



UNIVERSITY OF MASSACHUSETTS LOWELL
Lowell, Massachusetts

Fifth-Year Interim Report to the
New England Association of Schools and Colleges

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INTRODUCTION

This report presents a summary of UMass Lowell's activity since our 2013 institutional self-study. The report was prepared under the direction of Julie Nash, Vice Provost for Student Success and UMass Lowell's Accreditation Liaison Officer, and Paula Haines, Director of Curriculum Assessment and Accreditation, with support from Provost Michael Vayda and Chancellor Jacqueline Moloney. Christine Lewis-Horton, Associate Director of Institutional Research and Analytics prepared the data forms that inform the narrative, and Jill Gambon provided additional editing for the report.

The interim report process followed from our inclusive approach to strategic planning, and so a broad group of collaborators participated in the preparation of the document. Standard Chairs' names appear in bold in the acknowledgement below. We want to express our gratitude to these colleagues and students for their time and their contributions:

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Standard Two **Joanne Yestramski**, Executive Cabinet; **Thomas Dreyer**, Facilities; Adam Baacke, Facilities; Sandhya Balasubramanian, Academic Affairs; Randy Brashears, University Police; David Kazmer, Plastics Engineering; Dana Skinner, Athletics.

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Standard Nine **Mai Nguyen**, Registrar; **Clara Reynolds**, Equal Opportunity & Outreach; Julie Alig, Office of Strategic Analysis; Todd Avery, English; Anne Maglia, Research Administration; Gerry Nelson, Web Services; Lauren Trapasso, Athletics; Brianna Dowse, Student; Nitai Kortua, Student; Owen Miller, Student.

We believe that the report that follows reflects our shared commitment to UMass Lowell's mission, and demonstrates our resilience and responsive, data-focused decision making. We have attempted to show that as our institution has grown in size and scope, we have consistently attended to quality and continuous improvement for the benefit of our community of students, scholars, and professionals, as well as the UMass system and the Commonwealth.

INSTITUTIONAL OVERVIEW

The University of Massachusetts Lowell is a public research university committed to excellence in teaching, research and community engagement. Its enrollment of 18,300 makes it the second-largest of the five UMass campuses, trailing only UMass Amherst. A significant percentage of its growth has taken place over the past decade. Consequently, UMass Lowell is ranked as the fifth-fastest growing public doctoral institution in the nation by the Chronicle of Higher Education. During this period, admissions selectivity has increased substantially and the university has gone from unranked to No. 156 among national research universities, according to U.S. News & World Report. Concurrently, more than \$600 million of investment has been made in facilities and campus improvements. With \$68.5 million in annual research, UMass Lowell is classified by Carnegie Foundation as Doctoral University–Higher Research Activity. In 2017, the university completed its transition to NCAA Division I athletics.

The university offers 122 undergraduate, 42 master's, and 36 doctoral degrees in six colleges. More than 1,600 students participate in the Honors College. The university's affordable, experience-based academic programs are taught by internationally recognized faculty who have built a reputation for preparing students of all backgrounds for real-world career challenges and lives of fulfillment and accomplishment. The university is perennially recognized by Payscale.com for offering students one of the highest returns on investment in the nation.

Located 30 miles north of Boston, Lowell is where the American Industrial Revolution began. Once the world leader in water-powered textile manufacturing, Lowell today is a knowledge-powered city with a rich cultural tapestry, thanks to waves of immigrants who have settled here. The red brick mills along its scenic canals have been reborn as luxury lofts, art galleries, museums and business incubators. Most of its downtown is an urban national park that celebrates Lowell's industrial heritage. UMass Lowell has been instrumental to the city's renaissance and enjoys a close relationship with its host community.

The region around Lowell overlaps Greater Boston, with its world-leading clusters in biotechnology, health science, pharmaceuticals, precision instrumentation and robotics, and defense technology.

RESPONSE TO AREAS IDENTIFIED FOR SPECIAL EMPHASIS

In its letter of June 4, 2014 to UMass Lowell, the Commission on Institutions of Higher Education of the New England Association of Schools and Colleges identified three areas of emphases for consideration in our interim report. Each of these areas has been addressed in the report that follows as specified below.

1. Continuing to develop a comprehensive approach to the assessment of student learning, including general education, and using the results to inform program improvement. This area of emphasis is addressed holistically in the Reflective Essay on Educational Effectiveness, which starts on page 25.

2. Providing sufficient resources to support and enhance the University's core mathematics curriculum. This is addressed within the context of Standard 6: Teaching, Learning, and Scholarship. This specific material relating to these topics can be found under the header “NEASC Area of Special Emphasis” on page 18.

3. Ensuring adequate facilities and infrastructure to keep pace with institutional growth, utilizing clear and consistent criteria for resource allocation across units. Our response to this is the focus of our narrative on Standard 7: Institutional Resources, which begins on page 20.

STANDARDS NARRATIVE

Standard One: Mission and Purposes

UMass Lowell's Strategic Planning Commission revisited the university's mission statement while undergoing its 2013 comprehensive review in order to better integrate the institution's goals with those of the University of Massachusetts system. Since that time, we have continued to re-evaluate and assess the mission and purposes of the university with each update to the UMass Lowell 2020 Strategic Plan. Small but important adjustments have ensured harmony between the mission, vision and the changing reality of UMass Lowell. Within the next 12 to 18 months, the university will continue to monitor progress toward our 2020 goals with a highly representative and inclusive strategic planning process.

Revisions to the mission are subject to approval by the president of the University of Massachusetts System and the University of Massachusetts Board of Trustees.

Mission Statement

The University of Massachusetts Lowell is a nationally ranked public research university committed to excellence in teaching, research and community engagement. We strive to prepare students to succeed in college and to become lifelong learners and informed citizens in a global environment. 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 and sustainable practices. The programs span and interconnect the disciplines of business, education, engineering, fine arts, health, 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.

The mission is prominently placed on the university's website, in the [2020 Strategic Plan](#) and in annual Report Cards that track strategic plan progress.

The mission statement includes a focus on national rankings, community engagement, global awareness, transformational education, experiential learning and innovation and entrepreneurship. The following are examples of how we are executing on those endeavors:

National Rankings

Since 2010, UMass Lowell has climbed 27 spots in the U.S. News & World Report ranking of national universities, to No. 156 from No. 183. That rise is among the largest by any institution over that time frame. For online bachelor's programs, UMass Lowell is ranked No. 22 in the nation.

Community Engagement

In January 2015, UMass was one of two university systems nationwide to have all of its campuses recognized with the Carnegie Foundation's Community Engagement Classification—considered the gold standard for measuring the service universities provide to their local communities. UMass Lowell contributes a combined 214,000 volunteer hours a year to Lowell and surrounding communities. In August 2017, the university signed a master agreement with its host city, spelling out a multiyear commitment to numerous cooperative efforts ranging from infrastructure improvements to economic development. The university also maintains notable partnerships with the local entities, including the Lowell National Historical Park, the Merrimack Repertory Theater, the Lowell Summer Music Series, Lowell Public Schools, Mill City Grows, Lowell General Hospital, and The Lowell Plan (a nonprofit, economic development organization).

Global Awareness

UMass Lowell actively cultivates global exchanges and a global worldview among its students and faculty, and has gone so far as to adopt "The World in Your Hands" as its primary brand message. The university offers more than 300 study abroad opportunities and has academic partnerships with more than 136 universities in 45 nations. UMass Lowell enrolls more than 2,000 international students from 60 nations and routinely hosts scholars and leaders of international importance. For example, in 2017 and 2018 alone the university hosted three Nobel Prize winners: Steven Chu (physics), Shuji Nakamura (physics) and Tawakkol Karman (peace).

Transformational Education

Transformational education is the core mission and a Pillar of Excellence at UMass Lowell. Major initiatives in this area include a comprehensive strategy on retention (including early warning systems for academic performance issues, expanded professional advising and enhanced interventions for at-risk students). In 2017, UMass Lowell was among only 11 universities in the nation featured for best practices in the U.S. Department of Education's "College Completion Toolkit." We have twice won the Higher Education Excellence in Diversity Award from Insight into Diversity Magazine for our commitment to a diverse and inclusive university. In 2015, we were ranked third in the nation by Education Trust among four-year public institutions for closing achievement gaps for underrepresented students.

Experiential Learning

UMass Lowell is the only public university in Massachusetts with a professional Co-op program. Launched in 2009, the program is available in 16 undergraduate majors and concentrations. More than 1,400 students have had a co-op work assignment since the program's inception. In addition, UMass Lowell offers a range of experiential learning options for students of all majors including paid and unpaid internships. In 2016-17, more

than 800 undergraduate students completed an academic internship, field study or practicum. Our “[World in Your Hands](#)” website connects students with experiential learning opportunities university- and community-wide.

Innovation and Entrepreneurship

In July 2015, the UMass Lowell Innovation Hub opened in downtown Lowell. An incubator and co-working facility with attractive space and support services for early stage technology-based startups, the iHub is tasked with nurturing and supporting the formation, launch and growth of these companies in the areas of information technology; robotics, sensors and controls; clean tech and other related technologies. In 2017, a second location opened in conjunction with a new instructional site in Haverhill, Mass. The university's DifferenceMaker program, a campus-wide initiative that engages students in creative problem-solving, innovation and entrepreneurship, has resulted in the launch of 19 student-led startup companies. Further, public-private partnerships (such as the Raytheon UMass Lowell Research Institute and the new Fabric Discovery Center) and sponsored research, in fields such as wind energy and advanced textiles, will spawn further innovations going forward.

Standard Two: Planning and Evaluation

The University of Massachusetts Lowell embarked on a strategic planning process in 2010 to define its vision for the future and create a road map to achieve ambitious goals within a decade. Our 2020 Strategic Plan and goals are guided by our overarching Pillars of Excellence and have been informed by the UMass system’s five-year plans, the most recent of which extends to 2023. We regularly review UMass Lowell's plan with stakeholders from across the system-wide university community, including the Office of the President and the Board of Trustees.

The Strategic Plan and the Multiyear Financial Plans follow UMass Board of Trustee guidelines and are sustainable in the years ahead. Importantly, they anticipate the trends that will shape higher education and our economy in the next 10 to 15 years including changes in demographics, the labor force, automation, research and globalization. Our strategic investments, efficiency measures and entrepreneurial revenue-generation will provide the financial foundation for sustainable growth into the future.

The annual Report Card provides all of UMass Lowell's stakeholders with a data-driven record of progress, or lack thereof, in each of 25 benchmark areas. It is a useful gauge of what we have accomplished and what work remains ahead. The university leadership welcomes public scrutiny and considers it a strong incentive for continuous improvement. The 2020 Strategic Plan was last updated in March 2017. The most recent Report Card was issued in March 2018.

Financial Planning

A critical element of the 2020 Strategic Plan is to ensure long-term financial stability for UMass Lowell. The corollary Multiyear Financial Plan sets forth in detail how UMass Lowell will achieve positive annual operating margins, build sufficient reserves and maintain a debt service ratio under 8 percent in accordance with UMass policy. Updates to this plan and to the university's capital plan are reviewed annually by the President's Office and the Board of Trustees. Each of these plans reflects the goals and benchmarks contained in the 2020 Strategic Plan.

Our budget planning process is inclusive and transparent, with a campus-wide Financial Planning Committee that considers requests from each administrative office. Each February, the Budget and Financial Planning Office begins formulating estimates of the campus general operating budget based on projected enrollment; anticipated state appropriations; student fee and tuition revenue; interest earnings; indirect cost recovery from grants and other unrestricted operating, auxiliary and grant and contract revenues; and expected changes in fixed and variable costs. The allocations are reworked throughout the spring as the enrollment and budget outlook becomes clearer. Once the student charge vote is passed and the state appropriation is finalized, the chancellor and Executive Cabinet determine final budget allocations to divisions within the university, usually in the late summer once the prior fiscal year is closed.

As a campus, we have historically budgeted in a fiscally conservative manner. We follow that budgeting approach in our multiyear plan. As we look at the key indicators for next five years, we see a consistent picture. The Lowell campus will continue to aggressively pursue non-state revenue through expanded auxiliary operations such as hospitality and events services; our highly successful online, corporate and continuing education programs; and partnerships with industry and corporations. The campus is implementing academic and administrative efficiency and effectiveness initiatives and ideas generated throughout the university system. The combination of increasing revenue through enrollment, fundraising, sponsored research and entrepreneurial activities and controlling costs will result in a financially sustainable future.

Institutional Research and Data Analytics

All university planning is informed by research and data. The Office of Institutional Research was reorganized and its scope expanded in spring 2017 to help campus leadership steer decision-making. The new organizational unit, the Office of Strategic Analysis and Data Management, is constructed to support advanced analytics and predictive modeling in addition to simple compliance and mandatory descriptive reporting. The team comprises four professional staff and an executive director. OSA is responsible for maintaining the university's Report Card, and seven individual College Report Cards.

A major initiative of the OSA is the creation and expansion of the Analytic Datamart, which has revolutionized the way the university uses data and drives data-informed

decision-making. The Datamart was successfully piloted in 2016 and 2017. It provides analytics and visualizations to the academic leadership team, allowing them to see and interrogate their data and analyze trends.

Standard 3: Organization and Governance

UMass Lowell is part of the five-campus University of Massachusetts system, subject to the authority of the UMass President's Office, the UMass Board of Trustees and the State Board of Higher Education. The university's governance structure as described in our 2013 report remains substantially the same. However, in response to the university's significant growth and changes in leadership, we have undertaken some organizational restructuring.

Cabinet Leadership

In 2015, Chancellor Martin Meehan accepted the position of President of the UMass system and, following a national search, was succeeded by Dr. Jacqueline Moloney. Following her appointment, Chancellor Moloney began a strategic review and realignment of the university's leadership team. Given its relevance to the university's stature as a nationally ranked research institution, the position of vice provost for research was reclassified as vice chancellor for research and innovation and brought into the Executive Cabinet. Now, the Executive Cabinet, which is the senior advisory council to the chancellor, is composed of the provost and vice chancellor of academic affairs, the vice chancellor of research and innovation, the vice chancellor of advancement, the vice chancellor for university relations, and the senior vice-chancellor of finance and operations.

Academic Affairs

Following the retirement of Provost Ahmed Abdelal in 2015, the university hired Dr. Michael Vayda as provost following a national search. Provost Vayda identified his top priorities as workforce development and innovation, student success, and faculty success. He appointed three vice provosts to oversee each of these areas. The academic leadership team comprises the provost and vice provosts, as well as the academic deans, four out of six of whom were hired since 2015 (See attached [organizational charts](#) for specific members).

Academic Divisions and Leadership

Also of note was the philanthropic naming of two of our colleges and one school: the Kennedy College of Sciences in October 2015, the Zuckerberg College of Health Sciences in May 2017 and the Solomont School of Nursing in April 2017. In addition, with the approval of the UMass Board of Trustees, UMass Lowell reintroduced an undergraduate degree in education (the bachelor's program had been discontinued in 1983) and renamed the Graduate School of Education as the College of Education. As of

fall 2017, the college offers an undergraduate degree program in elementary teacher preparation in addition to its well-established graduate programs.

The Division of Online and Continuing Education, which had reported to the executive vice chancellor, was integrated into Academic Affairs and now reports to the vice provost for innovation and workforce development.

Faculty Governance

The university has a proud tradition of shared faculty governance, led by the Faculty Senate. Under the authority of the UMass Board of Trustees, the faculty has primary responsibility for the quality of academic life and actively participates in the governance of the university. Through the Faculty Senate, the faculty examines, recommends approves curricula and academic policies. Academic units are allotted one senator for every five full-time faculty members. Senate representatives sit on the university Budget Committee, as well as on all senior-level searches for positions of dean or above.

The senate's executive committee is composed of the president, vice president, representative and alternate representative to the Board of the Trustees, and elected chairpersons of the Faculty Senate subcommittees. Vice provosts and other academic staff attend senate and subcommittee meetings in advisory (non-voting) roles. Since our 2013 comprehensive review, we have reconstituted our former "Gen Ed" subcommittee as the Core Curriculum Committee with a mandate to implement and assess the newly adopted Core Curriculum.

Labor Unions and Collective Bargaining

The university has been engaged in collective bargaining with the eight unions that represent university employees across the campus, including multiple units of the Massachusetts Teachers Association, the Teamsters university police unit, the Service Employees International Union professional staff unit, and the United Auto Workers graduate student organization and adjunct faculty units. The majority of these contracts expired in June 2017. At the time of this writing, successor agreements have been negotiated with and ratified by the majority of these units for the term July 2017 - June 2021. For the two that remain in collective bargaining (MTA clerical and maintenance and trades units), the terms of the expired contracts remain in force while bargaining takes place.

The university continues in collective bargaining with the UAW adjunct faculty union, which has unfortunately been protracted, having been in process now for nearly three years. In the fall of 2017, the university initiated a mediation process with the assistance of the Massachusetts Labor Relations Board. This process did not result in agreement, and the university is working with the Massachusetts Labor Relations Board, who will facilitate a fact-finding process that will conclude with a a non-binding recommendation.

Standard 4: Academic Programs

General Education/Core Curriculum

The most significant new development in the area of academic programs is the approval and implementation of our new Core Curriculum for undergraduate students. The 2013 NEASC self-study provided the university with an opportunity to reflect on the goals and implementation of our General Education requirements, which led to sweeping changes in what is now referred to as our Core Curriculum. The appraisal section of UML's 2013 report included recommendations by the then-titled General Education Committee. The university has since completed these actions or is currently in the process of doing so.

The new Core Curriculum was approved by the Faculty Senate in 2014. The policy specifies its adoption for all students entering in or after fall 2015. This program includes an entirely new approach to general education. The new Core Curriculum designates courses by discipline for the "breadth of knowledge" part of the experience, while in their upper-level courses, students complete "essential learning outcomes," most within their major, that build upon and deepen earlier learning.

Each academic program has a curriculum map that includes the breadth of knowledge and the essential learning outcomes, and all departments have published degree pathways that lay out a student's progress through their degree program.

A new Core Curriculum Committee (a subcommittee of Faculty Senate) was reconstituted in fall 2017 with a new chair and 11 members drawn from across the colleges. The committee charge and bylaws have been adapted to provide for the review of courses submitted by faculty and departments for general education credit. The director of curriculum, assessment and accreditation was added to the committee to assist in the development of assessment and continuous improvement practices in support of the Core's learning outcomes. More detail on the Core Curriculum's central role in establishing a campus culture of assessment is provided in the reflective essay in Standard 8.

One important result of the Core Curriculum is the revision of our College Writing Program, which has a renewed focus on scaffolded learning outcomes assessed in collaboration with the college writing faculty and the provost's office. For example, instructors introduce students to the citation styles they will use in their majors, and in College Writing II students practice developing academic research questions and using library databases to pursue arguments related to a range of disciplines.

Interdisciplinary Education

Since our last report, we have made significant progress in this important area across all colleges at the university. We held our first Interdisciplinary Studies Conference in March 2018 in the College of Fine Arts, Humanities, and Social Sciences.

The Bachelor of Liberal Arts degree offers a good example of how the university has deepened its commitment to interdisciplinary learning. In 2015, the BLA, which allows students to combine courses in two liberal arts concentrations, was revised to provide a more rigorous interdisciplinary focus and has since become a signature program in the College of Fine Arts, Humanities and Social Sciences. In addition to concentration courses, students are now required to complete a language requirement and two new courses: Foundations in Liberal Studies, which introduces interdisciplinary approaches, and the BLA Capstone, which provides an opportunity to design and create an original interdisciplinary research paper, community service project or creative artwork.

Other interdisciplinary programs include the cross-college Master of Science in Engineering Management, the Master of Science in Security Studies, the biotechnology program and minors in STEM teaching (UTeach), gender studies, environmental studies, disability studies and robotics.

Office of Study Abroad

2018 marks the sixth year of operations for our Office of Study Abroad & International Experiences. Programming ranges from academic exchanges to research and internships around the globe, all of it dedicated to engaging students in meaningful international experiences.

In order to meet the needs of a diverse student population, programming has focused on financial accessibility with an increase in short-term opportunities, many led by university faculty. For example, the number of faculty-led study abroad programs increased to 17 in 2017-18 from a baseline of five in the 2012-13 year. The office's initiatives to support student access to international experiences include new transfer of credit policies, scholarship programs, faculty and advisor education about international experiences, joint student service programming such as career planning and study abroad and targeted marketing campaigns.

Language Support for International Students

The university has made significant progress in developing support systems for English language learners. Since the 2013 self-study, we have created a university writing center and hired additional tutors for English language learners. However, in our NEASC report, we stated the following:

“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.”

Unfortunately, the university has not made sufficient progress toward this goal. We have had several failed searches for ESL faculty hires, and, with a number of administrative

changes and challenges, this initiative has not progressed sufficiently. This goal remains a priority. UMass Lowell has invested in a visiting consultant for fall 2018 to help us implement a program and establish clear benchmarks for success

The Honors College and The River Hawk Scholars Academy

In 2014, recognizing the strength of our Commonwealth Honors Program and its contributions to UMass Lowell's rising stature, the UMass Board of Trustees voted to elevate the program to an Honors College. The Honors College is an important part of the university's success story. Since 2014, the total number of Honors students has increased from 733 to 1,616. A total of 146 students graduated from the Honors College in spring 2018 (up from 28 in spring 2014). The university typically retains first-year Honors College students at a rate between 94 percent and 96 percent. Recognizing the importance of the Honors College to achieving the university's strategic goals, we have invested significant resources into the college, including the hiring of four full-time staff members for advising, retention and programming, and a budget that includes funding for student-faculty research projects.

Beginning in fall 2017, the university launched a pilot program for first-generation college students with the aim of providing them with academic and co-curricular supports similar to those given to honors students. Thus, we admitted 96 students to the new River Hawk Scholars Academy, which has a faculty director, a dedicated full-time advisor and a budget for activities and leadership development. The academy will more than double the number of participants for 2018 to 250 and has partnered with high-school-to-college pathway programs, such as Trio and Gear Up, to recruit and support strong students from urban areas.

Learning Beyond the Classroom

We are fortunate to have a large cadre of private-sector partners for internships, co-op experiences, service-learning opportunities, capstone project sponsors and DifferenceMaker project advisors. These partnerships also extend to our cooperative research endeavors. This immersion in real-world applications is foundational to the educational experience at UMass Lowell, and we feature these opportunities on our "[World in Your Hands](#)" webpage.

Standard 5: Students

UMass Lowell is fast becoming nationally recognized for its leading efforts in student success and retention. In January 2017, we were among 11 colleges and universities featured in the U.S. Department of Education's "[College Completion Toolkit](#)" promoting "Promising Practices for Improving Student Degree Attainment." Our commitment to our students is central to our mission and we are pleased that the university is being recognized for this important work.

In fall 2017, the university surpassed 18,000 students. We anticipate continued growth of three percent for this coming academic year. Despite declining number of college-bound high school graduates in the New England states, UMass Lowell continues to recruit and retain a strong and diverse body of students. In 2012, the last year we reported enrollment data to NEASC, our total number of students was 16,294 with freshmen reporting an average high school GPA of 3.5. That year we also reported an 84 percent first-year retention rate and a 54 percent six-year graduation rate. This year's incoming class is projected to have a GPA of 3.6. Last year's fall-to-fall retention rate was 86.5 percent, and our six-year graduation rate hit 62 percent this past year. These steady gains have been the result of careful planning and strategic investments in student success initiatives.

Enrollment and Admissions

The Office of Enrollment Management comprises the offices of Undergraduate Admissions, Transfer Admissions, Orientation and Financial Aid. The office reports to the provost, and the dean of enrollment is a member of the provost's cabinet.

Since our 2013 self-study, the university has added a "No Test Option" for applicants in which the SAT or ACT is optional and reporting of those scores can be replaced by additional information about the student's qualifications and background. Giving students this option has enabled us to maintain our commitment to access. Top students are not necessarily the best test takers, and there are many students who will thrive at UML whose test results may fall below our average reported scores. The implementation of the No Test Option resulted in immediate positive changes. Over the past two years, we have enrolled 347 students who have applied using the No Test Option. During these same two years, the percentage of students identifying as ethnically diverse increased to 34 percent (and will increase again this year), and we improved our gender balance and year-to-year retention.

Recognizing that New England and most other regions of the United States will experience a sustained decline in college-bound high school graduates over the next decade or more, the university is committed to reaching out to nontraditional student populations such as community college transfers, veterans and students who are parents. We have deepened our partnership with Middlesex Community College by offering housing to MCC students, shared advising, and summer bridge programs. The provost has also convened an "Onboarding Task Force," led by our interim dean of enrollment and our dean of student services, to revisit our orientation and first-year experience programs with the aim of preventing summer melt and improving first-year retention. We will also be expanding our out-of-state recruitment efforts in areas (North Carolina, Georgia, Florida and Texas) where the decline in high school enrollments isn't as sharp as it is in the Northeast. We will also be collaborating with Athletics, Alumni Relations and University Relations to promote events for prospective students and their families in those areas.

Given the upcoming challenges in recruiting traditional undergraduate students, we recognize that robust M.A. and M.S. programs are essential to our financial model, as

well as our ability to meet the workforce needs of our Commonwealth. Graduate admissions is overseen by our Graduate Admissions Office, which was reorganized in 2016-2017. We hired externally a director of graduate recruitment and two assistant directors, who report to our vice provost for innovation and workforce development. This team works closely with our associate deans of graduate programs.

Our graduate admissions team is reviewing our processes regarding graduate applications, undergraduate-to-graduate “fast-track” options and is working to ensure competitive pricing. With the upcoming retirement of our dean of continuing education, we will embark on a new restructuring process to better integrate the Office of Graduate Admissions with the Division of Online and Continuing Education to ensure better consistency for this often-overlapping population of students.

We continue to seek students from international backgrounds, as these students are crucial to our financial model and also to our commitment to a globally engaged culture. In addition to our partnership with the Navitas Pathways Program (begun in 2010), we are directly recruiting in China and India, deploying faculty and staff with ties to these countries to help us make important connections with communities in these countries.

We remain cautiously optimistic about future enrollment trends given our value proposition: high-quality programs that meet workforce needs, careful attention to the student experience and affordable price.

Student Services

With the 2016 restructuring of the Office of Academic Affairs, a new unit was formed to coordinate a broad array of academic services capable of responding to our enrollment growth and our desire to streamline the service and support of our students.

This unit comprises the Centers for Learning and Academic Support Services, which provides advising, tutoring and success coaching for students; The Solution Center, an integrated student service center that offers assistance with all inquiries related to registration, financial aid and student billing; Academic Advising; and the Registrar’s Office, which is a central artery for scheduling and processing student records. In 2017, we hired a Director of College-Based Professional Advising whose team is reshaping professional advising efforts as a complement to faculty advising.

Diversity

The university continues to be deeply committed to diversity, with 34 percent of our students coming from under-represented backgrounds (compared to 29 percent in 2012). One example of our commitment to diversity can be found in our new [Diversity Portal](#), which highlights resources on race and ethnicity, gender identity and equity, and disabilities services.

One area that the university continues to struggle with is gender diversity, with approximately 65 percent of our students being male. This is partially due to our strength in certain STEM majors, such as mechanical engineering, that traditionally struggle to

attract female students. We are employing a number of strategies to increase our yield of women students, including creating a summer bridge program for incoming female freshmen in STEM, admissions events aimed at highly-qualified females among our prospective students and a financial aid strategy that targets strong female students for specific scholarships and co-ops.

Standard 6: Teaching, Learning, and Scholarship

Faculty and Academic Staff

Over the past three years, the university has experienced 12 percent growth in the number of full-time faculty from 549 in fiscal 2015 to 616 in fiscal 2018. The number of full-time visiting faculty rose from 36 positions in fiscal 2017 to 74 in fiscal 2018. The growth in full-time tenure-eligible faculty was somewhat more modest, rising from 513 full-time permanent positions in fiscal 2015 to 542 in fiscal 2018.

Notably, the composition of the ranks of tenured and tenure-track faculty has undergone a significant shift, driven by the results of retirement incentive programs and campus-wide recruitment of junior faculty. Between fiscal 2015 and fiscal 2018, the proportion of tenured and tenure-track faculty who are full professors declined from 42 percent to 33 percent, while pre-tenure assistant professors grew from 21 percent to 31 percent of the tenured and tenure-track workforce. During this period, the proportionate ranks of associate professors have remained relatively steady, between 36 percent and 37 percent. Although the expanded ranks of junior faculty bode well for the future of the university, the dramatic shift in relative proportions of junior and senior faculty does present a series of challenges related to institutional memory, the pool of available faculty for leadership positions and significant service, and mentoring.

Faculty members are provided with numerous opportunities for scholarly professional development throughout their careers. The most recent faculty contract includes annual professional development funds of up to \$800 and a professional travel allowance of up to \$1,000 per full-time faculty member for such purposes as attending a conference or meeting with a research program manager. Tenure-track faculty may also apply for a pre-tenure sabbatical. Additionally, we created awards this year to recognize faculty for mentoring undergraduate and graduate students as well as other faculty.

One additional workforce shift of note concerns a reduction in the number of tenured and tenure-track librarians, from 12 positions in fiscal 2015 to four positions in fiscal 2018. This rate of decline was accelerated by the aforementioned early retirement program and decisions to defer replacement of vacated positions. The vice provost of faculty success is collaborating with the director of libraries to reorganize librarian and library staff responsibilities and modernize processes.

Teaching assistants continue to play an important role in the delivery of courses across the campus, and the number of TAs has been increasing in parallel with the student

population. TA training protocols vary among the colleges. For example, the College of Engineering has expanded a training program that was first implemented in the Department of Electrical and Computer Engineering. New TAs are required to successfully complete this workshop either before or concurrently with their first semester of being a TA. Other TA training activities happen at the department level or are provided through individualized guidance from the course instructors. Under the two new vice provosts (of faculty success and of innovation and workforce development), we intend to develop further support for our graduate TAs.

We also created new opportunities for research and creative activity throughout campus. Under the newly reorganized vice chancellor for research and innovation, we have launched new programs to provide seed funding and support for faculty research to foster interdisciplinary collaboration. We are also emphasizing undergraduate research to promote student learning and student-faculty collaborations. These opportunities include the DifferenceMaker program, Emerging Scholars, the annual Student Symposium, and new undergraduate faculty-student research programs in business and sciences. The university has authorized a full-time staff position, serving under the vice provost for student success, to coordinate these disparate undergraduate research and experiential learning opportunities.

Teaching and Learning Support

The growth in faculty and new academic programs results in increased demands for support by the office of Information Technology. Instructional technologists assist faculty with the implementation of such tools as Blackboard, lecture capture and ePortfolios, as well as an array of specialized software packages. In 2015, IT opened a faculty sandbox in which faculty can “play” with new technologies in a simulated classroom to encourage innovation that promotes successful teaching and learning.

The growth in student enrollment also means that services must be implemented to meet the needs of a larger population. The Lawrence Lin MakerSpace in the College of Engineering, a Fabrication Lab for Art and Design, and an innovation space in the soon-to-be renovated Coburn Hall are examples of the new spaces we are designing and building on North and South campuses to facilitate student innovation and active learning. We have also increased the resources devoted to services for students with disabilities and recently opened testing centers on North and South Campus for students who need accommodations. These centers also serve faculty needs by proctoring make-up exams.

NEASC Area of Special Emphasis

In the NEASC Final Report of January 2, 2014, the following concern was raised regarding the mathematics program:

“Critical to achieving its aspirations to be considered a serious science and technology university is the need to strengthen its mathematics program.”

The report further noted that, "...it did not appear to members of the team that the department (of Mathematical Sciences) has the requisite support for funding and instructional resources that are consistent with a highly technology-driven institution. Several groups expressed concerns about 'under investment' and morale issues in this department, particularly in the area of faculty hiring."

Since the NEASC study and site visit in 2013, the Department of Mathematical Sciences has made a number of changes that have resulted in significant improvements. The department has hired five new tenure-track assistant professors, one new full-time lecturer and promoted two adjunct faculty members to full-time visiting lecturers. While these hires have been a positive development, they have been offset by the retirements of five tenured faculty members and the resignation of one. During this same period, the department has seen more than a 20 percent increase in enrollments in its service courses. There remains a need for additional faculty within the department. Consequently, the department has worked with the dean's office to prepare a faculty hiring plan to include the addition of six new tenure-track faculty and two non-tenure-track lecturers over the next three years (eight total additional full-time faculty during 2018 to 2021). The hiring of several new full-time faculty members and the commitment to continued growth have had a positive impact on morale in the department.

The Department of Mathematical Sciences has also increased its use of technological resources in response to the rapidly-growing demands on faculty. They championed the purchase of Chromebooks to invite applied learning approaches in lectures. When the office of Information Technology launched a new Blackboard instance in 2016, the department capitalized on that tool to offer web-enhanced courses that could support student learning beyond the lecture and recitation.

Throughout this period of rapid change, student success remains at the core of the department's mission, whether these students be advanced STEM majors or humanities students needing to fulfill a Core requirement. As noted in the 2013 NEASC report, the Department of Mathematical Sciences had at that point just developed calculus courses specifically for non-engineering students (e.g. Calculus for Biology and Business Calculus) to bolster student success in gateway courses such as Calculus I and Calculus II.

An additional initiative to improve student success, the department is implementing a new placement test ([ALEKS®](#)) which will not only deliver an effective assessment for placement but will also provide six months of personalized learning and remediation to help students succeed. The ALEKS math placement process successfully launched in spring 2018 for the fall 2018 admissions and placement cycle. The dean's office will be working closely with the math department to analyze its impact on student success. We will make improvements for successive admissions cycles, including possibly expanding its use with transfer admissions.

Standard 7: Institutional Resources

In its response to the university’s 2013 self-study, NEASC noted the following Area of Emphasis:

“Ensuring adequate facilities and infrastructure to keep pace with institutional growth, utilizing clear and consistent resource allocation across units.”

A critical element of the strategic plan is that it be financially sustainable into the future. The campus multi-year financial planning targets and annual operating budget goals are directed toward achieving positive annual operating margins and maintaining a debt service ratio under the University policy cap of 8 percent.

The facilities and infrastructure component of UMass Lowell's growth is intertwined with academic initiatives, facilities master plans, capital plans, hiring targets, student enrollment plans and multiyear budget strategies. Over the past five years, UMass Lowell has successfully supported its overall growth with a dramatic expansion in the quality and quantity of its facilities, infrastructure and associated resources.

As measured by gross building square footage, campus facilities growth has outpaced other measures of institutional growth.

	2012-13	2017-18	Growth
Total Student Enrollment (Fall)	16,294	18,316	12.4%
Total FTE Faculty (Fall)	683	784	14.8%
Research Expenditures	\$60.6	\$69.7	15.0%
Gross Building Square Footage	3,641,000	4,841,300	33.0%
On-Campus Student Housing Beds	3,378	4,916	45.5%

Since 2013, we have averaged \$98 million annually in major capital expenditures for our facilities. During this period, the university has added new buildings and substantially renovated existing buildings serving academic (Pulichino Tong Business Center), residential (River Hawk Village, University Suites, Fox Hall), student life and administration (University Crossing, Aiken Recreation Complex), and support (Hall Street Garage) functions of the campus. The buildings constructed or acquired in recent years are now followed by capital plans that focus on utilization and renovations of vacated and existing space. Major projects currently under design and construction will comprehensively renovate key academic buildings including Coburn, Olsen, Dandeneau and Perry halls—which together serve the College of Education, the Kennedy College of Sciences and the Francis College of Engineering. The projects completed over the past five years as well as those currently in design and construction have included significant investments for the benefit of each college on campus.

In addition to increasing the size of the physical campus, which occasionally includes leased space, UMass Lowell has worked strategically to address the condition, utilization and efficiency of its existing facilities, building systems and infrastructure. Significant investments for deferred maintenance (annual average of \$39.8 million since fiscal 2014

compared to a \$23 million average in fiscal 2010 to fiscal 2013) are addressing modernization, code and accessibility upgrades and energy efficiency. Targeted investments in preventative maintenance, housekeeping and facility services help ensure the quality of campus facilities.

	2010-11	2016-17	2017-18
Classroom Utilization (WSCH/avail seats x 40hrs)	0.391	.441	0.448
ADA Accessible Buildings	24%	83%	92%
Energy Consumption (BTU/Building GSF)	125,858	91,387	91,505
Annual Facilities Maintenance & Ops Expenditure	\$21.4M	\$26.6M	\$26.9M

The university’s Space Committee includes representation from the academic, student affairs and administrative leadership. It guides the allocation of space, prioritization of investments and capital projects and implementation of procedures, guidelines and standards to ensure equity across campus. The level of investment in new space and major renovations over the past decade and planned for the next several years has enabled nearly all campus departments to be consistently right-sized in accordance with guidelines and space metrics benchmarked against peer institutions and national trends. Flexible designs and standardization of materials, furnishings, and technical details reinforce the university’s ability to efficiently manage space allocation and utilization as needs and priorities continue to evolve.

The campus has increased coordination between the academic leadership and Facilities Management to improve the alignment between investments in facilities and infrastructure with academic programs. Better utilization of existing facilities is being achieved not only from facility improvements but also through academic efficiencies, better planning, programming and scheduling. For example, college enrollment targets take into account space utilization. Academic hiring plans are closely coordinated to ensure office and lab needs are addressed. The registrar has implemented improvements to peak levels in classroom scheduling, which improves utilization and student access to courses.

When necessitated by internal or external factors, UMass Lowell has refined and revised its strategic decision-making in order to avoid expansion that cannot be adequately supported. Two prominent examples over the past five years are the indefinite deferral of the opening a new School of Pharmacy and the downward revision of Fall 2020 enrollment growth targets by 1,000 total students to 19,000.

The university recognizes that additional facilities investment is needed, despite strategically slowing the rate of enrollment growth. Remaining challenges include the conditions of older laboratory buildings, inconsistency in space utilization between the North and South campuses due to different growth rates and keeping up with the significant deferred maintenance burden associated with an aging campus infrastructure.

We recognize that even the best financial planning cannot account for all unforeseen risks. As a result, the University System has developed an Enterprise Risk Management

(ERM) program to coordinate the identification and analysis and reporting of financial, operational and reputational risks to the University. The Lowell campus is proactively developing mitigation strategies and programs aimed at reducing risks that could impact the goals outlined in our Strategic Plan. We will continue to monitor the potential impact of these risks.

Efficiency and Effectiveness

The university has embraced and is implementing many academic and administrative efficiency and effectiveness initiatives and ideas generated throughout the University system. It is through the combination of increasing revenues through enrollment, fundraising, sponsored research and entrepreneurial activities and controlling costs that will result in a financially sustainable future. The campus developed detailed quarterly financial reports for the Executive Cabinet in 2013 to track our budget to actual progress throughout the fiscal year. The President’s Office has recently initiated a quarterly financial reporting regime for the Board of Trustees, adding another layer of accountability.

As part of our multi-year planning the campus targets an overall student-to-faculty ratio of 18:1 and allocates new funding for faculty to maintain that ratio as enrollments grow and change. We are currently operating at an approximate student-to-faculty ratio of 17:1.

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. The campus implemented an essential hiring review process in 2016 to proactively manage and budget all staff positions to maximize vacancy savings during the fiscal year and to control growth in the base budget. The essential hiring committee only recommends staff hires to the Executive Cabinet in critical areas that are essential to the success of important strategic initiatives including expanding external revenue opportunities.

	2012-13	2016-17	2017-18 (est.)
Total Non-State Operating Revenues	\$220.8M	\$299.2M	\$313.0M
Total Operating Budget Expenditures	\$315.9M	\$428.3M	\$455.2M
Operating Margin	2.1%	2.2%	1.0%
Debt Service Ratio	5.8%	7.3%	7.7% [[]

Standard 9: Integrity, Transparency, and Public Disclosure

The UMass Lowell community collaborates in the effort to achieve the highest standards of integrity, transparency and public disclosure, as befits our role as a public institution.

Integrity and Transparency

A consistent narrative on campus, addressed across the sections of this interim report, is the challenge of managing rapid growth, particularly at the pace set since our 2013 self-study. Decentralized policies and practices that suited us when we were a smaller

institution have had to be revisited. For example, there are certain common practices that have never been formally written as university policy. These include definitions of a "track" versus a "concentration," and criteria for undergraduate certificates. The Faculty Senate has created a new subcommittee focusing on academic policies in an effort to bring greater clarity to these issues. This committee is systemically reviewing our undergraduate, graduate and Online and Continuing Education catalogs for consistency and clarity. Any suggested changes are then brought before the Faculty Senate for review and approval. We are also working with University Relations and department chairs to ensure that the content of all university web pages is consistent with our catalog.

The university adheres carefully to all academic policies for students, although we do make exceptions appropriate to our standards and our mission. For example, when Mount Ida College recently announced its closure, many of its students were interested in transferring to UMass Lowell. The university was eager to welcome them, but many students would be transferring with too many credits to meet our residency requirements for graduation. What followed was a thoughtful and robust discussion between the Office of Admissions, the Provost's Office and Faculty Senate about whether and how to waive this requirement for incoming Mount Ida transfers. The final decision was made by Senate (which has authority on academic policies) to waive these requirements for both undergraduate and graduate transfer students from Mount Ida on a one-time, emergency basis. While this is fortunately an unusual case, it is nonetheless illustrative of the kind of cross-campus dialogues that inform our policy decisions and our shared, student-centered culture.

In addition to academic policies, we have made progress in formalizing and making visible other university policies. From student conduct to faculty travel, all of our policies are circulated for discussion among relevant faculty and staff before adopted and posted on the [Policy Portal](#), which was created on the university's web site in 2016.

In our 2013 report, we committed to improving our federal policy training for members of the university community. Title IX and Sexual Violence Prevention training is now required for students, staff and faculty. All new students to the university are required to complete the online "MyStudentBody" Essential Course, which is aimed at reducing the risk of sexual violence and drug and alcohol abuse. The university currently has eight Student Affairs professionals trained in the program "Bringing in the Bystander" which is offered to both targeted student groups (fraternity and sorority members, athletes and student leaders) as well as to the general student population.

All employees are required to complete the online "Supervisory Intersections: Anti-Harrasment & Title IX" course, which addresses the prevention of, and response to, all forms of prohibited discriminatory conduct, including sexual harassment and sexual assault.

Other Critical Areas of Compliance

The growth of enrollment in the Division of Online and Continuing Education has been met with an assiduous attention to meeting the requirements of the Americans with Disabilities Act, Family Educational Rights and Privacy Act and copyright laws. Online course development training on the Blackboard learning platform includes a requirement, instituted since the 2013 self-study, to participate in training on these critical matters of compliance.

In addition, faculty in traditional face-to-face classes are increasingly incorporating online learning platforms into their courses. The Office of Disabilities Services attends regularly scheduled Blackboard training to ensure that all Blackboard users are aware of the accessibility features and that faculty design their curricula with accessibility in mind. Faculty development workshops focus on learner needs and universal design as guiding principles that foster accessible learning.

In the Athletics Department, all staff and coaches participate in the university's Title IX and Clery Act annual certifications. Specific items in all these areas (FERPA, ADA, Title IX, Clery, Health Insurance Portability and Accountability Act, and Violence Against Women Act, etc.) are presented in our staff's compliance meetings as new or revised policies and procedures are approved. In addition, we have adopted new NCAA programming regarding student-athlete education in many of these areas; we introduced this new programming for our student-athletes during the summer of 2018.

Public Disclosure

Amendments to the U.S. Higher Education Act require institutions participating in federally funded financial aid programs to make information about the institution available to current and prospective students. In order to make the relevant information readily available at the University of Massachusetts Lowell, the Office of Strategic Analysis and Data Management has created an [online public disclosure resource](#). UMass Lowell is committed to exceeding our legal and ethical obligations in the area of public disclosure. A culture of transparency in a public institution is essential for public trust and for trust within the university community.

Our annual Report Card is the linchpin of our public disclosure policy and our commitment to transparency. Each year, we report on our progress toward our 2020 goals. The Report Card helps us to communicate our progress toward strategic goals to external parties and also serves as a useful tool for internal offices to guide priorities and make decisions.

The university website is the primary means by which we communicate all points of public disclosure and compliance. In our 2013 self-study, we committed to define a process for modifying university websites. [That process has now been codified](#). These guidelines enable us to communicate a coherent, consistent message that is reflective of our values of transparency and public disclosure.

Information about campus events, grants, academic and athletic achievements and personnel and policy changes is conveyed to the university community primarily through a daily email digest, Today@UMass Lowell. The publication NewsLine, produced monthly in print and digital editions, conveys information about the accomplishments of students, faculty and staff to the university community and supporters. Emergency notifications are pushed to the university community in a timely manner through the RAVE Emergency Alert system. All [safety and emergency response procedures](#) are published on the university's website.

REFLECTIVE ESSAY ON EDUCATIONAL EFFECTIVENESS

Introduction

UMass Lowell's [first strategic planning Report Card](#) was published in 2012, just before our 2013 NEASC self-study. Since that time, as we have described across the other standards, we have become a more strategic organization, learning to chart our constant state of change using critical indicators, revisiting our goals on an annual basis, refining and expanding our measures, becoming more skilled at directing resources, and becoming comfortable with a mindset of continuous improvement.

Those skills have been essential in guiding the intentional growth of our institution in ways that are consistent with our mission. As with the institution as a whole, we have been developing those skills in support of the first pillar our mission: Transformational Education. The current benchmarks for this pillar, as noted in our [2018 Report Card](#), are broad markers attuned to key aspects of our overarching university mission: access to the opportunities of higher education, a standard of academic excellence across disciplines, and a commitment to the development of our students into lifelong learners and engaged citizens. While, as descriptors of the academic experience, the indicators are broad, these measures of success are designed to serve as guardrails for institutional development, and to help us maintain a balance between growth and our ability to sustain quality. Our ability to make decisions about how we spend resources to support growth requires our attention to student outcomes.



At the same time as our total headcount is steadily on the rise, our student profile is changing. Our students are entering with higher SAT scores and high school GPA, but also with greater financial need. Our [Transformational Education Report Card](#) metrics allow us to monitor the effectiveness of our continuous improvement efforts. Key accomplishments we have demonstrated include:

- **Retention:** In Fall 2011, we retained 79% of our full-time first year students; in Fall 2017, we retained 86%, despite the increased pressure from demographic trends.
- **Student debt:** We have slowed the rise of student debt load, and lowered our 2020 goal to pre-2015 rates.
- **Graduation rates:** Six-year graduation rates climbed from 51% in 2010 to 62% in 2018.
- **Overall satisfaction:** On the NSSE survey, first-year students rating their experience as “good” or “excellent” moved from 78% in 2015 to 87% in 2016. We are now turning our attention to our seniors, whose ratings for the same period fell from 84% to 81%. Our aim is now to raise both groups to 88% in 2020. (See below for more on NSSE.)

Even as we use these markers to catalyze our ambitions for institutional excellence and the fulfillment of our mission, we realize that these goals and markers are limited. While they, along with our rise in various of ranking systems, describe the trajectory of our success, and are important in their own right, they are indirect reflections of the daily work we do and decisions we make that ultimately result in these changes. And, while they are helpful stand-ins, they are not sufficiently actionable at all levels of campus work. In fact, these measures provide our campus community additional incentive to conduct meaningful assessment of our students' experiences, and, primarily, their learning, as we try to effect change capable of impacting our Report Card measures.

Beyond the Report Card

Every teacher knows that a mark on a report card stands in for a complex set of intentions, outcomes, structures, efforts, and measures that unfold over time, and that such a grand, summative conclusion will fall short of being entirely useful. In this essay, we will break down our assessment strategies and activities to demonstrate the multiple levels at which we are engaged in the work of continuous improvement of learning. We have realized or refined all of the projections related to assessment that were outlined in our comprehensive self-study in 2013, and we continue to set goals that will propel our work forward.

We have addressed a number of foundational needs that will enable ongoing assessment efforts, and we have made good progress toward a sustainable model of learning assessment for our campus. This basis of progress will serve us as we continue to move toward our goals. As we have done with the report card measures described above, we set high expectations for the assessment of learning at UMass Lowell and are methodically working toward their realization.

The principles guiding our efforts are faculty self-determination and practicality. As we articulate on our assessment website:

At UMass Lowell, the goal of assessment is to understand and improve student learning, and to engage the campus in an ongoing conversation about curricula and outcomes. We work with campus partners to design professional development opportunities that support departmental and faculty goals. Our aim is to encourage flexible, simple assessment design tailored to faculty, program, and department interests.

UMass Lowell's approach to assessment is intended to be useful, manageable and practical. We have promised our campus community that we will not do assessment for its own sake, and to keep decisions about specific assessment activities in the hands of faculty. The progress we have made since 2013 has been consistent with this approach, and we believe our successes can be attributed to our transparency and our collaborative stance.

Those leading assessment on this campus are, like our counterparts nationally, under extreme scrutiny, engaging in already challenging work made more so by the constant barrage of anti-assessment op-eds that continue to appear in the news and in popular

industry publications. This climate of skepticism has slowed our campus work, but it has had the positive effect of reinforcing the value of engagement with faculty and the wider campus community as we try to understand what our students are learning. Our Director of Curriculum Assessment and Accreditation is a signatory to the open letter “[Why Are We Assessing?](#)” published in *AALHE Emerging Dialogues in Assessment* in March 2018; that document responds to many common critiques and describes the principles we are committed to enacting at UMass Lowell. Foremost among those is keeping assessment practice collaborative and useful.

Our painstaking approach colors the work described throughout this essay, and we believe that that care to build trust and credibility, especially among faculty, is to be credited for the progress that we’ve made. And we take good signs where they come. At a June 2018 faculty workshop—significantly, it was specifically not on the topic of assessment—25 full-time faculty participants completed anonymous survey in which they were asked, “What is your general opinion of assessment as you understand or have experienced it?” One faculty member replied “Very Negative.” Six replied “Neutral or Unsure.” Most importantly to us: 19 out of 25 faculty replied “Positive” or “Very Positive.” While this small result does not allow us to declare campus-wide victory, it’s nonetheless encouraging, and it represents a palpable change in our culture of assessment since the 2013 self-study.

In the remainder of this essay, we attempt to measure the growth of the structures, community, tools and habits we have cultivated as part of our comprehensive and collaborative approach to assessment. We are not done, but UMass Lowell’s mission dictates that we continuously improve in order to provide our students with a transformational educational experience. Our growth in assessment practice, and the refinement of our approaches, clearly demonstrates our commitment to meeting the aims of our mission.

Developing Shared Ownership of Assessment

February 2014, in response to the NEASC response to our self-study and campus visit, the university hired a Director of Assessment (now Director of Curriculum Assessment and Accreditation) to support continuous improvement efforts. The director reports directly to, and works closely with, the Vice Provost for Student Success—this was a key alignment that reinforces the important distinction between student learning outcomes and faculty evaluation. The Director is a member of Associate Dean’s Council and the faculty Senate subcommittee for the Core Curriculum, ensuring regular engagement and collaboration with faculty and academic programs.

As discussed in the standards reports, our Provost joined UMass Lowell in the summer of 2016 and enacted some reorganization within Academic Affairs, including shifting the Vice Provost for Undergraduate Education role to encompass all of Student Success, the hiring of a new Vice Provost for Faculty Success, and a Vice Provost for Innovation and Workforce Development (who focuses, among other areas, on graduate program development and the Division of Online and Continuing Education). These

changes have created new opportunities to expand assessment efforts in much-needed ways:

- The expansion of Undergraduate Education to Student Success not only maintains Academic Affairs' assessment focus centered on learners but has opened the door for more collaborative work with graduate programs and created a real area of strength in the assessment of learning in co-curricular programs. (More detail on these efforts may be found below.)
- Alignment with a newly robust Faculty Success agenda ensures strategic planning of professional enrichment activities, and the opportunity to consistently assert assessment as commitment to student learning that is native to faculty, aligned with their scholarly training, and an integral means of ensuring their success in the classroom.
- Greater ability to effect change in graduate programs and programs enrolling students through Continuing Education, including our current effort to update the graduate catalog.

These changes allowed us to see how all segments of the campus community are involved in assessment work. It is clear that, in order to bring assessment practice to scale, we will not succeed with a top-down strategy; these Academic Affairs changes are reflective of our commitment to collaboration. In the sections that follow, we demonstrate some of the ways in which transparency and cooperation between these elements of Academic Affairs and with the wider campus has improved our agility and the pace of development of assessment practice.

Policy and Other Markers of an Emergent Culture of Assessment

Strategic Planning Presence

In 2014, the 2020 Strategic Plan Transformational Education Committee designated a Subcommittee on Assessment designed to support fledgling efforts in cultivating a variety of assessment practices; in 2016, accompanying the leadership changes described above, the group membership was expanded and re-organized as the Subcommittee on Curriculum Enhancement. That subcommittee, co-chaired by the Director of Curriculum Assessment and Accreditation, has a fourfold charge:

1. Prioritize goals in the 2020 Strategic Plan relevant to curriculum enhancement,
2. Identify existing initiatives on campus that support the priority goals,
3. Brainstorm new initiatives that might be created to meet identified needs, and
4. Identify specific pathways for advancing initiatives.

This group gathers faculty, staff, and student perspectives from across campus to make recommendations to the Vice Provost for Student Success. One key recommendation from this group is for UMass Lowell to seek the Excellence in Accreditation designation sponsored by the Voluntary System of Accountability (AASCU & APLGU), NILOA, and AAC&U, which is included among the next steps at the end of this essay.

Echoing the administrative alignment noted above, the Curriculum Enhancement subcommittee works closely with the Faculty Success Subcommittee to address the assessment overlap. Similarly, the Transformational Education committee as a whole, which runs a Mini-grant program for innovations in pedagogy, now includes the

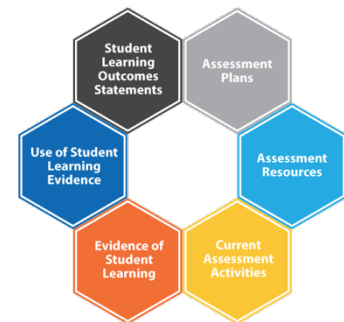
assessment of student outcomes as an evaluated element of grant applications. The funded endeavors, and their results for student learning, are shared at the annual faculty research symposium. From committee structure to a host of committee activities, the strategic planning process is used to extend the understanding and impact of assessment on campus.

Catalog Policy

In January 2016, UMass Lowell published its first-ever [policy on Learning Outcomes Assessment](#), which was adopted for inclusion in both the Undergraduate and Graduate Catalogs. That policy asserts assessment as a routine undertaking conducted “primarily for the purpose of improving student learning, curriculum development, instructional improvement, and enhancing student academic success.” It confirms the primacy of faculty in assessment activity and our commitment to protect student privacy. It has also served repeatedly as an effective opening for conversations with faculty, as it clearly signals our commitment to respect faculty ownership of instruction and curricula.

Assessment Website

At the time of the 2013 self-study, a Student Learning Outcomes lookup was established on the Academic Affairs; since then, several additional pages were added to showcase our various assessment projects. To accompany the other changes enumerated in this essay, we are building a new home for assessment on the [uml.edu](#) website. This [new UMass Lowell assessment website](#) has been organized in close adherence to the National Institute for Learning Outcomes Assessment (NILOA) Transparency Framework (pictured at right), and, as such, is designed to be a more functional resource and repository for program and Core assessment efforts. Populating this site with evidence of student learning will be a meaningful benchmark for UMass Lowell as we prepare to apply for the Excellence in Assessment designation. (Please see our “Next Steps” section at the end of this essay.)



AQAD Program Review

The UMass system program review regimen, called Academic Quality Assessment & Development, or AQAD, requires programs to undergo a process of self-evaluation and external assessment every seven years. Starting in 2014, oversight of this activity within Academic Affairs shifted several times as the roles of the Vice Provosts changed and the role of Assessment within the office became more established. With each shift, the [UMass Lowell AQAD protocol](#) was refined beyond the basic requirements. In its latest iteration, the UML self-study template gives the process an entirely new and pointed focus on assessment of student learning outcomes. Additionally, the AQAD review, which was formerly not used for programs with professional accreditations, is now used for every program on campus to help bring greater consistency to our decision-making processes.

Promotion and Tenure Guidelines

In 2014, a campaign was launched to have the assessment of learning mentioned in the Provost's Promotion and Tenure guidelines, which are subject to approval by the Massachusetts Society of Professors Lowell faculty union. The Director of Curriculum Assessment and Accreditation made a strategic decision to make our Promotion and Tenure process electronic and assist faculty in this transition, both to encourage the inclusion of this language in the guidelines and to forge strong working relationships with faculty that continues to pay dividends in collaborative work on curricula and assessment.

A strong indication of our overall progress on assessment came in 2016: for the first time at UMass Lowell, the assessment of student learning outcomes was explicitly mentioned in the guidelines. In [the 2017 revision of the guidelines](#), the suggestions for demonstrating engagement with learning outcomes in course design and assessment for curricular improvement are even more pronounced. Assessment is addressed both in terms of a candidate's instructional effectiveness in the classroom and in terms of the candidate's contributions to the university's instructional mission beyond classroom instruction. For assessment activity to be increasingly encouraged in this important document constitutes a major victory. It represents an evolution of our expectations of excellent instruction.

NSSE

UMass Lowell uses the [National Survey of Student Engagement](#) (NSSE) as a measure against our own past performance and against regional and peer institutions. Our use of NSSE benchmarking goes beyond what can be included in the report card, and we are tracking those results over time in order to trace the effects of our new curriculum and student success efforts. From 2013- 2016, we were aggressive in pursuing annual NSSE results; with the encouragement of our current leadership, we will return to a standard three-year cycle. We hope that doing so will allow us to focus on the use of the results, rather than a on constant calendar of preparation for the next survey administration.

The results over our 2013-2016 run of annual administrations reveal the impact of attention paid during that period to first-year retention. Our report card growth in that area can be correlated to these increases on first-year student Academic Challenge Engagement Indicators, as described in the introduction of this essay. During that same period, however, our Seniors reported slight downturns on those same key indicators. The primary use of this data is to confirm that the results captured in our strategic planning report cards align with students' reports of their experiences. The critique that emerged, (and an action item that we believe the design of our new Core Curriculum will address) is the need for attention to senior students' sense of engagement and accomplishment with respect to these same indicators.

Engagement Indicators (EIs) provide valuable information about distinct aspects of student engagement, organized within four themes. EI scores represent the averaged student responses to a set of related survey questions. The Academic Challenge theme contains four EIs as well as several important individual items. See page 10 for detailed statistics. For more information, including the items that make up each EI, refer to your *Engagement Indicators* report.

Academic Challenge: First-year students



Academic Challenge: Seniors



a. Values for Course Reading and Assigned Writing are estimates calculated from two or more survey questions. The Course Reading question was modified after 2013; comparability between 2015 and later years is limited.

b. Extent to which courses challenge students to do their best work (Item 1 = "Not at all" to 7 = "Very much").

c. How much students said the institution emphasizes spending significant time studying and on academic work (1 = "Very little," 2 = "Some," 3 = "Quite a bit," and 4 = "Very much").

Please see the sections below on Core Curriculum design and assessment for and on Assessment of Learning in Student Success Initiatives for our responses to these data. Given the structure of the Core Curriculum ELOs, the timing of their roll-out, starting in 2015, and the instructional efforts associated with adjustments to courses and curricula to meet the demands of the Core, we hope and expect to see movement in these results for our seniors.

Early direct assessment: The Proficiency Profile

Early efforts to launch direct institution-wide assessment at UMass Lowell taught us a great deal; in some cases, the results were instructive about what routes not to pursue. Perhaps the clearest example of this was our experience with the College Board's standardized general education measure, the ETS Proficiency Profile. The test was costly to purchase and to administer according to College Board requirements, and the results were of limited value. Students were offered cash incentives to take the test, but those were only minimally tied to performance, so students were not motivated to put in their strongest performance. Sample size was consistently too small to be generalizable. Results from this testing (see the table of results from 2013 below) did allow us to report that assessment was happening, but they provided almost no actionable information:

Critical Thinking	Freshmen	Seniors	Difference
Actual Critical Thinking score	110	115	5.1
Expected Critical Thinking score	112	115	2.6
Actual versus expected	-2.0	0.6	2.6
Performance level (Decile Group)			10

Writing	Freshmen	Seniors	Difference
Actual Writing score	114	116	2.6
Expected Writing score	115	116	0.8
Actual versus expected	-1.7	0.0	1.8
Performance level (Decile Group)			10

The instrument’s measures were unrelated to course work (especially not the required coursework of any major) and so the entirely average results generated by our student test-takers were not of particular interest to faculty. With the new Core Curriculum on the horizon, and the prospect of doing authentic assessment with already-assigned student work, we abandoned the use of the Proficiency Profile in 2013 and committed to developing authentic measures that would matter to our faculty.

Faculty Collaboratives

At the time of our 2013 self-study, UMass Lowell had embarked on a two-year, Lumina-funded Faculty Collaboratives project in partnership with MCC, the process and results of which are described in a [project report published by AAC&U](#). The focus of this project was to design and pilot an authentic assessment model focused on the alignment of outcomes across transfer-partner institutions. It addressed many of the shortcomings of prior, more generalized assessment activity, and provided intensive faculty development on learning outcomes assessment and assignment design.

This project continued on in an adapted format through 2016 with funding from the Massachusetts Department of Higher Education’s Performance Incentive Fund. From 2014-2016, 87 faculty, including 37 UMass Lowell faculty in a variety of disciplinary and interdisciplinary groupings, took part in the Faculty Collaboratives-inspired process, considering the outcomes of Critical Thinking, Global Learning, and Social Responsibility. At the request of participating faculty, results were reported out only to participants, but faculty received not only extensive peer feedback, but feedback from a normed assessment of their students’ work on a revised assignment, completed by their faculty peer group.



Faculty Collaboratives convening

Below is an example of a set of outcomes for a particular set of student artifacts, along with the disciplinary peer group averages and medians, separated by lower and upper division courses.

GLOBAL BUS OVERALL SCORES BY CRITERION	Average	Median	n	PERCENT AGREEMENT BY CRITERION
Global & Cultural Self-Awareness	1.37	2.00	78	100%
Perspective-Taking & Empathy	N/A	N/A	0	N/A
Cultural Diversity	0.20	0.00	10	90%
Personal & Social Responsibility	0.30	0.00	30	100%
Understanding Global Systems	1.47	1.00	58	94.8%
Applying Knowledge to Cont. Global Contexts	1.40	1.00	68	97.1%
GLOBAL BUS 100/200-LEVEL SCORES BY CRITERION				
	Average	Median	n	
Global & Cultural Self-Awareness	2.00	2.00	68	
Perspective-Taking & Empathy	N/A	N/A	0	
Cultural Diversity	0.20	0.00	10	
Personal & Social Responsibility	0.33	0.00	30	
Understanding Global Systems	1.18	1.00	48	
Applying Knowledge to Cont. Global Contexts	1.15	1.00	58	
GLOBAL BUS 300-LEVEL SCORES BY CRITERION				
	Average	Median	n	
Global & Cultural Self-Awareness	2.00	2.00	10	
Perspective-Taking & Empathy	N/A	N/A	0	
Cultural Diversity	N/A	N/A	0	
Personal & Social Responsibility	N/A	N/A	0	
Understanding Global Systems	2.90	3.00	10	
Applying Knowledge to Cont. Global Contexts	2.85	3.00	10	
BUS 01-10				
	90% agreement			
Global & Cultural Self-Awareness	2.00	2.00		
Understanding Global Systems	2.90	3.00		
Applying Knowledge to Cont. Global Contexts	2.85	3.00		

What might be the most interesting feature of the results is noted at the top right: the degree of agreement reached between 40 faculty readers for Global Learning in 2016, broken down by rubric criterion. This group of faculty were highly successful in coming to a shared definition of student accomplishment that took assessment into a realm beyond that of grading for an assignment, and into a discussion about expectations and standards for the evaluation of student learning.

These were some of the most instructive professional development we have yet undertaken at UMass Lowell; they served as a critical proof of concept for authentic assessment activities, helped us build important relationships with faculty from across campus who experienced first-hand the benefits of participating in learning outcomes assessment directly tied to, directed by, and resulting in positive changes to the classroom experiences they had designed for their students.

Though this work helped make significant gains for our culture of assessment, a serious concern is that the top-down design required a large commitment of time by key staff, which may not be realistic without additional dedicated support. Also, the grant funding provided faculty stipends for this work, which is neither ideal nor sustainable. For these same reasons, this practice would be challenging to replicate within a program or by a committee. However, given the benefits it helped us achieve, we will use some of the elements of this program in modified ways.

A Core Curriculum Focused on Outcomes

Perhaps the single largest initiative promised by the 2013 NEASC self-study and early iterations of the 2020 Strategic Plan was that UMass Lowell would undertake a thorough overhaul of its General Education program, which at that point had been in place, with some amendments, for over 20 years. We set an ambitious course for improvement to our core academic mission, with a focus on providing students with a transformative learning experience—one that, in keeping with NEASC standards and LEAP principles, aims to create lifelong learners with an awareness of the interconnections between the disciplines and to challenge them to contextualize crucial intellectual skills within their chosen disciplines. In keeping with those same ideals, the new curriculum was shaped from its inception to allow for authentic student learning outcomes assessment.

In April of 2014, [UMass Lowell's new Core Curriculum](#) design was approved with unanimous support from the senate. While the previous general education model assumed that foundational intellectual skills would be addressed in lower level courses of a general education distribution requirement, the new model embeds seven institutional Essential Learning Outcomes (ELOs) within the major discipline. The intellectual and practical skills, abilities, and mindsets identified by our faculty as UMass Lowell's Core ELOs are:

- Applied and Integrative Learning (AIL)
- Critical Thinking and Problem Solving (CTPS)
- Diversity and Cultural Awareness (DCA)
- Information Literacy (IL)
- Quantitative Literacy (QL)
- Social Responsibility and Ethics (SRE)
- Written and Oral Communication (Emphasizing Writing in the Discipline) (WOC)

Additionally, the Core provides a structure that ensures students will benefit from the strengths of our comprehensive university through exposure to a variety of inquiry frameworks from across the disciplines through our Breadth of Knowledge (BOK) perspectives.

Bringing the campus to consensus on this framework took a great deal of effort, and much work remained after approval. The program became academic policy in 2015, with “distribution” requirements—the BOK perspectives—implemented quickly, and the rollout of ELOs planned for a three-year transition period that would allow thoughtful consideration of curricular intentions within programs and a careful process of course approval to ensure consistent and substantive provision of the ELOs across programs.

Key phases of the roll-out included establishing a thorough, campus-wide understanding of the new program and its aims; implementing the administrative transition from the old program to the new; incubating the cultural change necessary to make the program successful; and shifting into a mode that is entirely new for our campus: using the curricular structure itself as a tool for ensuring broad-based campus engagement in the continuous improvement of student learning.

Each step along that path has presented challenges, surprises, complications, frustrations, and rewards; we expect the work that is still to come to bring more of the same. This essay has already described many of the changes we have seen in our campus culture of assessment but has omitted still more.

The Core design and implementation has driven innovation in our business processes and our cooperative functioning. The extent to which our preparation for outcomes assessment has required us to be more adaptive and responsive is hard to capture, because it has pervaded our infrastructure. As one example, it became clear that our Core Curriculum Committee, which was charged with evaluating each course that could meet an ELO requirement, would need to modernize its processes to cope with the wave of course approvals. (Close to 300 unique proposals have been approved to date.) We had to engage our Web Services Office to build new tools to manage this workflow, and we continue to collaborate to improve that process.

Similarly, faculty and academic leadership have had to collaborate in entirely new ways with one another and with the Registrar's Office to ensure that these far-reaching curricular changes are executed with the necessary foresight to protect the integrity of university policy and the experience of faculty and students during this period of change. In the last two years, the academic program information in the undergraduate catalog has been painstakingly overhauled thanks to committed and unprecedented teamwork on all sides. This includes not only the catalog as a product, but a strengthening of the business processes that ensure proper faculty governance process and change control. This work has been so successful that graduate programs are actively requesting that the model be emulated, and we have now launched a campaign to replicate these improvements for graduate programs.

Whatever improvements on the Core Curriculum or its outcomes are to come, the university has most certainly developed our collective skill at collaborative change management, and we have already succeeded in establishing a fundamental expectation for updating both general education and program curricula: our processes, methods, and tools for making change are now firmly rooted in the perspective of learning outcomes assessment.

Alongside the processes of design and implementation of the Core Curriculum, we have been actively developing our capacity and testing complementary methods of direct, authentic assessment of student learning outcomes. This process has involved seeking out external professional development opportunities, which we continue to do, as noted near the conclusion of this essay. The next three sections describe that learning curve, concluding with a description of the Core Curriculum Assessment proposal that will go before the Undergraduate Policy Committee and Senate this coming academic year.

The Multi-State Collaborative / VALUE Institute

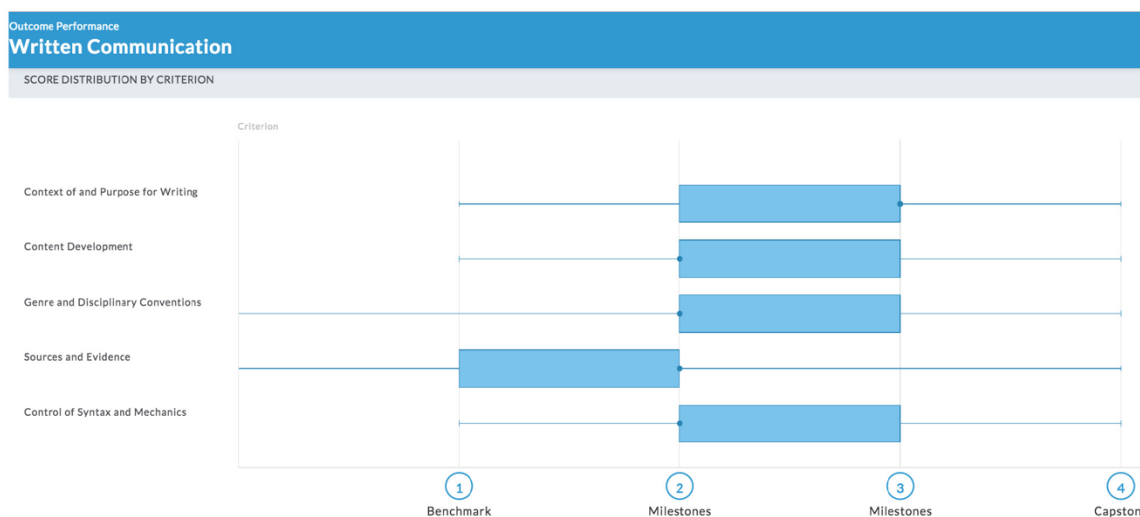
UMass Lowell has been a consistent participant in the efforts to establish a valid, comparative system of authentic assessment at the state and national levels. UMass

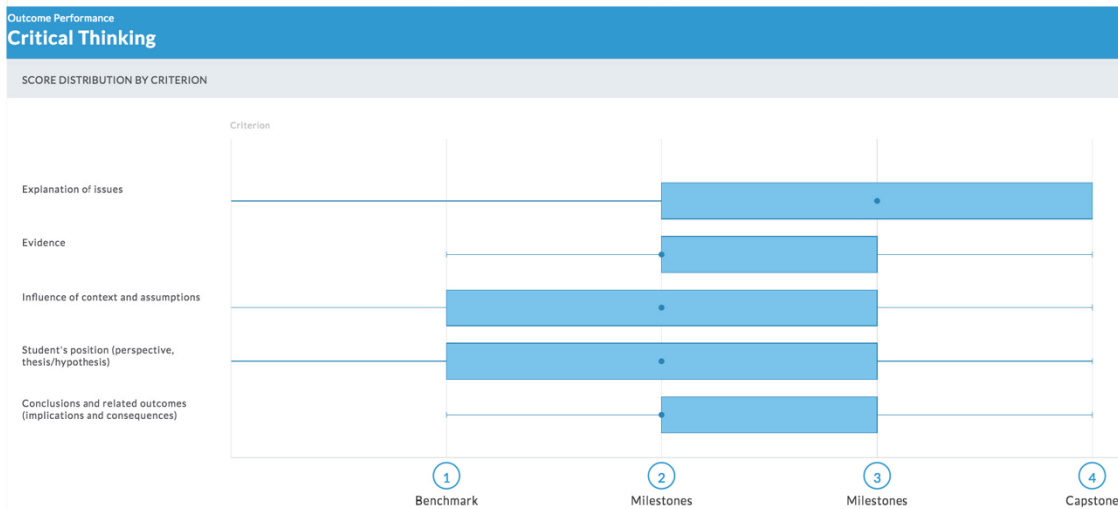
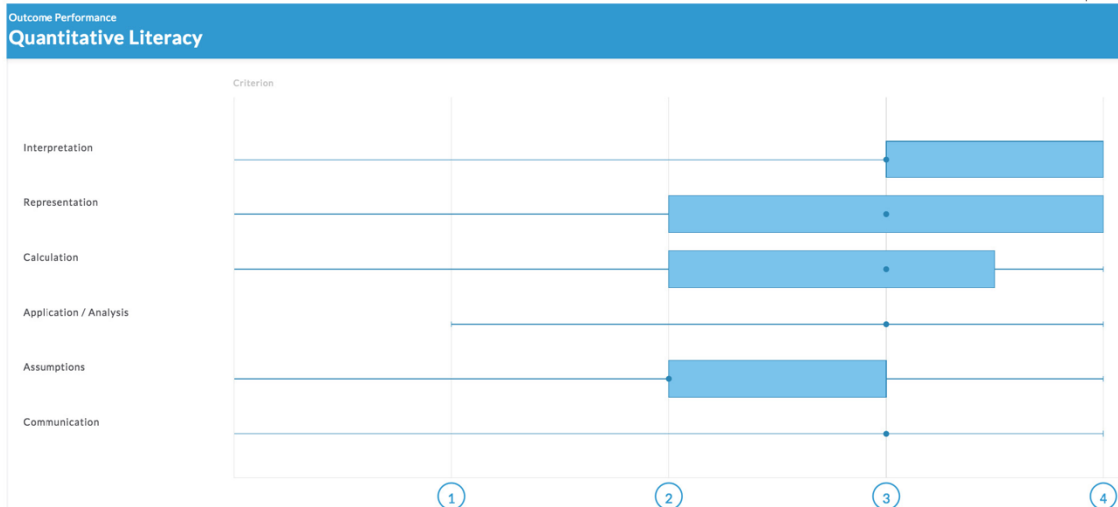
Lowell has presented student work for assessment in the Multi-State Collaborative (MSC) Project with SHEEO and AAC&U, now the VALUE Institute, led by AAC&U and Indiana University’s Center for Postsecondary Research. We were participants in the first Massachusetts Pilot (2013), the Second Massachusetts Pilot Spring and MSC Pilot (2014), MSC refinement (2015), and Demonstration (2016) cycles, and we will submit student work again for the 2018 project year. Five individuals from UMass Lowell, including faculty and the Director of Curriculum Assessment and Accreditation, have been trained and normed at the national project level.

To date, participation in these projects has engaged more than 50 unique faculty submitters who have submitted more than 560 unique student artifacts for scoring. Perhaps more than the scores themselves, the usefulness of this work has been best measured by conversations with faculty about their aims for their assignments. An additional benefit is our faculty seeing how their students’ work can be read by experts in other disciplines through the use of rubrics that measure high-order intellectual skills.

In the MSC Refinement Year (2015), nine UMass Lowell faculty participated in an on-campus scoring project on the UML-submitted artifacts, providing insight into the reliability and potential value of the MSC to our faculty. Trios of faculty were normed on sample artifacts for an assigned outcome using the protocol developed for the Massachusetts State Pilot, and then scored sets of ten artifacts. We found that UML faculty were slightly more critical of student work than the national pool of scorers. This process helped socialize the notion of voluntary, faculty-controlled direct assessment of student learning outcomes among faculty participants and provided the opportunity for extensive discussion about the differences between grading and scoring, and about the ways in which authentic assessment can help faculty examine student learning. While the results from MSC and the comparative campus results are interesting, they do not, in and of themselves, present much in the way of immediately actionable data.

For example, this sample report from Watermark Aqua showing distributions for elements of three outcomes and 138 pieces of student work from UML for 2016:





These aggregate scores have allowed us to provide some basic feedback to campus, but mainly as a means of opening topics for potential investigation in a more locally controlled manner. For example, in the Written and Oral Communication results above, the handling of sources and evidence continues to be an opportunity for improving student learning. This information has been lifted out of the MSC context for use in our Core Curriculum Assessment of Information Literacy (see below).

Similarly, when our Core Assessment cycle, described below, turns to Critical Thinking, the Core Curriculum Committee will be invited to consider the above results relating to the influence of context and assumptions and the students' expression of positions and hypotheses, and may design an investigation and intervention aimed to bring faculty attention to these elements of making sound arguments.

One feature of the results that we have seen has interesting implications for our campus assessment of Written and Oral Communication: while Quantitative Reasoning and Critical Thinking outcomes are impacted significantly by faculty-reported intention to meet specific criteria, that was not the case for Written and Oral Communication.

In summary, these results are interesting mainly to point out macro-level phenomena; to meaningfully control an assessment practice, we will need to follow up with action that is more easily absorbed into assignments, curricula, and instruction.

The ePortfolio Project

The final direct precursor to Core assessment took yet another approach, blending direct and indirect assessment of student learning outcomes in a three-year project. In 2014, we convened a 10-week student focus groups comprising 10 seniors from different colleges and facilitated by the Director of Curriculum Assessment and Accreditation. The group met weekly and engaged in a minimally-guided discussion of one of the proposed Core ELOs, then went off to independently reflect on and write about their learning experiences in response to open-ended prompts. Over the weeks, they built portfolios that addressed each of the ELOs and captured their sense of the meaning and significance of each outcome, and whether their experiences at UMass Lowell had led them to gain those skills, abilities, and habits of mind.

Faculty from across campus were convened to read the students' portfolios. Evaluators in that first year—without prompting—articulated a desire to see student work to help them judge the accuracy of the students' impressions. In the springs of 2015 and 2016, we expanded our project both in approach and size, adding in the element of direct assessment and also adding a second, separately facilitated group of students to increase the breadth of our sample.

Readers in the second years not only prepared holistic comments and questions about the students' reflections but rated the authentic student work captured in the ePortfolios on simplified VALUE rubrics to identify strengths and weaknesses. The focus on scoring results was strategically minimal, as the students involved had not, at this point, been exposed to faculty intentionally teaching to the ELOs, but even our minimal measures will serve as a baseline for evaluating the effectiveness of the Core.

This was a wonderful experience for the faculty and students involved, and it had immediate benefits. It helped us understand how well we were communicating about the Core, and what we needed to clarify for our student audience. It helped faculty see the extent to which students readily spoke about what they had gained from their co-curricular experiences, but had more trouble articulating the same outcomes from their coursework. Faculty responded very positively to the blend of direct assessment of authentic student work and the students' indirect accounts of what made the learning sink in or fail to do so, their assessments of the work examples they provided according to the outcomes, and the extremely thoughtful and candid insights they shared about their learning and their learning processes. This led to a well-attended workshop on incorporating ePortfolios into courses to encourage students' meta-cognition.

We hope to resume the ePortfolio Project going forward as part of our Core ELO assessment repertoire. This project not only helped us understand how we needed to talk

about curricular goals with both students and faculty but prepared us for the work of Spring 2017: designing a sustainable Core Curriculum Assessment Practice.

Core Curriculum Assessment

When the Core policy was approved in 2014, a Core Curriculum Committee (CCC) was established to review and approve courses that would meet the Core ELOs. That work began immediately; proposals came in and, course by course, program Degree Pathways were successfully updated to the new Core. With that work nearly done, a major shift in the focus of the CCC began. A revision to the Faculty Senate bylaws, passed in October 2017, added the Director of Curriculum Assessment and Accreditation (DCAA) as an ex officio, non-voting member in order to help the 16-member CCC execute a set of new charges designed to facilitate assessment of the Core Curriculum. The Committee, which previously had had no specific role in assessment was given two new charges:

- Advise the Director of Curriculum Assessment & Accreditation on establishing methods of formative and summative assessment of Core ELOs.
- Participate in the assessment process and develop recommendations to improve student learning based on assessment data.

At the same time, a new Core Curriculum Committee Coordinator was appointed, and the description of that role was altered to include an additional charge:

- Serve as liaison between the committee and the university's Director of Curriculum Assessment & Accreditation to enact and manage regular systems of assessment of the Core Curriculum's Essential Learning Outcomes.

These changes have unlocked our ability to consider student learning outcomes from an institution-wide perspective.

In the 2017-18 academic year, while still approving courses, the CCC had a series of discussions about what kinds of assessment they felt willing and able to do. While some members had participated in the various assessment efforts described in this report and were inclined toward their new responsibility, others expressed reluctance and uncertainty about their ability to do assessment and about unintended and potentially negative consequences for faculty.

To ensure that faculty would be able to adapt to this new activity, the CCC established that the design of any assessment activity they would undertake would need to meet a few criteria: to be actionable, simple, scalable, iterative, economical, and lead to engagement and action that, itself, would be faculty-driven and faculty-positive. In April 2018, volunteer members of the CCC and student volunteers took part in a first-ever Core Curriculum assessment. Intentionally designed to be both professional development and a simple proof of concept, the project took advantage of a convenient sample of authentic work: student posters and papers presented at the Student Research Symposium. The

method involved direct observations of demonstrated criteria for two ELOs: Applied and Integrative Learning and Information Literacy. It also included interview questions to demonstrate how indirect assessment complement direct assessment. No inter-rater reliability measures were enforced, as the process was strictly exploratory. Because the event took place at the end of the spring semester, the CCC has not yet met to discuss the resulting data, or what might be next steps; that conversation will resume in Fall 2018. However: raters, even those who had initially expressed hesitation, reported having enjoyed the process and having gained insight into student work through this simple summative assessment activity. And while it is just a minimal start, evidence from this activity has already contributed to the development of a grant being pursued by the UMass Lowell Libraries to fund the development of Information Literacy instructional tools.

The CCC Coordinator and the Director of Curriculum Assessment and Accreditation have set three realistic goals for the committee in AY2018-2019:

- Examine the results of this first assessment endeavor, identifying strengths and weaknesses in the work as relate to the AIL and IL ELOs.
- Develop a recommendation for a faculty and/or student activity that promotes improvement or transfer of promising practice relating to the AIL and IL ELOs, and identify a faculty member who might conduct that activity.
- Bring to the Undergraduate Policy Committee and Faculty Senate a proposal for an ongoing assessment cycle addressing all seven ELOs that meets all of the committee criteria mentioned above.

We believe that we have set a sustainable pace for this work, but we recognize that we may need to adapt to the pace dictated by the faculty committee. We will continue to foreground faculty self-determination and transparency to build the trust and legitimacy necessary for learning outcomes assessment.

Assessment Practices in Academic Programs

While our centralized assessment efforts have been and will remain focused on the Core, we are also working to improve the practices surrounding program learning outcomes (PLO) assessment. As with the Core, the overarching principle that directs PLO assessment is that faculty are in the best position to select the measures that suit their discipline and to systematically build an understanding of what students in their programs are learning. While the principles for successful assessment are similar to those of the Core Curriculum Committee, the specificity of program learning outcomes and teaching approaches limits the sharing of assessment methods and our ability to generalize results.

Given the divergence between programs across campus, Academic Affairs' stewardship of PLO assessment means providing leadership, encouragement, and practical support for faculty work in PLO assessment, and creating channels of communication for the resulting knowledge and needs.

The current array of approaches to student learning outcomes assessment in UMass Lowell's academic programs is represented in the E-Series forms attached to this report. Most programs use a mixture of direct and indirect methods to establish a triangulation that informs them about their students' learning. In some programs, practices have continued unchanged; where this is the case, choices about assessment are made in light of external requirements of professional accreditors or industry hiring standards. These methods—including departmental or licensure exams, thesis and dissertation defenses, recital and exhibit critiques, portfolios of student work, and capstone projects—appropriately use ways of knowing what students are learning that serve disciplinary expectations and provide programs with the data needed to inform program improvement decisions.

In Spring 2018, the first call went out for Annual Curriculum and Learning Summary (APCLAS) reporting by departments. A custom Qualtrics survey instrument designed to invite custom collaboration with the Director of Curriculum Assessment and Accreditation, the questionnaire promotes accountability and the sharing of information about effective assessment practices and interventions. Taken in total, the reporting provides a picture of student learning in programs across the university. APCLAS is meant to streamline the regular collection of PLO assessment activity for AQAD, professional accreditation, and NEASC reporting. It also creates an opening for discussions with programs whose assessment practices could be improved or reinvigorated according to faculty interests, and an occasion for follow-up conversations and collaborations.

The Office of Strategic Analysis and Data Management (OSA) is a key partner in effective PLO assessment, providing key streams of data to Academic Affairs and the deans for ongoing oversight and to identify areas of possible improvement. A major advancement in the last two years has been the launch UMass Lowell's Tableau Datamart, an analytics and visualization tool that provides customized reporting on a wide range of institutional data. OSA staff also collaborate on the design and interpretation of a number of standing and special reports. We are working to make these processes more effective; for example, when the template for AQAD program review (described above) was changed with Academic Affairs reorganization, we worked with OSA to re-align the standard data set that is shared with departments. Similarly, while DWF trends have been reported each semester for many years, in July 2018, we convened a working group to fine-tune both the data request and the business processes we will use to act upon that data and make it more useful across campus.

Associate Deans Council is likewise a vital point of communication between Academic Affairs and individual programs. Curriculum and policy issues relating to learning outcomes assessment are frequently addressed on the agenda, and the associate deans

share concerns and successes in that forum. Likewise, when there is a need for chairs or faculty to act upon a request in support of outcomes assessment, associate deans guide that work through the departments in their respective colleges.

We would be remiss if we failed to mention the role of our lecturers in advancing assessment on our campus. These full-time, permanent faculty, with responsibilities for teaching and service—many of whom were hired because of their academic training in pedagogy—are often the most engaged in assessment and curriculum design. Their participation in our assessment efforts is invaluable, both on the project level and through their presence in faculty governance. At the same time, we must work to engage more tenure-track and tenured faculty in the assessment of student learning.

In June 2018, the Vice Provost for Student Success appointed our first Faculty Fellow for Assessment. This faculty member, appointed for academic year 2018-19, has been actively involved in assessment efforts in the Psychology department as well as at the university, state, and national levels. She has already offered a workshop on linking course-based assessment practices to larger program assessment goals; in the coming semesters, she will provide much needed support for the Director of Curriculum Assessment and Accreditation, accelerating work on program-level assessment practices. Her work is integrated with that of the Faculty Fellow appointed by the Vice Provost for Faculty Success, who is offering a workshop series on course redesign and a faculty teaching and learning collaborative.

Sample Practices

Below are just a few examples of ongoing program efforts to improve student learning outcomes and the assessment of those outcomes. The E-series forms show the variety of actions that are underway, and we are looking forward to shifting from a necessarily consuming focus on the Core to providing more consultation and support for program-level assessment of this sort.

Bachelor of Liberal Arts

The process of updating to the Core has spurred many department and program discussions about curriculum. It has re-defined the curriculum as a site of continuous improvement. The BLA program (also discussed in our Standard 4 commentary, above, as a model of interdisciplinarity) is just one example of this, but an important one, as UMass Lowell currently has 220 “day-school” and 300 online BLA majors. As the program attempted to rationalize the placement of the Core ELOs, it became clear that the program, though designed to allow maximum flexibility for students, needed to provide more structure and scaffolding for students to be able to ensure that their program outcomes and the Core ELOs were certain to be met. The program coordinator consulted with the Director of Curriculum Assessment and Accreditation and the Associate Dean of Fine Arts, Humanities, and Social Sciences on re-design, and, in Fall 2017, Faculty Senate approved the BLA Foundations and Capstone courses as requirements for this degree. This change established a set of pre-requisites that would ensure that desired learning outcomes could be introduced in a consistent way, practiced in any number of approved courses, and demonstrated in fullness in the

BLA Capstone. The program is now poised both to assess student learning at the capstone level and to measure gains from the foundation to the capstone.

Physiological Chemistry Redesign

Physiological Chemistry is a multi-section, year-long general, organic, and biochemistry lecture and laboratory course required of most majors in the College of Health Sciences. Since its inception, the course has necessarily been taught by multiple instructors, but little coordination was asserted, and levels of rigor varied between sections. Students freely expressed dissatisfaction with the course, and high DWF rates in this required course were proving problematic for student progress to degree. The dean and chair discussed their concerns about the status of the course, and the associate dean was tasked with working with course faculty to improve student success rates and satisfaction while still meeting program learning outcomes.

The associate dean invited the Director of Curriculum Assessment and Accreditation to provide facilitation and advice to the faculty team, and the group convened as a whole and in subgroups throughout the summer of 2016. This method was particularly effective for limiting assumptions based on past practice. Learning outcomes were shaped to be more student focused, better links between lecture and lab sections were established. The group analyzed course-wide exams items' relevance to the learning outcomes, and for clarity and level of difficulty. Items were balanced in asking students to demonstrate mastery of content knowledge, application, and critical thinking, and students were allowed to bring a single page of notes into the exam to shift the focus of testing onto conceptual mastery rather than memorization. Course slides were revised to align more directly with the exams. Transparent, explicit learning outcomes were made central to every element of the redesign. Course faculty also reached out to faculty coordinators of the various programs that Physiological Chemistry serves to ensure that the revamped course would meet the needs of the courses that build upon it.

In addition to these changes in content, presentation, and testing, the faculty implemented a number of actions designed to involve students more fully in directing their learning. Faculty focused exam review sessions on student-identified topics and arranged casual lunch meetings with students on exam days for last-minute questions. Faculty sought feedback from students more often, including a formal midterm course evaluation, and captured detailed information in a course evaluation questionnaire tailored to measure the effect of their efforts. They studied the changes in outcomes for students from the previous fall and saw improvements to the average grades on all four exams and significant improvement in average course grades, including a reduction in the DWF rate from 29.95% in fall 2015 to 7.11%. This was a highly successful partnership in which a focus on learning outcomes and learning outcomes assessment played a pivotal role.

First Year Writing Program

The FWYP has been a leader in student learning outcomes assessment and related, faculty-development-focused, continuous improvement efforts since before the 2013 NEASC self-study. The program has changed leadership, but its affinity assessment practice remains. In fall 2017, the program shifted its placement testing from a process by which entering students wrote an essay during their orientation session and each essay

was placed by a faculty reader to a research-based system of guided self-placement. As part of this shift, a team led the Director of the FYWP and including the Director of Curriculum Assessment and Accreditation, the Registrar, and staff from IT and Orientation collaborated to implement the new protocol. From a purely practical sense, the new “Course Finder” process allows students to complete placement requirements before they come to campus and minimizes the number of essays that require review.

Simply by opening this conversation beyond the program and English department, the FYWP becomes a starting point for a more advanced view of how UMass Lowell develops student writing ability, from connecting the demographic and indirect data of Course Finder with success rates in the College Writing sequence to it to our assessment of the Written and Oral Communication Core Curriculum ELO, to linking it to the many program-level outcomes relating to writing and expression in the disciplines. It will allow us to take a more holistic and longer view of our students’ progress from the time of their arrival on campus through their graduation and beyond.

While program learning outcomes assessment will remain primarily in the hands of departments, we have established tools and partnerships that will develop and sustain the array of assessment strategies that will best suit their emergent needs and ensure that their intentions for student learning are met. As a matter of oversight, we will continue to support programs in the use of relevant, evidence-based assessment practices at the department and course levels that link the assessment cycle directly to improvement in teaching and learning through professional development for faculty in curricular, course, assignment, and pedagogical design.

Assessment of Learning in Student Success Initiatives

We have described in detail the culture-building that we have done within the bounds of the curriculum, but it is important to note that our progress in the co-curriculum has been highly successful, surprisingly rapid, and extremely instructive. Our confidence in this area was directly bolstered by our experiences with the ePortfolio Project.

The strategy of insistence upon assessment as a basic requirement for projects funded through the Transformational Education mini-grant program and through the Vice Provost for Student Success has given us robust opportunities to develop campus capacity and interest in assessment. UMass Lowell now has a culture in which proposals for student success initiatives are expected to include some measure learning outcomes assessment.

The Career and Co-op Center was the first group outside of Academic Affairs to partner with the Director of Curriculum Assessment and Accreditation on authentic summative, program-wide assessment. That office, which organizes co-op experiences in partnership with select academic programs in engineering, business, and computer science, had long independently included elements of assessment in their work through employer surveys and required supporting coursework, but had not effectively used that assessment to improve their program. In 2014, they conducted a project that entailed building rubrics,

group norming, and the scoring of artifacts produced by students in co-op support courses. The resulting understanding of where students met and fell short of program aspirations led to the revision of assignments given in co-op assessment course. That group continues to independently conduct summative assessment in a cycle of continuous improvement.

That success with an established program helped facilitate a wholesale change in approach to the co-curriculum that was cemented with the arrival of the new Vice Provost for Student Success in 2016. It is now an explicit expectation that any project or program sponsored or endorsed by the Vice Provost will include a plan for not only an evaluation of the program, but a statement of learning goals and an assessment of student learning outcomes.

A New Generation of Student Success Programs

The initiatives described in brief below illustrate the extent and variety of learning outcomes assessment that is now part of our curricular and co-curricular culture, and the purposeful connections that we are building to help students see the learning that they gain from the totality of their UML experiences.

The Enriching Essential Learning Outcomes (E²LO) Initiative

[The \(E²LO\) Initiative](#) is a partnership launched in Fall 2016 between Academic Affairs and Student Affairs designed to link students' classroom development of Core ELOs to their co-curricular experiences, and to raise student awareness about the relevance of the ELOs. To date, we have had more than 7000 student check-ins to more than 260 different ELO-tagged events. The assessment of learning for this diffuse program is all indirect and voluntary on the part of students, an approach that makes sense for a decentralized effort of this size, and with varying levels of engagement with the selected outcome. In spring 2018, we made our first attempt at conducting assessment by inviting students to compete for rewards by submitting evidence that showcased their engagement and co-curricular learning in an outcome of their choosing. This assessment helped the E²LO strategic infusion team identify the experiences in which students found the most value and the experiences that did not fully make a connection for students. The results will be shared at the Student Affairs divisional meeting, and staff producing programs have the opportunity to adapt their activities to more effectively connect with the Core. This process will be refined and repeated in Spring 2019.

Living-Learning Community (LLC) Program and LLC Seminars

The Office of Residence Life's [LLC Program](#) aims to help students bridge the gap between academics and the co-curriculum. Each of the 38 freshman and upper-level LLCs is organized around a major or an area of interest and has set of LLC-specific learning outcomes that guide student programming. To connect the LLCs directly with the Core ELOs and facilitate assessment, Residence Life has partnered with the Vice Provost for Student Success to create "LLC Seminars." These one-credit courses call on students to focus on the intersection between a selected ELO and the topic of the LLC. The first two LLC Seminars were approved by Faculty Senate and the Core Curriculum

Committee in Fall 2017, and in Spring 2018, [UMLO.1010, Living-Learning Seminar in Diversity and Cultural Awareness](#), ran in the Pre-Med LLC. Once it is prepared, a report on those course learning outcomes will be shared on the UML assessment website. A third LLC Seminar—this one focused on the Critical Thinking and Problem Solving Core ELO—has been submitted to Faculty Senate. Building on this partnership, in spring and summer 2018, Residence Life has worked closely with the Director of Curriculum Assessment and Accreditation to develop a program evaluation and learning outcomes assessment cycle for the LLCs as a whole, addressing the LLC outcomes beyond the intersection with the Core Curriculum. That plan will be put forward for adoption by the Division of Student Affairs this fall.

The River Hawk Experience Distinction (RHED)

Students in [the RHED program](#) select an area of focus and earn recognition on their diploma for their intentional efforts to combine academic experiences with learning that takes place outside of the classroom. Students choose one of four distinctions (leadership, entrepreneurship, global engagement, or community engagement) that are aligned with UMass Lowell's mission. They take two faculty-approved courses, and complete two faculty-approved experiences, in that area. This program, launched in 2016, was designed with learning outcomes assessment as a fundamental feature. Faculty/staff RHED teams approve courses and experiences using collaboratively designed rubrics, and versions of those rubrics will be used to directly and indirectly assess the student learning captured in the RHED Portal. For each course and experience, students submit a reflection that calls upon them to reflect on their cumulative learning in light of the distinction criteria; additionally, when submitting a course reflection, students include an authentic course assignment and curate it, evaluating their own learning. The RHED team faculty and staff will assess the submitted student work and use ensuing the data and insights to shape the program going forward.

Ongoing National and Regional Assessment Activity

Beyond what has been described above, our campus assessment practice involves a variety of engagements with outside bodies and partners that makes connections between UMass Lowell and our peers and serve to extend and develop our campus culture of assessment.

AMCOA

UMass Lowell's role in the Massachusetts Department of Higher Education's [AMCOA](#) (Achieving a Massachusetts Culture of Assessment) Initiative has continued to grow since the time of the 2013 self-study. We contribute state-level leadership in this forum. Our campus has designed, organized and hosted an assortment of professional development activities for faculty, professional development and assessment staff, and administrators from across the Commonwealth. We are by far the most active UMass campus in AMCOA, as befits our mission and our commitment to working with our public higher education colleagues. We are regularly invited to speak at the annual conference, and our own faculty's interest in that event has grown each year; in 2018, seven UML faculty from four different colleges were in attendance. Additionally, while

our original AMCOA Team representatives were members of administration and staff, our Director of Curriculum Assessment and Accreditation is now joined by two faculty members.

AAC&U LEAP Challenge

UMass Lowell was invited, along with seven other campuses, to engage in AAC&U's [LEAP Challenge New England Institutions Initiative](#) on signature work in the disciplines, funded by The Davis Educational Foundation. This three-year project, 2015-2018, established a regional cohort to examine and improve campus curriculum and assessment models. UMass Lowell's project focused on how AAC&U's signature work model could be used to introduce departmentally-determined definitions of signature work, and, from those definitions, assessment measures for capstone-level student work in Psychology and Biology.

This engagement produced a survey instrument and results for Psychology faculty that informed their discussion of the critical learning outcomes for their undergraduate research sequence. In Biology, the project incited conversations about that department's aims for undergraduate experiential learning, but, ultimately did not take hold; limits of lab space and faculty in that growing major caused their representative to withdraw from the project before its conclusion.

Deliberate and Continuous Professional Development

Our use of professional development bodies for assessment capacity-building has been critical for the planning work that underlies many of the strategies addressed in this essay. This has been essential for building continuity as the individuals who have been closely involved with leading assessment efforts on campus have shifted. We have invested in professional development opportunities with AAHLE, NEEAN, the Teagle Assessment Scholars at the Center of Inquiry, AAC&U, NEASC, and various regional conferences. Our time away from campus has given us access to inventive ideas, expert guidance, and, perhaps most importantly, time away from campus to focus on assessment and build our team relationships and ethos.

Maintaining our personal relationships with and giving back to these organizations is one element of that ethos. In 2017 our Director of Curriculum Assessment and Accreditation joined the active events committee of [AALHE](#) (Association for the Assessment of Learning in Higher Education) and is now an active program developer for their popular webinar series.

Bringing Outside Experts to Campus

Our Transformational Education committee and subcommittees, our former Faculty Development Committee, and the Provost's Speaker Series have committed to bringing higher education pedagogy and assessment experts like Eric Mazur, Peggy Maki, and coming this fall, Bryan Dewsbury, to campus to work with our faculty. These high-profile events help spur faculty interest and engagement in teaching strategies designed to promote effective, practical, faculty-friendly learning outcomes assessment.

Conclusions

The process of reflecting on the past five years has highlighted the extent of the foundation-building that has been required, and how much work is yet to be done, to move UMass Lowell toward a fully comprehensive, faculty-driven approach to assessment that is manageable and useful at the institutional, program, and course level. We have identified several areas in need of the kind of focus that has been given to the development of the Core Curriculum and its assessment program over the past five years. Within those areas, we have identified concrete next steps that are manageable with the time, personnel, and funding available. This essay has described major culture and infrastructure advances toward a valid approach to learning outcomes assessment; it is our hope that these advances will allow us to accelerate our work while sustaining the progress we have made in the past five years.

Needed Improvements

- Increased communication with programs, especially graduate programs, about their learning outcomes assessment practices, and more professional development for programs and faculty wishing to expand their assessment practices.
- Greater transparency in graduate and online and continuing education catalogs, mirroring what has been accomplished in undergraduate education.
- Systematic reporting and analysis of student learning measures focused on the learning of special student populations to support the key mission goal of equity in opportunity and success.
- Improved collaboration between Academic Affairs, the Career and Co-op Center, and the colleges on a more methodical collection and reporting of data on graduates, including growth in the typical sample size.
- Better capturing and sharing of assessment methods and results to engage different audiences and spur improvement efforts.

Next Steps

- Update graduate catalog to include the publication of learning outcomes for each program and a consistent presentation of degree requirements and archives of changes to degree requirements (begun Summer 2018).
 - Clarify and re-publish faculty governance business processes to support faculty decision-making (in Faculty Senate Policy Task Force, established Spring 2018).
 - Tour department meetings with the goals of encouraging better APCLAS response, curriculum mapping for publication on the assessment website, and building an assessment council with representation from every department (planned for Fall 2018).
 - Develop the assessment website with additional resources, and design simple reporting templates that incentivize learning outcomes assessment and the sharing of results.
 - Establish a plan for improved use of 2019 NSSE results, disseminating those across campus and engage new stakeholders in the use of NSSE data.
- Finally, UMass Lowell has a slightly longer-range goal intended to help us check our institutional efforts against an external set of expectations:
- Seek and secure the Excellence in Assessment designation before we submit our 2023 comprehensive NEASC self-study.

INSTITUTIONAL PLANS

UMass Lowell has established a record of effective, dynamic response to changing conditions: stabilizing and maintaining our enrollments, meeting the demand for new programs, managing physical growth and construction, and cultivating globalism in our hiring, recruitment, and partnerships. In the next five years, we will continue that work, and we anticipate new challenges and opportunities. Our strategic planning process will ensure that our institutional mission is our guide for our decisions as we continue to build our national and global reputation.

We will continue to measure our progress with respect to our five Pillars of Excellence:

- I. Transformational Education
- II. Global Engagement & Inclusive Culture
- III. Innovative Research & Entrepreneurship
- IV. Leverage Our Legacy and Our Place
- V. Entrepreneurial Stewardship in Higher Education

TRANSFORMATIONAL EDUCATION is at the core of the UMass Lowell mission. Our ambitions in this area include increasing opportunities for students to participate in experiential learning and community engagement by expanding our professional co-op program, by building our new River Hawk Experience Distinction Program, and by forging community partnerships that will engage students in innovative practices of citizenship. We need to build the infrastructure of staff, communication, and resources to coordinate our many campus efforts in this area.

Plans pertaining to educational effectiveness laid out in the reflective essay include efforts to increase awareness of and participation in learning outcomes assessment campus-wide, and to increase the thoughtful use of available data about learning. Another goal is to extend the successful practices undertaken in undergraduate education to our graduate and continuing education programs.

Faculty enrichment, support, and celebration will be key to our Transformational Education efforts. We will create new venues for this work, with a focus on faculty-to-faculty mentoring and high-impact pedagogies. Among these plans is our Provost's Office Speaker Series for faculty, launching in Fall 2018, initially focusing on topics such as inclusivity in the classroom, teaching blended learning, and innovative classroom practice, with high-profile, invited speakers sparking our ambitious an agenda of follow-up workshops and faculty learning communities.

We will fulfill our commitment to **GLOBAL ENGAGEMENT AND INCLUSIVE CULTURE** even as we face increasing challenges in this arena. Our response to the uncertainty in federal immigration policy will require a pointed campaign to enroll a healthy number of international students, and to thoroughly support them once on campus. To complement our ongoing work with Navitas, our international pathway program, UMass Lowell will pilot and evaluate the use of international direct recruitment agents and service partners who will help us open new avenues for enrolling graduate students worldwide.

Additionally, UMass Lowell has established memoranda with a number of international partner institutions to provide academic exchanges, helping us to achieve a global and inclusive learning experience for our and our partners' students. As we make new efforts in this arena, we will monitor student outcomes closely to ensure international students' academic success in our programs, whether online or face-to-face.

UMass Lowell has garnered significant support to enhance our inclusive culture in our \$3.5 million, five-year NSF ADVANCE grant from the National Science Foundation. Continuing through 2021, the "Making WAVES (Women Academics Valued and Engaged) in STEM" program will implement interventions to disrupt interpersonal and institutional microaggressions that undermine the productivity and well-being of women faculty in STEM. By means of its trainings, lectures, and other initiatives, the WAVES program's success will carry across the pillars of excellence.

Strides in **INNOVATIVE RESEARCH AND ENTREPRENEURSHIP** will continue for UMass Lowell in the near future; cutting-edge research facilities such as the just-opened Fabric Discovery Center that attract global leaders engaged in groundbreaking research. Our 2020 goal is to increase research expenditures to \$90 million per year by developing significant partnerships and multidisciplinary centers and by increasing proposal success rates. To achieve this, we must build the university's visibility by increasing the number of UMass Lowell faculty bringing their research to national and international conferences and conducting public scholarship. Simultaneously, we will provide new faculty mentoring and development opportunities including writing groups, grant writing workshops, and proposal writing assistance.

Increased student engagement in innovative research and entrepreneurship will be another measure of our success under this pillar. Plans include expanding the number of paid faculty-student research co-ops and cultivating endowed scholarship funds to support student attendance at conferences.

Continued innovation in workforce development and entrepreneurship is crucial to our mission of public benefit and to our own financial sustainability. Our aim is to position UMass Lowell as a vital driver in the development and commercialization of new technologies by being the site of connection between researchers, entrepreneurs, and investors. Over the next five years, we will support successful National Science Foundation I-Corps teams, technology development funds, the River Hawk Venture Fund Investment Advisory Council, and similar programs that fuel existing businesses and generate startup companies. We will be working to facilitate licensing and development of university intellectual property into products by industry partners engaged with the university through the Massachusetts Medical Device Development Center (M2D2) and the Innovation Hub.

UMass Lowell's unique identity is tied to **OUR LEGACY AND OUR PLACE**, and our city's historical role as the cradle of the American industrial revolution. UMass Lowell's research centers are essential to the plan for Lowell's post-industrial reinvention. We will support and promote these centers vigorously as they explore the science and processes

of the future—nanotechnology, advanced materials, printed electronics, robotics, clean energy and medical devices.

The university’s endowment has tripled in the last five years, but our ambitious plans make its continued growth critical. Our first-ever comprehensive fundraising campaign, “Our Legacy, Our Place: The Campaign for UMass Lowell” is a seven-year effort to raise \$125 million by 2020. As of July 2018, we had achieved 97% of that goal, with \$122 million given by alumni and other donors. Going forward, we will devise a path toward a still-greater goal in order to support the work we would like to do across the pillars.

One effort that will cut across all the pillars of the 2020 Strategic Plan is the restructuring of and reinvention of our Division of Online and Continuing Education in a market that is increasingly competitive. We have begun to revitalize our systems of recruitment and retention, and will continue to build our competitive presence in the realms online and corporate education.

ENTREPRENEURIAL STEWARDSHIP IN HIGHER EDUCATION means that UMass Lowell must continuously act on our commitment to affordability and excellence. Our multi-year financial plan, to be presented to the Board of Trustees, is currently being updated to accommodate adjusted annual growth targets through FY 2023. That plan is conservatively keyed to enrollment, revenue and expense targets, and will remain under regular scrutiny.

Our capital plan will guide the next stages of our growth in alignment with these priorities, and must accommodate a sharp reduction in state investments in order to prevent resulting increases to tuition. In order to create needed, modern teaching and research spaces, we will renovate existing buildings and invest in smaller modernizations and building systems upgrades rather than focus on new building acquisition or construction.

UPCOMING SUBSTANTIVE CHANGE: PLASTINDIA INTERNATIONAL UNIVERSITY PARTNERSHIP

Finally, UMass Lowell’s institutional plans for the immediate future include the development of a partnership that crosses our strategic pillars. UMass Lowell is currently engaged in a partnership with Plastinda International University (PIU) in Mumbai, India; UMass Lowell’s Francis College of Engineering is providing support as PIU seeks ABET accreditation for their plastics, mechanical and chemical engineering programs. Per our partnership service agreement, UMass Lowell will provide advice and counseling on the development of infrastructure, academic structure, academic plans, curriculum and quality assurance, including ABET accreditation plans, for the School of Engineering at Plastindia International University. Pending the successful application for ABET accreditation of the PIU programs, UML and PIU hope to work collaboratively toward more formal partnerships, including the development of joint graduate degrees and exchange programs. UMass Lowell will soon be seeking substantive change guidance from NEASC on this collaboration.

APPENDIX

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B. MOST RECENT AUDITED FINANCIAL STATEMENT	56
(Please note: no auditor’s management letter was provided for this statement.)	
C. INTERIM REPORT FORMS	116
D. MAKING ASSESSMENT MORE EXPLICIT (THE E-SERIES) FORMS	161



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	https://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Policies/Credit-Hour.aspx https://www.uml.edu/Catalog/Graduate/Policies/General-Policies.aspx
Print Publications	n/a
Self-study/Interim Report Page Ref.	n/a

- 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* 4.38, 4.39 and 9.19.)

URL	https://www.uml.edu/Catalog/Undergraduate/Policies/Admissions-Policies/Transfer-Students.aspx https://www.uml.edu/Catalog/Graduate/Policies/Transfer-Credit.aspx
Print Publications	n/a
Self-study/Interim Report Page Reference	Interim report data form p. 44

- 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* 5.18, 9.8, and 9.19.)

URL	https://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Policies/Student-Complaints.aspx https://www.uml.edu/Catalog/Graduate/Policies/University-Appeals-Process-Regarding-Academic-Non-Misconduct-Issues.aspx https://continuinged.uml.edu/general/student_complaint_process.cfm https://www.uml.edu/HR/Equal/EO-Guidelines.aspx https://www.uml.edu/student-services/Student-Conduct/Student-Conduct-Code.aspx
Print Publications	n/a
Self-study/Interim Report Page Reference	Interim report data form p. 40

- 4. Distance and Correspondence Education: Verification of Student Identity:** If the institution offers distance education or correspondence education, it has processes in place to establish that the student who registers in a distance education or correspondence education course or program is the same student who participates in and completes the program and receives the academic credit. . . .The institution protects student privacy and notifies students at the time of registration or enrollment of any projected additional student charges associated with the verification of student identity. (CIHE Policy 95. See also *Standards for Accreditation* 4.48.)

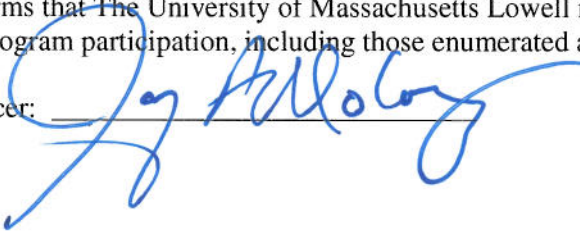
Method(s) used for verification	The Division of Online and Continuing Education follows nationally recognized best practices, both technological and pedagogical, to ensure the verification of student identity in online education. These measures both promote student integrity and protect student privacy. Login information requires access to an assigned UMS ID number, retrievable only with date of birth and SSN or employee ID. The use of login information is governed by strict IT data security policy (https://www.uml.edu/IT/Policies/). Faculty are trained on effective use of anti-plagiarism and anti-dishonesty measures (e.g. rigid testing settings) available
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	through the Blackboard LMS. Additionally, faculty plan for extensive contact with and among students that allows them to assess the consistency and quality of work and to evaluate its authenticity.
Self-study/Interim Report Page Reference	n/a

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.)

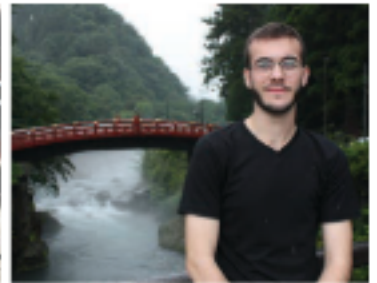
URL	
Print Publications	
Self-study/Interim Report Page Reference	

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

Chief Executive Officer:  Date: 8.8.18

UNIVERSITY OF MASSACHUSETTS

Annual Financial Report 2017



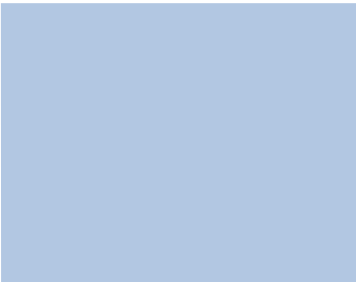
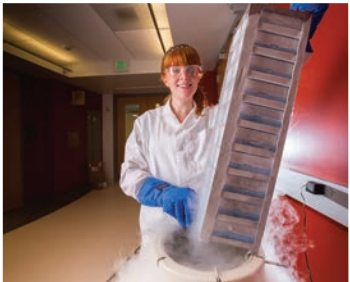
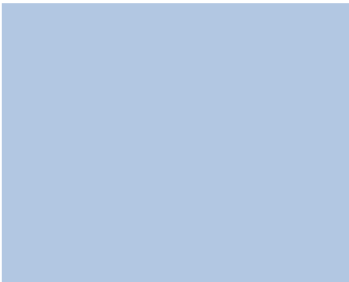


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As of December 2017

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December 14, 2017

To the Board of Trustees
and President Martin T. Meehan J.D.

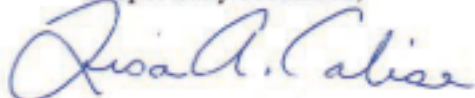
We are pleased to submit the annual Financial Report of the University of Massachusetts for the year ended June 30, 2017. The enclosed financial statements incorporate all financial activity of the University and its five campuses. These statements have been audited by an independent certified public accountant and are 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, 2017 including comparative information as of June 30, 2016.

The University's net position increased \$250 million from \$2.8 billion in fiscal year 2016 to \$3.1 billion in fiscal year 2017. This increase is primarily attributed to strong investment return, increases in tuition and auxiliary revenue from both a rate increase and enrollment increase, grant revenue due to new government and private grant activity, and statutory changes that resulted in a change in tuition retention and other non-operating revenue for the University.

Each year, the Board of Trustees reviews a five-year projection for key financial indicators that are likely to determine the success of the University over the long term. For the key indicators of operating margin, primary reserve, and debt service to operations, for FY2017, the University was on target with meeting projections. Overall, the University continues to make strategic investments that support the achievement of its long-term financial objectives of growth and stability.

Respectfully submitted,



Lisa A. Calise
Senior Vice President of Administration &
Finance and Treasurer

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REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

Board of Trustees of the
University of Massachusetts

Report on the financial statements

We have audited the accompanying financial statements of the business-type activities and the aggregate discretely presented component units of the University of Massachusetts (the “University”), an enterprise fund of the Commonwealth of Massachusetts, as of and for the years ended June 30, 2017 and 2016, and the related notes to the financial statements, which collectively comprise the University’s basic financial statements as listed in the table of contents.

Management’s responsibility for the financial statements

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

Auditor’s responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor’s judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the University’s preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University’s internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Grant Thornton LLP
U.S. member firm of Grant Thornton International Ltd

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 of Massachusetts as of June 30, 2017 and June 30, 2016, and the respective changes in financial position and, where applicable, cash flows thereof for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other matters

Required supplementary information

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis on pages 7 through 16 and the Schedule of the University's Proportionate Share of the Net Pension Liability and the Schedule of the University's Contributions for the Massachusetts State Employees' Retirement System on page 53 be presented to supplement the basic financial statements. Such information, although not a required part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. This required supplementary information is the responsibility of management. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America. These limited procedures consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic 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.

Emphasis of Matter

The financial statements of the University are intended to present the financial position, the changes in financial position and cash flows that are attributable to the transactions of the University. They do not purpose to, and do not present fairly the position of the Commonwealth of Massachusetts as of June 30, 2017 and 2016, the changes in its financial position, or where applicable, its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to this matter.

Other reporting required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report, dated December 14, 2017, on our consideration of the University's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the University's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the University's internal control over financial reporting and compliance.



Boston, Massachusetts
December 14, 2017



Management's Discussion and Analysis (unaudited)

Introduction

The University of Massachusetts 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, 2017 with comparative information as of June 30, 2016 and June 30, 2015. 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 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 2016, the University enrolled 63,978 full-time equivalent ("FTE") students. The University is committed to providing, without discrimination, diverse program offerings to meet the needs of the whole of the state's population. The University's five campuses are geographically dispersed throughout Massachusetts and possess unique and complementary missions.

Financial Highlights

The University's combined net position increased \$250.2 million from \$2.8 billion in fiscal year 2016 to \$3.1 billion in fiscal year 2017. Net position at June 30, 2015 was \$2.7 billion.

From fiscal year 2016 to fiscal year 2017, the University's operating revenues increased by \$39.5 million driven by an increase in tuition and fee and auxiliary revenue from both a rate increase and enrollment increases and grant revenue due to new government and private grant activity. Operating expenses increased by \$22.6 million primarily driven by a collective bargaining rate increase, a state fringe rate increase and depreciation associated with the University's capital plan. Non-operating revenues increased \$68.4 million primarily attributed to strong double-digit investment gains and two changes in state laws. The first allowed for the University to retain tuition revenue without remitting a portion back to the Commonwealth, and adjusted State Appropriations as a result. The second change in state law relates to learning contracts entered into by the Medical School and certain medical students. These contracts give students the option of deferring a portion of their tuition until after residency training, and cancelling all or a portion of their tuition if they practice primary care medicine in the Commonwealth for a prescribed time period. As a result of changes in legislation, outstanding balances from these learning contracts were recorded as non-operating income in 2017.

Using the Annual Financial Report

The Statement of Net Position, Statement of Revenues, Expenses and Changes in Net Position and the Statement of Cash Flows present financial information in a form similar to that used by private sector companies. The University's net position (the difference between assets and liabilities) is one indicator of the University's financial health. Over time, increases or decreases in net position is one indicator of the improvement or erosion of an institution's financial health when considered with non-financial facts such as enrollment levels, operating expenses, and the condition of the facilities.

The Statement of Net Position includes all assets and liabilities, as well as deferred inflows and outflows of resources of the University. It is prepared under the accrual basis of accounting, whereby revenues and assets are recognized when the services are provided and expenses and liabilities are recognized when services are incurred, regardless of when cash is exchanged. Net Position is further broken down into three categories: invested in capital assets-net of related debt, restricted and unrestricted. Amounts reported in invested in capital assets-net of related debt represent the historical cost of property and equipment, reduced by the balance of related debt

outstanding and depreciation expense charged over the years. Net Position is reported as restricted when constraints are imposed by third parties, such as donors or enabling legislation. Restricted net position is either non-expendable, as in the case of endowment gifts to be held in perpetuity, or expendable, as in the case of funds to be spent on scholarships and research. All other assets are unrestricted; however, they may be committed for use under contract or designation by the Board of Trustees.

The Statement of Revenues, Expenses and Changes in Net Position present the revenues earned or received and expenses incurred during the year. Activities are reported as either operating or non-operating. Operating revenues and expenses include tuition and fees, grant and contract activity, auxiliary enterprises and activity for the general operations of the institution not including appropriations from state and federal sources. Non-operating revenues and expenses include appropriations, capital grants and contracts, endowment, gifts, investment income, and non-operating federal grants (Pell Grants). With a public university's dependency on support from the state, Pell grants, and gifts, it is common for institutions to have operating expenses exceed operating revenues. That is because the prescribed financial reporting model classifies state appropriations, Pell grants, and gifts as non-operating revenues. The utilization of long-lived assets, referred to as capital assets, is reflected in the financial statements as depreciation expense, which amortizes the cost of a capital asset over its expected useful life.

Another important factor to consider when evaluating financial viability is the University's ability to meet financial obligations as they mature. The statement of cash flows presents information related to cash inflows and outflows summarized by operating, capital and non-capital, financing and investing activities. The footnotes provide additional information that is essential to understanding the information provided in the 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 Statements Of Net Position – University (Excludes Related Organizations) As of June 30, 2017, 2016, and 2015 (in thousands of dollars)

	University June 30, 2017	University June 30, 2016	FY17-16 Change	University June 30, 2015
ASSETS				
Current Assets	\$ 739,847	\$ 677,927	\$ 61,920	\$ 692,679
Noncurrent Assets				
Investment in Plant Net of Accumulated Depreciation	4,930,912	4,615,776	315,136	4,333,761
All Other Noncurrent Assets	1,283,546	1,294,028	(10,482)	1,501,421
DEFERRED OUTFLOWS OF RESOURCES	275,725	293,432	(17,707)	178,410
LIABILITIES				
Current Liabilities	619,250	774,837	(155,587)	856,460
Noncurrent Liabilities	3,522,756	3,294,183	228,573	3,133,710
DEFERRED INFLOWS OF RESOURCES	37,671	12,050	25,621	48,753
NET POSITION				
Invested in Capital Assets Net of Related Debt	2,204,001	2,013,966	190,035	1,887,941
Restricted				
Nonexpendable	27,443	18,384	9,059	18,378
Expendable	201,710	218,272	(16,562)	169,591
Unrestricted	617,199	549,471	67,728	591,438

At June 30, 2017, total University net position was \$3.1 billion. The University's largest asset continues to be its net investment in its physical plant of \$4.9 billion at June 30, 2017, \$4.6 billion at June 30, 2016 and \$4.3 billion at June 30, 2015.

University liabilities totaled \$4.1 billion at June 30, 2017, an increase of \$73.0 million over fiscal year 2016. Long-term liabilities represent 85.0% of the total liabilities which primarily consist of bonds payable amounting to \$3.1 billion and net pension liability of \$429.9 million at June 30, 2017.

The University's current assets as of June 30, 2017 of \$739.8 million were above the current liabilities of \$619.3 million, and as a result the current ratio was \$1.19 in assets to every one dollar in liabilities. Current assets of \$677.9 million at June 30, 2016 were below the current liabilities of \$774.8 million, resulting in a current ratio of 0.9.

The unrestricted and restricted expendable net position totaled \$818.9 million in fiscal year 2017, which represents 26% of total operating expenditures of \$3.2 billion for fiscal year 2017. The unrestricted and restricted expendable net position totaled \$767.7 million in fiscal year 2016, which represented 24% of total operating expenditures of \$3.1 billion in 2016. The unrestricted and restricted expendable net position totaled \$761.0 million in fiscal year 2015, which represents 27% of total operating expenditures of \$2.9 billion in 2015.

Condensed Statements of Net Position – Related Organizations At June 30, 2017, 2016 and 2015 (in thousands of dollars)

	University Related Organizations June 30, 2017	University Related Organizations June 30, 2016	FY17–16 Change	University Related Organizations June 30, 2015
ASSETS				
Current Assets	\$ 3,062	\$ 2,094	\$ 968	\$ 1,373
Noncurrent Asset				
Investment in Plant Net of Accumulated Depreciation	17,421	8,090	9,331	8,293
All Other Noncurrent Assets	535,829	472,478	63,351	478,645
LIABILITIES				
Current Liabilities	28,644	29,194	(550)	31,421
Noncurrent Liabilities	2,764	3,502	(738)	3,505
NET POSITION				
Invested in Capital Assets Net of Related Debt	17,421	8,090	9,331	8,293
Restricted				
Nonexpendable	385,856	374,566	11,290	330,301
Expendable	98,145	46,275	51,870	90,413
Unrestricted	23,482	21,035	2,447	24,378

Statement of Revenues, Expenses and Changes in Net Position

Total operating revenues for fiscal year 2017 were \$2.4 billion. This represents a \$39.5 million (1.6%) increase from the \$2.4 billion in operating revenues in fiscal year 2016. 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 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 below, is used almost exclusively to fund payroll for University employees.

In fiscal year 2017, operating expenditures, including depreciation and amortization, totaled \$3.2 billion. Of this total, \$1.8 billion or 53% was used to support the academic core activities of the University, including \$447.4 million in research. The Academic Core represents functional expenses in the following categories: Instruction, Research, Public Service, Academic Support, and Student Services. In fiscal year 2016, operating expenditures, including depreciation and amortization, totaled \$3.1 billion.

**Condensed Statements of Revenues, Expenses, and Changes in Net Position –
University (excludes Related Organizations)**
For the Years Ended June 30, 2017, 2016 and 2015 (in thousands of dollars)

	University June 30, 2017	University June 30, 2016	FY17–16 Change	University June 30, 2015
Operating Revenues				
Tuition and Fees (net of scholarship allowances)	\$ 847,832	\$ 826,815	\$ 21,017	\$ 765,218
Grants and Contracts	560,081	528,352	31,729	510,741
Auxiliary Enterprises	400,822	383,281	17,541	362,193
Other Operating Revenue	634,245	665,048	(30,803)	474,632
Total Operating Revenues	2,442,980	2,403,496	39,484	2,112,784
Operating Expenses	3,163,322	3,140,753	22,569	2,782,297
Operating Loss	(720,342)	(737,257)	16,915	(669,513)
Nonoperating Revenues/(Expenses)				
Federal Appropriations	6,602	6,827	(225)	6,619
State Appropriations	720,817	669,748	51,069	621,200
Interest on Indebtedness	(110,069)	(105,276)	(4,793)	(100,332)
Other Nonoperating Income	114,437	90,443	23,994	74,892
Nonoperating Federal Grants	74,050	75,743	(1,693)	76,539
Net Nonoperating Revenues	805,837	737,485	68,352	678,918
Income Before Other Revenues, Expenses, Gains, and Losses	85,495	228	85,267	9,405
Other Revenues, Expenses, Gains, and Losses				
Capital Appropriations, Grants and Other Sources	150,412	172,557	(22,145)	118,405
Disposal of Plant Facilities	(4,274)	(10,462)	6,188	(12,120)
Other Additions/(Deductions)	18,627	(29,578)	48,205	(27,731)
Total Other Revenues, Expenses, Gains, and Losses	164,765	132,517	32,248	78,554
Total Increase in Net Position	250,260	132,745	117,515	87,959
Net Position				
Net Position at the Beginning of the Year	2,800,093	2,667,348	132,745	2,818,295
<i>Cumulative effect of change in accounting principle**</i>	–	–	–	(238,849)
<i>Net Position at the Beginning of the Year, adjusted</i>	2,800,093	2,667,348	132,745	2,579,389
Net Position at the End of the Year	\$3,050,353	\$2,800,093	\$250,260	\$2,667,348

**Adoption of GASB 68 for the year ended 6/30/2015.

Condensed Statements of Revenues, Expenses, and Changes in Net Position – Related Organizations
For the Years Ended June 30, 2017, 2016 and 2015 (in thousands of dollars)

	University Related Organizations June 30, 2017	University Related Organizations June 30, 2016	FY17–16 Change	University Related Organizations June 30, 2015
Operating Expenses	\$ 14,090	\$ 17,068	\$(2,978)	\$ 16,709
Operating Loss	(14,090)	(17,068)	(2,978)	(16,709)
Nonoperating Revenues/(Expenses)				
Other Nonoperating Income	13,631	20,351	(6,720)	18,480
Other Revenues, Expenses, Gains, and Losses				
Additions to Permanent Endowments	42,173	25,864	16,309	21,618
Other Additions	33,224	(32,566)	65,790	(15,798)
Net Position				
Net Position at the Beginning of the Year	449,966	453,385	(3,419)	445,794
Net Position at the End of the Year	\$524,904	\$449,966	\$74,938	\$453,385

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. 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. Finally, Public Service Activity expenditures also include payments made to the Commonwealth of Massachusetts pursuant to requirements of legislation enacted by the State Legislature of Massachusetts. See footnote 1 for additional information regarding “Other Operating Revenues and Expenditures, Sales and Services, Public Service Activities”.

State Appropriations

Commonwealth Operating Appropriations Received by the University For Fiscal Years Ended June 30, 2017, 2016 and 2015

	FY2017	FY2016	FY2015
Gross Commonwealth Appropriations	\$512,900	\$546,952	\$516,794
Plus: Fringe Benefits*	207,917	178,032	159,403
	720,817	724,984	676,197
Less: Mandatory Waivers	–	(24,653)	(23,942)
Less: Tuition Remitted	–	(30,583)	(31,055)

**The Commonwealth pays the fringe benefits for University employees paid from Commonwealth operating appropriations. Therefore, such fringe benefit support is added to the “State Appropriations” financial statement line items 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.*

In July 2015, the Legislature passed and the Governor signed into law, provisions in the fiscal year 2016 State budget that would give the University the tools to adopt a new system of billing that conforms to national norms across higher education, known as tuition retention. The passage of this legislation allowed for 100% of tuition to be retained by the University (out of state tuition retention was granted in FY04). As a result, the gross appropriation was reduced in 2017 to reflect the \$30.6 million in tuition that the University retained. In addition, the amounts that were previously deducted from the appropriation in the form of mandatory waivers are now reflected in gross tuition revenue and the offsetting scholarship allowances.

In fiscal year 2017, state appropriations represented 22% of all operating and non-operating revenues. The level of state support is a key factor influencing the University’s overall financial condition. Although the state appropriation is unrestricted revenue, nearly 100% of the state appropriation supports payroll and benefits for University employees. The net state appropriation for the University increased by \$51.1 million from fiscal year 2016, with the increase attributable to a higher level of State Appropriation and related fringe benefit support and a change in policy regarding the treatment of mandatory waivers and tuition remitted as a result of full Tuition Retention implemented in FY17 as discussed above. The Commonwealth pays the fringe benefits for University employees paid from Commonwealth operating appropriations. Therefore, such fringe benefit support is added to the “State Appropriations” financial statement line item as presented in the table above. The University pays the Commonwealth for the fringe benefit cost of the employees paid from funding sources other than Commonwealth operating appropriations (details of the payment are referenced in footnote 11). The table above details the Commonwealth operating appropriations and the change as a result of full tuition retention.

Capital Appropriations from the Commonwealth

The University faces a financial challenge to maintain and upgrade its capital assets including its infrastructure, buildings and grounds. In order to have a successful capital program, the University must rely on a combination of revenue sources to fund its investment. In fiscal year 2017, there was \$121.4 million of capital support provided to the University through appropriations and grants from the Commonwealth. This funding is attributed to the Commonwealth's Division of Capital Asset Management ("DCAM") which funded several large capital projects in fiscal year 2017 through the State's Higher Education Bond Bill and Life Sciences Bond Bill, which were passed in 2008 and have projects funded on each of the campuses. Major construction and deferred maintenance projects are underway at all five of the University's campuses. These projects are funded by a combination of University and State funds.

Grant and Contract Revenue

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 agencies. Among Massachusetts colleges and universities, UMass ranks third in research and development expenditures, behind only MIT and Harvard.

Collectively, the University's Amherst Campus and Medical School in Worcester account for 78% of University grant and contract activity. The following table details the University's grant and contract revenues (in thousands):

Grant and Contract Revenues For Fiscal Years Ended June 30, 2017, 2016 and 2015

	FY2017	FY2016	FY2015
Federal Grants and Contracts	\$354,110	\$329,403	\$313,754
State Grants and Contracts	78,417	75,306	70,871
Local Grants and Contracts	2,489	2,445	1,717
Private Grants and Contracts	125,065	121,198	124,399
Total Grants and Contracts	\$560,081	\$528,352	\$510,741

Discretely Presented Component Units

University of Massachusetts Foundation, Inc.

The combined University and Foundation endowment has increased to \$819.7 million at June 30, 2017 from \$734.2 million at June 30, 2016 and from \$768.4 million at June 30, 2015.

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 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 funds that exist during each quarter-end are included in the calculation. In addition, a prudence rule is utilized to limit spending from a particular endowment fund to no lower than 93% of its book value. The Foundation distributed \$28.4 million (4%) and \$27.3 million (4%) in fiscal year 2017 and 2016, respectively.

The total investment gain of the Foundation for fiscal year 2017 was \$104.6 million as compared to 2016, which was a net loss of \$39.1 million.

University of Massachusetts Dartmouth Foundation, Inc.

Total investments of the Dartmouth Foundation were \$57.7 million at June 30, 2017 up from \$52.7 million at June 30, 2016, which are held by the University of Massachusetts Foundation, Inc. The Dartmouth Foundation total investment gain for fiscal year 2017, including realized and unrealized investment activity, was a net gain of \$4.7 million as compared to a net loss of \$1.9 million in 2016.



Tuition and Fees

For academic year 2016-2017, tuition was raised an average 5.6% for in-state undergraduate students. For academic year 2015-2016, tuition was raised on average 7.2%, which included a new mandatory technology fee at each of the campuses. For academic years 2014-2015, the Board of Trustees voted to freeze the mandatory curriculum fee for in state undergraduate students based on the increase to the State appropriation. Affordability will continue to be a priority of the University and increases in fees will be considered in conjunction with State support on an annual basis.

Enrollment

Admission to the University is open to residents of the Commonwealth and non-residents on a competitive basis. In the fall 2017 semester, Massachusetts residents accounted for approximately 82.3% and 52.4% of the University's total undergraduate and graduate enrollment, respectively. Total enrollment in the fall of 2017 was 64,533 FTE (74,655 headcount students) an increase of 8.7%. Enrollments at the University have shown significant increases over the last five years (59,480 FTE in fall 2011). The 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 online learning consortium of the University, UMassOnline, has also 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 160 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 2017, UMassOnline and the Continuing Education units at the five campuses collaboratively generated tuition revenue in excess of \$104.0 million and supported 75,565 course enrollments, an increase of 9.2% for revenue and an increase of 6.6% for course enrollments as compared to fiscal year 2016.

Degrees Awarded

The University awards four levels of degrees, as follows: associates, bachelors, masters and doctoral/professional degrees. A total of 18,023 degrees were awarded in the 2015-2016 academic year reflecting a 1.0% increase from the previous year. Of these awards, 67.3% were at the undergraduate level and 21.0% were at the graduate level. The remaining were associates degrees and undergraduate certificates.

Bonds Payable

As of June 30, 2017, the University had outstanding bonds of \$3.1 billion. The principal issuer of the University's debt is the University of Massachusetts Building Authority. A relatively small portion of the total (\$46.8 million) was financed through the Massachusetts Health and Educational Facilities Authority ("MHEFA"), and \$8.0 million financed through the Worcester City Campus Corporation (the "WCCC Bonds"). Bonds payable is the University's largest liability at June 30, 2017.

The Building Authority's active projects include residence hall construction and renovation, renovation of general education buildings, replacement of core infrastructure, and construction of academic, laboratory, and research facilities. The proceeds from the UMass HEFA Bonds were used to create a revolving loan program and to fund the construction of two new campus centers at the Boston and Lowell campuses (funded jointly with the Commonwealth).

On January 31, 2017, the Building Authority issued \$165.1 million of tax-exempt Project Revenue Bonds, Senior Series 2017-1 (the "2017-1 Bonds"), \$19.5 million of federally taxable Project Revenue Bonds, Senior Series 2017-2 (the "2017-2 Bonds"), and \$187.7 million of Refunding Revenue Bonds, Senior Series 2017-3 (the "2017-3 Bonds"). The Series 2017-3 Bonds were issued to refinance a portion of the MHEFA's Revenue Bonds, University of Massachusetts Issue, Series D (2007), the MHEFA's Revenue Bonds, Worcester City Campus Corporation Issue (University of Massachusetts Project), Series E & F (2007), the University of Massachusetts Building Authority Project Revenue Bonds, Senior Series 2008-2, and the University of Massachusetts Building Authority Project Revenue Bonds, Senior Series 2009-1.

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. Bonds issued by the University of Massachusetts and the University of Massachusetts Building Authority are rated AA, Aa2 and AA- as rated by Fitch, Moody's and Standard & Poor's rating agencies, respectively.

Limitations on Additional Indebtedness

The University may, without limit, issue additional indebtedness or request the Building Authority to issue additional indebtedness on behalf of the University so long as such indebtedness is payable from all available funds of the University. However, the University may request that the Building Authority issue additional indebtedness not payable from all available funds of the University provided that the additional indebtedness is secured by certain pledged revenues and the maximum annual debt service on all revenue indebtedness does not exceed 8% of the University's available revenues.

The Building Authority is authorized by its enabling act to issue bonds with the unconditional guarantee of the Commonwealth of Massachusetts for the punctual payment of the interest and principal payments on the guaranteed bonds. The full faith and credit of the Commonwealth are pledged for the performance of its guarantee. The enabling act, as amended, presently limits to \$200.0 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 obligations guaranteed by the Commonwealth at June 30, 2017 and 2016 was \$115.3 million and \$117.4 million, respectively.

Capital Plan

In September 2016, the University's Trustees approved a five-year (fiscal years 2017-2021) update to its capital plan with \$2.3 billion of projects approved to continue or commence over the next 24 months. The University generally has funded its capital plans through a combination of funding received from University operations, bonds issued by the University of Massachusetts Building Authority and MassDevelopment, Commonwealth appropriations, and private fundraising. The execution of certain projects from the University's capital plan is due to funding from the Commonwealth through the Higher Education and Life Sciences Bond Bills.

The University's five-year capital plan for fiscal years 2017-2021 includes major projects that were previously approved by the University Trustees in prior-year capital plans. In recent years, the University enhanced its policy regarding the approval of capital projects to ensure a clear process and to provide for multiple reviews during the process so that the President's Office, Building Authority and the Board of Trustees (the "Board") are actively involved. Since the capital program requires significant investment, the President's office and the Board wanted to ensure that the proper steps were in place for reviewing and approving projects so that the University continues to live within its current capital and debt policies.

In spite of investing more than \$3.5 billion on capital improvements over the last decade, the University's capital plan projects spending another \$2.2 billion over the next five years. The commitment of operating funds for servicing debt and/or funding capital expenditures has an ongoing impact on the overall financial position of the University. In order to support the University's capital plan, the University of Massachusetts Building Authority will be issuing new bonds and State funding will be utilized to fund renovations, new construction, and deferred maintenance projects as illustrated in the capital plan.

Factors Impacting Future Periods

There are a number of issues of University-wide importance that directly impact the financial operations of the University. Many of these issues, such as improving academic quality, realizing strong financial results, investing in capital assets, expanding fundraising capacity, operating more efficiently, 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 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.

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, Barbara Cevallos, at (617) 287-6017 or by email at bcevallos@umassp.edu.

Consolidated Statements of Net Position

AS OF JUNE 30, 2017 AND 2016 (IN THOUSANDS OF DOLLARS)

	University June 30, 2017	University Related Organizations June 30, 2017	University June 30, 2016	University Related Organizations June 30, 2016
ASSETS				
Current Assets				
Cash and Cash Equivalents	\$ 92,344	\$ 1,424	\$ 101,207	\$ 1,475
Cash Held By State Treasurer	15,114	—	8,888	—
Accounts, Grants and Loans Receivable, net	275,166	—	244,178	—
Pledges Receivable, net	7,091	1,515	7,464	371
Short Term Investments	286,171	—	206,266	—
Inventories, net	19,137	—	18,006	—
Accounts Receivable from UMass Memorial	33,818	—	35,724	—
Due From Related Organizations	21	123	69	193
Other Assets	10,985	—	56,125	55
Noncurrent Assets				
Cash Held By State Treasurer	7,599	—	8,342	—
Cash and Securities Held By Trustees	438,585	—	486,015	—
Accounts, Grants and Loans Receivable, net	48,775	—	38,526	—
Pledges Receivable, net	13,346	737	17,595	1,690
Investments	766,392	532,605	734,205	468,260
Other Assets	8,849	2,487	9,345	2,528
Investment In Plant, net	4,930,912	17,421	4,615,776	8,090
DEFERRED OUTFLOWS OF RESOURCES				
Deferred Change in Fair Value of Interest Rate Swaps	37,768	—	65,428	—
Loss on Debt Refunding	79,772	—	80,851	—
Pensions	158,185	—	147,153	—
LIABILITIES				
Current Liabilities				
Accounts Payable	111,808	53	105,652	64
Accrued Salaries and Wages	83,543	—	112,521	—
Accrued Compensated Absences	81,357	—	80,730	—
Accrued Workers' Compensation	2,640	—	3,252	—
Accrued Interest Payable	22,694	—	21,976	—
Bonds Payable	206,696	—	332,996	—
Capital Lease Obligations	203	—	169	—
Accelerated Variable Rate Debt, current	—	—	5,000	—
Assets Held on Behalf of Others	—	27,408	—	27,837
Accounts Payable to UMass Memorial	4,422	—	3,707	—
Due to Related Organizations	123	21	193	69
Unearned Revenues and Credits	44,128	1,162	44,041	1,224
Advances and Deposits	8,375	—	6,712	—
Other Liabilities	53,261	—	57,888	—
Noncurrent Liabilities				
Accrued Compensated Absences	30,395	—	35,671	—
Accrued Workers' Compensation	11,946	—	12,160	—
Bonds Payable	2,885,146	—	2,646,626	—
Capital Lease Obligations	389	—	429	—
Derivative Instruments, Interest Rate Swaps	61,839	—	90,478	—
Net Pension Liability	429,871	—	408,418	—
Unearned Revenues and Credits	32,597	—	23,936	—
Advances and Deposits	29,140	—	27,705	—
Other Liabilities	41,433	2,764	48,760	3,502
DEFERRED INFLOWS OF RESOURCES				
Pensions	37,671	—	12,050	—
NET POSITION				
Invested in Capital Assets Net of Related Debt	2,204,001	17,421	2,013,966	8,090
Restricted				
Nonexpendable	27,443	385,856	18,384	374,566
Expendable	201,710	98,145	218,272	46,275
Unrestricted	617,199	23,482	549,471	21,035

The accompanying notes are an integral part of the financial statements.

Consolidated Statements of Revenues, Expenses, and Changes in Net Position

FOR THE YEARS ENDED JUNE 30, 2017 AND 2016 (IN THOUSANDS OF DOLLARS)

	University June 30, 2017	University Related Organizations June 30, 2017	University June 30, 2016	University Related Organizations June 30, 2016
REVENUES				
Operating Revenues				
Tuition and Fees (net of scholarship allowances of \$288,708 at June 30, 2017 and \$244,025 at June 30, 2016)	\$ 847,832	\$ —	\$ 826,815	\$ —
Federal Grants and Contracts	354,110	—	329,403	—
State Grants and Contracts	78,417	—	75,306	—
Local Grants and Contracts	2,489	—	2,445	—
Private Grants and Contracts	125,065	—	121,198	—
Sales and Service, Educational	28,910	—	27,500	—
Auxiliary Enterprises	400,822	—	383,281	—
Other Operating Revenues:				
Sales and Service, Independent Operations	79,261	—	47,613	—
Sales and Service, Public Service Activities	418,726	—	476,831	—
Other	107,348	—	113,104	—
EXPENSES				
Operating Expenses				
<i>Educational and General</i>				
Instruction	824,042	—	794,691	—
Research	447,370	—	434,213	—
Public Service	68,083	11,278	71,457	16,502
Academic Support	177,173	—	181,057	—
Student Services	151,033	—	141,915	—
Institutional Support	247,740	—	248,379	—
Operation and Maintenance of Plant	240,501	—	228,406	—
Depreciation and Amortization	249,669	314	240,865	202
Scholarships and Fellowships	47,710	2,498	44,645	364
<i>Auxiliary Enterprises</i>	306,850	—	297,089	—
<i>Other Expenditures</i>				
Independent Operations	57,276	—	47,930	—
Public Service Activities	345,875	—	410,106	—
Operating Loss	(720,342)	(14,090)	(737,257)	(17,068)
NONOPERATING REVENUES/(EXPENSES)				
Federal Appropriations	6,602	—	6,827	—
State Appropriations	720,817	—	669,748	—
Gifts	26,253	3,620	42,415	7,396
Investment Income	28,756	(219)	29,381	182
Unrealized Gain (Loss) on Investments	15,466	—	(7,633)	—
Endowment Income Distributed for Operations	26,877	1,386	24,740	1,386
Interest on Indebtedness	(110,069)	—	(105,276)	—
Nonoperating Federal Grants	74,050	—	75,743	—
Other Nonoperating Income	17,085	10,011	1,540	11,387
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES				
Capital Appropriations	121,380	—	121,298	—
Capital Grants and Contracts	29,080	—	51,259	—
Endowment Gain (Loss), net of amount used for operations	21,278	30,441	(28,958)	(36,524)
Additions to Permanent Endowments	—	42,173	—	25,864
Capital Contribution	—	—	2,985	—
Disposal of Plant Facilities	(4,274)	—	(10,462)	—
Other Additions (Deductions)	(2,699)	3,002	(3,605)	3,958
NET POSITION				
Net Position at Beginning of Year	2,800,093	449,966	2,667,348	453,385

The accompanying notes are an integral part of the financial statements.

Consolidated Statements of Cash Flows

FOR THE YEARS ENDED JUNE 30, 2017 AND 2016 (IN THOUSANDS OF DOLLARS)

	University June 30, 2017	University June 30, 2016
CASH FLOWS FROM OPERATING ACTIVITIES		
Tuition and Fees	\$ 852,889	\$ 829,654
Grants and Contracts	814,018	791,533
Payments to Suppliers	(1,131,219)	(1,295,707)
Payments to Employees	(1,461,100)	(1,444,036)
Payments for Benefits	(401,143)	(354,120)
Payments for Scholarships and Fellowships	(47,675)	(44,635)
Loans Issued to Students and Employees	(8,105)	(5,596)
Collections of Loans to Students and Employees	6,989	7,099
Auxiliary Enterprises Receipts	357,968	369,715
Sales and Service, Educational	25,118	24,328
Sales and Service, Independent Operations	76,221	57,451
Sales and Service, Public Service Activities	428,012	493,461
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES		
State Appropriations	720,819	724,985
Tuition Remitted to the State	-	(30,583)
Federal Appropriations	6,602	6,827
Gifts and Grants for Other than Capital Purposes	32,854	26,831
Nonoperating Federal Grants	74,050	75,743
Student Organization Agency Transactions	155	527
CASH FLOWS FROM CAPITAL AND OTHER FINANCING ACTIVITIES		
Proceeds from Capital Debt	236,666	8,668
Bond Issuance Costs Paid	(620)	2
Capital Appropriations	121,333	121,297
Capital Grants and Contracts	9,332	58,759
Purchases of Capital Assets and Construction	(105,493)	(191,039)
Principal Paid on Capital Debt and Leases	(120,353)	(78,287)
Interest Paid on Capital Debt and Leases	(115,201)	(113,746)
Use of Debt Proceeds on Deposit with Trustees	(369,995)	(321,964)
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from Sales and Maturities of Investments	1,124,176	1,138,588
Interest on Investments	10,605	8,862
Purchase of Investments	(1,187,713)	(1,090,191)
NET DECREASE IN CASH AND CASH EQUIVALENTS		
	(50,810)	(225,574)
RECONCILIATION OF OPERATING LOSS TO NET CASH PROVIDED BY OPERATING ACTIVITIES		
Operating Loss	\$ (720,342)	\$ (737,257)
<i>Adjustments to reconcile loss to net cash used for Operating Activities:</i>		
Depreciation and Amortization Expense	249,669	240,865
<i>Changes in Assets and Liabilities:</i>		
Accounts Receivable, net	(36,615)	(2,969)
Inventories	(1,131)	(534)
Due to/from Related Organizations	(118)	-
Accounts Receivable/Payable UMass Memorial	(2,621)	(17,341)
Other Assets	(45,821)	(44,077)
Accounts Payable (non-capital)	(8,412)	(17,821)
Accrued Liabilities	(34,453)	(5,835)
Deferred Revenue	(8,748)	(4,374)
Advances and Deposits	3,098	(395)
Other Liabilities	(13,737)	18,885
SUPPLEMENTAL DISCLOSURE OF NONCASH ACTIVITIES		
Bonds to Refund Existing Debt	130,325	-
Assets Acquired and Included in Accounts Payable and Other Liabilities	60,853	63,109

The accompanying notes are an integral part of the financial statements.

Notes to Consolidated Financial Statements

1. SUMMARY OF ORGANIZATION AND SIGNIFICANT ACCOUNTING POLICIES

Organization

The consolidated financial statements herein present the financial position, results of operations, changes in net position, and cash flows of the University of Massachusetts ("University"), a federal land grant institution. The financial statements of the University include the Amherst, Boston, Dartmouth, Lowell and Worcester Medical School campuses, and the Central Administration office of the University, Worcester City Campus Corporation ("WCCC"), the University of Massachusetts Amherst Foundation ("UMass Amherst Foundation"), as well as the University of Massachusetts Building Authority (the "Building Authority").

The Building Authority is a public instrumentality of the Commonwealth created by Chapter 773 of the Acts of 1960 (referred to as the "Enabling Act"), whose purpose is to provide dormitories, dining commons, and other buildings and structures for use by the University. WCCC is a tax exempt organization founded to support research and real property activities for the University. The UMass Amherst Foundation was established in 2003 as a tax exempt organization founded to foster and promote the growth, progress, and general welfare of the University. These component units are included in the financial statements of the University because of the significance and exclusivity of their financial relationships with the University.

The University Related Organizations column in the accompanying financial statements includes the financial information of the University's discretely presented component units. The University of Massachusetts Foundation, Inc. ("Foundation") and the University of Massachusetts Dartmouth Foundation, Inc. ("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 ("US GAAP") 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 (including independent operations and public service activities), 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 changes in endowment net position. Revenues are recognized when earned and expenses are recognized when incurred with the exception of revenue earned on certain public service activities. Restricted grant revenue is recognized only when all eligibility requirements have been met. Contributions, including unconditional promises to give (pledges) for non-endowment or non-capital purposes, are recognized as revenues in the period received. Pledges to restricted non-expendable endowments are recognized as revenues in the period received. Conditional promises to give are not recognized until they become

unconditional, that is when the conditions on which they depend are substantially met. The University applies restricted net assets first when an expense or outlay is incurred for purposes for which both restricted and unrestricted net assets are available.

The preparation of financial statements in accordance with US GAAP requires management to make estimates and judgments that affect the reported amounts of assets, liabilities, and disclosures of contingencies at the date of the financial statements, revenues and expenditures recognized during the reporting period. Significant estimates include the accrual for employee compensated absences, and workers' compensation liability, the allowance for doubtful accounts, valuation of certain investments, valuation of derivatives, amounts recorded in connection with the pension obligation and the related defined inflows and outflows. 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 activities are financed in whole or in part by fees charged to external parties for goods or services. GASB 35 establishes standards for external financial reporting by public colleges and universities that resources be classified into the following net position categories:

- **Invested in capital assets, net of related debt:** Capital assets, at historical cost or fair market value on date of gift, net of accumulated depreciation and outstanding principal balances of debt attributable to the acquisition, construction or improvement of those assets.
- **Restricted Nonexpendable:** Resources subject to externally imposed stipulations that they be maintained permanently by the University.
- **Restricted Expendable:** Resources whose use by the University is subject to externally imposed stipulations. Such assets include restricted grants and contracts, the accumulated net gains/losses on true endowment funds, as well as restricted funds loaned to students, restricted gifts and endowment income, and other similar restricted funds.
- **Unrestricted:** The net position that is not subject to externally imposed restrictions governing their use are classified as unrestricted net position. The University's unrestricted net position may be designated for specific purposes by management or the Board of Trustees. Substantially all of the University's unrestricted net position is designated to support academic and research initiatives or programs, auxiliary enterprises, unrestricted funds functioning as endowments, or are committed to capital construction projects.

Revenues are reported net of discounts and allowances. As a result, student financial aid expenditures are reported as an allowance against tuition and fees revenue while stipends and other payments made directly to students are recorded as scholarship and fellowship expenditures on the statements of revenues, expenses, and changes in net position. Discounts and allowances for tuition and fees and auxiliary enterprises are calculated using the Alternate Method which reports tuition and fee revenue net of scholarship allowances.

New GASB Pronouncements

In June 2015, the GASB released Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*. The primary objective of this Statement is to improve accounting and financial reporting by state and local governments for postemployment benefits other than pensions (other postemployment benefits or OPEB). It also improves information provided by state and local governmental employers about financial support for OPEB that is provided by other entities. This Statement replaces the requirements of Statements No. 45, *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*, as amended, and No. 57, *OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans*. The University is required to adopt this standard in fiscal year 2018. Management is evaluating the impact this pronouncement will have on the University.

Classification Of Assets And Liabilities

The University presents current and non-current assets and liabilities in the statements of net position. Assets and liabilities are considered current if they mature in one year or less, or are expected to be received, used, or paid within one year or less. Investments with a maturity of greater than one year and balances that have externally imposed restrictions as to use are considered non-current. Cash Held by State Treasurer includes balances with restrictions as to use and balances that may be rolled forward for use toward the restricted purposes in future years, and such balances are classified as non-current. Cash held by trustees is presented based upon its expected period of use and the restrictions imposed on the balances by external parties.

Cash And Cash Equivalents And Investments

Cash and cash equivalents consist primarily of petty cash, demand deposit accounts, savings accounts, and money market 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 equity and certain other non-marketable securities held by the Foundation are valued using current estimates of fair value by management based on information provided by the general partner or investment manager for the respective securities. The Foundation believes that the carrying amounts of these investments are a reasonable estimate of fair value, however, their estimated value is subject to uncertainty and therefore may differ from the value that would have been used had a ready market for such investment existed.

Investment securities are exposed to various risks, such as interest rate, market and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect the amounts reported in the accompanying financial statements.

Investment income includes dividends and interest income and is recognized on the accrual basis. In computing realized gains and losses, cost is determined on a specific identification basis.

Restricted Grants And Contracts

The University receives monies from federal and state government agencies under grants and contracts for research and other activities including medical service reimbursements. The University records the recovery of indirect costs applicable to research programs, and other activities which provide for the full or partial reimbursement of such costs, as revenue. Recovery of indirect costs for the years ended June 30, 2017 and 2016 was \$131.6 million and \$119.0 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 funds that exist during each quarter-end are included in the calculation. 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 2017 and 2016. Future utilization of gains is dependent on market performance. Deficiencies for donor-restricted endowment funds resulting from declines in market value would be offset by an allocation from unrestricted net position to restricted expendable net position, and would be recorded in realized and unrealized gains (losses) on sale of investments. In fiscal years 2017 and 2016, the deficiencies were \$0.5 million and \$3.2 million, respectively. The Foundation believes that these adjustments are temporary and will not require permanent funding.

Inventories

The University's inventories consist of books, general merchandise, central stores, vaccines, and operating supplies which are carried at the lower of cost (first-in, first-out and average cost methods) or market value.

Investment In Plant

Capital assets are stated at cost or fair value upon receipt as a gift. Net interest costs incurred during the construction period for major capital projects are capitalized. Repairs and maintenance costs are expensed as incurred, whereas major improvements that extend the estimated useful lives of the assets are capitalized as additions to property and equipment. Depreciation of capital assets is provided on a straight-line basis over the estimated useful lives of the respective assets. Prior to the fiscal year ended June 30, 2017, the University recorded a full year of depreciation in the year of acquisition. Beginning in the fiscal year ended June 30, 2017, to be consistent with the Building Authority, the University applied a half-year convention to the straight-line basis of depreciation. This change in accounting estimate is reported prospectively for all depreciable assets. Management estimates that the adoption of the half-year convention reduced depreciation expense by \$5.0 million in fiscal year 2017.

Following is the range of useful lives for the University's depreciable assets:

Assets	Useful Lives
Buildings	15–50 years
Building Improvements	3–20 years
Equipment and Furniture	3–15 years
Software	5 years
Land Improvements	20 years

Compensated Absences

Employees earn the right to be compensated during absences for annual vacation leave and sick leave. The accompanying statements of net position reflect an accrual for the amounts earned and ultimately payable for such benefits as of the end of the fiscal year. The accrual equates to the entire amount of vacation time earned and an actuarially determined liability for the sick leave component of compensated absences. Employees are only entitled to 20% of their sick leave balance upon retirement. The actuarial calculation utilized the probability of retirement for this estimate.

Unearned Revenue

Unearned revenue consists of amounts billed or received in advance of the University providing goods or services. Unearned revenue is recognized as revenue as expenses are incurred and therefore earned.

Advances And Deposits

Advances from the U.S. Government for Federal Perkins Loans to students are reported as part of advances and deposits. Future loans to students are made available only from repayments of outstanding principal amounts plus accumulated interest received thereon. Funding for the low-interest Federal Perkins Loan program will expire September 30, 2017. Universities and colleges are not allowed to make Federal Perkins Loans to new borrowers after this date.

Tuition And State Appropriations

The accompanying financial statements for the year ended June 30, 2016 present as tuition revenue \$30.6 million of in-state tuition received by the University and remitted to the State Treasurer's Office for the general fund of the Commonwealth of Massachusetts.

In July of 2015, the Legislature passed and the Governor signed into law provisions in the fiscal year 2016 State budget that would give the University the tools to adopt a new system of billing that conforms to national norms across higher education. The University restructured its tuition and fees in a way that is transparent and consistent with peer institutions across the nation. Beginning in the year ended June 30, 2017, the State Appropriation decreased to reflect the reduction in appropriation to offset the tuition that previously had been remitted to the State. Gross tuition and fees revenue and the related scholarship allowances on the Statement of Revenues, Expenses and Changes in Net Position increased to reflect the amounts previously credited as mandatory waivers as noted below.

	2017	2016
Gross Commonwealth Appropriations	\$512,900	\$546,953
Plus: Fringe Benefits	207,919	178,032
	720,819	724,985
Less: Tuition Remitted	–	(30,583)
Less: Mandatory Waivers	–	(24,654)
Net Commonwealth Support	\$720,819	\$669,748

Auxiliary Enterprises

An auxiliary enterprise is an entity that exists to furnish a service to students, faculty or staff acting in a personal capacity, and that charges a fee for the use of goods and services. For the years ended June 30, 2017 and 2016, the University recognized Auxiliary Enterprise revenue of \$400.8 million and \$383.3 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 \$296.0 million and \$283.8 million for the years ended June 30, 2017 and 2016, respectively. Included in expenditures are Commonwealth Medicine expenditures of \$248.8 million and \$244.1 million for the years ended June 30, 2017 and 2016, respectively.

Public Service Activities also include payments received by the Medical School for educational services it provides to its clinical affiliate, UMass Memorial, as required by the enabling legislation enacted by the Commonwealth in 1997. Educational services revenues included in public service revenues were \$140.0 million and \$209.9 million for the years ended June 30, 2017 and 2016, respectively. Finally, Public Service Activity expenditures include payments made to the Commonwealth of Massachusetts of \$96.5 million and \$166.0 million for the years ended June 30, 2017 and 2016, pursuant to requirements of legislation enacted by the State Legislature of Massachusetts.

Other non-operating income included revenue of \$15.2 million and \$0.5 million for the years ended June 30, 2017 and 2016, respectively. In 2017, other non-operating income consists of amounts due to the University Medical School campus for its learning contracts.

Fringe Benefits For Current Employees And Post Employment Obligations — Pension And Non-Pension

The University participates in the Commonwealth’s Fringe Benefit programs, including active employee and post - employment health insurance, unemployment compensation, pension, and workers’ compensation benefits. Health insurance and pension costs for active employees and retirees are paid through a fringe benefit rate charged to the University by the Commonwealth. 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, 2017 and 2016, respectively, the GIC provided health insurance for its members through indemnity, PPO, and HMO plans. The GIC also administered carve-outs for the pharmacy benefit and mental health and substance abuse benefits for certain of its health plans. In addition to health insurance, the GIC sponsors life insurance, long-term disability insurance (for active employees only), dental and vision coverage for employees not covered by collective bargaining, a retiree discount vision plan and retiree dental plan, and finally, a pre-tax health care spending account and dependent care assistance program (for active employees only).

Pursuant to the provisions of Paragraph (e), Section 5 of Chapter 163 of the Acts of 1997 and consistent with the September 22, 1992 Memorandum of Understanding between the Commonwealth of Massachusetts Executive Office of Administration and Finance and the University of Massachusetts, the University's Medical School campus has assumed the obligation for the cost of fringe benefits provided by the Commonwealth to University Medical School employees (other than those employees paid from state appropriated funds) for all periods on or after July 1, 1989.

The Medical School determines the actual costs for the health insurance benefits and actuarially calculates the incurred service costs for pensions and retiree health insurance.

Income Tax Status

The University and the Building Authority are component units of the Commonwealth of Massachusetts and are exempt from Federal and state income tax under the doctrine of intergovernmental tax immunity found in the U.S. Constitution. The University qualifies as a public charity eligible to receive charitable contributions under Section 170(b)(1)(A)(ii) of the Internal Revenue Code, as amended (the "Code"). The Building Authority qualifies as a public charity under Section 170(b)(1)(A)(iv) of the Code.

The WCCC and the University Related Organizations are organizations described in Section 501(c)(3) of the Code, and are generally exempt from income taxes pursuant to Section 501(a) of the Code. WCCC and the University Related Organizations are required to assess uncertain tax positions and have determined that there were no such positions that are material to the financial statements.

Comparative Information And Reclassifications

The University's financial statements include prior year comparative information. Certain reclassifications were made in prior year to conform to current year presentation.

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 18.7% and 23.5% of the University's investments at June 30, 2017 and 2016, respectively.

Custodial Credit Risk — Custodial Credit Risk is the risk that, in the event of a failure of the counterparty, the University would not be able to recover the value of its deposits, investments or collateral securities that were in the possession of an outside party. The University does not have a formal policy related to mitigation of custodial credit risk. Deposits are exposed to custodial risk if they are uninsured and uncollateralized. Investment securities are exposed to custodial credit risk if they are uninsured or not registered in the name of the University and are held by either the counterparty or the counterparty's trust department or agent but not in the University's name. As of June 30, 2017 and 2016, all cash and investment accounts were held on behalf of the University by the Trustees, in the Trustees' name. The University maintains depository, payroll, disbursement, receipt, and imprest accounts. In addition to bank account deposits, the University held money market instruments which are classified as investments. Interest bearing and money market accounts carry Federal Deposit Insurance Corporation ("FDIC") insurance up to \$250,000 per account. None of the accounts are collateralized above the FDIC insured amounts.

At June 30, 2017 and 2016, the carrying amounts of bank balances with uninsured or uncollateralized operating cash deposits were \$293.9 million and \$246.9 million, respectively.

At June 30, 2017, the University held a carrying and fair market value of \$778.0 million in non-money market investments compared to a carrying and fair market value of \$737.3 million at June 30, 2016. In the event of negligence due to the University's custodian and/or investment manager(s), it is expected that investment balances of \$778.0 million and \$737.3 million at June 30, 2017 and 2016, 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, 2017 and 2016, there is no concentration of investments with one issuer of the University portfolio, excluding U.S. Government guaranteed obligations, which exceed 5% of the portfolio.

Credit Risk — Credit risk is the risk that the University will lose money because of the default of the security issuer or investment counterparty. The University's Investment Policy and Guidelines Statement allows each portfolio manager full discretion within the parameters of the investment guidelines specific to that manager.

The table below presents the fair value (in thousands) and average credit quality of the fixed income component of the University's investment portfolio as of June 30, 2017 and 2016, respectively:

Asset Class	June 30, 2017 Fair Value	Average Credit Quality	June 30, 2016 Fair Value	Average Credit Quality
Short Duration	\$356,026	AAA	\$270,117	AAA
Intermediate Duration	\$249,365	A	\$239,218	A

The tables below present the fair value (in thousands) by credit quality of the rated debt investments component, which includes cash and cash equivalents, of the University's investment portfolio as of June 30, 2017 and 2016, respectively:

	S&P Quality Ratings								
	Fair Value	AAA	AA	A	BBB	BB	B	<B	Unrated
US Agencies	\$ 432	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ 432
US Government	52,217	—	—	—	—	—	—	—	52,217
Certificates of Deposit	10,500	—	—	—	—	—	—	—	10,500
Corporate Debt	91,358	16,243	3,178	23,990	34,951	195	—	—	12,801
Municipal/Public Bonds	4,149	427	1,773	459	1,490	—	—	—	—
Bond Mutual Funds	161,355	61,128	26,099	18,617	27,621	13,038	5,683	1,225	8,944
Money Market Funds	285,380	31,276	—	—	—	—	—	269	253,835

Rated Debt Investments — 2016

	S&P Quality Ratings								
	Fair Value	AAA	AA	A	BBB	BB	B	<B	Unrated
US Agencies	\$ 535	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ —	\$ 535
US Government	34,641	—	—	—	—	—	—	—	36,641
Certificates of Deposit	20,500	—	—	—	—	—	—	—	20,500
Corporate Debt	107,428	20,736	7,017	28,393	38,718	—	—	—	12,564
Municipal/Public Bonds	5,455	442	1,875	2,040	1,098	—	—	—	—
Bond Mutual Funds	151,385	65,982	19,627	14,766	23,002	13,016	6,717	1,592	6,683
Money Market Funds	189,391	21,038	—	—	—	—	—	—	168,353
	\$509,535	\$108,198	\$28,519	\$45,199	\$62,818	\$13,016	\$6,717	\$1,592	\$243,276

Interest Rate Risk — Interest rate risk is the risk that changes in interest rates will adversely affect the fair market value of an investment. The University's Investment Policy and Guidelines Statement establishes targets for the preferred duration of the fixed income component of the investment portfolio by asset class by limiting investments through targeted allocations to different asset classes.

The table below shows the allocation for each asset class and the fair value (in thousands) for each as of June 30, 2017 and 2016, respectively:

Asset Class	6/30/17 Allocation	6/30/17 Fair Value	6/30/16 Allocation	6/30/16 Fair Value
Short Duration	34%	\$ 356,026	29%	\$ 270,117
Intermediate Duration	24%	249,365	25%	239,218
Alternative Assets	18%	196,376	23%	220,543
Equities	1%	8,330	1%	9,108
Commodities	21%	224,437	20%	183,027
Real Estate	2%	18,029	2%	18,458

The tables below present the fair value (in thousands) by investment maturity of the rated debt investments component, which includes cash and cash equivalents, of the University's investment portfolio as of June 30, 2017 and 2016, respectively:

Investment Type	Investment Maturity (in Years)				
	Fair Value	Less than 1	1 to 5	6 to 10	More than 10
Debt Securities					
US Agencies	\$ 432	\$ 296	\$ 136	\$ —	\$ —
US Government	52,217	448	47,233	4,536	—
Certificates of Deposit	10,500	10,500	—	—	—
Corporate Debt	91,358	30,648	55,812	4,486	412
Municipal/Public Bonds	4,149	4,003	146	—	—
Bond Mutual Funds	161,355	24,751	81,212	44,488	10,904
Money Market Mutual Funds	285,380	285,380	—	—	—
Other Investments					
Alternative Assets	196,376				
Equity Securities - International	128,458				
Equity Securities - Domestic	95,979				
Commodities	8,330				
Real Estate	18,029				

Investment Type	Investment Maturity (in Years)				
	Fair Value	Less than 1	1 to 5	6 to 10	More than 10
Debt Securities					
US Agencies	\$ 535	\$ 343	\$ 192	\$ —	\$ —
US Government	34,641	1,180	29,935	3,526	—
Certificates of Deposit	20,500	20,500	—	—	—
Corporate Debt	107,428	34,560	67,054	5,814	—
Municipal/Public Bonds	5,455	5,455	—	—	—
Bond Mutual Funds	151,385	18,688	82,901	36,419	13,377
Money Market Mutual Funds	189,391	189,391	—	—	—
Other Investments					
Alternative Assets	220,543				
Equity Securities - International	106,102				
Equity Securities - Domestic	76,925				
Commodities	9,108				
Real Estate	18,458				

Fair Value Measurements — GASB No. 72 Fair Value Measurements and Application sets forth the framework for measuring fair value. That framework provides a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy under GASB No. 72 are described as follows:

Level 1 — Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that the University has the ability to access.

Level 2 — Inputs other than Level 1 that are observable, either directly or indirectly and include:

- Quoted prices for similar assets or liabilities in active markets;
- Quoted prices for identical or similar assets or liabilities in inactive markets;
- Inputs other than quoted prices that are observable for the asset or liability;
- Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

Level 3 — Unobservable inputs that are supported by little or no market activity and that are significant to the fair value measurement. Unobservable inputs are developed based on the best information available in the circumstances and may include the University's own data.

The following table presents the investments carried at fair value, as of June 30, 2017, by the GASB No. 72 valuation hierarchy defined above (in thousands):

Investments by fair value level	6/30/2017	Fair Value Measurements Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
Debt Securities				
US Treasury securities	\$ 49,198	\$ 49,198	\$ –	\$ –
Government agency bonds	432	–	432	–
Asset backed securities	20,571	–	20,571	–
Commercial mortgage-backed securities	5,771	–	5,771	–
Government issued commercial mortgage-backed securities	253	–	253	–
Government mortgage-backed securities	3,047	–	3,047	–
Non Government Backed CMO's	886	–	886	–
Corporate bonds	63,866	–	63,629	237
Municipal and provincial bonds	4,149	–	4,149	–
Other fixed income	161,353	147,948	13,405	–
Equity Securities				
Domestic equities	95,979	94,729	–	1,250
International equities	128,458	128,458	–	–
Other Securities				
Commodities	8,330	8,330	–	–
REITS	18,029	18,029	–	–
Investments Measured at Net Asset Value (NAV)				
Multi Strategy hedge funds				
Equity	46,681			
Long/short	12,640			
Fixed income	48,196			
Absolute return	50,623			
Real assets	11,784			
Private equity	3,402			
Private debt	19,221			
Private real estate	3,829			
Cash and Cash Equivalents	295,865			

The following table presents the investments carried at fair value, as of June 30, 2016, by the GASB No. 72 valuation hierarchy defined above (in thousands):

Investments by Fair Value Level	6/30/2017	Fair Value Measurements Using		
		Quoted Prices in Active Markets for Identical Assets (Level 1)	Significant Other Observable Inputs (Level 2)	Significant Unobservable Inputs (Level 3)
Debt Securities				
US Treasury securities	\$ 31,873	\$ 31,873	\$ –	\$ –
Government agency bonds	535	–	535	–
Asset backed securities	23,951	–	23,951	–
Commercial mortgage-backed securities	11,552	–	11,552	–
Government issued commercial mortgage-backed securities	421	–	421	–
Government mortgage-backed securities	3,911	–	3,911	–
Non Government Backed CMO's	404	–	404	–
Corporate bonds	71,756	–	71,598	158
Municipal and provincial bonds	5,455	–	5,455	–
Other fixed income	151,386	137,608	13,778	–
Equity Securities				
Domestic equities	76,925	76,074	–	851
International equities	106,102	106,102	–	–
Other Securities				
Commodities	9,108	9,108	–	–
REITS	18,458	18,458	–	–
Investments Measured at Net Asset Value (NAV)				
Multi Strategy hedge funds				
Equity	41,970			
Long/short	28,614			
Fixed income	59,131			
Absolute return	59,139			
Real assets	12,055			
Private equity	1,147			
Private debt	14,989			
Private real estate	3,498			
Cash and Cash Equivalents	208,091			

3. CASH HELD BY STATE TREASURER

Accounts payable, accrued salaries and outlays for future capital projects to be funded from state-appropriated funds totaled \$14.4 million at June 30, 2017 and \$17.3 million at June 30, 2016. The University has recorded a comparable amount of cash held by the State Treasurer for the benefit of the University, which will be subsequently utilized to pay for such liabilities. The cash is held in the State Treasurer's pooled cash account. The Commonwealth requires all bank deposits in excess of insurance coverage by the FDIC to be collateralized with a perfected pledge of eligible collateral. Eligible collateral must be pledged in an amount equal to 102% of the amount of the deposits that exceed FDIC insurance. Sufficient collateral to cover total Commonwealth deposits in excess of the FDIC insured amount must be pledged and held in safekeeping by a custodian that is approved by and under the control of the Treasurer and Receiver - General.

4. CASH AND SECURITIES HELD BY TRUSTEES

Cash and securities held by trustees consist primarily of unspent bond proceeds, amounts held for the future payment of debt service on such borrowings and designated funds from the Building Authority. At June 30, 2017 and 2016, there was \$1.0 million and \$0.9 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 \$438.6 million and \$485.1 million, respectively, held by trustees related to the Building Authority.

Pursuant to Trust Agreements between the Building Authority and its bond trustees, all funds deposited with those trustees (\$438.6 million at June 30, 2017 and \$437.6 million at June 30, 2016) shall be continuously maintained for the benefit of the Building Authority and Registered owners of the Bonds. All investments shall be (a) held with a bank or trust company approved by the Trustees and the Building Authority, as custodians, or (b) in such other manner as may be required or permitted by applicable state and Federal laws and regulations. Investments shall consist of (a) direct obligations of, or obligations which are unconditionally guaranteed by the United States of America, or any other agency or corporation which has been created pursuant to an act of Congress of the United States as an agency or instrumentality thereof; or (b) other marketable securities eligible as collateral for the deposit of trust funds under regulations of the Comptroller of the Currency having a market value not less than the amount of such deposit. Direct obligations of, or obligations which are unconditionally guaranteed by the United States of America or any other agency or corporation which has been created pursuant to an act of Congress of the United States as an agency or instrumentality thereof, may be subject to repurchase upon demand by the owner pursuant to a repurchase agreement with a bank or trust company.

Cash Deposits — Custodial Credit Risk — The Building Authority holds a majority of its cash and cash equivalents in high quality money market mutual funds that invest in securities that are permitted investments under the Building Authority’s Enabling Act or in money market mutual funds that have been specifically permitted by state legislation. The Building Authority’s cash and cash equivalents consisted of the following as of June 30 (in thousands):

	2017	2016
Cash	\$ 5,553	\$ 4,577
Permitted Money Market Accounts (“MMA”)	425,797	475,240
Total Cash and Cash Equivalents	\$432,350	\$479,817

Custodial credit risk is the risk that, in the event of a bank failure, the University 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 University does not have a deposit policy for custodial credit risk. As of June 30, 2017 and June 30, 2016, the bank balances of uninsured deposits totaled \$5.1 million and \$4.1 million, respectively. 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.

Interest Rate Risk — The Building Authority has a formal investment policy that establishes minimum credit quality of certain instruments, outlines investment procedures, and provides for periodic reporting. Generally, the Building Authority holds its investments until maturity.

Credit Risk — Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. The risk is measured by the assignment of a rating by a nationally recognized statistical rating organization.

The Enabling Act specifies the permitted investments of the Building Authority. These permitted investments include direct obligations of or obligations which are unconditionally guaranteed by the United States of America (“Treasuries”), obligations of an agency or organization created pursuant to an act of Congress of the United States as an agency or instrumentality thereof (“Agencies”), time deposits or certificate of deposits fully secured by Treasuries or Agencies, and Treasuries and Agencies subject to repurchase agreements. Other legislation allows the Building Authority to invest in the Massachusetts Municipal Depository Trust (the “MMDT”), a money market account sponsored by the Treasurer of the Commonwealth and managed by Federated Investors, Inc. Additionally, the Building Authority’s Bond Trustee invests some of the Building Authority’s funds in money market accounts that are permitted and collateralized by Treasuries.

No credit risk disclosures are required under GASB 40 relating to the Building Authority's investment in Treasuries. The Building Authority's investments in repurchase agreements are not rated but are fully collateralized by Treasuries and Agencies. MMDT is unrated.

Custodial Credit Risk — 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, 2017, the Building Authority had 98.8% of its investments in MMDT. As of June 30, 2016, the Building Authority had 98% of its investments in MMDT.

5. ACCOUNTS, GRANTS AND LOANS RECEIVABLE

Accounts, grants and loans receivable as of June 30, 2017 and 2016 are as follows (in thousands):

	2017	2016
Student Accounts Receivable	\$58,065	\$56,661
Less Allowance for Uncollectible Accounts	(20,258)	(23,077)
	37,807	33,584
Grants and Contracts Receivable	94,583	98,383
Less Allowance for Uncollectible Accounts	(1,189)	(2,108)
	93,394	96,275
Student Loans Receivable	63,660	44,760
Less Allowance for Uncollectible Accounts	(4,499)	(303)
	59,161	44,457
Commonwealth Medicine	76,093	69,489
Less Allowance for Uncollectible Accounts	(2,029)	(500)
	74,064	68,989
Other	60,304	39,996
Less Allowance for Uncollectible Accounts	(789)	(597)
	59,515	39,399
Total, net	323,941	282,704
Less Current Portion, net	(275,166)	(244,178)
Long-term, net	\$48,775	\$38,526

UMass Memorial

The University and UMass Memorial have the following ongoing agreements:

- UMass Memorial has been granted the right to occupy portions of the University's Worcester Medical School campus for a period of 99 years and UMass Memorial has agreed to share responsibility for various capital and operating expenses relating to the occupied premises. UMass Memorial has also agreed to contribute to capital improvements to shared facilities.
- UMass Memorial has agreed to make certain payments to the University and its related organizations, including: 1) an annual fee of \$12.0 million (plus an inflation adjustment), for 99 years as long as the University continues to operate a medical school; and 2) a participation payment based on a percentage of net operating income of UMass Memorial for which revenue is recognized by the University when the amounts are received.

The University is reimbursed by, and reimburses UMass Memorial for shared services, cross-funded employees, and other agreed upon activities provided and purchased. For the years ended June 30, 2017 and 2016, the reimbursements for services provided to UMass Memorial were \$147.7 million and \$125.2 million, respectively. Included in these amounts are payroll paid by the University on behalf of UMass Memorial in an agency capacity in the amount of \$89.2 million and \$71.3 million for fiscal years 2017 and 2016, respectively. At June 30, 2017 and 2016, the University has recorded a receivable in the amount of \$33.8 million and \$35.7 million, respectively from UMass Memorial which includes \$19.4 million and \$22.9 million, respectively, in payroll and related fringe charges. The University has recorded a payable of \$4.4 million and \$3.6 million at June 30, 2017 and 2016, respectively, primarily for 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, 2017, the net position of the Foundation included as related organization in the accompanying financial statements of the University is \$538.6 million, of which \$500.2 million are restricted funds and \$38.4 million are unrestricted funds. During the fiscal year ended June 30, 2017, the University received \$33.0 million from the Foundation, and transferred \$11.6 million to the Foundation of which \$1.6 million related to the establishment of quasi-endowment. At June 30, 2017, the University's investments include \$331.5 million of endowment funds held in a custodial relationship at the Foundation, and \$301.1 million in ITIF.

As of June 30, 2016, the net position of the Foundation included as related organization in the accompanying financial statements of the University is \$465.8 million, of which \$438.9 million are restricted funds and \$26.9 million are unrestricted funds. During the fiscal year ended June 30, 2016, the University received \$29.7 million from the Foundation, and transferred \$14.7 million to the Foundation. At June 30, 2016, the University's investments include \$309.0 million of endowment funds held in a custodial relationship at the Foundation, and \$283.2 million in ITIF.

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.

7. INVESTMENT IN PLANT

Investment in plant activity for the year ended June 30, 2017 is comprised of the following (in thousands):

	Beginning Balance	Additions/Adjustments	Retirements/Adjustments	Ending Balance
UNIVERSITY				
Buildings and Improvements	\$ 5,691,000	\$ 456,293	\$ (14,652)	\$ 6,132,641
Equipment and Furniture	658,968	80,119	(45,586)	693,501
Software	136,503	4,272	(29,737)	111,038
Library Books	65,978	–	(5,834)	60,144
Accumulated Depreciation	(2,697,213)	(249,974)	82,907	(2,864,280)
Subtotal	3,855,236	290,710	(12,902)	4,133,044
Land	84,161	14,394	(895)	97,660
Construction in Progress	676,379	478,566	(454,737)	700,208
Subtotal	760,540	492,960	(455,632)	797,868
UNIVERSITY RELATED ORGANIZATIONS				
Buildings and Improvements	\$7,942	\$ 7,900	–	\$ 15,842
Equipment and Furniture	168	7	–	175
Accumulated Depreciation	(1,439)	(315)	–	(1,754)
Subtotal	6,671	7,592	–	14,263
Land	1,419	1,650	–	3,069

Investment in plant activity for the year ended June 30, 2016 is comprised of the following (in thousands):

	Beginning Balance	Additions/Adjustments	Retirements/Adjustments	Ending Balance
UNIVERSITY				
Buildings and Improvements	\$ 5,447,343	\$ 251,688	(\$ 8,031)	\$ 5,691,000
Equipment and Furniture	634,270	59,330	(34,632)	658,968
Software	136,570	1,052	(1,119)	136,503
Library Books	74,576	–	(8,598)	65,978
Accumulated Depreciation	(2,494,718)	(240,957)	38,462	(2,697,213)
Subtotal	3,798,041	71,113	(13,918)	3,855,236
Land	71,579	12,582	–	84,161
Construction in Progress	464,142	428,789	(216,552)	676,379
Subtotal	535,721	441,371	(216,552)	760,540
UNIVERSITY RELATED ORGANIZATIONS				
Buildings and Improvements	\$ 7,942	\$ –	\$ –	\$ 7,942
Equipment and Furniture	168	–	–	168
Accumulated Depreciation	(1,238)	(201)	–	(1,439)
Subtotal	6,872	(201)	–	6,671
Land	1,421	–	–	1,419

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, 2017 and 2016, the University capitalized net interest costs of \$20.5 million and \$22.1 million, respectively.

On November 8, 2016, the Building Authority entered into an agreement whereby the Building Authority sub-leased property on the University of Boston campus to Provident Commonwealth Educational Resources Inc., a Massachusetts not-for-profit corporation. The land is leased to the Authority by the Commonwealth. Provident Commonwealth Educational Resources, Inc. will engage a contractor to construct a 1,082 bed student housing facility on the site. The Building Authority will sub-lease the property to Provident Commonwealth Educational Resources Inc. for a term of approximately 40 years. Commencing approximately one year following the completion of the project (estimated completion August 2018), the annual rental amount payable to the Building Authority under the ground lease will be \$1.0 million.

Pursuant to the Dining Facility Sublease dated November 8, 2016 between Provident Commonwealth Education Resources Inc., as sub-lessor and the Building Authority, as sub-lessee, Provident Commonwealth Educational Resources Inc. shall lease the dining facility, located within the residential hall, to the Building Authority and the Building Authority shall operate the Dining Facility.

8. BONDS PAYABLE

Amounts outstanding at June 30, 2017 are as follow (in thousands):

Issue Borrowing	Original Borrowing	Maturity Date	Interest Rate	Amount Outstanding
UNIVERSITY OF MASSACHUSETTS BUILDING AUTHORITY				
Series 2008-A	\$26,580	2038	variable	\$ 19,145
Series 2008-1	232,545	2038	variable	171,430
Series 2008-2	120,560	2038	4.00-5.00%	3,065
Series 2009-1	247,810	2039	3.00-5.00%	28,400
Series 2009-2	271,855	2039	6.42-6.57%	271,855
Series 2009-3	28,570	2039	5.82-6.17%	25,685
Series 2010-1	118,985	2020	5.00%	59,230
Series 2010-2	430,320	2040	3.80-5.45%	430,320
Series 2010-3	3,005	2040	5.75%	2,730
Series 2011-1	135,040	2034	variable	126,540
Series 2011-2	101,700	2034	variable	96,115
Series 2013-1	212,585	2043	2.00-5.00%	198,655
Series 2013-2	71,970	2043	0.43-2.69%	65,090
Series 2013-3	24,640	2043	4.00-5.00%	24,640
Series 2014-1	293,890	2044	3.00-5.00%	293,015
Series 2014-2	14,085	2019	0.44-2.10%	8,555
Series 2014-4	157,855	2025	0.20-3.38%	122,125
Series 2014-3	67,635	2029	2.00-5.00%	61,640
Series 2015-1	298,795	2036	4.00-5.00%	298,795
Series 2015-2	191,825	2036	3.00-5.00%	191,825
Series 2017-1	165,130	2047	3.25-3.77%	165,130
Series 2017-2	19,510	2027	1.58-3.37%	19,510
Series 2017-3	35,945	2038	3.00-5.00%	187,680
				2,871,175
			Unamortized Bond Premium	164,887
			SUBTOTAL	3,036,062
UNIVERSITY OF MASSACHUSETTS HEFA/MDFA				
2000 Series A	20,000	2030	variable	20,000
Series 2011	29,970	2034	2.50%-4.00%	25,925
				45,925
			Unamortized Bond Premium	870
			SUBTOTAL	46,795
WCCC HEFA/MDFA				
Series 2005-D	99,325	2029	5.00%-5.25%	715
Series 2011	10,495	2023	2.00%-5.00%	6,690
				7,405
			Unamortized Bond Premium	624
			SUBTOTAL	8,029
Clean Renewable Energy Bonds	1,625	2027	3.50%	956

Bond Payable activity for the year ended June 30, 2017 is summarized as follows (in thousands):

	Beginning Balance	Additions/Amortization	Retirements/Repayments	Ending Balance
UNIVERSITY OF MASSACHUSETTS BUILDING AUTHORITY				
Series 2004-1	\$ 1,515	\$ —	\$ (1,515)	\$ —
Series 2008-A	20,105	—	(960)	19,145
Series 2008-1	179,425	—	(7,995)	171,430
Series 2008-2	63,025	—	(59,960)	3,065
Series 2009-1	108,365	—	(79,965)	28,400
Series 2009-2	271,855	—	—	271,855
Series 2009-3	26,235	—	(550)	25,685
Series 2010-1	72,310	—	(13,080)	59,230
Series 2010-2	430,320	—	—	430,320
Series 2010-3	2,785	—	(55)	2,730
Series 2011-1	128,245	—	(1,705)	126,540
Series 2011-2	97,265	—	(1,150)	96,115
Series 2013-1	203,420	—	(4,765)	198,655
Series 2013-2	67,335	—	(2,245)	65,090
Series 2013-3	24,640	—	—	24,640
Series 2014-1	293,465	—	(450)	293,015
Series 2014-2	11,330	—	(2,775)	8,555
Series 2014-4	149,975	—	(27,850)	122,125
Series 2014-3	64,470	—	(2,830)	61,640
Series 2015-1	298,795	—	—	298,795
Series 2015-2	191,825	—	—	191,825
Series 2017-1	—	165,130	—	165,130
Series 2017-2	—	19,510	—	19,510
Series 2017-3	—	187,680	—	187,680
Plus: unamortized bond premium	122,146	55,987	(13,246)	164,887
Subtotal	2,828,851	428,307	(221,096)	3,036,062
UNIVERSITY OF MASSACHUSETTS HEFA/MDFA				
2000 Series A	20,000	—	—	20,000
2007 Series D	8,645	—	(8,645)	—
Series 2011	26,940	—	(1,015)	25,925
Plus: Unamortized Bond Premium	949	—	(79)	870
Subtotal	56,534	—	(9,739)	46,795
WCCC HEFA/MDFA				
WCCC 2005 Series D	1,335	—	(620)	715
WCCC 2007 Series E	31,250	—	(31,250)	—
WCCC 2007 Series F	51,890	—	(51,890)	—
Series 2011	7,495	—	(805)	6,690
Plus: Unamortized Bond Premium	1,215	—	(591)	624
Subtotal	93,185	—	(85,156)	8,029
MDFA				
Clean Renewable Energy Bonds	1,052	—	(96)	956
Total				

Bond payable activity for the year ended June 30, 2016 is summarized as follows (in thousands):

	Beginning Balance	Retirements/Repayments/Amortization	Ending Balance
UNIVERSITY OF MASSACHUSETTS BUILDING AUTHORITY			
Series 2004-A	\$ 2,340	\$ (2,340)	\$ —
Series 2004-1	8,300	(6,785)	1,515
Series 2005-1	2,805	(2,805)	—
Series 2005-2	16,005	(16,005)	—
Series 2008-A	21,035	(930)	20,105
Series 2008-1	187,125	(7,700)	179,425
Series 2008-2	65,835	(2,810)	63,025
Series 2009-1	120,575	(12,210)	108,365
Series 2009-2	271,855	—	271,855
Series 2009-3	26,755	(520)	26,235
Series 2010-1	84,775	(12,465)	72,310
Series 2010-2	430,320	—	430,320
Series 2010-3	2,835	(50)	2,785
Series 2011-1	129,690	(1,445)	128,245
Series 2011-2	98,220	(955)	97,265
Series 2013-1	208,060	(4,640)	203,420
Series 2013-2	69,570	(2,235)	67,335
Series 2013-3	24,640	—	24,640
Series 2014-1	293,890	(425)	293,465
Series 2014-2	14,085	(2,755)	11,330
Series 2014-4	153,800	(3,825)	149,975
Series 2014-3	67,365	(2,895)	64,470
Series 2015-1	298,795	—	298,795
Series 2015-2	191,825	—	191,825
Plus: Unamortized Bond Premium	133,429	(11,283)	122,146
Subtotal	2,923,929	(95,078)	2,828,851
UNIVERSITY OF MASSACHUSETTS HEFA/MDFA			
2000 Series A	20,000	—	20,000
2007 Series D	9,025	(380)	8,645
Series 2011	27,925	(985)	26,940
Plus: Unamortized Bond Premium	895	54	949
Subtotal	57,845	(1,311)	56,534
WCCC HEFA/MDFA			
WCCC 2005 Series D	1,785	(450)	1,335
WCCC 2007 Series E	33,945	(2,695)	31,250
WCCC 2007 Series F	54,830	(2,940)	51,890
Series 2011	8,270	(775)	7,495
Plus: Unamortized Bond Premium	1,499	(284)	1,215
Subtotal	100,329	(7,144)	93,185
MDFA			
Clean Renewable Energy Bonds	1,147	(95)	1,052
Total			

Principal and interest, which is estimated using rates in effect at June 30, 2017, on bonds payable for the next five fiscal years and in subsequent five-year periods are as follows (in thousands):

Fiscal Year	Principal	Interest
2018	\$ 94,314	\$ 120,128
2019	100,271	116,960
2020	103,931	113,481
2021	107,866	109,470
2022	100,356	105,462
2023-2027	519,043	469,016
2028-2032	514,595	364,839
2033-2037	493,775	263,926
2038-2042	554,865	138,095
2043-2047	316,045	32,583
2048-2052	20,400	536
Total	\$2,925,461	\$1,834,496

University of Massachusetts Building Authority

The bond agreements related to the Building Authority bonds generally provide that the net revenues of the Building Authority are pledged as collateral on the bonds and also provide for the establishment of bond reserve funds, bond funds, and maintenance reserve funds. The University is obligated under its contracts for financial assistance, management and services with the Building Authority to collect rates, rents, fees and other charges with respect to such facilities sufficient to pay principal and interest on the Building Authority's bonds and certain other costs such as insurance on such facilities.

Pursuant to the authority given by the Building Authority's enabling act, the Commonwealth, acting by and through the Trustees of the University, has guaranteed the payment of principal and interest on the Building Authority's bonds. (The guarantee is a general obligation of the Commonwealth to which the full faith and credit of the Commonwealth are pledged. As is generally the case with other general obligations of the Commonwealth, funds with which to honor the guarantee, should it be called upon, will be provided by Commonwealth appropriation). The Building Authority's enabling act provides that the outstanding principal amount of notes and bonds of the Building Authority guaranteed by the Commonwealth cannot exceed \$200 million. The amount of bond obligations guaranteed by the Commonwealth was \$115.3 million and \$117.4 million at June 30, 2017 and 2016, respectively.

When the Building Authority no longer has any bonds outstanding, its properties revert to the Commonwealth, and all its funds (other than funds pledged to bondholders) are required to be paid into the Treasury of the Commonwealth.

Variable Rate Bonds On April 15, 2016, the Authority entered into a standby purchase agreement with Barclays Bank PLC ("Barclays") which requires Barclays to purchase bonds that are tendered and not remarketed. Under the terms of the Barclays standby bond purchase agreement, the Authority is required to pay Barclays in quarterly installments a facility fee in the amount of 29 basis points (or higher, under certain circumstances) of the commitment amount. In fiscal years 2017 and 2016 the Authority incurred fees in connection with the Barclays agreement in the amount of \$0.7 million and \$0.1 million, respectively. The agreement expires on April 22, 2019 and may be extended if a mutual interest exists between the Authority and Barclays. Previously, the 2008-1 bonds were supported with a standby purchase agreement with J.P. Morgan Chase Bank, N.A. ("J.P. Morgan"). Fees incurred by the Authority in connection with J.P. Morgan totaled \$0.4 million for the year ended June 30, 2016.

The 2008-A bonds are supported by a standby bond purchase agreement with Barclays which requires Barclays to purchase bonds that are tendered and not remarketed. Under the terms of the Barclays standby bond purchase agreement, the Authority was required to pay Barclays in quarterly installments a facility fee in the amount of 32.5 basis points (or higher, under certain circumstances) of the commitment amount. The agreement expired in April 2016. The Authority and Barclays executed a first amendment to the agreement and extended the agreement until April 15, 2019. Under the first amendment to the standby purchase agreement, the Authority is required to pay Barclays in quarterly installments a facility fee in the amount of 27.5 basis points (or higher, under certain circumstances) of the initial commitment and may be extended if a mutual interest exists between both the Authority and Barclays. Fees incurred by the Authority in connection with the Barclays agreement totaled \$0.1 million for the years ended June 30, 2017 and June 30, 2016.

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%. Under the agreement, the Authority was required to pay Wells in quarterly installments a facility fee in the amount of 40 basis points (or higher, under certain circumstances) of the initial commitment. The initial commitment under the agreement was set at \$143.3 million and was subject to adjustment from time to time in accordance with the provisions of the agreement. The standby bond purchase agreement expired on June 9, 2014. The Authority and Wells executed a first amendment to the standby bond purchase agreement to extend the agreement until June 9, 2017. Under the first amendment to the standby purchase agreement, the Authority is required to pay Wells in quarterly installments a facility fee in the amount of 25 basis points (or higher, under certain circumstances) of the initial commitment. The initial commitment under the first amendment to the standby bond purchase agreement was set at \$139.1 million and is subject to adjustment from time to time in accordance with the provisions of the agreement. On May 17, 2017, the agreement was extended with Wells until June 9, 2019. The facility fee under the extended agreement is 32 basis points. Fees incurred by the Authority in connection with the Wells agreement totaled \$0.4 million and \$0.4 million for the years ended June 30, 2017 and 2016, respectively.

Window Bonds In fiscal year 2011, the Authority issued its 2011-2 bonds in a variable rate Window Bond mode. As with the Authority's other variable rate bonds, the Window Bondholders can tender the bonds at any time. However, unlike the Authority's other variable rate bonds, where the bondholders will receive payment on any tendered bonds 7 days from the tender, Window Bondholders are not required to receive funds for the tender until after a 30 day remarketing period and an additional 180 day funding window period. Due to this 210 day funding period, the Authority is not required to obtain any type of liquidity support for the 2011 2 bonds and the bonds are considered supported with self-liquidity. Window Bondholders receive an interest rate on the Window Bonds at a fixed spread over the Securities Industry and Financial Markets Association Municipal Swap Index™ ("SIFMA"). The initial spread to the SIFMA index is 9 basis points.

Bond Refundings In fiscal year 2017, the Authority issued \$187.7 million of Refunding Revenue Senior Series 2017-3 Bonds which advance refunded \$77.3 million of the WCCC Series 2007-E and 2007-F Bonds and \$8.3 million of Lowell bonds issued under the Massachusetts Health and Academic Facilities Authority (MHEFA) Series 2007-D. The Series 2017-3 bonds also refunded \$57.0 million of the Authority's 2008-2 bonds and \$65.0 million of the Authority's 2009-1 bonds. The Authority deposited into trust accounts funds sufficient to provide for all future debt service payments on the refunded bonds until the bonds are called. These advanced refunded bonds are considered defeased and, accordingly, the liability for the bonds payable and the assets held to repay the debt are not recorded in the University's financial statements.

In connection with the Authority's refundings, the Authority recorded a difference between the reacquisition price and the net carrying amount of the refunded debt of \$5.8 million. This balance is being reported as a component of deferred outflows, loss on debt refunding, and will be amortized as an increase in interest expense over the remaining term of the original life of the refunded bonds. These refundings reduced the Authority's debt service payments in future years by \$30.2 million and resulted in an economic gain (the present value of the savings) of \$21.4 million.

There were no refundings of bonds in fiscal year 2016.

Bond Premium and Issuance Expenses In fiscal year 2017, the Authority received premiums at issuance totaling \$56.0 million. The Authority amortizes the premiums received as a reduction in interest expense over the life of the respective bond issue. There were no new bond issues in fiscal year 2016, thus no bond premiums were recorded in 2016.

In connection with the Authority's bond issues in fiscal 2017, the Authority incurred certain issuance costs associated with the bond offerings. In fiscal year 2017, these costs amounted to \$2.3 million and were expensed in accordance with the provisions of GASB Statement No. 65, *Items Previously Reported as Assets and Liabilities*.

Debt Covenants There were no financial debt covenants related to the above debt instruments.

Interest Rate Swaps The Authority uses derivative instruments to manage the impact of interest rate changes on its cash flows and net position by mitigating its exposure to certain market risks associated with operations, and does not use derivative instruments for trading or speculative purposes.

The Authority's contracts are evaluated pursuant to GASB Statement No. 53, *Accounting and Financial Reporting for Derivative Instruments* ("GASB 53") to determine whether they meet the definition of derivative instruments, and if so, whether they effectively hedge the expected cash flows associated with interest rate risk exposures. The Authority applies hedge accounting for derivative instruments that are deemed effective hedges and under GASB No. 53 are referred to as hedging derivative instruments. Under hedge accounting, changes

in the fair value of a hedging derivative instrument are reported as a deferred inflow or deferred outflow in the statement of net position until the contract is settled or terminated.

All settlement payments or receipts for hedging derivative instruments are recorded as interest expense in the period settled.

The Authority's hedging derivative instruments at June 30, 2017 and 2016 were as follows (in thousands):

	Fair Value June 30, 2016	Net Change in Fair Value	Fair Value June 30, 2017	Type of Hedge	Financial Statement Classification for Changes in Liability
Series 2008-1 Swap	\$(38,227)	\$12,960	\$(25,267)	Cash Flow	Deferred Outflow of Resources
Series 2008-A Swap	(4,338)	1,454	(2,884)	Cash Flow	Deferred Outflow of Resources
Series 2006-1 Swap	(47,913)	14,225	(33,688)	Cash Flow	Deferred Outflow of Resources

The terms of the Authority's financial derivative instruments that were outstanding at June 30, 2017 are summarized in the table below (in thousands):

	Type	Effective Date	Termination Date	Rate Authority Pays	Authority Receives	Original Notional Value
Series 2008-1 Swap	Synthetic Fixed	May 1, 2008	May 1, 2038	3.39%	70% of 1-Month LIBOR	\$232,545
Series 2008-A Swap	Synthetic Fixed	Nov 13, 2008	May 1, 2038	3.38%	70% of 1-Month LIBOR	26,580
Series 2006-1 Swap	Synthetic Fixed	Apr 20, 2006	Nov 1, 2034	3.48%	60% of 3-Month LIBOR + .18%	243,830

Fair Values — GASB 72 defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between swap counterparties at the measurement date, which includes the non-performance risk. The Authority engaged an independent party to perform the valuations. The expected swap cash flows are calculated using the zero-coupon discounting method which takes into consideration the prevailing interest rate environment, the specific terms and conditions of a given transaction, and assumes that the current forward rates implied by the yield curve are the market's best estimate of future spot interest rates. The income approach is then used to obtain the fair value of the swaps, where future amounts (the expected swap cash flows) are converted to a single current (discounted) amount, using a rate of return that takes into account the relative risk of non-performance associated with the cash flows, and time value of money. Where applicable under the income approach, the option pricing model technique, such as the Black-Derman-Toy model, or other appropriate option pricing model is used. As the interest rate swaps are valued using the LIBOR swap rate observed at commonly quoted intervals for the full term of the swaps, the measurement results in the swap fair values being categorized as Level 2.

Credit risk — As of June 30, 2017 and 2016, the Authority was not exposed to credit risk on the swaps as the fair value was negative. Since changes in interest rates affect the fair values of swap agreements, it is possible that the swap agreements with negative fair values become positive which would expose the Authority to credit risk. To mitigate the potential for credit risk, when a counterparty has a positive fair value and if the counterparty's credit quality falls below A3/A/A, the fair value of the swap will be fully collateralized by the counterparty with U.S. Government Securities or U.S. Government Agency Securities. Collateral posted by the counterparty will be held by a third-party custodian.

The credit ratings for the Authority's counterparties at June 30, 2017 are as follows:

	Credit Ratings		
	Moody's	S&P	Fitch
UBS AG	A1	A	A
Deutsche Bank AG	Baa2	A-	A-
Citi Bank NA	A1	A+	A+

Basis risk — The Authority is exposed to basis risk on its pay-fixed interest rate swaps because the variable-rate payment received by the Authority (a percent of LIBOR) on these hedging derivative instruments is based on indexes other than the actual interest rates the Authority pays on its hedged variable rate debt. Should the relationship between LIBOR and the actual variable rate interest payments on the bonds converge, the expected cost savings may not materialize. The terms of the related hedging fixed rate swap transactions are summarized in the chart at the top of this page.

Termination risk — The Authority's swaps are governed under the International Swap Dealers Association Master Agreement (the "Master Agreement"), which includes standard termination events, such as failure to pay and bankruptcy. Additionally, the Master Agreement was amended so that the swap may be terminated by the Authority if the counterparty's credit quality rating falls below certain levels or the counterparty fails to have a rating. Further, the swap may be terminated by the counterparties if the long-term, unsecured, unenhanced senior debt rating of any bonds issued by the Authority is withdrawn, suspended or falls below certain levels or the Authority fails to have a rating. The Authority or the counterparties may terminate the swaps if the other party fails to perform under the terms of the contract. The Authority may also terminate the swaps at its option. If the swap is terminated, the variable-rate bonds would no longer carry a synthetic fixed interest rate and the Authority's interest payment will be based solely upon the rate required by the related bonds as issued. When a termination event occurs, a mark-to-market (or "fair market value") calculation is performed to determine whether the Authority is owed or must pay cash to close out the swap position. A negative fair value means the Authority would incur a loss and need to make a termination payment to settle the swap position. A positive fair value means the Authority would realize a gain and receive a termination payment in settlement of the swap position.

Contingencies — All of the Authority's swaps include provisions that require the Authority to post collateral in the event its credit rating falls below certain levels. In the event the Authority is rated A2 by Moody's Investors Service or A by Standard & Poor's, the Authority would need to post collateral equal to amounts above the fair value of its swaps in liability positions above \$10.0 million. In the event the Authority is not rated or rated below A3 by Moody's Investors Service or below A- by Standard & Poor's, the Authority must post collateral in the amount of the fair value of the swaps in liability positions. The collateral posted is to be in the form of cash obligations guaranteed by the U.S. Treasury, or negotiable debt obligations issued by the Federal Home Loan Mortgage Association or the Federal National Mortgage Association. If the Authority does not post collateral, the derivative instrument may be terminated by the counterparty. The Authority's credit rating is Aa2 from Moody's Investors Service, AA from Fitch Ratings, and AA- from Standard and Poor's at June 30, 2015; therefore, no collateral was required to be posted.

Termination of hedge accounting — In June of 2011, the Authority undertook an advance refunding of the 2008-3 and 2008-4 variable rate bonds hedged by the Series 2006-1 Swap. As part of the refunding, the Series 2006-1 swap was re-assigned to a new underlying notional (the 2011-1 and 2011-2 Bonds) with identical terms. This refunding and reassignment effectively terminated the original hedge. At June 30, 2011, the Series 2006-1 Swap was considered a hedging derivative instrument. In accordance with GASB No. 53, at the time of a termination event related to an advance refunding of the hedged debt, the balance of the amounts in deferred outflows is to be included in the net carrying amount of the refunded debt for the purposes of calculating the deferred loss on refunding. The balance of the deferred outflows that was included in the net carrying amount of the refunded debt at the time of the refunding was \$22.2 million. The change in fair value of the Series 2006-1 Swap from the refunding date to June 30, 2017 is reported as a deferred outflow as the swap was determined to be effective at June 30, 2017.

Swap payments and associated debt — Using rates as of June 30, 2017, 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 (in thousands):

Fiscal Year Ending June 30,	Principal	Interest	Interest Rate Swaps, Net	Total
2018	\$ 11,770	\$ 378	\$10,446	\$ 22,594
2019	12,215	369	10,145	22,729
2020	12,720	360	9,831	22,911
2021	28,390	341	9,315	38,046
2022	29,545	314	8,586	38,445
2022-2026	158,250	1,109	30,831	190,190
2027-2031	124,330	427	12,313	137,070
2032-2036	35,035	52	1,435	36,522
2037-2038	825	1	21	847
Total	\$413,080	\$3,351	\$92,923	\$509,354

MassDevelopment

University of Massachusetts Series A, D and 2011

The University, through the Massachusetts Development Finance Agency (“MassDevelopment”), has issued bonds in order to construct new student centers on the Boston and Lowell campuses; to create a pool of funds to acquire telecommunications, electronics, computer, office, research, equipment and administrative systems; and to fund the related renovation costs and to refund previously issued bonds.

Variable Rate Debt In March 2000, the University issued \$20.0 million of MHEFA Variable Rate Demand Revenue Bonds, University of Massachusetts Issue, Series A (the “Series A Bonds”) to create a pool of funds from which the University could finance and refinance the acquisition of certain equipment and related renovation costs at the various University campuses on a revolving basis throughout the term of the Series A Bonds. The Series A Bonds were remarketed on April 1, 2016 and now bear interest at the long term rate of 1.2%. The newest long term rate period will end on March 31, 2019 and the Remarketed Series A Bonds will be subject to mandatory tender for purchase on April 1, 2019. The purchase price of the bonds will be paid from the remarketing of such bonds. However, if the remarketing proceeds are insufficient, the University will be obligated to purchase the bonds tendered, up to an aggregate principal amount of \$20.0 million. The Remarketed Series A Bonds will mature on November 1, 2030 and are subject to mandatory purchase prior to maturity as described above. Interest on the Remarketed Series A Bonds in the newest long-term rate period is payable on October 1 and April 1. The Remarketed Series A Bonds are considered a reissuance for federal tax purposes. The Remarketed Series A Bonds are not supported by any insurance policy, liquidity facility or other credit enhancement. The Remarketed Series A Bonds are a general obligation of the University payable from all funds of the University permitted to be applied thereto. The University’s unrestricted net position secures 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 position to cover the debt service on the Remarketed Series A Bonds.

Debt covenants The University of Massachusetts Series A and 2011 bonds include a covenant for the maintenance of a debt service fund as outlined in the related debt agreement. The University is required to make deposits in this debt service fund on or before the 25th of each March and September. As of June 30, 2017 and 2016, the University is in compliance with this covenant.

Refundings In November 2011, the University issued \$30.0 million of Massachusetts Development Finance Agency Revenue Refunding Bonds (the “Series 2011 Bonds”). The University deposited the proceeds into an irrevocable trust fund to provide for payment of the MHEFA Revenue Bonds, University of Massachusetts Issue, 2002 Series C (the “Series C Bonds”). This payment was made as a lump sum in October 2012. The Series 2011 bonds were issued at a premium of \$1.2 million. As a result of the change in future payments, the University will reduce its aggregate debt service payments by \$4.8 million and achieve an economic gain of \$3.4 million.

In January 2007, the University issued \$10.4 million of MHEFA Revenue Bonds, University of Massachusetts Issue Series D. The proceeds from this issuance were used to advance refund a portion of the MHEFA Revenue Bonds, University of Massachusetts Issue, 2001 Series B (the “Series B Bonds”). These advance refunded bonds were defeased, and accordingly, the liability for the bonds payable and the assets held to repay the debt have not been included in the University’s financial statements. The Series D Bonds were refunded in 2017 using proceeds from Series 2017-3.

Worcester City Campus Corporation Series D, E, F and 2011

The 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, One Innovation Drive, 373, 377 and 381 Plantation Street, Worcester and to refund previously issued bonds. 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 \$5.9 million and \$6.5 million for fiscal years 2017 and 2016, respectively.

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 day notice. The rent expense related to these operating leases amounted to \$24.6 million and \$27.1 million for the years ended June 30, 2017 and 2016, respectively. The master leases primarily consist of telecommunications, software, and co-generation systems. The University also leases space to third-party tenants. During 2017 and 2016, the amount reported as rental income was \$18.9 million and \$18.3 million, respectively.

The following presents a schedule of future minimum payments under non-cancelable operating leases for the next five years and in subsequent five-year periods for the University as of June 30, 2017 (in thousands):

Year	Operating Leases
2018	\$ 26,770
2019	25,413
2020	24,602
2021	24,049
2022	22,719
2023 and thereafter	134,557
Total Payments	

10. OTHER LONG-TERM LIABILITIES

During the year ended June 30, 2017, the following changes occurred in long-term liabilities as recorded in the statements of net position (in thousands):

	Beginning Balance	Additions/Adjustments	Reductions/Adjustments	Ending Balance
UNIVERSITY				
Capital Lease Obligations	\$ 429	\$ 180	\$ (220)	\$ 389
Compensated Absences	35,671	–	(5,276)	30,395
Workers' Compensation	12,160	–	(214)	11,946
Unearned Revenues and Credits	23,936	24,391	(15,596)	32,731
Advances and Deposits	27,705	1,834	(399)	29,140
Other Liabilities	48,760	800	(8,127)	41,433
UNIVERSITY RELATED ORGANIZATIONS				
Other Liabilities	\$ 3,502	–	\$ (738)	\$ 2,764

During the year ended June 30, 2016, the following changes occurred in long-term liabilities as recorded in the statement of net position (in thousands):

	Beginning Balance	Additions/Adjustments	Reductions/Adjustments	Ending Balance
UNIVERSITY				
Capital Lease Obligations	\$ 562	\$ 198	\$ (331)	\$ 429
Compensated Absences	31,813	3,858	–	35,671
Workers' Compensation	10,886	1,274	–	12,160
Unearned Revenues and Credits	26,822	13,049	(15,935)	23,936
Advances and Deposits	28,621	1,056	(1,972)	27,705
Other Liabilities	41,583	8,536	(1,359)	48,760
UNIVERSITY RELATED ORGANIZATIONS				
Other Liabilities	\$ 3,505	–	–	\$ 3,502

11. FRINGE BENEFITS

Expenditures for the years ended June 30, 2017 and 2016 include \$329.3 million and \$295.1 million, respectively, for the employer portion of fringe benefit costs (pension expense, health insurance for active employees and retirees, and terminal leave) that was paid directly by the Commonwealth of Massachusetts. Of this amount, \$123.8 million for 2017 and \$117.1 million for 2016 was reimbursed to the Commonwealth and \$205.5 million and \$178.0 million, respectively, is included in revenue as state appropriations.

12. PENSIONS

The Massachusetts State Employees' Retirement System ("MSERS") is a public employee retirement system ("PERS") that administers a cost-sharing multi-employer defined benefit plan as defined by Governmental Accounting Standards Board ("GASB") Statement No. 67, Financial Reporting for Pension Plans, covering substantially all employees of the Commonwealth. Management of MSERS is vested in the Massachusetts State Retirement Board (the MSRB) which consists of five members — two elected by current and active MSERS members, one by the remaining members of the MSRB, one who is appointed by the State Treasurer and the State Treasurer, who serves as *ex-officio* and is the Chair of the MSRB.

MSERS provides retirement, disability, survivor and death benefits to members and their beneficiaries. Massachusetts General Laws ("MGL") establishes uniform benefit and contribution requirements for all contributory PERS. These requirements provide for superannuation retirement allowance benefits up to a maximum of 80% of a member's highest three-year average annual rate of regular compensation. For employees hired after April 1, 2012, retirement allowances are calculated on the basis of the last five years or any five consecutive years, whichever is greater in terms of 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 creditable service or upon reaching the age of 55 with ten 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. Most employees who joined the system after April 1, 2012 cannot retire prior to age 60.

The MSERS' funding policies have been established by Chapter 32 of MGL. The Legislature has the authority to amend these policies. The annuity portion of the MSERS retirement allowance is funded by employees, who contribute a percentage of their regular compensation. Costs of administering the plan are funded out of plan assets.

Member contributions for MSERS vary depending on the most recent date of membership:

Hire Date	% of Compensation
Prior to 1975	5% of regular compensation
1975 to 1983	7% of regular compensation
1984 to 6/30/1996	8% of regular compensation
7/1/1996 to present	9% of regular compensation
1979 to present	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. The fringe benefit charge amounted to \$89.9 million and \$84.5 million for the years ended June 30, 2017 and 2016, respectively. Annual covered payroll was 75.8% and 75.8% for the years ended June 30, 2017 and 2016, respectively of annual total payroll for the University. The amount of pension expense included in the fringe charge was \$26.3 million and \$25.1 million for the years ended June 30, 2017 and 2016, respectively.

Actuarial Assumptions The total pension liability for the June 30, 2016 measurement date which is the date reported in the June 30, 2017 financial statements, was determined by an actuarial valuation as of January 1, 2016 rolled forward to June 30, 2016. This valuation used the following assumptions:

1. (a) 7.5% investment rate of return, (b) 3.5% discount rate credited to an annuity savings fund and (c) 3.00% cost of living increase per year.
2. Salary increases are based on analyses of past experience but range from 4.0% to 9.0% depending on group and length of service.
3. Chapter 176 of the Acts of 2011 created a one-time election for eligible members of the Optional Retirement Plan ("ORP") to transfer to the State Employees' Retirement System ("SERS") and purchase service for the period while members of the ORP. As a result, the total pension liability of SERS has increased by \$400.0 million as of June 30, 2016.
4. Mortality rates were as follows:
 - a) Pre-retirement — reflects RP-2000 Employees table projected generationally with Scale BB and a base year of 2009 (gender distinct)
 - b) Post-retirement — reflects RP-2000 Healthy Annuitant table projected generationally with Scale BB and a base year of 2009 (gender distinct)
 - c) Disability — the mortality rate is assumed to be in accordance with the RP-2000 Healthy Annuitant table projected generationally with Scale BB and a base year of 2015 (gender distinct)
5. Experience studies were performed as follows:
 - Dated February 27, 2014 and encompasses the period January 1, 2006 to December 31, 2011

The total pension liability for the June 30, 2015 measurement date was determined by an actuarial valuation as of January 1, 2015 rolled forward to June 30, 2015. This valuation used the following assumptions:

1. (a) 7.5% investment rate of return, (b) 3.5% interest rate credited to an annuity savings fund and (c) 3.0% cost of living increase per year.
2. Salary increases are based on analyses of past experience but range from 3.5% to 9.0% depending on group and length of service.
3. In May 2015, Chapter 19 of the Acts of 2015 created an Early Retirement Incentive ("ERI") for certain members of SERS who upon election of the ERI retired effective June 30, 2015. As a result, the total pension liability for SERS has increased by \$230.0 million as of June 30, 2015.
4. Mortality rates were as follows:
 - a. Pre-retirement — reflects RP-2000 Employees table projected generationally with Scale BB and a base year of 2009 (gender distinct)
 - b. Post-retirement — reflects RP-2000 Healthy Annuitant table projected generationally with Scale BB and a base year of 2009 (gender distinct)
 - c. Disability — the mortality rate is assumed to be in accordance with the RP-2000 Healthy Annuitant table projected generationally with Scale BB and a base year of 2015 (gender distinct)

Investment assets of MSERS are with the Pension Reserves Investment Trust ("PRIT") Fund. The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimate ranges of expected future rates of return are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future rates of return by the target asset allocation percentage.

Best estimates of geometric rates of return for each major asset class included in the PRIT Fund's target asset allocation as of June 30, 2016 and 2015 are summarized in the following tables:

As of June 30, 2016

Asset Class	Target Allocation	Long-term Expected Real Rate of Return 2014
Global Equity	40.00%	6.90%
Core Fixed Income	13.00%	1.60%
Private Equity	10.00%	8.70%
Real Estate	10.00%	4.60%
Value Added Fixed Income	10.00%	4.00%
Hedge Funds	9.00%	4.00%
Portfolio Completion Strategies	4.00%	3.60%
Timber/Natural Resources	4.00%	5.40%

As of June 30, 2015

Asset Class	Target Allocation	Long-term Expected Real Rate of Return 2014
Global Equity	40.00%	6.90%
Core Fixed Income	13.00%	2.40%
Private Equity	10.00%	8.50%
Real Estate	10.00%	6.50%
Value Added Fixed Income	10.00%	5.80%
Hedge Funds	9.00%	5.80%
Portfolio Completion Strategies	4.00%	5.50%
Timber/Natural Resources	4.00%	6.50%

Discount Rate The discount rate used to measure the total pension liability was 7.5% at June 30, 2016 and June 30, 2015. The projection of cash flows used to determine the discount rate assumed that plan member's contributions will be made at the current contribution rates and the Commonwealth's contributions will be made at rates equal to the difference between actuarially determined contribution rates and the member rates. Based on those assumptions, the net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability.

Sensitivity Analysis The following illustrates the sensitivity of the collective net pension liability to changes in the discount rate. In particular, the table presents the University net collective pension liability assuming it was calculated using a single discount rate that is one-percentage-point lower or one-percentage-point higher than the current discount rate (amounts in thousands):

Fiscal Year Ended	1% Decrease to 6.5%	Current Discount Rate 7.5%	1% Increase to 8.5%
June 30, 2017	\$609,836	\$429,871	\$347,731
June 30, 2016	\$606,780	\$408,418	\$308,037

Pension Liabilities, Pension Expense, Deferred Outflows of Resources and Deferred Inflows of Resources Related to Pensions

The University reported a liability of \$429.9 and \$408.4 million for its proportionate share of MSERS's net pension liability as of June 30, 2017 and 2016, respectively. The net pension liability was measured as of June 30, 2016 and 2015 and the total pension liability was used to calculate the net pension liability which was determined by an actuarial valuation as of that date. The University's proportion of the net pension liability was based on a projection of the University's long-term share of contributions to the pension plan relative to the total projected contributions of all participating entities, actuarially determined. There were no changes of assumptions or other inputs that affected measurement of the total pension liability during the measurement period. There were no changes of benefit terms that affected measurement of the total pension liability during the measurement period.

The following table shows the components of pension expense as of June 30, 2017 and 2016 (in thousands):

	2017	2016
Proportionate Share of Plan Pension Expense	\$58,723	\$45,628
Net Amortization of Deferred Amounts from Change in Proportion	2,935	11,224
Payments	(25,618)	(22,386)

At June 30, 2017, the University reported its proportionate share of MSERS's deferred outflows of resources and deferred inflows of resources related to pension from the following sources (in thousands):

	Deferred Inflows of Resources	Deferred Outflows of Resources
Changes of Assumptions	\$ —	\$ 47,670
Changes in Proportion Due to Internal Allocation	—	35,625
Employer Contributions after measurement date	—	25,618
Differences Between Expected and Actual Experience	—	20,418
Net Difference Between Projected and Actual Investment Earnings on Pension Plan Investments	—	28,854
Changes in Proportion From Commonwealth	37,671	—

At June 30, 2016, the University reported its proportionate share of MSERS's deferred outflows of resources and deferred inflows of resources related to pension from the following sources (in thousands):

	Deferred Inflows of Resources	Deferred Outflows of Resources
Changes of Assumptions	\$ —	\$ 70,730
Changes in Proportion Due to Internal Allocation	—	45,965
Employer Contributions after measurement date	—	22,386
Net Difference Between Projected and Actual Investment Earnings on Pension Plan Investments	11,736	8,072
Changes in Proportion From Commonwealth	314	—

The net amounts of the employer's balances of deferred outflows and inflows of resources related to pensions will be recognized in pension expense as follows (in thousands):

Year Ended June 30	2017
2018	\$21,201
2019	21,201
2020	32,788
2021	18,758
2022	951
Thereafter	—

Non-vested faculty and certain other employees of the University can opt out of MSERS and participate in a defined contribution plan, the Massachusetts Optional Retirement Program ("ORP"), administered by the Commonwealth's Department of Higher Education. At June 30, 2017 and 2016, there were 1,674 and 1,626 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 \$7.2 million and \$8.3 million in 2017 and 2016, respectively. University employees contributed \$15.8 million and \$24.4 million in 2017 and 2016, respectively.

The MSERS and ORP retirement contributions of employees who become members of MSERS or ORP after January 1, 2011 are subject to a state compensation limit. Effective January 1, 2011, the University established a defined contribution plan, the University of Massachusetts 401(a) Retirement Gap Plan, administered by the University's Treasury Office. Employees with MSERS or ORP membership dates after January 1, 2011 are eligible employees for the Gap Plan. Eligible employees begin participation in the Gap Plan when their regular compensation exceeds the state compensation limit in effect for the plan year, at which point their contributions to MSERS or ORP are required to stop for the remainder of the plan year. Employee contributions to the Gap Plan are mandatory and at the same rate as MSERS and ORP; the University contributes 5%. At June 30, 2017 and 2016 plan assets totaled \$2.5 million and \$1.5 million, respectively.

13. CONCENTRATION OF CREDIT RISK (OTHER THAN CASH AND INVESTMENTS)

The receivable from UMass Memorial Medical Center ("UMMMC") which is uncollateralized represents a potential concentration of credit risk for the University. The receivable from UMass Memorial represents 9.4% and 11.2% of total accounts receivable for the University at June 30, 2017 and 2016, respectively. The University also had uncollateralized receivables from the Executive Office of Health and Human Services comprising 11.5% of the total outstanding receivables at June 30, 2017 and uncollateralized receivables from The Executive Office of Health and Human Services comprising 12% of the total outstanding receivables at June 30, 2016.

14. COMMITMENTS CONTINGENCIES

The Building Authority, University, and WCCC have outstanding purchase commitments under construction contracts and real estate agreements of \$283.6 million and \$157.3 million at June 30, 2017 and 2016, respectively. In connection with the investments in certain limited partnership agreements, the Foundation has \$92.9 million and \$84.7 million in committed calls as of June 30, 2017 and 2016, 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 \$18.0 million and Phase 2 being \$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, 2017 and 2016 in the amount of \$27.1 million and \$28.2 million, respectively.

The University, as an agency of the Commonwealth, is self-insured for property loss exposure, subject to appropriation from the state legislature. However, properties owned by the University of Massachusetts Building Authority located on a campus of the University, such as the Mullins Center, dining commons, and most dormitories, are insured by the Building Authority. In addition, certain properties owned by other University Related Organizations and leased to the University are insured by the related organization. The University and its employees are protected against tort claims through sovereign immunity under Chapter 258 of the Massachusetts General Laws. The University maintains certain liability insurance policies, including Commercial General Liability, leased Automotive Liability, Directors and Officers and Comprehensive Crime policies. Employees of the University are covered for Worker's Compensation protection under Chapter 152 of the Massachusetts General Laws. The University has recorded a liability for future expected costs of its workers' compensation claims of \$15.2 million as of June 30, 2017 and \$15.4 million as of June 30, 2016. Estimated future payments related to such costs have been discounted at a rate of 4.0%.

The University is a defendant in various lawsuits and is subject to various contractual matters; however, University management is of the opinion that the ultimate outcome of all litigation or potential contractual obligations will not have a material effect on the financial position, financial results or cash flows of the University.

From time to time the University and/or its affiliated organizations are subject to audits of programs that are funded through either federal and/or state agencies. The University is aware that the Office of the Inspector General for the U.S. Department of Health and Human Services performed an audit of Medicaid Supplemental Revenues ("MSR") received by UMMMC, the final report for which was issued December 2009. Portions of this report continue to be contested and the final outcome of this audit is currently unknown. Dependent on the final outcome, UMMMC may be required to repay any MSR received deemed to be disallowed as a result of the audit. Dependent on that outcome, the University, consistent with the Agreement for Medical Educational Services, made part of the Definitive Agreement between the University and UMMMC, and its subsequent amendments and the indemnification provisions in these Agreements, may be required to indemnify UMMMC for a portion of any amounts due. Although the final outcome of this audit is currently unknown, and management believes that as of the date of the financial statements it is not probable that a liability exists, management concludes it is reasonably possible that amounts could be repaid and that those amounts may be material to the University's financial position and results of operations.

15. SUBSEQUENT EVENTS

For purposes of determining the effects of subsequent events on these financial statements, management has evaluated events subsequent to June 30, 2017 through December 14, 2017, the date on which the financial statements were available to be issued and determined that there are no other matters requiring recognition or disclosure to the accompanying financial statements.

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Required Supplementary Information — Unaudited

LAST 10 YEARS¹

Schedule of the University's Proportionate Share of the Net Pension Liability Massachusetts State Employees' Retirement System

	June 30, 2017	June 30, 2016	June 30, 2015
University's proportion of the net pension liability	3.394%	3.922%	3.489%
University's proportionate share of the net pension liability	\$ 429,871	\$ 408,418	\$ 237,134
University's covered-employee payroll	\$1,156,082	1,139,719	1,061,132
University's proportionate share of the net pension liability as a percentage of its covered-employee payroll	37.18%	35.83%	22.35%
Plan fiduciary net position as a percentage of total pension liability	63.48%	67.87%	76.32%

Schedule of the University's Contributions Massachusetts State Employees' Retirement System

	June 30, 2017	June 30, 2016	June 30, 2015
Contractually required contribution	\$ 25,618	\$ 22,386	\$ 22,870
Contributions in relation to the contractually required contribution	(25,618)	(22,386)	(22,870)
Contribution deficiency (excess)	—	—	—
University's covered-employee payroll	\$1,156,082	\$1,139,719	\$1,061,132
Contributions as a percentage of covered-employee payroll	2.22%	1.96%	2.16%

¹ Until a full 10-year trend is compiled, the University is presenting only information for years for which information is available.

Supplemental Financial Information Table of Contents

Report of Independent Certified Public Accountants	S1
Combining Statements of Net Position for University Related Organizations	S2
Combining Statements of Revenues, Expenses and Changes in Net Position for University Related Organizations	S3





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REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

Board of Trustees
University of Massachusetts

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards issued by the Comptroller General of the United States, the 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, 2017 and 2016, and the related notes to the financial statements, which collectively comprise the University’s basic financial statements, and our report thereon dated December 14, 2017 expressed unmodified opinions on these financial statements. Our audits were performed for the purpose of forming opinions on the financial statements that collectively comprise the University’s basic financial statements.

The accompanying Combining Statements of Net Position for University Related Organizations and of Revenues, Expenses, and Changes in Net Position as of and for the years ended June 30, 2017 and 2016 is presented for purposes of additional analysis 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 basic financial statements. The supplementary 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 basic 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. In our opinion, the supplementary information is fairly stated, in all material respects, in relation to the basic financial statements as a whole.

Boston, Massachusetts
December 14, 2017

Grant Thornton LLP
U.S. member firm of Grant Thornton International Ltd

Combining Statements of Net Position for University Related Organizations

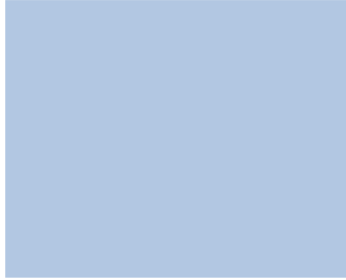
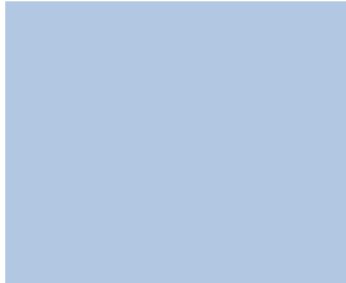
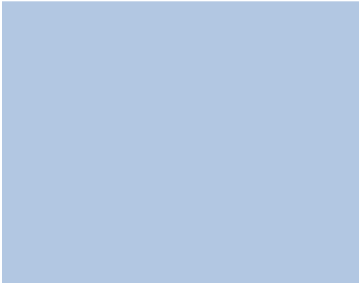
AS OF JUNE 30, 2017 AND 2016 (IN THOUSANDS OF DOLLARS) — SUPPLEMENTAL SCHEDULE I

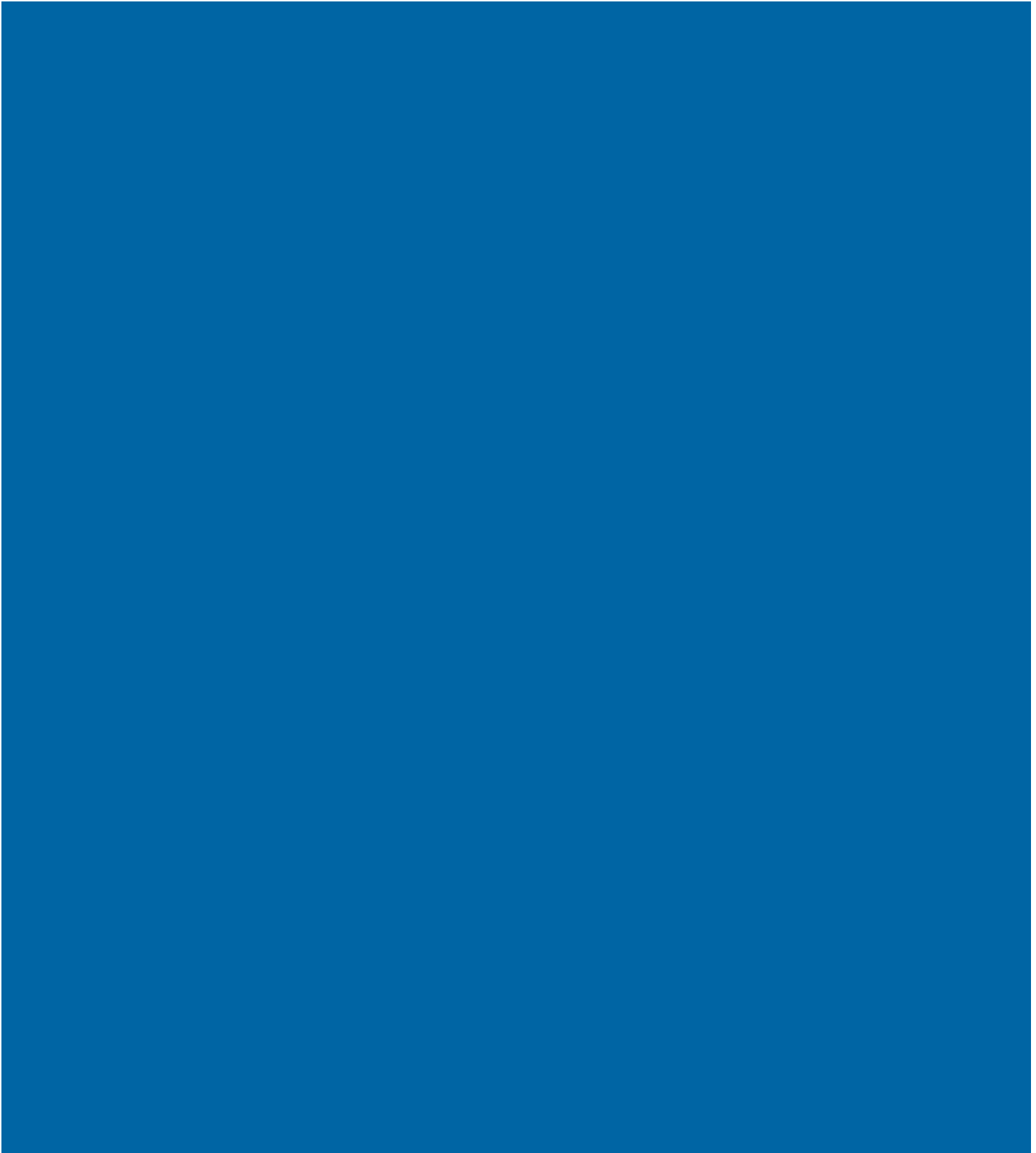
	June 30, 2017				June 30, 2016			
	Total	Eliminations and Adjustments	The University of Massachusetts Foundation, Inc.	The University of Massachusetts Dartmouth Foundation, Inc.	Total	Eliminations and Adjustments	The University of Massachusetts Foundation, Inc.	The University of Massachusetts Dartmouth Foundation, Inc.
ASSETS								
Current Assets								
Cash and Cash Equivalents								
Accounts, Grants and Loans Receivable, Net	\$ 1,424	\$ —	\$ 116	\$ 1,308	\$ 1,475	\$ —	\$ 98	\$ 1,377
Pledges Receivable, net	1,515	(11,480)	12,211	784	371	(7,296)	6,635	1,032
Due from Related Organizations	123	123	—	—	193	193	—	—
Other Assets	—	—	—	—	55	—	55	—
Noncurrent Assets								
Pledges Receivable, net	737	(12,190)	12,287	640	1,690	(19,392)	19,904	1,178
Investments	532,605	(685,728)	1,160,597	57,736	468,260	(641,171)	1,056,774	52,657
Other Assets	2,487	—	—	2,487	2,528	—	—	2,528
Investment In Plant, net	17,421	—	17,421	—	8,090	—	8,090	—
LIABILITIES								
Current Liabilities								
Accounts Payable	53	(21)	52	22	64	—	63	1
Due To Related Organization	21	(7,668)	—	7,689	69	(6,575)	—	6,644
Assets Held on Behalf of the University	—	(632,665)	632,665	—	—	(593,116)	593,116	—
Assets Held on Behalf of Others	27,408	—	27,408	—	27,837	—	27,837	—
Unearned Revenues and Credits	1,162	—	1,162	—	1,224	—	1,224	—
Noncurrent Liabilities								
Other Liabilities	2,764	—	—	—	3,502	—	3,502	—
NET POSITION								
Invested in Capital Assets Net of Related Debt	17,421	17,421	—	—	8,090	8,090	—	—
Restricted								
Nonexpendable	385,856	(58,728)	407,979	36,605	374,566	(37,235)	374,566	37,235
Expendable	98,145	(10,193)	92,219	16,119	46,275	(30,740)	64,380	12,635
Unrestricted	23,482	(17,421)	38,383	2,520	21,035	(8,090)	26,868	2,257

Combining Statements of Revenues, Expenses and Changes in Net Position for University Related Organizations

FOR THE YEARS ENDED JUNE 30, 2017 AND 2016 (IN THOUSANDS OF DOLLARS) — SUPPLEMENTAL SCHEDULE II

	Total	Eliminations and Adjustments	The University of Massachusetts Foundation, Inc.	The University of Massachusetts Dartmouth Foundation, Inc.	Total	Eliminations and Adjustments	The University of Massachusetts Foundation, Inc.	The University of Massachusetts Dartmouth Foundation, Inc.
	June 30, 2017				June 30, 2016			
EXPENSES								
Operating Expenses								
<i>Educational and General</i>								
Public Service	\$ 11,278	\$ 5,202	\$ 13,749	\$ 2,731	\$ 16,502	\$(971)	\$ 13,927	\$ 3,546
Depreciation	314	—	314	—	202	—	202	—
Scholarships and Fellowships	2,498	—	1,504	994	364	(1,497)	811	1,050
NONOPERATING REVENUES/(EXPENSES)								
Gifts	3,620	611	—	3,009	8,306	1,074	—	6,322
Investment Income	(219)	(219)	—	—	182	(79)	126	135
Endowment Income Distributed for Operations	—	—	—	—	1,386	40,568	(39,182)	—
Other Non-Operating Revenue	10,011	(3,204)	13,215	—	11,387	—	11,387	—
OTHER REVENUES, EXPENSES, GAINS, AND LOSSES								
Additions to Permanent Endowments	(42,173)	2,612	40,011	—	25,864	(3,094)	28,958	—
Less: Amounts Earned/Received on Behalf of the University	—	38,633	(38,633)	—	—	(36,498)	36,498	—
Less: Amounts Earned/Received on Behalf of Others	—	489	(489)	—	—	(1,831)	1,831	—
Endowment Return Net Amount Used in Operations	30,441	(78,833)	104,599	4,675	(36,524)	(34,671)	—	(1,853)
Distribution to University	—	32,299	(32,299)	—	—	28,637	(28,637)	—
Other Additions/Deductions	3,002	1,914	1,930	(842)	3,958	3,170	1,382	(594)
NET POSITION								
Net Position at Beginning of Year	449,966	(67,975)	465,814	52,127	453,385	(67,719)	468,391	52,713





Controller's Office :: University of Massachusetts President's Office :: 333 South Street, Suite 450 Shrewsbury, MA 01545



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<https://cihe.neasc.org>**

**INTERIM REPORT FORMS
Revised April 2016; Effective July 1, 2016**

General instructions:

Data First forms provide evidence to support the institution's comprehensive self-study. Each of the 34 forms is on a separate spreadsheet of this Excel workbook. Much of the information requested is readily available on audited financial statements (e.g., 7.2-7.5), yearly IPEDS surveys (7.1, 8.1), College Scorecard (5.3), National Student Clearinghouse reports (8.2), and other institutional reports and publications. Institutions that do not submit IPEDS or participate in the Clearinghouse should contact Commission staff for guidance about how to complete these sections of the forms.

When entering financial data, please round to the nearest thousand. If your institution tabulates data in a different way from what is requested on the form, clearly explain your methodology on the form and report the data in the way that is consistent with your institution's normal practices.

In the following forms, the column "**Current Year**" refers to the year in which the report is submitted to the Commission. On the Revenues and Expenses form, please make sure the information is consistently presented from year to year, including the "Current Year" and the "Next Year Forward" columns. For example, if depreciation is allocated in the "Most Recently Completed Year" column, it should also be allocated in the "Current Year" column.

Cells shaded **green** indicate where data should be entered. Cells with a dash ("-") or a zero (\$0) indicate where figures will be calculated automatically based on data entered in other cells.

Interim Report forms are protected to ensure that they are not inadvertently changed, and cells containing certain formulas are locked. However, you are encouraged to **add rows to insert additional information as needed or adjust column widths**. To do so, unprotect the spreadsheet by selecting the "Protection" option from the "Tools" menu. **The required password is "ark" (lower case, no quotation marks)**.

Instructions and definitions are embedded in each form. To see the instructions, move the mouse on top of red boxes with a **?**. This version of the Interim Report forms has been formatted to print the forms only. If you wish to print the forms with their accompanying instructions, you can find a specially formatted version of Interim Report forms on the Commission website: <https://cihe.neasc.org>.

Additional guidance about completing the forms for Standard 8, *Educational Effectiveness*, can be found in the Statement on Student Achievement and Success Data Forms, available on the CIHE website.

If you have questions about completing the Interim Report forms, please call a member of the Commission staff for assistance.

INTERIM REPORT FORMS GENERAL INFORMATION

Institution Name:

OPE ID:

		Annual Audit	
		Certified:	Qualified
		Yes/No	Unqualified
Financial Results for Year Ending:	<input style="width: 95%; border: none;" type="text" value="06/30"/>		
Most Recent Year	2017	Yes	Unqualified
1 Year Prior	2016	Yes	Unqualified
2 Years Prior	2015	Yes	Unqualified

Fiscal Year Ends on: (month/day)

Budget / Plans

Current Year	2018
Next Year	2019

Contact Person:

Title:

Telephone No:

E-mail address:

Standard 1: Mission and Purposes

Attach a copy of the current mission statement.

Document	Website Location	Date Approved by the Governing Board
Institutional Mission Statement	https://www.uml.edu/About/mission.aspx	

Standard 2: Planning and Evaluation

PLANNING

Strategic Plans

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

Year approved by governing board	Effective Dates	Website location
	March 2016	https://www.uml.edu/docs/Strategic%20Plan%202016_tcm18-233346.pdf
	March 2017	https://www.uml.edu/Images/Strategic-Plan-2017_tcm18-269333.pdf

Other institution-wide plans*

- University System Capital Plan
- UMass Lowell Capital Plan
- Financial Plan
- Facilities Plan
- Climate Action Plan
- Development plan

Year completed	Effective Dates	Website location
2016	2017-2021	https://www.umassp.edu/sites/umassp.edu/files/content/publications/budget-office/FY17-21%20Capital%20Plan%20Document.pdf
2016	2017-2021	https://www.uml.edu/docs/UML%20Capital%20Plan%202017-2021_tcm18-262441.pdf
2017	2017-2018	https://www.uml.edu/docs/FY17%20Exe%20Summary%20Q4_tcm18-286583.pdf
2016	2016-2021	https://www.uml.edu/Facilities/Planning/Strategic-Development-Plan-2016-2021.aspx
2017	2017-2018	http://reporting.secdnature.org/media/uploads/cap/1809-capfile_CPTAtGB.pdf

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

- Francis College of Engineering
- Kennedy College of Science
- Maning School of Business
- Zuckerberg College of Health Sciences
- UML Commonwealth Honors College

2016	until revised	https://studentuml-my.sharepoint.com/:b/g/personal/paula_haines_uml.edu/EXTd9v6HmFVJkGLYpdIpXqB-6ijX5hRxxC9h0K2qsDH5A?e=BZmogX
2014	2015-2020	https://www.uml.edu/docs/KCS-Strategic-Plan_tcm18-265962.pdf
2018	until revised	https://studentuml-my.sharepoint.com/:w/g/personal/paula_haines_uml.edu/Ea5X-0BUPQ9KvDp5mrWKVuvBxf9yuKmnH58hvfR5Vh7A?e=D0qX8Y
2014	until revised	https://studentuml-my.sharepoint.com/:w/g/personal/paula_haines_uml.edu/EYYDDWpt1bVNmQYFrI8XhukBX1NR6hzyPbttG7or45RJQQ?e=tu0Lmj
2015	until revised	https://studentuml-my.sharepoint.com/:w/g/personal/paula_haines_uml.edu/EdvH4nXgwixHkDXIQqKyQ4Bd7E4nF81EbPaXOvi8XChJQ?e=eo6dvw

EVALUATION

Academic program review

- Program review system. System last updated
- Strategic Plan Report Card
- Athletics NCAA Division I Self-Study

		Website location
2017	every 7 years	https://www.uml.edu/Academics/Provost-office/accreditation/AQAD.aspx
2018	annual	https://www.uml.edu/docs/2018-Report-Card_tcm18-289476.pdf
2016	sole submission	https://www.uml.edu/docs/UMass%20Lowell%20IPP%20Self-Study%20June.15.16_tcm18-238501.pdf

*Insert additional rows, as appropriate.

**Standard 3: Organization and Governance
(Locations and Modalities)**

Campuses, Branches and Locations Currently in Operation (See definitions in comment boxes)

(Insert additional rows as appropriate.)

	Location (City, State/Country)	Date Initiated	Enrollment*		
			2 years prior	1 year prior	Current year
			(FY 2016)	(FY 2017)	(FY 2018)
✓ Main campus	Lowell, MA USA		21,519	21,724	22,143
✓ Other principal campuses					
✓ Branch campuses (US)					
✓ Other instructional locations (US)	Haverhill, MA USA		149	150	98
✓ Branch campuses (overseas)					
✓ Other instructional locations (overseas)					

Educational modalities

	Number of programs	Date First Initiated	Enrollment*		
			2 years prior	1 year prior	Current year
			(FY 2016)	(FY 2017)	(FY 2018)
Distance Learning Programs	51		4,440	4,863	4,652
✓ Correspondence Education					
Low-Residency Programs					
Competency-based Programs					
Dual Enrollment Programs					
Contractual Arrangements involving the award of credit					

*Enter the annual unduplicated headcount for each of the years specified below.

Please enter any explanatory notes in the box below

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

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

Degree Level/ Location & Modality	Associate's	Bachelor's	Master's (inc. Ed.S.)	Clinical doctorates (e.g., Pharm.D., DPT, DNP)	Professional doctorates (e.g., Ed.D., Psy.D., D.B.A.)	M.D., J.D., DDS	Ph.D.	Total Degree- Seeking
Main Campus FT	7	9,835	676	106	8	0	344	10,976
Main Campus PT	42	1,099	787	20	40	0	261	2,249
Other Principal Campus FT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Other Principal Campus PT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Branch campuses FT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Branch campuses PT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Other Locations FT	0	32	0	0	0	0	0	32
Other Locations PT	0	34	0	0	0	0	0	34
Overseas Locations FT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Overseas Locations PT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Distance education FT	15	520	103	0	0	0	0	638
Distance education PT	95	1,360	1,135	5	47	0	1	2,643
Correspondence FT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Correspondence PT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Low-Residency FT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Low-Residency PT	n/a	n/a	n/a	n/a	n/a	n/a	n/a	0
Unduplicated Headcount Total	159	12,880	2,701	131	95	0	606	16,572
Total FTE	68.47	11,248.67	1,709.78	8.67	207.00	0.00	414.67	13,657.26
Enter FTE definition:	# credit hours / 15	# credit hours / 15	# credit hours / 9	# credit hours / 9	# credit hours / 9	# credit hours / 9	# credit hours / 9	hours/15 GR = # credit hours/ 9
Degrees Awarded, Most Recent Year	39	2,564	1,018	37	7	0	66	3,731

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.

Please enter any explanatory notes in the box below

Other Locations = Count of all students taking at least one course at Haverhill for Fall 2017
Distance Learning = Count of all students not taking courses at Haverhill and more than 50% credits online for Fall 2017
Main Campus = Count of all students not taking courses at Haverhill and 50% or less credits online for Fall 2017

Standard 4: The Academic Program
(Summary - Non-degree seeking Enrollment and Awards)

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

Degree Level/ Location & Modality	Title IV-Eligible Certificates: Students Seeking Certificates	Non-Matriculated Students	Visiting Students	Total Non-degree-Seeking	Total degree-seeking (from previous page)	Grand total
Main Campus FT	8	73	n/a	81	10,976	11,057
Main Campus PT	92	441	n/a	533	2,249	2,782
Other Principal Campus FT	n/a	n/a	n/a	0	0	0
Other Principal Campus PT	n/a	n/a	n/a	0	0	0
Branch campuses FT	n/a	n/a	n/a	0	0	0
Branch campuses PT	n/a	n/a	n/a	0	0	0
Other Locations FT	0	0	n/a	0	32	32
Other Locations PT	0	2	n/a	2	34	36
Overseas Locations FT	n/a	n/a	n/a	0	0	0
Overseas Locations FT	n/a	n/a	n/a	0	0	0
Distance education FT	15	20	n/a	35	638	673
Distance education PT	518	575	n/a	1,093	2,643	3,736
Correspondence FT	n/a	n/a	n/a	0	0	0
Correspondence PT	n/a	n/a	n/a	0	0	0
Low-Residency FT	n/a	n/a	n/a	0	0	0
Low-Residency PT	n/a	n/a	n/a	0	0	0
Unduplicated Headcount Total	633	1,111	0	1,744	16,572	18,316
Total FTE	276.07	423.31	n/a	699	13,657.26	14,356.64
Enter FTE definition:	UG = # credit hours / 15 GR = # credit hours / 9	# credit hours / 9	n/a	UG = # credit hours / 15 GR = # credit	UG = # credit hours/15 GR = # credit hours/	UG = # credit hours/15 GR = # credit
Certificates Awarded, Most Recent Year	542					

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.

Please enter any explanatory notes in the box below

Other Locations = Count of all students taking at least one course at Haverhill for Fall 2017
Distance Learning = Count of all students not taking courses at Haverhill and more than 50% credits online for Fall 2017
Main Campus = Count of all students not taking courses at Haverhill and 50% or less credits online for Fall 2017

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

	3 Years Prior (Fall 2014)	2 Years Prior (Fall 2015)	1 Year Prior (Fall 2016)	Current Year (Fall 2017)	Next Year Forward (goal) (Fall 2018)
For Fall Term, as of Census Date					
Continuing Education [OCE]					
Certificate	217	233	246	245	260
Associate	199	193	194	159	157
Baccalaureate	1,736	1,723	1,723	1,732	1,726
Non-degree seeking	680	660	621	619	590
Total OCE Undergraduate	2,832	2,809	2,784	2,755	2,733
Day					
Baccalaureate	10,039	10,345	10,747	11,148	11,502
Non-degree seeking	115	112	107	110	106
Total Day Undergraduate	10,154	10,457	10,854	11,258	11,608
OCE + Day					
Certificate	217	233	246	245	260
Associate	199	193	194	159	157
Baccalaureate	11,775	12,068	12,470	12,880	13,228
Non-degree seeking	795	772	728	729	696
Total Undergraduate	12,986	13,266	13,638	14,013	14,341

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

	3 Years Prior (Fall 2014)	2 Years Prior (Fall 2015)	1 Year Prior (Fall 2016)	Current Year (Fall 2017)	Next Year Forward (goal) (Fall 2018)
For Fall Term, as of Census Date					
Master's/Educational Specialist	2,421	2,487	2,601	2,701	2,791
Doctorate	809	788	825	832	840
Certificate	452	431	431	388	378
Non-degree seeking	516	478	358	382	303
Total Graduate	4,198	4,184	4,215	4,303	4,312

**Standard 4: The Academic Program
(Credit Hours Generated at the Undergraduate and Graduate Levels)**

	3 Years Prior (Fall 2014)	2 Years Prior (Fall 2015)	1 Year Prior (Fall 2016)	Current Year (Fall 2017)	Next Year Forward (goal) (Fall 2018)
Undergraduate	158,121	162,940	166,419	172,846	176,995
Graduate	25,245	24,627	25,076	26,348	26,264
Total	183,366	187,567	191,495	199,194	203,259

**Standard 4: The Academic Program
(Information Literacy sessions)**

Main campus					
Sessions embedded in a class	371	360	271	225	250
Free-standing sessions	8	6	5	7	20
Branch/other locations					
Sessions embedded in a class					
Free-standing sessions					
Online sessions					
URL of Information Literacy Reports					

Please enter any explanatory notes in the box below

Standard 5: Students
(Admissions, Fall Term)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

?

Credit Seeking Students Only - Including Continuing Education

3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	1 Year Prior (FY 2017)	Current Year (FY 2018)	Goal (specify year) (FY 2019)
Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018

UNDERGRADUATE

Continuing Education

Freshmen

	3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	1 Year Prior (FY 2017)	Current Year (FY 2018)	Goal (FY 2019)
Completed Applications	48	55	96	75	77
Applications Accepted	48	54	92	67	68
Applicants Enrolled	34	36	58	42	45
% Accepted of Applied	100.0%	98.2%	95.8%	89.3%	88.3%
% Enrolled of Accepted	70.8%	66.7%	63.0%	62.7%	66.2%
Percent Change Year over Year					
Completed Applications	na	14.6%	74.5%	-21.9%	2.7%
Applications Accepted	na	12.5%	70.4%	-27.2%	1.5%
Applicants Enrolled	na	5.9%	61.1%	-27.6%	7.1%

Transfers

	3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	1 Year Prior (FY 2017)	Current Year (FY 2018)	Goal (FY 2019)
Completed Applications	409	504	702	709	723
Applications Accepted	403	498	686	659	672
Applications Enrolled	270	321	408	381	389
% Accepted of Applied	98.5%	98.8%	97.7%	92.9%	92.9%
% Enrolled of Accepted	67.0%	64.5%	59.5%	57.8%	57.9%

Day

Freshmen

	3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	1 Year Prior (FY 2017)	Current Year (FY 2018)	Goal (FY 2019)
Completed Applications	9,391	10,636	11,226	11,106	12,121
Applications Accepted	5,822	6,018	6,766	7,629	8,667
Applicants Enrolled	1,639	1,598	1,680	1,997	2,100
% Accepted of Applied	62.0%	56.6%	60.3%	68.7%	71.5%
% Enrolled of Accepted	28.2%	26.6%	24.8%	26.2%	24.2%
Percent Change Year over Year					
Completed Applications	na	13.3%	5.5%	-1.1%	9.1%

Applications Accepted	na	3.4%	12.4%	12.8%	13.6%
Applicants Enrolled	na	-2.5%	5.1%	18.9%	5.2%
Average of statistical indicator of aptitude of enrollees: (define below)	?				
SAT Total	1150	1173	1171	1225	1237
Weighted HS GPA	3.43	3.54	3.59	3.55	3.60

Transfers

Completed Applications	1,933	1,907	1,956	1,820	1,950
Applications Accepted	1,813	1,759	1,800	1,684	1,800
Applications Enrolled	1,208	1,216	1,157	1,062	1,150
% Accepted of Applied	93.8%	92.2%	92.0%	92.5%	92.3%
% Enrolled of Accepted	66.6%	69.1%	64.3%	63.1%	63.9%

GRADUATE

Master's/Ed.S. Degree

Completed Applications	1,588	1,788	1,879	2,175	2,066
Applications Accepted	1,203	1,376	1,479	1,803	1,713
Applications Enrolled	707	844	882	931	959
% Accepted of Applied	75.8%	77.0%	78.7%	82.9%	82.9%
% Enrolled of Accepted	58.8%	61.3%	59.6%	51.6%	56.0%

Doctoral Degree

Completed Applications	567	607	580	639	620
Applications Accepted	232	262	281	265	257
Applications Enrolled	145	166	184	177	172
% Accepted of Applied	40.9%	43.2%	48.4%	41.5%	41.5%
% Enrolled of Accepted	62.5%	63.4%	65.5%	66.8%	66.9%

Please enter any explanatory notes in the box below

**Standard 5: Students
(Enrollment, Fall Term)**

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

?

Credit-Seeking Students Only - Including Continuing Education

3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	1 Year Prior (FY 2017)	Current Year (FY 2018)	Goal (specify year) (FY 2019)
Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018

UNDERGRADUATE

?

Continuing Education

First Year

Full-Time Headcount	?	39	49	39	38	*
Part-Time Headcount	?	178	200	203	174	*
Total Headcount		217	249	242	212	225
Total FTE	?	103	120	115	101	*

Second Year

Full-Time Headcount		79	84	100	92	*
Part-Time Headcount		312	311	303	305	*
Total Headcount		391	395	403	397	403
Total FTE		187	188	205	198	*

Third Year

Full-Time Headcount		115	99	141	144	*
Part-Time Headcount		429	401	389	379	*
Total Headcount		544	500	530	523	516
Total FTE		268	249	286	282	*

Fourth Year

Full-Time Headcount		101	119	136	144	*
Part-Time Headcount		682	653	606	615	*
Total Headcount		783	772	742	759	739
Total FTE		352	360	351	364	*

UG Certificates

Full-Time Headcount		12	12	8	6	*
Part-Time Headcount		205	221	238	239	*
Total Headcount		217	233	246	245	260
Total FTE		79	83	87	85	

Non-degree seeking

Full-Time Headcount		139	134	98	74	*
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Part-Time Headcount	541	526	523	545	*
Total Headcount	680	660	621	619	590
Total FTE	279	279	248	229	*

Total OCE Undergraduate Students

Full-Time Headcount	485	497	522	498	*
Part-Time Headcount	2,347	2,312	2,262	2,257	*
Total Headcount	2,832	2,809	2,784	2,755	2,733
Total FTE	1,268	1,279	1,291	1,259	*
% Change FTE Undergraduate	na	0.9%	0.9%	-2.5%	*

UNDERGRADUATE



Day

First Year

Full-Time Headcount	?	2,408	2,343	2,362	2,750	*
Part-Time Headcount	?	91	78	71	70	*
Total Headcount		2,499	2,421	2,433	2,820	2,787
Total FTE	?	2,436	2,397	2,352	2,738	*

Second Year

Full-Time Headcount		2,365	2,459	2,392	2,276	*
Part-Time Headcount		187	193	216	180	*
Total Headcount		2,552	2,652	2,608	2,456	2,484
Total FTE		2,415	2,521	2,458	2,347	*

Third Year

Full-Time Headcount		2,197	2,424	2,464	2,548	*
Part-Time Headcount		299	306	352	320	*
Total Headcount		2,496	2,730	2,816	2,868	3,028
Total FTE		2,300	2,530	2,566	2,662	*

Fourth Year

Full-Time Headcount		1,981	2,010	2,264	2,417	*
Part-Time Headcount		511	532	626	587	*
Total Headcount		2,492	2,542	2,890	3,004	3,203
Total FTE		2,169	2,202	2,486	2,625	*

Non-degree seeking

Full-Time Headcount		7	10	15	6	*
Part-Time Headcount		108	102	92	104	*
Total Headcount		115	112	107	110	106
Total FTE		35	35	40	33	*

Total DAY Undergraduate Students

Full-Time Headcount	8,958	9,246	9,497	9,997	*
Part-Time Headcount	1,196	1,211	1,357	1,261	*
Total Headcount	10,154	10,457	10,854	11,258	11,608
Total FTE	9,353	9,685	9,902	10,405	*
% Change FTE Undergraduate	na	3.5%	2.2%	5.1%	*

Total Undergraduate Students

Full-Time Headcount	9,443	9,743	10,019	10,495	*
Part-Time Headcount	3,543	3,523	3,619	3,518	*
Total Headcount	12,986	13,266	13,638	14,013	14,341
Total FTE	10,621	10,964	11,193	11,664	*
% Change FTE Undergraduate	na	3.2%	2.1%	4.2%	*

GRADUATE



Degree-seeking

Full-Time Headcount	1,320	1,222	1,258	1,237	*
Part-Time Headcount	1,910	2,053	2,168	2,296	*
Total Headcount	3,230	3,275	3,426	3,533	3,631
Total FTE	2,240	2,157	2,258	2,340	*
% Change FTE Graduate	na	-3.7%	4.7%	3.6%	*

Certificate-seeking

Full-Time Headcount	13	22	18	17	*
Part-Time Headcount	439	409	413	371	*
Total Headcount	452	431	431	388	378
Total FTE	219	211	209	191	*
% Change FTE Graduate	na	-3.7%	-0.9%	-8.6%	*

Non-degree seeking

Full-Time Headcount	21	17	18	13	*
Part-Time Headcount	495	461	340	369	*
Total Headcount	516	478	358	382	303
Total FTE	214	200	156	161	*
% Change FTE Graduate	na	-6.4%	-22.0%	3.5%	*

Total Graduate Students

Full-Time Headcount	1,354	1,261	1,294	1,267	*	
Part-Time Headcount	2,844	2,923	2,921	3,036	*	
Total Headcount	4,198	4,184	4,215	4,303		4,312
Total FTE	2,673	2,568	2,623	2,693	*	
% Change FTE Graduate	na	-3.9%	2.1%	2.7%	*	

GRAND TOTAL

Grand Total Headcount	7,030	6,993	6,999	7,058		18,653
Grand Total FTE	3,941	3,847	3,914	3,951	*	
% Change Grand Total FTE	na	-2.4%	1.7%	1.0%	*	

Please enter any explanatory notes in the box below

Undergraduate level is based on:

First year = 0-29 credits

Second year = 30-59 credits

Third year = 60-89 credits

Fourth year = 90+ credits

* Goals are not currently set at the FT/PT distinction.

Standard 5: Students
(Financial Aid, Debt, Developmental Courses)

Complete this form for each distinct student body identified by the institution (see Standard 5.1)

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

<https://www.uml.edu/Admissions-Aid/>

? Three-year Cohort Default Rate

(FY 2012)	(FY 2013)	(FY 2014)	(FY 2015 preliminary)
5.3	5.3	5.1	5.1

? Three-year Loan repayment rate
 (from College Scorecard)

(FY 2017)	(FY 2018)	(FY 2019)
n/a	62%	63%

3 Years Prior	2 Years Prior	Most Recently Completed Year	Current Year	Goal (specify year)
(FY 2015)	(FY 2016)	(FY 2017)	(FY 2018)	(FY)

? Student Financial Aid

Total Federal Aid	\$92,620,022	\$90,636,188	\$92,701,194	\$96,539,741	*
Grants	\$15,990,978	\$15,919,737	\$15,460,558	\$17,226,130	*
Loans	\$76,124,155	\$74,215,749	\$76,761,324	\$78,820,887	*
Work Study	\$504,889	\$500,702	\$479,312	\$492,724	*
Total State Aid	\$11,059,965	\$11,537,384	\$6,361,581	\$6,910,989	*
Total Institutional Aid	\$39,758,637	\$43,696,213	\$55,551,714	\$60,799,929	*
Grants	\$37,103,376	\$41,206,440	\$53,140,127	\$58,291,695	*
Loans	\$0	\$0	\$0	\$0	*
Student Employment	\$2,655,261	\$2,489,773	\$2,411,587	\$2,508,234	*
Total Private Aid	\$18,542,949	\$22,997,076	\$25,213,717	\$27,035,095	*
Grants	\$1,810,889	\$2,071,864	\$2,502,525	\$3,052,602	*
Loans	\$16,732,060	\$20,925,212	\$22,711,192	\$23,982,493	*

Student Debt

Percent of students graduating with debt (include all students who graduated in this calculation)

Undergraduates	78%	75%	74%	*	*
Graduates	34%	27%	28%	*	*
First professional students	n/a	n/a	n/a	*	*

For students with debt:

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

Undergraduates	\$28,431	\$30,028	\$31,436	*	*
Graduates	\$26,662	\$27,485	\$27,397	*	*
First professional students	n/a	n/a	n/a	*	*

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

Undergraduates	\$13,580	\$15,006	\$16,137	*	*
Graduate Students	\$22,969	\$23,661	\$17,712	*	*
First professional students	n/a	n/a	n/a	*	*

Percent of First-year students in Developmental Courses (courses for which no credit toward a degree is granted)

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

Please enter any explanatory notes in the box below

* Data not available as of 6/2018.

Standard 6: Teaching, Learning, and Scholarship
(Faculty by Category and Rank; Academic Staff by Category, Fall Term)

3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	1 Year Prior (FY 2017)	Current Year (FY 2018)
Fall 2014	Fall 2015	Fall 2016	Fall 2017

? Number of Faculty by category

Full-time	504	518	525	527
Adjunct	494	547	536	503
Clinical	9	11	15	15
Research	10	9	9	8
Visiting	36	36	36	74
Other, specify below:				
Total	1,053	1,121	1,121	1,127

Percentage of Courses taught by full-time faculty

64.22%	61.46%	62.16%	66.79%
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? Number of Faculty by rank, if applicable

Professor	169	149	146	143
Associate	152	154	155	155
Assistant	86	110	126	133
Instructor	0	1	1	1
Other, specify below:				
NTT Lecturer	97	104	97	95
Clinical	9	11	15	15
Visiting	36	36	36	74
Total	549	565	576	616

? Number of Academic Staff by category

Librarians	12	10	5	4
Advisors	588	594	583	545
Other; specify below:				
Nursing Lab and Simulation Specialist	-	1	2	3
Total	600	605	590	552

Please enter any explanatory notes in the box below

- Advisors include non-faculty employees that are assigned an advisee during the reported Fall.
 - The Nursing Lab and Simulation Specialist participates in the development, implementation, and evaluation of educational programming in the School of Nursing laboratories.

Standard 6: Teaching, Learning, and Scholarship

(Appointments, Tenure, Departures, Retirements, Teaching Load Full Academic Year)

3 Years Prior (FY 2015)		2 Years Prior (FY 2016)		1 Year Prior (FY 2017)		Current Year* (FY 2018)	
FT	PT	FT	PT	FT	PT	FT	PT

Number of Faculty Appointed

Professor	0	-	1	-	5	-	2	-
Associate	8	-	6	-	3	-	3	-
Assistant	15	-	32	-	34	-	23	-
Instructor	0	-	0	-	0	-	0	-
NTT Lecturer	4	-	7	-	3	-	3	-
Clinical Faculty	1	-	0	-	2	-	1	-
Visiting Faculty	7	-	11	-	8	-	47	-
Research Faculty	-	-	-	-	-	-	1	-
Adjunct Faculty	-	133	-	117	-	88	-	108
Total	35	133	57	117	55	88	80	108

Number of Faculty in Tenured Positions

Professor	168	-	148	-	146	-	141	-
Associate	143	-	142	-	144	-	146	-
Assistant	-	-	-	-	-	-	-	-
Total	311	0	290	0	290	0	287	0

Number of Faculty Departing

Professor	0	-	4	-	2	-	3	-
Associate	2	-	2	-	4	-	1	-
Assistant	5	-	4	-	6	-	4	-
Instructor	0	-	0	-	0	-	0	-
NTT Lecturer	3	-	8	-	8	-	8	-
Clinical Faculty	1	-	0	-	0	-	0	-
Visiting Faculty	5	-	7	-	3	-	10	-
Research Faculty	1	-	0	-	2	-	1	-
Adjunct Faculty	-	161	-	166	-	252	-	243
Total	17	161	25	166	25	252	27	243

2 Number of Faculty Retiring

Professor	27	-	10	-	13	-	4	-
Associate	8	-	6	-	2	-	1	-
Assistant	0	-	1	-	0	-	0	-
Instructor	0	-	0	-	0	-	0	-
NTT Lecturer	0	-	0	-	0	-	0	-
Clinical Faculty	0	-	0	-	1	-	0	-
Visiting Faculty	1	-	0	-	0	-	0	-
Research Faculty	0	-	0	-	0	-	0	-
Adjunct Faculty	-	-	-	-	-	-	-	-
Total	36	0	17	0	16	0	5	0

Please enter any explanatory notes in the box below

* Current year is based on Fall 2017 and Spring 2018 census data through March 2018 only.

**Standard 7: Institutional Resources
(Headcount of Employees by Occupational Category)**

For each of the occupational categories below, enter the data reported on the IPEDS Human Resources Survey (Parts B and D1) for each of the years listed.

If your institution does not submit IPEDS, visit this link for information about how to complete this form:

https://surveys.nces.ed.gov/IPEDS/Downloads/Forms/package_1_43.pdf

	3 Years Prior			2 Years Prior			1 Year Prior			Current Year		
	(FY 2015)			(FY 2016)			(FY 2017)			(FY 2018)		
	Fall 2014			Fall 2015			Fall 2016			Fall 2017		
	FT	PT	Total	FT	PT	Total	FT	PT	Total	FT	PT	Total
Instructional Staff	549	494	1,043	566	547	1,113	578	536	1,114	619	503	1,122
Research Staff	35	4	39	30	6	36	35	3	38	32	6	38
Public Service Staff			0			0			0			0
Librarians	12		12	10		10	5		5	4	0	4
Library Technicians			0			0			0			0
Archivists, Curators, Museum staff			0			0			0			0
Student and Academic Affairs	10	1	11	9	1	10	9	1	10	11	0	11
Management Occupations	319	9	328	356	9	365	363	6	369	381	4	385
Business and Financial Operations	80	2	82	78	1	79	88	1	89	92	1	93
Computer, Engineering and Science	124	4	128	141	5	146	136	4	140	129	4	133
Community, Social Service, Legal, Arts, Design, Entertainment, Sports, and Media	90	1	91	92	1	93	96	1	97	96	1	97
Healthcare Practitioners and Technical	5		5	7		7	7		7	8	0	8
Service Occupations	148		148	140		140	140		140	142	0	142
Sales and Related Occupations			0			0			0			0
Office and Administrative Support	156	6	162	159	5	164	152	5	157	155	2	157

Natural Resources, Construction, Maintenance	19		19	27		27	29		29	29	0	29
Production, Transportation, Material Moving	3		3	2		2	3		3	3	0	3
Total	1,550	521	2,071	1,617	575	2,192	1,641	557	2,198	1,701	521	2,222

Please enter any explanatory notes in the box below

Standard 7: Institutional Resources
(Statement of Financial Position/Statement of Net Assets)

Fiscal Year ends - month & day: (6/30)		2 Years Prior (FY 2015)	1 Year Prior (FY 2016)	Most Recent Year	Percent Change yrs-1 yr prior 1 yr-most recent		2
ASSETS (in 000s)							
?	Cash and Short Term Investments	\$39,833	\$40,846	\$35,457	2.5%		-13.2%
?	Cash held by State Treasurer	\$6,469	\$3,921	\$12,902	-39.4%		229.0%
?	Deposits held by State Treasurer				-		-
?	Accounts Receivable, Net	\$31,161	\$25,818	\$37,515	-17.1%		45.3%
?	Contributions Receivable, Net	\$2,893	\$2,718	\$3,556	-6.0%		30.8%
?	Inventory and Prepaid Expenses				-		-
?	Long-Term Investments	\$74,665	\$89,631	\$71,597	20.0%		-20.1%
?	Loans to Students	\$5,564	\$5,674	\$5,655	2.0%		-0.3%
?	Funds held under bond agreement	\$119,931	\$79,358	\$24,920	-33.8%		-68.6%
?	Property, plants, and equipment, net	\$623,420	\$684,841	\$800,221	9.9%		16.8%
?	Other Assets	\$15,607	\$20,363	\$15,248	30.5%		-25.1%
	Total Assets	\$919,543	\$953,170	\$1,007,071	3.7%		5.7%
LIABILITIES (in 000s)							
?	Accounts payable and accrued liabilities	\$53,549	\$54,834	\$53,055	2.4%		-3.2%
?	Deferred revenue & refundable advances	\$10,958	\$10,310	\$16,119	-5.9%		56.3%
?	Due to state				-		-
?	Due to affiliates				-		-
?	Annuity and life income obligations				-		-
?	Amounts held on behalf of others	\$1,368	\$911	\$569	-33.4%		-37.5%
?	Long-term investments	\$521,937	\$514,804	\$510,979	-1.4%		-0.7%
?	Refundable government advances	\$3,771	\$3,667	\$3,656	-2.8%		-0.3%
?	Other long-term liabilities	\$7,669	\$12,806	\$8,856	67.0%		-30.8%
	Total Liabilities	\$599,252	\$597,332	\$593,234	-0.3%		-0.7%
NET ASSETS (in 000s)							
	Unrestricted net assets						

	Institutional	\$66,552	\$72,222	\$61,085	8.5%	-15.4%
U	Foundation	\$18,888	\$17,041	\$18,325	-9.8%	7.5%
	Total	\$85,440	\$89,263	\$79,410	4.5%	-11.0%
	Temporarily restricted net assets					
	Institutional	\$229,123	\$261,207	\$328,051	14.0%	25.6%
U	Foundation	\$1,272	\$825	\$984	-35.1%	19.3%
	Total	\$230,395	\$262,032	\$329,035	13.7%	25.6%
	Permanently restricted net assets					
	Institutional				-	-
U	Foundation	\$4,456	\$4,543	\$5,392	2.0%	18.7%
	Total	\$4,456	\$4,543	\$5,392	2.0%	18.7%
	Total Net Assets	\$320,291	\$355,838	\$413,837	11.1%	16.3%
	TOTAL LIABILITIES and NET ASSETS	\$919,543	\$953,170	\$1,007,071	3.7%	5.7%

Please enter any explanatory notes in the box below

**Standard 7: Institutional Resources
(Statement of Revenues and Expenses)**

Fiscal Year ends - month& day: (6/30)	3 Years Prior (FY2015)	2 Years Prior (FY2016)	Most Recently Completed Year (FY 2017)	Current Year (Projection FY2018)	Next Year Forward (FY2019)	
OPERATING REVENUES (in 000s)						
?	Tuition and fees	\$205,731	\$224,065	\$243,228	\$256,665	\$269,821
?	Room and board	\$48,939	\$52,649	\$54,789	\$59,822	\$60,566
?	Less: Financial aid	-\$41,511	-\$45,417	-\$54,517	-\$60,709	-\$64,403
	Net student fees	\$213,159	\$231,297	\$243,500	\$255,778	\$265,984
?	Government grants and contracts	\$33,283	\$31,855	\$32,269	\$32,583	\$33,599
?	Private gifts, grants and contracts	\$14,062	\$12,916	\$14,919	\$14,977	\$15,372
?	Other auxiliary enterprises	\$4,529	\$5,133	\$5,781	\$6,024	\$6,208
	Endowment income used in operations	\$2,165	\$2,396	\$2,715	\$2,968	\$3,119
?	Other revenue (specify):	\$66	\$89	\$767	\$790	\$814
	Other revenue (specify):	\$8,205	\$7,984	\$7,008	\$7,218	\$7,434
	Net assets released from restrictions					
	Total Operating Revenues	\$275,469	\$291,670	\$306,959	\$320,338	\$332,530
OPERATING EXPENSES (in 000s)						
?	Instruction	\$113,129	\$123,521	\$128,245	\$136,330	\$143,064
?	Research	\$45,313	\$45,846	\$45,506	\$47,214	\$48,118
?	Public Service	\$947	\$1,176	\$1,132	\$1,165	\$1,186
?	Academic Support	\$32,027	\$36,441	\$36,613	\$38,599	\$39,495
?	Student Services	\$32,268	\$34,272	\$36,147	\$37,655	\$38,449
?	Institutional Support	\$40,141	\$41,204	\$43,765	\$46,582	\$47,689
	Fundraising and alumni relations					
?	Operation, maintenance of plant (if not allocated)	\$36,005	\$37,940	\$39,018	\$41,376	\$42,341
?	Scholarships and fellowships (cash refunded by public institution)	\$9,383	\$9,134	\$9,316	\$11,011	\$11,261

✓	Auxiliary enterprises	\$31,063	\$34,059	\$35,647	\$37,161	\$37,804
✓	Depreciation (if not allocated)	\$28,666	\$32,985	\$34,127	\$36,682	\$39,236
✓	Other expenses (specify):					
	Other expenses (specify):					
	Total operating expenditures	\$368,942	\$396,578	\$409,516	\$433,775	\$448,643
	Change in net assets from operations	-\$93,473	-\$104,908	-\$102,557	-\$113,437	-\$116,113
	NON OPERATING REVENUES (in 000s)					
✓	State appropriations (net)	\$96,633	\$104,725	\$111,859	\$118,770	\$120,354
✓	Investment return	\$1,934	\$5,997	\$5,071	\$4,689	\$3,051
✓	Interest expense (public institutions)	-\$18,371	-\$21,272	-\$18,790	-\$21,391	-\$21,500
	Gifts, bequests and contributions not used in operations	\$10,666	\$11,404	\$2,792	\$4,000	\$8,400
✓	Other (specify): Non-Operating Federal	\$15,985	\$15,900	\$15,474	\$17,076	\$17,375
	Other (specify): Other Non-Operating	\$135	\$108	\$480	\$100	\$100
	Other (specify): Endow Return, net of amt used for oper	-\$1,102	-\$2,298	\$1,556	\$0	\$0
	Net non-operating revenues	\$105,880	\$114,564	\$118,442	\$123,244	\$127,780
	Income before other revenues, expenses, gains, or losses	\$12,407	\$9,656	\$15,885	\$9,807	\$11,667
✓	Capital appropriations (public institutions)	\$7,099	\$27,591	\$42,994	\$5,000	\$6,250
✓	Other (specify):	-\$3,047	-\$1,700	-\$880	-\$448	-\$315
	TOTAL INCREASE/DECREASE IN NET ASSETS	\$16,459	\$35,547	\$57,999	\$14,359	\$17,602

**Standard 7: Institutional Resources
(Statement of Debt)**

FISCAL YEAR ENDS month & day (6/30)		3 Years Prior (FY2015)	2 Years Prior (FY2016)	Most Recently Completed Year (FY 2017)	Current Year (Projection FY 2018)	Next Year Forward (FY 2019)
	Debt					
	Beginning balance	\$465,364	\$521,937	\$514,804	\$510,979	\$516,466
	Additions	\$111,477	\$5,578	\$21,425	\$19,100	\$42,800
	Reductions	(\$54,904)	(\$12,711)	(\$25,250)	(\$13,613)	(\$13,646)
	Ending balance	\$521,937	\$514,804	\$510,979	\$516,466	\$545,620
	Interest paid during fiscal year	\$18,371	\$21,272	\$18,790	\$21,391	\$21,500
	Current Portion	\$53,311	\$30,311	\$26,294	\$28,008	\$43,599
	Bond Rating	Aa2	Aa2	Aa2	Aa2	Aa2

Debt Covenants: (1) Describe interest rate, schedule, and structure of payments; and (2) indicate whether the debt covenants are being met.

Line(s) of Credit: List the institutions line(s) of credit and their uses.

Future borrowing plans (please describe)

Commercial Paper is being used in FY18 and FY19 to finance the improvements to Perry, Olsen and Coburn. In FY19, it is anticipated that \$25m will be borrowed for Perry and the commercial paper will be repaid. In FY20, it is anticipated that \$44m will be borrowed for Olsen and Coburn and the commercial paper will be repaid.

Please enter any explanatory notes in the box below

**Standard 7: Institutional Resources
(Supplemental Data)**

FISCAL YEAR ENDS month & day (6/30)	3 Years Prior (FY 2015)	2 Years Prior (FY 2016)	Most Recently Completed Year (FY 2017)	Current Year (Projection FY 2018)	Next Year Forward (FY 2019)
NET ASSETS					
Net assets beginning of year	\$303,832	\$320,291	\$355,838	\$413,837	\$428,196
Total increase/decrease in net assets	\$16,459	\$35,547	\$57,999	\$14,359	\$17,602
Net assets end of year	\$320,291	\$355,838	\$413,837	\$428,196	\$445,798
FINANCIAL AID					
Source of funds					
Unrestricted institutional	\$25,028	\$27,425	\$35,690	\$40,594	\$43,790
Federal, state and private grants	\$20,343	\$20,168	\$19,844	\$22,148	\$22,448
Restricted funds	\$5,523	\$6,958	\$8,299	\$8,978	\$9,426
Total	\$50,894	\$54,551	\$63,833	\$71,720	\$75,664
% Discount of tuition and fees	24.7%	24.6%	26.2%	27.9%	28.0%
? % Unrestricted discount	12.2%	12.2%	14.7%	15.8%	16.2%
FEDERAL FINANCIAL RESPONSIBILITY COMPOSITE SCORE					

Please indicate your institution's endowment spending policy:

The endowment distributin policy computes the distribution at the rate of 4 percent of the endowment fund's average fair value for the preceding twelve quarters on a one year lag. Only quarters with funds on deposit are included in the average. In addition, a prudence rule is utilized limiting spending from a particular endowment fund to no lower than 93 percent of its book value.

Please enter any explanatory notes in the box below

**Standard 8: Educational Effectiveness
(Undergraduate Retention and Graduation Rates)**

Student Success Measures / Prior Performance and Goals	3 Years	2 Years	1 Year	Current Year	Next Year
	Prior	Prior	Prior		Forward
	(FY2015)	(FY2016)	(FY2017)		(goal)
	as reported in				
	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
	2013 Cohort	2014 Cohort	2015 Cohort	2016 Cohort	2017 Cohort
IPEDS Retention Data					
Bachelors degree students	84%	86%	85%	86%	87%
? IPEDS Graduation Data (150% of time)					
Bachelors degree students	54%	56%	56%	60%	62%
? IPEDS Outcomes Measures Data*					
				2009-10	2010-11
First-time, full time students	2006 Cohort	2007 Cohort	2008 Cohort	Full-year Cohort	Full-year Cohort
Awarded a degree within six years	54%	54%	54%	55%	†
Awarded a degree within eight years	57%	58%	58%	58%	†
Not awarded within eight years but still enrolled	n/a	1%	2%	1%	†
First-time, part-time students					
Awarded a degree within six years	n/a	21%	14%	14%	†
Awarded a degree within eight years	n/a	26%	21%	17%	†
Not awarded within eight years but still enrolled	n/a	5%	0%	6%	†
Non-first-time, full-time students					
Awarded a degree within six years	n/a	63%	61%	60%	†
Awarded a degree within eight years	n/a	65%	63%	62%	†
Not awarded within eight years but still enrolled	n/a	1%	1%	1%	†
Non-first-time, part-time students					
Awarded a degree within six years	n/a	47%	38%	38%	†
Awarded a degree within eight years	n/a	50%	41%	42%	†
Not awarded within eight years but still enrolled	n/a	0%	1%	3%	†
? Other Undergraduate Retention/Persistence Rates (Add definitions/methodology in #1 below)					
	2013 Cohort	2014 Cohort	2015 Cohort	2016 Cohort	2017 Cohort
1 First-time, part-time bachelor's seeking students	67%	63%	60%	54%	†
2 Transfer (full-time bachelor's seeking)	81%	81%	81%	82%	†
3 Female (FTFT)	87%	90%	85%	85%	†
4 Male (FTFT)	83%	84%	85%	87%	†
5 Minority (FTFT)	83%	86%	80%	84%	†
6 Veterans	n/a	66%	70%	**	†

? Other Undergraduate Graduation Rates (Add definitions/methodology in # 2 below)					
	2008 Cohort	2009 Cohort	2010 Cohort	2011 Cohort	2012 Cohort
1 Female (FTFT, 6-yr)	61%	61%	62%	69%	†
2 Male (FTFT, 6-yr)	51%	53%	53%	55%	†
3 Minority (FTFT, 6-yr)	53%	54%	49%	52%	†
4 PELL-Grant Eligible	51%	53%	52%	52%	†
5 Athletes	75%	58%	71%	71%	†
6 Veterans	47%	48%	48%	**	†
	2010 Cohort	2011 Cohort	2012 Cohort	2013 Cohort	2014 Cohort
7 Upper Level Transfer (4-yr grad rate)	62%	66%	64%	65%	†
Definition and Methodology Explanations					
1 * IPEDS changed the methodology for the Outcome Measures survey as of the 2017-18 reporting cycle. The OMS now tracks full-year cohorts in lieu of the traditional Fall start.					
2 ** Data will not be available until end of July 2018.					
3 † Short-range goals are adjusted dynamically.					

Note: complete this form for each distinct student body identified by the institution (See Standard 8.1)

Standard 8: Educational Effectiveness
(Student Success and Progress Rates and Other Measures of Student Success)

Category of Student/Outcome Measure	Bachelor Cohort Entering		Associate Cohort Entering	
	6 years ago	4 years ago	6 years ago	4 years ago
	2011 Cohort	2013 Cohort	2011 Cohort	2013 Cohort
First-time, Full-time Students				
Degree from original institution	60%	40%	0%	0%
Not graduated, still enrolled at original institution	5%	33%	0%	0%
Degree from a different institution	11%	5%	0%	100%
Transferred to a different institution	6%	9%	100%	0%
Not graduated, never transferred, no longer enrolled	19%	12%	0%	0%
First-time, Part-time Students				
Degree from original institution	0%	40%	0%	0%
Not graduated, still enrolled at original institution	0%	33%	0%	20%
Degree from a different institution	22%	0%	0%	20%
Transferred to a different institution	22%	7%	8%	20%
Not graduated, never transferred, no longer enrolled	56%	20%	92%	40%
Non-first-time, Full-time Students				
Degree from original institution	64%	58%	50%	0%
Not graduated, still enrolled at original institution	13%	12%	0%	33%
Degree from a different institution	3%	9%	17%	0%
Transferred to a different institution	3%	6%	17%	33%
Not graduated, never transferred, no longer enrolled	16%	15%	17%	33%
Non-first-time, Part-time Students				
Degree from original institution	45%	35%	18%	27%
Not graduated, still enrolled at original institution	1%	19%	5%	36%
Degree from a different institution	23%	9%	14%	5%
Transferred to a different institution	6%	8%	9%	0%
Not graduated, never transferred, no longer enrolled	24%	29%	55%	32%

Measures of Student Achievement and Success/Institutional Performance and Goals					
	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY 2)	(FY2)	(FY 2)	(FY 2)	(FY 2)

Success of students pursuing higher degrees (add more rows as needed; add definitions/methodology in #1 below)

1					
2					
3					
4					

Other measures of student success and achievement, including success of graduates in pursuing mission-related paths (e.g., Peace Corps, public service, global citizenship, leadership, spiritual formation) and success of graduates in fields for which they were not explicitly prepared (add more rows as needed; add definitions/methodology in #2 below)

1					
2					
3					
4					

Definition and Methodology Explanations

1	
2	

Standard 8: Educational Effectiveness
(Licensure Passage and Job Placement Rates and
Completion and Placement Rates for Short-Term Vocational Training Programs)

	3-Years Prior	2 Years Prior	1 Year Prior	Most Recent Year
	(FY 2015)	(FY 2016)	(FY 2017)	(FY 2018)

? State Licensure Examination Passage Rates									
	Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1	Massachusetts Test for Educator Licensure (MTEL)	22	22	37	37	38	38	18	18
2	National Council of State Boards of Nursing RN Licensure Exam (NCLEX-RN)	78	49	81	72	88	79	31	31
3									
4									
5									

? National Licensure Passage Rates									
	Name of exam	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed	# who took exam	# who passed
1	American Society for Clinical Pathology: Medical Laboratory Science Board of Certification Exam	18	16	23	23	11	10	**	1
2	NPTE- PT (National Physical Therapy Exam)	36	36	32	31	34	34	32	31
3	American Academy of Nurse Practitioners	11	10	21	21	20	19		
4	American Nurses Credentialing Center	16	15			8	8		
5									

? Job Placement Rates										
	Major/time period	*	# of grads	# with jobs	# of grads	# with jobs	# of grads	# with jobs	# of grads	# with jobs
1	All College of Education Completers		75	75	144	144	112	112	93	93
2	Clinical Laboratory Sciences (BS)		33	31	40	40	23		24	
3	Community Health (BS)		8	8	2	2				
4	Environmental Health (BS)		5	5	3	3				
5	Exercise Physiology (BS)		77	68	100	100	104		89	
6	Nursing (BS)		111	100	108	108	102		88	
7	Nutritional Science (BS)		16	16	18	18	20		13	
8	Public Health(BS)		20		33	29	62		73	

* Check this box if the program reported is subject to "gainful employment" requirements.

Web location of gainful employment report (if applicable)

Completion and Placement Rates for Short-Term Vocational Training Programs for which students are eligible for Federal Financial Aid

3 Years Prior (FY 2)	2 Years Prior (FY2)	1 Year Prior (FY 2)	Current Year (FY 2)	Next Year Forward (goal) (FY 2)
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Completion Rates

1					
2					
3					
4					
5					

Placement Rates

1					
2					
3					
4					
5					

Please enter any explanatory notes in the box below

College of Education Note 1: MTEL Exams may consist of several "sub" exams depending upon the content area of the license. Here only first-time Initial Licensure candidates are included. If a candidate does not pass their "battery" of MTEL exams, they are not awarded their teacher license by the state. All of our teacher candidates were awarded their licenses by the state, and therefore passed all required MTEL exams. College of Education Note 2: "Fiscal Year" includes completers/graduates from Summer, Fall, and Spring, i.e. Summer 2014, Fall 2014, Spring 2015.

** As of 6/2018, data collection is ongoing.

Standard 8: Educational Effectiveness
(Graduate Programs, Distance Education, Off-Campus Locations)

Student Success Measures/ Prior Performance and Goals	3 Years Prior	2 Years Prior	1 Year Prior	Current Year	Next Year Forward (goal)
	(FY2015)	(FY2016)	(FY2017)	(FY2018)	(FY2019)
	as reported in Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
? Master's Programs (Add definitions/methodology in #1 below)					
Retention rates first-to-second year	90%	89%	90%	90%	†
Graduation rates @ 150% time					
2yr programs	75%	74%	77%	75%	†
2.5yr programs	84%	83%	87%	84%	†
3yr programs	76%	78%	81%	70%	†
Median semesters to degree	5	4	5	5	†
Other measures, specify:					
? Doctoral Programs (Add definitions/methodology in #2 below)					
Retention rates first-to-second year	91%	90%	87%	95%	†
Graduation rates @ 150% time					
3yr programs	87%	88%	95%	94%	†
4yr programs	21%	38%	35%	39%	†
6yr programs	55%	59%	70%	58%	†
Median semesters to degree	9	10	10	9	†
Other measures, specify:					
? First Professional Programs (Add definitions/methodology in #3 below)					
Retention rates first-to-second year					
Graduation rates @ 150% time					
Average time to degree					
Other measures, specify:					

Distance Education (Add definitions/methodology in #4 below)					
Course completion rates					
Retention rates	83%	85%	82%	84%	†
Graduation rates	24%	34%	41%	40%	†

Other measures, specify:

Branch Campus and Instructional Locations (Add definitions/methodology in #5 below)					
Course completion rates					
Retention rates					
Graduation rates					

Other measures, specify:

Definition and Methodology Explanations

1 Time to degree: Completion data was used for each fiscal year to identify the Master's and Doctoral students earning degrees. The student IDs were joined to student term enrolment data to identify their admit term and the median semesters to degree were calculated based on the admit term and time they were actively enrolled in the program.

2 Time to degree: Completion data was used for each fiscal year to identify the Master's and Doctoral students earning degrees. The student IDs were joined to student term enrolment data to identify their admit term and the median semesters to degree were calculated based on the admit term and time they were actively enrolled in the program.

3 † Short-range goals are adjusted dynamically.

4 Distance Education - First-time, Online Bachelor's Degree-seeking students as reported in USNWR OBD survey.

5

Standard 9: Integrity, Transparency, and Public Disclosure (Integrity)

Policies	Last Updated	Website location where policy is posted	Responsible Office or Committee
Academic honesty	2017	https://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Policies/Academic-Integrity.aspx#/	Office of the Provost
Intellectual property rights	2013	https://www.uml.edu/Research/OTC/student-resources.aspx https://www.uml.edu/docs/Participation-Agreement-and-Receipt-of-Policies_tcm18-88080.pdf	Board of Trustees
Conflict of interest	2017	https://www.uml.edu/Research/OIC/Conflict-of-Interest/COI-policies-and-guidelines.aspx	Board of Trustees
Privacy rights	2017	https://www.uml.edu/Registrar/Policies-and-Procedures/FERPA.aspx	Registrar, Office of the Provost
Fairness for students	2017	https://www.uml.edu/student-services/Policies.aspx	Office of Student Affairs
Fairness for faculty	2014	https://www.uml.edu/Catalog/Graduate/Policies/Equal-and-Fair-Treatment.aspx	Registrar, Office of the Provost
Fairness for staff	2016	https://www.uml.edu/hr/equal/	Human Resources/EOO
Academic freedom	2016	https://www.uml.edu/hr/equal/	Human Resources/EOO
Research	2014	https://faculty.uml.edu/msp/contract/documents/contract2014/2014-Contract-Article-XV.pdf	Office of the Provost/MSP
Title IX	2018	https://www.uml.edu/research/	Office of the Chancellor
	2018	https://www.uml.edu/diversity/equity.aspx	Office of the Chancellor
Non-discrimination policies			
Recruitment and admissions		https://www.uml.edu/docs/Nondiscrimination%2008112014_tcm18-105140_tcm18-225009.pdf	Office of the Chancellor
Employment		https://www.uml.edu/docs/Nondiscrimination%2008112014_tcm18-105140_tcm18-225009.pdf	Office of the Chancellor
Evaluation		https://www.uml.edu/hr/Equal/Equal-Opportunity/Default.aspx	Office of the Chancellor
Disciplinary action		https://www.uml.edu/student-services/Student-Conduct/Student-Conduct-Code.aspx	Office of the Chancellor
Advancement		https://www.uml.edu/docs/Nondiscrimination%2008112014_tcm18-105140_tcm18-225009.pdf	Office of the Chancellor
Other; specify			
EOO Guidelines & Procedures	2018	https://www.uml.edu/HR/Equal/EO-Guidelines.aspx	Office of the Chancellor
Diversity Portal	2017	https://www.uml.edu/diversity/default.aspx	Office of the Chancellor
Resolution of grievances			
Students	2017	https://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Policies/Student-Complaints.aspx	Office of the Provost
Faculty	via app	https://www.uml.edu/faculty-handbook/#G	Office of the Provost
Staff	variable	https://www.uml.edu/HR/Labor-Relations/	Office of the Chancellor
Other; specify			

Other	Last Updated	Website location or Publication	Responsible Office or Committee

Please enter any explanatory notes in the box below

**Standard 9: Integrity, Transparency, and Public Disclosure
(Transparency)**

Information	Website location and/or Relevant Publication(s)
How can inquiries be made about the institution? Where can questions be addressed?	https://www.uml.edu/Directory/Question.aspx
Notice of availability of publications and of audited financial statement or fair summary	https://www.uml.edu/Financial-Services/Budget/
Processes for admissions	https://www.uml.edu/admissions/apply/
Processes for employment	https://www.uml.edu/HR/Employment-Services/ https://www.uml.edu/ISSO/Employment/on-campus.aspx
Processes for grading	https://www.uml.edu/Catalog/Undergraduate/Policies/Academic-Policies/Grading-Policies.aspx#a
Processes for assessment	https://www.uml.edu/Academics/Provost-office/assessment/default.aspx https://www.uml.edu/Academics/Provost-office/accreditation/AQAD.aspx
Processes for student discipline	https://www.uml.edu/docs/Student%20Conduct%20Code%20and%20Resident%20Student%20Handbook_tcm18-74786.pdf
Processes for consideration of complaints and appeals	https://www.uml.edu/Registrar/Student-Appeals.aspx

List below the statements or promises made regarding program excellence, learning outcomes, success in placement, and achievements of graduates or faculty and indicate where valid documentation can be found.	
Statement/Promise	Website location and/or publication where valid documentation can be found
Core Curriculum (Institutional) Learning Outcomes	https://www.uml.edu/Core
Searchable Program Learning Outcomes	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/
Achievements of Students	https://www.uml.edu/profiles/-_individual_College_websites
Achievements of Faculty	https://www.uml.edu/Academics/Provost-office/Faculty-success/Recognition/ https://www.uml.edu/Profiles/Profile-list-Faculty.aspx : individual College websites
Achievements of Graduates	https://www.uml.edu/Profiles/Profile-list-Alumni.aspx https://www.uml.edu/Magazine/Alumni-Magazine.aspx : individual College websites
Strategic Plan Annual Report Card	https://www.uml.edu/docs/2018-Report-Card_tcm18-289476.pdf

Date of last review of:	
Print publications	Annually by office with the assistance of University Relations/Web Services
Digital publications	Annually by office with the assistance of Registrar's Office and University Relations/Web Services

Please enter any explanatory notes in the box below

**Standard 9: Integrity, Transparency, and Public Disclosure
(Public Disclosure)**

Information	Website location
Institutional catalog	https://www.uml.edu/catalog/#/
Obligations and responsibilities of students and the institution	https://www.uml.edu/thesolutioncenter/financial-aid/Maintaining-Aid/Rights.aspx
Information on admission and attendance	https://www.uml.edu/admissions/discover/statistics.aspx
Institutional mission and objectives	https://www.uml.edu/About/mission.aspx
Expected educational outcomes	https://www.uml.edu/Catalog/Undergraduate/Essential-Learning-Outcomes/
Status as public or independent institution; status as not-for-profit or for-profit; religious affiliation	https://www.uml.edu/About/
Requirements, procedures and policies re: admissions	https://www.uml.edu/admissions/
Requirements, procedures and policies re: transfer credit	https://www.uml.edu/admissions/transfers/transfer-credits/
A list of institutions with which the institution has an articulation agreement	https://www.uml.edu/admissions/transfers/transfer-credits/articulation-agreement.aspx
Student fees, charges and refund policies	https://www.uml.edu/thesolutioncenter/bill/tuition-fees/default.aspx
Rules and regulations for student conduct	https://www.uml.edu/student-services/Student-Conduct/
Procedures for student appeals and complaints	https://www.uml.edu/Registrar/Student-Appeals.aspx
Other information re: attending or withdrawing from the institution	https://www.uml.edu/thesolutioncenter/Academics/degree-program/withdraw.aspx
Academic programs	https://www.uml.edu/Academics/
Courses currently offered	https://www.uml.edu/catalog/#/
Other available educational opportunities	http://www.uml.edu/student-services/career-services/ https://www.uml.edu/international-programs/default.aspx
Other academic policies and procedures	https://continuinged.uml.edu/policies/policies.cfm
Requirements for degrees and other forms of academic recognition	https://www.uml.edu/catalog/#/
List of continuing faculty, indicating department or program affiliation, 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	https://www.uml.edu/About/leadership/campus-leadership.aspx
Names, principal affiliations of governing board members	https://www.umassp.edu/bot/members
Locations and programs available at branch campuses, other instructional locations, and overseas operations at which students can enroll for a degree, along with a description of programs and services	https://continuinged.uml.edu/haverhill/
Programs, courses, services, and personnel not available in any given academic year.	N/A
Size and characteristics of the student body	https://www.uml.edu/admissions/discover/statistics.aspx
Description of the campus setting	https://www.uml.edu/About/about-lowell/default.aspx

Availability of academic and other support services	https://www.uml.edu/CLASS/default.aspx
	https://www.uml.edu/student-services/Offices/default.aspx
students	https://umasslowellclubs.campuslabs.com/engage/
Institutional learning and physical resources from which a student can reasonably be expected to benefit	https://www.uml.edu/Facilities/Project-Management/Current-Capital-Projects.aspx
Institutional goals for students' education	https://www.uml.edu/About/learning-with-purpose.aspx
	https://www.uml.edu/Academics/undergraduate-programs/gened/Core-Curriculum/default.aspx
	https://www.uml.edu/diversity/institutional-diversity/commitment.aspx
Success of students in achieving institutional goals including rates of retention and graduation and other measure of student success	https://www.uml.edu/Images/2017-Report-Card_tcm18-269332.pdf
	https://www.uml.edu/2020/documents.aspx
Total cost of education and net price, including availability of financial aid and typical length of study	https://www.uml.edu/thesolutioncenter/bill/tuition-fees/
rates	https://www.uml.edu/thesolutioncenter/financial-aid/Money-Management/Responsible-Borrowing.aspx
Statement about accreditation	https://www.uml.edu/About/Accreditation.aspx

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART A. INVENTORY OF EDUCATIONAL EFFECTIVENESS INDICATORS

CATEGORY	(1) Where are the learning outcomes for this level/program published?	(2) Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree?	(3) Who interprets the evidence? What is the process?	(4) What changes have been made as a result of using the data/evidence?	(5) Date of most recent program review
At the institutional level:	For graduate programs, within the program website; for undergraduate programs, at https://www.uml.edu/Academics/Provost-office/Student-Success/Student-Learning-Outcomes/	AQAD reporting, direct assessment of authentic artifacts, focus groups, analysis of course syllabi, monitoring of DWF rates with intervention as needed.	Volunteer faculty and students, program committees in departments offering courses, Vice Provost for Student Success, Director of Curriculum Assessment & Accreditation.	Update of AQAD procedures, outreach to faculty; professional development in pedagogy; technology and resources for teaching; pedagogy minigrants; changes in program curricula and pedagogy.	Continuous
For general education if an undergraduate institution:	https://www.uml.edu/Catalog/Undergraduate/Core-Curriculum/ELO/ https://www.uml.edu/Catalog/Undergraduate/Core-Curriculum/BOK.aspx	Direct assessment of authentic artifacts, Core ePortfolio/focus groups, VALUE rubrics, analysis of course syllabi, VALUE institute national scoring.	Core Curriculum Committee (7 ELOs on a 3-year cycle), volunteer faculty and students, programs offering the courses that meet the BOKs, Director of Curriculum Assessment & Accreditation.	New gen ed program; direct outreach to faculty; professional development in pedagogy; changes in program curricula and pedagogy; changes to faculty senate bylaws and committee charges.	Continuous; For 2018, Applied and Integrative Learning and Information Literacy
DEGREE PROGRAMS	(1) Where are the learning outcomes for this level/program published?	(2) Other than GPA, what data/evidence is used to determine that graduates have achieved the stated outcomes for the degree?	(3) Who interprets the evidence? What is the process?	(4) What changes have been made as a result of using the data/evidence?	(5) Date of most recent program review
College of Education					
Education (PhD) <i>Leadership in Education</i> <i>Literacy Studies</i> <i>Research & Eval in Education</i>	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Language Arts & Literacy (EDD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Curriculum & Instruction (MED) <i>Autism Studies</i> <i>Economic Education</i> <i>English 2nd Language</i> <i>Exercise Teacher Option</i> <i>Initial Certification</i> <i>Technical Language</i>	Internally within the Department	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Curriculum & Instruction (EDS)	Internally within the Department	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Reading & Language (MED)	Internally within the Department	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018

Reading & Language (EDS)	Internally within the Department	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Leadership in Schooling (EDD)	Internally within the Department	Qualifying Exam and Dissertation with public defense, portfolio assessment	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Education Administration (MED) <i>Higher Education</i> <i>Human Services</i>	Internally within the Department	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Educ Admin Plan & Pol (EDS)	Internally within the Department	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Math & Science Education (EDD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Education (BA)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course and portfolio	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	New program - awaiting first cycle	AQAD 2018
College of Fine Arts, Humanities, and Social Sciences					
American Studies (BA) <i>General</i> <i>Thematic Option</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		
Art (BFA) <i>Animation & Interactive Media</i> <i>Graphic Design</i> <i>Studio Art</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Incoming portfolio requirement. Artistic expression/display/performance, Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Exit exam created by the program/department, Oral performance, critiques and oral reports in coursework, client presentations, Portfolio of student work, Senior exit portfolio, senior entrance portfolio, Student publication, grant proposal, or other work with a specific external audience, client work, fine art exhibitions in Lowell and within the campus, Supervisor or employer evaluation of student performance outside the classroom, required internships, Thesis or dissertation used for program-level assessment in addition to individual student evaluation, The capstone project is a body of artwork or design, methodology statement. Juried and competitive outside exhibitions. Alumni survey that contains self-reports of learning outcome achievement/preparation, Employer meeting/survey/interview about student learning outcome achievement, internship paperwork, Student reflection.	Course instructor(s) assessed evidence from their own students, Ad hoc faculty group senior incoming assessment. Used a rubric or scoring guide, Used professional judgment (no rubric or scoring guide used). Visiting Critics review work in some classes. Who decided what would be assessed? The instructor per course, the senior studio faculty for incoming seniors, the foundations faculty for incoming freshmen. What outcomes were studied? Mastery of the skill set for the discipline, quality of writing, communication skills, research, professional practice, What approach was taken? Portfolio analysis, oral defense, public critique and constructive criticism of peers/ peer review.	Assessment tool or procedure changes, Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Student support/student experience changes. In Design and Animation, we evaluate by job placement and salary offers. In Studio Art, how many people go to grad school, how many people have exhibitions (solo or group) after school. We rebuilt our assessment procedures in the last couple of years in anticipation of NASAD in the pursuit of a successful evaluation.	AQAD 2012; NASAD, 2017

<p>Crim Just & Criminology (PHD) <i>Crime, Criminals & Comm</i> <i>Global Pers on Crime & Justice</i> <i>Justice System & Policy</i> <i>Technology & Criminal Justice</i> <i>Terrorism Studies</i> <i>Victims, Crime & Justice</i></p>	<p>https://www.uml.edu/Catalog/Graduate/FAHSS/Criminal-Justice/PhD-Program.aspx#Expected-Academic</p>	<p>Discussions with faculty about student success. Discussions with students regarding experience in the program</p>	<p>Ph.D. program director and graduate committee made up of select faculty members Used professional judgment (no rubric or scoring guide used). A new Ph.D. program director was appointed and selected a committee to review the curriculum, the exam structure, and dissertation requirement. Based on feedback from the faculty experience in teaching and working with Ph.D. students, decisions to change the curriculum were determined.</p>	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level</p> <p>We have just implemented a new curriculum in fall of 2017. We will continue to monitor student success through preliminary and comprehensive exams and dissertation structures currently in place.</p>	<p>AQAD 2016</p>
<p>Criminal Justice (MA)</p>	<p>Internally within the Department</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Thesis or dissertation used for program-level assessment in addition to individual student evaluation Alumni survey that contains self-reports of learning outcome achievement/preparation, Interviews or focus groups that contain self-reports of learning outcome achievement</p>	<p>Standing faculty committee Scored exams/tests/quizzes, Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. The graduate curriculum has been modified and updated based on academic and professional trends in criminal justice, the strength of our faculty, as well as burgeoning job markets. The graduate curriculum committee reviews and approves all curricular issues. This is an ongoing joint effort of all members of the faculty, and at times with administrative input. Faculty have maintained familiarity with and are moving towards compliance of the Academy of Criminal Justice Sciences (ACJS) Standards as outlined by the ACJS Academic Review Committee, as well as the standards of the Massachusetts Board of Higher Education (MBHE). The graduate program has been approved by the MBHE since it first began reviewing programs in 2001.</p> <ul style="list-style-type: none"> • Our School has several mechanisms in place to insure that the curriculum is kept current and relevant. Our programs are externally reviewed annually by the BHE and any changes to our curriculum are reported and reviewed. Our internal measures of review include an Undergraduate and a Graduate Committee whose responsibility it is to bring curriculum issues to the attention of the School at our monthly meetings. This has been a regular occurrence and has resulted in frequent modifications to the curriculum. • Anonymous Student Exit Survey provides information about the impact our program has had on their development of skills, their satisfaction with course content and delivery, the program's relevance to their future goals, and any suggestions they have for changes to the current program. 	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Celebration of student success. We are currently reviewing all syllabi for M.A. graduate-level courses offered both on campus and on-line. This might include insights about assessment procedures, teaching and learning, and achievements in program assessment in this reporting period. We are currently moving towards a more routinized mechanism regarding program assessment. For example, by summer 2018 our graduate student exist survey will be converted to online delivery and we will explore the option of adding a mid-year M.A. graduate student "climate" online survey as a mechanism for gauging our M.A. graduate students' experiences with our program.</p>	<p>AQAD 2016</p>

<p>Criminal Justice (BS) <i>General</i> <i>Corrections</i> <i>Crime & Mental Health</i> <i>Homeland Security</i> <i>Information and Technology</i> <i>Police</i> <i>Violence</i></p>	<p>https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product (e.g. written project or non-thesis paper). Interviews or focus groups that contain self-reports of learning outcome achievement, Student survey that contains self-reports of learning outcome achievement</p>	<p>Course instructor(s) assessed evidence from their own students, Standing faculty committee. Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. The Undergraduate Committee examines annually the results of our Undergraduate Exit Survey completed by all graduating seniors. The Undergraduate Coordinator also collects the grade distributions for the capstone projects (which consists of a policy paper on a topic of the student's choice) and coordinates with the 3 faculty who teach this course to assess the degree to which learning outcomes are achieved in that course. These grades are also presented to and discussed annually in the Undergrad Committee.</p>	<p>Results indicated no action needed because student work met expectations. Our capstone course has only been offered for 3 semesters, so the 3 faculty teaching this course have met and made changes to the capstone project assignment after 1 year of offering the course. The assignment was somewhat different (with different expectations and learning outcomes) depending on faculty member, and so the project was changed to ensure uniformity. The rest of our outcomes are in line with our expectations, and so no changes were required. Based on our exist survey results (which have been consistent from year-to-year), our graduates feel that they have made great strides in the most critical skill areas germane to future employment and career success, and our faculty are rated quite favorably in terms of their teaching. This might include insights about assessment procedures, teaching and learning, and achievements in program assessment in this reporting period.</p>	<p>AQAD 2016</p>
<p>Economics (BA)</p>	<p>https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Oral performance (oral presentation, conference presentation), Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements), Employer meeting/survey/interview about student learning outcome achievement</p>	<p>Course instructor(s) assessed evidence from their own students, Department chairperson. Used a rubric or scoring guide, Scored exams/tests/quizzes. One major part of economics training is logical reasoning and critical evaluation. By its nature, logical reasoning can be said right or wrong. As a result, instructors in economics tend to use quizzes, problem sets and exams to assess students' learning. Some individual instructors may also require term papers, in which making logically arguments is still the emphasis.</p>	<ul style="list-style-type: none"> • Advising is now more evenly allocated among faculty members so that students can receive more help. Provided faculty development on advising. • The minimum overall GPA requirement for economics major has been proposed to raise from 2.0 to 2.2 for students who entered Fall 2018 and beyond. • Resources have been allocated to support student research and travel. Last summer, six students received a research grant of \$500 each. A traveling fund of \$1,400 is made available to support the student studying aboard program. • There have been a stronger collaboration between our faculty members and the students in the economics society. • Last year, we had FED in Boston as our Employer in Residence. We will invite Abt Associates this year. • Insituted annual student celebration <p>For economics majors, the market still favors those with strong quantitative skills, including data analyzing abilities. The department will continue emphasizing its training on these areas. This is also reflected in our recruiting strategy. The department conducted two searches in past two years and we always look for well-trained empirical economists. In 2017, the department hired Prof. Epstein who not only teaches statistics but also supervises the student-organized FED challenge team.</p>	<p>AQAD 2015</p>

<p>English (BA) <i>Journalism & Prof Writing</i> <i>Literature</i> <i>Theatre Arts</i> <i>Creative Writing</i></p>	<p>https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product (e.g. written project or non-thesis paper), Portfolio of student work, Student publication, grant proposal, or other work with a specific external audience. Student reflection.</p>	<p>Course instructor(s) assessed evidence from their own students. Journalism and Professional Writing Faculty Committee assessed portfolios for students in that concentration. Used a rubric or scoring guide, Used professional judgment (no rubric or scoring guide used). Two groups in the department are engaged in assessment activities. First, there is a department-wide committee working on assessment. This committee meets multiple times a semester to talk about assessment practices and initiatives. Starting in fall 2016, the assessment committee asked all faculty teaching 4000-level or above to include a final reflection or portfolio in the course. The department-wide assessment committee has been collecting samples of these and is developing a process for a program-wide assessment of the artifacts as a larger group.</p> <ul style="list-style-type: none"> • Within concentrations, faculty are developing processes for creating and evaluating portfolios and reflections. Specifically, the Journalism and Professional Writing faculty have instituted electronic portfolios for majors as the capstone graduation requirement. Students submit their e-portfolios to the JPW faculty and the JPW faculty committee collaboratively evaluates each portfolio, using a rubric. While assessing portfolios, JPW faculty look for rhetorical awareness and for 3-8 pieces of writing for a public audience. This has created a larger conversation about graduation requirements in the department, and other concentrations are considering this model. • All our assessment activities have been grounded in the learning outcomes for each concentration that were developed before 2013. 	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Student support/student experience changes, Use is pending. The department-wide assessment committee is still developing systems for assessing the artifacts that we have collected. Results are pending the completion of this longer-term project.</p> <p>The process of collecting the reflections/portfolios has impacted the curriculum and assessment in courses 4000-level or above as instructors now implement reflection/portfolios in these courses and, thus, must grade them.</p> <p>The JPW e-portfolios (instituted for all JPW students entering the concentration since 2014) continue to change student advising experiences because advisors confer with students about their e-portfolios and help students to revise them before submitting them to the full JPW faculty committee. The process of evaluating these e-portfolios has influenced how JPW instructors teach their courses, encouraging instructors to include public assignments, revisit resumes, and to remind students about the graduation requirement.</p>	<p>AQAD 2016</p>
<p>Global Studies (PHD) <i>General</i> <i>Comparative Cultures</i> <i>Socio-Economic Development</i> <i>Security and Human Rights</i></p>	<p>Internally within the Department</p>	<p>Qualifying Exam and Dissertation with public defense</p>	<p>Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.</p>		<p>New Program Review 2016</p>
<p>History (MA) <i>U.S. History</i> <i>Global Comparative History</i></p>	<p>Internally within the Department</p>		<p>Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.</p>		<p>New Program Awaiting first review</p>
<p>History (BA)</p>	<p>https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment ** Note that this assessment relies upon voluntary submission of a paper by the student and thus is not comprehensive in any way. Student evaluations of classroom teaching.</p>	<p>Standing faculty committee (Committee on Prizes and Scholarships; Curriculum Committee), Department chairperson (Teaching Evaluations). Used professional judgment (no rubric or scoring guide used), Compiled survey results. See above</p>	<p>Curriculum changes (new degree requirements or other structural changes beyond the course level, Celebration of student success. What plans do you have to evaluate the effectiveness of changes?.</p>	<p>AQAD 2015</p>

Liberal Arts (BLA)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		
Music Education (MM) <i>Community Music Teaching</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		NASM 2014
Music Performance (MM)	Internally within the Department	Adjudicated recitals	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		NASM 2014
Music (BM) <i>Music Business Music Performance-Instrumental Music Performance-Voice Music Studies Sound Recording Technology</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Artistic expression display/performance, Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product (e.g. written project or non-thesis paper), Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Student reflection.	Every music student is required to: 1. Take four semesters of Musicianship and Analysis courses 2. Take at least six semesters of Applied Music (lessons on voice or their chosen instrument) • Regarding Musicianship and Analysis: The 16 assessments for these courses have been largely developed collaboratively by all of the faculty who teach the classes. We have shaped the assessments around areas of performance, composition and arranging, analysis, aural recognition and internal hearing, and general musical sensibilities. These assessments are in a constant state of renewal as we discover new examples and approaches. Extensive rubrics have been created for every assessment. Each semester ends with a capstone project that requires the students to capture elements of the various topics covered. • Regarding Applied Music: All music majors take at least six semesters of applied music, and they will perform at least 4 panel evaluations in front of faculty adjudicators. The criteria for each evaluation has been outlined in the various syllabi; these criteria were designed by previous faculty applied coordinators with input from many other faculty. Adjudicators are generally selected from the full-time faculty with knowledge of or expertise in the given performance areas. General guidelines are provided for the grading of these evaluations. However, adjudicators often rely on professional judgment in the areas of technique, style, and stage presence.	Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Program policy changes, Student support/student experience changes, Celebration of student success. Regarding Musicianship and Analysis: We regularly revise the assessments (and curriculum) for these four classes based on observed patterns in the student results. Such changes are regularly discussed in meetings with the instructors and exchanges on our Slack channel. Regarding Applied Music: We have recently formed an Applied Music Committee to discuss such matters and process the data effectively. Occasionally, students are reassigned to other instructors based on a combination of these evaluation results and other factors. Many of our Musicianship and Analysis assessments feature pieces specifically selected to emphasize the musical materials from the class. We have observed in several instances, the students incorporating some of this music into their ensembles through arrangement, quotation, or imitation of the general musical elements.	NASM 2014
Sound Recording Tech (MM)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		NASM 2014

Sound Recording Tech (BM)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Artistic expression display/performance, Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product (e.g. written project or non-thesis paper), Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Student reflection.	Every music student is required to: 1. Take four semesters of Musicianship and Analysis courses 2. Take at least six semesters of Applied Music (lessons on voice or their chosen instrument) • Regarding Musicianship and Analysis: The 16 assessments for these courses have been largely developed collaboratively by all of the faculty who teach the classes. We have shaped the assessments around areas of performance, composition and arranging, analysis, aural recognition and internal hearing, and general musical sensibilities. These assessments are in a constant state of renewal as we discover new examples and approaches. Extensive rubrics have been created for every assessment. Each semester ends with a capstone project that requires the students to capture elements of the various topics covered. • Regarding Applied Music: All music majors take at least six semesters of applied music, and they will perform at least 4 panel evaluations in front of faculty adjudicators. The criteria for each evaluation has been outlined in the various syllabi; these criteria were designed by previous faculty applied coordinators with input from many other faculty. Adjudicators are generally selected from the full-time faculty with knowledge of or expertise in the given performance areas. General guidelines are provided for the grading of these evaluations. However, adjudicators often rely on professional judgment in the areas of technique, style, and stage presence.	Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Program policy changes, Student support/student experience changes, Celebration of student success. Regarding Musicianship and Analysis: We regularly revise the assessments (and curriculum) for these four classes based on observed patterns in the student results. Such changes are regularly discussed in meetings with the instructors and exchanges on our Slack channel. Regarding Applied Music: We have recently formed an Applied Music Committee to discuss such matters and process the data effectively. Occasionally, students are reassigned to other instructors based on a combination of these evaluation results and other factors. . Many of our Musicianship and Analysis assessments feature pieces specifically selected to emphasize the musical materials from the class. We have observed in several instances, the students incorporating some of this music into their ensembles through arrangement, quotation, or imitation of the general musical elements.	NASM 2014
Peace & Conflict Studies (MA) <i>Conflict Resolution</i> <i>Organizational Leadership</i> <i>Policy Analysis</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New Program Review 2016
Peace & Conflict Studies (BA)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New Program Review 2016
Philosophy (BA) <i>General</i> <i>Communication & Critical Think</i> <i>Philosophy & Religious Studies</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Political Science (BA)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Student publication, grant proposal, or other work with a specific external audience, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Alumni survey that contains self-reports of learning outcome achievement/preparation, Interviews or focus groups that contain self-reports of learning outcome achievement	Ad hoc faculty group, Department chairperson. UML Research Staff Member from outside the department assisted by graduate student. Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. The Department as a whole created questions for the assessment. These questions were forwarded to a focus group expert and assistant for refinement.	Personnel or resource allocation changes, Student support/student experience changes, Use is pending. The Department is using the current AQAD evaluation process to figure out the best way to advise students and provide them with the courses they need to graduate on time. The Department was pleased with the method for discovering student concerns and will likely continue to conduct focus groups on a regular basis.	AQAD 2018

<p>Applied Psychology & Prevention Science (PhD)</p>	<p>https://www.uml.edu/FAHSS/Psychology/Programs/Graduate/PhD-APPS/Program-Objectives.aspx</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Oral performance (oral presentation, conference presentation), Portfolio of student work, Student publication, grant proposal, or other work with a specific external audience, Thesis or dissertation used for program-level assessment in addition to individual student evaluation. Interviews or focus groups that contain self-reports of learning outcome achievement</p>	<p>The standing PhD faculty committee decided what would be assessed. Assessment materials included course assignments (exams, response papers, final papers, oral presentations), substantive qualifying paper, and quantitative qualifying paper, conference presentations, and papers submitted for publication. These materials were studied for evidence of the following learning outcomes: -An understanding of the key concepts, theories, and methodology in the field -Ability to assess the costs and benefits of intervention programs designed to prevent problematic behavior, promote health behaviors, and maximize individual and organizational potential and well-being. -An understanding of and ability to work well with and empower diverse, underrepresented groups in real-world settings; -A thorough grounding in the ethical conduct of research and practice in real-world settings</p>	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Program policy changes, Student support/student experience changes. We have discussed changes such as minimizing the number of Directed Studies that students take in order to address the knowledge requirement of doctoral programs outlined by the American Psychological Association. We have also been mindful of the timeline we have set up for our students with respect to completion of their qualifying papers.</p>	<p>AQAD 2013</p>
<p>Autism Studies (MS) <i>General</i> <i>Applied Behavior Analysis</i> <i>Research Intensive</i></p>	<p>The Autism Studies Program has a "Verified Course Sequence," (VCS) that is reviewed by the Behavior Analyst Certification Board (BACB). Six courses in the program are part of this VCS. The learning outcomes are available online here: https://www.bacb.com/wp-content/uploads/2017/09/1601-01-BCBA-BCaBA-task-list-fourth-edition-english.pdf These outcomes apply to the Applied Behavior Analysis Option, although there are some courses from this VCS that are required for the Research Intensive Option.</p>	<p>Exam created by an external organization (e.g. licensure exam (please specify), Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements), Students in the Applied Behavior Analysis Option meet the requirements to sit for a national certification exam that is administered by the Behavior Analyst Certification Board (BACB). Our pass rate for this exam is an indicator of level of our graduates. Alumni survey that contains self-reports of learning outcome achievement/preparation, None</p>	<p>Graduate Program Coordinator. External organization/person analyzed data (e.g. licensing exam). The BIA Advisory Council met in November 2016 to discuss the pass rates and upcoming changes to the BACB task list (change from 4th to 5th edition). Discussion points included the changes that would need to be implemented to meet the new requirements. There was also an open discussion about strategies that were effective for instructors in providing feedback to students and activities that could be implemented to generate more student participation in the fully online courses that are part of the program.</p>	<p>Use is pending. We identified a common variable in the students who did not pass the exam on their first attempt. If they both completed their experience and supervision hours at the same practicum site. We do not have students currently placed at this site. If a student opts to apply for a position at this site in the future, we will have a meeting to discuss the role of the graduate student, their required activities, and the supervision activities that are planned, as we suspect these are contributing factors to their level of preparedness for the exam.</p>	<p>AQAD 2013; "Verified Course Sequence" reviewed by the Behavior Analyst Certification Board (BACB) renewed on January 30, 2018</p>
<p>Community Social Psychology (MA)</p>	<p>They are located on the current website under Practicum-basics-Core competencies</p>	<p>Capstone work product (e.g. written project or non-thesis paper), Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Employer meeting/survey/interview about student learning outcome achievement, Student reflection. Student survey that contains self-reports of learning outcome achievement</p>	<p>Course instructor(s) assessed evidence from their own students, Standing faculty committee, Persons or organization outside UML, Students. Used professional judgment (no rubric or scoring guide used). Primary assessment has been the practicum- long standing requirement of CSP (details already provided in previous answers). RE: Curriculum review, core faculty of program collectively met and developed mission and curriculum changes via consensus.</p>	<p>Curriculum changes (new degree requirements or other structural changes beyond the course level, Student support/student experience changes, Celebration of student success. Any changes already described herein. No plans for subsequent evaluation. They did not.</p>	<p>AQAD 2013</p>

Psychology (BA) <i>General</i> <i>Behavior Analysis</i> <i>Clinical Psychology</i> <i>Community Social Psychology</i> <i>Developmental Disabilities</i> <i>Health Psychology</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Student survey that contains self-reports of learning outcome achievement	Standing faculty committee. Compiled survey results. Starting in Spring 2017, we conducted a survey of current majors in good standing in both the day school and the online program. The survey was spearheaded by our Student Success Committee. Students were asked a variety of questions about their experience in courses and in advising.	Use is pending. Thus far, the results have primarily be used to improve advising: -We held a Concentrations Workshop for students in the Fall -We are working to improve advising materials and create a guide for faculty -We will be encouraging all faculty to use online signups for the advising period this spring, and using student secretarial support to create the sign up page for any faculty not currently using one We are considering doing this survey annually.	AQAD 2013
Security Studies (MS) <i>CBRNE Security</i> <i>Critical Infrastructure Prot</i> <i>Cybersecurity</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New Program Review 2017
Security Studies (MA) <i>Homeland Defense</i> <i>Industrial & Econ Security</i> <i>International Security</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New Program Review 2017
Sociology (BA) <i>General</i> <i>Policy & Social Problems</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2012
World Languages (BA) <i>French</i> <i>Spanish/French</i> <i>Spanish/Italian</i> <i>Spanish</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Artistic expression/display/performance, Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Oral performance, Student publication, grant proposal, or other work with a specific external audience, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Student reflection. Student survey that contains self-reports of learning outcome achievement	By following the ACTFL guidelines of second language acquisition, faculty assesses the four skills of speaking, writing, listening, and reading through short quizzes, tests, interviews, close readings, essays, critical thinking, digital power point presentation, video projects, group works, etc. Coordinators and faculty discuss their syllabi, curriculum content, learning goals and outcomes, assessments, identify and implement curriculum improvements. Faculty assesses students' learning to achieve the learning goals established by ACTFL, and assessments are designed to progressively build students' skills so that at the completion of four language semesters (I through IV: Elementary and Intermediate levels) it is possible to verify the following outcomes: 1. That each student is able to handle successfully a variety of uncomplicated, basic, and communicative tasks and social situations 2. That each student is able to meet most practical writing needs 3. That each student is able to sustain understanding over longer stretches of connected discourse on a number of topics pertaining to different times and places 4. That each student is able to read consistently, with full understanding, simple connected texts dealing with basic personal and social needs about which the reader has personal interest and/or knowledge	Regular and consistent evaluation of student learning vis-à-vis learning goals and course-specific outcomes within language programs has led to changes in the Department curriculum and culture. In terms of curriculum, the Department Curriculum Committee has successfully added two mandatory courses to the structure of our Major requirement. WLSP 3500 for our French/Spanish, Italian/Spanish and Spanish options of the major and a senior capstone (WLAN 400) for all four options of our BA (French, French/Spanish, Italian/Spanish and Spanish). This change unifies our majors' cohort, regardless of their BA option. These include: a foundation course, a methodology course and a capstone course that could be fulfilled by a study abroad experience or practicum experience. We will be starting teaching these courses in the Fal 2018. Moreover, the Department faculty has established a shared vision to focus efforts on recruitment, student support and success, and retention. We are committed to strengthening our advising process (professional development on advising has been scheduled for Spring 2018) to better serve the needs of our majors and minors. There is a long-term need for a systematic method of data collection and analysis of student learning at the departmental level. We currently do not have an Exit Exam in place.	AQAD 2016

Francis College of Engineering					
Biomed Engr & Biotech (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Biomed Engr & Biotech (MS)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Biomedical Engineering (BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Chemical Engineering (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Chemical Engineering (MSE) <i>Leadership</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Chemical Engineering (BSE) <i>General</i> <i>Biological Engineering</i> <i>Nanomaterials Engineering</i> <i>Nuclear</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Civil Engineering (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Civil Engineering (MSE) <i>Environmental</i> <i>Geoenvironmental</i> <i>Geotechnical</i> <i>Leadership</i> <i>Structural</i> <i>Transportation</i>	Internally within the Department	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Exam created by an external organization	Course instructor(s) assessed evidence from their own students, Department chairperson, Persons or organization outside UML. External AQAD reviewers. Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used), Compiled survey results, External organization/person analyzed data (e.g. licensing exam).		AQAD 2015
Civil Engineering (BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	NCEES FE (Fundamentals of Engineering) exam, Capstone course	NCEES, Department faculty		AQAD 2015; ABET 2018
Civil Engineering Tech (BET) <i>Environmental</i> <i>General</i>	Internally within the Department	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Civil Engineering Tech (AET) <i>General</i> <i>Water Treatment</i> <i>Wastewater Treatment</i> <i>Survey</i>	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Computer Engineering (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Computer Engineering (MSE)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Computer Engineering (BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015

Electrical Engineering (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Electrical Engineering (MSE) <i>Leadership</i> <i>Optics</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Electrical Engineering (BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Electronic Eng Tech (BET)	Internally within the Department	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Electronic Eng Tech (AET)	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Energy Engineering (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Energy Engineering (MSE) <i>Nuclear</i> <i>Solar</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Engineering Management (MS)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Environmental Engineering(BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Industrial Technology (BIT) <i>Manufacturing Option</i> <i>Plastics Option</i>	Internally within the Department	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Information Technology (MS)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Information Technology (BS) <i>Business</i> <i>General</i>	Internally within the Department	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Information Technology (AS)	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Mechanical Engineering (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Mechanical Engineering (MSE)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015
Mechanical Engineering (BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	ABET 2012; AQAD 2015
Mechanical Eng Tech (BET)	Internally within the Department	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.	AQAD 2015

Mech. Engineering Tech (AET)	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015
Plastics Engineering (PHD)	Internally within the Department	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Student publication, grant proposal, or other work with a specific external audience, Qualifying or comprehensive exam for program-level assessment in addition to individual student evaluation, Thesis or dissertation used for program-level assessment in addition to individual student evaluation. Alumni survey that contains self-reports of learning outcome achievement/preparation, Student survey that contains self-reports of learning outcome achievement	Course instructor(s) assessed evidence from their own students. Used a rubric or scoring guide, Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used). Some supervision by Grad coordinator	Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes.	AQAD 2015
Plastics Engineering (BSE)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Oral performance, Student publication, grant proposal, or other work with a specific external audience Project design/Hardware prototypes. Alumni survey that contains self-reports of learning outcome achievement/preparation, Employer meeting/survey/interview about student learning outcome achievement, Interviews or focus groups that contain self-reports of learning outcome achievement, Student survey that contains self-reports of learning outcome achievement	Course instructor(s) assessed evidence from their own students, Standing faculty committee, Department chairperson, Persons or organization outside UML. Used a rubric or scoring guide, Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. ABET guidelines implemented by Chair	Curriculum changes (new degree requirements or other structural changes beyond the course level, Program policy changes, Student support/student experience changes. Made 5 major program changes. Increased faculty participation in assessment and curricular planning.	AQAD 2015
Kennedy College of Sciences					
Biological Sciences (MS) <i>Biotechnology</i> <i>Biotechnology PSM</i> <i>Environmental Biotechnology PSM</i> <i>Biosafety PSM</i> <i>Management Life Sciences PSM</i>	https://www.uml.edu/Sciences/biology/Programs-of-Study/masters.aspx	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2014
Biology (BS) <i>General</i> <i>Bioinformatics</i> <i>Biotechnology</i> <i>Ecology</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2014
Chemistry (PHD) <i>Biochemistry</i> <i>Environmental Studies</i> <i>Green Chemistry</i>	Internally within the Department	Dissertation used for program-level assessment in addition to individual student evaluation.	Ad hoc faculty group. Used professional judgment (no rubric or scoring guide used). We did not undertake any formal assessment of the graduate curriculum during the period in question. Our main program level evaluation measure was thesis/dissertations.	Celebration of student success, Results indicated no action needed because student work met expectations. To date, there have been no changes proposed based on the metrics that we have tracked.	AQAD 2011; American Chemical Society Review 2014

Chemistry (MS) <i>Chem & Polymer Science PSM</i> <i>Pharmaceutical Biochem PSM</i>	Internally within the Department	Thesis used for program-level assessment in addition to individual student evaluation.	Ad hoc faculty group. Used professional judgment (no rubric or scoring guide used). We did not undertake any formal assessment of the graduate curriculum during the period in question. Our main program level evaluation measure was thesis/dissertations.	Celebration of student success, Results indicated no action needed because student work met expectations. To date, there have been no changes proposed based on the metrics that we have tracked.	AQAD 2011; American Chemical Society Review 2014
Chemistry (BS) <i>General</i> <i>Forensic Science</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Course instructor(s) assessed evidence from their own students. Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used)	Program policy changes (e.g. admissions requirements, grade requirements, course evaluation changes). Course Added to Program.	AQAD 2011; American Chemical Society Review 2014
Applied Chemistry (AS) <i>Biotech Option</i> <i>Hazardous Waste Option</i>	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		
Computer Science (PhD) <i>Computational Math</i> <i>Bio/Chem Informatics</i>	Program self-study	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Computer Science (SCD) <i>Computational Math</i> <i>Bio/Chem Informatics</i>	Program self-study	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Computer Science (MS) <i>Bio/Chem Informatics</i> <i>PSM CS-Entrepreneurship</i> <i>Software/Entrepreneurship</i>	Program self-study	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Computer Science (BS) <i>General</i> <i>Bio/Chem Informatics</i> <i>Data Science</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2018
Environmental Studies (MS) <i>Atmospheric Sciences</i> <i>Environmental Engin Sciences</i> <i>Environmental Geoscience</i> <i>Prof Sci Master Atmos Science</i> <i>Prof Sci Master Envir Geosci</i>	Internally within the Department	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Oral performance, Student publication, grant proposal, or other work with a specific external audience, Supervisor or employer evaluation of student performance outside the classroom, Thesis or dissertation used for program-level assessment in addition to individual student evaluation Alumni survey that contains self-reports of learning outcome achievement/preparation. AQAD external review team report (2-day campus meeting with faculty and students)	Course instructor(s) assessed evidence from their own students Used a rubric or scoring guide, Scored exams/tests/quizzes. Our department did not conduct a formal assessment of learning outcomes. Each course is assigned specific outcomes by the professor, and stated explicitly in the syllabus. The graded assignments, tests and projects reflect the success of addressing the learning outcome for each specific course.		AQAD 2017

Environmental Science (BS) <i>Atmospheric Science</i> <i>Environmental Science</i> <i>Environmental Studies</i> <i>Environmental Geoscience</i> <i>Geoscience</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Oral performance, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Alumni survey that contains self-reports of learning outcome achievement/preparation. AQAD external review team report (2-day campus meeting with faculty and students)	Course instructor(s) assessed evidence from their own students. Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used) Our department did not conduct a formal assessment of learning outcomes. Each course is assigned specific outcomes, some include university-required essential learning outcomes. The graded assignments reflect the success of addressing the learning outcome for each specific course. The required courses are designed to specifically meet the stated learning outcomes/objectives for each option within the environmental science major.	Curriculum changes (new degree requirements or other structural changes beyond the course level, Student support/student experience changes, Celebration of student success. We have since revised out degree pathways for all options and will implement these new requirements starting in the Fall of 2018—pending approval of faculty senate.	AQAD 2017
Marine Science & Tech (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense			
Mathematics (MS) <i>Appl & Computational Math</i> <i>Applied Mathematics</i> <i>Computer</i> <i>Industrial Mathematics PSM</i> <i>Math for Teachers</i> <i>Probability and Statistics</i> <i>Scientific Computing</i> <i>Statistics</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Mathematics (BS) <i>General</i> <i>Applied Computational</i> <i>Business Applications</i> <i>Bioinformatics</i> <i>Computer Science</i> <i>Probability & Statistics</i> <i>Teaching</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Mathematics (BA)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Mathematics (AS)	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Physics (PHD) <i>Applied Mechanics</i> <i>Atmospheric Science</i> <i>Energy Engineering</i> <i>Medical Physics</i> <i>Radiological Sciences</i>	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Physics (MS) <i>Optical Science</i> <i>Photonics</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Rad Science & Protect (MS)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016

Physics (BS) <i>General</i> <i>Radiological Health Phys</i> <i>Photonics</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Manning School of Business					
Business Administration (PHD) <i>Accounting</i> <i>Entrepreneurship</i> <i>Finance</i> <i>Leadership/Organization Studies</i> <i>Management Information Systems</i>	https://www.uml.edu/MSB/Programs/Doctoral-Program/	Capstone work product (e.g. written project or non-thesis paper), Oral performance (oral presentation, conference presentation), Qualifying or comprehensive exam for program-level assessment in addition to individual student evaluation, Thesis or dissertation used for program-level assessment in addition to individual student evaluation. We also consider student placement as an indirect (or higher level) measure of student learning and program quality. The doctoral program has achieved an outstanding placement record with its first graduating cohort (May 2017). All were placed in full-time, assistant professor positions at peer or aspirant schools, including several placements at doctoral degree granting business schools.	Ad hoc faculty group. Used a rubric or scoring guide, Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used). The four learning goals previously established for the Ph.D. BA program are: functional specific knowledge, communication skills (oral & written), research skills, and ethical skills. <ul style="list-style-type: none"> • Comprehensive/ Qualifying exams assess functional specific knowledge skills, including theory and methods. • A required first-year paper and dissertation assess communication and research skills at two different times during the program. It is evaluated by a minimum of two faculty. • The dissertation is the final step before graduation and is evaluated by the dissertation committee, comprised of a minimum of three faculty. • Ethical skills are currently assessed through completion of an appropriate Institutional Review Board training module and/or through the inclusion of ethics questions within the first-semester research course required of all doctoral students. This requirement is being formalized for the next cohort to assure consistent assessment of all students. 	Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Celebration of student success. Review of the assessment efforts indicated room for improvement in how Ethical skills are assessed. A more consistent approach is being formalized to assure assessment of all students.	AACSB 2014; AQAD 2018
Accounting (MS)	AACSB Report and Website	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Exam created by an external organization (e.g. licensure exam (please specify), Exit exam created by the program/department Alumni survey that contains self-reports of learning outcome achievement/preparation, Employer meeting/survey/interview about student learning outcome achievement, Interviews or focus groups that contain self-reports of learning outcome achievement	Course instructor(s) assessed evidence from their own students, Standing faculty committee, Department chairperson, Dean or administrator. Program Coordinator and Accounting Advisory Board. Used a rubric or scoring guide, Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. Discussed in the AQAD Report	Assessment tool or procedure changes Curriculums were revisited the results were not upto the mark, Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Program policy changes, Student support/student experience changes, Celebration of student success. The program coordinator and the department faculty revisited the minimum GMAT and TOEFL requirements. Additionally, the group revisited the requirements for electives and prerequisites. Department added instruction on tax software, FASB codifications, data analytics, etc	AACSB 2014; AQAD 2018

Business Analytics (MS)	Department website	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Oral performance (oral presentation, conference presentation) Interviews or focus groups that contain self-reports of learning outcome achievement	Course instructor(s) assessed evidence from their own students, Persons or organization outside UMass Lowell, Other: MSBA Program Coordinator. Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used) The general approach to assessment is being discussed by faculty teaching in the program. It is expected that individual faculty members will determine assignments that best match with the program learning objectives. Inputs from advisory board members are being collected and will be incorporated into the assessment plan.	Program policy changes, Celebration of student success. (1) Improve curriculum coherence; (2) Improve sequence of course offerings; (3) Adjust program pre-requisites. Results are forthcoming	Awaiting first review
Entrepreneurship (MS)	https://www.uml.edu/Catalog/Graduate/Business/masters/MSEentrepreneurship.aspx	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Oral performance, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Student survey that contains self-reports of learning outcome achievement	Assessments were initiated through the Graduate Programs Committee (GPC) during the Summer of 2016. The college-level objectives of Analytical Skills and Global Awareness were assessed using same SurveyMonkey assessment tool that was used by the MBA for both Global Awareness and Analytical Skills objectives. In the Winter of 2018, the MSE Program Coordinator distributed an anonymous survey to 19 recent MSE graduates (Fall 1016 or later). Eight surveys were completed. The purpose of the survey was to assess how well they thought the MSE learning objectives were met.	We added a Global Awareness module to the Capstone course We required that their group projects incorporate a global markets component We changed the name of the program from Masters of Science in Innovation and Technology Entrepreneurship (MSITE) to Masters of Science in Entrepreneurship (MSE) We are currently evaluating possible curriculum changes	AACSB 2014; AQAD 2018
Finance (MS)	Internally within the Department	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Exam created by an external organization (e.g. licensure exam (please specify) Chartered Financial Analyst (CFA) Certification Level I exam for investment professionals. Interviews or focus groups that contain self-reports of learning outcome achievement	All departmental faculty members participate in the assessment decisions. We collectively decided to assess analytical skills and global awareness learning objectives in the first round. Our program is a relatively new so we will assess all the learning objectives in the coming years. We did assessment based on evidence generated internally, such as percentage of student scores in exams and assignments.	Based on the assessment results, we decided to restrict the waiver of some admission requirements such as GMAT and TOEFL because many students with such waivers were not able to adjust the level of rigor required by the MSF curriculum. We also decided to offer more courses on campus instead of just offering them online because the online medium was not suitable for some students in terms of their ability to learn certain topics. The faculty came to the conclusion that we need to collect more evidence related to assessment that includes sending surveys to program alumni.	AACSB 2014; AQAD 2018

Business Administration (MBA) <i>Accounting Professional</i> <i>Business Analytics</i> <i>Entrepreneurship & Innovation</i> <i>Finance Professional</i> <i>General Business</i> <i>General Business Professional</i> <i>Information Tech. Professional</i>	https://www.uml.edu/Catalog/Graduate/Business/business-mba-learning-outcomes.aspx	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Exit exam created by the program/department, Oral performance (oral presentation, conference presentation) We are in the process of administering our first program exit survey to MBA students.	The MBA was scheduled to assess two learning goals, Global Awareness and Analytical Skills, in the Spring of 2016, and then again in the Fall and Winter of 2016. The goals were assessed using a survey monkey questionnaire with content specific questions covering the topics. Students in the capstone course, MGMT6910, were asked to complete the questionnaire at some point before the end of the semester. Participation was voluntary. We have rubrics available for all program learning outcomes.	We've seen that we have inconsistencies in coverage of global awareness in the curriculum and will work with faculty to ensure that the courses have cases covering this objective. We are also adding analytics electives and a Business Analytics option to the MBA, which will give the program more electives that are computational. It has led to the determination that a content specific test administered via Survey Monkey was not an appropriate evaluation tool. It could not compare well across cohorts or with peers, course-based tools would be more appropriate, and/or external assessment tools. We are in the process of implementing course-based assessment to mirror what is being done with EL0s at the undergraduate level, and reviewing potential external assessment tools for some outcomes.	AACSB 2014; AQAD 2018
Business Administration (BSBA) <i>Accounting</i> <i>Analytics & Operations Management</i> <i>Entrepreneurship</i> <i>Finance</i> <i>International Business</i> <i>Management</i> <i>Management Info Systems</i> <i>Marketing</i> <i>Supply Chain & Oper Mgmt</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Exam created by an external organization (e.g. licensure exam (please specify) Oral performance, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements). Employer meeting/survey/interview about student learning outcome achievement, Student reflection (essay, portfolio, self-assessment) of their learning outcome, Student survey that contains self-reports of learning outcome achievement	The Assessment committee determines the schedule for assessments to spread out the work and learning outcomes across years, ensuring that each outcome is measured at least twice in the 5 year AACSB cycle. The Manning School of Business has developed a survey instrument to test the learning of some of the outcomes, rubrics for use to evaluate in course assignment for some outcomes, and a feedback mechanism for internships and projects including feedback from employers. The survey tool was used for 3 years and the past year has been spent evaluating its effectiveness as a tool. Feedback from AACSB reviewers expressed concern about our ability to use the results to benchmark to other peer and aspirant peer schools. We are reviewing the potential use of externally validated assessment tools for some program learning outcomes (e.g. ETS business school instrument). The assessment committee is also evaluating how to integrate the required assessment for Essential Learning Outcomes (many of which mirror program level outcomes) with the existing model to ensure quality assessment and efficient use of resources.	Examples of changes based on the evaluations include that the Manning School is evaluating the linkage of Ethics throughout the curriculum. This work is being led by the new Donahue Center on Ethics and Social Responsibility. We have joined a number of organizations to help develop the linkage with sustainability, social responsibility, and ethics including the UN PRME initiative. The results also demonstrated a need to continue to build on the analytics presented to students so they have reinforcement of the skills in their concentration courses. The Accounting department and the Operations and Information Systems department are actively engaged in developing opportunities to explore applications of analytics in accounting. Guest speakers are being brought in to support both faculty and students in exploring this important analytical topic. The finance department has worked to formalize the coverage of material to better prepare students for the professional CFA exam. This includes integrating Bloomberg data system skills and development of practical applications of financial theories. The School has made some revisions to the first year introduction to business course and are monitoring if this change supports increased retention in the program. During the interim AACSB reporting (2015-2016), reviewers expressed concerns regarding the instrument used for this assessment. In particular, that there was no mechanism in place to compare the data other than to previous cohorts in the Manning School. We are also reviewing our program level learning outcomes as part of our AQAD and AACSB self-study process based on employer, alumni, and student feedback, as well as benchmarking with our peers.	AACSB 2014; AQAD 2018
Management (AS)	Internally within the Department	Course outcomes	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		

Zuckerberg College of Health Sciences					
Clinical Lab Sciences (MS) <i>Clinical Lab Sci PSM</i> <i>Clinical Research</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Clinical Lab Sciences (BS) <i>Clinical Science</i> <i>Medical Lab Science</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Exam created by an external organization, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements) Medical Laboratory Scientist Board of Certification Exam offered by ASCP (American Society for Clinical Laboratory Science). Alumni survey that contains self-reports of learning outcome achievement/preparation, Employer meeting/survey/interview about student learning outcome achievement, Student survey that contains self-reports of learning outcome achievement	The MLS Program has a Continuous Assessment and Quality Improvement Plan in place that outlines identifiable assessment methods, outcome measures, and timelines for the systematic review of the effectiveness of the program. This includes: Faculty Evaluations, Course Evaluations, Medical Laboratory Science Board of Certification Exam Scores, Clinical Affiliate Evaluations, MLS Program Evaluations, Graduate Exit Surveys, Alumni Surveys, and Employer Surveys. Clinical Affiliate Evaluations are completed by students following each of their clinical practicum experiences. These evaluations are used to assess the clinical instructors and student preparation for the clinical experience. MLS Program Evaluations are completed by clinical instructors following each clinical practicum experience. This survey is used to assess the clinical experience, educational preparedness of the students, and overall program effectiveness. A Graduate Exit Survey evaluates program resources, learning experiences in the program, and readiness to enter the workforce. One year after graduation, program graduates are asked to complete an Alumni Survey. Employer surveys are administered every two years to assess the performance of program graduates in the workplace. The MLS Program underwent a NAACLS (National Accrediting Agency for Clinical Laboratory Science) re-accreditation in 2017, which include submission of a Self-Study Report in 2016, and a Site Visit in 2017. Feedback from NAACLS Self-Study reviewers and Site Visitors has been used in overall program evaluation. The MLS Program Director in consultation with the Department Chair determines what will be assessed. This is also outlined as part of our accreditation standards.	Curriculum changes (new degree requirements or other structural changes beyond the course level, Program policy changes, Student support/student experience changes. As mentioned above, the program used feedback from surveys to initiate a curriculum restructure. We are currently in the process of moving that forward. Once the new curriculum is in place, we will monitor the effectiveness of the changes by continuing to monitor ASCP-Board of Certification Exam pass rates, graduation/attrition rates, and placement rates. In addition, the surveys listed above will continue to be used to monitor student, graduate, clinical instructor, and employer feedback. A specific question or set of questions related to the curriculum restructure may be added to further evaluate this change.	NAACLS 2017; AQAD 2016
Health Informatics & Mgmt (MS) <i>Health Care Management</i> <i>MS HS Health Care Management</i> <i>Health Informatics</i> <i>Health Policy</i>	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		
Nursing (PHD)	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015

<p>Nursing (DNP)</p>	<p>https://www.uml.edu/Health-Sciences/Nursing/Programs/Doctoral/DNP/default.aspx</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Exit exam created by the program/department, Oral performance, Portfolio of student work, Student publication, grant proposal, or other work with a specific external audience, Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements), DNP scholarly project. Alumni survey that contains self-reports of learning outcome achievement/preparation, Student reflection (essay, portfolio, self-assessment) of their learning outcome, Student survey that contains self-reports of learning outcome achievement</p>	<p>Course instructor(s) assessed evidence from their own students, Standing faculty committee, Department chairperson, Dean or administrator Used a rubric or scoring guide, Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. Through individual faculty constructed and nursing department developed student surveys, each course is evaluated at the completion of the course.</p> <p>Individual faculty are evaluated per MSP contract Outcomes studied are: how effective the teaching was, how good the book and assigned readings were, teaching techniques, how much the student thought s/he learned, meeting g the DNP essentials and in which course, what change occurred in the student's career as a result of earning the DNP degree. These assessments were decided upon by the faculty to align with the DNP essentials and DNP competencies and align with criteria established by CCNE.</p>	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.)</p> <ul style="list-style-type: none"> • We are currently in the process of planning curriculum changes in the DNP program. This will include a proposal for the startup of a Post Baccalaureate-to-DNP program. • The results of the student surveys indicated no need for change in the Post Master's DNP Program. The proposed development of the Post Baccalaureate-to-DNP program is in direct response to changing markets and the need for preparing for the anticipated requirement in 2025 for the DNP degree to be required for professional certification as an APRN. A student post-graduation survey showed that the student respondents were either completely satisfied or satisfied with their outcomes post-graduation, and all of the graduates were functioning in a leadership role as a result of their DNP degree 	<p>AQAD 2015; CCNE 2016</p>
<p>Nursing (MS) Admin of Nursing Service Family Health Adult Gerontological Adult Psych/Mental Hlth Occupational Health Health Promotion</p>	<p>https://www.uml.edu/Health-Sciences/Nursing/Programs/Doctoral/phd/default.aspx</p>	<p>Assignment/exam/paper completed as part of regular coursework and used for program-level assessment, Capstone work product, Oral performance, Portfolio of student work, Student publication, grant proposal, or other work with a specific external audience, Qualifying or comprehensive exam for program-level assessment in addition to individual student evaluation, Supervisor or employer evaluation of student performance outside the classroom, Thesis or dissertation used for program-level assessment in addition to individual student evaluation. Alumni survey that contains self-reports of learning outcome achievement/preparation, Employer meeting/survey/interview about student learning outcome achievement, Interviews or focus groups that contain self-reports of learning outcome achievement, Student reflection. Student survey that contains self-reports of learning outcome achievement</p>	<p>Course instructor(s) assessed evidence from their own students, Standing faculty committee, Ad hoc faculty group, Department chairperson, Persons or organization outside UML, Students, Dean or administrator. Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data, External organization/person analyzed data</p> <p>For the AQAD report, we used formal surveys from current students and alumni and they also came to campus for a group meeting with the evaluators. For the AQAD report we had the curriculum mapped to demonstrate its congruence with the national standards for PhD in nursing programs. We mapped the course objectives to program objectives as well. Similarly, we had another extra School of Nursing review in 2017 and external reviewers interviewed PhD and other graduate students about the program. The PhD Program Committee meets monthly and the agenda includes an evaluation of course descriptions, learning objectives and how they meet the program objectives once per semester. In addition we review student program on qualifying examinations, course progression and dissertation progress monthly.</p>	<p>Curriculum changes (new degree requirements or other structural changes beyond the course level, Student support/student experience changes. As noted we have partnered with 2 other departments (Criminology and Psychology) to take their 2 courses for statistics with their PhD students on a trial basis starting in Fal 2018. No additional discoveries to report here.</p>	<p>AQAD 2015; AACN 2016</p>
<p>Nursing (BS)</p>	<p>https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/</p>	<p>Capstone course</p>	<p>Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.</p>		<p>AQAD 2015</p>

Nutritional Science (BS)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2016
Pharmaceutical Sci (PHD) <i>Clinical Research Drug Discovery Imaging Medicinal Chemistry Nanopharmacology Nuclear Pharmacology & Imaging Pharmacogenomics</i>	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New program, awaiting first review
Pharmaceutical Sci (PSM)	Internally within the Department	Thesis and oral defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New program, awaiting first review
Pharmaceutical Sci (BS) <i>Pharmaceutical Marketing & Mgmt</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Capstone course	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		New program, awaiting first review
Physical Therapy (DPT)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	<ul style="list-style-type: none"> • National Physical Therapy Exam • Alumni survey that contains self-reports of learning outcome achievement/preparation • Employer meeting/survey/interview about student learning outcome achievement, Interviews or focus groups that contain self-reports of learning outcome achievement • Student survey that contains self-reports of learning outcome achievement • Surveys of clinical education faculty for assessments on the students • Feedback from our advisory Board 	<p>Course instructor(s) assessed evidence from their own students, Standing faculty committee, Ad hoc faculty group, Department chairperson. Scored exams/tests/quizzes, Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data, External organization/person analyzed data (e.g. licensing exam). Curriculum committees, faculty, department chair/Program Director, ad hoc committees, Associate Program director, Director and Associate Director of Clinical Education.</p> <p>Outcomes studied were passing rates, graduation rates, licensure passing rates, employment rate, clinical experiences pass rates.</p> <p>Approach taken was: discussion, surveys, focus groups, summarizing surveys, graphing.</p>	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Program policy changes, Student support/student experience changes, Celebration of student success, Results indicated no action needed because student work met expectations. We have formed subcommittees to evaluate the entire program. We make changes to the curriculum according to findings. We plan a thorough evaluation to continue over the next 2 years.</p> <p>Course changes,</p>	CAPTE 2010; AQAD 2015
Exercise Physiology (BS)	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Supervisor or employer evaluation of student performance outside the classroom (Internship, clinical, practicum placements), Exit survey. Employer meeting/survey/interview about student learning outcome achievement, Student reflection. Student survey that contains self-reports of learning outcome achievement, practicum employer meeting	<p>Course instructor(s) assessed evidence from their own students, Ad hoc faculty group, Department chairperson, Program Director. Used a rubric or scoring guide, Used professional judgment (no rubric or scoring guide used), Compiled survey results, Used qualitative methods on interview, focus group, or open-ended response data. EP Program Curriculum committee decided what would be assessed, reviewed and made changes over time. Course instructor/coordinator based on agreement with Program Director decided Program curriculum committee Student learning outcomes are assessed.</p> <p>Both student learning outcomes and program outcomes were assessed. The approach taken was by survey</p>	<p>Assessment tool or procedure changes (SLOs revised, curriculum maps or rubrics created or altered, communications with faculty, course evaluation items or surveys created, etc.), Curriculum changes (new degree requirements or other structural changes beyond the course level, Personnel or resource allocation changes, Program policy changes, Student support/student experience changes, Celebration of student success. As indicated above. We plan to evaluate the effectiveness of changes at our year end faculty retreat and reassess.</p>	AQAD 2015

Public Health (MPH) <i>Dietics</i> <i>Epidemiology</i> <i>Gerontology</i> <i>Global Environ Sustainability & Health</i> <i>Healthcare Management</i> <i>Nutrition</i> <i>Population Health</i>	https://www.uml.edu/Health-Sciences/Public-Health/Programs-of-Study/masters/MPH.aspx	Thesis and oral defense	Course instructor(s) assessed evidence from their own students. Standing faculty committee, Department chairperson. Used professional judgment (no rubric or scoring guide used). Used competencies established by an outside accrediting body to revise curriculum in anticipation of submitting an application for accreditation in May 2018. Competencies of the accrediting body (Council on Education in Public Health (CEPH) were used to map the curriculum	Curriculum changes (new degree requirements or other structural changes beyond the course level, Other:.. Curriculum changes scheduled to go through the approval process this semester. Results will align the curriculum with CEPH competencies.	New Program Review 2017
Public Health (BS) <i>Community Hlth/Health Promo</i> <i>Environmental/Occupational Health</i> <i>Health Sciences</i>	https://www.uml.edu/Academics/Provost-Office/Student-Learning-Outcomes/Search/	Undergraduate curriculum has just undergone a major curriculum review in order to prepare for an application to an outside accrediting body being submitted in May 2018.	Standing faculty committee, Department chairperson. Used professional judgment (no rubric or scoring guide used). The undergraduate curriculum committee worked over a 2 year period to align the curriculum with the competencies outlines in the Council on Education in Public Health (CEPH). The curriculum was approved by the Faculty Senate in the fall, ELOs are currently being evaluated for several courses.	Curriculum changes (new degree requirements or other structural changes beyond the course level, Other:.. Used to enhance the curriculum to meet CEPH competencies.	AQAD 2013
Work Environment (SCD) <i>Epidemiology</i> <i>Hygiene</i> <i>Ergonomics</i> <i>Cleaner Prod/Poll Prev</i> <i>Policy</i>	Internally within the Department	Qualifying Exam and Dissertation with public defense	Department faculty collect/analyze student work to determine their level of achievement, investigate curriculum coherence annually.		AQAD 2015

E-SERIES FORMS: MAKING ASSESSMENT MORE EXPLICIT
OPTION E1: PART B. INVENTORY OF SPECIALIZED AND PROGRAM ACCREDITATION

(1)	(2)	(3)	(4)	(5)
Professional, specialized, State, or programmatic accreditations currently held by the institution (by agency or program name).	Date of most recent accreditation action by each listed agency.	List key issues for continuing accreditation identified in accreditation action letter or report.	Key performance indicators as required by agency or selected by program (licensure, board, or bar pass rates; employment rates, etc.). *	Date and nature of next scheduled review.
College of Education				
Graduate Programs National Council for Accreditation of Teacher Education (NCATE)/Council for the Accreditation of Educator Preparation (CAEP)	2010 Accredit Both Initial and Advanced Preparation.	No issues identified	<ul style="list-style-type: none"> • MTEL Exam: state educator licensure • Alumni survey • Action research project • Case study/action plan • MA Preservice Performance Assessment • Mentor teacher survey • Employer survey 	2019-20 Comprehensive review <i>(Will not be sought.)</i>
College of Fine Arts, Humanities, and Social Sciences				
Art (BFA) National Association of Schools of Art and Design (NASAD)	2017 Accredit	• Completion and proper operation of ventilation system for Expanded Media Fabrication Lab	<ul style="list-style-type: none"> • Senior capstone • Juried exhibitions • Alumni survey 	2025-26 Comprehensive review
Music Graduate and Undergraduate Programs in Performance National Association of Schools of Music (NASM)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • Panel/jury evaluation each semester • Recitals with adjudication • Composition projects 	2023-24 Comprehensive review
Music Sound Recording Technology (BM) National Association of Schools of Music (NASM)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • Job placement rates • Alumni surveys 	2023-24 Comprehensive review
Music Sound Recording Technology (MM) National Association of Schools of Music (NASM)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • Job placement rates • Alumni surveys • Thesis or project 	2023-24 Comprehensive review
Music Business (BM) National Association of Schools of Music (NASM)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • Internship 	2023-24 Comprehensive review
Francis College of Engineering				
Biomedical Engineering and Biotechnology (PhD), Medical Physics Option Commission for Accreditation of Medical Physics Educational Programs (CAMPEP)	2015		<ul style="list-style-type: none"> • Qualifying comprehensive examination • Capstone project • GPA • Dissertation 	2020-21 Comprehensive review

Chemical, Civil, Computer, Electrical, Mechanical and Plastics Engineering (BSE) Engineering Accreditation Commission (EAC) of the Accreditation Board for Engineering and Technology (ABET)	2013 Accredit	<ul style="list-style-type: none"> • Strengthen broad statement of program goals for students • Sufficient basic science requirements outside of engineering 	<ul style="list-style-type: none"> • Performance targets of 11 student outcomes • Capstone design portfolio • GPA outcomes • Graduating student exit survey • Individual course surveys • NCEES Fundamentals of Engineering (FE) exam • Employment rate • Alumni survey • Traditional faculty evaluations 	2018-19 Comprehensive review
Civil Eng Tech (BET), Electronic Eng Tech (BET) and Mechanical Eng Tech (BET) Engineering Technology Accreditation Commission (ETAC) of the Accreditation Board for Engineering and Technology (ABET)	2015 Accredit	<ul style="list-style-type: none"> • Resource the program sufficiently to ensure courses are offered with adequate frequency to ensure students timely progress to graduation 	<ul style="list-style-type: none"> • Projects • Laboratory performance • Laboratory reports • Oral presentations and/or exams that assess performance criteria for each outcome • Alumni and employer surveys 	2020-21 Comprehensive review
Kennedy College of Sciences				
Physics and Applied Physics, Radiological Sciences-Medical Physics (PhD) Commission for Accreditation of Medical Physics Educational Programs (CAMPEP)	2018 Accredit		<ul style="list-style-type: none"> • Qualifying comprehensive examination • Capstone project • GPA • Dissertation 	2022-23 Comprehensive review
Physics and Applied Physics, Medical Physics (MS) Commission for Accreditation of Medical Physics Educational Programs (CAMPEP)	2017 Accredit		<ul style="list-style-type: none"> • GPA • Thesis 	2022-23 Comprehensive review
Physics and Applied Physics, Radiological Sciences and Protection (MS) Applied Science Accreditation Commission (ASAC) of the Accreditation Board for Engineering and Technology (ABET)	2017 Accredit		<ul style="list-style-type: none"> • Thesis or project • Technical presentations • Laboratory reports • Internship • Course grades • Alumni surveys • Employer surveys 	2022-23 Comprehensive review
Physics and Applied Physics, Radiological Health Physics (BS) Commission for Accreditation of Medical Physics Educational Programs (CAMPEP)	2017 Accredit		<ul style="list-style-type: none"> • Laboratory reports • Capstone project • Internship • GPA • Exit interviews • Alumni surveys • Employer surveys 	2022-23 Comprehensive review

Manning School of Business				
All programs Association to Advance Collegiate Schools of Business, International (AACSB)	2014 Accredit	<ul style="list-style-type: none"> • Increase response rate on ETS field exam • Develop/implement assessment plan for MSA program • Clarify scholarship qualifications for faculty teaching in doctoral program 	<ul style="list-style-type: none"> • Exit surveys • Written case analysis • Exams • Presentations • Projects • Alumni survey • Graduate exit survey • E-portfolios 	2018-19 Comprehensive Review
Zuckerberg College of Health Sciences				
Clinical Lab Sciences (BS) National Accrediting Agency for Clinical Laboratory Sciences (NAACLS)	2017 Accredit	<ul style="list-style-type: none"> • Use of outcomes measures for curriculum and program improvement, resource allocation • Change control for annual reporting practices 	<ul style="list-style-type: none"> • Student exit survey • Employer survey • National Credentialing Agency for Laboratory Personnel (NCA) exam • Alumni survey • Graduation rates • Job placement rates 	2021 Interim report 2026-27 Comprehensive review
Nursing (PHD) Commission for Collegiate Nursing Education (CCNE)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • Preceptor and clinical site evaluations • Overall and course GPA • Rubric evaluation of coursework • Student surveys • Alumni surveys 	2025-26 Comprehensive review
Nursing (DNP) Commission for Collegiate Nursing Education (CCNE)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • Preceptor and clinical site evaluations • Overall and course GPA • Rubric evaluation of coursework • Student surveys • Alumni surveys 	2025-26 Comprehensive review
Nursing (MS) Commission for Collegiate Nursing Education (CCNE)	2016 Accredit	No issues identified	<ul style="list-style-type: none"> • American Academy of Nurse Practitioners (AANP) or American Nurses Credentialing Center (ANCC) certification exam • Alumni surveys • Employer satisfaction surveys 	2025-26 Comprehensive review
Nursing (BS) Commission for Collegiate Nursing Education (CCNE)	2016 Accredit	<ul style="list-style-type: none"> • Implementation of articulated plan to improve NCLEX-RN results 	<ul style="list-style-type: none"> • National Council Licensure Examination for RNs (NCLEX-RN) • Alumni surveys • Employer satisfaction surveys 	2025-26 Comprehensive review

Physical Therapy (DPT) Commission on Accreditation of Physical Therapy Education (CAPTE)	2012 Accredited	<ul style="list-style-type: none"> • Sufficient administrative and technical support staff 	<ul style="list-style-type: none"> • National Physical Therapy Association licensure exam (NPTE) • Graduation rate • Graduating student surveys • Employment rate 	2020-21 Comprehensive review
Work Environment (MS) Applied Science Accreditation Commission (ASAC) of the Accreditation Board for Engineering and Technology (ABET)	2017 Accredited	<i>(Program no longer admitting new students.)</i>	<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 surveys • Certified Industrial Hygiene (CIH) Exam 	2022-23 Comprehensive review <i>(Will not be sought.)</i>