>	<u>\$384,595</u>
Net Assets:		
Invested in Capital Assets Net of Related Debt	\$147,498	\$126,582
Restricted		
Nonexpendable	6,569	6,056
Expendable	25,606	22,258
Unrestricted	89,285	93,738
Total Net Assets	<u>\$268,958</u>	<u>\$248,634</u>

**University of Massachusetts
BOSTON CAMPUS
Statements of Revenues, Expenses and Changes in Net Assets
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)**

REVENUES	June 30, 2012	June 30, 2011
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$30,066 at June 30, 2012 and \$25,100 at June 30, 2011)	\$139,759	\$125,947
Federal Grants and Contracts	31,893	29,919
State Grants and Contracts	9,520	8,160
Local Grants and Contracts	1,589	937
Private Grants and Contracts	11,327	11,784
Sales and Service, Educational	2,546	2,937
Auxiliary Enterprises	10,054	10,017
Other Operating Revenues:		
Other	781	442
Total Operating Revenues	207,469	190,143
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	127,268	119,754
Research	30,869	29,827
Public Service	11,084	7,264
Academic Support	27,098	24,037
Student Services	22,444	20,539
Institutional Support	31,250	31,120
Operation and Maintenance of Plant	25,606	24,448
Depreciation and Amortization	14,032	13,350
Scholarships and Fellowships	11,684	11,177
<i>Auxiliary Enterprises</i>	10,223	9,240
Total Operating Expenses	311,558	290,756
Operating Loss	(104,089)	(100,613)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	87,749	87,923
State Appropriations - Federal Stimulus funds		6,563
Gifts	2,346	2,548
Investment Return	5,570	10,214
Endowment Return	2,285	956
Interest on Indebtedness	(6,593)	(6,352)
Nonoperating Federal Grants	20,365	19,348
Other Nonoperating Income	189	273
Net Nonoperating Revenues	111,911	121,473
Income Before Other Revenues, Expenses, Gains, and Losses	7,822	20,860
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	15,616	5,002
Capital Grants and Contracts	53	137
Disposal of Plant Facilities	(1,288)	(1,397)
Other Additions/Deductions	(1,879)	398
Total Other Revenues, Expenses, Gains, and Losses	12,502	4,140
Total Increase in Net Assets	20,324	25,000
NET ASSETS		
Net Assets at Beginning of Year	248,634	223,634
Net Assets at End of Year	\$268,958	\$248,634

**University of Massachusetts
DARTMOUTH CAMPUS
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)**

	<u>June 30, 2012</u>	<u>June 30, 2011</u>
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$1,658	\$2,062
Cash Held By State Treasurer	1,674	138
Accounts, Grants and Loans Receivable, net	13,047	12,066
Short Term Investments	7,151	9,537
Inventories, net	894	907
Due From Other Campuses	993	752
Due From Related Organizations	173	51
Other Assets	354	539
Total Current Assets	<u>25,944</u>	<u>26,052</u>
Noncurrent Assets		
Cash Held By State Treasurer	1,819	1,285
Cash and Securities Held By Trustees	49,849	74,782
Accounts, Grants and Loans Receivable, net	2,025	1,907
Investments	13,072	17,330
Other Assets	3,227	3,641
Deferred Outflows of Resources	12,805	780
Investment In Plant Net of Accumulated Depreciation	273,250	237,249
Total Noncurrent Assets	<u>356,047</u>	<u>336,974</u>
Total Assets	<u>\$381,991</u>	<u>\$363,026</u>
LIABILITIES		
Current Liabilities		
Accounts Payable	\$4,736	\$5,023
Accrued Salaries and Wages	9,342	8,498
Accrued Compensated Absences	5,529	5,436
Accrued Workers' Compensation	359	256
Accrued Interest Payable	1,744	1,749
Bonds Payable	66,009	44,223
Due To Other Campuses	182	421
Deferred Revenues and Credits	1,145	1,451
Advances and Deposits	1,320	1,395
Other Liabilities	2,969	4,026
Total Current Liabilities	<u>93,335</u>	<u>72,478</u>
Noncurrent Liabilities		
Accrued Compensated Absences	3,759	3,192
Accrued Workers' Compensation	788	675
Arbitrage Rebate Payable		14
Bonds Payable	136,190	187,188
Derivative Instrument, Interest Rate Swap	23,294	11,732
Deferred Revenues and Credits	200	321
Advances and Deposits	2,591	2,464
Other Liabilities	16,249	6,286
Total Noncurrent Liabilities	<u>183,071</u>	<u>211,872</u>
Total Liabilities	<u>\$276,406</u>	<u>\$284,350</u>
Net Assets:		
Invested in Capital Assets Net of Related Debt	\$90,277	\$64,549
Restricted		
Expendable	4,368	2,304
Unrestricted	10,940	11,823
Total Net Assets	<u>\$105,585</u>	<u>\$78,676</u>

**University of Massachusetts
DARTMOUTH CAMPUS
Statements of Revenues, Expenses and Changes in Net Assets
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)**

REVENUES	June 30, 2012	June 30, 2011
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$30,000 at June 30, 2012 and \$29,110 June 30, 2011)	\$74,904	\$72,088
Federal Grants and Contracts	10,863	15,137
State Grants and Contracts	7,546	5,711
Local Grants and Contracts	601	176
Private Grants and Contracts	5,084	4,778
Sales and Service, Educational	50	93
Auxiliary Enterprises	47,300	45,546
Other Operating Revenues:		
Other	6,356	4,566
Total Operating Revenues	152,704	148,095
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	66,161	64,830
Research	18,852	18,213
Public Service	5,581	4,677
Academic Support	27,219	24,761
Student Services	10,159	9,845
Institutional Support	17,527	17,504
Operation and Maintenance of Plant	23,402	22,137
Depreciation and Amortization	11,409	12,531
Scholarships and Fellowships	8,116	5,842
<i>Auxiliary Enterprises</i>	31,425	28,827
Total Operating Expenses	219,851	209,167
Operating Loss	(67,147)	(61,072)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	55,993	51,840
State Appropriations - Federal Stimulus funds		4,079
Gifts		1,000
Investment Return	1,890	2,069
Endowment Income	1,430	969
Interest on Indebtedness	(7,873)	(9,173)
Nonoperating Federal Grants	12,779	11,646
Other Nonoperating Income	627	946
Net Nonoperating Revenues	64,846	63,376
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	(2,301)	2,304
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	30,650	8,201
Capital Grants and Contracts		100
Capital Contribution		3,332
Disposal of Plant Facilities	(1,270)	(1,154)
Other Additions/Deductions	(170)	774
Total Other Revenues, Expenses, Gains, and Losses	29,210	11,253
Total Increase in Net Assets	26,909	13,557
NET ASSETS		
Net Assets at Beginning of Year	78,676	65,119
Net Assets at End of Year	\$105,585	\$78,676

University of Massachusetts
LOWELL CAMPUS
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)

	June 30, 2012	June 30, 2011
ASSETS		
Current Assets		
Cash and Cash Equivalents	\$4,059	\$4,319
Cash Held By State Treasurer	3,774	2,703
Accounts, Grants and Loans Receivable, net	24,790	22,235
Pledges Receivable, net	795	51
Short Term Investments	25,070	27,835
Due From Other Campuses	3,875	2,518
Other Assets	313	502
Total Current Assets	62,676	60,163
Noncurrent Assets		
Cash Held By State Treasurer	2,558	2,073
Cash and Securities Held By Trustees	106,652	150,716
Accounts, Grants and Loans Receivable, net	4,869	4,831
Pledges Receivable, net	1,240	60
Investments	51,471	60,613
Other Assets	2,535	2,454
Deferred Outflows of Resources	9,843	3,614
Investment In Plant Net of Accumulated Depreciation	342,341	250,776
Total Noncurrent Assets	521,509	475,137
Total Assets	\$584,185	\$535,300
LIABILITIES		
Current Liabilities		
Accounts Payable	\$22,747	\$13,349
Accrued Salaries and Wages	15,380	11,954
Accrued Compensated Absences	7,912	7,523
Accrued Workers' Compensation	329	255
Accrued Interest Payable	2,086	2,116
Bonds Payable	53,283	16,364
Capital Lease Obligations	1	3
Deferred Revenues and Credits	5,209	4,373
Advances and Deposits	894	1,406
Other Liabilities	3,378	3,006
Total Current Liabilities	111,219	60,349
Noncurrent Liabilities		
Accrued Compensated Absences	5,090	4,282
Accrued Workers' Compensation	723	672
Bonds Payable	197,864	244,784
Derivative Instruments, Interest Rate Swap	11,661	5,514
Capital Lease Obligations	1	1
Deferred Revenues and Credits	1,393	2,394
Advances and Deposits	4,012	3,835
Other Liabilities	250	
Total Noncurrent Liabilities	220,993	261,482
Total Liabilities	\$332,212	\$321,831
Net Assets:		
Invested in Capital Assets Net of Related Debt	\$178,839	\$126,666
Restricted		
Nonexpendable	4,018	3,877
Expendable	7,369	8,080
Unrestricted	61,747	74,846
Total Net Assets	\$251,973	\$213,469

**University of Massachusetts
LOWELL CAMPUS
Statements of Revenues, Expenses and Changes in Net Assets
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)**

	June 30, 2012	June 30, 2011
REVENUES		
Operating Revenues		
Tuition and Fees (net of scholarship allowances of \$29,990 at June 30, 2012 and \$28,087 at June 30, 2011)	\$127,679	\$113,418
Federal Grants and Contracts	22,404	24,964
State Grants and Contracts	5,622	5,123
Local Grants and Contracts	279	278
Private Grants and Contracts	10,700	10,577
Sales and Service, Educational	375	228
Auxiliary Enterprises	32,564	30,054
Other Operating Revenues:		
Other	4,202	4,694
Total Operating Revenues	203,825	189,336
EXPENSES		
Operating Expenses		
<i>Educational and General</i>		
Instruction	101,858	90,691
Research	36,794	35,285
Public Service	1,824	2,216
Academic Support	23,058	20,164
Student Services	20,516	17,405
Institutional Support	39,376	32,135
Operation and Maintenance of Plant	32,737	27,482
Depreciation and Amortization	16,927	16,085
Scholarships and Fellowships	8,674	8,413
<i>Auxiliary Enterprises</i>	19,832	18,814
Total Operating Expenses	301,596	268,690
Operating Loss	(97,771)	(79,354)
NONOPERATING REVENUES/(EXPENSES)		
State Appropriations	77,868	76,303
State Appropriations - Federal Stimulus funds		5,735
Gifts	2,463	2,667
Investment Return	3,975	8,514
Endowment Return	1,329	874
Interest on Indebtedness	(5,310)	(4,596)
Nonoperating Federal Grants	15,695	14,290
Other Nonoperating Income	126	167
Net Nonoperating Revenues	96,146	103,954
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	(1,625)	24,600
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES		
Capital Appropriations	41,220	5,463
Capital Grants and Contracts	2,105	1,901
Disposal of Plant Facilities	(4,528)	(1,004)
Other Additions/Deductions	1,332	220
Total Other Revenues, Expenses, Gains, and Losses	40,129	6,580
Total Increase in Net Assets	38,504	31,180
NET ASSETS		
Net Assets at Beginning of Year	213,469	182,289
Net Assets at End of Year	\$251,973	\$213,469

University of Massachusetts
WORCESTER CAMPUS
Statements of Net Assets
As of June 30, 2012 and 2011
(in thousands of dollars)

	Worcester Campus June 30, 2012	Worcester Campus June 30, 2011	Worcester City Campus Corporation June 30, 2012	Worcester City Campus Corporation June 30, 2011	Eliminations June 30, 2012	Eliminations June 30, 2011	Combined Totals Memorandum Only June 30, 2012	Combined Totals Memorandum Only June 30, 2011
ASSETS								
Current Assets								
Cash and Cash Equivalents	\$6,966	\$4,817	\$20,407	\$19,923			\$27,373	\$24,740
Cash Held By State Treasurer	1,297	967					1,297	967
Accounts, Grants and Loans Receivable, net	125,400	126,320	2,290	2,047			127,690	128,367
Pledges Receivable, net	1,960	4,679					1,960	4,679
Short Term Investments	51,186	32,213					51,186	32,213
Inventories, net	13,924	17,051					13,924	17,051
Accounts Receivable UMass Memorial, net	5,808	10,269		395			5,808	10,664
Due From Other Campuses	10,175	6,136					10,175	6,136
Due From Related Organizations	1,480	1,117	41,801	35,153	(\$43,281)	(\$36,270)		
Other Assets	3,452	2,732	862	366			4,314	3,098
Total Current Assets	221,648	206,301	65,360	57,884	(43,281)	(36,270)	243,727	227,915
Noncurrent Assets								
Cash Held By State Treasurer	331	159					331	159
Cash and Securities Held By Trustees	129,146	260,063		3,416			129,146	263,479
Accounts, Grants and Loans Receivable, net	6,016	7,404	4,488	2,792			10,504	10,196
Investments	160,334	140,318					160,334	140,318
Other Assets	3,847	3,745	2,858	8,639			6,705	12,384
Investment In Plant Net of Accumulated Depreciation	582,793	402,729	395,526	416,059			978,319	818,788
Total Noncurrent Assets	882,467	814,418	402,872	430,906			1,285,339	1,245,324
Total Assets	\$1,104,115	\$1,020,719	\$468,232	\$488,790	(43,281)	(36,270)	\$1,529,066	\$1,473,239
LIABILITIES								
Current Liabilities								
Accounts Payable	\$79,750	\$40,918	\$2,706	\$13,614			\$82,456	\$54,532
Accrued Salaries and Wages	14,683	12,893					14,683	12,893
Accrued Compensated Absences	20,879	22,706					20,879	22,706
Accrued Workers' Compensation	1,248	1,118					1,248	1,118
Accrued Interest Payable	4,248	4,299	3,458	3,590			7,706	7,889
Bonds Payable	7,295	7,055	9,227	8,746			16,522	15,801
Accounts Payable UMass Memorial	3,613	15,244		1,178			3,613	16,422
Due to Related Organizations	41,907	35,584	1,480	1,117	(43,281)	(36,270)	106	431
Deferred Revenues and Credits	19,799	19,822					19,799	19,822
Advances and Deposits	4,119	111					4,119	111
Other Liabilities	12,200	16,600	3,504	4,270			15,704	20,870
Total Current Liabilities	209,741	176,350	20,375	32,515	(43,281)	(36,270)	186,835	172,595
Noncurrent Liabilities								
Accrued Compensated Absences	5,804	5,190					5,804	5,190
Accrued Workers' Compensation	2,739	2,946					2,739	2,946
Bonds Payable	397,574	384,397	283,632	292,129			681,206	676,526
Deferred Revenues and Credits	2,482	4,650					2,482	4,650
Advances and Deposits	3,447	3,448					3,447	3,448
Other Liabilities			534	564			534	564
Total Noncurrent Liabilities	412,046	400,631	284,166	292,693			696,212	693,324
Total Liabilities	\$621,787	\$576,981	\$304,541	\$325,208	(43,281)	(36,270)	\$883,047	\$865,919
Net Assets:								
Invested in Capital Assets Net of Related Debt Restricted	\$299,337	\$258,265	\$95,629	\$105,200			\$394,966	\$363,465
Nonexpendable	1,017	1,000					1,017	1,000
Expendable	38,585	42,836	2,885	3,044			41,470	45,880
Unrestricted	143,389	141,637	65,177	55,338			208,566	196,975
Total Net Assets	\$482,328	\$443,738	\$163,691	\$163,582			\$646,019	\$607,320

University of Massachusetts
WORCESTER CAMPUS
Statements of Revenues, Expenses and Changes in Net Assets
For The Years Ended June 30, 2012 and June 30, 2011
(in thousands of dollars)

	Worcester Campus June 30, 2012	Worcester Campus June 30, 2011	Worcester City City Campus Corporation June 30, 2012	Worcester City City Campus Corporation June 30, 2011	Eliminations June 30, 2012	Eliminations June 30, 2011	Combined Totals Memorandum Only June 30, 2012	Combined Totals Memorandum Only June 30, 2011
REVENUES								
Operating Revenues								
Tuition and Fees (net of scholarship allowances of \$2,840 at June 30, 2012 and \$3,015 at June 30, 2011)	\$14,107	\$12,084					\$14,107	\$12,084
Federal Grants and Contracts	184,887	193,763					184,887	193,763
State Grants and Contracts	30,462	29,653					30,462	29,653
Private Grants and Contracts	47,782	49,037					47,782	49,037
Sales and Service, Educational	7,523	6,159					7,523	6,159
Auxiliary Enterprises	30,388	25,909					30,388	25,909
Other Operating Revenues:								
Sales and Service, Independent Operations	61,087	52,619					61,087	52,619
Sales and Service, Public Service Activities	382,861	467,537	\$32,449	\$238,995	(\$31,455)	(\$35,975)	383,855	670,557
Other	42,257	31,826	45,697	47,893	(32,861)	(36,567)	55,093	43,152
Total Operating Revenues	801,354	868,587	78,146	286,888	(64,316)	(72,542)	815,184	1,082,933
EXPENSES								
Operating Expenses								
<i>Educational and General</i>								
Instruction	48,743	47,935			(110)	(110)	48,633	47,825
Research	221,028	226,352				(57)	221,028	226,295
Public Service	28,836	27,374					28,836	27,374
Academic Support	14,061	14,053			(102)	(102)	13,959	13,951
Student Services	5,823	4,076					5,823	4,076
Institutional Support	56,480	60,015			(513)	(500)	55,967	59,515
Operation and Maintenance of Plant	49,343	47,785	17,906	15,414	(20,146)	(23,634)	47,103	39,565
Depreciation and Amortization	26,599	25,358	19,325	19,825			45,924	45,183
<i>Auxiliary Enterprises</i>	27,800	26,398			(1,800)	(1,800)	26,000	24,598
<i>Other Expenditures</i>								
Independent Operations	60,339	48,518			(6,605)	(6,607)	53,734	41,911
Public Service Activities	304,812	434,541	24,179	232,172	(35,040)	(39,732)	293,951	626,981
Total Operating Expenses	843,864	962,405	61,410	267,411	(64,316)	(72,542)	840,958	1,157,274
Operating Income/(Loss)	(42,510)	(93,818)	16,736	19,477			(25,774)	(74,341)
NONOPERATING REVENUES/(EXPENSES)								
State Appropriations	43,669	43,109					43,669	43,109
State Appropriations - Federal Stimulus Funds		2,761						2,761
Gifts	3,584	8,669					3,584	8,669
Investment Return	4,640	22,872	437	210			5,077	23,082
Endowment Return	2,388	2,537					2,388	2,537
Interest on Indebtedness	(11,234)	(8,299)	(14,034)	(14,442)			(25,268)	(22,741)
Other Nonoperating Income	273	1,458					273	1,458
Net Nonoperating Revenues	43,320	73,107	(13,597)	(14,232)			29,723	58,875
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	810	(20,711)	3,139	5,245			3,949	(15,466)
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES								
Capital Appropriations	401	999					401	999
Capital Grants and Contracts	34,062	25,802					34,062	25,802
Disposal of Plant Facilities	(1,601)	(2,612)	(252)	(81)			(1,853)	(2,693)
Contributions for Capital Expenditures		(1,102)	(345)	2,131			(345)	1,029
Gain from Sale of Discontinued Operations				9,655				9,655
Other Additions/Deductions	4,918	(6,439)	(2,433)				2,485	(6,439)
Total Other Revenues, Expenses, Gains, and Losses	37,780	16,648	(3,030)	11,705			34,750	28,353
Total Increase/(Decrease) in Net Assets	38,590	(4,063)	109	16,950			38,699	12,887
NET ASSETS								
Net Assets at Beginning of Year	443,738	447,801	163,582	146,632			607,320	594,433
Net Assets at End of Year	\$482,328	\$443,738	\$163,691	\$163,582			\$646,019	\$607,320

Combining Statements of Net Assets for University Related Organizations as of June 30, 2012 and 2011
(in thousands of dollars)

Supplemental Schedule I

	Total June 30, 2012	Eliminations and Adjustments June 30, 2012	The University of Massachusetts Foundation, Inc. June 30, 2012	University of Massachusetts Dartmouth Foundation, Inc. June 30, 2012	Total June 30, 2011	Eliminations and Adjustments June 30, 2011	The University of Massachusetts Foundation, Inc. June 30, 2011	University of Massachusetts Dartmouth Foundation, Inc. June 30, 2011
ASSETS								
Current Assets								
Accounts, Grants and Loans Receivable, net								
Pledges Receivable, net	\$1,648	(\$7,712)	\$8,325	\$1,034	\$4,582	(\$9,006)	\$12,083	\$1,505
Due From Related Organizations	542	451		91	632	632		
Other Assets	407		401	6	8			8
Total Current Assets	2,597	(7,261)	8,726	1,131	5,222	(8,374)	12,083	1,513
Noncurrent Assets								
Cash and Cash Equivalents	778		84	694	684		45	639
Pledges Receivable, net	8,586	(7,755)	14,721	1,619	5,798	(8,526)	12,666	1,658
Investments	355,088	(511,083)	822,949	43,222	348,791	(494,906)	803,273	40,424
Other Assets	64		7	57	105		50	55
Investment In Plant Net of Accumulated Depreciation	8,822		8,822		9,019		9,019	
Total Noncurrent Assets	373,338	(518,838)	846,583	45,592	364,397	(503,432)	825,053	42,776
Total Assets	\$375,934	(\$526,098)	\$855,309	\$46,723	\$369,619	(\$511,806)	\$837,136	\$44,289
LIABILITIES								
Current Liabilities								
Accounts Payable	\$49		\$40	\$9	\$61		\$40	\$21
Due To Related Organizations	173	(4,644)		4,817	51	(\$2,519)		2,570
Notes Payable								
Assets Held on Behalf of the University		(472,119)	472,119			(458,198)	458,198	
Assets Held on Behalf of Others	11,978		11,978		11,458		11,458	
Deferred Revenues and Credits	2,412		2,412		4,215		4,215	
Total Current Liabilities	14,612	(476,763)	486,549	4,826	15,785	(460,717)	473,911	2,591
Noncurrent Liabilities								
Notes Payable								
Other Liabilities	3,487	177	3,310		3,413	172	3,241	
Total Noncurrent Liabilities	3,487	177	3,310		3,413	172	3,241	
Total Liabilities	\$18,099	(\$476,586)	\$489,859	\$4,826	\$19,198	(\$460,545)	\$477,152	\$2,591
Net Assets:								
Invested in Capital Assets Net of Related Debt	\$8,822	\$8,822			\$9,020	\$9,020		
Restricted								
Nonexpendable	273,995	(47,539)	\$286,266	\$35,268	254,625	(47,778)	\$268,362	\$34,041
Expendable	60,278	(1,973)	56,225	6,026	73,995	(3,483)	70,508	6,970
Unrestricted	14,740	(8,822)	22,959	603	12,781	(9,020)	21,114	687
Total Net Assets	\$357,835	(\$49,512)	\$365,450	\$41,897	\$350,421	(\$51,261)	\$359,984	\$41,698

Combining Statements of Revenues, Expenses, and Changes in Net Assets for University Related Organizations
For The Years Ended June 30, 2012 and 2011
(in thousands of dollars)

Supplemental Schedule II

	Eliminations and Adjustments		University of Massachusetts Dartmouth Foundation, Inc.		Eliminations and Adjustments		University of Massachusetts Dartmouth Foundation, Inc.	
	Total	June 30, 2012	Total	June 30, 2012	Total	June 30, 2011	Total	June 30, 2011
EXPENSES								
Operating Expenses								
<i>Educational and General</i>								
Public Service	\$15,240	(\$1,000)	\$14,302	\$1,938	\$11,551	(\$1,083)	\$10,883	\$1,751
Depreciation	203		203		127		127	
Scholarships and Fellowships	462	(1,045)	805	702	429	(822)	739	512
Total Operating Expenses	15,905	(2,045)	15,310	2,640	12,107	(1,905)	11,749	2,263
Operating Income/(Loss)	(15,905)	2,045	(15,310)	(2,640)	(12,107)	1,905	(11,749)	(2,263)
NONOPERATING REVENUES/(EXPENSES)								
Gifts	8,891	(802)	7,862	1,831	14,308	(1,397)	12,636	3,069
Investment Income	(5,255)	1,346	(6,264)	(337)	37,049	(56,921)	90,100	3,870
Endowment Income	95	(13,592)	13,687		1,214	(9,169)	10,383	
Net Nonoperating Revenues	3,731	(13,048)	15,285	1,494	52,571	(67,487)	113,119	6,939
Income/(Loss) Before Other Revenues, Expenses, Gains, and Losses	(12,174)	(11,003)	(25)	(1,146)	40,464	(65,582)	101,370	4,676
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES								
Additions to Permanent Endowments	19,604	1,466	16,793	1,345	15,195	2,765	12,331	99
Less: Amounts Earned/Received on Behalf of the University		(20,677)	20,677			45,291	(45,291)	
Less: Amounts Earned/Received on Behalf of Others	107		107		(1,397)		(1,397)	
Distribution to University		32,107	(32,107)			15,714	(15,714)	
Capital Contribution					1,666		1,666	
Disposal of Plant Facilities								
Other Additions/Deductions	(123)	(144)	21		(98)	(145)	47	
Total Other Revenues, Expenses, Gains, and Losses	19,588	12,752	5,491	1,345	15,366	63,625	(48,358)	99
Total Increase/(Decrease) in Net Assets	7,414	1,749	5,466	199	55,830	(1,957)	53,012	4,775
NET ASSETS								
Net Assets at Beginning of Year	350,421	(51,261)	359,984	41,698	294,591	(49,304)	306,972	36,923
Net Assets at End of Year	\$357,835	(\$49,512)	\$365,450	\$41,897	\$350,421	(\$51,261)	\$359,984	\$41,698