

**WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES MEETING
Meeting Minutes**

CHAIR:	Mr. Craig Blais (Chair)	DATE:	January 7, 2020
LOCATION:	Student Affairs Conference Room, SC326	MINUTES BY:	Nikki Kapurch
TIME:	9:00 AM		
MEMBERS PRESENT:	Craig Blais (Chair); Lisa Colombo (via remote access); Aleta Fazzone; Maryanne Hammond (Vice-Chair); Karen Lafond; Stephen Madaus (Vice-Chair); William Mosley Dina Nichols; Manuel Reyes-Ponce; Marina Taylor; David Tuttle		
WSU STAFF:	Barry Maloney; Patrick Hare; Carl Herrin; Nikki Kapurch; Kathy Eichelroth; Tom McNamara; Julie Kazarian; Ryan Forsthye; Jason Kapurch; Jennifer Quinn; Lois Wims		

The provision of General Laws, Chapter 30A having been complied with and a quorum present, a meeting of the Board of Trustees was held on Tuesday, January 7, 2020, in-room SC326 of the Student Center. Chairman Blais called the meeting to order at 9:06 am. The Chairman reported that Trustee Colombo will participate by remote access and announced that all votes will be by recorded roll call. Chairman Blais immediately called a recess and the meeting was called back to order at 9:25 am

Administrative Business:

APPROVAL OF THE MINUTES

Upon a motion made by Trustee Fazzone and seconded by Trustee Hammond, it was unanimously

VOTED: By recorded roll call to approve the September 10, 2019 minutes of the Human Resources Committee meeting as presented.

ROLL CALL VOTE: 11 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Maryanne Hammond;. Karen Lafond; Stephen Madaus; William Mosley; Dina Nichols; Manuel Reyes-Ponce; Marina Taylor; David Tuttle

Upon a motion made by Trustee Talyor and seconded by Trustee Nichols, it was unanimously

VOTED: By recorded roll call to approve the November 5, 2019 minutes of the Academic and Student Development Committee meeting as presented.

ROLL CALL VOTE: 11 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Maryanne Hammond;. Karen Lafond; Stephen Madaus; William Mosley; Dina Nichols; Manuel Reyes-Ponce; Marina Taylor; David Tuttle

Upon a motion made by Trustee Madaus and seconded by Trustee Mosley, it was unanimously

VOTED: By recorded roll call to approve the November 12, 2019 minutes of the Board of Trustees meeting as presented.

ROLL CALL VOTE: 11 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Maryanne Hammond; Karen Lafond; Stephen Madaus; William Mosley; Dina Nichols; Manuel Reyes-Ponce; Marina Taylor; David Tuttle

OTHER BUSINESS:

Divisional Updates from the Vice Presidents

- President Maloney explained that the purpose of having updates from each division at this orientative board meeting is to deepen the board's understanding of divisional matters.
- We plan on having a more comprehensive conversation on the May Street Building in the future.

Lois Wims, Provost and Vice President for the Division of Academic Affairs

- We are currently in the process of implementing an ambitious national recruitment strategy and search selection process to hire 18 tenure track faculty for Fall 2020. Continue to demographically diversify our candidate pools, with educational and professional backgrounds from some of the best universities in the world.
- RASE Plan (Roadmap for Advancing Student Excellence), we have identified faculty and staff leaders for each of the 40+ action items and laid out a pathway for implementation.
- The development of our next five-year Strategic Plan is underway.
- We've initiated recruitment for two new masters degree programs and for our first three fully online programs.
- We will begin our self-study with the New England Commission for Higher Education (NECHE).
- Briefed the board on the 15% Cap Rule and the impact. The rule limits the number of courses taught by part-time faculty to 15% of the number of courses in a department.

Thomas McNamara, Vice President for the Division of University Advancement

- Provided a handout of the December 2019 Advancement Dashboard for review. They had a strong end to the calendar year securing multiple major gifts, raised over \$45,000 on Giving Tuesday, and implemented successful events.
- Briefed the board on alumni engagement and major gifts.
- Went through some of the trends, opportunities and challenges within the division.

Ryan Forsythe, Vice President for the Division of Enrollment Management

- Provided our current enrollment numbers indicating we are up in students.
- The Fall 2019 semester, Worcester State enrolled its fourth-largest incoming class of 1,463 new students, while retaining students at the highest Fall-to-Fall retention rate in the university's history at 71%.
- Also this academic year, the university went live with Financial Aid Self-Service. Previously, while students were accustomed to using online systems to access their Worcester State accounts (such as course registration and billing), all financial aid processing had been done via paper. Now, students can view financial aid awards, accept or decline student loans, submit outstanding items, and more,

online.

- Discussed our Early College Program and Dual Enrollment work.

Julie Kazarian, Dean and Senior Student Affairs Officer for the Division of Student Affairs

- Dean and Senior Student Affairs Officer Kazarian invited two members of her Division, Jennifer Quinn, Director of Title IX and Alcohol and other Drug Prevention and Education, and Sarah Valois, Staff Assistant/Counselor, Counseling Services, to offer on the Title IV Presentation that was included in the board packet.
- Title IV training is required by all Board of Trustee members.
- Additional information can be found at <https://www.worcester.edu/Title-IX/>. You can also find the [BHE Equal Opportunity and Sexual Violence Policy](#) at the hyperlink.

Campus Safety Overview and Clery Act Update

- Chief Jason Kapurch provided a detailed presentation about the services that the University Police Department provides and went through the powerpoint that was provided in the packet.
- Dean and Senior Student Affairs Officer Kazarian provided a Clery Act Update.

FINANCE AND FACILITIES COMMITTEE REPORT

Trustee Madaus, Chair of the Finance and Facilities Committee, reported that the committee convened this morning for a meeting and reviewed thoroughly the information provided in the board packet.

- He mentioned that Vice President Eichelroth presented a budget memo on the proposed student fee increase.
- The multi-year operating budget forecast has been prepared to incorporate slight declines in enrollment that translate into revenue deficiencies impacting the bottom line.
- The fee increase addresses deficiencies in the budget.
- A 2% decline in enrollment and adjustments to other revenue lines, creates a revenue gap that we propose to be closed with a \$257 annual increase to the General Fee.
- The administration will keep the board informed going forward on our Spring 2020 student enrollment and on state dollar amounts, and adjust projections if needed.
- The administration proposed a \$168 annual increase to provide new resources to be invested in critical needs of the institution. The division priorities for FY20 total \$1,829,375. An increase for operations of \$672,504, which equals the \$168 increase in per-student fees, was proposed.
- The cumulative increase in the General Fee for the year would be up to \$425, a 5% increase over the prior year. This would be the maximum increase.
- The total cost for fees for the academic year 2020-2021 equals \$9,616. We would still be below all the other State Universities, except Fitchburg.
- S&P Global Ratings was shared for informational purposes only and Trustee Madaus highly recommended that each trustee read through the report.
- The question was asked about expenditures by tuition waiver funds? The administration will provide a list of categorical waivers to the board at a future meeting.
- Chairman Blais would like the administration to come to the board with a multi-year fee proposal for the board to consider and to look into multi-year forecasting so the board can plan ahead.

Upon a motion made by Trustee LaFond and seconded by Trustee Hammond, it was unanimously

VOTED:

By recorded roll call to accept the recommendation of the Finance and Facilities Committee and approve the Worcester State University Tuition and Fees Schedule for Academic Year 2020/2021 as presented. Specifically, approve the following:

- an increase in the General Fee up to \$425 per year for a total annual General Fee of \$8,798
- a recommendation to the MSCBA of a change in the Resident Hall rates as presented
- an increase in the cost of the basic board plan of \$50 per year for an annual rate of \$3,800
- an increase in the transcript fee to \$10 per transcript.

ROLL CALL VOTE: 11 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Maryanne Hammond;. Karen Lafond; Stephen Madaus; William Mosley; Dina Nichols; Manuel Reyes-Ponce; Marina Taylor; David Tuttle

Administrative Updates:

REPORT OF THE CHAIRMAN

- Next meeting: Tuesday, March 10, 2020

REPORT OF THE PRESIDENT

- President's Update report was provided in the packet.
- President provided an update on the state's FY 19 Supplemental budget. He expressed his appreciation for the increase in financial aid monies, the Endowment Incentive program match, funding for IT safety and security infrastructure grants, and the Collective Bargaining payout.
- Two of our varsity teams, soccer and field hockey, won their MASCAC conference championships.
- Provided in the packet as information only was the Conference and Event Services Office (CESO) FY20 P/L Statement reflecting financial activity through the end of quarter one.

OTHER BUSINESS:

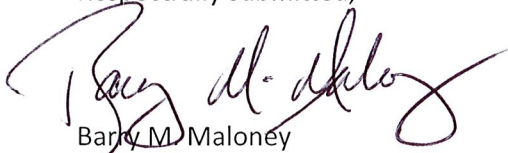
With there being no further business, the WSU Board of Trustees meeting was adjourned

Upon a motion made by Trustee Taylor and seconded by Trustee Nichols, it was unanimously

VOTED: By recorded roll call to adjourn the meeting at 11:51 am

ROLL CALL VOTE: 11 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Maryanne Hammond;. Karen Lafond; Stephen Madaus; William Mosley; Dina Nichols; Manuel Reyes-Ponce; Marina Taylor; David Tuttle

Respectfully submitted,



Barry M. Maloney
Secretary, Board of Trustees

December Highlights

Alumni Engagement

- President's Circle Society Event- 126
- Ice Hockey Room Dedication- 55
- Birthday Emails- 20% Open Rate
- Enewsletter- 21% Open Rate

Major Gifts

- \$100,000 gift from the Esler Family Foundation to support capacity-building activities for the WSU Business Administration & Entrepreneurial Center
- \$50,000 gift from Dr. GB and Lexi Singh for the The Dr. GB and Lexi Singh Simulation Center
- \$60,000 gift from Diane Aramony '73 to endow The Fred R. and Lillian Anber Aramony and Kahlil Gibran Scholarships
- \$25,000 gift from Gene and Jullanne DeFeudis
- \$23,719 gift from the estate of Casey O'Malley '04
- \$10,000 gift from Barry Aframe for The Jacob and Leah '42 and Gail '68 Aframe Scholarship
- \$18,225 grant from Reliant Foundation in support of the new Addictions Counseling Interdisciplinary Minor and Certificate programs
- \$25,000 grant from Santander Bank, N.A. to support scholarships for students studying Business Administration and Entrepreneurial Studies
- Greater Worcester Community Foundation awarded grants totaling \$41,500 in support of campus initiatives

Advancement Update

- Scholarship application cycle will open for 2020 on January 15, 2020. More than 350 scholarship awards for students to apply for.

Annual Giving Update

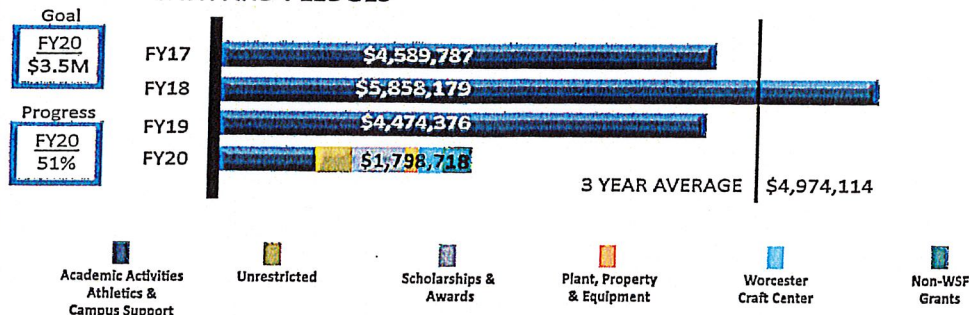
- Year-to-date FY20 Annual Giving appeals are out performing FY19 Annual Giving appeals in dollars by 16.37%
- Raised over \$45,000 on Giving Tuesday
- Eight seats were named in Wellness Center Gymnasium through our Initial launch of the 'Name a Seat' program
- Development team personally reached out to over 250 constituents through cards, phone, and email with a calendar year-end appeal

UNIVERSITY ADVANCEMENT

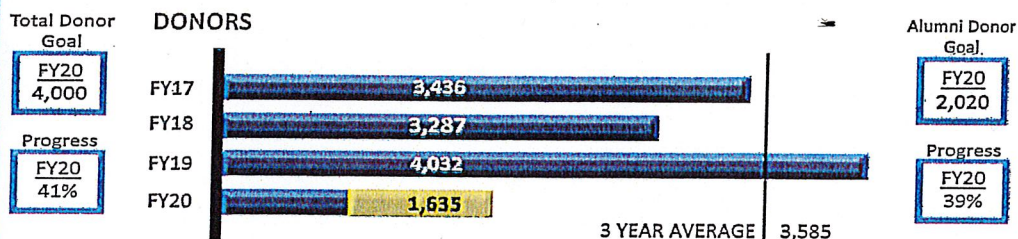
Dashboard

July 1, 2019 - December 31, 2019

CASH AND PLEDGES



DONORS



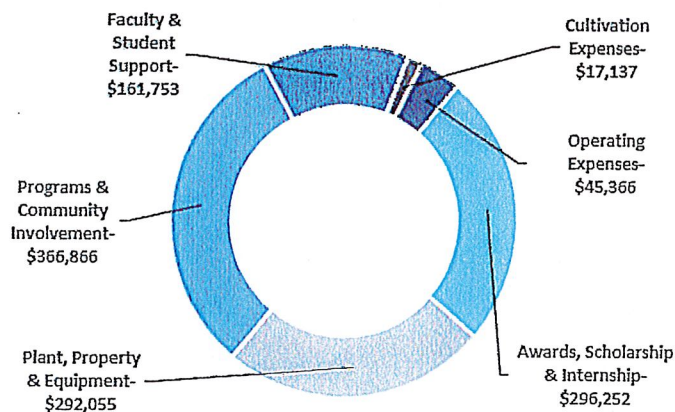
Alumni Donors (785)

GRANTS, CORPORATE GIFTS & SPONSORSHIPS



FOUNDATION FUNDING OF UNIVERSITY PRIORITIES

\$1,179,429



FY20 Board Giving	Cash and Pledges	Cash	Participation
Trustees	\$ 17,524.98	\$ 14,524.98	90%
Foundation Board	\$ 44,151.82	\$ 34,148.40	76.92%
Alumni Association	\$ 21,160.11	\$ 20,060.11	89.47%
Cabinet	\$ 10,663.56	\$ 10,663.56	80.65%



WORCESTER
STATE
FOUNDATION

Trends, Opportunities & Challenges:

Opportunities	Challenges
Endowment Incentive Program <ul style="list-style-type: none"> \$1 in state matching funds for every \$2 raised (\$227-277,000 available) 	Narrowing of Donor Pyramid <ul style="list-style-type: none"> 10% of Donors comprise 94% of dollars raised Declining real earning power of middle class
Meteoric Rise in Stock Market	Election Year with a side of Impeachment
Planned Giving <ul style="list-style-type: none"> IRAs as a giving vehicle Designation 	Planned Giving <ul style="list-style-type: none"> MA Estate Tax complexities
Explosion of DAFs (Donor Advised Funds) <ul style="list-style-type: none"> 73% increase in 2018 	Explosion of DAFs (Donor Advised Funds) <ul style="list-style-type: none"> 73% increase in 2018
Increase Focus on Stewardship <ul style="list-style-type: none"> Events Stewardship Reports 	Tax Law Changes/Modifications <ul style="list-style-type: none"> Confusion SECURE Act
Gifts of Real Estate <ul style="list-style-type: none"> Home equity is a small % of wealthy family's portfolio 	Economic Volatility
Gift "Bundling" <ul style="list-style-type: none"> Big gift in one year intended to cover multiple years of philanthropy 	Gift "Bundling" <ul style="list-style-type: none"> Big gift in one year intended to cover multiple years of philanthropy
"Donor Centered" Fundraising <ul style="list-style-type: none"> Develop new models of relationship-building 	Proliferation of Non-Profits <ul style="list-style-type: none"> 20% growth over last 10 years in contrast to 2-3% in the for-profit sector Increased competition within a shrinking donor pool

Philanthropy in Higher Ed

Tax Credit and Jobs Act legislation/TCJA (passed in 12/2017)

Historically donors base philanthropic decisions on whether the donation is tax-deductible. The act does the following:

- (1) Raised the standard deduction—The rise in the standard deduction for both individuals and married couples will likely effect # of people choosing to itemize their deductions which could cause a decline in charitable giving among those not in the high net-worth category.
- (2) Capped state/local income, sales and property tax deductions at \$10K which will also impact the # of people choosing to itemize. Adding to these concerns, the IRS is proposing rules limiting the federal deduction allowable to taxpayers who receive state and local tax credits for charitable donations.
- (3) Dramatically increased (more than doubled for individuals and married couples) the estate tax which could decrease lifetime contributions. (Giving USA estimates that 5% of the population will leave a bequest and 83% of those individuals who have a will, have named a non-profit as a beneficiary. It is also important to note that the average age for a donor to make their first charitable planned gift is 53.)
- (4) Adjusted corporate tax rate from a top marginal rate of 35% to a flat rate of 21%. Though technically the change decreases corporate giving incentives, it is unclear whether corporate giving will be affected as some expect it will motivate companies to spend more in their communities.

Emerging Trends

Number of donors with mid-level income is shrinking.

The number of smaller gifts (under \$1,000) has decreased slightly.

Rise in gifts from high net-worth donors

➤ *High net-worth donors (HNWDs) are diverse and therefore require multiple strategies based on their demographic. For example, studies suggest African-American donors prioritize giving back to their communities. 72% of these donors gave to basic needs charities (18% higher than other HNWDs) and 64% of these donors gave to religious organizations (15% higher than other HNWDs). And women donors differ from male donors. Women are more likely to volunteer and they have a higher rate of impact investing. Generationally, millennial women give to many different charities while baby boomer women focus on a handful of organizations.*

➤ Where do WSU donors rank?

Adjusted Gross Income (AGI)	Rank Among Taxpayers (Based on 2017 IRS data)
\$2.37 M	Top 1/10 of 1%
\$515,371	Top 1%
\$208,053	Top 5%
\$145,135	Top 10%

Explosive growth in donor-advised funds (DAFs)

- *The annual Voluntary Support for Education (VSE) report recorded massive growth in DAFs in 2018, up 73% from 2017. Additionally, the average value per grant increased by 40%.*
- *Possible explanations for this surge are: (1) very accessible and attractive to mid-level donors because it is much less expensive than starting a foundation; and (2) allows donors to take their charitable deduction at a time that is helpful to them for tax purposes—while giving them time to determine which charities will benefit from their giving over an extended period.*

Gift ‘bundling’

- *This involves a donor deciding to make a large gift and asking the charitable organization to credit that gift over a period of years. The donor expects they will not be asked for additional gifts during that time.*

Trends in Alumni Relations

Essential division of university advancement due to its ability to engage alumni and build relationships ultimately contributing to the base of alumni support that feeds the annual fund.

Alumni & Career Services

- *Many institutions are creating direct partnerships between alumni and career services offices (some even going to the extent of establishing specific jobs related to working with alumni). These partnerships work to improve networking opportunities for students and alumni, increase employability and impact the perceived ROI.*
- *Improve usage of LinkedIn and other social media outlets to create and manage relationships.*

Data management

- *Ensuring accuracy and constant updating of constituent data.*
- *Embracing the value of communicating and sharing data campus-wide.*
- *Collect and record information on student (and alumni, if applicable) affinity groups.*
- *Don't simply focus on the person they were while on campus. Create a profile of who they are now—since becoming an alum (Record all relationships with alumni, professors, external organizations, foundations, corporations—current and past. Prospect managers can assist with the collection of this information to ensure a more complete profile. This also feeds the career services partnership.)*

Building a culture of philanthropy—campus-wide

- *Educate students on the value of all aspects of philanthropy—time, talent and treasure—creating a culture that acknowledges and rewards giving back. This will encourage responsibility and appreciation while preparing them for their role as alumni.*
- *Students should be viewed as university ambassadors—encourage this role as they represent the university across the region, nation and world.*

Widespread development of Massive Open Online Courses (MOOC)

- *The alumni experience is changing at many institutions with the development and availability of online courses, blended learning, part-time students, certificate programs, international partnerships, etc. Because each of these groups will have different levels of engagement and, in fact, some may never step foot on your campus, it will be important for*

institutions to create clear definitions for what constitutes an alumnus. These segments represent avenues of potential support if approached properly—whether they meet the formal criteria of alumnus or not.

Events

- *With the many demands on our donors' time, participation at events is increasingly becoming a challenge. Oftentimes, those individuals willing to attend are often not the individuals we were hoping to have the opportunity to see. Because events are generally a big hit to an advancement budget, events should be limited to those able to achieve the following objectives:*
 - (1) Allow the donor to interact with the mission of the organization—creating meaningful experiences and communicating the impact the donor's gift has had on the organization.*
 - (2) The event should be customized and feel very personal.*
 - (3) The event should offer personal connections, create meaningful relationships while sharing a story and surprising and delighting the donor(s).*

Regulations & Laws That Impact How We Do Business

TCJA legislation will likely have an impact on decisions on how to segment fundraising appeals and ultimately who we spend time cultivating. For example, given the statistic that the average age a person makes their planned gift is 53, it would make sense to segment your database to develop and appeal that would connect with that population and begin introducing the idea of a planned gift. Another suggestion would be to look at your wealth screening and appeal to those donors and prospects who meet the criteria identified in the AGI chart (referenced in the Emerging Trends section of the Philanthropy in Higher Education section).

There have been multiple stories in the news recently regarding gift agreements.

<https://www.bostonglobe.com/business/2017/03/16/charitable-gift-divorce-angry-wife-worcester-polytech-faces-lawsuit-over-donation/N6NjzNLck47R8GJnHYI2mN/story.html>

Employing the use of appropriate gift agreements is the first step in good donor stewardship and enables clear communications and record-keeping for both the donor and the institution regarding purpose, payment schedule, recognition, investment policies and future disposition of commitments.

Political landscape/2020 presidential election



WORCESTER STATE UNIVERSITY

President's Office
Phone: 508-929-8020
Fax: 508-929-8191
Email: bmaloney@worchester.edu

TO: Members, WSU Board of Trustees

FROM: Barry M. Maloney, President

RE: Strategic Plan Discussion

DATE: February 24, 2020

In anticipation of discussion about the strategic plan at our upcoming meeting, I am sending along two documents and a few related questions for your review and consideration in advance. The two documents are:

1. **A draft “envisioned future state” document that articulates in one place how WSU stakeholders (faculty, staff, students, alums, trustees), based on the extensive outreach done in the fall, hope the University will be better, different, or stronger in five years.**

You can think of this expression of shared aspirations as representing the desired outcomes that should result from implementation of the next five-year strategic plan. Therefore, all goals and strategies (the guts of the strategic plan) will be developed with this envisioned future state serving as the plan’s “destination.”

This draft has been vetted with the Executive Cabinet and Leadership Council, and I am hoping the trustees now will embrace it as being a directionally sound foundation on which the campus community, led by our planning steering committee, should continue building. Downstream, this aspirational description of who and what we want (and will work hard) to be in five years should prove very helpful in a fundraising context, as it should serve to inspire donors who will want to know (or be able to imagine) what their investment in WSU will make possible.

As you review the draft, please consider these questions:

- What resonates most, or excites you most, about the vision of WSU in five years?
 - Do you have any big ideas for what WSU might do to reach the destination?
 - Is there anything you consider a “must-do” (i.e., a non-negotiable strategic imperative as opposed to simply an aspiration or goal)?
2. **A diagram that identifies eight vision-supporting goals that reflect the areas of greatest concern to the WSU community based on what was learned during the extensive and inclusive diagnostics phase of the planning process.**

David Tuttle, the board’s liaison to the process, shared these eight goals with you in his January 30 update memo. As he reported, in the next phase of the process working groups will be developing “mini plans” (strategies, initiatives, metrics) for each of these eight goals, four of them deemed mission-central and four of them mission-supporting. Running through all eight of them will be our non-negotiable commitment to promoting equity broadly speaking and advancing the BHE’s “equity agenda” specifically.

The planning process is proceeding as smoothly and efficiently as we could hope, as I believe David will attest. In his January message to you, David forwarded a copy of an update I had recently sent to Commissioner Santiago. The timeline I laid out in that message is unchanged except that our Touchpoint II meeting with the BHE's Strategic Planning Committee (at which we will receive feedback on the key elements of our draft plan) will take place in mid-June rather than in May; this sequencing is better insofar as the BHE meeting will follow our June board meeting. I still expect to be presenting a draft plan to you for feedback and preliminary endorsement on June 2. The plan will be refined and finalized over the summer and presented to you for formal approval in September. We anticipate our Touchpoint III (final) meeting with BHE will take place later that month or in October, after which Commissioner Santiago would present the plan to Secretary Peyser, recommending it for approval.

ENVISIONING WORCESTER STATE UNIVERSITY IN 2025

Looking ahead to 2025, Worcester State University will be a vibrant, student-centered community of learning dedicated to preparing students of all backgrounds to succeed and lead in their professions, in their communities, and wherever they seek to leave their mark on the world. As the educational and demographic landscapes continue to evolve, WSU will be offering undergraduate, graduate, and continuing education students, as well as lifelong learners of any age, both well-established, proven programs and new, flexible pathways to meeting their educational and career goals—from traditional classroom learning to fully online programs, to competency-based education and prior-learning credits for students who already have been in the workforce, to accelerated degree programs at both the undergraduate and graduate levels. In all its programs, WSU will be preparing students to think creatively, act collaboratively, solve problems with ingenuity, excel in diverse environments, and lead with agility and integrity.

By 2025 Worcester State will be recognized as a community of learning whose doors are open to all and whose impact on those who venture through its doors is transformational. WSU's dual-enrollment and early-college programs and opportunities will be available to all students who can do the work, not just the well-off who can afford to participate. Students who come to WSU from under-served populations will leave WSU having significantly expanded the number of choices and opportunities open to them. By 2025 the student body will be even more diverse than it is today, and the diversity of WSU's faculty will reflect the diversity of its student body and the wider Worcester region. By 2025, the number of students involved in civic engagement activities and study-away programs will have doubled, helping to ensure that WSU graduates appreciate and seize the opportunity to become engaged citizens of local community and global society.

Worcester State will be known as the university where students finish what they start. WSU will be a model of best practices in promoting persistence and completion across the student body and in empowering students to attain both academic and career goals. By 2025 the University's retention and graduation rates will each have increased by eight percentage points; and retention and graduation rates for traditionally underrepresented students will climb to be the highest within the Massachusetts state university system. Worcester State also will have the highest percentage of full-time faculty within the system, a testament to the University's commitment to academic excellence and supporting every individual student's educational goals. WSU's plans and priorities will support the public agenda for higher education in Massachusetts and, in particular, the state's goals relating to promoting equity and closing achievement gaps.

Worcester State will be known as a place where students emerge from their experience ready to lead— as individuals whose leadership potential has been identified, nourished, and demonstrated. WSU undergraduate students will engage in cross-divisional, multidisciplinary and experiential learning as a result of continued co-curricular integration and increased interdisciplinary learning opportunities that deepen their academic experience and expand their horizons. First-time, full-time undergraduates will leave WSU with two valued academic credentials, either two majors or a major and a minor, that will help them stand out in the professional world that awaits them. Evidence of WSU's transformational impact on lives and communities will be apparent in its social mobility index as well as in the impressive and increasing number of WSU alumni leading organizations throughout and beyond the state and across the public, nonprofit and private sectors.

ENVISIONING WORCESTER STATE UNIVERSITY IN 2025

Worcester State will be celebrated as a public institution that takes its public mission seriously. A dynamic, valued partner with and resource to Worcester, the University will have an impact akin to the impact of a stone tossed into a lake: rippling outward and generating waves. Through scholarship and civic engagement, WSU faculty, staff, and students will continue to advance and support economic development in Worcester. WSU will be a research hub where scholarly creativity is being channeled in new, exciting, and potentially important directions. The University will be engaged in collaborative pursuit of solutions to some of Worcester's and the region's most vexing social, economic, and other challenges. By 2025 WSU will be awarding more four-year degrees to Worcester residents than any other university in the state. WSU will be the Worcester-based university with the highest percentage of students involved with local-area organizations, as either interns, practicum placements or volunteers. Worcester State will be a robust, reliable pipeline for diverse, highly agile talent for the private sector and public service. WSU alumni will be founding new enterprises and organizations right in the city, having an impact on small business growth and entrepreneurship within Worcester.

Worcester State will be one of the best-run state universities in New England—efficient and lean, but investing adequately in the people, programs, physical spaces, and technological infrastructure to ensure WSU will be able to fulfill its mission and achieve its goals as a leading state university in the region. Employees will be challenged to innovate and adapt in a work environment that expects flexibility and adaptability, encourages professional development, rewards creativity and agility, and rejects a “getting by” or “doing more with less” approach to doing business. All members of the diverse WSU community—faculty, staff, and students—will feel included and valued, and they will hold themselves and each other accountable for achieving common objectives and upholding the University's core values. Effective leadership and transparent communication will encourage the open sharing of information and ensure alignment around shared goals for WSU.

Worcester State will be financially stable and well positioned for long-term organizational sustainability as it marks its 150th anniversary in 2024. Undergraduate enrollments will be holding steady despite the decline in college-age students nationwide, while enrollments in graduate, continuing ed, and other programs will be generating an increasingly significant share of WSU's total revenues. Philanthropic support from alumni and other friends of WSU also will be increasing, and the University's endowment will have grown from slightly more than \$30 million to \$50 million by 2025. These and other strategies to diversify revenues, together with ongoing efforts to contain costs, will yield a more sustainable business model while securing resources that can be invested strategically in WSU's future. Reflecting its longstanding commitment to environmental health, by 2025 WSU will have a smaller carbon footprint and be setting an example of responsible environmental stewardship.

DISCUSSION DRAFT

Mission:

Worcester State University champions academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. A Worcester State education equips students with knowledge and skills necessary for lives of professional accomplishment, engaged citizenship, and intellectual growth.

Vision:

By 2025, Worcester State University will be ...
and widely recognized as a model of [for] ...

Core Mission Goals:

ACADEMIC DISTINCTION

Offer high-quality undergraduate and graduate programs that develop the intellectual and personal potential of every student and prepare the next generation of leaders, innovators, and scholars

STUDENT SUCCESS

Provide all students a transformative, holistic educational experience with a path to timely degree completion and solid preparation for advanced academic studies or career success

ENROLLMENT

Be attractive and accessible to an increasingly diverse population of students within an increasingly competitive recruitment environment

PUBLIC GOOD

Have an impact beyond campus through leading-edge scholarship and creative activities, civic engagement, and mutually beneficial partnerships with local, regional and global communities

OUTCOMES

EQUITY

Mission-Enabling Goals:

PEOPLE

Recruit, nurture, and retain high-quality and diverse faculty and staff committed to educating and supporting a diverse student body

CULTURE

Build a campus culture of innovation and collaboration within a framework of inclusive excellence and accountability

REPUTATION

Enhance branding and marketing to raise regional and national visibility and garner recognition for excellence, value, and impact

RESOURCES

Develop sustainable revenue streams adequate to support the University's academic mission and institutional priorities, and invest in physical infrastructure and technology with a commitment to financial and environmental sustainability

EQUITY

Key [Measurable] Outcomes:

WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES
Academic and Student Development Meeting
Tuesday, March 10, 2020
Wellness Center Building
Room 204 (2nd Floor)
4:30 - 5:30 PM

Meeting Called By: Karen LaFond (Chair)

Minutes: Nikki Kapurch

Board Members: Karen LaFond (Chair); Lisa Colombo; Stephen Madaus; Manuel Reyes-Ponce; David Tuttle

WSU Staff: Barry Maloney; Nikki Kapurch; Carl Herrin; Patrick Hare, Lois Wims

All documents considered to be **drafts** until discussed and/or approved by the Board

AGENDA		
ITEM	RESPONSIBLE	ACTION
1. <i>Administrative Business</i> A. Call to Order	Karen LaFond	
2. <i>Academic and Student Development Committee Report</i> A. Cover letter* B. Proposal for a Bachelor of Arts in Political Science Degree - approval of Letter of Intent (LOI)* C. Proposal for a Bachelor of Arts in Theatre Degree approval of Letter of Intent (LOI)* D. Proposal for a Bachelor of Arts in Art Degree approval of Letter of Intent (LOI)*	Karen LaFond Lois Wims	Recommendation to the Full Board B. Vote Required C. Vote Required D. Vote Required
3. <i>Administrative Updates</i> A. Other Business	Karen LaFond	A. Informational
4. <i>Adjournment</i>	Karen LaFond	4. Vote Required

*Attachments



WORCESTER
S T A T E
UNIVERSITY

Provost and Vice President for Academic Affairs

Phone: 508-929-8038

Fax: 508-929-8187

February 24, 2020


Dear Trustees:

I am pleased to present three Bachelor's Degree Letter of Intent submissions proposed for this spring's BHE degree approval process: **Bachelor of Arts in Theatre, Bachelor of Arts in Art, and Bachelor of Arts in Political Science**. These proposals represent the work of two different academic departments in the School of Humanities and Social Sciences at Worcester State University.

The newly approved program review process from the Bureau of Higher Education requires that the University's Board of Trustees vote accompanies any submission of a Letter of Intent to be presented to the BHE. The materials before you represent a thorough review by the academic governance process at WSU. First, each department developed its proposal and moved the proposal forward upon receipt of the department's approval. Secondly, the All University Committee (AUC) sends curricular proposals to the University-wide Curriculum Committee (CC.) Upon a vote from the Curriculum Committee, the AUC also reviews and votes, sending the results to the President for his acceptance and signature.

Members of the departments of Visual and Performing Arts and History and Political Science will be in attendance at the March meeting of the Board of Trustees, accompanied by their Dean Russ Pottle and will be available to respond to any questions you may have. The proposed programs share focus with the current strategic plan of the University, and will provide cost-effective alternatives to degree programs at area private and public universities.

Many thanks in advance for your consideration,


Lois

Lois A. Wims, Ph.D.

Provost and Vice President for Academic Affairs

PHASE I: LETTER OF INTENT TEMPLATE
FOR BOARD VOTE ON APPROVAL PROCESS

Review Guidelines Prior to Submitting Materials

<https://www.mass.edu/foradmin/academic/publicnewdegrees.asp>

Information should be typed directly into the boxes below, which will expand. Letter of Intent (LOI) document should be about five to six pages in addition to appendices. After the local approval process for the LOI has been completed, the President of the institution should submit this template and all required forms addressed to the Commissioner of Higher Education, and to the Academic Affairs Committee (AAC) and Strategic Planning Committee (SPC) of the Board of Higher Education (BHE).

Submissions are required to be in MS Word format. Please direct the completed to:
awilliams@dhe.mass.edu.

Proposed Degree Title and Intent and Mission of the Program (200 words):

Bachelor of Arts in Political Science.

The study of Political Science provides more than just an academic overview of the political world around us. It equips students with the tools to be the shapers of that world through a curriculum that takes place inside and outside the classroom.

A Political Science education at Worcester State University begins with coursework in the subfields of American government, political theory, global politics, public policy, and legal studies. Students will learn about political ideas that impact society; how different political systems around the world operate; the sources of conflicts at home and abroad; the ways conflicts can be resolved; and the reasons why sometimes they are not. Students will also obtain a variety of hands-on experiences that will train them to be engaged citizens and prepare them for careers in politics, law, public service, campaigns, consulting, education, communications, and business.

Cities are ideal venues to study Political Science, providing a rich and diverse canvas of experiential opportunities for students to observe, reflect, and partake in the political world first-hand. Given Worcester's location as a major regional gateway and the second largest city in New England, Worcester State University is ideally situated to equip Political Science students to become tomorrow's leaders.

Proposed CIP Code: 45.1001 Political Science and Government

Chief Academic Officer (CAO) Name and Title: Dr. Lois Wims, Provost and Vice President of Academic Affairs, Worcester State University

CAO Phone Number: (508) 929-8038

CAO Email: lwims@worchester.edu

Has the Chief Academic Officer reviewed this LOI?

Date LOI was approved by governing authority:

A. Alignment with Massachusetts Goals for Public Higher Education

The FY19 BHE Equity Statement (<https://www.mass.edu/strategic/equity.asp>) provides campuses with insight into the next iteration of the system-level plans.

1. How does the program address institutional gaps in opportunity and achievement? How does the program align with campus goals?

This program would provide the only affordable urban-focused Political Science program available to Worcester-region college students.

As a program that provides a combination of rigorous academic study and real-world experience through internships and practicum, Political Science is a major that promotes student engagement with their communities and between faculty and students. Worcester State has a majority of first-generation college students. Research shows that these kinds of connections are key to student success and persistence.

The Political Science major at Worcester State will be consistent with campus goals at Worcester State. The campus maintains a strong commitment to civic engagement within the global community.

Political Science at Worcester State addresses fundamental inequities within the state college system through a focus on innovative, student-centered experiential learning, coupled with a rich curriculum designed to improve student engagement and retention.

1. What program or department supports and practices are in place to ensure that students persist and complete the certifications and degrees offered by the program?

The university's six-year graduation rate improved from 46.9% in 2011 to 56.8% in 2018. In fall 2019, the university retained students at 71%, its highest fall-to-fall overall retention rate. In partnership with Salem State and Fitchburg State universities Worcester State University, has been awarded a \$100,000 Higher Education Innovation Fund grant to explore creative and evidence-based

methods to strengthen faculty programs that boost completion rates, close achievement gaps, and attract, enroll and graduate students from underserved populations.

Worcester State University provides a variety of services to all students in order to ensure persistence and program completion. The university's Academic Success Center provides a wide variety of student supports, including hands-on guidance about advising and pre-registration, along with specialized tutoring supports. The university's office Counseling Services provides individual and group mental health counseling and outreach, including walk-in services. The university's office of Student Accessibility Services coordinates support services programs that enable equal access to education and university life for students with disabilities.

Along with the supports that Worcester State University provides to all students, the Department of History and Political Science has a dedicated graduate assistant (usually a student in the History M.A. program) that provides tutoring and small group support for all students in the department.

In addition, students are more likely to succeed and persist in college if they have connections with people on campus and engage in events and experiences outside of the classroom. Currently with a minor in Political Science, the department has developed multiple opportunities for students to connect with faculty outside of the classroom: monthly Pizza and Politics gatherings; election night watch parties; engaging students in Constitution Day with a field trip to the Kennedy Institute in Boston; arranging for university students to mentor high school students in a secondary-level Model UN; and taking students to Yale University for the International Policy Conference. Students have helped organize and participate in Worcester City Council and School Committee meetings, and state-level candidate and popular referenda debates. Students have opportunities to travel to Washington, D.C., and Boston and engage in political lobbying. The department has developed learning field trips to the United Nations in New York City.

With a major in Political Science, these opportunities will be able to further thrive and expand. Area of potential expansion include the regional Moot Court competition, study abroad opportunities, the collegiate-level Model UN and Model Congress, and study away experiences in New York City and Washington, D.C.

2. Please describe relevant, alliances and partnerships with PK-12, other institutions of higher education, and the employer community. If you have or plan to convene an advisory group for this proposed program, please explain. Describe how information from an advisory will be used to develop and refine the program.

Because the experiential component is vital to the program, the department will build upon connections it already has in the area.

In addition, with the new emphasis on Civics Education in the PK-12 History & Social Studies Framework, the Department of History and Political Science is working with the Department of Teacher Education at Worcester State University, as well as developing connections with local schools to provide courses to support teacher training.

The department is forming a Political Science Advisory Board that will bring together educators, politicians, civil servants, lawyers, students, and alumni to provide guidance and support for the program. This advisory board will help us refine curriculum, especially in terms of internships, practicum, and capstone experiences, as well as deepen connections and possibilities for job opportunities for our students and alumni.

Engaging deeply with political, legal, and governmental institutions, especially within the central Massachusetts area, is central to the mission of the prospective Political Science major.

3. If the proposed program is designed for students to enter an employment area of demonstrated need in the regional and/or statewide labor market, provide evidence including references to workforce development plans (e.g. MassHire Regional Blueprints, <https://www.mass.gov/service-details/view-your-regions-blueprint>), showing market need and employer engagement. If it is not directly labor market aligned, identify the career options related to the proposed program and explain how students will be made aware of them. Do not rely on Bureau of Labor Statistics projections in this section.

Explain all relevant content that has been sourced using the internet. **Use the full APA citation including retrieval date and the exact url where the content was obtained** [e.g. Last, First. M. (Year, Month Date Published). Article title. *Retrieved from URL ...*].

Do not rely on a hyperlink reference to information and data used in this section. The application serves as a permanent record. If the institution has commissioned market research regarding the proposed program, please attach a digital copy of the report(s) on which you relied to draw your conclusions and design your program. DHE utilizes Burning Glass to validate data.

The MassHire Regional Blueprint for Central Massachusetts (*The Central MA Regional Workforce Blueprint, 2018-2022, 26-27*) discusses the important role that Worcester State University is playing through the Education Department to develop K-12 teachers and to diversify the pool of teachers in the area so that students are more often taught by people that look like them. Because Massachusetts requires civics education in middle school, the political science major will play an important role in teacher training.

The department has attached a proprietary report commissioned by the university from the higher-education consulting firm Eduventures that provides a detailed analysis of job and career prospects associated with the Political Science major. This report projects an increase in demand for Political Scientists in New England of 13% (the increase in jobs for all occupations is 4%).

A Political Science major is a strong preparation for a diverse array of career paths, including journalism, government/policy, law, public policy/public administration/advocacy, and international business. It is not a limiting major, but rather opens up opportunities within both the private and public sectors.

4. Are there existing programs at other institutions (public and independent) in your region that offer a similar degree? If so, compare and contrast them with the proposed program.

Several programs in New England, and Worcester do offer competing programs, but none offer this prospective program's blend of strengths. Defining the university's catchment region as central Massachusetts, there is one other state university in the region, Fitchburg State University. Fitchburg State University offers a major in Political Science, but that program does not offer the focus on political campaigns that Worcester State University's program would. Nor does the program at Fitchburg State University provide the urban-focused experience that a program centered in the City of Worcester would.

For the regional independent colleges in central Massachusetts, all have the issue of higher costs for a bachelors' degree compared to the opportunities offered by state universities. Of those in Worcester, three offer political science degrees: Clark University, the College of the Holy Cross, and Assumption College. None of those programs have the focus upon experiential learning, political campaigns, and urban politics that the Worcester State major in Political Science would.

5. Has the proposed program been planned to include any significant digital, experiential, competency-based or other innovative approaches? Please explain and provide examples.

Experiential learning is central to the proposed major in Political Science. Students have two options to fulfill the experiential learning requirement: the first involves the completion of a research paper through an independent study, and the second allows students to complete of an internship. Students who choose a research paper would have the option to do an internship as part of their electives. To support a robust and rich student internship experience, the department has begun to build relationships with organizations in the community.

The department also integrates experiential components into the Political Science curriculum in other ways. The following is a list of current use of digital, innovative and experimental approaches implemented by members of the department:

1. Simulation of Today's Vote through Campus Compact (including civic engagement component)
2. Model UN
3. Use of nontraditional texts and community partnerships, e.g. Kennedy Institute for Study of Senate, Worcester Art Museum
4. Offering online and hybrid courses
5. Offering open educational resources (OERs) to reduce the cost of books for students.

The department's overall goal is to continue leveraging institutional assets and community resources in Worcester County. As the Worcester area continues to develop, the department hopes to build partnerships with many of the institutions that establish in the area.

B. Alignment with Campus Strategic Plan and Mission

1. Describe why the proposed program is a priority, and how it supports the campus's approved strategic plan, in the context of the institution's mission.

The proposed Political Science major aligns seamlessly with Worcester State University's mission. The current mission statement of the university is:

Worcester State University champions academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. A Worcester State education equips students with knowledge and skills necessary for lives of professional accomplishment, engaged citizenship, and intellectual growth.

The program is designed to meet the needs of an increasingly diverse student body. The curriculum includes classes on racial and ethnic politics, interest group politics, and global politics and international relations. Through experiential learning, students are engaged as citizens and develop professional skills. Experiential learning will include internships and practicum, but also will be incorporated into coursework, and facilitated through partnerships such as those already developed with the Edward M. Kennedy Institute for Study of the Senate, Today's Vote, and the Model UN.

The Worcester State University Strategic Plan (2015-2020) also clearly aligns with the proposed Political Science major. In particular, the following strategies identified in the strategic plan are developed in the Political Science major:

- Develop and offer innovative, integrative academic programming that supports and advances a model of transformative change in students
- Capitalize on WSU's urban location as a programmatic strength and educational asset
- Cultivate and enhance local, regional, and global connections to benefit students and strengthen WSU's contributions in the wider world
- Nurture student interest in and appreciation for diversity, global awareness, environmental literacy, and engaged citizenship
- Expand opportunities that encourage development of leadership potential within the student body
- Increase options for all students to participate in campus life outside the classroom
- Create more opportunities for informal interaction among students, faculty, and alumni and between senior administrators and the rest of the campus community

2. List the overall goals and learning objectives of the program and describe the strategy for achieving each goal. Use the **LOI Program Goals and Objectives** table in addition to any narrative comments.

The Political Science Major has the following Student Learning Outcomes (as approved by university governance at Worcester State University on June 18, 2018):

1. Students will identify the political theories and structures associated with different political systems.

2. Students will explain the behavior of governmental and non-governmental actors in a variety of political systems.
3. Students will analyze political phenomena in a theoretically-informed and methodologically-rigorous manner.
4. Students will assess the strengths and weaknesses of policies, positions, theories, and arguments.
5. Students will apply their disciplinary knowledge in practice to real-world situations and problems.
6. Students will engage in independent and original thought and scholarship.

These outcomes come together to create a robust major. This major will not simply provide students with a survey of interrelated coursework but will teach students to become critical thinkers and independent researchers. Political Science majors will figure out the answers to the political puzzles around us, as well as learning what questions to ask in the first place.

C. Alignment with Operational and Financial Objectives of the Institution

1. Provide enrollment projections for the first five years of the program using the Program Enrollment form (Form C), Describe below any anticipated impact that the program may have on enrollment in other programs.
- 2.. Describe the resources that the program will require (additional faculty and/or staff, space and equipment, on-line infrastructure, startup and maintenance of the program). Please include a narrative or financial statement outlining the anticipated net impact of the program on the overall financial resources of the institution. Include five years of future projections of revenue and expense using the LOI Budget form (**Form D**).
3. Complete the LOI Curriculum Outline form (Form A) with course titles and credits.
4. Complete the LOI Program Goals and Objective form (Form B).

Comments and Response

The submitted LOI will be reviewed for completeness by staff. This process typically occurs within 15 business days from when it is received. Once deemed complete, the LOI is circulated by the Deputy Commissioner of Academic Affairs and Student Success (the Deputy), to the AAC and SPC members of the BHE, public campus CAO's, and to the Association of Independent Colleges and Universities of Massachusetts (AICUM) representatives for relevant comments.

Formal commentary to an LOI must come from an institution's President, be addressed to the Commissioner of Higher Education, with a cc to the Deputy, and received within 20 business days from the date the LOI is circulated.

Institution: Worcester State University

Proposed Degree: B.A. in Political Science

All commentary is sent to the community colleges and state university institution, where the proposed program LOI originated. University of Massachusetts commentary is sent to the Senior Vice President for Academic Affairs, and International Relations, who is responsible to forward the information to the specific campus

Responses to any commentary are required. Responses must come from the LOI institution President and be addressed to the Commissioner of Higher Education, with a cc to the Deputy and submitted to awilliams@dhe.mass.edu. This written response to commentary must be received within 20 business days from the date it is sent to the President.

A Note About Timelines

Program review is a serve-and-return process, which means that there are several communications back and forth between the institution and DHE staff as the submission is being reviewed.

A campus should expect that an LOI (or proposal application) template submitted for staff validation and review for completion will be subject to a **15-business-day period of review**. Following this time frame the campus can expect staff to provide information regarding any further data that are needed for the LOI to be deemed complete. This communication **resets the 15-business-day time frame**. Responsibility rests with the campus to provide data in a timely manner, this may be important to a campus working within a targeted timeline for program development and launch. Once the campus has responded to staff by submitting the additional data, **the 15-business-day** clock begins anew.

After an LOI is validated and deemed complete it is circulated by the Deputy to the AAC and SPC, public campus CAO's and to AICUM representatives for commentary (as described above). The **comment period is open for 20 business days**. At the end of this time frame, all comments are reviewed by staff and sent to the LOI institution's CAO, who then has **20 business days** to submit a written response to the Deputy. Comments and responses are included in the motion brought forward for BHE action.

An LOI is brought forward either within **20 business days** of receiving the institution's response or at the next scheduled AAC meeting.

Following AAC action, the next step of the process is submission of the application proposal, which must be submitted **within two years** of the BHE action on the LOI for either a Fast Track or Standard process review.

A proposed program application template is validated and reviewed for completion **within 20 business days** of receipt. As noted above, the campus can expect staff to provide information regarding any further data that are needed for the proposal to be deemed complete. As previously noted, this communication **resets the time frame**. Once the campus has responded by submitting the additional data, **the 15-business-day** clock begins anew. Once validated and deemed complete, Fast Track proposals are forwarded to the Commissioner with a recommendation for action **within 30 business days**. The 30-business day timetable begins on the date DHE staff notify the campus that the proposal is deemed complete. BHE follows the guidelines on all proposal applications in accordance with either the Fast Track or the Standard Process.

ATTACHMENTS:

Form A	LOI Curriculum Outline
Form B	LOI Goals and Objectives
Form C	LOI Enrollment Projections
Form D	LOI Budget

Form A1: LOI Undergraduate Program Curriculum Outline

(Insert additional rows as necessary)

<i>Required (Core) Courses in the Major (Total # courses required = 3)</i>		
<i>Course Number</i>	<i>Course Title</i>	<i>Credit Hours</i>
PO 110	American Government	3
PO 250	Doing Political Science: An Introduction to Research Methodology	3
PO 401	Senior Research Seminar in Political Science	3
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
	<i>Sub Total Required Credits</i>	9
<i>Elective Courses (Total # courses required = 10) (attach list of choices if needed)</i>		
100-level course	see attached list	6
200-level course (or above)	see attached list	15
300-level course	see attached list	6
PO 440 or PO 400	Internship or Independent Study (Experiential)	3
	<i>Sub Total Elective Credits</i>	30
<i>Distribution of General Education Requirements</i> Attach List of General Education Offerings (Course Numbers, Titles, and Credits)		# of Gen Ed Credits
Arts and Humanities, including Literature and Foreign Languages		15
Mathematics and the Natural and Physical Sciences		16
Social Sciences		15
<i>Sub Total General Education Credits</i>		46
<i>Curriculum Summary</i>		
Total number of courses required for the degree		N/A
Total credit hours required for degree		120
<i>Prerequisite, Concentration or Other Requirements: N/A</i>		

Form B: LOI Goals and Objectives

Goal	Measurable Objective	Strategy for Achievement	Timetable
<p>The BA in Political Science Major will have an initial enrollment of enough students to fulfill the requirements of an undergraduate class at the university.</p>	<p>By the beginning of the BA in Political Science major, the program will have an enrollment of at least fifteen (15) full time students (12-15 credits per semester).</p>	<p>Many of students currently minoring in Political Science have expressed a desire to major. Among 43 minors, 16 are first- or second-year students. The department expects that 10 would switch to a Political Science major.</p> <p>In addition, the university will engage in a targeted internal and external marketing campaign in the months leading to admission of BA in Political Science students. The campaign will include advertisements; social media marketing; direct mail to target audiences, such as students participating in Model UN or Constitution Day activities; use of alumni networks; and the presence of Political Science faculty at Open House admissions events.</p> <p>The university will design an easy and convenient process of admission and provide the resources necessary to provide pre-admission advice to potential students.</p>	<p>The marketing campaign and the design of the admissions process will begin immediately upon DHE approval.</p>

<p>The BA in Political Science will have a core faculty who will be able to teach United States government, methods in Political Science, International Relations, and Political Theory.</p>	<p>At the program's inauguration, there will be three full-time Political Science faculty members and a number of highly trained and qualified adjuncts. In addition, the university's Department of Philosophy is able to offer courses in Political Theory. Some History faculty teach electives in the Political Science area.</p>	<p>The Department of History and Political Science currently has three full-time political scientists who are committed to teaching in this program.</p> <p>Adjuncts will be hired as needed to broaden elective offerings that cannot be offered by full-time faculty.</p> <p>Faculty in History and Philosophy will offer cross-listings in Political Science for courses on Politics or Political Theory, thus broadening the choices available to students.</p>	<p>Upon DHE approval, the Political Science faculty will offer required courses in the major as well as electives. As the program grows, we will add sections to surveys and electives.</p>
<p>The BA in Political Science will have a high retention rate and graduation rate.</p>	<p>The BA in Political Science will have retention and graduate rates commensurate with those of the university as a whole.</p>	<p>Varied course deliveries (online, hybrid, and face-to-face) will be used to accommodate student schedules.</p> <p>The program will include internships and other kinds of experiential learning.</p> <p>Opportunities for faculty-student interactions outside of class will contribute to a sense of community and engagement.</p> <p>Students will be provided with personalized advising to help retain them in the program.</p>	<p>Upon implementation and progressively on a continuous basis.</p>
<p>Students will complete the BA in Political</p>	<p>Transfer students and students declaring their major in their first or</p>	<p>Core introductory courses will be offered each semester.</p>	<p>First four to five years graduation of</p>

Science major in a time commensurate with that of the university as a whole.	second year of study at Worcester State should be able to complete the major in two to three years.	Major electives will be available with a regularity that will allow for student needs and scheduling concerns. Personalized advising will help students ensure careful planning of schedules.	full time, first year declaring students. First three to four years of graduate of internal and external transfer and late declaring students.
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Form C: LOI Program Enrollment

	Year 1	Year 2	Year 3	Year 4	Year 5
New Full-Time	15	15	16	16	17
Continuing Full-Time	0	13	23	33	43
New Part-Time	0	0	0	0	0
Continuing Part-Time	0	0	0	0	0
Totals	15	28	39	49	60

Form D: LOI Program Budget

One Time/ Start Up Costs						
		Annual Enrollment				
	Cost Categories	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	\$11,724	\$11,724	\$17,586	\$17,586	\$23,448
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equip ment	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)	0	0	0	0	0
One Time/Start-Up Support			Annual Income			
	Revenue Sources	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$ 14,550	\$ 27,160	\$ 37,830	\$ 47,530	\$ 58,200
	Fees	\$137,856 \$ 34,112	\$257,348 \$ 68,224	\$358,449 \$102,336	\$450,359 \$127,920	\$551,460 \$153,504
	Departmental					
	Reallocated Funds					
	Other (specify)					
	TOTALS	\$186,518	\$352,732	\$498,615	\$706,199	\$763,164

SUPPLEMENT to Form A1: LOI Undergraduate Program Curriculum Outline

The Political Science major is a 39-credit program offering a comprehensive approach to the study of political behavior and institutions in the United States and around the world. Early in their program, students become familiar with Political Science concepts and approaches and acquire the skills of research methods in the discipline.

Through their coursework, students accomplish the following learning outcomes: identify political theories and structures associated with different political systems; explain the behavior of governmental and non-governmental actors in a variety of political systems; analyze political phenomena by applying theory and demonstrating methodological rigor; develop their critical thinking through analysis of policies, positions, theories and arguments; and engage in independent and original thought and scholarship.

Political Science majors apply their acquired knowledge of the discipline of Political Science in real-world situations and problems through an experiential learning experience; and students synthesize their understanding in a senior capstone seminar.

Introductory Courses (9 credits)

PO 110 American Government

2 Additional 100-level courses, chosen from:

PO 120 Global Politics

PO 130 Introduction to Political Theory

PO 150 Foundations of Legal Studies

Methods Course (3 credits)

PO 250 Doing Political Science: An Introduction to Research Methodology

Political Science Electives (21 credits)

15 credits at 200 level or above

6 credits at 300 level

Experiential Learning (3 credits)

May be fulfilled by an Internship, Independent Study, or Practicum

Capstone (3 credits)

PO 401 Senior Research Seminar in Political Science (to be developed)

Suggested Timeline and Sequence

Year One, Semester One: PO 110 American Government, 100-level Political Science course

Year One, Semester Two: 100-level Political Science course, 200-level Political Science course

Year Two, Semester Three: 200-level Political Science course

Year Two, Semester Four: PO 250 Doing Political Science, 200-level Political Science course

Year Three, Semester Five: 200-level Political Science course

Year Three, Semester Six: 200-level Political Science course, 300-level Political Science course

Year Four, Semester Seven: 300-level Political Science course, Experiential Learning

Year Four, Semester Eight: PO 401 Senior Research Seminar

- Course descriptions

Any General Education designations (Liberal Arts and Sciences Curriculum, i.e. LASC) are also listed; while students cannot apply courses in their primary major to LASC, they can do so if Political Science is a second major or a minor; the designations are intended to show that many Political Science courses may appeal to students across the university or serve as a possible entry into the major. The relevant LASC designations for Political Science courses are:

HBS: Human Behavior and Social Processes

USW: United States and its Role in the World

GP: Global Perspectives

CON: Constitutions of US and Massachusetts

TLC: Thought, Language and Culture

DAC: Diversity Across the Curriculum

WAC: Writing Across the Curriculum

QAC: Quantitative Literacy Across the Curriculum

Required Courses

PO 110 American Government (new in 2017-2018)

Required for all Political Science Majors

LASC: HBS, USW, CON.

This course introduces students to the American political system and this it will be an exploration of American republican democracy. We will attempt to understand the way that the political system operates by examining Congress, the presidency, the judiciary, federalism, political parties, interest groups, elections, civil liberties and civil rights, and policy issues relevant to Americans. We will explore the way that institutional arrangements facilitate debate, which ultimately leads to policy changes. Our objective in this class will be the understand the workings of American democracy.

PO 250 Doing Political Science: an Introduction to Research Methodology (new for 2017-2018)

Required for all Political Science Majors

LASC: HBS, QAC

This course introduces students to the research process in Political Science. There will be an emphasis on both quantitative and qualitative methods of generating and analyzing social science statistics and other data in order to answer research questions about the political world around us. In this course students will learn what makes Political Science a “science.” No previous experience in math, statistics, or programming is required.

Elective Courses - 100 Level

PO 120 Global Politics (new in 2018-2019)

LASC: GP, HBS

An introduction to Comparative Politics and International Relations. In this course, students will learn how different countries around the world govern themselves and how they interact with each other. Topics may

include democratic and non-democratic regimes, theories of war and peace, global political cultures, and intergovernmental organizations such as the United Nations.

PO 130 Introduction to Political Theory (new in 2018-2019)

LASC: TLC

This course introduces students to the field of political theory by focusing on some of the major works and concepts such as democracy, freedom, liberty and justice.

PO 150 Foundations of Legal Studies (new in 2017-2018)

LASC: HBS, CON

This course introduces the fundamentals of the American legal system. Primary topics will include the sources of law; constitutional interpretation; the roles of the executive, legislative, and judicial branches of government; federal and state judicial systems; civil and criminal law; legal ethics; and questions of power, authority, justice, inequality, individualism and the community. Students will also learn the fundamentals of legal research, such as locating the text of statutes, regulations, and court decisions on specific subjects; reading and analyzing statutes and case law; and developing techniques for legal writing and oral presentations.

Elective Courses - 200 Level

PO 201 International Relations I (existing course)

LASC: USW, GP, WAC

Prerequisites: World Civilization I or II (History) or PO 110

Theory and practice of international security (realism and internationalism) and international political economy (liberalism and protectionism) in their historical context. [Cross-listed with History]

PO 202 International Relations II (existing course)

LASC: USW, GP, WAC

Prerequisites: World Civilization I or II (History) or PO 110

The promise and promises of globalization (spread of free market capitalism and political democracy). [Cross-listed with History]

PO 209 Ancient and Classical Political Theory (new in 2017-2018)

This class introduces students to the ideas and concepts found in the works of ancient and classical political theorists. We will read major works by theorists like Plato, Aristotle, Machiavelli, Locke, Mill, Hobbes, the Federalists, and Rousseau. Emphasis will be placed on how theorists justify the existence of government and how its conception has evolved over time. We then trace fundamental principles, such as democracy, liberty, and justice and show how these ideas are encapsulated in the US Constitution.

PO 211 History of US Foreign Policy I (existing course)

LASC: USW

Prerequisites: US I or II (History)

Colonial origins to the era of the Spanish-American War. The sources and developments of United States foreign policy in that period. [Cross-listed with History]

PO 212 History of US Foreign Policy II (existing course)
LASC: USW

Prerequisites: US I or II (History)
From 1900 to recent times; United States foreign policy traditions and the challenges of great power status. [Cross-listed with History]

PO 213 The Modern Presidency (existing course)
LASC: HBS, USW

This course will examine the evolution of the presidency. Special attention is given to those presidents who have expanded the office.

PO 215 State and Local Government (existing course)
LASC: HBS, USW

Examines sub-national governments and politics in the United States; the structure and problems of these governments.

PO 216 Political Parties and Interest Groups (revised for 2018-2019)
LASC: HBS

Examines the organization, functions, and methods of political parties; the role of interest groups in the American political process

PO 217 The U.S. Congress (revised for 2018-2019)
HBS, CON

The nature and function of the United States Congress, including the complexities of the lawmaking process, Congressional elections, the relationship between individual members of Congress and their constituencies, major issues of public policy, and institutional relations between Congress, the Presidency, and the Judiciary.

PO 218 US Constitutional History I (existing course)
LASC: CON, HBS, USW

The development of constitutional history as seen in decisions of the United States Supreme Court and their effects, from 1789 to 1921 [Cross-listed with History]

PO 219 US Constitutional History II (existing course)
LASC: CON, HBS, USW

Supreme Court decision-making since 1921; Federal-State relations, civil liberties, civil rights, loyalty program, labor, rights of defendants. [Cross-listed with History]

PO 220 European Politics (new for 2018-2019)
LASC: HBS, GP

This course provides a comparative study of European government and politics, with a focus on major countries such as Great Britain, France, Italy, Spain, Germany, and Russia. Special emphasis will be placed on learning about the structure of political power within the state and on important institutions that form the link between state and society, such as political parties and interest groups. Diverse nationalistic responses to the European Union will also be considered.

PO 221 Asian Politics (new for 2018-2019)

LASC: HBS, GP

This course provides students with an analysis of selected political systems of the countries of Asia. Students will have the opportunity to learn about major theories in comparative politics, which will be applied to the understanding of countries in the Asian region. Topics will include communist and post-communist transitions, democratization, social movements, and economic reform.

PO 222 Latin American Politics (new for 2018-2019)

LASC: HBS, GP

This course provides a comparative study of the government and politics of contemporary Latin America. It will explore the political systems of various countries, as well as how political dynamics, such as democratization, authoritarianism, and crisis situations, have affected political, economic, and social policies throughout the region.

PO 223 Political Communication (new for 2017-2018)

LASC: TLC

This course will analyze the relationship between citizens' opinions and the mass media through a focus on political campaign and governmental communication strategy. Specific attention will be given to the history of the relationship between politicians and the media. We will also study political campaign advertisements. We will analyze how political candidates and governments communicate with voters, how they shape their images and manage crises, and ultimately attempt to determine how effective politicians are in influencing public opinion.

PO 230 Campaigns and Elections (new for 2017-2018)

LASC: HBS

This course examines political campaigns and elections in the United States, with a focus on the candidate nomination and electoral processes, campaign structures and strategies, voting, political participation, public opinion, the media, political behavior, and the role of political parties.

PO 234 Modern and Contemporary Political Theory (new for 2017-2018)

This course will focus on how recent political philosophers have responded to questions such as what constitutes liberty, freedom and justice. In turn, students will be prompted to consider questions such as when is it necessary for government to constrain freedom, and how can conflicts between the rights of the individual and the rights of the community be adjudicated. This class will allow for engagement with these concepts through the works of modern political theorists such as Marx, Nietzsche, Freud, and Arendt, and contemporary political theorists such as Rawls, Nozick, Dworkin, Berlin and Strauss.

PO 241 English Constitutional History (existing course)

LASC: HBS, GP

Development of English Constitution from Magna Carta through revolution, supremacy of Parliament, reform acts, entry into European Union and devolution. [Cross-listed with History]

PO 243 City Politics (new for 2017-2018)

LASC: HBS, DAC

This course examines the political development and the political processes of America's central cities. The actors in this story include machine bosses, reformers, immigrants, bureaucrats, politicians, average citizens, the rich, and the poor. Particular attention will be given to the political institutions of city government, structures and strategies of city elections, local party organizations, governing strategies of mayors, evolving urban populations and interests, and enduring public policy problems such as poverty, crime, education, and economic decay.

**PHASE I: LETTER OF INTENT TEMPLATE
FOR BOARD VOTE ON APPROVAL PROCESS**

Review Guidelines Prior to Submitting Materials

<https://www.mass.edu/foradmin/academic/publicnewdegrees.asp>

Information should be typed directly into the boxes below, which will expand. Letter of Intent (LOI) document should be about five to six pages in addition to appendices. After the local approval process for the LOI has been completed, the President of the institution should submit this template and all required forms addressed to the Commissioner of Higher Education, and to the Academic Affairs Committee (AAC) and Strategic Planning Committee (SPC) of the Board of Higher Education (BHE).

Submissions are required to be in MS Word format. Please direct the completed to:
awilliams@dhe.mass.edu.

Proposed Degree Title and Intent and Mission of the Program (200 words): Bachelor of Arts in Art

This curriculum provides an opportunity to develop stronger and deeper courses of study in Art within Worcester State's liberal arts framework. To that end, the department has identified the following purposes for the prospective major in Art:

1. To provide an accessible, quality Bachelor of Arts degree in visual art in a region of a small number of less accessible, private undergraduate arts programs.
2. To provide a flexible option to more restrictive Bachelor of Fine Arts in Art programs, allowing Worcester State University graduates entry-level opportunities in non-profits, diverse cultural and educational institutions, social service, and varied entrepreneurial settings.
3. Ground visual art education in the context of the liberal arts, humanities, and sciences to enrich art's intellectual context and content as well as enhance the place of the arts as a component of all undergraduates' liberal arts and sciences education.
4. Expand and deepen campus culture in the arts through class, studio, and gallery curriculum and programming.

Proposed CIP Code: 50.07: Fine and Studio Arts

Chief Academic Officer (CAO) Name and Title: Lois Wims, Ph.D., Provost and Vice President of Academic Affairs

CAO Phone Number: 508.929.8038

CAO Email: lwims@worchester.edu

Has the Chief Academic Officer reviewed this LOI?

Date LOI was approved by governing authority:

A. Alignment with Massachusetts Goals for Public Higher Education

The FY19 BHE Equity Statement (<https://www.mass.edu/strategic/equity.asp>) provides campuses with insight into the next iteration of the system-level plans.

1. How does the program address institutional gaps in opportunity and achievement? How does the program align with campus goals?

Alignment with the Equity Agenda

Goal Three of the university's 2015-20 strategic plan states:

“Attract and enroll a diverse pool of highly motivated students and attach institution-wide priority to promoting their retention and success.”

A primary purpose for proposing the new Art major is to attract more arts students to Worcester State University. The university anticipates an increased recruitment pool among students of color in the coming years. The Department of Visual & Performing Arts has begun a review process of its diversity profile in order to find new ways to attract more diverse students.

The Visual and Performing Arts Department is currently engaged in a self-study addressing equity and access, with emphasis on a predicted rise in students of color in the coming years. The arts are, by their nature, an inclusive industry, and nationwide the arts are engaging in reassessments of how they can improve on that. Historically, the Department of Visual and Performing Arts is encouraged by discussions with Worcester State University Admissions personnel that indicate the establishment of an Art major will result in greater interest by high school students who are interested in visual arts, and assume that that increase will keep pace with the overall demographic percentages seen at the university. Worcester State University's 2018 fact book lists its total undergraduate population at 5,380 students, with 32% of this number identifying as ALANA students.¹

2. What program or department supports and practices are in place to ensure that students persist and complete the certifications and degrees offered by the program?

The university's six-year graduation rate improved from 46.9% in 2011 to 56.8% in 2018. In fall 2019, the university retained students at 71%, its highest fall-to-fall overall retention rate. In partnership with Salem State and Fitchburg State universities Worcester State University, has been awarded a \$100,000 Higher Education Innovation Fund grant to explore creative and evidence-based methods to strengthen faculty programs that boost completion rates, close achievement gaps, and attract, enroll and graduate students from underserved populations.

¹ Strout, S. and Smith, K. (2018). *Worcester State University Fact Book 2018*. Worcester, MA: Worcester State University. According to the university's *Factbook 2018*, the ALANA identification includes Black/African American; Hispanic/Latino; Asian; American Indian/Alaskan Native; Native Hawaiian/other Pacific Islander; and Two or More Races.

Worcester State University provides a variety of services to all students in order to ensure persistence and program completion. The university's Academic Success Center provides a wide variety of student supports, including hands-on guidance about advising and pre-registration, along with specialized tutoring supports. The university's office Counseling Services provides individual and group mental health counseling and outreach, including walk-in services. The university's office of Student Accessibility Services coordinates support services programs that enable equal access to education and university life for students with disabilities.

The Department of Visual and Performing Arts has four full-time faculty positions in Art, all occupied by tenured full professors. This number ensures that academic advising, career exploration, and student mentorship for even the maximum projected number of students enrolled in the major will be at a very low ratio.

3. Please describe relevant alliances and partnerships with PK-12, other institutions of higher education, and the employer community. If you have or plan to convene an advisory group for this proposed program, please explain. Describe how information from an advisory will be used to develop and refine the program.

The department, and the university, have long and extensive relationships with public school systems in the City of Worcester and Worcester County through educational programs that blend Visual and Performing Arts with Early Childhood and Elementary Education training. The department and the university also have an enduring relationship with the Worcester Center for Crafts.

At present, no articulation agreements exist for the prospective Art major. However, Mount Wachusett Community College, the second-largest feeder school for Worcester State University, has Fine Arts and Graphic and Interactive Design degree programs. The excellent relationship between the university and this institution would easily facilitate creation of articulation agreements once the Art major is approved.

4. If the proposed program is designed for students to enter an employment area of demonstrated need in the regional and/or statewide labor market, provide evidence including references to workforce development plans (e.g. MassHire Regional Blueprints, <https://www.mass.gov/service-details/view-your-regions-blueprint>), showing market need and employer engagement. If it is not directly labor market aligned, identify the career options related to the proposed program and explain how students will be made aware of them. Do not rely on Bureau of Labor Statistics projections in this section.

Explain all relevant content that has been sourced using the internet. **Use the full APA citation including retrieval date and the exact url where the content was obtained** [e.g. Last, First. M. (Year, Month Date Published). Article title. *Retrieved from URL ...*].

Do not rely on a hyperlink reference to information and data used in this section. The application serves as a permanent record. If the institution has commissioned market research regarding the proposed program, please attach a digital copy of the report(s) on which you relied to draw your conclusions and design your program. DHE utilizes Burning Glass to validate data.

According to national data published by the United States Bureau of Economic Analysis, arts and cultural production contribute more than \$763.6 billion annually to the United States' economy and create millions of

jobs.² Within this national data, arts economies and employment add \$21.2 billion in value to Massachusetts' economy (4.3% of total state economic value) and employ over 131 thousand workers. Arts worker compensation annually totals over \$11 billion.³

In the university's immediate geographical area, Worcester is undergoing a well-documented renaissance. The city has made arts and culture a vital part of the foundation upon which new growth is based. The establishment of a new cultural district centered on the Worcester Art Museum, the creation of new gallery and performances spaces, and the inclusion in art in city planning are helping to transform the city. Within the past year, two major city renovations – one a park and the other the downtown footprint – have issued calls to visual artists.

The strength of arts and culture institutions in the region, and their significant economic impact on Worcester and Central Massachusetts, provides a strong job market for arts and culture related positions. *Arts and Economic Prosperity 5*, a recent study by the leading non-profit organization for advancing the arts and arts education, Americans for the Arts, shows that such jobs in Worcester and Central Massachusetts exceed the median for similarly sized regions across the country by almost 400%, as demonstrated by the table below:

**Total Economic Impact of the Non-Profit Arts and Culture
Industry in the City of Worcester, Compared (FY 15)**

Source: *Arts and Economic Prosperity 5*⁴

	<i>City of Worcester</i>	<i>Median of Similar Study Regions</i>	<i>National Median</i>
Total Organizational Expenditures	\$125,690,494	\$31,381,076	\$35,750,645
Full-Time Equivalent Jobs Supported	4,062	1,046	1,131
Household Income Paid to Residents	\$72,793,000	\$19,916,500	\$23,154,000
Revenue Paid to Local Government	\$4,434,000	\$1,260,000	\$1,407,000
Revenue Paid to State Government	\$5,467,000	\$1,552,000	\$1,961,000

Spending by arts and cultural organizations similarly far outpaces the national median, as demonstrated by the table below:

² National Endowment for the Arts. (6 March 2018). The Arts Contribute More Than \$760 Billion to the U.S. Economy. National Endowment for the Arts. Retrieved from URL <https://www.arts.gov/news/2018/arts-contribute-more-760-billion-us-economy>. 13 December 2019.

³ National Endowment for the Arts' Office for Research and Analysis and the Bureau of Economic Analysis of the United States Department of Commerce Arts. (2018). Cultural Production Satellite Website. Retrieved from URL <https://www.arts.gov/artistic-fields/research-analysis/arts-data-profiles/arts-data-profile-17>. 22 January 2020.

⁴ Americans for the Arts. (2017). *Arts and Economic Prosperity 5* in the City of Worcester, MA. Washington, DC: Americans for the Arts. Data for this and the following table were collected from 57 eligible non-profit arts and cultural organizations located in the City of Worcester. Each organization provided detailed budget information for FY 15 (e.g., labor, payments to local and nonlocal artists, operations, administration, programming, facilities, and capital expenditures/asset acquisition). Populations in the similar study regions range from 100,000 to 249,999.

Total Economic Impact of Spending by Non-Profit Arts and Cultural Organizations in the City of Worcester, Compared (FY 15)

Source: Arts and Economic Prosperity 5

	<i>City of Worcester</i>	<i>Median of Similar Study Regions</i>	<i>National Median</i>
Total Organizational Expenditures	\$64,504,636	\$14,554,235	\$15,727,535
Full-Time Equivalent Jobs Supported	2,801	608	608
Household Income Paid to Residents	\$46,052,000	\$10,827,500	\$11,441,500
Revenue Paid to Local Government	\$3,107,00	\$553,000	\$592,000
Revenue Paid to State Government	\$2,579,000	\$656,500	\$840,500

These economic data suggest an optimistic future for arts and culture organizations, and their need for skilled employees. Regions where arts and culture organizations thrive tend to become magnets for artists and to generate more of a need arts educators. In Worcester, this trend is visible in the revitalization of the Worcester Center for Crafts (affiliated with the university), art classes at the Worcester Art Museum, and a strong LEEP program overseen by the Worcester Cultural Council.

A proprietary research report commissioned by the university from the higher-education consulting firm Eduventures projects a robust state labor market for fine and studio art graduates with significant increases seen for artists and some artist related fields (see tables below). The greatest increases are projected for Self-Enrichment Education Teachers and Fine Artists, with Media Artists and Set/Exhibit Designers also showing good growth. The proposed B. A. in Art focuses primarily on an education visual and fine art, with which students are well-equipped for careers as fine artists and self-enrichment teachers. The university's double major offering with education, also equips students to be early childhood and elementary education teachers.

Finally, students graduating with degrees in the visual and performing arts fare well even in the national job market in the first five years after graduation. Data from "The Permanent Detour: Underemployment's Long-Term Effects on the Careers of College Grads,"⁵ a study published in 2018 by Burning Glass Technologies and the Strada Institute for the Future of Work, found that visual and performing art graduates' chances of being underemployed dropped from 45% in the first year to 31% within in the first five years. This ratio compares favorably with students graduating from Business programs (47% in the first year to 31% within the first five years).

The proprietary study carried out for Worcester State University by Eduventures, Inc., provides the following data for occupations related to Studio Arts for FY 16:

**Capacities, Projected Growth, and Earnings, Occupations Related to Studio Arts
Commonwealth of Massachusetts (FY 16)**

Source: Proprietary Research Report, Eduventures, Inc.

⁵ Burning Glass Technologies and the Strada Institute for the Future of Work. (May 2018). The Permanent Detour: Underemployment's Long-Term Effects on the Careers of College Grads. Boston, MA: Burning Glass Technologies.

<i>Occupation</i>	<i>2016 Jobs</i>	<i>Expected Growth 2026</i>	<i>Median Hourly Earnings</i>
Self-Enrichment Education Teachers	9,803	19%	\$20.61
Art Directors	1,066	2%	\$44.44
Multimedia Artists and Animators	1,041	10%	\$34.13
Curators	565	2%	\$27.87
Set and Exhibit Designers	198	10%	\$22.85
Fine Artists, including Painters, Sculptors, and Illustrators	186	14%	\$21.97

**Capacities, Projected Growth, and Earnings, Occupations Related to Studio Arts
New England, Six State Region (FY 16)**

Source: Proprietary Research Report, Eduventures, Inc.

<i>Occupation</i>	<i>2016 Jobs</i>	<i>Expected Growth 2026</i>	<i>Median Hourly Earnings</i>
Self-Enrichment Education Teachers	16,663	17%	\$19.56
Art Directors	2,091	0%	\$39.19
Multimedia Artists and Animators	1,753	11%	\$32.99
Curators	1,034	4%	\$26.98
Set and Exhibit Designers	481	10%	\$23.45
Fine Artists, including Painters, Sculptors, and Illustrators	428	9%	\$23.94

The above data show that between 45-50% of jobs in Studio Arts related occupations across New England occur within the Commonwealth of Massachusetts. Additionally, they show that earnings often are higher within Massachusetts. Given the vitality of the Studio Arts community in the greater Worcester area, there are sufficient opportunities in these fields to support the scale of program intended for the proposed Art major.

Indeed, Worcester State University students present a resource for the region. In contrast to the other universities and colleges in the area, students who enroll at Worcester State University tend to come from the immediate region (71 percent of total enrollment) and, to a high degree, tend to remain in the region after graduating.

The proprietary study prepared for the university by Eduventures, Inc., predicts strong growth in studio art related fields for the region, with the most significant growth in Self-Enrichment Education Teachers and Fine

Artists, Including Painters, Sculptors, and Illustrators. The B.A. in Art is a sound foundation for a variety of future careers. These include preparation for further education in arts-related careers – M.F.A. programs, M.A. in art therapy – and future careers in digital design, illustration, art and design directors, advertising, fashion, display design, dental and medical prosthetics, art teaching, arts administration, and municipal, state and federal cultural resources. Additionally, the 4,000-plus jobs in the cultural field for Worcester and the region suggests that positions for artists who choose to pursue arts administration, museum, and gallery work will remain robust. Regions where arts and culture organizations thrive tend to become magnets for artists and to generate more of a need for arts educators.

5. Are there existing programs at other institutions (public and independent) in your region that offer a similar degree? If so, compare and contrast them with the proposed program.

While there are art programs at around 40 institutions throughout the Commonwealth, it is most productive to examine the programs at the closest and most competitive institutions: Clark University, College of the Holy Cross, Fitchburg State University, Framingham State University, and Westfield State University. Though larger, it is worth noting Massachusetts College of Art and Design, as well. Although they are noted below, Anna Maria College, Assumption College, and Becker College are all significantly smaller. Fitchburg State University does not have a fine or studio art program. Information for conferrals by the College of the Holy Cross were unavailable.

**Degree Conferrals, Studio Arts Programs by Year
Central Massachusetts and Surrounding Regions, 2012-16**

Source: Proprietary Research Report, Eduventures, Inc.

<i>Institution</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>	<i>2012-16</i>
Massachusetts College of Art and Design	128	116	121	108	109	0%
Westfield State University	28	30	24	29	23	-5%
Framingham State University	18	28	23	20	22	5%
Clark University	10	13	12	7	10	0%
Anna Maria College	1	4	1	1	2	19%

These data indicate that Framingham State University and Westfield State University would be Worcester State University's most significant competitors for Art students, with enrollment of approximately 80 to 100 students per institution, based on conferral rates. The net enrollment trend between the two prospective competitor institutions is level over the past five years (Framingham +5%; Westfield -5%). While the Massachusetts College of Art also pulls students from the Central Massachusetts region, the university knows from current institutional data and experience that students often choose Worcester State University because of cost, location, and/or the desire for a liberal arts environment. Clark University and the College of Holy Cross, though they do offer degrees in fine or studio art, tend to draw students from outside the region or outside the Commonwealth.

6. Has the proposed program been planned to include any significant digital, experiential, competency-based or other innovative approaches? Please explain and provide examples.

By its nature, a curriculum in Art is heavily invested in experiential learning modes. Basic technique courses are hands-on and product-driven. Upper-level courses, such as the Senior Thesis and Capstone experience, guide students in creating original works and displaying selected works at student shows mounted three to four times during the academic year in the university's Mary Cosgrove Dolphin Gallery.

As well, the curriculum accommodates six hours of internship credit. Many internship sites are external; however, the Mary Cosgrove Dolphin Gallery accepts one intern per fall and spring semester, and internship positions are being created through the department and university's affiliation with the Worcester Center for Crafts.

Three one-credit experiential learning practica are integrated into the curriculum, to provide students the ability to explore and experience new concepts and techniques in art as they build toward the Senior Thesis and Capstone experiences.

B. Alignment with Campus Strategic Plan and Mission

1. Describe why the proposed program is a priority, and how it supports the campus's approved strategic plan, in the context of the institution's mission.

Alignment with the University's Mission Statement

"Worcester State University champions academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. A Worcester State education equips students with knowledge and skills necessary for lives of professional accomplishment, engaged citizenship, and intellectual growth."

The proposed major will provide students with an Art program founded on sound academic principles, anchored in the university's Liberal Arts curriculum, and positioned to contribute to the market opportunities described in Section A.4 of this Letter of Intent. Institutional research demonstrates that Worcester State University draws a significant majority of its enrollment from the Central Massachusetts region, and that its graduates tend to remain in the Central Massachusetts region. Thus, the proposed major will prepare graduates to build careers throughout the Central Massachusetts region in Art and its related fields in two main ways:

- Developing creativity and critical analysis – skills that support graduates in the arts and that are sought after by employers in a number of industries.
- Providing students with knowledge and practical skills necessary for work in visual arts and related fields or for graduate study, through the program's commitment to theory and history as well as practice.

Alignment with the University's Strategic Plan 2015-20

Goal One:

“Enhance our undergraduate academic programs and expand graduate programs in a community of learning that promotes academic excellence and innovation.”

The proposed major in Art will enhance the university’s arts curricula through promoting new and revised courses, providing students with an expanded foundation in arts practice and study.

Goal 2:

“Leverage our distinctive strengths, both to enhance our reputation and to prepare our students to lead, serve, and make a difference in the world.”

The Art program, as designed for the university’s current Interdisciplinary Visual and Performing Arts major, provides a firm platform for creating the full-blown Art major. Faculty and staff strengths have already been accounted for in the current Art concentration within the Interdisciplinary Visual and Performing Arts major. Thus, inaugurating the new major would require only minor changes in emphasis and some augmentation.

Worcester State already has a well-appointed art gallery (The Mary Cosgrove Dolphin Gallery) that, under the supervision of the department, serves the needs of the campus and the community. The studios, too, while somewhat small and at a remote location, provide adequate space for the prospective program’s immediate needs. Together, these facilities will be assets to the new program. In addition, should the number of students studying art reach a sufficient level, the university would be in a better position to capitalize on its relationship with the Worcester Center for Crafts, where the studio space is located. The department’s and the university’s on-going relationships with the Worcester Art Museum, Arts Worcester, the Boston Printmakers, and other regional and state arts institutions will allow the program to have direct connection to the professional world of visual art.

Goal Four:

“Cultivate a vibrant campus life and a collaborative work and learning environment in which all members of the WSU community feel welcomed, included, respected, empowered, and valued.”

Among the steps taken by Worcester State University in addressing this goal has been carrying out a study of arts and culture on campus. This study shows that arts programs at Worcester State are central to campus life. The Department of Visual and Performing Arts has, since establishing the Interdisciplinary major, taken steps to increase the arts offerings on campus, an essential component of which was the establishment the Mary Cosgrove Dolphin Gallery, which offers three to four exhibitions each year by students, faculty and outside artists. Attendance for the exhibitions has risen steadily, and the Gallery has been a focal point for recruitment since being established.

Alignment with the University’s Strategic Imperatives

While most strategic imperatives in the institution’s strategic plan are broad enough to relate to all departments and divisions at Worcester State University, one stands out in relation to the proposed Art major:

“We will be a dynamic, valued partner with and resource to Worcester, the region, and the world.”

The City of Worcester is undergoing a revival and renaissance, and the arts are central to this development. Worcester has become a thriving center for creative economy. A new cultural district and a theatre district have been established, benefitting from collaborations with the Worcester Art Museum, the Hanover Theatre, and other cultural organizations. Indeed, Metropolitan Worcester includes public art in many of its projects, from parks to the renovation of the downtown area, and there is a new 350-seat theatre being planned. Worcester State students are more likely to remain in the city and region than those from other area institutions, and the addition of the Art major to the university’s academic programs will provide a steady addition of new artists and creative entrepreneurs ready to contribute to the city’s ongoing rebirth.

2. List the overall goals and learning objectives of the program and describe the strategy for achieving each goal. Use the **LOI Program Goals and Objectives** table in addition to any narrative comments.

Academic Purpose

The Department of Visual and Performing Arts views this curriculum proposal as an opportunity to develop stronger and deeper courses of study in art and theatre within Worcester State’s liberal arts framework. To that end, the department has identified the following purposes for the prospective major in Art:

1. To provide an accessible, quality Bachelor of Arts degree in visual art in a region of a small number of less accessible, private undergraduate arts programs.
2. To provide a flexible option to more restrictive Bachelor of Fine Arts in Art programs, allowing Worcester State University graduates entry-level opportunities in non-profits, diverse cultural and educational institutions, social service, and varied entrepreneurial settings.
3. Ground visual art education in the context of the liberal arts, humanities, and sciences to enrich art’s intellectual context and content as well as enhance the place of the arts as a component of all undergraduates’ liberal arts and sciences education.
4. Expand and deepen campus culture in the arts through class, studio, and gallery curriculum and programming.

Program Student Learning Outcomes

In the program,

1. Students will acquire the principles of art and design.
2. Students will demonstrate knowledge of traditional and contemporary art practices.
3. Students will cultivate aesthetic and conceptual judgments.
4. Students will develop skills in critical thinking and analysis.
5. Students will demonstrate effective written, oral, and visual communication skills.
6. Students will produce artwork in a variety of media and techniques.

C. Alignment with Operational and Financial Objectives of the Institution

1. Provide enrollment projections for the first five years of the program using the Program Enrollment form (Form C), Describe below any anticipated impact that the program may have on enrollment in other programs.

The Bachelor of Arts in Art is an expansion of an already-existing concentration within an interdisciplinary major. No impact on enrollments in other programs is expected.

2. Describe the resources that the program will require (additional faculty and/or staff, space and equipment, on-line infrastructure, startup and maintenance of the program). Please include a narrative or financial statement outlining the anticipated net impact of the program on the overall financial resources of the institution. Include five years of future projections of revenue and expense using the LOI Budget form (**Form D**).

Resource Requirements

The B.A. in Art at Worcester State University is an extension of the current Art concentration within the interdisciplinary Visual and Performing Arts major. No additional funds are requested and none are expected until enrollment growth warrants an evaluation of personnel and material.

Currently, the Art faculty is comprised of four full-time professors. One to two courses are taught per semester by part-time faculty. One additional adjunct-taught class may be added by year four of the program.

At present, the Art concentration shares one benefitted full-time and one non-benefitted part-time staff member with the larger Visual and Performing Arts department. An additional non-benefitted part-time staff member works in the Mary Cosgrove Dolphin Gallery. The department does not anticipate an increase in staff in the first four years of the new major; by year five, a studio technician may be required.

All other expenses through Year 4 are expected to come from the current operating budget for the Department of Visual and Performing Arts. Currently, the Art concentration receives per annum from departmental funds the non-personnel funding:

\$15,200	Lab Supplies
\$1,415	Teaching Materials
\$5,600	Gallery Budget
\$1,200	Food and Beverage (Gallery Openings)
\$1,000	Art Models

Additionally, the Art concentration shares in general departmental funds at one-third the budgeted amounts for the following:

\$533	PR and Marketing	(VPA \$1600.00)
\$1133	Equipment	(VPA \$3400.00)
\$1167	IT	(VPA \$3500.00)

The WSU library spends about \$1,700 each year for physical materials for the Department of Visual and Performing Arts, plus \$940 per year for periodical subscriptions. Approximately one third is allocated to the Art program.

Revenue Projections

Revenue from the proposed Art program is derived from student fees assessed by the university. The latest fee data published by the university, applicable for the 2019-20 academic year, shows that full-time tuition is set at \$970 per student (in state) per year. Academic fees are set at \$9,191 per student (in state) per year. Residence hall room fees vary, but they average \$8,158 per student per year, with an additional \$370 per student per year in residence hall auxiliary fees. Thirty percent of full-time undergraduate students at Worcester State University are resident students.

Given the figures above, a reasonable minimum revenue calculation is \$970 in tuition per new student per year; \$9191 in academic fees per new student per year; and \$8,528 in residence hall room and auxiliary fees applied to 30 percent of the new student population.

According to institutional data, the Art concentration within the interdisciplinary Visual and Performing Arts major enrolls roughly 19 students per year. A reasonable assumption would be that 19 students would constitute a baseline enrollment for the proposed Art program. No new revenue would be realized from this baseline enrollment.

New revenue would be gained from additional students enrolling in a stand-alone Art major, as described in earlier sections of this curriculum proposal. Thus, the three following three budget scenarios are based on net gains of nine, 18, and 27 new students in the program. These scenarios are provided to project success ranging between minimal to what the Department of Visual and Performing Arts considers a maximum. Aggregate figures for revenue do not include any adjustments upward or downward in tuition, academic fees, or residence hall room and auxiliary fees.

From residence hall fee allocations, these budget scenarios include, respectively, revenue from three, five, and eight students.

Any revenue for the B.A. in Art program derived from fundraising for the Mary Cosgrove Dolphin Gallery, in accordance with university policies, is held by the Worcester State Foundation and does not figure in operating costs. Therefore, they are not listed in the Program Budget pro forma.

3. Complete the LOI Curriculum Outline form (Form A) with course titles and credits.

4. Complete the LOI Program Goals and Objective form (Form B).

Comments and Response

The submitted LOI will be reviewed for completeness by staff. This process typically occurs within 15 business days from when it is received. Once deemed complete, the LOI is circulated by the Deputy

Commissioner of Academic Affairs and Student Success (the Deputy), to the AAC and SPC members of the BHE, public campus CAO's, and to the Association of Independent Colleges and Universities of Massachusetts (AICUM) representatives for relevant comments.

Formal commentary to an LOI must come from an institution's President, be addressed to the Commissioner of Higher Education, with a cc to the Deputy, and received within 20 business days from the date the LOI is circulated.

All commentary is sent to the community colleges and state university institution, where the proposed program LOI originated. University of Massachusetts commentary is sent to the Senior Vice President for Academic Affairs, and International Relations, who is responsible to forward the information to the specific campus

Responses to any commentary are required. Responses must come from the LOI institution President and be addressed to the Commissioner of Higher Education, with a cc to the Deputy and submitted to awilliams@dhe.mass.edu. This written response to commentary must be received within 20 business days from the date it is sent to the President.

A Note About Timelines

Program review is a serve-and-return process, which means that there are several communications back and forth between the institution and DHE staff as the submission is being reviewed.

A campus should expect that an LOI (or proposal application) template submitted for staff validation and review for completion will be subject to a **15-business-day period of review**. Following this time frame the campus can expect staff to provide information regarding any further data that are needed for the LOI to be deemed complete. This communication **resets the 15-business-day time frame**.

Responsibility rests with the campus to provide data in a timely manner, this may be important to a campus working within a targeted timeline for program development and launch. Once the campus has responded to staff by submitting the additional data, **the 15-business-day** clock begins anew.

After an LOI is validated and deemed complete it is circulated by the Deputy to the AAC and SPC, public campus CAO's and to AICUM representatives for commentary (as described above). The **comment period is open for 20 business days**. At the end of this time frame, all comments are reviewed by staff and sent to the LOI institution's CAO, who then has **20 business days** to submit a written response to the Deputy. Comments and responses are included in the motion brought forward for BHE action.

An LOI is brought forward either within **20 business days** of receiving the institution's response or at the next scheduled AAC meeting.

Following AAC action, the next step of the process is submission of the application proposal, which must be submitted **within two years** of the BHE action on the LOI for either a Fast Track or Standard process review.

A proposed program application template is validated and reviewed for completion **within 20 business days** of receipt. As noted above, the campus can expect staff to provide information regarding any further data that are needed for the proposal to be deemed complete. As previously noted, this communication **resets the time frame**. Once the campus has responded by submitting the additional data, **the 15-business-day** clock begins anew. Once validated and deemed complete, Fast Track proposals are forwarded to the Commissioner with a recommendation for action **within 30 business days**. The 30-business day timetable begins on the date DHE staff notify the campus that the proposal is deemed complete. BHE follows the guidelines on all proposal applications in accordance with either the Fast Track or the Standard Process.

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Art

ATTACHMENTS:

Form A	LOI Curriculum Outline
Form B	LOI Goals and Objectives
Form C	LOI Enrollment Projections
Form D	LOI Budget

Form A1: LOI Undergraduate Program Curriculum Outline

(Insert additional rows as necessary)

Required (Core) Courses in the Major (Total # courses required = 12)		
<i>Course Number</i>	<i>Course Title</i>	<i>Credit Hours</i>
AR 118	Global Art History	3
AR 119	First Year Art Practicum	1
AR 123	Design Fundamentals	3
AR 140	Drawing Fundamentals	3
AR 210	Drawing and Painting Studio	3
AR 215	Topics in Art	3
AR 219	Second Year Arts Practicum	1
AR 225	Art Since the Mid-20 th Century	3
AR 235	3D Sculpture Studio	3
AR 319	Third Year Art Practicum	1
AR 405	Thesis Seminar	3
AR 455	Capstone	3
	Sub Total Required Credits	30
Elective Courses (Total # courses required = 5-6) (attach list of choices if needed)		
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
	Sub Total Elective Credits	15
Distribution of General Education Requirements Attach List of General Education Offerings (Course Numbers, Titles, and Credits)		# of Gen Ed Credits
Arts and Humanities, including Literature and Foreign Languages		15
Mathematics and the Natural and Physical Sciences		16
Social Sciences		15
Sub Total General Education Credits		46
Curriculum Summary		
Total number of courses required for the degree		N/A
Total credit hours required for degree		120
Prerequisite, Concentration or Other Requirements:		
Elective Courses in Major (15 credits total; 10 credits must be at the 300-level or above):		

<i>Course Number and Title</i>	<i>Credits</i>
AR 100 Cross Media Studio	3
AR 130 Painting	3
AR 150 Life Studio	3
AR 165 Creating Cultural Forms	3
AR 191 Special Topics in Art	3
AR 200 History of American Art	3
AR 220 Foundations of Modern Art	3
AR 230 Printmaking	3
AR 240 Watercolor	3
AR 250 2D Digital Studio	3
AR 270 Driftwood to Dumpsters	3
AR 275 Gallery and Museum Studies	3
AR 285 History of Photography	3
AR 260 Visual Arts in the Schools	3
AR 300 Painting II	3
AR 302 Drawing II	3
AR 306 Sculpture II	3
AR 330 Intermediate Printmaking	3
AR 350 Special Topics in Art	3
AR 400 Independent Study in Art	3
AR 402 Internship in Art	1-6
AR 408 Directed Study: Art	3

Form B: LOI Goals and Objectives

Goal	Measurable Objective	Strategy for Achievement	Timetable
The BA in Art program will have an initial enrollment of enough students to fulfill the requirements of an undergraduate class at the university.	By the beginning of the BA in Art major, the program will have an enrollment of at least fifteen (15) full time students (12-15 credits per semester).	<p>The university will engage in a targeted internal and external marketing campaign in the months leading to the admission of BA in Art students. The campaign will include advertisements, social media marketing, internal and external education fairs, direct mail to target audiences such as students of local high schools with art programs, and use of alumni networks</p> <p>Additionally, the university will design an easy and convenient process of admission and provide the resources necessary to provide pre-admission advice to potential students</p>	The marketing campaign and the design of the admission process will begin immediately upon DHE approval.
The BA in Art program will enhance its reach by offering appropriate courses online.	By the second year of operation, the BA in Art major will include blended and fully online classes, which modalities are already regularly offered by the Department of Visual and Performing Arts.	The university will enhance its online-delivery capabilities through the University Technology Services (UTS) department.	Second year of operation.
The BA in Art program will have core faculty whose disciplines cover a wide range of visual art and will make use of the Visual and Performing Arts interdisciplinary program and faculty through ancillary course	At the program inauguration, there will be four full-time Art faculty and a number of adjuncts, along with 6 faculty in other arts disciplines and a number of adjuncts in the Visual and Performing Arts department as a whole.	<p>The Visual and Performing Arts department has four full-time Visual Art faculty committed to teaching in this program.</p> <p>The Visual and Performing Arts department has six full-time Music, Theatre and Interdisciplinary studies faculty committed to teaching courses that are involved in this program.</p>	Upon DHE approval, Visual Art faculty will offer required courses in major with special and elective courses not already part of the Visual and Performing Arts course offerings added

requirements and electives.			each year thereafter.
The BA in Art program will have a high retention and graduation rate.	The BA in Art program will have retention and graduation rates commensurate with those of the university as a whole.	<p>Students in the program will submit a portfolio of visual works for review.</p> <p>Varied course delivery methods (hybrid and online) will be used to accommodate student schedules.</p> <p>The programs will include internships and independent studies to accommodate different styles of learning.</p> <p>Alumni and other speakers will be invited to speak to students and keep them motivated.</p> <p>The program will be flexible with regard to part-time/full time status.</p> <p>Students will be provided with personalized advising to help retain them in the programs.</p>	Upon implementation and progressively on a continuous basis
Students will complete the BA in Art major in a time commensurate with that of the university as a whole.	<p>Students declaring this major in their first year of study at WSU should be able to complete the major in four to five years.</p> <p>Transfer students should be able to complete the major in two to three years.</p>	<p>Core courses will be available with a regularity that will allow for student needs and scheduling concerns.</p> <p>Major electives will be available with a regularity that will allow for student needs and scheduling concerns.</p> <p>Many core and elective courses will be available through DGCE on a rotating schedule to allow</p>	<p>First four to five years graduation of full time, first year declaring students.</p> <p>First three to four years of graduation of internal and external transfer and late declaring students.</p>

		<p>for student needs and scheduling concerns.</p> <p>The BA in Art major program has built in flexibility to allow for transfer credits and scheduling concerns so that students can adjust when they take selected courses during their study.</p>	
<p>Graduates of the BA in Art major program will obtain positions in degree-relevant companies and organizations or enroll in graduate programs or further their education soon after graduation.</p>	<p>Alumni will become professional working Fine Artists/independent contractors or obtain apprenticeships, residencies or positions in companies and organizations in their major field of study or teaching positions (assistantships, internships, substitute teaching positions).</p> <p>Alumni will further their studies by enrolling in graduate or other programs in their field of study or teaching.</p>	<p>The department will regularly invite professionals in degree-relevant fields to give lectures to students.</p> <p>The department will continue to enhance relationships with local and other professional artists to establish internships and apprenticeships for students.</p> <p>The department will establish internship relationships and students will be encouraged to complete internships with various artists and organizations where they might work upon graduation.</p>	<p>At least one networking event will be held during the first two years of operation. The events will progressively increase in number as the program becomes established.</p>

Form C: LOI Program Enrollment

<i>Enrollment Scenario 1</i>	Year 1	Year 2	Year 3	Year 4	Year 5
New Full Time	2	2	2	3	3
Continuing Full Time	19	21	23	25	25
New Part Time					
Continuing Part Time					
Totals	21	23	25	28	28

<i>Enrollment Scenario 2</i>	Year 1	Year 2	Year 3	Year 4	Year 5
New Full Time	4	4	5	5	5
Continuing Full Time	19	23	27	32	32
New Part Time					
Continuing Part Time					
Totals	23	27	32	37	37

<i>Enrollment Scenario 3</i>	Year 1	Year 2	Year 3	Year 4	Year 5
New Full Time	6	6	7	8	8
Continuing Full Time	19	25	31	38	38
New Part Time					
Continuing Part Time					
Totals	25	31	38	46	46

Form D: LOI Program Budget

One Time/ Start Up Costs	Enrollment Scenario 1					
		Annual Enrollment				
	Cost Categories	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	0	0	0	\$5,307	\$5,307
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equipme nt	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)	0	0	0	0	0
One Time/Start-Up Support			Annual Income			
	Revenue Sources	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$1,940	\$3,880	\$5,820	\$8,730	\$8,730
	Fees (Academic)	\$18,382	\$36,764	\$55,146	\$82,719	\$82,719
	Departmental					
	Reallocated Funds					
	Fees (Residence Hall)	0	\$8,528	\$17,056	\$25,584	\$25,584
	TOTALS	\$20,320	\$49,172	\$78,022	\$117,033	\$117,033

One Time/ Start Up Costs	Enrollment Scenario 2					
		Annual Enrollment				
	Cost Categories	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	0	0	0	\$5,307	\$5,307
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equipment	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)	0	0	0	0	0
One Time/Start-Up Support			Annual Income			
	Revenue Sources	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$3,880	\$7,760	\$12,610	\$17,460	\$17,460
	Fees (Academic)	\$36,764	\$73,528	\$119,483	\$165,438	\$165,438
	Departmental					
	Reallocated Funds					
	Fees (Residence Hall)	0	\$8,528	\$25,584	\$42,640	\$42,640
	TOTALS	\$40,644	\$89,816	\$157,677	\$225,538	\$225,538

One Time/ Start Up Costs	Enrollment Scenario 3					
		Annual Enrollment				
	Cost Categories	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	0	0	0	\$5,307	\$5,307
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equipment	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)	0	0	0	0	0
One Time/Start-Up Support			Annual Income			
	Revenue Sources	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$5,820	\$11,640	\$18,430	\$26,190	\$26,190
	Fees (Academic)	\$36,764	\$73,528	\$174,629	\$248,157	\$248,157
	Departmental					
	Reallocated Funds					
	Fees (Residence Hall)	\$8,528	\$25,584	\$42,640	\$66,064	\$66,064
	TOTALS	\$51,112	\$110,752	\$235,699	\$340,411	\$340,411

**PHASE I: LETTER OF INTENT TEMPLATE
FOR BOARD VOTE ON APPROVAL PROCESS**

Review Guidelines Prior to Submitting Materials

<https://www.mass.edu/foradmin/academic/publicnewdegrees.asp>

Information should be typed directly into the boxes below, which will expand. Letter of Intent (LOI) document should be about five to six pages in addition to appendices. After the local approval process for the LOI has been completed, the President of the institution should submit this template and all required forms addressed to the Commissioner of Higher Education, and to the Academic Affairs Committee (AAC) and Strategic Planning Committee (SPC) of the Board of Higher Education (BHE).

Submissions are required to be in MS Word format. Please direct the completed to:
awilliams@dhe.mass.edu.

Proposed Degree Title and Intent and Mission of the Program (200 words): Bachelor of Arts in Theatre

The Department of Visual and Performing Arts views this as an opportunity to develop stronger and deeper courses of study in Theatre within Worcester State's liberal arts framework. To that end, the department has identified the following purposes

1. To provide accessible, quality Bachelor of Arts degrees in visual art and theatre in a region of a small number of less accessible, private undergraduate arts programs.
2. To provide a flexible option to more restrictive Bachelor in Fine Arts tracks, allowing Worcester State University graduates entry-level opportunities in non-profits, diverse cultural and educational institutions, social service, and varied entrepreneurial settings.
3. To ground visual art and theatre education in the context of the liberal arts, humanities, and sciences to enrich art's intellectual context and content as well as enhance the place of the arts as a component of all undergraduates' liberal arts and sciences education.
4. Expand and deepen campus culture in the arts through class, rehearsal hall and performance curriculum and programming.

Proposed CIP Code: 50.05: Drama/Theatre Arts and Stagecraft

Chief Academic Officer (CAO) Name and Title: Lois Wims, Ph.D., Provost and Vice President of Academic Affairs

CAO Phone Number: 508.929.8038

CAO Email: lwims@worchester.edu

Has the Chief Academic Officer reviewed this LOI?

Date LOI was approved by governing authority:

A. Alignment with Massachusetts Goals for Public Higher Education

The FY19 BHE Equity Statement (<https://www.mass.edu/strategic/equity.asp>) provides campuses with insight into the next iteration of the system-level plans.

1. How does the program address institutional gaps in opportunity and achievement? How does the program align with campus goals?

Alignment with the Equity Agenda

Goal Three of the university's 2015-20 strategic plan states:

“Attract and enroll a diverse pool of highly motivated students and attach institution-wide priority to promoting their retention and success.”

A primary purpose for proposing the new Theatre major is to attract more arts students to Worcester State University. The university anticipates an increased recruitment pool among students of color in the coming years. The Department of Visual & Performing Arts has begun a review process of its diversity profile in order to find new ways to attract more diverse students.

Currently, the Theatre concentration within the interdisciplinary Visual and Performing Arts major attracts students at ratios that roughly reflect the diversity of the campus overall. However, Theatre students like to see themselves in the plays they act in, and the lower overall number of Theatre students means, in part, that the current concentration program does not have a critical mass of students of color and diverse ethnicities to produce the kinds of productions in which they can easily see themselves. An increase in the number of students, even while maintaining the WSU distribution, will allow the proposed program to produce work that ALANA students find more attractive.

Visual and Performing Arts faculty recognize that programming choices with which students in underrepresented and underserved groups can relate is a key to increasing their involvement. While the department has always maintained a policy of non-traditional casting in theatre productions, faculty members have been searching for material that breaks the perception logjam. (Students don't audition for plays when they cannot see themselves in them.) In the 2017-2018 academic year, the department produced two plays that required a more diverse talent pool. The department has added a course in African-American theatre and are considering other courses that will expose students to the breadth of the American theatrical experience.

Further, the department's work with the interdisciplinary CitySpeak project housed at the university allows it to reach into new communities. CitySpeak, a collaboration between the departments of Visual and Performing Arts and Urban Studies, uses the techniques of both areas of study to give voice to populations that are normally voiceless within their communities. Those populations are comprised of immigrants, people of color, LGBTQ communities, low income groups, etc. For instance, during the summer of 2016 and 2017, CitySpeak worked with Girls, Inc. to help young girls create theatre performances out of their experience of living in and around Worcester.

The Visual and Performing Arts Department is currently engaged in a self-study addressing equity and access, with emphasis on a predicted rise in students of color in the coming years. The arts are, by their nature, an inclusive industry, and nationwide the arts are engaging in reassessments of how they can improve on that. Historically, the Department of Visual and Performing Arts is encouraged by discussions with Worcester State University Admissions personnel that indicate the establishment of an Theatre major will result in greater interest by high school students who are interested in visual arts, and assume that that increase will keep pace with the overall demographic percentages seen at the university. Worcester State University's 2018 fact book lists its total undergraduate population at 5,380 students, with 32% of this number identifying as ALANA students.¹

2. What program or department supports and practices are in place to ensure that students persist and complete the certifications and degrees offered by the program?

The university's six-year graduation rate improved from 46.9% in 2011 to 56.8% in 2018. In fall 2019, the university retained students at 71%, its highest fall-to-fall overall retention rate. In partnership with Salem State and Fitchburg State universities Worcester State University, has been awarded a \$100,000 Higher Education Innovation Fund grant to explore creative and evidence-based methods to strengthen faculty programs that boost completion rates, close achievement gaps, and attract, enroll and graduate students from underserved populations.

Worcester State University provides a variety of services to all students in order to ensure persistence and program completion. The university's Academic Success Center provides a wide variety of student supports, including hands-on guidance about advising and pre-registration, along with specialized tutoring supports. The university's office Counseling Services provides individual and group mental health counseling and outreach, including walk-in services. The university's office of Student Accessibility Services coordinates support services programs that enable equal access to education and university life for students with disabilities.

The Department of Visual and Performing Arts has three full-time faculty positions in Theatre, all occupied by tenured full professors. This number ensures that academic advising, career exploration, and student mentorship for even the maximum projected number of students enrolled in the major will be at a very low ratio. Additionally, the department has two full-time 10-month technical staff who will interact with Theatre students on a regular basis.

The department mounts three theatre productions annually, including a student-directed show. In 2018, the department deliberately began selecting one production per year that features major roles for performers of diverse backgrounds, in order to promote inclusion and student persistence. Theatre productions intentionally integrate musical scores composed and performed by Visual and Performing Arts majors and applied music students to promote inclusion and student persistence.

¹ Strout, S. and Smith, K. (2018). *Worcester State University Fact Book 2018*. Worcester, MA: Worcester State University. According to the university's *Factbook 2018*, the ALANA identification includes Black/African American; Hispanic/Latino; Asian; American Indian/Alaskan Native; Native Hawaiian/other Pacific Islander; and Two or More Races.

3. Please describe relevant, alliances and partnerships with PK-12, other institutions of higher education, and the employer community. If you have or plan to convene an advisory group for this proposed program, please explain. Describe how information from an advisory will be used to develop and refine the program.

The department, and the university, have long and extensive relationships with public school systems in the City of Worcester and Worcester County through educational programs that blend Visual and Performing Arts with Early Childhood and Elementary Education training. The department also has an enduring partnership, as described in the previous section, with the university's Department of Urban Studies in the interdisciplinary project CitySpeak, which uses theatre to analyze and propose solutions to urban problems, including programs with Girls Inc. of Worcester, a century-old organization that aids young girls in achieving a strong self-image and pursuing personal goals.

At present, no articulation agreements exist for the prospective Theatre major. However, Quinsigamond Community College and Mount Wachusett Community College, the two largest feeder schools for Worcester State University, have Theatre Arts options in their Liberal Studies degree programs. The excellent relationship between the university and these colleges would easily facilitate creation of articulation agreements once the prospective Theatre major is approved.

4. If the proposed program is designed for students to enter an employment area of demonstrated need in the regional and/or statewide labor market, provide evidence including references to workforce development plans (e.g. MassHire Regional Blueprints, <https://www.mass.gov/service-details/view-your-regions-blueprint>), showing market need and employer engagement. If it is not directly labor market aligned, identify the career options related to the proposed program and explain how students will be made aware of them. Do not rely on Bureau of Labor Statistics projections in this section.

Explain all relevant content that has been sourced using the internet. **Use the full APA citation including retrieval date and the exact url where the content was obtained**

[e.g. Last, First. M. (Year, Month Date Published). Article title. *Retrieved from URL* ...].

Do not rely on a hyperlink reference to information and data used in this section. The application serves as a permanent record. If the institution has commissioned market research regarding the proposed program, please attach a digital copy of the report(s) on which you relied to draw your conclusions and design your program. DHE utilizes Burning Glass to validate data.

According to national data published by the United States Bureau of Economic Analysis, arts and cultural production contribute more than \$763.6 billion annually to the United States' economy and create millions of jobs.² Within this national data, arts economies and employment add \$21.2 billion in value to Massachusetts' economy (4.3% of total state economic value) and employ over 131 thousand workers. Arts worker compensation annually totals over \$11 billion.³

² National Endowment for the Arts. (6 March 2018). The Arts Contribute More Than \$760 Billion to the U.S. Economy. National Endowment for the Arts. Retrieved from URL <https://www.arts.gov/news/2018/arts-contribute-more-760-billion-us-economy>. 13 December 2019.

³ National Endowment for the Arts' Office for Research and Analysis and the Bureau of Economic Analysis of the United States Department of Commerce Arts. (2018). Cultural Production Satellite Website. Retrieved from URL <https://www.arts.gov/artistic-fields/research-analysis/arts-data-profiles/arts-data-profile-17>. 22 January 2020.

The Northeast is one of the most theatrically rich regions in the world, and, after New York, the greater Boston area has the greatest number of theatre companies in the region. From the professional theatre perspective, the greater Boston area is quite large, stretching from Portland, Maine, to Providence, Rhode Island, to Eastern and Central Massachusetts. Four large companies operate in that area, along with a good number of mid-sized companies and a plethora of fringe companies. When the summer season is considered, the aggregate number grows throughout the region, with the greatest concentration of companies residing in Western Massachusetts.

Worcester is an important part of the greater Boston area's theatre community. Unlike many other cities in the region, it is undergoing a renaissance – and the city has made arts and culture a vital part of the foundation upon which new growth is based. The enormously successful Hanover Theater, anchoring the new downtown theatre district, and the opening in summer 2020 of a new 350-seat theater are examples of such growth.

A significant amount of economic growth and development is reported in local media, and a growing interest in businesses to establish and/or relocate in the area is documented. The arts are central to the City of Worcester's development plans. There is an explosion of public art, most visible in the proliferation of murals around the city. The City has also established significant cultural zones, including the Salisbury Cultural District, the Arts District, and the Theatre District. The City works closely with the Worcester Cultural Coalition, of which Worcester State University is a member, to link cultural development with economic growth. This collaboration has resulted in several projects and was instrumental in the awarding of a substantial grant from the Barr Foundation.

A proprietary study prepared for the university by Eduventures, Inc., predicts modest growth in theatre arts related fields for the region. The closeness of two major, national theatre centers (Boston/Providence and New York City) and the mobile nature of the industry are a likely cause for these results. However, there are clear signs of growth in the immediate region, which suggests that the Central Massachusetts employment market may buck the projected modest trend. The recent establishment of the Hanover Theatre, along with its Conservatory program, in downtown Worcester, is one such sign. There is also a 350-seat theatrical space in development. A couple of small, local theatre companies have started in the last five years, and Worcester State University faculty have met on a few occasions with people investigating Worcester as a locale for a professional company or venue.

Arts and Economic Prosperity 5,⁴ a recent study by the leading non-profit organization for advancing the arts and arts education, Americans for the Arts, found that, "The nonprofit arts and culture sector is a \$125.7 million industry in the City of Worcester—one that supports 4,062 full-time equivalent jobs and generates \$9.9 million in local and state government revenue." These findings, coupled with the documented emphasis

⁴ Americans for the Arts. (2017). *Arts and Economic Prosperity 5 in the City of Worcester, MA*. Washington, DC: Americans for the Arts. Data for this and the following table were collected from 57 eligible non-profit arts and cultural organizations located in the City of Worcester. Each organization provided detailed budget information for FY 15 (e.g., labor, payments to local and nonlocal artists, operations, administration, programming, facilities, and capital expenditures/asset acquisition). Populations in the similar study regions range from 100,000 to 249,999.

on economic growth, makerspaces, and the development of new gallery and performance venues, point to a rich future ahead for the City and the region.

The strength of arts and culture institutions in the region, and their significant economic impact on Worcester and Central Massachusetts, provides a strong job market for arts and culture related positions. *Arts and Economic Prosperity 5* shows that such jobs in Worcester and Central Massachusetts exceed the median for similarly sized regions across the country by almost 400%, as demonstrated by the table below:

Total Economic Impact of the Non-Profit Arts and Culture Industry in the City of Worcester, Compared (FY 15)

Source: Arts and Economic Prosperity 5

	<i>City of Worcester</i>	<i>Median of Similar Study Regions</i>	<i>National Median</i>
Total Organizational Expenditures	\$125,690,494	\$31,381,076	\$35,750,645
Full-Time Equivalent Jobs Supported	4,062	1,046	1,131
Household Income Paid to Residents	\$72,793,000	\$19,916,500	\$23,154,000
Revenue Paid to Local Government	\$4,434,000	\$1,260,000	\$1,407,000
Revenue Paid to State Government	\$5,467,000	\$1,552,000	\$1,961,000

Spending by arts and cultural organizations similarly far outpaces the national median, as demonstrated by the table below:

Total Economic Impact of Spending by Non-Profit Arts and Cultural Organizations in the City of Worcester, Compared (FY 15)

Source: Arts and Economic Prosperity 5

	<i>City of Worcester</i>	<i>Median of Similar Study Regions</i>	<i>National Median</i>
Total Organizational Expenditures	\$64,504,636	\$14,554,235	\$15,727,535
Full-Time Equivalent Jobs Supported	2,801	608	608
Household Income Paid to Residents	\$46,052,000	\$10,827,500	\$11,441,500
Revenue Paid to Local Government	\$3,107,00	\$553,000	\$592,000
Revenue Paid to State Government	\$2,579,000	\$656,500	\$840,500

Regions where arts and culture organizations thrive tend to become magnets for artists and to generate more of a need for arts educators. In Worcester, this trend is visible in the establishment and expansion of the Hanover Theatre's Conservatory for the Performing Arts program.⁵

⁵ The Hanover Conservancy for the Performing Arts. (n.d.). Retrieved from URL <http://thehanovertheatre.org/conservatory>. 29 January 2020.

The data above indicate an optimistic future for arts and culture organizations. More importantly, they indicate these organizations' need for skilled employees that baccalaureate-level Theatre arts programs provide. Area companies rely on a steady influx of young theatre-trained talent for artistic, technical, and administrative work. For actors, this is specific and built into the business. Most roles in plays are age-specific, and younger actors are needed to play younger roles. But companies also need designers, technicians, and administrators. As early career workers develop expertise in their crafts, they move up to larger companies, gaining more skills and larger salaries, and leaving openings in the smaller companies for other new talent. Moreover, the proximity of professional companies the greater Boston area, Eastern Massachusetts, and Rhode Island, coupled with a fairly robust seasonal film industry, suggests that there is ample opportunity for young theatre artists to gain a foothold beyond the immediate Worcester area, if they so choose. Turnover in all these employment categories is fairly regular, guaranteeing a continuing market for Theatre arts graduates.

Additionally, many of the skills for theatre artists are easily transferable to other arts. Many local actors, technicians, and administrators find additional work in the area. Designer and technicians also work in the gallery and architecture business. They become teachers at the K-12 and university levels.

Thus, while a proprietary study carried out for Worcester State University by Eduventures, Inc., projects a modest 2% growth in theatre-related jobs in the Commonwealth of Massachusetts, the current renaissance in the City of Worcester has created a vibrant and growing arts and culture environment in need of skilled, young workers. The nature of the theatre business requires a steady flow of young talent in all disciplines.

The proprietary study carried out for Worcester State University by Eduventures, Inc., identifies the following occupations within designations from the United States Bureau of Labor Statistics:

- Education Administrators, Other
- Actors
- Producers and Directors
- Entertainers and Performers, Sports and Related Workers, All Other
- Public Relations Specialists
- Writers and Authors

To provide a finer level of detail, students in the proposed major would prepared for acting, directing, scenic design, costume design, lighting design, sound design, and for technical positions in costumes, electrics, scenery, and sound. Their knowledge of the workings of the theatre also prepares them for entry-level arts administrative work. The university's existing degree program combining Early Childhood or Elementary Education with a concentration in Theatre prepares students for positions in area public and private schools.

Finally, students graduating with degrees in the visual and performing arts fare well even in the national job market in the first five years after graduation. Data from "The Permanent Detour: Underemployment's Long-Term Effects on the Careers of College Grads,"⁶ a study published in 2018 by Burning Glass Technologies and the Strada Institute for the Future of Work, found that visual and performing art graduates' chances of being underemployed dropped from 45% in the first year to 31% within in the first five years. This ratio compares

⁶ Burning Glass Technologies and the Strada Institute for the Future of Work. (May 2018). The Permanent Detour: Underemployment's Long-Term Effects on the Careers of College Grads. Boston, MA: Burning Glass Technologies.

favorably with students graduating from Business programs (47% in the first year to 31% within the first five years).

The proprietary study carried out for Worcester State University by Eduventures, Inc., provides the following data from the United States Bureau of Labor Statistics for occupations related to Theatre Arts for FY 16:

**Capacities, Openings, and Earnings, Occupations Related to Theatre Arts
Commonwealth of Massachusetts (FY 16)**

Source: Proprietary Research Report, Eduventures, Inc.

<i>Occupation</i>	<i>2016 Jobs</i>	<i>Annual Openings</i>	<i>Median Hourly Earnings</i>
Education Administrators, All Other	640	62	\$29.96
Actors	799	97	\$20.21
Producers and Directors	2,395	246	\$31.57
Entertainers and Performers, Sports and Related Workers, All Other	111	16	\$24.18
Public Relations Specialists	6,896	747	\$30.12
Writers and Authors	1,556	146	\$29.98

**Capacities, Openings, and Earnings, Occupations Related to Theatre Arts
New England, Six State Region (FY 16)**

Source: Proprietary Research Report, Eduventures, Inc.

<i>Occupation</i>	<i>2016 Jobs</i>	<i>Annual Openings</i>	<i>Median Hourly Earnings</i>
Education Administrators, All Other	1,502	138	\$33.13
Actors	1,706	210	\$22.69
Producers and Directors	5,238	566	\$29.32
Entertainers and Performers, Sports and Related Workers, All Other	467	60	\$20.51
Public Relations Specialists	12,836	1,380	\$29.17
Writers and Authors	2,969	272	\$28.29

The above data show that between 45-50% of jobs and annual employment openings in Theatre arts related occupations across New England occur within the Commonwealth of Massachusetts. Additionally, they show that earnings are higher, often by a rate of 10%, within Massachusetts. Given the vitality of the Theatre arts

community in the greater Worcester area, there are sufficient opportunities in these fields to support the scale of program intended for the proposed Theatre major.

Finally, Worcester State University students present a resource for the region. In contrast to the other universities and colleges in the area, students who enroll at Worcester State University tend to come from the immediate region (71 percent of total enrollment) and, to a high degree, tend to remain in the region after graduating.

5. Are there existing programs at other institutions (public and independent) in your region that offer a similar degree? If so, compare and contrast them with the proposed program.

While there are Theatre arts programs at around 27 institutions throughout the Commonwealth, most of the students at Worcester State University come from the greater Worcester County region. Therefore, it is most productive to examine the programs at the closest and most competitive institutions: Clark University and the College of the Holy Cross (both private not-for-profit), and Fitchburg State University, Framingham State University, and Westfield State University, all located within Massachusetts.

With regard to educational achievement, the number of degrees conferred within the immediate region in Theatre arts programs has held steady over time, as demonstrated in the following table:

**Degree Conferrals, Theatre Arts Programs by Year
Central Massachusetts, 2012-16**

Source: Proprietary Research Report, Eduventures, Inc.

<i>Institution</i>	<i>2012</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>	<i>2012-16</i>
Fitchburg State University (MA)	4	10	5	8	7	15%
College of the Holy Cross (MA)	7	6	5	3	7	0%
Westfield State University (MA)	3	5	6	6	6	19%
Clark University (MA)	4	10	12	7	4	0%
UMASS – Boston	10	14	15	7	15	11%

Framingham State University offers only a minor in Theatre arts, which does not result in a degree. As demonstrated in the table above, enrollment in existing degree-granting programs, based on conferral rates, remains modest in the 25-30 student range. Among the programs listed above, growth is occurring solely in the public institutions.

Programs listed above that show growth are those that have established new majors or expanded their offerings. Although some conferral numbers are low enough that a few more graduates result in large percentage of change, the trend of new programs attracting more students appears to hold. The University of Massachusetts Boston, for instance, shows an 11% change in conferrals between 2012 and 2016, coinciding with development of a new program. Westfield State also added a new major and shows a 19% change.

The above data from institutions within the Central Massachusetts region also show particular growth promise in the public institutions. Westfield State University and Fitchburg State University both show growth, though their numbers are modest. Fitchburg, however, only offers a concentration in Theatre arts connected to its Communications Media program, not a bachelor's degree. The programs at the College of the Holy Cross and Clark University show only maintenance level enrollments.

Worcester State University's primary advantages are its location and the lack of a Theatre major in the immediate area. Worcester is the second largest city in New England, ideally located within easy driving distance of Boston and Providence, both part of the New England theatre hub. New York City, the center of the theatre business in the nation, is less than a three-hour drive. Moreover, the renaissance of Worcester described earlier in this section of the curriculum proposal, provides new opportunities for further growth of performing arts in the area and, therefore, job opportunities for graduates from Worcester State University.

While both Clark University and the College of the Holy Cross are in Worcester, they tend to draw students from outside the region, even outside the Commonwealth, in contrast to Worcester State University. Westfield State University is located over an hour's drive west of Worcester State University and does not draw the majority of its enrollment from the Central Massachusetts/Worcester County area. A reasonable assumption is that many Worcester area high school students must look outside the Central Massachusetts region when they do not see a program in theatre at their local state university.

Institutional data indicates that a plurality (39%) of students interested Visual and Performing Arts prefer an in-state, public institution. Thus, it is reasonable to expect that a Theatre major at Worcester State University would draw interest from those students who wish to stay in the immediate region for personal or economic reasons, or who, as is indicated by the polling data, are interested in a mid-sized city. The lack of a public college/university offering a B.A. in Theatre in the Central Massachusetts region indicates that there is room for such a program.

6. Has the proposed program been planned to include any significant digital, experiential, competency-based or other innovative approaches? Please explain and provide examples.

By its nature, a curriculum in Theatre is heavily invested in experiential learning modes. Basic courses in acting and stagecraft are hands-on and performance-driven, as are upper-level offerings in stage management and directing. The department mounts three theatre performances annually, including a student-directed show. As well, the curriculum offers specialized courses in lighting, scene and costume design, and stage combat. Three one-credit experiential learning practica are integrated into the curriculum, to provide students the ability to explore and experience new concepts and techniques in art as they build toward a Capstone experience.

The study of design and stagecraft requires knowledge of specialized software. The Theatre concentration within the interdisciplinary Visual and Performing Arts major at Worcester State University currently provides students with up-to-date training in software trends in its design classes and productions. Students learn to use scenic and lighting design software, plus lighting, sound, and projection equipment. A new course in Music Technology is specifically designed to provide instruction useful in multiple disciplines, including theatre. These opportunities would continue into the proposed Theatre major. As well, the proposed

program has built into the curriculum the use of the Internet and social media platforms, so that students are prepared for self-marketing.

B. Alignment with Campus Strategic Plan and Mission

1. Describe why the proposed program is a priority, and how it supports the campus's approved strategic plan, in the context of the institution's mission.

Alignment with the University's Mission Statement

"Worcester State University champions academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. A Worcester State education equips students with knowledge and skills necessary for lives of professional accomplishment, engaged citizenship, and intellectual growth."

The proposed major will provide students with a Theatre arts program founded on sound academic principles, anchored in the university's Liberal Arts curriculum, and positioned to contribute to the market opportunities described in the market analysis section of this program proposal (Section E). Institutional research demonstrates that Worcester State University draws a significant majority of its enrollment from the Central Massachusetts region, and that its graduates tend to remain in the Central Massachusetts region. Thus, the proposed major will prepare graduates to build careers throughout the Central Massachusetts region in the arts and related fields in two main ways:

- Developing creativity and critical analysis – skills that support graduates in the arts and that are sought after by employers in a number of industries.
- Providing students with knowledge and practical skills necessary for work in Theatre arts and related fields or for graduate study, through the program's commitment to theory and history as well as practice.

Alignment with the University's Strategic Plan 2015-20

"Enhance our undergraduate academic programs and expand graduate programs in a community of learning that promotes academic excellence and innovation."

The proposed major in Theatre will enhance the university's arts curricula through promoting new and revised courses, providing students with an expanded foundation in arts practice and study.

"Leverage our distinctive strengths, both to enhance our reputation and to prepare our students to lead, serve, and make a difference in the world."

Worcester State University already has a well-appointed theater (Fuller Theater) that, under the supervision of the Department of Visual and Performing Arts, serves the needs of the campus and the community. The production end of the current Theatre concentration within the interdisciplinary Visual and Performing Arts major program is particularly strong, due to the commitment of the faculty, the presence of a highly capable staff, and the relatively new (renovation completed in 2009) and well-maintained facilities and equipment.

Theatre performances are observed every semester by outside evaluators and noted for their strong production quality. Thus, the proposed program is a logical outgrowth from the university's interdisciplinary Visual and Performing Arts major. The strengths of faculty and staff in the Department of Visual and Performing Arts already contribute to the current interdisciplinary program; the only changes required to mount the proposed program are in educational emphasis, with some augmentation.

“Attract and enroll a diverse pool of highly motivated students and attach institution-wide priority to promoting their retention and success.”

“Cultivate a vibrant campus life and a collaborative work and learning environment in which all members of the WSU community feel welcomed, included, respected, empowered, and valued.”

Among the steps taken by Worcester State University in addressing this goal was commissioning a study of arts and culture on campus. This study showed that arts programs at Worcester State are central to campus life. The Department of Visual and Performing Arts has, since establishing the interdisciplinary major, taken steps to increase the arts offerings on campus, an essential component of which was the renovation of Fuller Theater. Theatre productions, too, are a focal point. Creation of the Theatre concentration within the interdisciplinary program raised the number of productions per year from two to three, and directors have been able to cast larger shows on a regular basis. Student directors and designers in particular are able to work on productions, which sometimes draw their designers from the Art concentration. The department anticipates that greater numbers of students in a full Theatre major will allow for producing a wider range of plays for the benefit of students, faculty, the campus community, and the greater area.

Alignment with the University's Strategic Imperatives

While most strategic imperatives in the institution's strategic plan are broad enough to relate to all departments and divisions at Worcester State University, one stands out in relation to the proposed Theatre major:

“We will be a dynamic, valued partner with and resource to Worcester, the region, and the world.”

The City of Worcester is undergoing a revival and renaissance, and the arts are central to this development. Worcester has become a thriving center for creative economy. A new cultural district and a theatre district have been established, benefitting from collaborations with the Worcester Art Museum, the Hanover Theatre, and other cultural organizations. Indeed, Metropolitan Worcester includes public art in many of its projects, from parks to the renovation of the downtown area, and there is a new 350-seat theatre opening in summer 2020. Worcester State students are more likely to remain in the city and region than those from other area institutions, and the addition of the Theatre major to the university's academic programs will provide a steady addition of new artists and creative entrepreneurs ready to contribute to the city's ongoing rebirth.

2. List the overall goals and learning objectives of the program and describe the strategy for achieving each goal. Use the **LOI Program Goals and Objectives** table in addition to any narrative comments.

Academic Purpose

The Department of Visual and Performing Arts views this as an opportunity to develop stronger and deeper courses of study in art and theatre within Worcester State's liberal arts framework. To that end, the department has identified the following purposes

1. To provide accessible, quality Bachelor of Arts degrees in visual art and theatre in a region of a small number of less accessible, private undergraduate arts programs.
2. To provide a flexible option to more restrictive Bachelor in Fine Arts tracks, allowing WSU graduates entry-level opportunities in non-profits, diverse cultural and educational institutions, social service, and varied entrepreneurial settings.
3. To ground visual art and theatre education in the context of the liberal arts, humanities, and sciences to enrich art's intellectual context and content as well as enhance the place of the arts as a component of all undergraduates' liberal arts and sciences education.

Expand and deepen campus culture in the arts through class, rehearsal hall and performance curriculum and programming.

Program Student Learning Outcomes

In the program, students will:

1. Acquire the critical language for the analysis and interpretation of theatre
2. Demonstrate aesthetic literacy over historical periods and cultures that pertain to the production and interpretation of theatre
3. Apply theoretical knowledge and concepts to the creation and critical analysis of theatre
4. Utilize critical thinking skills in the production of theatre

C. Alignment with Operational and Financial Objectives of the Institution

1. Provide enrollment projections for the first five years of the program using the Program Enrollment form (Form C), Describe below any anticipated impact that the program may have on enrollment in other programs.

The Bachelor of Arts in Theatre is an expansion of an already-existing concentration within an interdisciplinary major. No impact on enrollments in other programs is expected.

- 2.. Describe the resources that the program will require (additional faculty and/or staff, space and equipment, on-line infrastructure, startup and maintenance of the program). Please include a narrative or financial statement outlining the anticipated net impact of the program on the overall financial resources of the institution. Include five years of future projections of revenue and expense using the LOI Budget form (Form D).

Resource Requirements

The B.A. in Theatre at Worcester State University is an extension of the current Theatre concentration within the interdisciplinary Visual and Performing Arts major. No additional funds are requested and none are expected until enrollment growth warrants an evaluation of personnel and material.

Currently, the Theatre faculty is comprised of two full-time professors and one full-time associate professor. Four to five courses are taught per semester by part-time faculty. One additional adjunct taught class may be added in the first four years of the program.

At present, the Theatre concentration shares one benefitted full-time and one non-benefitted part-time staff member with the larger Visual and Performing Arts department. Two additional benefitted full-time nine-month staff members work in Fuller Theatre. The department does not anticipate an increase in staff in the first four years of the new major.

All other expenses through Year 4 are expected to come from the current operating budget for the Department of Visual and Performing Arts. Currently, the Theatre concentration receives per annum from departmental funds the non-personnel funding:

\$19,471.00	Production
\$2,300.00	Lab Supplies
\$1415.00	Teaching Materials

Additionally, the Theatre concentration shares in general departmental funds at one-third the budgeted amounts for the following:

\$533.00	PR and Marketing	(VPA \$1600.00)
\$1133.00	Equipment	(VPA \$3400.00)
\$1167.00	IT	(VPA \$3500.00)

The WSU library spends about \$1,700 each year for physical materials for the Department of Visual and Performing Arts, plus \$940 per year for periodical subscriptions. Approximately one third is allocated to the Theatre concentration.

Revenue Projections

Revenue from the proposed Theatre program is derived from student fees assessed by the university. The latest fee data published by the university, applicable for the 2019-20 academic year, shows that full-time tuition is set at \$970 per student (in state) per year. Academic fees are set at \$9,191 per student (in state) per year. Residence hall room fees vary, but they average \$8,158 per student per year, with an additional \$370 per student per year in residence hall auxiliary fees. Thirty percent of full-time undergraduate students at Worcester State University are resident students.

Given the figures above, a reasonable minimum revenue calculation is \$970 in tuition per new student per year; \$9191 in academic fees per new student per year; and \$8,528 in residence hall room and auxiliary fees applied to 30 percent of the new student population.

According to institutional data, the Theatre concentration within the interdisciplinary Visual and Performing Arts major enrolls between 10 and 15 students per year. A reasonable assumption would be that 13 students would constitute a baseline enrollment for the proposed Theatre program. No new revenue would be realized from this baseline enrollment.

New revenue would be gained from additional students enrolling in a stand-alone Theatre major, as described in earlier sections of this curriculum proposal. Thus, the three following three budget scenarios are based on net gains of 7, 12, and 17 new students in the program. These scenarios are provided to project success ranging between minimal to what the Department of Visual and Performing Arts considers a maximum. Aggregate figures for revenue do not include any adjustments upward or downward in tuition, academic fees, or residence hall room and auxiliary fees.

From residence hall fee allocations, these budget scenarios include, respectively, revenue from two, four, and five students.

3. Complete the LOI Curriculum Outline form (Form A) with course titles and credits.

4. Complete the LOI Program Goals and Objective form (Form B).

Comments and Response

The submitted LOI will be reviewed for completeness by staff. This process typically occurs within 15 business days from when it is received. Once deemed complete, the LOI is circulated by the Deputy Commissioner of Academic Affairs and Student Success (the Deputy), to the AAC and SPC members of the BHE, public campus CAO's, and to the Association of Independent Colleges and Universities of Massachusetts (AICUM) representatives for relevant comments.

Formal commentary to an LOI must come from an institution's President, be addressed to the Commissioner of Higher Education, with a cc to the Deputy, and received within 20 business days from the date the LOI is circulated.

All commentary is sent to the community colleges and state university institution, where the proposed program LOI originated. University of Massachusetts commentary is sent to the Senior Vice President for Academic Affairs, and International Relations, who is responsible to forward the information to the specific campus

Responses to any commentary are required. Responses must come from the LOI institution President and be addressed to the Commissioner of Higher Education, with a cc to the Deputy and submitted to awilliams@dhe.mass.edu. This written response to commentary must be received within 20 business days from the date it is sent to the President.

A Note About Timelines

Program review is a serve-and-return process, which means that there are several communications back and forth between the institution and DHE staff as the submission is being reviewed.

A campus should expect that an LOI (or proposal application) template submitted for staff validation and review for completion will be subject to a **15-business-day period of review**. Following this time frame the campus can expect staff to provide information regarding any further data that are needed for the LOI to be deemed complete. This communication **resets the 15-business-day time frame**.

Responsibility rests with the campus to provide data in a timely manner, this may be important to a campus working within a targeted timeline for program development and launch. Once the campus has responded to staff by submitting the additional data, **the 15-business-day** clock begins anew.

After an LOI is validated and deemed complete it is circulated by the Deputy to the AAC and SPC, public campus CAO's and to AICUM representatives for commentary (as described above). The **comment period is open for 20 business days**. At the end of this time frame, all comments are reviewed by staff and sent to the LOI institution's CAO, who then has **20 business days** to submit a written response to the Deputy. Comments and responses are included in the motion brought forward for BHE action.

An LOI is brought forward either within **20 business days** of receiving the institution's response or at the next scheduled AAC meeting.

Following AAC action, the next step of the process is submission of the application proposal, which must be submitted **within two years** of the BHE action on the LOI for either a Fast Track or Standard process review.

A proposed program application template is validated and reviewed for completion **within 20 business days** of receipt. As noted above, the campus can expect staff to provide information regarding any further data that are needed for the proposal to be deemed complete. As previously noted, this communication **resets the time frame**. Once the campus has responded by submitting the additional data, **the 15-business-day** clock begins anew. Once validated and deemed complete, Fast Track proposals are forwarded to the Commissioner with a recommendation for action **within 30 business days**. The 30-business day timetable begins on the date DHE staff notify the campus that the proposal is deemed complete. BHE follows the guidelines on all proposal applications in accordance with either the Fast Track or the Standard Process.

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Theatre

ATTACHMENTS:

Form A	LOI Curriculum Outline
Form B	LOI Goals and Objectives
Form C	LOI Enrollment Projections
Form D	LOI Budget

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Theatre
Form A1: LOI Undergraduate Program Curriculum Outline
 (Insert additional rows as necessary)

Required (Core) Courses in the Major (Total # courses required = 0)		
<i>Course Number</i>	<i>Course Title</i>	<i>Credit Hours</i>
TH 126	Script Analysis	3
TH 145	Acting I	3
TH 155	First Year Practicum	1
TH 175	Intro to Stagecraft	3
TH 235	History of Theatre	3
TH 255	Second Year Practicum	1
TH 263	Concepts of Theatre Design	3
TH 274	Stage Management	3
TH 355	Third Year Practicum	1
TH 455	Capstone	3
TH 126	Script Analysis	3
TH 145	Acting I	3
TH 155	First Year Practicum	1
	Sub Total Required Credits	24
Elective Courses (Total # credits required in major = 15) (see attached list of major elective choices)		
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
[Course Number]	[Course Title]	[0]
	Sub Total Elective Credits	15
Distribution of General Education Requirements Attach List of General Education Offerings (Course Numbers, Titles, and Credits)		# of Gen Ed Credits
Arts and Humanities, including Literature and Foreign Languages		15
Mathematics and the Natural and Physical Sciences		16
Social Sciences		15
Sub Total General Education Credits		46
Curriculum Summary		
Total number of courses required for the degree		N/A
Total credit hours required for degree		120
Prerequisite, Concentration or Other Requirements:		

Elective Courses in Major (15 credits total; 9 credits must be at the 300-level or above)

<i>Course Number and Title</i>	<i>Credits</i>
TH 246 Voice and Movement	3
TH 270 History of American Entertainment I	3
TH 271 History of American Entertainment II	3
TH 272 History of Costume	3
TH 290 Theatre for Young Audiences	3
TH 292 Creative Dramatics	3
TH 345 Acting II	3
TH 348 Stage Combat	3
TH 360 Scenic Design for Theatre	3
TH 370 Costume Design for Theatre	3
TH 380 Directing	3
TH 390 Lighting Design for Theatre	3

Form B: LOI Goals and Objectives

Goal	Measurable Objective	Strategy for Achievement	Timetable
The BA in Theatre major will have an initial enrollment of enough students to fulfill the requirements of an undergraduate class at the university.	By the beginning of the BA in Theatre major, the program will have an enrollment of at least twelve (12) full time students (12-15 credits per semester).	<p>The university will engage in a targeted internal and external marketing campaign in the months leading to the admission of BA in Art students. The campaign will include advertisements, social media marketing, internal and external education fairs, direct mail to target audiences such as students of local high schools with art programs, and use of alumni networks</p> <p>Additionally, the university will design an easy and convenient process of admission and provide the resources necessary to provide pre-admission advice to potential students.</p>	The marketing campaign and the design of the admission process will begin immediately upon DHE approval.
The BA in Theatre major will enhance their reach by offering appropriate courses online.	By the second year of operation, the BA in Theatre major will include blended and fully online classes, which modalities are already regularly offered by the Department of Visual and Performing Arts.	The university will enhance its online-delivery capabilities through the University Technology Services (UTS) department.	Second year of operation.
The BA in Theatre major will have a core faculty whose disciplines cover a wide range of theatre arts and will make use of the VPA interdisciplinary program and faculty through ancillary course	At the program inauguration there will be three full-time Theatre faculty and two full-time 10-month technical staff who will interact with Theatre students on a regular basis, along with 7 faculty in other arts disciplines and a number of adjuncts in the Visual	<p>The Visual and Performing Arts department has 3 full time Theatre faculty committed to teaching in this program.</p> <p>The Visual and Performing Arts department has 6 full time Music, Art and, Interdisciplinary studies faculty committed to</p>	Upon BHE approval, Theatre faculty will offer required courses in major with special and elective courses not already part of the Visual and

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Theatre

requirements and electives.	and Performing Arts department as a whole.	teaching courses that are involved in this program.	Performing Arts course offerings added each year thereafter.
The BA in Theatre major will have a high retention and graduation rate.	The BA in Theatre major will have retention and graduation rates commensurate with those of the university as a whole.	<p>Students studying for the BA in Theatre present a senior-year capstone project, demonstrating mastery in a chosen area of specialization (acting, designing, directing, etc.)</p> <p>Varied course delivery methods (hybrid and online) will be used to accommodate student schedules.</p> <p>The program will include independent studies to accommodate different styles of learning. Alumni and other speakers will be invited to speak to students and keep them motivated.</p> <p>The program will be flexible with regard to part-time/full time status.</p> <p>Students will be provided with personalized advising to help retain them in the programs.</p>	Upon implementation and progressively on a continuous basis.
Students will complete the BA in Theatre major in a time commensurate with that of the university as a whole.	<p>Students declaring this major in their first year of study at Worcester State University should be able to complete the major in four to five years.</p> <p>Transfer students should be able to complete the major in two to three years.</p>	<p>Core courses will be available with a regularity that will allow for student needs and scheduling concerns.</p> <p>Major electives will be available with a regularity that will allow for student needs and scheduling concerns.</p>	<p>First four to five years graduation of full time, first year declaring students.</p> <p>- First three to four years of graduation of internal and external</p>

		<p>Many core and elective courses will be available through DGCE on a rotating schedule to allow for student needs and scheduling concerns.</p> <p>The BA in Theatre major program has built in flexibility to allow for transfer credits and scheduling concerns so that students can adjust when they take selected courses during their study.</p>	transfer and late declaring students.
<p>Graduates of the BA in Theatre major program will obtain positions in degree-relevant companies and organizations or enroll in graduate programs or further their education soon after graduation</p>	<p>Alumni will become professional working theatre artists/independent contractors or obtain apprenticeships, residencies or positions in theatre companies and arts organizations in their major field of study or related fields or teaching positions (assistantships, internships, substitute teaching positions) or will further their studies by enrolling in graduate or other programs in their field of study or teaching.</p>	<p>The department will regularly invite professionals in degree-relevant fields to give lectures to students.</p> <p>The department will continue to enhance relationships with local and other professional theatre artists and technicians to establish internships and apprenticeships for students.</p> <p>The department will establish internship relationships and students will be encouraged to complete internships with various Artists and organizations where they might work upon graduation</p>	<p>At least one networking event during the first two years of operation. The events will progressively increase in number as the program become established.</p>
<p>The BA in Theatre major will have an initial enrollment of enough students to fulfill the requirements of an undergraduate class at the university.</p>	<p>By the beginning of the BA in Theatre major, the program will have an enrollment of at least twelve (12) full time students (12-15 credits per semester).</p>	<p>The university will engage in a targeted internal and external marketing campaign in the months leading to the admission of BA in Theatre students. The campaign will include advertisements, social media marketing, internal and external education fairs, direct mail to target</p>	<p>The marketing campaign and the design of the admission process will begin immediately upon DHE approval.</p>

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Theatre

		<p>audiences such as students of local high schools with art programs, and use of alumni networks.</p> <p>Additionally, the university will design an easy and convenient process of admission and provide the resources necessary to provide pre-admission advice to potential students.</p>	
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Form C: LOI Program Enrollment

<i>Enrollment Scenario 1</i>	# of Students Year 1	# of Students Year 2	# of Students Year 3	# of Students Year 4	# of Students Year 5
New Full Time	1	2	2	2	2
Continuing Full Time	13	14	16	18	18
New Part Time					
Continuing Part Time					
Totals	14	16	18	20	20

<i>Enrollment Scenario 2</i>	# of Students Year 1	# of Students Year 2	# of Students Year 3	# of Students Year 4	# of Students Year 5
New Full Time	2	3	3	4	4
Continuing Full Time	13	15	18	21	21
New Part Time					
Continuing Part Time					
Totals	15	18	21	25	25

<i>Enrollment Scenario 3</i>	# of Students Year 1	# of Students Year 2	# of Students Year 3	# of Students Year 4	# of Students Year 4
New Full Time	3	4	4	6	6
Continuing Full Time	13	16	20	24	24
New Part Time					
Continuing Part Time					
Totals	16	20	24	30	30

Form D: LOI Program Budget

B.A. THEATRE PROGRAM BUDGET – ENROLLMENT SCENARIO 1

<i>One Time/ Start Up Costs</i>		<i>Annual Expenses</i>				
	<i>Cost Categories</i>	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	0	0	0	0	0
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equipment	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)					
	TOTALS	0	0	0	0	0

<i>One Time/Start-Up Support</i>		<i>Annual Income</i>				
	<i>Revenue Sources</i>	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$970	\$2,910	\$4,850	\$6,790	\$6,790
	Fees (Academic)	\$9,191	\$36,764	\$55,146	\$73,528	\$73,528
	Departmental					
	Reallocated Funds					
	Fees (Residence Hall)	0	\$8,528	\$8,528	\$17,056	\$17,056
	TOTALS	\$10,161	\$48,202	\$68,524	\$97,374	\$97,374

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Theatre
B.A. THEATRE PROGRAM BUDGET – ENROLLMENT SCENARIO 2

<i>One Time/ Start Up Costs</i>		<i>Annual Expenses</i>				
	<i>Cost Categories</i>	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	0	0	0	0	0
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equipment	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)					
	TOTALS	0	0	0	0	0

<i>One Time/Start-Up Support</i>		<i>Annual Income</i>				
	<i>Revenue Sources</i>	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$1,940	\$4,850	\$7,760	\$11,640	\$11,640
	Fees (Academic)	\$18,382	\$45,955	\$73,528	\$110,292	\$110,292
	Departmental					
	Reallocated Funds					
	Fees (Residence Hall)	0	\$8,528	\$17,056	\$25,584	\$25,584
	TOTALS	\$20,322	\$59,333	\$98,344	\$147,516	\$147,516

Institution: Worcester State University **Proposed Degree:** Bachelor of Arts in Theatre
B.A. THEATRE PROGRAM BUDGET – ENROLLMENT SCENARIO 3

<i>One Time/ Start Up Costs</i>		<i>Annual Expenses</i>				
	<i>Cost Categories</i>	Year 1	Year 2	Year 3	Year 4	Year 5
	Full Time Faculty (Salary & Fringe)	0	0	0	0	0
	Part Time/Adjunct Faculty (Salary & Fringe)	0	0	0	0	0
	Staff	0	0	0	0	0
	General Administrative Costs	0	0	0	0	0
	Instructional Materials, Library Acquisitions	0	0	0	0	0
	Facilities/Space/Equipment	0	0	0	0	0
	Field & Clinical Resources	0	0	0	0	0
	Marketing	0	0	0	0	0
	Other (Specify)					
	TOTALS	0	0	0	0	0

<i>One Time/Start- Up Support</i>		<i>Annual Income</i>				
	<i>Revenue Sources</i>	Year 1	Year 2	Year 3	Year 4	Year 5
	Grants					
	Tuition	\$2,910	\$6,790	\$10,670	\$16,490	\$16,490
	Fees (Academic)	\$27,573	\$64,337	\$101,101	\$156,247	\$156,247
	Departmental					
	Reallocated Funds					
	Fees (Residence Hall)	0	\$8,528	\$25,584	\$42,640	\$42,640
	TOTALS	\$30,483	\$79,655	\$137,355	\$215,377	\$215,377

WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES
FINANCE & FACILITIES MEETING

Thursday, March 05, 2020
Administration Building
Presidents Conference Room, 255
3:30 - 4:30 pm

Meeting Called By: Stephen Madaus (Chair)

Minutes: Nikki Kapurch

Board Members: Stephen Madaus (Chair); Lisa Colombo; Aleta Fazzone; Dina Nichols; Marina Taylor

WSU Staff: Barry Maloney; Nikki Kapurch; Carl Herrin; Patrick Hare, Kathy Eichelroth

All documents considered to be **drafts** until discussed and/or approved by the Board

AGENDA

ITEM	RESPONSIBLE	ACTION
1. <i>Administrative Business</i> A. Call to Order B. Minutes: January 7, 2020*	Stephen Madaus	B. Vote Required
2. <i>Finance & Facilities Committee Report</i> A. FY2019 Federal Financial Aid Audit* B. Budget Amendment #2* C. Financial Planning Update* D. FY 2019 Waived Tuition and Fees* E. FY2020 Debt Management Policy* F. FY 2020 Trust Fund Reports – Quarter 2*	Stephen Madaus Kathy Eichelroth	A. Vote Required B. Vote Required C. Informational D. Informational E. Informational F. Informational
3. <i>Administrative Updates</i> A. Other Business	Stephen Madaus	A. Informational
4. <i>Adjournment</i>	Stephen Madaus	4. Vote Required

*Attachments

**WORCESTER STATE UNIVERSITY
BOARD OF TRUSTEES
FINANCE FACILITIES COMMITTEE MEETING
MEETING MINUTES - JANUARY 7, 2020**

CHAIR:	Stephen Madaus (Chair)	DATE:	January 7, 2020
LOCATION:	Student Affairs Conference Room, SC326	MINUTES BY:	Nikki Kapurch
TIME:	7:30 AM		
COMMITTEE MEMBERS PRESENT:	Craig Blais (Chair, ex-officio); Lisa Colombo (via remote access); Aleta Fazzone; Stephen Madaus (Vice-Chair); Dina Nichols; Marina Taylor		
BOARD MEMBERS PRESENT:	Maryanne Hammond (Vice-Chair)		
WSU STAFF:	Barry Maloney; Nikki Kapurch; Carl Herrin; Patrick Hare; Kathy Eichelroth		

The provision of General Laws, Chapter 30A having been complied with and a quorum present, a meeting of the Board of Trustees was held on Tuesday, January 7, 2020, in-room SC326 of the Student Center. Chairman Madaus called the meeting to order at 7:36 am. Chairman Madaus reported that Trustee Colombo will participate by remote access and announced that all votes will be by recorded roll call.

Administrative Business:

APPROVAL OF THE MINUTES

Upon a motion made by Trustee Taylor and seconded by Trustee Fazzone, it was unanimously

VOTED: By recorded roll call to approve the October 15, 2019 minutes of the Finance and Facilities Committee meeting as presented.

ROLL CALL VOTE: 7 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Stephen Madaus; Dina Nichols; Marina Taylor

FINANCE & FACILITIES COMMITTEE REPORT

FY2021 RATE SETTING PROPOSAL

- Trustee Madaus called upon Vice President Kathy Eichelroth to present to the Finance and Facilities Committee on the FY2021 Rate Setting Proposal.
- President Maloney framed the conversation as to why we are looking to set a rate structure for the coming 2020/2021 academic year as early as possible. If the Board approves the rate-setting proposal, the University can put out a price point earlier in an effort to start conversations with the board to allow room for discussions.
- WSU's ability to freeze rates in 2019 resulted in the institution having the least costly mandatory fees of all the state universities.

- Vice President Eichelroth handed out a revised Operating Revenue Budget Forecast 2021 through 2024 worksheet referencing the FY2023 .5% decrease in enrollment. The original budget forecast that was provided in the packet for the meeting had referenced a 1% decrease in enrollment.
- Ruffalo Noel Levitz, a provider of higher education enrollment management services, has predicted a 3.5% decline in students in Massachusetts from the academic year 2018-19 through 2023 -24. Following the lead of Ruffalo Noel Levitz is how we calculated the data presented.
- The multi-year operating budget forecast has been prepared to incorporate slight declines in enrollment that translate into revenue deficiencies impacting the bottom line.
- The fee increase covers the anticipated revenue gap.
- Other opportunities for revenue growth that the university is exploring include collaboration with the Worcester Center for Crafts, other private institutions, early college offerings, graduate online degrees, and continued maximization of conferencing and events opportunities.
- The administration continues to examine cost containment and re-allocation of resources.
- The administration is closely examining all departmental lines and concluded that other than some high-impact categories such as payroll, benefits, deferred maintenance, and other various fixed operating costs, there are very small allocations of funds across almost 200 departments that serve to educate or support our students or the operations of the institution. There is very little if anything to reduce in the departmental lines without impacting services and operations.
- Institutional trust funds were evaluated to assess the impact of the predicted change in student demographics on revenue projections in FY2021.
- A draft of the Resident Hall Trust Fund budget for FY2021 has been submitted to the MSCBA, as they are the rate-setting authority. In addition to reduced expenditures, double room rates have increased in the range of \$100 - \$200 a year, with a more significant increase in single-room rates. We are seeking a recommendation to the MSCBA for a change in the Resident Hall rates as presented.
- A 2% decline in enrollment and adjustments to other revenue lines, creates a revenue gap that we propose to be closed with a \$257 annual increase to the General Fee.
- We are proposing a \$168 annual increase to provide new resources to be invested in critical needs to the institution. The division priorities for FY20 equal \$1,829,375. An increase is proposed for operations of \$672,504 which requires the \$168 increase in student fees.
- We are unable to rely on increased funding from the Commonwealth to provide resources to achieve university goals as we must continue to seek adequate funding for the cost of labor contracts negotiated by the Commonwealth.
- The cumulative increase in the General Fee for the year would be \$425, a 5% increase over the prior year.
- The question was asked about tuition waivers compared to revenue? Vice President Forsythe mentioned that we do not have the tuition waivers broken down by fund and fiscal year. We instead have breakdowns of all of the need-based and non-need-based grant and loan funds in Financial Aid.
- The question was asked about expenditures by tuition waiver funds? Financial Aid and Student Accounts manage a number of tuition waivers. A list of categorical waivers will be provided at the March meeting.
- The total cost for fees for the academic year 2020-2021 equals \$9,616. We would still be below all the other State Universities, except Fitchburg.
- We will keep the board informed going forward on our Spring 2020 student enrollment and adjust projections if needed. Everything is based on enrollment and retaining our current students.
- Multi-year forecast planning is a great tool; it's effective and gives more certainty.
- The President will bring to the next board meeting the State appropriation dollars among the State Universities.

S&P GLOBAL RATINGS & FY2020 TRUST FUND REPORTS - QUARTER 1

- S&P Global Ratings was shared for informational purposes only and Trustee Madaus highly recommended that each trustee read through the report. No action taken.
- The Trust Fund Report for the first quarter was shared for informational purposes and will be posted on the Trustee Website. No action taken.

Upon a motion made by Trustee Taylor and seconded by Trustee Fazzone, it was unanimously

VOTED:

By recorded roll call to recommend to the full board the Worcester State University Tuition and Fees Schedule for Academic Year 2020/2021 as presented. Specifically, approve the following:

- an increase in the General Fee up to \$425 per year for a total annual General Fee of \$8,798
- a recommendation to the MSCBA of a change in the Resident Hall rates as presented
- an increase in the cost of the basic board plan of \$50 per year for an annual rate of \$3,800
- an increase in the transcript fee to \$10 per transcript

ROLL CALL VOTE:

7 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Stephen Madaus; Dina Nichols; Marina Taylor

OTHER BUSINESS:

With there being no further business, the WSU Board of Trustees meeting was adjourned

Upon a motion made by Trustee Taylor and seconded by Trustee Fazzone, it was unanimously

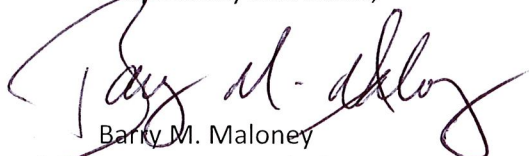
VOTED:

By recorded roll call to adjourn at 9:06 a.m.

ROLL CALL VOTE:

7 approved. Craig Blais; Lisa Colombo (via remote access); Aleta Fazzone; Stephen Madaus; Dina Nichols; Marina Taylor

Respectfully submitted,



Barry M. Maloney
Secretary, Board of Trustees

Worcester State University
Operating Revenue
Budget Forecast 2021 through 2024

	FY2020 Approved Budget	FY 2021 2% Decrease in enrollment	FY 2022 1% Decrease in enrollment	FY 2023 .5% Decrease in enrollment	FY 2024 Enrollment flat
State Sources					
State Maintenance	41,339,070	41,339,070	41,339,070	41,339,070	41,339,070
Total State Sources	41,339,070	41,339,070	41,339,070	41,339,070	41,339,070
Institutional Sources					
General Trust Fund					
Tuition/ In state Undergraduate	4,370,808	4,283,392	4,239,684	4,217,830	4,217,830
Tuition/ Graduate	1,764,882	1,708,605	1,708,605	1,708,605	1,708,605
Tuition/ Out of State Undergraduate	1,314,670	1,288,377	1,275,230	1,268,657	1,268,657
Total Tuition	7,450,360	7,280,373	7,223,519	7,195,091	7,195,091
Waivers/Undergraduate	(177,008)	(173,468)	(171,698)	(170,813)	(170,813)
Waivers/Graduate	(239,207)	(248,839)	(248,839)	(248,839)	(248,839)
Total Tuition Waivers	(416,215)	(422,307)	(420,537)	(419,652)	(419,652)
Net Tuition	7,034,145	6,858,067	6,802,982	6,775,440	6,775,440
Undergraduate Day Division	34,036,000	33,355,280	33,014,920	32,844,740	32,844,740
Undergraduate Eve/Summer Programs	2,608,738	2,556,563	2,530,476	2,517,432	2,517,432
Graduate School	1,389,717	1,328,694	1,328,694	1,328,694	1,328,694
Total Fees	38,034,455	37,240,537	36,874,090	36,690,866	36,690,866
Undergraduate Day Division waivers	(955,813)	(936,697)	(927,139)	(922,360)	(922,360)
Undergraduate Eve/Summer Programs/waivers	(69,014)	(67,634)	(66,944)	(66,599)	(66,599)
Graduate Fee waiver	(144,688)	(160,753)	(160,753)	(160,753)	(160,753)
Total Fees Waivers	(1,169,515)	(1,165,083)	(1,154,835)	(1,149,711)	(1,149,711)
Net Fees	36,864,940	36,075,454	35,719,255	35,541,155	35,541,155
Application Fees	119,700	119,700	119,700	119,700	119,700
Special fees	332,708	332,708	332,708	332,708	332,708
Commencement Fees	3,825	3,825	3,825	3,825	3,825
Transcript Fees	53,250	53,250	53,250	53,250	53,250
Orientation Fees	137,865	137,865	137,865	137,865	137,865
Testing Fees	12,070	12,070	12,070	12,070	12,070
Libr. fines/ copier inc.	835	835	835	835	835
Activity income	50,310	50,310	50,310	50,310	50,310
Commissions	302,568	302,568	302,568	302,568	302,568
Non-Credit Courses incl Restricted	587,372	537,497	537,497	537,497	537,497
Center for Effective Instruction	293,304	268,209	268,209	268,209	268,209
Intensive English Institute	503,609	487,982	487,982	487,982	487,982
Center for Business & Industry	50,000	60,104	60,104	60,104	60,104
Facilities rentals	480,746	480,746	480,746	480,746	480,746
Miscellaneous	188,651	188,651	188,651	188,651	188,651
Other income	3,116,813	3,036,320	3,036,320	3,036,320	3,036,320
Total General Trust Fund Source	47,015,898	45,969,840	45,558,557	45,352,915	45,352,915
General Operating Budget Income	\$ 88,354,968	\$ 87,308,910	\$ 86,897,627	\$ 86,691,985	\$ 86,691,985

Difference/GAP year to year	\$	1,046,058	\$	411,284	\$	205,642	\$	-
student billed FTE chg year to year		(125)		(49)		(25)		
Fee Increase to cover the GAP		\$ 257.33		\$ 101.18		\$ 50.59		\$ -
4128	4,065	4,003	3,954	3,929	3,929			
General Fee	8373	8,630	8,732	8,782	8,782			
All mandatory Fees	9191	9,448	9,550	9,600	9,600			
percent change per year GF		3%	1%	1%	0%			
percent change per year all fees		3%	1%	1%	0%			

** Additional fee for strategic priorities						
	250,000		62	63	64	64
	350,000		87	89	89	89
	400,000		100	101	102	102
	500,000		125	126	127	127
	650,000		162	164	165	165
	700,000		175	177	178	178
	750,000		187	190	191	191
	800,000		200	202	204	204
	900,000		225	228	229	229
	1,000,000		250	253	254	254
Proposed increase for operations		672,504	168			
Total GF % and \$ increase over PY		5%	425			

CHANGE FROM FY 2020				
Scenario #1 6% Decrease in Enrollment	Scenario #2 5.5% Decrease in Enrollment	Scenario #3 5% Decrease in Enrollment	Scenario #4 3.5% Decrease in Enrollment	Scenario #5 2.0% Decrease in Enrollment
41,339,070	41,339,070	41,339,070	41,339,070	41,339,070
41,339,070	41,339,070	41,339,070	41,339,070	41,339,070
4,108,560	4,130,414	4,152,268	4,217,830	4,283,392
1,708,605	1,708,605	1,708,605	1,708,605	1,708,605
1,235,790	1,242,363	1,248,937	1,268,657	1,288,377
7,052,954	7,081,382	7,109,809	7,195,091	7,280,373
(177,008)	(177,008)	(177,008)	(170,813)	(173,468)
(248,839)	(248,839)	(248,839)	(248,839)	(248,839)
(425,847)	(425,847)	(425,847)	(419,652)	(422,307)
6,627,107	6,655,535	6,683,962	6,775,440	6,858,067
31,993,840	32,164,020	32,334,200	32,844,740	33,355,280
2,452,214	2,465,257	2,478,301	2,517,432	2,556,563
1,328,694	1,328,694	1,328,694	1,328,694	1,328,694
35,774,748	35,957,971	36,141,195	36,690,866	37,240,537
(955,813)	(955,813)	(955,813)	(922,360)	(936,697)
(69,014)	(69,014)	(69,014)	(66,599)	(67,634)
(160,753)	(160,753)	(160,753)	(160,753)	(160,753)
(1,185,580)	(1,185,580)	(1,185,580)	(1,149,711)	(1,165,083)
34,589,168	34,772,391	34,955,615	35,541,155	36,075,454
119,700	119,700	119,700	119,700	119,700
332,708	332,708	332,708	332,708	332,708
3,825	3,825	3,825	3,825	3,825
53,250	53,250	53,250	53,250	53,250
137,865	137,865	137,865	137,865	137,865
12,070	12,070	12,070	12,070	12,070
835	835	835	835	835
50,310	50,310	50,310	50,310	50,310
302,568	302,568	302,568	302,568	302,568
537,497	537,497	537,497	537,497	537,497
268,209	268,209	268,209	268,209	268,209
487,982	487,982	487,982	487,982	487,982
60,104	60,104	60,104	60,104	60,104
480,746	480,746	480,746	480,746	480,746
188,651	188,651	188,651	188,651	188,651
3,036,320	3,036,320	3,036,320	3,036,320	3,036,320
44,252,595	44,464,246	44,675,897	45,352,915	45,969,840
\$ 85,591,665	\$ 85,803,316	\$ 86,014,967	\$ 86,691,985	\$ 87,308,910

\$ 2,763,303	\$ 2,551,652	\$ 2,340,001	\$ 1,662,983	\$ 1,046,058
679.78	627.71	575.65	409.10	257.33
8.12%	7.50%	6.88%	4.89%	3.07%
7.40%	6.83%	6.26%	4.45%	2.80%

WORCESTER STATE UNIVERSITY
(AN AGENCY OF THE COMMONWEALTH OF
MASSACHUSETTS)
FINANCIAL STATEMENTS
AND MANAGEMENT'S DISCUSSION AND ANALYSIS
WITH SUPPLEMENTARY INFORMATION AND
OTHER REPORTS
YEARS ENDED JUNE 30, 2019 AND 2018
AND
INDEPENDENT AUDITOR'S REPORT

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

FINANCIAL STATEMENTS
AND MANAGEMENT'S DISCUSSION AND ANALYSIS
WITH SUPPLEMENTARY INFORMATION AND OTHER REPORTS

YEARS ENDED JUNE 30, 2019 AND 2018

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INDEPENDENT AUDITOR'S REPORT

To the Board of Trustees
Worcester State University
Worcester, Massachusetts

Report on the Financial Statements

We have audited the accompanying financial statements of Worcester State University (an agency of the Commonwealth of Massachusetts) (the "University") and the financial statements of Worcester State Foundation, Inc., its discretely presented component unit, as of and for the years ended June 30, 2019 and 2018 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 audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits 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 entity'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 entity'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.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Worcester State University and Worcester State Foundation, Inc., its discretely presented component unit, as of June 30, 2019 and 2018, and the respective changes in its financial position, and its cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

Emphasis of Matter

As discussed in Note 2 to the financial statements, the 2018 financial statements have been restated to correct a misstatement related to the University's adoption of GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other than Pensions*. Our opinion is not modified with respect to this matter.

INDEPENDENT AUDITOR'S REPORT
(Continued)

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 3 through 12 be presented to supplement the basic financial statements. Such information, although not a 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. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which 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.

Other Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying Schedule of Expenditures of Federal Awards, as required by Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated _____, 2020, on our consideration of Worcester State 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 Worcester State 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 Worcester State University's internal control over financial reporting and compliance.

Worcester, Massachusetts
_____, 2020

MANAGEMENT'S DISCUSSION AND ANALYSIS
(UNAUDITED)

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS

As management of Worcester State University, we offer readers of Worcester State University's financial statements this narrative overview and analysis of the financial activities of Worcester State University for the fiscal year ended June 30, 2019. This discussion is provided by management and should be read in conjunction with the financial statements and notes thereto.

Worcester State University was founded in 1871, and is one of nine comprehensive public colleges/universities in the Commonwealth of Massachusetts. The University affirms the principles of liberal learning as the foundation for all advanced programs of study and offers programs in the traditional liberal arts and science disciplines, while maintaining its historical focus on teacher education. The University offers 59 undergraduate majors and minors, 29 graduate programs, 82 study abroad programs, and a student-to-faculty ratio of 17:1. The University currently has 5,380 full and part-time undergraduate students and 837 full and part-time graduate and professional students.

Financial Highlights

- The assets of Worcester State University exceeded its liabilities at the close of the most recent fiscal year by \$62,698,382, inclusive of year end accruals related to the Commonwealth of Massachusetts Pension and Other Postemployment Benefits (OPEB) (net position) of \$56,685,255.
- The University's total net position increased by \$89,625. Pension and insurance expense increased by \$3,693,137 as a result of recording University's portion of the Commonwealth's postretirement obligations. Overall the revenues earned, when combined with non-operating revenues, exceeded operating expenses excluding depreciation expense (non-cash item) and the additional pension accrual to reflect the University's portion of the Commonwealth's liability.
- The Commonwealth of Massachusetts adjusted its estimate for the OPEB accrual after the publication of our June 30, 2018 audited financial statements. As a result the June 30, 2019 Statement of Changes in Net Position beginning balance as of July 1, 2018, had been restated to reflect the accrual adjustment. The prior period adjustment increases University Net Position at the beginning of the fiscal year by \$5,152,655.
- The University's Net Position as June 30, 2019 was \$62,698,382. Unrestricted Net Position from Operations as of June 30, 2019 was \$40,687,978. The healthy operational reserves is offset by the University's allocation of the Commonwealth's accumulated Net Retirement Obligations of \$20,564,468 related to Pensions and \$36,120,787 related to OPEB, resulting in Net Unrestricted Reserves of (\$15,997,277).
- Auxiliary Services, specifically Residence Life and Housing, closed the year with an operating surplus of \$381,403 for the year ended June 30, 2019. For the second consecutive year this trust fund closed the year in a favorable position, despite occupancy being below 100%, as the result of strict budget oversight that included budget adjustments to reduce spending as a result of a mid- year review

Overview of the Financial Statements

This discussion and analysis is intended to serve as an introduction to Worcester State University's basic financial statements. Worcester State University's basic financial statements comprise two components: 1) the financial statements and 2) the notes to the financial statements. This report also contains other supplementary information in addition to the basic financial statements themselves.

The Financial Statements are designed to provide readers with a broad overview of Worcester State University's finances in a manner similar to a private sector college.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

The Statement of Net Position presents information on all of the University's assets and liabilities, with the difference between the two reported as net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of the University is improving or deteriorating.

The Statement of Revenues, Expenses and Changes in Net Position present information showing how the University's net position changed during the most recent fiscal year. All changes in net position are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of related cash flows. Thus, revenues and expenses are reported in this statement for some items that will only result in cash flows in future fiscal periods (e.g. the accrual for compensated absences.)

The Statement of Cash Flows is reported on the direct method. The direct method of cash flow reporting portrays net cash flows from operations as major classes of operating receipts (e.g. tuition and fees) and disbursements (e.g. cash paid to employees for services.) The Government Accounting Standards Board (GASB) Statements 34 and 35 require this method to be used.

The financial statements and related footnotes are presented separately from this Management Discussion and Analysis.

The University reports its activity as a business-type activity using the full accrual measurement focus and basis of accounting. The University is a component unit of the Commonwealth of Massachusetts. Therefore, the results of the University's operations, its net position and cash flows are also summarized in the Commonwealth's Comprehensive Annual Financial Report in its government-wide financial statements.

Notes to the financial statements: The notes provide additional information that is essential to a full understanding of the data provided in the financial statements and are presented separately.

Other information: In addition to the financial statements and accompanying notes, this report also contains certain required supplementary information concerning Worcester State University.

Financial Analysis

As noted earlier, net position may serve over time as a useful indication of Worcester State University's financial position. In the case of Worcester State University, assets exceeded liabilities by \$62,698,382 at the close of Fiscal Year 2019.

By far the largest portion of the Worcester State University's net position reflects its investment in capital assets (e.g. land, buildings, machinery, and equipment), less any related debt, including capital leases, used to acquire those assets that are still outstanding. Worcester State University uses these capital assets to provide services to students, faculty and administration; consequently, these assets are not available for future spending. Worcester State University's investment in its capital assets is reported net of related debt.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

**Worcester State University's Net Position as of
June 30, 2019, with comparative data as of June 30, 2018**

	2019	2018
Current and other assets	\$ 63,619,523	\$ 53,513,360
Capital assets	100,696,221	102,366,458
Total assets	164,315,744	155,879,818
Deferred outflows of resources	18,134,838	11,186,473
Non-current outstanding liabilities	82,728,381	79,488,069
Other liabilities	18,415,410	12,953,007
Total liabilities	101,143,791	92,441,076
Deferred inflows of resources	18,608,419	12,016,458
Net position		
Invested in capital assets, net of related debt	78,092,336	79,046,212
Restricted	603,323	221,020
Unrestricted	(15,997,277)	(16,658,475)
Total net position	\$ 62,698,382	\$ 62,608,757

The following schedule presents an analysis of Worcester State University's net position as of June 30, 2019 and 2018, respectively:

	2019	2018
Invested in capital assets, net	\$ 78,092,336	\$ 79,046,212
Restricted reserves, expendable for:		
Other	467,961	90,205
Capital projects	135,362	130,815
Total restricted reserves, expendable	603,323	221,020
Unrestricted net position		
Accumulated Commonwealth of Massachusetts retirement obligations - Pension	(20,564,468)	(18,014,320)
Accumulated Commonwealth of Massachusetts retirement obligations - OPEB	(36,120,787)	(35,037,942)
Unrestricted reserves from operations	40,687,978	36,393,787
Total net unrestricted reserves	(15,997,277)	(16,658,475)
Total net position	\$ 62,698,382	\$ 62,608,757

WORCESTER STATE UNIVERSITY
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MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

A portion of the Worcester State University's net position (less than 1.0 percent) as of June 30, 2019, represent funds that are subject to external restrictions on how they must be used. Unrestricted net reserves from operations of \$40,687,978 at June 30, 2019 may be used to meet the University's ongoing obligations to its stakeholders. The University's net position increased by \$89,625 during the year ended June 30, 2019. At the end of the current fiscal year, Worcester State University reports a positive balance in restricted reserves, a positive balance in unrestricted reserves from operations and accumulated net negative obligations for the allocated share of the Commonwealth of MA pension and OPEB plans.

The University's primary reserve ratio, calculated as expendable net position divided by total expenses, is 36.67% and 34.61%, respectively, for the years ended June 30, 2019 and June 30, 2018. This ratio provides a snapshot of financial strength and flexibility by indicating the percent of operating expenses that could be funded by expendable reserves without relying on additional net position generated by operations.

The implementation of Government Accounting Standard Board (GASB) Statement No. 75, Accounting and Financial Reporting for Postemployment benefits Other Than Pensions (OPEB), for the fiscal year ended June 30, 2018 requires the posting of a prior period adjustment as of July 1, 2017 to record the University's allocation of the Commonwealth's Net OPEB Liability. The prior period adjustment reduces University net position at the beginning of the fiscal year by \$32,243,936. In addition, implementation of GASB 68 and GASB 75 required the annual accrual of the University's allocation of the Commonwealth's Net Pension and OPEB Liability. The additional accrual of pension and insurance expense of \$3,693,137 in FY 2019 and \$2,907,012 in FY 2018 was recorded to reflect the University's allocation of the Commonwealth's accrued obligation of Pension and OPEB liabilities.

The application of GASB 68 and GASB 75 requires certain reporting and disclosures with regard to the Massachusetts State Employees' Retirement System (MSERS). The authority for establishing and amending these provisions rests with the Massachusetts Legislature, Chapter 32A of the General Laws of the Commonwealth of Massachusetts. The allocation provided to the University from the Commonwealth of Massachusetts Comptroller's Office reflects the University's proportionate share of the net pension liability related to its participation in MSERS. The University's participation in MSERS is directly related to the share of annual payroll costs funded from campus-based trust funds in contrast to payroll expended from annual operating appropriations allocated to the University from Commonwealth resources. In FY 2019, payroll funded from campus-based trust funds was \$12,922,066 and total payroll costs for FY 2019 were \$40,065,816.

The University's return on net position ratio, calculated as the change in total net position divided by total net position – beginning of the year, is 0.14% and (7.97)%, respectively, for the years ended June 30, 2019 and June 30, 2018. This ratio measures total economic return including capital investment and positive operating results. An improving trend indicates increasing net position which provide for increased financial flexibility.

Return on net position ratio was high as we completed construction of the Wellness Center. The decline in FY 2017 and FY 2018 is the result of the GASB required postretirement benefit accruals to reflect the campus share of the Commonwealth's liability related to the third-party management of the retirement assets. In FY 2019 the University closed the year with a slight increase in net position despite the magnitude of the accrual adjustment related to the post retirement benefit plans. We had positive operating results in FY 2019, including the receipt of collective bargaining funds that had not been anticipated and positive return on investment assets.

The net operating revenue ratio is 0.08% and (4.95)%, respectively, for the years ended June 30, 2019, and June 30, 2018. The ratio measures whether an institution is living within its available resources. Worcester State University strives to achieve an annual operating surplus as measured by this ratio as part of its long-term plan to improve its primary reserve and viability ratios and maintain a healthy annual return on net position.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

In FY 2019 the University experienced a net operating surplus of \$89,625, inclusive of the net posting of year end accruals related to the Commonwealth of Massachusetts Pension and Other Postemployment Benefits (OPEB) (net position) of \$3,693,137. Operating results, exclusive of the retirement and OPEB accruals and posting of annual depreciation, met annual budget expectations including a planned transfer of over \$3 million to reserves and a contribution to the Strategic Plan Trust Fund.

Net capital assets decreased by \$1,670,237 in FY 2019, while depreciation expense on capital assets was \$5,448,274, building improvements of \$2,940,085 were capitalized, and leases of \$832,285 were capitalized.

The University's viability ratio, calculated as expendable net position divided by long term debt, is 1 : 1.88 and 1 : 1.55 respectively, as of June 30, 2019 and June 30, 2018. The viability ratio measures the availability of expendable net position to cover debt as of the statement of net position date. A ratio of 1:1 or greater indicates an institution has sufficient expendable net position to satisfy its debt obligations as of the statement of net position date.

The University's results from operations for the year ended June 30, 2019 were in line with the approved budget for the year. The annual operating budget excludes accruals for depreciation expense and the allocation of Commonwealth of Massachusetts liabilities for pension and postemployment benefits other than pensions (OPEB), which significantly impact the presentation of the University's operating results. As anticipated through the budget process the University ended the year with a planned operating surplus in the Capital Improvement Trust Fund and planned transfers of operating surplus in the General Purpose Trust Fund to the Strategic Plan Trust Fund and an additional contribution to the Capital Improvement Trust Fund. The results are also consistent with the University's five year capital financing plan which focuses on growth of unrestricted reserves from operations through net revenue accumulation in the Capital Improvement Trust Fund and a targeted annual operating surplus in the General Purpose Trust Fund. While Net Unrestricted Reserves and Total Net Position are significantly impacted by depreciation expense and the required allocation of retirement plan accruals to the University, we are progressing toward University goals with regard to the growth of unrestricted cash within the campus based trust funds.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

Worcester State University's Statement of Revenues, Expenses and Changes in Net Position for the year ended June 30, 2019 with comparative data for the year ended June 30, 2018.

	2019	2018
Operating Revenues		
Tuition and fees, net of scholarships discounts and allowances	\$ 52,375,323	\$ 50,357,398
Operating grants and contributions	14,232,338	13,902,376
Sales and services of auxiliary enterprises and other sources	854,299	796,446
Total operating revenues	67,461,960	65,056,220
Operating Expenses		
Instruction	42,272,512	38,782,984
Academic support	6,349,744	7,376,332
Student service	11,685,388	11,098,900
Institutional support	13,662,914	13,736,523
Operations and maintenance of plant	17,493,866	13,958,602
Scholarships	2,089,119	2,634,749
Depreciation	5,448,274	5,655,439
Debt service	672,047	695,557
Auxiliary enterprises	12,954,983	11,839,524
Total operating expense	112,628,847	105,778,610
Net operating loss	(45,166,887)	(40,722,390)
Non-operating revenues (expenses)		
State appropriation, including fringe benefits provided to employees by the Commonwealth, net of tuition remitted to the Commonwealth	39,400,435	35,415,371
Investment income (loss)	1,188,164	(77,486)
Other and transfers	-	38,429
Total non-operating revenues	40,588,599	35,376,314
Loss before other revenues, expenses, gains or losses	(4,578,288)	(5,346,076)
Capital appropriations	4,667,913	352,719
Change in net position	89,625	(4,993,357)
Net position - July 1	62,608,757	99,846,050
Adoption of accounting principle	-	(32,243,936)
Net position - June 30	\$ 62,698,382	\$ 62,608,757

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

State appropriations for operations, including fringe benefits and net of tuition remission, were up in FY 2019 compared to FY 2018. The increase in state appropriations of \$3,985,064 is attributable to the release of collective bargaining funds to provide partial funding of AFSCME, APA and MSCA retroactive pay increases back to July 1, 2017. It is important to note that this was one time funding for the retroactive amount due but does not provide funding in a prospective manner to address the increase in base salaries of the unit members.

In FY 2019 the University received its first year of funding with regard to the Commonwealth's five year campus infrastructure critical repair funds in the form of state capital appropriations. During FY 2019 over \$8 million of critical repair and deferred maintenance projects were accomplished of which approximately \$3 million worth of improvements were capitalized.

State appropriations are reported net of the amount of in-state day school tuition collected by the University on behalf of the Commonwealth. The in-state day tuition collected is remitted back to the Commonwealth as dictated by Massachusetts General Law. Included in State appropriations are the fringe benefit costs for University employees paid by the Commonwealth. Capital appropriations are funded by Massachusetts General Obligation Bonds which are issued to fund Commonwealth infrastructure improvements. The funds are provided to the campus in the form of a capital grant and as such the University is not responsible for repayment of the funds.

The following schedule details the Commonwealth appropriations received by the University for the years ending June 30, 2019 and June 30, 2018, respectively.

	<u>2019</u>	<u>2018</u>
State Appropriations	\$ 29,684,752	\$ 26,633,223
Appropriations to cover fringe benefits provided to employees of the Commonwealth	10,096,880	9,264,371
Tuition remitted back to the State	<u>(381,197)</u>	<u>(482,223)</u>
Net appropriations	39,400,435	35,415,371
Additional State capital appropriations	<u>4,667,913</u>	<u>352,719</u>
Total Appropriations	<u><u>\$ 44,068,348</u></u>	<u><u>\$ 35,768,090</u></u>

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

Loss from Operations

State appropriations are a significant source of funding for the University. Under GASB 35, appropriations are considered non-operating revenue. As such, the University incurs a loss from operations. The Commonwealth's Board of Higher Education sets tuition for the day division. The University's Board of Trustees sets all fees and tuition of the Division of Graduate and Continuing Education. The University's Board of Trustees approves the annual budget with the intention of mitigating losses after consideration of Commonwealth appropriations while balancing educational and operational needs. The following schedule presents Worcester State University's incurred losses from operations for the fiscal years ended June 30, 2018 and 2017, respectively.

	2019	2018	Change
Net Tuition and Fee Revenue	\$ 52,375,323	\$ 50,357,398	\$ 2,017,925
Other Revenue, net of Student Financial Aid	15,086,637	14,698,822	387,815
Operational Expenses	<u>(112,628,847)</u>	<u>(105,778,610)</u>	<u>(6,850,237)</u>
Operating loss	(45,166,887)	(40,722,390)	(4,444,497)
Direct State appropriations, fringe benefits for employees on the Commonwealth's payroll, net of remitted tuition to the Commonwealth	39,400,435	35,415,371	3,985,064
Investment and non-operating income	1,188,164	(39,057)	1,227,221
Capital appropriations	<u>4,667,913</u>	<u>352,719</u>	<u>4,315,194</u>
Change in net position	<u><u>\$ 89,625</u></u>	<u><u>\$ (4,993,357)</u></u>	<u><u>\$ 5,082,982</u></u>

Capital Assets and Debts of the University

Capital Assets: Worcester State University's investment in capital assets as of June 30, 2019 amounts to \$100,696,221 net of accumulated depreciation, compared to \$102,366,458 net of accumulated depreciation as of June 30, 2018. The University's investment in capital assets includes, land (including improvements), building (including improvements,) furnishings and equipment, and books. In FY 2019 gross capital assets increased by \$3,778,037. The increase was related roadway improvements, track and field replacement and capitalized leases for information technology equipment.

Capital assets are defined by the University and the Commonwealth of Massachusetts as assets with an initial, individual cost of \$50,000 or greater. Information about the Worcester State University's capital assets can be found in the notes to the financial statements.

Long-Term Debt

Compensated Absences

The accrual for compensated absences consists of the long-term portion of sick and vacation pay relating to employees on the University's payroll and is anticipated to be funded by future state appropriations.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

MHEFA Financing

On December 4, 2002, the College entered in to a financing agreement with MHEFA to receive \$14,000,000 for renovations to the Sullivan and Administration Buildings. A call provision became available on this bond issue in December 2012. As a result the issue was refunded on December 18, 2012, with \$10,585,000 MDFA Revenue Bonds, Worcester State University Series 2012. There is no debt service reserve related to this issue. Annual principal payments range from \$255,000 to \$325,000 through November of 2032. Annual principal payments range from \$665,000 to \$875,000 through November of 2032.

Massachusetts Development Financing Agency (MDFA) Clean Renewable Energy Bond.

On November 9, 2007, the College entered into a financing agreement with MDFA to receive \$310,000 to facilitate the financing of the installation of a 100 KW Photovoltaic Panel, mounting system and inverter on the roof of the Learning Resource Center. The bond proceeds are non-interest bearing and are to be re-paid in equal annual installments of \$20,667 over a fifteen year period beginning December 31, 2007.

Massachusetts State College Building Authority (MSCBA) WSU Student Life Project

MSCBA issued revenue bonds for various projects on December 20, 2012. Included in the issue was a component to provide \$15,000,000 of debt financing to Worcester State University's Wellness Center in accordance with the Memorandum of Agreement between, the Commonwealth, MSCBA and the University. The proceeds from the bond issue, combined with funds earmarked by the University and General Obligation bond funds earmarked by the Commonwealth, provide the resources for construction of a new Wellness Center at WSU. The Wellness Center will be an asset of the Commonwealth and will be recorded as a fixed asset on the University's financial records. The MSCBA holds Debt Service Reserve funds of \$249,214 on this component of the issue. Annual principal payments ranging from \$135,000 to \$787,950 are scheduled through May, 2042. Campus trust funds provide the revenue source for the annual debt service.

Economic Factors that will affect the Future

In June of 2018 the Commonwealth announced a plan to address the backlog of infrastructure repairs on Massachusetts Higher Education campuses. The Governor's Capital Investment Plan includes \$250M over a five year period (FY19-23) to address Critical Repairs. Critical Repair projects are smaller scale, building-specific, and involve renewal, repair and replacement of equipment and systems. Critical Repair projects are managed directly by the individual campuses. The five-year allocation represents a new approach that provides predictable discretionary funds, allows more autonomy in campus prioritization over five years, and addresses the highest priority needs as identified through an independent facility condition assessments. Worcester State University will be receiving \$12.4M of critical repair funds through 2023. When combined with projected local funding of 5% capital adaptation and renewal funds, the University is on track to invest \$32.4 million in campus infrastructure repairs and improvements through 2023.

During fiscal year 2019 Worcester State University expended approximately \$8 million on critical repair projects. The majority of projects were accomplished from mid-May through mid-August during the break from traditional semester terms. Projects accomplished during this period included athletic field turf and track replacement, paving and repairs to campus parking lots and roadways, mechanical system upgrades in the Ghosh Science Building, relocation of electrical utilities, installation of security cameras, in addition to numerous other repair and renewal projects. Studies included the completion of the parking garage planning study, IT Classroom Master Plan, and May Street preliminary design. The extent of work accomplished during the short window of time over the past summer is double the approximate budget for annual capital adaptation and repairs spending during a traditional year.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

MANAGEMENT'S DISCUSSION AND ANALYSIS
(Continued)

The administration began the FY 2020 budget cycle in October 2018 with a recommendation to the Board of Trustees to freeze the General Fee at the FY 2019 rate. Through the spring of 2019 operating expenditures were reconciled, subgroups of the Cabinet were convened to evaluate various cost containment and budget alignment strategies and requests for funding that align with the universities priorities were gathered across divisions. Throughout the fiscal year supplemental funds had been received from the Commonwealth to alleviate the pressures of collective bargaining costs. The administration strategically aligned those resources, through various budget amendments, with the intent of optimizing their use to address the broader strategic priorities of the University

The FY 2020 budget includes a carry forward of FY 2019 Amendment #1 which funded a contribution to the Capital Improvement Trust Fund of \$1,210,431. This was approved as a one-time investment in FY 2019. The FY 2020 budget reflects this contribution becoming an annual investment to the Capital Improvement Trust Fund. This annual investment supports the Strategic Plan 2015-2020 strategy under goal number five to “implement the campus master plan based on evolving strategic priorities and consistent with principles of green building and environmental sustainability” and will provide much needed resources for future capital investment.

FY 2019 Amendment #2 provided one-time resources of \$562,582 to fund the dormant Strategic Plan Trust Fund (SPTF). The FY 2020 Budget includes the Strategic Plan Trust Fund referencing the available resources. University leadership intends to evaluate how best to administer the funds as we close out The Strategic Plan 2015-2020 and look towards developing a new plan. Initially, a budget has been approved to fund the strategic planning process that has begun in FY 2020. As the new strategic plan is formed a revised trust fund guideline will be prepared and brought to the board for approval.

In April 2019 the University received an additional \$225,195 to cover collective bargaining costs related to the APA and AFSCME agreements. The timing of the receipt of the funds made it impractical to include the costs in the FY 2019 budget. FY 2019 Amendment #3 provided for the funds to fall to surplus as FY 2019 fiscal year was closed. The FY 2020 budget includes a one-time appropriation of the \$225,195 from the unrestricted reserve balance at July 1, 2019 to address divisional priorities in FY 2020.

The budget also reflects anticipated formula funding of \$261,795 that will provide an increase to base funding on an ongoing basis. This resource has also been set aside in the FY 2020 budget to address prioritized initiatives. There are a multitude of initiatives in process, some of which are in study and others for which we are entering the initial implementation phase. Initiatives in process include implementing recommendations in the areas of strategic positioning and enrollment, the master plan study of classroom technology and furnishings, an assessment of information technology infrastructure and resources, and implementation of online degree programs, in addition to a significant list of additional competing requests for funds to address strategic priorities and sustain existing University operations.

Fortunately, the University received additional state resources in FY 2019 to provide for financial flexibility and an opportunity to invest in strategic initiatives. The investment of these resources is intended to assist the University in navigating through the current higher education landscape that has become increasingly more competitive to attract, enroll and retain students due to a shrinking pool of prospective students.

Requests for Information

This financial report is designed to provide a general overview of the Worcester State University's finances for all those with an interest in the University's finances. Questions concerning any of the information provided in this report or requests for additional financial information should be addressed to the Office of the Vice President of Administration and Finance, 486 Chandler Street, Worcester, MA 01602-2597.

DISCUSSION DRAFT 2/24/20

FINANCIAL STATEMENTS

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

STATEMENTS OF NET POSITION

JUNE 30, 2019 AND 2018

	Worcester State University		Component Unit Worcester State Foundation	
	2019	2018	2019	2018
ASSETS				
Current assets:				
Cash and cash equivalents	\$ 23,315,422	\$ 18,222,388	\$ 1,891,264	\$ 1,464,949
Cash held by State Treasurer	9,138,015	5,354,491	-	-
Cash held by Foundation	39,004	82,004	-	-
Accounts receivable, net	1,891,119	1,234,089	10,114	2,036
Current portion of loans receivable	154,327	196,129	-	-
Current portion of contributions receivable	-	-	447,801	422,410
Inventories	50,885	35,465	88,783	70,540
Prepaid expenses and other current assets	219,902	207,136	18,023	17,017
Total current assets	<u>34,808,674</u>	<u>25,331,702</u>	<u>2,455,985</u>	<u>1,976,952</u>
Non-current assets:				
Investments	20,846,622	19,868,723	28,457,872	27,418,177
Deposits held with trustee	249,214	249,214	-	-
Loans receivable, less current portion	371,364	489,262	-	-
Contributions receivable, less current portion	-	-	999,122	965,109
Other non-current assets	7,343,649	7,574,459	348,764	348,747
Capital assets, net of accumulated depreciation	100,696,221	102,366,458	4,243,322	4,259,184
Total non-current assets	<u>129,507,070</u>	<u>130,548,116</u>	<u>34,049,080</u>	<u>32,991,217</u>
Total assets	<u>164,315,744</u>	<u>155,879,818</u>	<u>36,505,065</u>	<u>34,968,169</u>
DEFERRED OUTFLOWS OF RESOURCES				
Resources related to pension and OPEB obligations	18,052,985	11,098,763	-	-
Loss on refunding of long-term debt	81,863	87,710	-	-
Total deferred outflows of resources	<u>18,134,848</u>	<u>11,186,473</u>	<u>-</u>	<u>-</u>
LIABILITIES				
Current liabilities:				
Current portion of bonds payable	705,667	680,667	2,218,199	17,504
Current portion of capital lease obligation	275,694	115,923	-	-
Accounts payable	6,311,410	1,448,856	104,192	93,647
Accrued payroll and fringe benefits	5,745,610	4,989,805	-	-
Accrued interest and other liabilities	451,709	674,976	43,866	39,001
Funds held for others	-	-	61,696	108,446
Student deposits and unearned revenue	1,233,698	1,313,189	77,448	82,369
Current portion of split-interest agreements	-	-	37,454	49,536
Current portion of accrued workers' compensation	226,897	256,260	-	-
Current portion of accrued compensated absences	3,464,725	3,473,331	-	-
Total current liabilities	<u>18,415,410</u>	<u>12,953,007</u>	<u>2,542,855</u>	<u>390,503</u>
Non-current liabilities:				
Bonds payable, less current portion	21,991,774	22,733,135	491,335	2,709,528
Capital lease obligation, less current portion	296,515	40,211	-	-
Split-interest agreements, less current portion	-	-	-	32,518
Accrued workers' compensation, less current portion	718,032	734,091	-	-
Accrued compensated absences, less current portion	2,256,195	2,150,057	-	-
Accrued pension and OPEB obligations	56,685,255	53,052,262	-	-
Refundable grant - federal financial assistance program	780,610	778,313	-	-
Total liabilities	<u>101,143,791</u>	<u>92,441,076</u>	<u>3,034,190</u>	<u>3,132,549</u>
DEFERRED INFLOWS OF RESOURCES				
Resources related to pension and OPEB obligations	13,729,296	6,714,930	-	-
Deferred service concession arrangements	4,879,123	5,301,528	-	-
Total deferred inflows of resources	<u>18,608,419</u>	<u>12,016,458</u>	<u>-</u>	<u>-</u>
NET POSITION				
Invested in capital assets, net	78,092,336	79,046,212	-	-
Restricted - Non-expendable	-	-	17,963,764	17,560,594
Restricted - Expendable	603,323	221,020	11,363,690	10,054,915
Unrestricted	(15,997,277)	(16,658,475)	4,143,421	4,220,111
Total net position	<u>\$ 62,698,382</u>	<u>\$ 62,608,757</u>	<u>\$ 33,470,875</u>	<u>\$ 31,835,620</u>

See accompanying independent auditor's report and notes to financial statements.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET POSITION

YEARS ENDED JUNE 30, 2019 AND 2018

	Worcester State University		Component Unit Worcester State Foundation	
	2019	2018	2019	2018
REVENUES				
Operating Revenues:				
Student tuition and fees	\$ 49,364,735	\$ 47,455,790	\$ 445,311	\$ 408,874
Auxiliary enterprises, student housing	12,437,212	12,163,982	-	-
Less: Scholarship discounts and allowance	9,426,624	9,262,374	-	-
Net student tuition and fees	52,375,323	50,357,398	445,311	408,874
Contributions	-	-	2,471,477	2,402,945
Federal grants and contracts	8,341,655	8,133,879	-	-
State and local grants and contracts	1,575,071	1,340,704	-	-
Nongovernmental grants and contracts	2,846,919	3,162,615	-	-
Auxiliary enterprises, other	854,299	796,446	230,933	227,550
Other operating revenues	1,468,693	1,265,178	208,381	251,925
Total operating revenues	67,461,960	65,056,220	3,356,102	3,291,294
EXPENSES				
Operating expenses:				
Instruction	42,272,512	38,782,984	-	-
Academic support	6,349,745	7,376,332	-	-
Student services	11,685,388	11,098,900	-	-
Institutional support	13,662,913	13,736,523	1,318,083	1,267,637
Operation and maintenance of plant	17,493,866	13,958,602	79,232	137,071
Scholarship	2,089,119	2,634,749	496,695	520,698
Depreciation	5,448,274	5,655,439	198,110	207,873
Debt service	672,047	695,557	104,011	98,453
Auxiliary enterprises	12,954,983	11,839,524	-	-
Total operating expenses	112,628,847	105,778,610	2,196,131	2,231,732
Operating loss	(45,166,887)	(40,722,390)	1,159,971	1,059,562
NON-OPERATING REVENUES (EXPENSES)				
State appropriations	39,400,435	35,415,371	-	-
Interest and investment income (loss)	1,188,164	(77,486)	1,040,264	1,928,480
Other payments to Worcester State University	-	-	(1,047,815)	(982,032)
Other non-operating revenues	-	38,429	-	-
Net non-operating revenues	40,588,599	35,376,314	(7,551)	946,448
Income (loss) before other revenues, expenses, gains, or losses	(4,578,288)	(5,346,076)	1,152,420	2,006,010
Capital appropriations	4,667,913	352,719	-	-
Additions to permanent endowments	-	-	482,835	3,253,896
Change in net position	89,625	(4,993,357)	1,635,255	5,259,906
NET POSITION				
Beginning of year	62,608,757	99,846,050	31,835,620	26,575,714
Adoption of accounting principle	-	(32,243,936)	-	-
End of year	\$ 62,698,382	\$ 62,608,757	\$ 33,470,875	\$ 31,835,620

See accompanying independent auditor's report and notes to financial statements.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

STATEMENTS OF CASH FLOWS

YEARS ENDED JUNE 30, 2019 AND 2018

	Primary Government	
	2019	2018
Cash flows from operating activities:		
Student tuition, fees and charges	\$ 50,053,195	\$ 47,617,572
Federal grants and contracts	8,341,655	8,133,879
State and local grants and contracts	1,575,071	1,340,704
Nongovernmental grants and contracts	2,846,919	3,162,615
Auxiliary enterprise charges	854,299	796,446
Employee compensation and fringe benefit payments	(65,014,034)	(61,594,717)
Payments to suppliers	(30,549,843)	(32,245,818)
Interest paid	(895,314)	(142,778)
Loans repaid by students	159,700	160,121
Other receipts	512,307	884,756
Net cash used in operating activities	<u>(32,116,045)</u>	<u>(31,887,220)</u>
Cash flows from noncapital financing activities:		
State appropriations	39,400,435	35,415,371
Net deposits	30,469	(3,545)
Net cash provided by noncapital financing activities	<u>39,430,904</u>	<u>35,411,826</u>
Cash flows from capital and related financing activities:		
Capital appropriations	4,667,913	352,719
Purchases of capital assets	(3,010,839)	(474,363)
Principal payments of bonds payable	(716,362)	(696,362)
Principal payments of capital lease obligation	(351,123)	(433,497)
Decrease in deferred loss on refunding of bonds payable	5,847	5,847
Perkins loan program, net funds paid	2,297	(211,532)
Other activities	-	38,429
Net cash provided by (used in) capital and related financing activities	<u>597,733</u>	<u>(1,418,759)</u>
Cash flows from investing activities:		
Proceeds from sales and maturities of investments	5,255,542	2,679,387
Purchases of investments	(5,527,277)	(3,023,347)
Interest and investment income	1,192,701	434,256
Net cash provided by investing activities	<u>920,966</u>	<u>90,296</u>
Net increase in cash and cash equivalents	8,833,558	2,196,143
Cash and cash equivalents, beginning of year	<u>23,658,883</u>	<u>21,462,740</u>
Cash and cash equivalents, end of year	<u>\$ 32,492,441</u>	<u>\$ 23,658,883</u>

See accompanying independent auditor's report and notes to financial statements.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

STATEMENTS OF CASH FLOWS

YEARS ENDED JUNE 30, 2019 AND 2018
(Continued)

	Primary Government	
	2019	2018
Reconciliation of operating loss to net cash used in operating activities:		
Operating loss	\$ (45,166,887)	\$ (40,722,390)
Adjustments to reconcile operating loss to net cash used in operating activities:		
Depreciation expense	5,448,274	5,655,439
Amortization of other assets	230,810	235,810
Accretion of deferred service concession arrangements	(422,405)	(411,774)
(Increase) decrease in operating assets and deferred outflows:		
Accounts receivable, net	(657,030)	(59,545)
Loans receivable	159,700	160,121
Inventories	(15,420)	(872)
Prepaid expenses and other assets	(8,230)	(16,996)
Resources related to pension and OPEB obligations	2,977,902	2,907,012
Increase (decrease) in operating liabilities and deferred inflows:		
Accounts payable	4,862,554	(393,891)
Accrued payroll and fringe benefits	755,805	720,760
Accrued interest and other liabilities	(223,267)	552,779
Accrued workers' compensation	(45,422)	200,418
Student deposits and unearned revenue	(109,961)	(537,016)
Accrued compensated absences	97,532	(177,075)
Net cash used in operating activities	<u>\$ (32,116,045)</u>	<u>\$ (31,887,220)</u>

See accompanying independent auditor's report and notes to financial statements.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO FINANCIAL STATEMENTS

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization

Worcester State University (the "University") is a public, state-supported University, located in Worcester, Massachusetts. The University is governed by a local Board of Trustees under the discretion of the Massachusetts Department of Higher Education. As one of nine four-year, state-supported colleges and universities, the University is empowered to award baccalaureate and masters' degrees in education and in the arts and sciences, as well as programs of continuing education.

The University is an agency of the Commonwealth of Massachusetts (the "State", the "Commonwealth"). Accordingly, the accompanying financial statements may not necessarily be indicative of the conditions that would have existed if the University had been operated as an independent institution.

Component units

Worcester State Foundation, Inc. (the "Foundation") is a legally separate, tax exempt component unit of the University. The Foundation's primary role is to prudently manage and steward privately contributed resources meant to supplement the resources that are available to the University in support of its programs. The board of the Foundation is self-perpetuating and consists of graduates and friends of the University. Although the University does not control the timing or amount of receipts from the Foundation, the majority of resources, or income thereon, that the Foundation holds and invests are restricted to the activities of the University by the donors. Because these restricted resources held by the Foundation can only be used by, or for the benefit of, the University, the Foundation is considered a component unit of the University and is discretely presented in the University's financial statements.

During the year ended June 30, 2019 and 2018, the Foundation distributed \$1,544,510 and \$1,502,730, respectively, to the University for both restricted and unrestricted purposes. Complete financial statements for the Foundation can be obtained from the Worcester State University Business Office at 486 Chandler Street, Worcester, MA 01602.

Basis of presentation

The accompanying financial statements have been prepared using the economic resources measurement focus and the accrual basis of accounting in accordance with U.S. generally accepted accounting principles (US GAAP). The Governmental Accounting Standards Board (GASB) is responsible for establishing GAAP for state and local governments through its pronouncements (Statements and Interpretations).

The University has determined that it functions as a business-type activity, as defined by GASB. The effect of interfund activity has been eliminated from these financial statements. The basic financial statements for general purpose governments consist of management's discussion and analysis, basic financial statements including the University's discretely presented component units, and required supplementary information. The University presents statements of net position, revenues, expenses, and changes in net position and cash flows on a University-wide basis.

Revenues are recorded when earned and expenses are recorded when a liability is incurred, regardless of the timing of the related cash flows. Grants and similar items are recognized as revenue as soon as all eligibility requirements have been met. The accompanying statement of activities demonstrates the degree to which the direct expenses of a given function are offset by program revenues. Direct expenses are those that are clearly identifiable within a specific function. Program revenues primarily include charges to students or others who enroll or directly benefit from services that are provided by a particular function. Items not meeting the definition of program revenues are instead reported as general revenue.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO FINANCIAL STATEMENTS
(Continued)

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Basis of presentation (continued)

The University's policies for defining operating activities in the Statement of Revenues, Expenses and Changes in Net Position are those that generally result from exchange transactions such as the payment received for services and payment made for the purchase of goods and services. Certain other transactions are reported as non-operating activities in accordance with GASB accounting standards. These non-operating activities include the University's operating and capital appropriations from the Commonwealth of Massachusetts, and net investment income.

Net position

GASB establishes accounting and financial reporting standards for public colleges and universities. These standards require that, for accounting and reporting purposes, resources be classified into four net position categories, described as follows:

Invested in capital assets, net of related debt - Includes all capital assets, net of accumulated depreciation and the principal balances of any outstanding debt used to construct, acquire or improve the assets.

Restricted net position - These resources are further differentiated between those that are nonexpendable and expendable.

Nonexpendable resources are those that are subject to externally imposed constraints that they be maintained permanently.

Expendable resources are those whose use is subject to externally imposed constraints that can be satisfied by specific actions or by the passage of time.

Unrestricted - These resources are not subject to any externally imposed constraints. Such net position may be designated for specific purposes by action of the governing Board.

Accounting estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses. Actual results could differ from those estimates.

Subsequent events

The University has evaluated the financial statement impact of subsequent events occurring through October 15, 2019, the date that the financial statements were available to be issued.

Cash, temporary investments, and investments

The University considers its cash on hand, cash held by both the State Treasurer and Worcester State Foundation, Inc. for the benefit of the University and all debt securities with a maturity of three months or less to be cash equivalents.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Cash, temporary investments, and investments (continued)

The University's investments are recorded at fair value. Realized and unrealized gains and losses are included in non-operating revenues. Realized gains and losses are determined based on the specific identification of the securities sold. Investment income is recognized when earned. The method of allocated interest earned on pooled cash and investments among fund types provides that, unless otherwise restricted, all interest is recorded in the unrestricted current fund. All gains and losses arising from the sale, maturity, or other disposition of investments are accounted for in the trust fund which owns the related asset. Ordinary income derived from investments is accounted for in the trust fund owning such assets.

The Governmental Accounting Standards Board requires government entities to categorize investments to give an indication of the level of credit risk assumed by the University at year end. Category 1 includes investments that are insured or registered, or for which securities are held by the University or its agent in the name of the University. Category 2 includes uninsured and unregistered investments for which securities are held by a trust department in the name of the University. Category 3 includes uninsured and unregistered investments for which the securities are held by a trust department but not in the University's name.

Fair value measurements

The University follows the provisions of GASB Statement No. 72, *Fair Value Measurement and Application* (GASB 72). This Statement defines fair value, establishes a framework for measuring fair value in accordance with generally accepted accounting principles, and expands disclosures about fair value measurements.

The University uses fair value measurements to record fair value adjustments to certain assets and liabilities and to determine fair value disclosures. In accordance with GASB 72, the fair value of a financial instrument is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value is best determined based on quoted market prices. However, in many instances, there may be no quoted market prices for the University's various financial instruments. In cases where quoted market prices are not available, fair values are based on estimates using present value or other valuation techniques. Those techniques are significantly affected by the assumptions used, including the discount rate and estimates of future cash flows. Accordingly, the fair value estimates may not be realized in an immediate settlement of the instrument.

In accordance with GASB 72, the University groups its financial assets and financial liabilities generally measured at fair value in three levels, based on the markets in which the assets and liabilities are traded and the reliability of the assumptions used to determine fair value.

Level 1: Valuation is based on quoted prices in active markets for identical assets or liabilities that the reporting entity has the ability to access at the measurement date.

Level 2: Valuation is based on observable inputs other than Level 1 prices, such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data for substantially the full term of the assets or liabilities.

Level 3: Valuation is based on unobservable inputs that are supported by little or no market activity and that are significant to the fair value of the assets or liabilities. Level 3 assets and liabilities include financial instruments whose value is determined using pricing models, discounted cash flow methodologies, or similar techniques, as well as instruments for which the determination of fair value requires significant management judgment or estimation.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO FINANCIAL STATEMENTS
(Continued)

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Fair value measurements (continued)

The asset's or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs. The University's component unit utilizes a similar market approach which uses prices and other relevant information generated by market transactions involving identical or comparable assets, liabilities or a group of assets and liabilities.

Allowance for doubtful accounts

Accounts receivable are reported at the amount management expects to collect in the future on balances outstanding at year end. Management estimates allowances for losses based on the history of collections and the knowledge acquired about specific items. Adjustments to the allowance are charged to bad debt expense. Interest is not charged on accounts receivable. Uncollectible amounts are written off against the reserve when deemed uncollectible; recoveries are recorded when received. An amount is considered uncollectible when reasonable efforts to collect the account have been exhausted.

Inventories

The University's inventories consist primarily of operating supplies which are valued at the lower of cost or market. Cost is determined by the first-in, first-out (FIFO) method.

Loans receivable and payable

Loans receivable consist of the Federal Perkins Loan Program ("Perkins"). The federal government provides 90% of the funds to support this program. Loan payments received from students made under the Perkins program may be re-loaned after collection. The 90% portion of the Perkins Loan Program provided by the federal government is refundable back to the federal government upon the termination of the University's participation in the program.

The prescribed practices for the Perkins program do not provide for accrual of interest on student loans receivable or for the provision of an allowance for doubtful loans. Accordingly, interest on loans is recorded as received and loan balances are reduced subsequent to the determination of their uncollectibility and have been accepted (assigned) by the Department of Education.

Capital assets

Capital assets are controlled, but not owned by the University. The University is not able to sell or otherwise encumber these assets since they are owned by the Commonwealth. All capital assets acquired prior to June 30, 1990 are stated at cost or estimated historical cost. Capital assets acquired subsequent to June 30, 1990 are stated at cost. All additions of individual capital assets greater than or equal to \$50,000 are capitalized, in accordance with the Commonwealth's capitalization policy. Donated capital assets are recorded at the estimated fair value at the date of the donation.

Capital assets, with the exception of land, are depreciated using the straight-line method over the estimated useful life of the asset, which range from 3 to 40 years.

All library books are capitalized at actual cost for purchased materials and at fair value for donated items. The cost of such books is expensed after five years.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Student deposits and unearned revenue

Deposits and advance payments received for tuition and fees related to the University's Summer Session II program are deferred and are recorded as unrestricted current funds unearned revenue.

Bond premiums

Bond premiums are being amortized on a straight-line basis, which approximates the effective interest method, over the terms of the related debt agreements.

Funds held for others

Funds held for others are agency funds consisting of resources held by the University as custodian or fiscal agent of student organizations, the State Treasurer and others. Transactions are recorded to assets and liability accounts.

State appropriations

The University's unrestricted State appropriations amounted to \$39,781,632 and \$35,897,594 for the years ended June 30, 2019 and 2018, respectively. State supported tuition, in the amounts of \$381,197 and \$482,224 for the years ended June 30, 2019 and 2018, respectively, were remitted to the State and have been offset against these appropriations. State supported tuition receipts and transfers have been recorded in an agency fund during the year with a net amount due the Commonwealth of \$64,854 and \$57,404 as of June 30, 2019 and 2018, respectively.

Pension plan

For purposes of measuring the net pension liability, deferred outflows of resources and deferred inflows of resources related to pensions, and pension expense, information about the fiduciary net position of the Massachusetts State Employee's Retirement System (MSERS) and additions to/deductions from MSERS's fiduciary net position have been determined on the same basis as they are reported by MSERS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

Other postemployment benefits plan (OPEB)

For purposes of measuring the net OPEB liability, deferred outflows of resources and deferred inflows of resources related to OPEB, and OPEB expense, information about the fiduciary net position of the Commonwealth of Massachusetts Postemployment Benefits Other Than Pensions Plan and additions to/deductions from this plan's fiduciary net position have been determined on the same basis as they are reported by the Commonwealth of Massachusetts. For this purpose, benefit payments are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

Compensated absences

Employees earn the right to be compensated during absences for vacation leave and sick leave. Accrued vacation leave is the amount earned by all eligible employees through June 30, 2019. Pursuant to statewide experience on sick pay buy-back agreements applicable to state employees, the University accrues sick leave to a level representing 20 percent of amounts earned by those University employees with ten or more years of State service at the end of the fiscal year. Upon retirement, these employees are entitled to receive payment for this accrued balance.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO FINANCIAL STATEMENTS
(Continued)

1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Fringe benefits

The University participates in the Commonwealth's fringe benefit programs, including health insurance, pension and workers' compensation benefits. Health insurance, pension and administrative costs are billed through a fringe benefit rate charged to the University. The University's workers' compensation program is administered by the Commonwealth's Division of Public Employee Retirement Administration. Workers' compensation costs are assessed separately based on the University's actual experience.

Trust funds

The University's operations are accounted for in different trust funds. All of these trust funds have been consolidated and are included in these financial statements.

Tax status

The University is an agency of the Commonwealth of Massachusetts and is therefore exempt from federal and state income taxes under Code Section 115 of the Internal Revenue Code. The Foundation is exempt from income taxes under the provisions of section 501(c)(3) of the Internal Revenue Code.

New government accounting pronouncements

GASB Statement No. 87, *Leases* is required for periods beginning after December 15, 2019. The objective of this Statement is to better meet the information needs of financial statement users by improving accounting and financial reporting for leases by governments. This Statement established as single model for lease accounting based on the foundational principle that leases are financings of the right to use an underlying asset. It requires the recognition of certain lease assets and liabilities for leases that previously were classified as operating leases. Management is in the process of reviewing this statement and potential effects on their financial reporting.

2 - ADOPTION OF ACCOUNTING PRINCIPLE

In June 2015, the GASB issued GASB Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other than Pensions*. The objective of this Statement is to improve accounting and financial reporting for other post-employment benefits provided to employees of state and local governmental employers, as well as establishes standards for recognizing and measuring liabilities, deferred outflows of resources, deferred inflows of resources, and expense. GASB Statement No. 75 is effective for financial statements for periods beginning after June 15, 2017. The adoption of this statement requires the University, as an Agency of the Commonwealth of Massachusetts, to recognize a proportionate share of the Commonwealth's unfunded other post-employment benefits from which certain University employees receive benefits, along with related deferred inflows and outflows. The adoption of GASB Statement No. 75 resulted in a restatement of opening net position by (\$37,396,591) for the year ended June 30, 2018. As allowed by GASB 75, management has reviewed the available pension information and determined a full restatement of the 2017 financial statements to be impractical.

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NOTES TO FINANCIAL STATEMENTS
(Continued)

2 - ADOPTION OF ACCOUNTING PRINCIPLES (Continued)

In December 2018 the University was notified by the Commonwealth of Massachusetts of errors in the actuarial calculations and reports used to account for its proportionate share of the Commonwealth's unfunded other post-employment benefits. Revised calculations were issued and the 2018 financial statement have been adjusted accordingly though the following prior period adjustment:

Adjustment for adoption of GASB Statement No. 75, as originally reported	\$(37,396,591)
Correction of error in adopting GASB Statement No. 75	<u>5,152,655</u>
Adjustment for adoption of GASB Statement No. 75, as restated	<u><u>\$(32,243,936)</u></u>

3 - CASH AND CASH EQUIVALENTS

The University's cash and temporary investments are as follows as of June 30, 2019 and 2018:

	2019	2018
Carrying amount	<u>\$ 23,315,422</u>	<u>\$ 18,222,388</u>
Bank balance	\$ 26,673,611	\$ 20,594,083
Less amounts		
Covered by depository insurance	1,530,652	1,523,204
Collateralized repurchase agreements	<u>18,034,634</u>	<u>13,501,575</u>
Remaining bank balance	<u><u>\$ 7,108,325</u></u>	<u><u>\$ 5,569,304</u></u>

The differences between the carrying amounts and the bank balances are attributable to deposits-in-transit and outstanding checks. While the remaining bank balance is uninsured and uncollateralized, the University has lowered its risk of loss by maintaining these funds in high quality financial institutions. Further, as of June 30, 2019 and 2018, the University held \$329,950 and \$228,757 respectively, in money market funds maintained by its investment custodian.

As of June 30, 2019 and 2018, the University was party to a repurchase agreement with a bank. The value of this agreement was \$18,034,634 and \$13,501,575 as of June 30, 2019 and 2018, respectively.

The money market mutual funds constitute a Category 2 investment and the repurchase agreements constitute a Category 3 investment, as defined under GASB accounting standards.

4 - CASH HELD BY STATE TREASURER

The University has recorded cash held for the benefit of the University by the State Treasurer in the amounts of \$3,601,527 and \$940,391 as of June 30, 2019 and 2018, respectively. In addition, the State Treasurer held cash for certain University trust funds in the amounts of \$5,536,488 and \$4,414,100 as of June 30, 2019 and 2018, respectively. None of these cash balances are insured or collateralized.

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NOTES TO FINANCIAL STATEMENTS
(Continued)

5 - INVESTMENTS

The University maintains pooled investments in long-term U.S. Treasury and Agency Securities. The fair value of these investments as of June 30, 2019 and 2018 are as follows:

	Investment Maturities (in years)			
	Fair Value	Less Than 1	1 to 5	Greater than 5
<u>June 30, 2019</u>				
Investment type				
U.S. Treasuries	\$ 15,425,842	\$ 1,383,237	\$ 8,534,363	\$ 5,508,242
U.S. Agencies	5,420,780	1,477,831	3,613,068	326,881
Total	<u>\$ 20,846,622</u>	<u>\$ 2,861,068</u>	<u>\$ 12,147,431</u>	<u>\$ 5,835,123</u>
	Investment Maturities (in years)			
	Fair Value	Less Than 1	1 to 5	Greater than 5
<u>June 30, 2018</u>				
Investment type				
U.S. Treasuries	\$ 15,329,717	\$ 182,414	\$ 11,093,763	\$ 4,053,540
U.S. Agencies	4,539,006	1,328,709	2,900,542	309,755
Total	<u>\$ 19,868,723</u>	<u>\$ 1,511,123</u>	<u>\$ 13,994,305</u>	<u>\$ 4,363,295</u>

Interest Rate Risk

The University does not have a formal investment policy that limits investment maturities as a means of managing its exposure to fair value losses arising from increasing interest rates. The weighted average life of the maturities is evaluated regularly with the weighted average life of the portfolio being limited to five years or less, whenever possible. The weighted average life of the portfolio as of June 30, 2019 was 3.6 years.

Credit Risk

The University manages its exposure to credit risk by investing solely in U.S. Treasury and U.S. Agency securities.

Concentration of Credit Risk

The University places no limit on the amount that may be invested in one issuer, maintaining its cash in bank deposit accounts which, at times, may exceed federally insured limits.

Custodial Credit Risk

For an investment, custodial credit risk is the risk that, in the event of the failure of the counterparty, the University will not be able to recover the value of its investments or collateral securities that are in the possession of an outside party. The University controls this risk by placing its securities in a trust account with a safekeeping agent other than the counterparty.

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NOTES TO FINANCIAL STATEMENTS
(Continued)

5 - INVESTMENTS (Continued)

Custodial Credit Risk (continued)

The components of investment income, including investment return on deposits held with trustee, are as follows:

	2019	2018
Interest	\$ 487,546	\$ 443,811
Realized loss on investments	(5,546)	-
Unrealized gain (loss) on investments	706,164	(521,297)
	<u>\$ 1,188,164</u>	<u>\$ (77,486)</u>

Component Unit

Investments of the component unit are stated at fair value and are composed of the following:

	2019		2018	
	Carrying Value	Fair Value	Carrying Value	Fair Value
Money market funds	\$ 309,669	\$ 309,669	\$ 371,393	\$ 371,393
Mutual funds - equity based	17,136,675	19,595,626	12,273,521	15,254,046
Mutual funds - bonds based	8,078,591	8,115,076	6,849,863	6,618,181
Security based investment fund	-	-	5,086,768	4,738,805
Limited partnership interest	250,000	437,501	250,000	435,752
	<u>\$ 25,774,935</u>	<u>\$ 28,457,872</u>	<u>\$ 24,831,545</u>	<u>\$ 27,418,177</u>

6 - FAIR VALUE MEASUREMENTS

Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used as of June 30, 2019 and 2018.

U.S. treasury securities and U.S. agency securities: Valued at the closing price reported in the active market in which the individual securities are traded. Fair value hierarchy for each is based on the level of active trading within the respective markets for each asset or liability.

The preceding methods described may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although the University believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The University's financial assets that are measured at fair value on a recurring basis were recorded using the fair value hierarchy as of June 30, 2019 as follows:

	Level 1	Level 2	Level 3	Total
Investments				
U.S. Treasuries	\$ 15,425,842	\$ -	\$ -	\$ 15,425,842
U.S. Agencies	5,420,780	-	-	5,420,780
Total investments, at fair value	<u>\$ 20,846,622</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 20,846,622</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

6 - FAIR VALUE MEASUREMENTS (Continued)

The University's financial assets that are measured at fair value on a recurring basis were recorded using the fair value hierarchy as of June 30, 2018 as follows:

	Level 1	Level 2	Level 3	Total
Investments				
U.S. Treasuries	\$ 15,329,717	\$ -	\$ -	\$ 15,329,717
U.S. Agencies	4,539,006	-	-	4,539,006
Total investments, at fair value	<u>\$ 19,868,723</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 19,868,723</u>

The University does not measure any liabilities at fair value on a recurring or non-recurring basis on the statement of net position.

7 - ACCOUNTS RECEIVABLE

Accounts receivable consist of the following as of June 30, 2019 and 2018:

	2019	2018
Students	\$ 824,428	\$ 803,705
Other	1,373,156	729,741
	2,197,584	1,533,446
Less: Allowance for uncollectible accounts	306,465	299,357
	<u>\$ 1,891,119</u>	<u>\$ 1,234,089</u>

8 - CONTRIBUTIONS RECEIVABLE – COMPONENT UNIT

Contributions receivable are unconditional promises to give that are recognized as contributions when the promise is received. Contributions receivable that are expected to be collected in less than one year are reported at net realizable value. Contributions receivable that are expected to be collected in more than one year are recorded at fair value at the date of promise. That fair value is computed using a present value technique applied to anticipated cash flows. Amortization of the resulting discount is recognized as additional contribution revenue.

Payments of contributions receivable as of June 30, 2019 are expected to be received as follows:

2020	\$ 462,801
2021	243,719
2022	275,828
2023	157,949
2024	106,503
Thereafter	<u>280,751</u>
	1,527,551
Less: Discount on contributions receivable	65,628
Less: Allowance for uncollectible contributions receivable	<u>15,000</u>
	<u>\$ 1,446,923</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

9 - DEPOSITS HELD WITH TRUSTEE

The University's bond payable indentures require the maintenance of restricted construction and debt service reserve funds on deposit with a bank trustee. Deposits with bank trustee are held in various trust accounts and are available for future debt service of \$249,214 as of June 30, 2019 and 2018.

10 - LOANS RECEIVABLE

The University participates in the Federal Perkins Loan Program. This program is funded through a combination of Federal and institutional resources. The portion of this program that has been funded with Federal funds is ultimately refundable to the U.S. government upon the termination of the University's participation in the program. The loans receivable balance of \$525,691 and \$685,391 as of June 30, 2019 and 2018, respectively, represents student loans issued through the Perkins Loans program and consists of the following as of June 30, 2019 and 2018:

	2019	2018
Enrolled students	\$ 71,781	\$ 139,424
Repayment on schedule	144,412	234,793
In default	309,498	311,174
	<u>\$ 525,691</u>	<u>\$ 685,391</u>

11 - CAPITAL ASSETS

Capital assets activity for the year ended June 30, 2019 was as follows:

	Beginning Balance	Increases	Decreases	Ending Balance
Capital assets, not being depreciated				
Land	\$ 188,650	\$ -	\$ -	\$ 188,650
Construction in process	-	2,940,085	-	2,940,085
Capital assets, being depreciated				
Land improvements	5,273,909	-	-	5,273,909
Buildings, including improvements	155,173,706	-	-	155,173,706
Furnishings and equipment	13,686,298	837,952	-	14,524,250
Total capital assets	<u>174,322,563</u>	<u>3,778,037</u>	<u>-</u>	<u>178,100,600</u>
Less accumulated depreciation for				
Land improvements	4,141,911	177,778	-	4,319,689
Buildings, including improvements	56,553,529	4,470,314	-	61,023,843
Furnishings and equipment	11,260,665	800,182	-	12,060,847
Total accumulated depreciation	<u>71,956,105</u>	<u>5,448,274</u>	<u>-</u>	<u>77,404,379</u>
Capital assets, net	<u>\$102,366,458</u>	<u>\$ (1,670,237)</u>	<u>\$ -</u>	<u>\$100,696,221</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

11 - CAPITAL ASSETS (Continued)

Capital assets activity for the year ended June 30, 2018 was as follows:

	Beginning Balance	Increases	Decreases	Ending Balance
Capital assets, not being depreciated				
Land	\$ 188,650	\$ -	\$ -	\$ 188,650
Construction in process	1,066,764	-	1,066,764	-
Capital assets, being depreciated				
Land improvements	5,273,909	-	-	5,273,909
Buildings, including improvements	153,632,580	1,541,126	-	155,173,706
Furnishings and equipment	13,624,845	61,453	-	13,686,298
Total capital assets	173,786,748	1,602,579	1,066,764	174,322,563
Less accumulated depreciation for				
Land improvements	3,899,563	242,348	-	4,141,911
Buildings, including improvements	51,905,634	4,647,895	-	56,553,529
Furnishings and equipment	10,495,470	765,195	-	11,260,665
Total accumulated depreciation	66,300,667	5,655,438	-	71,956,105
Capital assets, net	<u>\$107,486,081</u>	<u>\$ (4,052,859)</u>	<u>\$ 1,066,764</u>	<u>\$102,366,458</u>

12 - MASSACHUSETTS STATE COLLEGE BUILDING AUTHORITY

The land on which the dormitory residence halls are located is leased by the Massachusetts State College Building Authority (MSCBA) from the Commonwealth of Massachusetts at a yearly cost of one dollar. The residence halls have various lease terms which extend to the year and 2022 and 2026. The leases can be extended at the end of these terms for additional ten year periods.

The University, under the terms of a management and service agreement between MSCBA and the Commonwealth, is charged a semi-annual revenue assessment which is based on the certified occupancy report, the current rent schedule, and the design capacity for each of the residence halls. This revenue assessment is used by MSCBA to pay principal and interest due on its long-term debt obligations. These obligations are guaranteed by the Commonwealth. The assessments charged for the years ended June 30, 2019 and 2018, in the amounts of \$9,133,569 and \$8,971,063, respectively, and have been recorded as auxiliary enterprise expenditures.

The Commonwealth of Massachusetts also executed a lease with MSCBA for land on which a parking garage is located. MSCBA owns the parking garage and has entered into a long-term lease agreement with the University to occupy and operate the facility.

All facilities and obligations of the MSCBA are included in the financial statements of MSCBA. The specific asset cost or liability attributable to the University cannot be reasonably determined. The leases, therefore, have been accounted for under the operating method for financial statement purposes.

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NOTES TO FINANCIAL STATEMENTS
(Continued)

13 - DEFERRED SERVICE CONCESSION ARRANGEMENTS

Deferred service concession arrangements as of June 30, 2019 and 2018 in the amounts of \$4,879,123 and \$5,301,528, respectively, consist of the unamortized balances of multiple food service agreements with an outside party. This outside party contributed multiple payments since 2004 totaling \$8,788,017, to upgrade the food service facilities. The contributions are being amortized over various periods ranging from 12 to 18 years. Amortization of these contributions was \$422,405 and \$411,775 for the years ended June 2019 and 2018, respectively.

14 - LONG-TERM LIABILITIES

Long-term liabilities of the university as of June 30, 2019 were as follows:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Bonds payable	\$ 23,413,802	\$ -	\$ 716,361	\$ 22,697,441	\$ 705,667
Capital lease obligations	156,134	767,198	351,123	572,209	275,694
Accrued workers' compensation	990,351	-	45,422	944,929	226,897
Accrued compensated absences	5,623,388	97,532	-	5,720,920	3,464,725
Accrued pension and OPEB obligations	53,052,262	3,632,993	-	56,685,255	-
Refundable grant	778,313	2,297	-	780,610	-
	<u>\$ 84,014,250</u>	<u>\$ 4,500,020</u>	<u>\$ 1,112,906</u>	<u>\$ 87,401,364</u>	<u>\$ 4,672,983</u>

Long-term liabilities of the university as of June 30, 2018 were as follows:

	Beginning Balance	Additions	Reductions	Ending Balance	Current Portion
Bonds payable	\$ 24,110,164	\$ -	\$ 696,362	\$ 23,413,802	\$ 680,667
Capital lease obligations	528,178	61,453	433,497	156,134	115,923
Accrued workers' compensation	789,933	200,418	-	990,351	256,260
Accrued compensated absences	5,800,463	-	177,075	5,623,388	3,473,331
Accrued pension and OPEB obligations	18,674,184	34,378,078	-	53,052,262	-
Refundable grant	989,845	-	211,532	778,313	-
	<u>\$ 50,892,767</u>	<u>\$ 34,639,949</u>	<u>\$ 1,518,466</u>	<u>\$ 84,014,250</u>	<u>\$ 4,526,181</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

15 - BONDS PAYABLE

- (A) On November 9, 2007, the University signed a financing agreement to receive \$310,000 from a Massachusetts Development Financing Agency (MDFA) clean renewable energy bond. These funds have been received and were used for the installation of a 100 KW photovoltaic panel, mounting system and inverter on the roof of the Learning Resource Center. The bond is non-interest bearing with annual principal installments of \$20,667 due through 2022.
- (B) On December 4, 2002, the University signed a financing agreement used for the renovation of the Sullivan and Administration Buildings, which was completed in 2009. A call provision became available on this bond issue and the issue was refunded on December 18, 2012, with \$10,585,000 of Massachusetts Development Financing Agency (MDFA) Revenue Bonds. The obligation is being repaid solely by the University through revenues. Interest on the MDFA bonds is due in semi-annual installments at varying rates ranging from 2.00% to 4.00%. Annual principal installments ranging from \$255,000 to \$875,000 are due through November 2032. The refunding of the MHEFA bonds resulted in a loss, which is included in deferred outflows of resources and will be amortized over the term of the bond. Amortization of this loss for the year ended June 30, 2019, was \$5,847. The remaining loss to be amortized as June 30, 2019 is \$81,863.
- (C) On December 20, 2012, the University signed a financing agreement to receive \$15,000,000 from a Massachusetts State College Building Authority (MSCBA) revenue bond. These funds will be used for the construction of a new Wellness Center. Interest on the bonds is due in semi-annual installments at varying rates ranging from 2.00% to 5.00%. Annual principal installments ranging from \$135,000 to \$765,000 are due through May 2042.

The composition of the University's Bonds payable for the year ended June 30, 2019 is as follows:

	2019	2018
(A) Bond payable, MDFA 2007 Series	\$ 62,000	\$ 82,667
(B) Bond payable, MDFA 2012 Series	9,188,720	9,489,342
(C) Bond payable, MSCBA	13,446,721	13,841,793
	22,697,441	23,413,802
Less: Current maturities	705,667	680,667
	<u>\$ 21,991,774</u>	<u>\$ 22,733,135</u>

Debt service requirements as of June 30, 2019 are as follows:

Year Ended June 30	Principal	Interest
2020	\$ 705,667	\$ 679,088
2021	730,667	654,488
2022	760,666	623,363
2023	770,000	593,563
2024	1,120,000	560,413
2025 - 2029	6,165,000	2,253,470
2030 - 2034	6,215,000	1,296,525
2035 - 2039	3,300,000	637,500
2040 - 2044	2,230,000	135,150
	21,997,000	7,433,560
Unamortized premium	700,441	-
	<u>\$ 22,697,441</u>	<u>\$ 7,433,560</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

16 - LEASE COMMITMENTS

The University leases property, a motor vehicle, modular building, and furniture and equipment under various lease agreements. These leases are classified as either capital or operating in the financial statements. Operating lease expenditures were \$7,302 and \$6,727 for 2019 and 2018, respectively.

Property and equipment includes the following acquired under capital lease agreements:

	2019	2018
Buildings, including improvements	\$ 789,809	\$ 789,809
Furnishings and equipment	1,786,568	1,019,371
Total capital assets	2,576,377	1,809,180
Less: Accumulated depreciation	1,837,953	1,250,496
	<u>\$ 738,424</u>	<u>\$ 558,684</u>

Future minimum lease payments under leases, together with the present value of future minimum lease payments as of June 30, 2019 are as follows:

Year Ending	Capital Lease	Operating Lease
2020	\$ 286,066	\$ 6,420
2021	248,286	1,070
2022	39,447	-
2023	9,964	-
2024	4,981	-
Total minimum lease payments	588,744	<u>\$ 7,490</u>
Less: Amount representing interest	16,535	
Present value of minimum lease payments	<u>\$ 572,209</u>	

17 - NET POSITION

Unrestricted net position from operations is not subject to externally imposed stipulations; however, it may be subject to internal restrictions. For example, unrestricted net position from operations may be designated for specific purposes by action of management or the Board of Trustees or may otherwise be limited by contractual agreements with outside parties. As of June 30, 2019 and 2018, unrestricted net position from operations of \$22,272,641 and \$18,020,120, respectively, has been internally designated by the University for future capital investments. Undesignated unrestricted net position from operations was \$40,687,978 and \$36,393,787 as of June 30, 2019 and 2018, respectively.

The University is the recipient of funds that are subject to various external constraints upon their use, either as to purpose or time. These funds are comprised of the following as of June 30:

	2019	2018
Restricted - expendable		
Capital projects	\$ 135,362	\$ 130,815
Scholarships and other grants	467,961	90,205
	<u>\$ 603,323</u>	<u>\$ 221,020</u>

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NOTES TO FINANCIAL STATEMENTS
(Continued)

17 - NET POSITION (Continued)

The component units' restricted - expendable net position consists of funds whose income is mainly used for scholarships and grants. The component units' restricted-nonexpendable net position consists of investments to be held in perpetuity and the income is restricted for the purpose of providing scholarships and other activities that benefit the University.

18 - FACULTY COMPENSATION

Contracts for full-time faculty begin on September 1, and end May 31 of any given academic year. The Commonwealth of Massachusetts and the University pay all faculty members over the twelve-month period of September 1 through August 31. Consequently, on June 30 of each year there is a balance due on each faculty contract which is to be paid from the subsequent year's appropriation. The balance due as of June 30, 2019 and 2018 of \$2,604,019 and \$2,658,463 respectively, has been recorded as accrued payroll in the financial statements.

19 - ACCRUED WORKERS' COMPENSATION

Independent actuarial reviews of the outstanding loss reserve requirements for the Commonwealth of Massachusetts' self-insured Workers' Compensation program were conducted as of June 30, 2019 and 2018. Based upon the Commonwealth's analyses, accrued workers' compensation in the amount of \$944,929 and \$990,351 as of June 30, 2019 and 2018, respectively have been recorded in the unrestricted current fund. Workers' compensation expense charged to operations was \$406,136 and \$601,826 in 2019 and 2018, respectively. The actual workers' compensation paid by the University was \$451,558 and \$391,868 in 2019 and 2018, respectively.

20 - ACCRUED COMPENSATED ABSENCES

Included in accrued compensated absences are \$2,880,435 for accrued vacation time and \$2,840,485 for accrued sick time as of June 30, 2019 and \$2,921,378 for accrued vacation time and \$2,702,010 for accrued sick time as of June 30, 2018. Of these balances, \$248,194 and \$262,485 for June 30, 2019 and 2018, respectively, represent obligations due to employees funded through sources other than State appropriations, and \$5,472,726 and \$5,360,903 as of June 30, 2019 and 2018, respectively, represent obligations to employees funded through State appropriations. The University anticipates that the obligations due to employees funded by State appropriations will be discharged through future State appropriations.

21 - FRINGE BENEFIT CHARGES

Certain fringe benefit costs associated with University staff, compensated through State appropriations, are paid out of non-University State budget line items. The University is required to reimburse the State for such costs for employees funded from other than State appropriations, based on a percentage of payroll. For 2019, the University reimbursed the State a total of \$4,430,811 (\$1,691,684 for pensions and \$2,739,127 for health care premiums). For 2018, the University reimbursed the State a total of \$4,712,200 (\$1,730,320 for pensions and \$2,981,880 for health care premiums).

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NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN

The University reports a liability, deferred outflows and inflows of resources, and expense as a result of its statutory requirement to contribute to the Massachusetts State Employee's Retirement System (MSERS). The following information is about MERS:

Plan Description

The Massachusetts State Employees' Retirement System (MSERS) is a public employee retirement system (PERS), covering substantially all of the University's non-student full-time employees. It a cost-sharing multiple-employer defined benefit pension plan administered by the Massachusetts State Retirement Board. Under the cost-sharing plan, pension obligations for employees of all employers are pooled and plan assets are available to pay the benefits through the plan, regardless of the status of the employers' payment of its pension obligations to the plan. The plan provides retirement, disability and death benefits to plan members and beneficiaries.

Benefit Provisions

MSERS provides retirement, disability, survivor and death benefits to plan 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, group creditable service and group classification. The authority for establishing and amending these provisions rests with the Massachusetts Legislature, Chapter 32A of the General Laws of the Commonwealth of Massachusetts.

Members become vested after ten years of creditable service. A superannuation retirement allowance may be received upon the completion of twenty years of credible 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 are not eligible for retirement prior to age 60.

Contributions

The MSERS's funding policies have been established by Chapter 32 of the 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:

<u>Hire Date</u>	<u>Percentage of Compensation</u>
Prior to 1975	5% of regular compensation
1975 to 1983	7% of regular compensation
1984 to June 30, 1996	8% of regular compensation
July 1, 1996 to present	9% of regular compensation
1979 to present	An additional 2% of regular compensation in excess of \$30,000

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN (Continued)

Contributions (continued)

The University is not required to contribute from its appropriation allocation or other University funds to MSERS for employees compensated from State appropriations. For University employees covered by MSERS but compensated from a trust fund or other source, the University is required to contribute an amount determined as a percentage of compensation in accordance with a fringe benefit rate determined by the State. The rate was 12.06% and 11.78% of annual covered payroll for the fiscal years ended June 30, 2019 and June 30, 2018, respectively. The University contributed \$1,315,547 and \$1,421,424 for the fiscal years ended June 30, 2019 and June 30, 2018, equal to 100% of the required contributions for the year.

Pension Liabilities, Pension Expense, and Deferred Outflows and Inflows of Resources

As of June 30, 2019 and 2018, the University reported a net pension liability of \$20,564,468 and \$18,014,320, respectively, for its proportionate share of the net pension liability related to its participation in MSERS. The net pension liability was measured as of June 30, 2018, the measurement date, as determined by an actuarial valuation. The University's proportion of the net pension liability was based on its share of the Commonwealth of Massachusetts' collective pension amounts allocated on the basis of actual fringe benefit charges assessed the University for the fiscal years 2018 and 2017. The Commonwealth's proportionate share was based on actual employer contributions to the MSERS for fiscal years 2018 and 2017 relative to total contributions of all participating employers for each respective fiscal year. As of June 30, 2018 and 2017, the University's proportion was 0.169% and 0.153% respectively. For the year end June 30, 2019 and 2018, the University recognized pension expense of \$3,029,723 and \$2,435,838, respectively.

As of June 30, 2019 and 2018, the University reported in the statement of net position deferred outflows and deferred inflows of resources related to pensions from the following sources:

	2019	2018
Deferred outflows of resources:		
Change in plan actuarial assumptions	\$ 2,084,081	\$ 1,874,665
Differences between expected and actual experience	652,131	696,507
Changes in proportion from Commonwealth of due to internal allocation	2,730,789	2,091,868
Contributions subsequent to the measurement date	1,315,547	1,421,424
	<u>\$ 6,782,548</u>	<u>\$ 6,084,464</u>
Deferred inflows of resources:		
Differences between expected and actual experience	\$ 419,105	\$ 490,124
Differences between projected and actual earnings on plan investments	714,800	214,641
Changes in proportion from Commonwealth of due to internal allocation	1,330,242	1,897,273
	<u>\$ 2,464,147</u>	<u>\$ 2,602,038</u>

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN (Continued)

Pension Liabilities, Pension Expense, and Deferred Outflows and Inflows of Resources (continued)

Contributions of \$1,315,547 and \$1,421,424, respectively, are reported as deferred outflows of resources related to pensions resulting from the University contributions in fiscal year 2019 and 2018 subsequent to the measurement date, which will be recognized as a reduction of the net pension liability for the year ended June 30, 2019 and 2018. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized as a reduction in pension expense as follows:

2020	\$ 1,812,912
2021	454,620
2022	218,119
2023	434,435
2024	82,768
	<hr/>
	\$ 3,002,854
	<hr/>

Actuarial Assumptions

The total pension liability at the measurement dates was determined using the following actuarial assumptions, applied to all periods included in the measurement:

	<u>2018</u>	<u>2017</u>
Cost of living increases (on the first \$13,000 per year for 2018)	3.00%	3.00%
Salary increases	4.00 to 9.00%	4.00 to 9.00%
Investment rate of return	7.35%	7.50%
Interest rate credit to the annuity savings fund	3.50%	3.50%

Pre-retirement mortality rates reflect the RP-2014 Blue Collar Employees Table, projected generationally with Scale MP-2016 and set forward one year for females. Post-retirement mortality rates reflect the RP-2014 Blue Collar Healthy Annuitant Table projected generationally with Scale MP-2016 and set forward one year for females. Mortality rates for disability reflect the RP-2014 Blue Collar Healthy Annuitant Table projected generationally with Scale MP-2016 and set forward one year.

Experience studies were performed as of February 27, 2014, encompassing the period January 1, 2006 to December 31, 2011.

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 assets allocation as of June 30, 2018 and 2017 are summarized in the following table:

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

22 - RETIREMENT PLAN (Continued)

Actuarial Assumptions (continued)

Asset Class	Target allocation	Long-term expected real Rate of return	
		2018	2017
Global equity	39%	5.00%	5.00%
Core fixed income	12%	0.90%	1.10%
Hedge funds	-	-	3.60%
Private equity	12%	6.60%	6.60%
Real estate	10%	3.80%	3.60%
Value added fixed income	10%	3.80%	3.80%
Portfolio completion strategies	13%	3.70%	3.60%
Timber/natural resources	4%	3.40%	3.20%
Total	100%		

Discount Rate

The discount rate used to measure the total pension liability was 7.35% and 7.50% for 2018 and 2017, respectively. The projection of cash flows used to determine the discount rate assumed that plan member 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 net pension liability to changes in the discount rate as of June 30, 2018 and 2017. In particular, the table presents the MSERS collective net 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:

	2018	2017
1% decrease to 6.35% for 2018 and 6.50% for 2017	\$ 27,717,465	\$ 24,534,754
Current discount rate 7.35% for 2018 and 7.50% for 2017	20,564,468	18,014,320
1% increase to 8.35% for 2018 and 7.50% for 2017	14,452,507	12,761,954

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

23 - POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS

The University reports a liability, deferred outflows and inflows of resources, and expense as a result of its statutory requirement to contribute to the Commonwealth of Massachusetts Postemployment Benefits Other than Pensions (OPEB) Plan. The following information is about the OPEB Plan:

Plan Description

The Commonwealth of Massachusetts Postemployment Benefits Other than Pensions (OPEB) Plan covers substantially all of the University's non-student full-time employees. It's a cost-sharing multiple-employer defined benefit pension plan administered by the Commonwealth of Massachusetts. Under the cost-sharing plan, certain benefits for retired employees of all employers are pooled and plan assets are available to pay the benefits through the plan, regardless of the status of the employers' payment of its obligations to the plan. The plan provides health care and life insurance to plan members and beneficiaries.

Benefit Provisions

Chapter 32A of the General Laws of the Commonwealth (MGL), requires the Commonwealth of Massachusetts to provide certain health care and life insurance benefits for retired employees. 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 are compatible to contributions required from employees.

Contributions

Employer and employee contribution rates are set in MGL. The Commonwealth recognizes its share of the costs on an actuarial basis. As of June 30, 2018 and 2017 and as of the valuation date (January 1, 2018), Commonwealth participants contributed 0% to 20% of premium costs, depending on the date of hire and whether the participant is active, retiree, or survivor status. As part of the FY10 General Appropriation Act, all active employees pay an additional 5% of premium costs.

OPEB Liabilities, OPEB Expense, and Deferred Outflows and Inflows of Resources

As of June 30, 2019 and 2018, the University reported a net OPEB liability of \$36,120,787 and \$35,037,942, respectively, for its proportionate share of the net OPEB liability related to its participation in the OPEB Plan. The net OPEB liability was measured as of June 30, 2018, the measurement date, as determined by an actuarial valuation. The University's proportion of the net OPEB liability was based on its share of the Commonwealth of Massachusetts' collective OPEB amounts allocated on the basis of actual fringe benefit charges assessed the University for the fiscal years 2018 and 2017. The Commonwealth's proportionate share was based on actual employer contributions to the OPEB Plan for fiscal years 2018 relative to total contributions of all participating employers for each respective fiscal year. As of June 30, 2018 and 2017, the University's proportion was 0.253% and 0.210% respectively. For the year end June 30, 2018 and 2017, the University recognized OPEB expense of \$3,174,645 and \$2,924,016, respectively.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

23 - POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS (Continued)

OPEB Liabilities, OPEB Expense, and Deferred Outflows and Inflows of Resources (continued)

As of June 30, 2018 and 2017, the University reported in the statement of net position deferred outflows and deferred inflows of resources related to postemployment benefits other than pensions from the following sources:

	2019	2018
Deferred outflows of resources:		
Changes in proportion from Commonwealth of due to internal allocation	\$ 9,872,428	\$ 3,938,111
Differences between expected and actual experience	438,719	-
Contributions subsequent to the measurement date	959,290	1,076,188
	<u>\$ 11,270,437</u>	<u>\$ 5,014,299</u>
Deferred inflows of resources:		
Change in plan actuarial assumptions	\$ 11,097,857	\$ 3,968,408
Differences between expected and actual experience	77,097	80,559
Differences between projected and actual earnings on plan investments	90,195	63,925
	<u>\$ 11,265,149</u>	<u>\$ 4,112,892</u>

Contributions of \$959,290 and \$1,076,188, respectively are reported as deferred outflows of resources related to OPEB resulting from the University contributions in fiscal year 2019 and 2018 subsequent to the measurement date, which will be recognized as a reduction of the net OPEB liability for the year ended June 30, 2019 and 2018. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized as a reduction in OPEB expense as follows:

2020	\$ (214,909)
2021	(214,909)
2022	(214,909)
2023	(190,853)
2024	(118,422)
	<u>\$ (954,002)</u>

Actuarial Assumptions

The total OPEB liability for the June 30, 2017 measurement date was determined by an actuarial valuation as of January 1, 2017 rolled forward to June 30, 2017. The total OPEB liability for the June 30, 2018 measurement date was determined by an actuarial valuation as of January 1, 2018 rolled forward to June 30, 2018. This valuation used the following assumptions:

1. For 2018, the following annual healthcare cost trend rates: (1) 8.0%, decreasing by 0.5% each year to 5.5% in 2023 and then decreasing 0.25% each year to an ultimate rate of 5.0% in 2025 for medical and (2) 5.0% for administration costs. Healthcare costs are offset by reimbursements for Employer Group Waiver Plans (EGWP), which are assumed to increase 5.0% per year.
2. For 2018 and 2017, the following annual healthcare cost trend rates: (1) 8.5%, decreasing by 0.5% each year to an ultimate rate of 5.0% in 2024 for medical, (2) 5.0% for EGWP and (3) 5.0% for administration costs.
3. For 2018 and 2017, the mortality rate was in accordance with RP 2014 Blue Collar Mortality Table projected with scale MP-2016 from the central year, with females set forward one year.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

23 - POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS (Continued)

Actuarial Assumptions (continued)

4. Participation rates:

- a. 100% of all retirees who currently have health care coverage will continue with the same coverage, except that retirees under age 65 with POS/PPO coverage switch to Indemnity at age 65 and those over age 65 with POS/PPO coverage switch to HMO.
- b. All current retirees, other than those indicated on the census data as not being eligible by Medicare, have Medicare coverage upon attainment of age 65, as do their spouses. All future retirees are assumed to have Medicare coverage upon attainment of age 65.
- c. 80% of current and future contingent eligible participants will elect health care benefits at age 65, or current age if later.
- d. Actives, upon retirement, take coverage, and are assumed to have the following coverage:

	Retirement Age	
	Under 65	Age 65+
Indemnity	40.0%	85.0%
POS/PPO	50.0%	0.0%
HMO	10.0%	15.0%

Investment assets of the Plan are with the Pension Reserves Investment Trust (PRIT) Fund. The long-term expected rate of return on OPEB 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, 2018 and 2017 are summarized in the following table:

Asset Class	Target allocation	Long-term expected real Rate of return	
		2018	2017
Global equity	39%	5.00%	5.00%
Portfolio completion strategies	13%	3.70%	3.60%
Core fixed income	12%	0.90%	1.11%
Private equity	12%	6.60%	6.60%
Value added fixed income	10%	3.80%	3.80%
Real Estate	10%	3.80%	3.60%
Timber/natural resources	4%	4.00%	3.20%
Hedge funds	-	-	3.60%
Total	100%		

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

23 - POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS (Continued)

Discount Rate

The discount rates used to measure the OPEB liability as of June 30, 2018 and 2017 was 3.95% and 3.63%, respectively. This rate was based on a blend of the Bond Buyer Index rates of 3.87% and 3.58% as of the measurement date of June 30, 2018 and 2017, respectively and the expected rates of return. The plan's fiduciary net position was not projected to be available to make all projected future benefit payments for current plan members. The projected "depletion date" when projected benefits are not covered by projected assets is 2025. Therefore, the long-term expected rate of return on plan investments of 7.35% and 7.50% per annum was not applied to all periods of projected benefit payments to determine the total OPEB liability as of June 30, 2018 and 2017, respectively.

Sensitivity Analysis

The following presents the net OPEB liability of the University calculated the discount rate we as what the net OPEB liability would be if it were calculated using a discount rate that is one-percentage-point lower or one percentage-point higher than the current discount rate:

	2018	2017
1% decrease to 2.95% for 2018 and 2.63% for 2017	\$ 42,652,452	\$ 41,592,841
Current discount rate 3.95% for 2018 and 3.63% for 2017	36,120,787	35,037,942
1% increase to 4.95% for 2018 and 4.63% for 2017	30,898,818	29,826,287

The following presents the net OPEB liability of the University, as well as what the net OPEB liability would be if it were calculated using a healthcare cost trend rate that is one-percentage-point lower or one-percentage-point higher than the current healthcare cost trend rate:

	2018	2017
1% decrease to for Medical and EGWP and Administrative costs	\$ 30,010,139	\$ 28,989,441
Current discount rate 8.5% for Medical and 5% for EGWP and Administrative costs	36,120,787	35,037,942
1% increase for Medical and EGWP and Administrative costs	44,097,962	42,997,403

24 - STATE CONTROLLED ACCOUNTS

Certain significant costs and benefits associated with the operations of the University are appropriated, expended, controlled and reported by the State through non-University line items in the State's budget. Under accounting principles generally accepted in the United States of America such transactions must be recorded in the financial statements of the University. These transactions include payments by the State for the employer's share of funding the Massachusetts State Employee's Retirement System and for the employer's share of health care premiums. The estimated amounts of funding attributable for the State retirement system contribution and the employer's share of health care premiums for 2019 were \$3,958,583 and \$6,409,627, respectively. The estimated amounts of funding attributable for the State retirement system contribution and the employer's share of health care premiums for 2018 were \$3,401,877 and \$5,862,495, respectively.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

25 - MANAGEMENT ACCOUNTING AND REPORTING SYSTEM - (UNAUDITED)

Section 15C of Chapter 15A of the Massachusetts General Law requires Commonwealth colleges and universities report activity of campus based funds to the Comptroller of the Commonwealth's Statewide Accounting System, Massachusetts Management Accounting and Reporting System (MMARS) using the statutory basis of accounting. The statutory basis of accounting is a modified accrual basis of accounting and differs from the information included in these financial statements. The amounts reported on MMARS meet the guidelines of the Comptroller's Guide for Higher Education Audited Financial Statements.

The University's State appropriations are composed of the following for the years ended June 30:

	2019	2018
Direct unrestricted appropriations	\$ 29,684,752	\$ 26,633,223
Fringe benefits for benefitted employees on state payroll	10,096,880	9,264,372
Tuition remitted	(381,197)	(482,224)
Total appropriations	<u>\$ 39,400,435</u>	<u>\$ 35,415,371</u>

A reconciliation between the University and MMARS fund 901 activity as of June 30, 2019 is as follows:

Revenue per MMARS	\$ 65,916,880
Revenue per University	<u>65,577,518</u>
Net reporting classification and differences	<u>\$ 339,362</u>

26 - RELATED PARTY TRANSACTIONS

The University provided, at no cost, office space and certain personnel services to the Worcester State Foundation, Inc. (the "Foundation").

Worcester State Foundation, Inc. acts as an agent for the University by periodically accepting grants on its behalf. The proceeds of the grants are recorded as an asset of the Foundation until remitted to the University.

The University and the Foundation have entered into an affiliation agreement with the Worcester Center for Crafts, Inc. to collaboratively offer venues for teaching and learning in the arts, exhibition space, safe, well-equipped studios for community-based programs as well as undergraduate visual and performing art classes. As part of the agreement, the University provides various forms of support to the Crafts Center including annual fees of \$250,000 for allowing the University to use the facilities. Service agreement fees were \$250,000 for the years ended June 30, 2019 and 2018. In addition, the University provided support including personnel, equipment, repairs and maintenance and other operating expenses. The value of this support is estimated to be \$354,412 and \$329,178 for the years ended June 30, 2019 and 2018 respectively.

The University provides certain operating costs for WSF Real Estate, Inc. in exchange of the use property adjacent to the University campus for various purposes. WSF Real Estate, Inc. is under the control and holds property on behalf of the Foundation. Operating costs provided by the University were \$79,623 and \$126,139 during the years ended June 30, 2019 and 2018, respectively.

WORCESTER STATE UNIVERSITY
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NOTES TO FINANCIAL STATEMENTS
(Continued)

27 - AUXILIARY ENTERPRISES

The University's auxiliary enterprises consist of residence life and housing and health services. The related revenues and expenses for the years ended June 30, 2019 and 2018 are as follows:

	2019		2018	
	Residence Life and Housing	Health Services	Residence Life and Housing	Health Services
Total revenue	\$ 12,843,230	\$ 448,282	\$ 12,514,466	\$ 447,962
Total expenses	12,461,827	493,157	11,885,854	477,507
Increase (decrease) in net position before transfers	<u>\$ 381,403</u>	<u>\$ (44,875)</u>	<u>\$ 628,612</u>	<u>\$ (29,545)</u>

28 - COMMITMENTS AND CONTINGENCIES

Litigation

Pending or threatened lawsuits against governmental agencies arise in the ordinary course of operations. In the opinion of the University's administration, the ultimate resolution of any pending legal actions involving the University will not have a material adverse effect on the financial position of the University.

Grants and entitlements

The University receives financial assistance from federal and state agencies in the form of grants and entitlements. Expenditures of funds under these programs require compliance with the grant agreements and are subject to audit by the granting agency. Any disallowed expenditures resulting from such audits become a liability of the University. In the opinion of the University's administration, the outcome of any findings with respect to disallowed expenditures will not have a material adverse effect on the financial position of the University.

29 - RECLASSIFICATIONS

Certain reclassifications have been made to the 2018 financial statements, with no effect on change in net position, to conform to the 2019 presentation.

DISCUSSION DRAFT 2/24/20

SUPPLEMENTARY INFORMATION

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SCHEDULE OF THE UNIVERSITY'S PROPORTIONATE SHARE OF THE NET PENSION LIABILITY
Massachusetts State Employees' Retirement Plan

YEAR ENDED JUNE 30, 2019
(With Comparative Totals for 2014 through 2018)

	2019	2018	2017	2016	2015	2014
University's proportion of the net pension liability	0.17%	0.15%	0.15%	0.18%	0.14%	0.14%
University's proportion of the net pension liability	\$ 20,564,468	\$ 18,014,320	\$ 18,674,184	\$ 18,901,770	\$ 9,357,928	\$ 11,308,376
University's covered-employee payroll	\$ 12,922,066	\$ 11,336,488	\$ 11,331,835	\$ 11,013,323	\$ 10,245,240	\$ 11,163,731
University's proportionate share of the net pension liability as a percentage of its covered employee payroll	159.14%	158.91%	164.79%	171.63%	91.34%	101.30%
Plan fiduciary net position as a percentage of the total pension liability	67.91%	67.21%	63.48%	67.87%	76.32%	70.31%

See accompanying independent auditor's report.

WORCESTER STATE UNIVERSITY
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SCHEDULE OF UNIVERSITY PENSION CONTRIBUTIONS
Massachusetts State Employees' Retirement Plan

YEAR ENDED JUNE 30, 2019
(With Comparative Totals for 2014 through 2018)

	2019	2018	2017	2016	2015	2014
Statutorily required contribution	\$ 1,421,424	\$ 1,098,173	\$ 972,477	\$ 1,039,592	\$ 741,444	\$ 700,426
Contributions in relation to the statutorily required contribution	<u>1,421,424</u>	<u>1,098,173</u>	<u>972,477</u>	<u>1,039,592</u>	<u>741,444</u>	<u>700,426</u>
Annual contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
University's covered-employee payroll	\$ 12,922,066	\$ 11,336,488	\$ 11,331,835	\$ 11,013,323	\$ 10,245,240	\$ 11,163,731
Contributions as a percentage of covered-employee payroll	11.00%	9.69%	8.58%	9.44%	7.24%	6.27%

See accompanying independent auditor's report.

WORCESTER STATE UNIVERSITY
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NOTES TO SCHEDULE OF THE UNIVERSITY'S PROPORTIONATE SHARE OF THE
NET PENSION LIABILITY AND SCHEDULE OF UNIVERSITY CONTRIBUTIONS

JUNE 30, 2014 THROUGH 2019

1 - CHANGES IN ACTUARIAL ASSUMPTIONS

The actuarial assumptions used as of the June 30, 2018 measurement date included a change in mortality rates for disability. As of this date, mortality rates for disability reflect the RP-2014 Blue Collar Healthy Annuitant Table projected generationally with Scale MP-2016 and set forward one year.

The actuarial assumptions used as of the June 30, 2017 measurement date included a change cost of living increases whereby such increases are on only the first \$13,000 per year.

The Actuarial assumptions used as of the June 30, 2017 measurement date included a change in mortality rates. As of this date, pre-retirement mortality rates reflect the RP-2014 Blue Collar Employees Table, projected generationally with Scale MP-2016 and set forward one year for females. Post-retirement mortality rates reflect the RP-2014 Blue Collar Healthy Annuitant Table projected generationally with Scale MP-2016 and set forward one year for females. Mortality rates for disability were 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).

The actuarial assumptions used as of the June 30, 2016 measurement date included a change in the range of assumed salary increases from 3.5% to 9.0% in 2015 to 4.0% to 9.0%.

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 (SERB) and purchase service for the period while members of the ORP. As a result, the total pension liability of SERB has increased by approximately \$400 million as of June 30, 2016.

The actuarial assumptions used as of the June 30, 2015 measurement date included a change in the investment rate of return and discount rate from 8.0% to 7.5%. The projection of cash flows used to determine the investment rate of return and discount rate assumed that plan member contributions will be made at the current contributions rates and the members rates.

In May 2015, an early retirement incentive (ERI) was created for certain members MSERS who upon election of the ERI retired effective June 30, 2015. As a result, the total pension liability of MSERS has increased by approximately \$230 million as of the June 30, 2015 measurement date.

The Actuarial assumptions used as of the June 30, 2015 measurement date included a change in mortality rates. As of this date, pre-retirement mortality rates reflect the RP-2000 Employees table projected generationally with Scale BB and a base year of 2009 (gender distinct). Post-retirement mortality rates reflect the RP-2000 Healthy Annuitant table projected generationally with Scan BB (gender distinct). Disability rates were 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).

Mortality rates included as of the June 30, 2014 included pre-retirement mortality rates reflecting the RP-2000 Employees table projected 20 years with Scale AA (gender distinct). Post-retirement mortality rates reflect the RP-2000 Healthy Annuitant table projected 15 years with Scan AA (gender distinct). Disability rates were assumed to be in accordance with the RP- 2000 table projected 5 years with Scale AA (gender distinct) set forward 3 years for males.

See accompanying independent auditor's report.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SCHEDULE OF THE UNIVERSITY'S PROPORTIONATE SHARE OF THE NET OPEB LIABILITY
Commonwealth of Massachusetts Postemployment Benefits Other Than Pensions (OPEB) Plan

YEAR ENDED JUNE 30, 2019
(With Comparative Totals for 2018 and 2017)

	2019	2018 (as restated)	2017 (as restated)
University's proportion of the net OPEB liability	0.25%	0.21%	0.18%
University's proportion of the net OPEB liability	\$ 36,120,787	\$ 35,037,942	\$ 33,225,679
University's covered-employee payroll	\$ 12,922,066	\$ 11,336,488	\$ 11,331,835
University's proportionate share of the net OPEB liability as a percentage of its covered employee payroll	279.53%	309.07%	293.21%
Plan fiduciary net position as a percentage of the total OPEB liability	7.38%	5.39%	4.37%

See accompanying independent auditor's report.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SCHEDULE OF UNIVERSITY OPEB CONTRIBUTIONS
Commonwealth of Massachusetts Postemployment Benefits Other Than Pensions (OPEB) Plan

YEAR ENDED JUNE 30, 2019
(With Comparative Totals for 2018 and 2017)

	2019	2018 (as restated)	2017 (as restated)
Statutorily required contribution	\$ 1,076,188	\$ 882,031	\$ 745,202
Contributions in relation to the statutorily required contribution	<u>1,076,188</u>	<u>882,031</u>	<u>745,202</u>
Annual contribution deficiency (excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
University's covered-employee payroll	\$ 12,922,066	\$ 11,336,488	\$ 11,331,835
Contributions as a percentage of covered-employee payroll	8.33%	7.78%	6.58%

See accompanying independent auditor's report.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO SCHEDULE OF THE UNIVERSITY'S PROPORTIONATE SHARE OF THE
NET OPEB LIABILITY AND SCHEDULE OF UNIVERSITY OPEB CONTRIBUTIONS

JUNE 30, 2017 THROUGH 2019

1 - CHANGES IN ACTUARIAL ASSUMPTIONS

The actuarial assumptions used as of the June 30, 2018 measurement date included a change in the discount rates used to measure the OPEB liability from 3.63% to 3.95%. This rate was based on a blend of the Bond Buyer Index rates of 3.87% and 3.58% as of the measurement date of June 30, 2018 and 2017, respectively and the expected rates of return.

The actuarial assumptions used as of the June 30, 2018 measurement date included a change in the long-term expected rate of return on plan investments from 7.50% to 7.35%.

See accompanying independent auditor's report.

SUPPLEMENTAL SCHEDULE
PURSUANT TO THE UNIFORM GUIDANCE

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

YEAR ENDED JUNE 30, 2019

Federal Grantor/Pass-Through Grantor Program or Cluster Title	Federal CFDA Number	Pass-through Entity Identifying Number	Provided to Subrecipients	Federal Expenditures
U. S. Department of Education:				
Student Financial Assistance Cluster				
Federal Supplemental Educational Opportunity Grant	84.007	N/A	N/A	\$ 225,853
Federal Work Study Program	84.033	N/A	N/A	159,379
Federal Perkins Loans	84.038	N/A	N/A	524,779
Federal Pell Grant Program	84.063	N/A	N/A	7,506,493
Federal Direct Student Loans	84.268	N/A	N/A	<u>22,016,725</u>
Total Student Financial Assistance Cluster				30,433,229
Passed through Worcester Public Schools				
Higher Education - Institutional Aid	84.031A	50S35619	N/A	28,221
Passed through Southbridge Public Schools				
21st Century Community Learning Centers	84.287	50S35619	N/A	26,154
Passed through the Massachusetts Department of Elementary and Secondary Education				
Career and Technical Education - Basic Grants to States	84.048	414-202448-2018-1270	N/A	57,527
Passed through the Massachusetts Department of Higher Education				
Improving Teacher Quality State Grants	84.367	ISARGT70661574WOR15A	N/A	26,819
Passed through U.S. Department of Education Institute of Education Sciences				
Education Research Grants	84.305A	S-00015000	N/A	34,459
Total U. S. Department of Education				<u>30,606,409</u>
National Science Foundation				
Education and Human Resources	47.076	ISARGT70661575WOR19A	N/A	<u>6,538</u>
Office of Personnel Management				
Intergovernmental Personnel Act (IPA) Mobility Program	27.011	N/A	N/A	<u>109,165</u>
U.S. Department of Health and Human Services				
Passed through Quinsigamond Community College				
Nursing Workforce Diversity	93.178	1D19HP30851-01-00	N/A	<u>178,481</u>
U.S. Department of the Treasury				
Passed through Worcester Community Action Council, Inc.				
VITA Matching Grant Program	21.009	5500	N/A	<u>1,018</u>
U.S. Department of Housing and Urban Development				
Community Development Block Grants/Entitlement Grants	14.218	N/A	N/A	<u>4,566</u>
				<u>\$ 30,906,177</u>

See accompanying independent auditor's report and notes to schedule.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

1 - BASIS OF PRESENTATION

The accompanying Schedule of Expenditures of Federal Awards (the "Schedule") includes the federal award activity of Worcester State University (the "University") under programs of the Federal government for the year ended June 30, 2019. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Because the Schedule presents only a selected portion of the operations of the University, it is not intended to and does not present the financial position, changes in net position, or cash flows of the University.

For purposes of the Schedule, federal awards include all grants, contracts and similar agreements entered into directly between the University and departments of the federal government.

2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of accounting

Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years.

Indirect cost rate

The University has elected not to use the 10-percent de minimis indirect cost rate as allowed under the Uniform Guidance.

Major program determination

The University considers programs with expenditures that exceed \$750,000 to be Type A programs. Type A programs with expenditures that, in the aggregate, encompass at least twenty percent of total federal awards are designated as major programs. Smaller programs are designated as Type B programs. Type A programs assessed as "low risk" that have been audited as a major program within the last two years with no audit findings are not designated as major programs, provided the University has Type B programs that have federal expenditures exceeding twenty percent of total expenditures. Accordingly, certain Type B programs may be identified as major programs.

3 - FEDERAL STUDENT LOAN PROGRAMS

The federal student loan programs listed subsequently are administered directly by the University, and balances and transactions relating to these programs are included in the University's basic financial statements. Loans outstanding at the beginning of the year and loans made during the year are included in the federal expenditures presented in the Schedule. The University did not make any new loans during 2019. The balance of loans outstanding at June 30, 2019 consists of:

	<u>Outstanding Balance as of June 30, 2019</u>
CFDA Number 84.038	
Perkins Loan Program	\$ 524,779

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
(Continued)

3 - FEDERAL STUDENT LOAN PROGRAMS (Continued)

Federally-guaranteed loans issued to students of the University during the year ended June 30, 2019 are summarized as follows:

	Disbursements for the year ended June 30, 2019
CFDA Number 84.268	
Federal Direct Student Loans	\$ 22,016,725

The University is only responsible for the performance of certain administrative duties with respect to federally-guaranteed student loan programs and, accordingly, balances and transactions relating to these loan programs are not included in the University's general purpose financial statements. It is not practical to determine the balance of loans outstanding to students and former students of the University as of June 30, 2019.

4 - ADMINISTRATIVE COST ALLOWANCES

The Student Financial Aid Administrative Cost Allowances for the year ended June 30, 2019 are as follows:

Pell	\$ 8,450
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DISCUSSION DRAFT 2/24/20

OTHER REPORTS

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND
ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS
PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

To the Board of Trustees
Worcester State University

We have audited, in accordance with the 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 Worcester State University, an agency of the Commonwealth of Massachusetts and the financial statements of Worcester State Foundation, Inc., its discretely presented component unit (the "University"), which comprise the statement of net position as of June 30, 2019, and the related statements of revenues, expenses, and changes in net position, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated _____, 2020.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered the University's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we do not express an opinion on the effectiveness of the University's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND
ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS
PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS
(Continued)

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Worcester, Massachusetts
_____, 2020

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM
AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

To the Board of Trustees
Worcester State University

Report on Compliance for each Major Federal Program

We have audited Worcester State University's, an agency of the Commonwealth of Massachusetts, and Worcester State Foundation, Inc.'s, its discretely presented component unit (the "University") compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the University's major federal programs for the year ended June 30, 2019. The University's major federal programs are identified in the summary of auditor's results section of the accompanying Schedule of Findings and Questioned Costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of the University's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the University's compliance.

Opinion on Each Major Federal Program

In our opinion, the University complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2019.

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM
AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

(Continued)

Report on Internal Control Over Compliance

Management of the University is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the University's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Worcester, Massachusetts

_____, 2020

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

YEAR ENDED JUNE 30, 2019

I. SUMMARY OF INDEPENDENT AUDITOR'S RESULTS

Financial Statements

Type of auditor's report issued on whether the financial statements audited were prepared in accordance with GAAP:

Unmodified

Internal control over financial reporting:

Material weakness(es) identified?

☐ Yes ☒ No

Significant deficiency(ies) identified?

☐ Yes ☒ None Reported

Noncompliance material to financial statements noted?

☐ Yes ☒ No

Federal Awards

Internal control over major programs:

Material weakness(es) identified?

☐ Yes ☒ No

Significant deficiency(ies) identified?

☐ Yes ☒ None Reported

Type of auditor's report issued on compliance for major programs:

Unmodified

Any audit findings disclosed that are required to be reported in accordance with section 2 CFR 200.516(a)?

☐ Yes ☒ No

Identification of major programs:

CFDA Number(s)

Name of Federal Program or Cluster

Student Financial Assistance Cluster:

84.007

Federal Supplemental Educational Opportunity Grant

84.033

Federal Work Study Program

84.038

Federal Perkins Loans

84.063

Federal Pell Grant Program

84.268

Federal Direct Student Loans

Dollar threshold used to distinguish between type A and type B programs

\$750,000

Auditee qualified as low-risk auditee?

☒ Yes ☐ No

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

YEAR ENDED JUNE 30, 2019
(Continued)

II. FINANCIAL STATEMENT FINDINGS

A. Internal Control Findings

As disclosed in Section I, the audit of the basic financial statements of Worcester State University as of and for the year ended June 30, 2019, disclosed no matters involving the internal control over financial reporting and its operations that are considered to be significant deficiencies or material weaknesses.

B. Compliance Findings

As disclosed in Section I, the audit disclosed no instances of noncompliance which are material to the financial statements of Worcester State University as of and for the year ended June 30, 2019.

III. FINDINGS AND QUESTIONED COSTS FOR FEDERAL AWARDS

A. Internal Control Over Compliance

No matters were reported as of and for the year ended June 30, 2019.

B. Compliance Findings

No matters were reported as of and for the year ended June 30, 2019.

WORCESTER STATE UNIVERSITY
(An Agency of the Commonwealth of Massachusetts)

SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS

YEAR ENDED JUNE 30, 2019

The prior year single audit disclosed no findings in the Schedule of Findings and Questioned Costs, and no uncorrected or unresolved findings exist from the prior audit's Summary of Prior Audit Findings.

DISCUSSION DRAFT 2/24/20

Memorandum

DATE: February 24, 2020

TO: Barry M. Maloney, President

FROM: Kathleen Eichelroth, Vice President for Administration and Finance



RE: **FY 2020 BUDGET AMENDMENT #2**

The attached budget amendment is necessary to recognize state appropriations allotted to Worcester State University as a result of a FY 2019 Supplemental Budget approved by the state legislature on December 11, 2019. The supplemental appropriation provides \$250,000 of additional operating appropriations to WSU for FY 2019 in response to a request made by the administration seeking assistance with costs associated with the May Street Building. The funds have been released to the state operating account and are available immediately. The attached amendment reflects an increase in state appropriations of \$250,000 along with the respective increase in state funding (111) of full time employees costs. In addition there is a reduction of full time payroll costs funded by campus trust funds (400) with a transfer of the increased spending capacity to the Infrastructure & Building Improvements trust fund (400) expenditure category. The administration intends to apply the funds to costs associated with temporarily relocating the cell tower on site and/or the cost of maintenance and repairs to the facility in order that we may continue to occupy the facility while developing long range plans for the site.

Worcester State University
General Operating Budget (111 & 400)
FY 2020 Budget - Amendment #2

FY2020
Approved
Budget
Amendment #2

Sources of Funds:

Revenues	\$ 250,000
Total Sources	<u>\$ 250,000</u>

Uses of Funds:

AA Regular Employees

BB Employee Related Expenses

CC Temporary Part-Time Employees

DD Staff Benefit Expenses

EE Administrative Expenses

FF Facility Operation Supplies

GG Energy/Space Rental

HH Professional Services

JJ Operational Services

KK Equipment Purchase

LL Equipment Lease, Maintenance, Repair

NN Infrastructure & Building Improvements

RR Educational Assistance

SS Debt Service

UU Technology Expenses

Transfer to - Capital Improvement Trust Fund

Transfer to - Strategic Plan Trust Fund

Transfer to - Reserves

Total Uses	<u>\$ 250,000</u>
Net Sources / (Uses)	<u>\$ -</u>

Worcester State University
General Operating Budget (111 & 400)
FY 2020 Budget - Amendment #2

	FY2020 Approved Budget Amendment #2	FY2020 Approved Budget
<u>Sources of Funds:</u>		
Revenues	\$ 76,948,607	\$ 76,698,607
State Funded Fringe Benefits	\$ 11,656,361	\$ 11,656,361
Transfer in -Reserves	\$ 225,195	\$ 225,195
Total Sources	\$ 88,830,163	\$ 88,580,163
<u>Uses of Funds:</u>		
AA Regular Employees	\$ 41,761,654	\$ 41,761,654
BB Employee Related Expenses	733,163	733,163
CC Temporary Part-Time Employees	8,403,476	8,403,476
DD Staff Benefit Expenses	16,123,008	16,123,008
EE Administrative Expenses	2,614,549	2,614,549
FF Facility Operation Supplies	1,886,106	1,886,106
GG Energy/Space Rental	2,389,498	2,389,498
HH Professional Services	951,188	951,188
JJ Operational Services	771,333	771,333
KK Equipment Purchase	61,412	61,412
LL Equipment Lease, Maintenance, Repair	1,253,157	1,253,157
NN Infrastructure & Building Improvements	5,616,969	5,366,969
RR Educational Assistance	2,490,961	2,490,961
SS Debt Service	307,013	307,013
UU Technology Expenses	2,256,245	2,256,245
Transfer to - Capital Improvement Trust Fund	1,210,431	1,210,431
Transfer to - Strategic Plan Trust Fund		
Transfer to - Reserves		
Total Uses	\$ 88,830,163	\$ 88,580,163
Net Sources / (Uses)	\$ -	\$ -

Worcester State University
State Maintenance Appropriation (111)
FY 2020 Budget - Amendment#2

		FY2020 Approved Budget Amendment #2	FY2020 Approved Budget
<u>Sources of Funds:</u>			
	State Appropriation	\$29,932,709	\$29,682,709
	State Funded Fringe Benefits	11,656,361	11,656,361
	Total Sources	<u>\$41,589,070</u>	<u>\$41,339,070</u>
<u>Uses of Funds:</u>			
AA	Regular Employees	\$29,932,709	\$29,682,709
BB	Employee Related Expenses	-	-
CC	Temporary Part-Time Employees	-	-
DD	Staff Benefit Expenses	11,656,361	11,656,361
EE	Administrative Expenses	-	-
FF	Facility Operation Supplies	-	-
GG	Energy/Space Rental	-	-
HH	Professional Services	-	-
JJ	Operational Services	-	-
KK	Equipment Purchase	-	-
NN	Infrastructure & Building Improvements	-	-
	Total Uses	<u>\$41,589,070</u>	<u>\$41,339,070</u>
	Net Sources / (Uses)	<u>\$ -</u>	<u>\$ -</u>

Worcester State University

General Trust Fund (400)

FY 2020 Budget- Amendment #2

		FY2020 Approved Budget Amendment #2	FY2020 Approved Budget
<u>Sources of Funds:</u>			
	Revenues	\$ 47,015,898	\$ 47,015,898
	Transfer in - Reserves	\$ 225,195	\$ 225,195
	Total Sources	<u>\$ 47,241,093</u>	<u>\$ 47,241,093</u>
<u>Uses of Funds:</u>			
AA	Regular Employees	\$ 11,828,945	\$ 12,078,945
BB	Employee Related Expenses	733,163	733,163
CC	Temporary Part-Time Employees	8,403,476	8,403,476
DD	Staff Benefit Expenses	4,466,647	4,466,647
EE	Administrative Expenses	2,614,549	2,614,549
FF	Facility Operation Supplies	1,886,106	1,886,106
GG	Energy/Space Rental	2,389,498	2,389,498
HH	Professional Services	951,188	951,188
JJ	Operational Services	771,333	771,333
KK	Equipment Purchase	61,412	61,412
LL	Equipment Lease, Maintenance, Repair	1,253,157	1,253,157
NN	Infrastructure & Building Improvements	5,616,969	5,366,969
RR	Educational Assistance	2,490,961	2,490,961
SS	Debt Service	307,013	307,013
UU	Technology Expenses	2,256,245	2,256,245
	Transfer to - Capital Improvement Trust Fund	1,210,431	1,210,431
	Transfer to - Strategic Plan Trust Fund		
	Transfer to - Reserves		
	Total Uses	<u>\$ 47,241,093</u>	<u>\$ 47,241,093</u>
	Net Sources / (Uses)	<u>\$ -</u>	<u>\$ -</u>



WORCESTER
STATE
UNIVERSITY

Financial Planning Update

March 2020



Discussion Items

- Financial Ratio Trend Analysis
- Debt Policy
- Moody's Higher Education Rating Methodology
 - Historical Trends
 - FY 2019 Quantitative Scorecard

Financial Ratios

5 year review



Primary Reserve Ratio

Are the resources sufficient and flexible enough to support the College's mission?

This ratio provides a snapshot of financial strength and flexibility by indicating how long the institution could function using its expendable reserves without relying on additional net assets generated by operations.

FY 2019 Analysis:

WSU continues to grow its unrestricted reserve balance to support the long term financial stability of the institution and to accomplish the goals of the university wide capital plan. Unrestricted net assets are reported exclusive of the accumulated OPEB and Pension obligations passed down to the University's financials statements as required by the Commonwealth.

	FY 2019	FY 2018	FY 2017	FY 2016	FY 2015
PRIMARY RESERVE RATIO					
Unrestricted Net Assets from operations	40,687,978.00	36,393,787.00	34,745,510.00	32,494,088.00	33,462,206.00
Expendable restricted net assets	603,322.00	221,020.00	305,250.00	3,365,187.00	2,630,207.00
Expendable Net Assets	41,291,300.00	36,614,807.00	35,050,760.00	35,859,275.00	36,092,413.00
Total Operating Expenses	112,628,847.00	105,778,610.00	101,408,848.00	96,975,083.00	90,084,965.00
Interest Expense					
Total Expenses	112,628,847.00	105,778,610.00	101,408,848.00	96,975,083.00	90,084,965.00
PRIMARY RESERVE RATIO	0.3666	0.3461	0.3456	0.3698	0.4006

Return on Net Asset Ratio

Does financial asset performance support the strategic direction of the College?

This ratio determines whether the institution is financially better off than in previous years by measuring total economic return. A temporary decline in this ratio may be appropriate and even warranted if it reflects a strategy to better fulfill the institution's mission.

FY 2019 Analysis:

Return on net asset ratio was high as we completed construction of the Wellness Center . The decline in FY 2017 and FY 2018 is the result of the GASB required postretirement benefit accruals to reflect the campus share of the Commonwealth's liability related to the third party management of the retirement assets. In FY 2019 the University closed the year with a slight increase in net assets despite the magnitude of the accrual adjustment related to the post retirement benefit plans. We had positive operating results in FY 2019, including the receipt of collective bargaining funds that had not been anticipated and positive return on investment assets.

	FY 2019	FY 2018	FY 2017	FY 2016	FY 2015
RETURN ON TOTAL NET ASSETS					
Change in Total Net Assets	89,625.00	(4,993,357.00)	(4,433,143.00)	21,407,611.00	1,971,897.00
Total Net Assets - Beginning of Year	62,608,757.00	67,602,114.00	104,279,193.00	82,871,582.00	80,899,685.00
RETURN ON TOTAL NET ASSETS	0.14%	-7.39%	-4.25%	25.83%	2.44%

Net Operating Revenue Ratio

Do the operating results indicate that the College is living within available resources?
This ratio indicates whether total operating activities resulted in a surplus or deficit.
A positive ratio indicates that the institution experienced an operating surplus for the year.

FY 2019 Analysis:

Return on Net Asset ratio was high in FY 2016 as we completed construction of the Wellness Center. The precipitous decline in FY 2017 and FY 2018 is the result of the GASB required post retirement benefit accruals to reflect the campus share of the Commonwealth's liability related to the third party management of the retirement assets. In FY 2019 the University closed the year with a slight increase in net assets despite the magnitude of the accrual adjustment related to the post retirement benefit plans. We had positive operating results in FY 2019 including the receipt of collective bargaining funds that had not been anticipated and positive return on investment assets.

	FY 2019	FY 2018	FY 2017	FY 2016	FY 2015
NET OPERATING REVENUES RATIO					
Operating Revenues	67,461,960.00	65,056,221.00	61,931,790.00	60,926,417.00	57,098,983.00
less Operating Expenses	(112,628,847.00)	(105,778,610.00)	(101,408,848.00)	(96,975,083.00)	(90,084,965.00)
Plus Net Nonoperating Revenues	45,256,512.00	35,729,032.00	34,981,263.00	34,417,747.00	32,312,517.00
Oper. Inc (loss) plus Non-Op Rev (Exp)	89,625.00	(4,993,357.00)	(4,495,795.00)	(1,630,919.00)	(673,465.00)
Operating Revenues	67,461,960.00	65,056,221.00	61,931,790.00	60,926,417.00	57,098,983.00
Plus Net Nonoperating Revenues	45,256,512.00	35,729,032.00	34,981,263.00	34,417,747.00	32,312,517.00
Interest					
Oper Revenues plus Oper Expn	112,718,472.00	100,785,253.00	96,913,053.00	95,344,164.00	89,411,500.00
NET OPERATING REVENUE RATIO	0.08%	-4.95%	-4.64%	-1.71%	-0.75%

Viability Ratio

Is debt managed strategically to advance the College's mission?

This ratio measures one of the most basic determinants of clear financial health - the availability of expendable net assets to cover debt should the institution need to settle its obligations as of the balance sheet date. We have made a distinction between Net Unrestricted Reserves and Unrestricted Net Assets from Operations since the implementation of GASB 68 in order to accurately reflect the availability of expendable resources from year to year.

FY 2019 Analysis:

The results are consistent with the University's five year capital financing plan which focuses on growth of unrestricted reserves from operations through net revenue accumulation in the Capital Improvement Trust Fund and a targeted annual operating surplus in the General Purpose Trust Fund. While Net Unrestricted Reserves and Total Net Position are significantly impacted by depreciation expense and the required allocation of retirement plan accruals to the University, we are progressing toward University goals with regard to the growth of unrestricted cash within the campus based trust funds.

	FY 2019	FY 2018	FY 2017	FY 2016	FY 2015
VIABILITY RATIO					
Unrestricted Net Assets from operations	40,687,978.00	36,393,787.00	34,745,510.00	32,494,088.00	33,462,206.00
Expendable restricted net assets	603,323.00	221,020.00	305,250.00	3,365,187.00	2,630,207.00
Expendable Net Assets	41,291,301.00	36,614,807.00	35,050,760.00	35,859,275.00	36,092,413.00
Current Liabilities					
Current Portion of Cap Lease	275,694.00	115,923.38	412,606.00	467,514.00	197,403.00
Current Portion of bonds, notes pay	705,666.67	680,667.00	660,667.00	635,667.00	615,667.00
Noncurrent Liabilities					
Capital Lease Obligations	296,514.61	40,211.06	115,572.00	451,100.00	303,600.00
Bonds, notes payable, & other	21,991,774.00	22,733,135.00	23,449,497.00	24,145,858.00	24,817,219.00
Long Term Debt	22,697,440.67	23,413,802.00	24,110,164.00	24,781,525.00	25,432,886.00
VIABILITY RATIO	1.82	1.56	1.45	1.45	1.42

Debt Capacity Ratio

Debt capacity analysis evaluates the College's long-term obligations and the institution's ability to meet debt service demands.

The debt capacity ratio is used by rating agencies and assesses an institution's ability to meet future debt service obligations with current unrestricted resources.

The ratio equals the maximum annual debt service divided by unrestricted current fund expenditures less mandatory transfers.

	<u>Annual Debt Service</u>	<u>Ratio</u>	<u>With MSCBA debt</u>
<u>Actual</u>			
FY 2015	1,384,979	1.5%	8,491,000
FY 2016	1,384,979	1.4%	9,208,000
FY 2017	1,385,779	1.4%	8,416,000
FY 2018	1,385,779	1.3%	9,023,000
FY 2019	1,387,204	1.3%	8,909,000
CY benchmark	<u>5,631,442</u>	5% oper exp.	

Debt Burden Ratio

This ratio expresses annual debt service payments as a percent of total expenses. It measures an institution's ability to repay debt service on all outstanding debt and its impact on the institution's overall budget.

	<u>Annual Debt Service</u>	<u>Total Expenses</u>	<u>Ratio</u>
<u>Actual</u>			
FY 2015	1,384,979	90,084,965	1.54%
FY 2016	1,384,979	96,975,083	1.43%
FY 2017	1,385,779	101,408,848	1.37%
FY 2018	1,385,779	105,778,610	1.31%
FY 2019	1,387,204	112,628,847	1.23%



WORCESTER
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Debt Management Policy





WORCESTER
STATE
UNIVERSITY

Moody's Higher Education Rating Methodology



Historic Trends



Issuer Name:	Worcester State University, MA						
Balance Sheet (\$000)	2013	2014	2015	2016	2017	2018	2019
Assets							
Cash & Investments	44,850	52,653	51,818	50,136	41,509	43,528	53,339
Foundation Cash & Investments	17,088	20,755	20,304	20,526	23,128	28,883	23,128
Total Cash & Investments	61,938	73,408	72,122	70,662	64,637	72,411	76,467
Liabilities							
Total Direct Debt	155,462	154,740	153,731	150,719	146,741	140,515	136,933
Total Demand Debt							
Cash							
Cash & Investments	44,850	52,653	51,818	50,136	41,509	43,528	53,339
Foundation Cash & Investments	17,088	20,755	20,304	20,526	23,128	28,883	23,128
Funds Held In Trust by Others (Included as Investment Income)							
Funds Held in Trust by Others (Income Included as Contributions in Audit) Pledges							
Receivable Reported in Permanently Restricted Net Assets	-	-	-	-	0	0	0
Foundation Pledges Receivable Reported in Permanently Restricted Net Assets				0	0	0	0
Foundation Permanently Restricted Net Assets	11,247	11,835	12,309	13,010	14,248	17,561	14,248
Total Permanently Restricted Net Assets							
Spendable Cash & Investments	50,691	61,573	59,813	57,653	50,389	54,850	62,219
Income Statement (\$000)	2013	2014	2015	2016	2017	2018	2019
Revenues							
Scholarship Aid	7,252	7,558	8,350	8,752	8,414	9,262	8,427
Net Tuition Revenue	32,964	33,399	34,214	35,230	36,647	38,193	39,938
Government Student Grant Revenue	5,834	6,306	7,158	8,003	8,035	8,888	9,046
Government Student Loan Revenue	0	0	0	0	0	0	0
Scholarship Expense	(1,208)	(1,034)	(730)	(1,171)	(2,763)	(2,635)	(2,089)
Total Net Tuition and Fees	37,590	38,672	40,642	42,062	41,918	44,446	46,895
Net Auxiliary Enterprises	9,121	9,348	11,251	12,143	12,278	12,960	13,292
Patient Care Revenue							
Tax Revenue							
Government Operating Appropriations	26,484	30,056	31,841	33,606	35,170	35,415	39,400
Grants and Contracts	2,630	3,098	3,417	2,922	3,898	3,759	3,686
Contributions for Operations							
Endowment Spending / Investment Income	1,939	2,114	2,342	969	896	982	1,300
Net Assets Released From Restrictions	1,281	1,575	1,059	1,146	1,032	1,265	1,469
Other Revenue							
Other Investment Income							
Total Operating Revenue	79,045	84,862	90,552	92,848	95,191	98,827	106,042
Expenses							
Interest	(4,163)	(4,514)	(5,253)	(5,159)	(5,255)	(5,461)	(5,326)
Pension		(1,490)	(1,662)	(1,304)	(2,656)	(2,436)	(3,030)
FAS 106/Post Retirement Health Expense		0	0	0	0	(2,969)	(3,175)
Research							
Auxiliary	(3,190)	(3,338)	(5,004)	(4,533)	(4,832)	(4,832)	(4,832)
Recurring Transfer to Affiliated Entity							
Other	(69,270)	(71,319)	(75,123)	(80,889)	(81,736)	(78,397)	(78,397)
Total Expense	(76,623)	(80,660)	(87,042)	(91,885)	(94,478)	(94,094)	(94,759)
Operating Income	2,421	4,202	3,510	963	713	4,733	11,283
Operating Cash Flow	10,760	12,875	12,988	10,786	11,296	15,849	22,057
Cash Flow (\$000)	2013	2014	2015	2016	2017	2018	2019
Principal payments on debt (regularly scheduled)	(1,175)	(1,489)	(3,158)	(3,514)	(3,086)	(3,562)	(3,583)
Interest Paid	(3,885)	(3,939)	(5,333)	(5,694)	(5,330)	(5,461)	(5,326)
Additional, unusually large non-cash expenses	4,175	4,159	0	0	0	0	0
Depreciation Expense			4,225	4,665	5,328	5,655	5,448
Liquidity Data (\$000)	2013	2014	2015	2016	2017	2018	2019
Monthly Liquidity (Operating)	44,850	52,675	51,818	50,001	41,509	43,528	53,339
Monthly Liquidity (Endowment)	0	0	0	0	0	0	0
Unrestricted Board Designated Endowment	0	0	0	0	0	0	0
Unrestricted Working Capital (or Other Unrestricted Funds) Commingled with the Endowment (Operating)	30,723	34,051	33,462	32,494	34,746	36,394	40,688
Operational Data	2013	2014	2015	2016	2017	2018	2019
Total Enrollment FTE	5,337	5,437	5,373	5,339	5,409	5,449	5,465
Total Primary Market Applications	5,632	5,662	4,828	4,963	4,822	5,123	5,479
Total Primary Market Acceptances	3,467	3,479	3,458	3,651	3,742	4,062	3,922
Total Primary Market Matriculants	1,415	1,409	1,454	1,366	1,494	1,461	1,463

KEY RATIOS	2013	2014	2015	2016	2017	2018	2019
Financial Leverage (Spendable Cash & Investments to Total Debt) (x)	0.33	0.40	0.39	0.38	0.34	0.39	0.45
Operating Reserve (Spendable Cash & Investments to Operating Expenses) (x)	0.66	0.76	0.69	0.63	0.53	0.58	0.66
Operating Margin (%)	3.1	5.0	3.9	1.0	0.7	4.8	10.6
Reputation and Pricing Power (Annual Change in Operating Revenue) (%)	4.9	7.4	6.7	2.5	2.5	3.8	7.3
Operating Cash Flow Margin	13.6	15.2	14.3	11.6	14.3	11.6	11.9
Debt Service Coverage	2.02	2.14	1.54	1.24	1.35	1.76	2.48
Three-Year Average Debt Service Coverage (x)	2.36	2.12	1.85	1.59	1.38	1.46	1.87
Debt Affordability (Total Debt to Cash Flow) (x)	14.45	12.02	11.84	13.97	12.99	8.87	6.21
Revenue Diversity (Max Single Contribution) (%)	59.1	56.6	57.3	58.4	56.9	58.1	56.8
Monthly Liquidity (\$000)	44,850	52,653	51,818	50,136	41,509	43,528	53,339
Monthly Days Cash on Hand (x)	226.0	251.2	228.4	209.8	169.9	179.6	218.0
Monthly Liquidity to Demand Debt (%)	No DD	No DD	No DD	No DD	No DD	No DD	No DD
Net Tuition per Student (\$)	7,043	7,113	7,564	7,878	7,750	8,157	8,581
Government Appropriations per Student (\$)	4,962	5,528	5,926	6,294	6,502	6,499	7,210
Total Tuition Discount (%)	18.4	18.2	18.3	19.1	21.1	21.1	18.3
Primary Market Selectivity (%)	61.6	61.4	71.6	73.6	77.6	79.3	71.6
Primary Market Matriculation (%)	40.8	40.5	42.0	37.4	39.9	36.0	37.3

SOURCES OF REVENUE	2013	2014	2015	2016	2017	2018	2019
Tuition and Auxiliaries (%)	59.1	56.6	57.3	58.4	56.9	58.1	56.8
Investment Income (%)	2.5	2.5	2.6	1.0	0.9	1.0	1.2
Gifts (%)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Grants and Contracts (%)	3.3	3.7	3.8	3.1	4.1	3.8	3.5
Government Appropriations (%)	33.5	35.4	35.2	36.2	36.9	35.8	37.2
Tax Revenue (%)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Patient care (%)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other (%)	1.6	1.9	1.2	1.2	1.1	1.3	1.4

Financial Leverage: spendable cash and investments to total debt highlights the ability of a university to repay bondholders from wealth that can be accessed over time or for a specific purpose.

Operating Reserve: spendable cash and investments to operating expenses indicates the extent to which a university can rely on wealth that can be accessed over time or for a specific purpose to operate without earning any additional revenue. This measure is of particular importance during periods of financial stress when

revenue may be subject to volatility.

Operating Margin: operating income divided by total operating revenue. Indicates the amount of cash a university generates to support its strategic and capital investments

Reputation and Pricing Power: Annual change in operating revenue reflects the ability of a university to translate its brand into income. A university's reputation directly influences its ability to charge a particular level of tuition and fees while maintaining its optimal enrollment in terms of quality and size.

Operating Cash Flow Margin: compares net income before non-cash expenses relative to operating revenue to indicate the amount of cash a university generates to support strategic and capital investments.

Debt Service Coverage: Annual debt payments to cash flow measures the ability of a university to repay its annual debt obligations from the profitability of its current operations, as opposed to financial reserves, and is a measure of debt affordability

Debt Affordability: Total debt to cash flow measures the ability of a university to repay its debt from the profitability of its current operations, as opposed to financial reserves, and is a measure of debt affordability

Revenue Diversity: Captures a university's highest reliance on a single source of revenue such as student charges, government appropriations or research grants. Generally greater revenue diversity is a positive, reducing vulnerability to fluctuations in any single source of revenue.

Monthly Days Cash on Hand: Measures the number of days a university could continue to pay operating expenses from existing unrestricted cash and investments in

the absence of additional revenue, assuming equal daily expenditures

FY 2019 Summary:

The majority of analytics are trending positive in FY 2019. There was a slight decline in selectivity in FY 2019 during the same year that enrollment increased.

FY 2019 Quantitative Scorecard



Appendix C: Public University Quantitative Scorecard Ranges – Worcester State University 6/30/2019

	WSU	Sub-factor Weight	Aaa	Aa	A	Baa	Ba	B	Caa	Ca
Factor 1: Market Profile (30%)										
Scope of Operations	\$106,000	15%	≥ 2,700,000	< 2,700,000	< 400,000	< 75,000	< 40,000	< 30,000	< 15,000	< 8,000
Operating Revenue (\$000)				≥ 400,000	≥ 75,000	≥ 40,000	≥ 30,000	≥ 15,000	≥ 8,000	
Reputation and Pricing Power	7.3	5%	≥ 8	< 8	< 6	< 4	< 2	< 0	< -6	< -11
Annual Change in Operating Revenue (%)				≥ 6	≥ 4	≥ 2	≥ 0	≥ -6	≥ -11	
Strategic Positioning	V.Good	10%	Exceptional	Excellent	Very Good	Good	Fair	Poor	Very Poor	*
Factor 2: Operating Performance (25%)										
Operating Results	10.6	10%	≥ 20	< 20	< 11	< 4.5	< 1	< -2	< -3.5	< -5
Operating Cash Flow Margin (%)				≥ 11	≥ 4.5	≥ 1	≥ -2	≥ -3.5	≥ -5	
Revenue Diversity	56.8	15%	≤ 35	> 35	> 50	> 67	> 75	> 82	> 88	> 95
Maximum Single Contribution (%)				≤ 50	≤ 67	≤ 75	≤ 82	≤ 88	≤ 95	
Factor 3: Wealth & Liquidity (25%)										
Total Wealth	76,467	10%	≥ 2,500,000	< 2,500,000	< 100,000	< 25,000	< 10,000	< 2,300	< 900	< 350
Total Cash & Investments (\$000)				≥ 100,000	≥ 25,000	≥ 10,000	≥ 2,300	≥ 900	≥ 350	
Operating Reserve	.66	10%	≥ 1	< 1	< 0.5	< 0.15	< 0.05	< 0.044	< 0.038	< 0.032
Spendable Cash & Investments to Operating Expenses (x)				≥ 0.5	≥ 0.15	≥ 0.05	≥ 0.044	≥ 0.038	≥ 0.032	
Liquidity	218	5%	≥ 260	< 260	< 140	< 50	< 25	< 14	< 8	< 6
Monthly Days Cash on Hand				≥ 140	≥ 50	≥ 25	≥ 14	≥ 8	≥ 6	
Factor 4: Leverage (20%)										
Financial Leverage	.45	10%	≥ 3	< 3	< 0.75	< 0.2	< 0.12	< 0.06	< 0.035	< 0.021
Spendable Cash & Investments to Total Debt (x)				≥ 0.75	≥ 0.2	≥ 0.12	≥ 0.06	≥ 0.035	≥ 0.021	
Debt Affordability	6.21	10%	> 0	> 4	> 10	> 16	> 22	> 34	> 46	> 58
Total Debt to Cash Flow (x)			≤ 4	≤ 10	≤ 16	≤ 22	≤ 34	≤ 46	≤ 58	< 0

* We have opted to merge the Caa & below rating categories for Strategic Positioning given the similar characteristics at these rating categories.

Appendix D: Strategic Positioning Assessment Criteria – Worcester State University June 30, 2019

	Weight	Aaa Exceptional	Aa Excellent	A Very Good	Ba Good	B Fair	B Poor	Caa & below Very Poor
Strategic Positioning	10%	<ul style="list-style-type: none"> » Well integrated and sustainable strategic, capital, and financial plans supported by detailed financial forecasts » Proven ability to consistently execute and adjust plans through economic cycles » Highly diversified and consistent reinvestment funding sources » Annual capital investment ensures well-maintained and updated facilities » Systematized review and annual adjustments of academic programs » Annual self-assessment and benchmarking 	<ul style="list-style-type: none"> » Clearly articulated multi-year strategic, capital, and financial plans with associated cost forecasts » Stress-testing identifying ability to adjust plans with some demonstrated history of doing so » Strong diversification and consistency of reinvestment funding sources » Regular capital investment over a multi-year period with limited deferred maintenance » Regular review and adjustment of academic programs » Regular self-assessment and benchmarking 	<ul style="list-style-type: none"> » Periodic comprehensive multi-year strategic planning with associated cost forecasting » Good diversification of reinvestment funding sources over a multi-year period » Periodic capital investment with modest amounts of deferred maintenance » Periodic academic program adjustments » Demonstrated knowledge of competitive position 	<ul style="list-style-type: none"> » Strategic planning limited to medium-term time horizon » Less diversified but adequate reinvestment funding sources » Sporadic capital investments and moderate deferred maintenance » Sporadic review and adjustment of academic programs » Limited self-assessment and benchmarking 	<ul style="list-style-type: none"> » Limited and less comprehensive operating and capital planning and forecasting » Modest reinvestment funding sources with some reliance on external committed financings » Irregular capital investments with growing deferred maintenance » Few programmatic adjustments made to respond to market demand and conditions » Lack of self-assessment and benchmarking 	<ul style="list-style-type: none"> » Weak or ineffective operating and capital forecasting » High reliance on capital markets and external funding for non-discretionary capital and reinvestment expenditures » Growing deferred maintenance of facilities and infrastructure » Limited meaningful academic program review and adjustments » Accreditation warning or probation 	<ul style="list-style-type: none"> » Absence of detailed operational and financial planning and forecasting » No identifiable reinvestment funding sources » Significant deferred maintenance » No demonstrated academic program review » Substantive risk of loss of accreditation » No self-assessment, benchmarking, or competitive awareness

Memorandum

DATE: February 24, 2020

TO: Barry M. Maloney, President

FROM: Kathleen Eichelroth, Vice President for Administration and Finance



RE: FY 2019 WAIVED TUITION AND FEES

Attached is an analysis of waived tuition and fees during Fiscal Year 2019. There is a summary of the value of the waivers by approving authority and revenue category. Detail regarding the type of waiver is provided on the second page. Additional information regarding the count of waivers in each category will be available during the Finance and Facilities subcommittee meeting on March 5, 2020.

FY 2019 Waived Tution and Fees

	Day Tuition	Evening/Summer Tuition	Student Fees	Total Waived
BHE authorized	757,591.36	-	-	757,591.36
BHE approved - reimbursed	61,360.09	44,174.00	620,809.86	726,343.95
BHE - requested	-	85,819.50	183,035.58	268,855.08
WSU - approved	7,477.70	239,161.00	710,033.00	956,671.70
Total	826,429.15	369,154.50	1,513,878.44	2,709,462.09

Detail by waiver and revenue category provided on the following page

FY 2019 Waived Tution and Fees

<u>Categorical Day Tuition waivers</u>	percent waived	Amount
<i>BHE authorized - waiver</i>		
Senior Citizen	100%	34,498.35
Tsongas Scholarship	100%	6,790.00
Mass Rehabilitation	100%	29,512.49
Mass Transfer	100%	44,742.22
S. Koplick Certificate	100%	22,795.00
Mass Comm for Blind	100%	-
Human Service Provider	100%	606.20
Umasss/State University emp/dep 100%	100%	21,655.63
Umasss/State University emp/dep 100% (ee lives out of state)	100%	7,050.00
Umass Medical and other state agencies emp/dep 50%	50%	40,255.76
Umass/State University PT employee/dep 50/25%	50%	707.31
Umass Medical and other state agencies emp/dep 50% (ee lives out of state)	50%	3,525.00
Valedictorian	100%	-
Washington Center	100%	1,455.00
WSU Employee 100%	100%	1,495.50
Abigail Adams scholarship	100%	517,154.36
American Indian	100%	3,112.14
Commonwealth Commitment	100%	-
Veteran	100%	16,773.22
CAPS(state univ consortium)	100%	-
Uplan	100%	5,463.18
<i>BHE approved - reimbursed</i>		
Adopted/Foster Child	100%	36,200.31
National Guard	100%	25,159.78
<i>WSU approved</i>		
Worcester Consortium	100%	7,477.70
Foreign exchange	100%	-
National Student Exchange	100%	-
Total Day Tuition		<u>826,429.15</u>

WSU Evening/Summer Tuition Waivers

<i>BHE requested - waiver</i>		
Umasss/State University emp/dep 100%	50%	19,110.00
Umass Medical and other state agencies emp/dep 50%	50%	44,343.00
Umass/State University PT employee/dep 50/25%	25%	617.50
Washington Center	100%	1,560.00
WSU Employee 100%	100%	19,799.00
Commonwealth Commitment	varies	-
Uplan	100%	390.00
<i>BHE approved - reimbursed</i>		
Adopted/Foster Child	100%	-
National Guard	100%	44,174.00
<i>WSU approved</i>		
Foreign exchange	100%	-
National Student Exchange	100%	-
Veteran	50%	43,056.00
Graduate Student	100%	153,985.00
Senior Citizen	100%	85,176.00
Total Evening/Summer Tuition		<u>412,210.50</u>

WSU Student Fees Waived

<i>BHE requested - waiver</i>		
Tsongas Scholarship	100%	64,337.00
Mass Transfer	100%	-
Washington Center	100%	15,331.68
WSU Employee 100%	100%	36,917.06
Commonwealth Commitment	varies	-
CAPS(state univ consortium)	100%	-
Uplan	100%	20,849.84
Hurricane Maria (oos tuition and fees)(one time only)	100%	45,600.00
<i>BHE requested - reimbursed</i>		
Adopted/Foster Child	100%	335,965.00
National Guard	100%	284,844.86
<i>WSU approved</i>		
Senior Citizen	100%	419,431.50
Worcester Consortium	100%	69,445.00
Foreign exchange	100%	-
National Student Exchange	100%	-
Graduate Student	100%	178,100.50
Total Student Fees		<u>1,470,822.44</u>



WORCESTER STATE UNIVERSITY

Debt Management Policy

“Worcester State University is dedicated to offering high quality, affordable undergraduate and graduate academic programs and to promoting the lifelong intellectual growth, global awareness, and career opportunities of its students.”

Source: Worcester State University Mission Statement

FY 2020 Financial Planning Strategy

OBJECTIVE:

To establish a policy and procedure for arranging and approving financing transactions that will cause the University to become indebted or contingently obligated to an outside third party. This policy, established by the Vice President of Finance and Administration and approved by the Board of Trustees ("Board") provides guidance for the prudent use of debt to finance capital projects that enable the University to fulfill its mission and achieve strategic objectives. This policy will be reviewed at least annually, as part of the presentation and discussion regarding the annual audited financial statements, to ensure financial and operational flexibility. Management will update the Board on a quarterly basis with an overview of the financial health of the University and its use of debt.

SCOPE:

This policy applies to all University financings.

INTRODUCTION:

Debt financing allows the University to pay for a capital asset over a period of time. This is a financially responsible practice for certain types of capital investments when within appropriate limitations and at appropriate interest rates. Debt financing may also be financially beneficial to the University if borrowing rates are below expected investment returns or if the University invests in capital assets which provide investment returns or cost savings which are greater than the cost of borrowing. Since debt capacity is limited and our demand for debt may from time-to-time exceed capacity, it is imperative that borrowings fund only those projects that support the vision, mission and values of the University.

Decisions regarding the use of appropriate financial leverage should be balanced to ensure the University's current financial health, while considering the financial effect of present decisions on future costs of capital.

DEBT FUNDING SOURCES:

Worcester State University, under the aegis of the Board of Higher Education (BHE), receives funding for capital projects from three sources: Commonwealth General Obligation Bonds; bonds issued by the Massachusetts Development Finance Agency (MassDevelopment); and bonds issued by the Massachusetts State College Building Authority (MSCBA).

Commonwealth of Massachusetts General Obligation Bonds

General obligation bonds of the Commonwealth provide capital funding for all of state government. Portions of the funds available through this source are assigned to various agencies through debt caps determined by the Executive Office of Administration and Finance. The cost of this debt, and its availability, depend on the creditworthiness of the Commonwealth as a whole. The Commonwealth assumes the liability for this debt and records it as such on its financial statements. The funds flow to the University as a capital appropriation and do not affect the University's debt capacity.

MassDevelopment and MSCBA

MassDevelopment and MSCBA debt is issued by quasi-public authorities for specific types of capital projects and are paid for via dedicated revenue streams. MassDevelopment is the sole source of tax-exempt funding for all nonprofit educational, health and cultural organizations in the state. The MSCBA issues debt to finance student activity and residential buildings. The cost and availability of MassDevelopment and MSCBA debt depends on the creditworthiness of the individual college for which a project is being financed. MassDevelopment financing is available upon receipt of legislative authorization of a specific project and related financing cap. Debt issued through MassDevelopment becomes debt of the university and is reported as such on its financial statements. Debt issued by the MSCBA, for MSCBA owned property, is debt of the MSCBA and is reported as such on their financial statements. MSCBA debt issued for state owned property creates a long term liability for the university that is evidenced by a Memorandum of Understanding. A contingent liability is disclosed in a footnote in the university's financial

statements for MSCBA owned properties. MassDevelopment issued debt directly reduces the university's debt capacity. MSCBA issued debt on MSCBA owned property obligates specific revenue streams thereby reducing available revenue streams to service future debt. MSCBA issued debt for state owned property also directly reduces the University's debt capacity.

Capital leases

Capital lease financing is available through the Commonwealth of Massachusetts Equipment Lease-Purchase (TELP), Massachusetts Higher Education Consortium (MHEC) leases and other viable leasing mechanisms within the Commonwealth's rules and regulations.

Alternative Financing

The College will work closely with the Board of Higher Education, various state or federal agencies, and other state colleges to explore and/or develop other potential debt financing vehicles.

POLICY:

The following debt policy and procedures establish the guidelines for the University activities related to the issuance and servicing of debt. Adherence to these policies and procedures will help ensure that the University's exposures are effectively managed. It is the responsibility of the Office of Vice President of Finance and Administration to analyze, evaluate, and propose to the University Board of Trustees any long or short-term debt (short-term debt includes, but is not limited to, revolving line of credit, overdraft facility, commercial paper, bankers' acceptance, letter of credit and accounts receivable discount facilities) required for University operations. The analysis would ensure that any proposed financing has the lowest possible cost commensurate with the most favorable financial terms, conditions and risks and is consistent with the University's capital structure requirements. The University's Board of Trustees, in consultation with the Vice President of Finance and Administration and General Counsel, will have final approval for any instrument, document or agreement (prior to execution) which will cause the University to become indebted or contingently obligated to a third party.

DEBT OPERATING GUIDELINES:

In developing a debt management strategy there are three primary guidelines to consider.

Affordability - Includes an analysis of the cost of capital, cash flow forecasts and rationale to instill budget discipline and help ensure that intergenerational equity is achieved. (Intergenerational equity refers to the concept of matching the beneficiaries and users of the capital projects financed using debt proceeds and the actual payment of the principal and interest on the debt used to finance the facilities)

Risk Management - Includes an appropriate weighting or mix between fixed and variable (when available) rate debt, a plan to manage liquidity risks and exposures and rationale for matching assets to liabilities.

Financial Structure / Balance Sheet Management- Includes a goal of establishing and maintaining the highest credit/bond rating possible, a rationale for the appropriate level of debt versus equity and proactive monitoring of the capital markets to manage unplanned inefficiencies or disequilibriums in both debt and investment markets.

Affordability

- When issuing debt, the University will seek the lowest-cost source of funding available.
- All annual debt interest and principal amortization payments will be provided for in the annual budget plan with a target not to exceed 5% of annual operating expenditures. **FY 2019 Financial Statements provide for annual debt service of \$5,631,442. FY 2019 actual debt service was \$1,387,204. Long term commitments exist with MSCBA to cover residence hall debt and parking garage debt from WSU operating revenues. MSCBA provided revenue bond financing for the Wellness Center which is owned by the Commonwealth and recorded as a fixed asset of the University. Contractual payments to cover the LT lease costs on MSCBA property are budgeted for \$6,870,290, and \$650,698 respectively. Residence Hall**

commitments are funded by student rents set by the MSCBA. Parking Garage commitments are funded by the Capital Improvement Trust Fund.

- External borrowings will be coordinated to the extent practical so that multiple project needs can be accomplished in a single borrowing, thereby reducing issuance costs.
- The University will consider credit enhancement when it is cost beneficial and/or results in more favorable covenants.
- A project that has a related revenue stream or can create budgetary savings will receive priority consideration. For these projects, the use of debt must be supported by an achievable financial plan that includes servicing the debt and meeting any new or increased operating costs. However, this priority consideration is not meant to exclude other projects that are key to the University's mission and strategic initiatives.
- The cost of debt-financed capital acquisitions will be charged to the future users of the capital asset over the period the debt is outstanding and the assets usefulness.

Risk Management

- The University will actively consider refinancing outstanding debt only when net savings for the refinancing, measured on a net present value basis, are positive.
- Call options on outstanding debt will be exercised when; (1) they offer net present value savings when compared to alternative investment opportunities for these funds, (2) more favorable covenants can be obtained, and/or (3) the University desires to reshape the amortization pattern of its debt.
- The Office of Vice President of Finance and Administration will be responsible for monitoring the debt markets and recommending the appropriate tactical strategy depending on the interest rate environment, the University's liquidity position, tax regulations and market dynamics.
- In all borrowings, the University will strictly adhere to the principle of matching the term of the debt to the expected useful life of the project or to the purpose of the program being funded with that debt.
- Where financially feasible, debt will be retired as soon as possible to recapture debt capacity for future use. The maturity on a tax-exempt bond issue should be as short as economically feasible for the project, and will not exceed the useful life of the financed asset (this is more restrictive than the federal limit of 125% of the useful life).
- It is the general intent of the University to employ debt as a "financing vehicle" rather than a funding source. To the extent possible, internal funds, external gifts, grants, etc. will be used to "fund" capital projects, with the use of debt as a temporary financing source and/or "lowest cost of capital" alternative.
- External borrowing will be for the minimum required portion of project cost. Projects with alternative restricted or unrestricted funding sources may only use debt financing for the unfunded portion and to bridge the timing of cash payments on gifts and pledges.
- Debt service payments will be made in an accurate and timely manner.
- Compliance with debt covenants will be monitored by the Office of Vice President of Finance and Administration and external auditors and reported regularly to the Board.
- The Office of Vice President of Finance and Administration will strive to structure borrowings such that the University meets the required "spend down tests" thereby enabling it to retain project fund earnings in excess of the "arbitrage yield".

- The Office of Vice President of Finance and Administration will monitor the University's rebatable arbitrage earnings for tax purposes on an annual basis and evaluate compliance with IRS private use rules at issuance and periodically thereafter.
- The University's "debt capacity" will be determined from time to time, based on the evaluation of bond rating agency guidelines with the goal of maintaining the current minimum investment grade rating of A and preferably, a rating of A - or better.

Based on the three main objectives previously identified, the following guidelines will be used, although they are not intended to be all-inclusive.

Financial Ratios

This policy establishes guidelines to measure the total amount of debt outstanding and to assess overall financial health. The following ratios are consistent with ratios utilized in the higher education industry and should be reviewed at least annually and on a pro forma basis when considering debt financed projects.

The ratios below are calculated using the "unrestricted from operations" balance as reported on Schedule 5 of the audited financial statements. The audit figure identifies accumulated resources available to the University outside of the pension and OPEB accrued liabilities that will be funded in future years as determined by the Commonwealth of Massachusetts. The Commonwealth of Massachusetts Pension Plan is a separate entity and is subject to independent audit and retains all the resources accruing towards payment of the plans pension obligations, including those of the state university system. There is no obligation on the part of the University to liquidate its assets to fund the retirement of Commonwealth employees.

Viability Ratio **FY 2019 = 1.82**

This ratio measures the availability of expendable net assets to pay off long term debt. A ratio of 1.0 or higher indicates an institution has sufficient net assets to satisfy debt requirements.

Ratio = Expendable Net Assets/Long-Term Debt

Debt Burden Ratio **FY 2019 = 1.23%**

This ratio expresses annual debt service payments as a percent of total expenses. It measures an institution's ability to repay debt service on all outstanding debt and its impact on the institution's overall budget.

Ratio = Annual Debt Service/Total Expenses

As a general guideline, it is believed that if more than 5% of an institution's budget were devoted to debt service, that institution's flexibility to devote its resources to other needs would be compromised. It is understood that rising expenses could make this ratio seem more attractive, though misleading, and is evaluated in conjunction with an institution's income statement.

Primary Reserve Ratio **FY 2019 = 1 : .367**

This ratio provides a snapshot of an institution's financial strength and flexibility. The ratio indicates how long the University could operate using expendable reserves without relying on additional new assets generated by operations. Trend analysis indicates whether an institution has increased its net worth in proportion to its rate of growth. A negative or decreasing trend indicates a weakening financial condition.

Ratio = Unrestricted & Expendable Net Assets / Total Operating Expenses

Return on Net Assets Ratio **FY 2019 = .14%**

This ratio reports whether an institution's resources are growing and if it is financially better off than in previous years. It is important to assess this ratio as a linear trend – an increasing trend indicates an increase in net assets and an increased likelihood that the institution is able to set aside financial resources to strengthen future flexibility. Single year events, like a substantial gift or extreme investment performance, can cause significant year-to-year volatility.

Ratio = Increase (Decrease) in Net Assets / Beginning of Year Net Assets

Net Operating Revenues Ratio **FY 2019 = .08%**

This ratio indicates whether operating activities resulted in a surplus or deficit. A positive ratio indicates the College experienced an operating surplus; a continuing decline or pattern of deficits indicates financial problems.

Ratio = Adjusted Net Operating Revenues / Adjusted Total Income

PROCEDURES:

In addition to the review of the above performance ratios, other due diligence procedures used to evaluate the university's capacity for debt are provided below:

- **Application of Moody's Higher Education Rating Methodology**
Applying the methodology initially published in December 2017 and updated in May 2019 A&F has created a historical reference table of Moody's key ratios which will be updated annually upon approval of the annual audited financial statements. Analysis of the data will highlight positive and negative trends and provide a basis for modeling future debt scenarios and the impact on the university's key ratios and rating.
- **Multiple Year Capital Financing Plan**
Multi-year projections that model the accumulation and use of resources in the Capital Improvement Trust Fund are prepared annually. Funding scenarios for large scale projects are modeled with consideration for future fiscal stability of the university. New debt, capital contributions, fee increases, future debt obligations and growth of unrestricted reserves are evaluated along with forecasting of ratios.

Whenever short or long-term debt is required to fund University operations, or whenever there are transactions that would contingently obligate the University, the Office of Vice President of Finance and Administration must be contacted to arrange and/or approve all terms, conditions and financial covenants.

General Counsel must approve the legal form on all instruments, documents or agreements relating to financing, indebtedness and contingent obligations.

The Board of Trustees must approve all tax-exempt borrowings and any "indebtedness," or "contingent obligations."

Whenever Board of Trustee approval is required, the Office of Vice President of Finance and Administration will prepare the appropriate Board authorization resolution.

CONCLUSION:

The debt strategy outlined in this policy is designed to provide discipline to capital financing and operating budget decisions, and provide guidelines to manage interest rate and liquidity risk and ensure appropriate balance is achieved between debt, equity and cost of capital. To succeed there must be proactive management by the Office of the Vice President of Finance and Administration, active oversight by the Board and a commitment by all to adhere to the principles and objectives set forth in this policy

GLOSSARY OF TERMS

<i>Adjusted Change in Net Assets</i>	Change in Unrestricted Net Assets per the statement of activities, plus depreciation and interest expense.
<i>Credit</i>	Credit is the ability to repay a financial obligation. A measure of the quality and safety of a bond, based on the University's financial condition. More specifically, an evaluation from a rating agency indicating the relative likelihood that the College will be able to meet scheduled interest and principal repayments to investors. Credit Rating
<i>Debt</i>	All short and long term obligations, guarantees, and instruments that have the effect of committing the University to future payments and therefore impacting its credit.
<i>Debt Capacity</i>	The amount of debt the University can take on under specified criteria. Internal criteria include financial ratios. External criteria include credit ratings from rating agencies.
<i>Financial Ratios</i>	One value divided by another which are used to study and interpret relationships between financial variables.
<i>Leverage</i>	The degree to which the University is utilizing borrowed money versus internal funds to finance projects.
<i>Net Investment in Plant</i>	Total plant, property and equipment assets less long-term debt and accumulated depreciation.
<i>Rating Agencies</i>	Companies that publish borrowers' credit ratings, such as Moody's and Standard and Poor

Memorandum

DATE: February 24, 2020

TO: Steve Madaus, Chair, Finance and Facilities Subcommittee

FROM: Kathleen Eichelroth, Vice President for Administration and Finance

RE: **FY 2020 TRUST FUND REPORTS– QUARTER 2**



Attached are the Trust Fund Reports for the second quarter of Fiscal Year 2020, ended December 31, 2019.

The reports include the "All Trust Funds" revenue and expenditure reports in the same format as presented for quarter one. There is also a set of "Operating Budget" reports that present the year to date revenue and expenditure results for the combined state appropriated funds and the General Purpose Trust Fund.

As in the past, the "All Trust Funds" report for Revenue, reflects most funds with earnings above 85%. A significant portion of revenue is directly attributable to class registrations. As of the end of the calendar year returning students have been billed for spring semester classes. Students will make adjustments to their course schedules and new students will register through the end of January. During this period there will be additional fluctuations in earned revenue for these funds. Those changes will be reflected in the next quarter report.

The general purpose trust fund stands at 85.9% with other revenue streams in that fund being earned in a more incremental fashion throughout the year; the same holds true for the Parking Fines Scholarship Fund and Wellness Center Trust Fund.

The "All Trust Funds" Expenditure report reflects anticipated incremental monthly spending within the trust fund accounts. Many of the funds reflect spending anywhere from one quarter to a third expended as of the end of the calendar year, with the exception being the Parking Fines Scholarship Fund. The General Fund and Residence Hall Trust Fund are at 44% and 47% respectively, as both funds support the major operations of the campus. The current trends appear normal.

The "Operating Budget" Revenue report includes all sources that directly support the operating budget. As expected, academic fees are at over 90% earned in keeping with the fact that the majority of spring registration has already taken place. "Tuition" and "Other Student Charges" are at or above 50%, and will have significant activity that will post to the accounts later in the year. As the spring semester winds down other student charges will be assessed and posted to accounts. The majority of "Activity Income" is generated from application and orientation fees. These fees are earned during the second half of the year.

Expenditures to date are generally in line with expectations at an average of 41.25% as spending in the infrastructure and building improvements line is planned for spring of 2020.

FY 2020 – Quarter 2
6 Months Ended December 31, 2019
All Trust Funds

- Revenue – to date
- Expenditures – to date

Worcester State University
All Trust Fund Report - Quarter 2
FY20 Budget vs Actuals
Revenues 12/31/2019

Account Description	Original Budget - BOT	Revenue Budget Excluding Transfers	Revenue Earned Actual	Percent of Budget Earned	Unearned
General Trust Fund (400)	47,241,093.00	47,015,898.00	40,386,867.32	85.90%	6,629,030.68
Capital Improvement Trust Fund (405)	4,553,124.00	3,342,693.00	2,998,242.10	89.70%	344,450.90
Parking Garage Operating Fund (408)	744,174.00	-	-	0.00%	-
Strategic Plan Trust Fund (410)	562,582.00	-	-	0.00%	-
Wellness Center Trust Fund (429)	125,000.00	125,000.00	68,709.26	54.97%	56,290.74
Parking Fines Fund (439)	96,896.00	78,205.00	51,535.00	65.90%	26,670.00
Health Services Trust Fund (442)	549,761.00	445,573.00	427,813.57	96.01%	17,759.43
Resident Hall Trust Fund (445)	12,602,892.00	12,602,892.00	12,665,234.77	100.49%	(62,342.77)
Student Activities Trust Fund (446)	430,000.00	295,913.00	277,307.91	93.71%	18,605.09
Residence Hall Technology and Equipment Trust Fund (448)	327,580.00	327,580.00	327,140.00	99.87%	440.00
	67,233,102.00	64,233,754.00	57,202,849.93	89.05%	7,030,904.07

Approved Budget 67,233,102.00

Amount is not earned revenue but transfers to fund current activity (1,954,605.00)

Amount is not earned revenue but reserve balances budgeted to fund current activity (1,044,743.00)

64,233,754.00

Variance -

Worcester State University
All Trust Fund Report - Quarter 2
FY20 Budget vs Actuals
Expenses 12/31/2019

Account Description	Original Budget - BOT	Expenditure Budget	Expenditure Actual	Percent of Budget Spent	Available
General Trust Fund (400)	47,241,093.00	46,030,662.00	20,320,669.55	44.15%	25,709,992.45
Capital Improvement Trust Fund (405)	4,553,124.00	679,087.00	198,450.00	29.22%	480,637.00
Parking Garage Operating Fund (408)	744,174.00	744,174.00	314,247.15	42.23%	429,926.85
Strategic Plan Trust Fund (410)	562,582.00	562,582.00	9,779.71	1.74%	552,802.29
Wellness Center Trust Fund (429)	125,000.00	113,000.00	37,363.82	33.07%	75,636.18
Parking Fines Fund (439)	96,896.00	96,896.00	37,865.01	39.08%	59,030.99
Health Services Trust Fund (442)	549,761.00	549,761.00	201,289.00	36.61%	348,472.00
Resident Hall Trust Fund (445)	12,602,892.00	12,602,892.00	6,029,497.42	47.84%	6,573,394.58
Student Activities Trust Fund (446)	430,000.00	430,000.00	143,845.78	33.45%	286,154.22
Residence Hall Technology and Equipment Trust Fund (448)	327,580.00	300,438.00	72,832.47	24.24%	227,605.53
	67,233,102.00	62,109,492.00	27,365,839.91	44.06%	34,743,652.09

Approved Budget	67,233,102.00
Amount reflects a budgeted transfer from fund 405 to fund 408	(744,174.00)
Amount reflects a transfer to fund balance to increase reserves in fund 405	(3,129,863.00)
Amount reflects a transfer to fund balance to increase reserves in fund 429	(12,000.00)
Amount reflects a transfer to fund balance to increase reserves in fund 448	(27,142.00)
Amount reflects a budgeted transfer from fund 400 to fund 405	(1,210,431.00)
	<u>62,109,492.00</u>

Variance -

FY 2020 – Quarter 2
6 Months Ended December 31, 2019
Operating Budget
(State Appropriations and General Purpose Trust Fund Only)

- Revenue – to date
- Expenditures – to date

Worcester State University
FY20 Budget vs Actuals - Quarter 2
Operating Budget Revenue (Source 400 & 111)
12/31/2019

Description	Original Budget - Upload	Revenue Budget Excluding Transfers	Revenue Earned Actual	Percent of Budget Earned	Unearned
Academic Fees	(38,681,803.00)	(38,681,803.00)	(36,580,965.46)	94.57%	(2,100,837.54)
Fee Waivers	1,169,515.00	1,169,515.00	1,191,571.45	101.89%	(22,056.45)
Tuition	(8,884,645.00)	(8,884,645.00)	(4,941,686.68)	55.62%	(3,942,958.32)
Tuition Waivers	416,215.00	416,215.00	340,604.31	81.83%	75,610.69
Activity Income	(238,961.00)	(238,961.00)	(3,708.03)	1.55%	(235,252.97)
Other Student Charges	(796,219.00)	(796,219.00)	(392,682.91)	49.32%	(403,536.09)
State Maintenance	(41,339,070.00)	(41,339,070.00)	(9,641,127.67)	23.32%	(31,697,942.33)
	(88,354,968.00)	(88,354,968.00)	(50,027,994.99)	56.62%	(38,326,973.01)

Worcester State University
FY20 Budget vs Actuals - Quarter 2
Operating Budget Expenses (Source 400 & 111)
12/31/2019

Account Description	Object	Original Budget - BOT	Current Budget	Actual	Percent of Budget Spent	Available
Regular Employees	AAA	41,761,654.00	41,804,154.04	19,291,962.72	46.15%	22,512,191.32
Employee Related Expenses	BBB	733,163.00	800,447.69	418,562.40	52.29%	381,885.29
Temporary Part-Time Employees	CCC	8,403,476.00	8,495,901.42	5,415,562.31	63.74%	3,080,339.11
Staff Benefit Expenses	DDD	16,123,008.00	16,079,858.37	1,787,211.47	11.11%	14,292,646.90
Administrative Expenses	EEE	2,614,549.00	2,352,420.80	1,269,330.72	53.96%	1,083,090.08
Facility Operation Supplies	FFF	1,886,106.00	1,843,273.80	644,492.42	34.96%	1,198,781.38
Energy/Space Rental	GGG	2,389,498.00	2,232,873.00	999,010.81	44.74%	1,233,862.19
Professional Services	HHH	951,188.00	937,702.02	474,908.95	50.65%	462,793.07
Operational Services	JJJ	771,333.00	980,241.85	402,993.22	41.11%	577,248.63
Equipment Purchase	KKK	61,412.00	84,157.30	43,194.57	51.33%	40,962.73
Equipment Lease, Maintenance, Repair	LLL	1,253,157.00	1,309,416.77	658,728.78	50.31%	650,687.99
Infrastructure & Building Improvements	NNN	5,366,969.00	5,257,619.00	1,664,855.22	31.67%	3,592,763.78
Educational Assistance	RRR	2,490,961.00	2,457,448.00	1,261,353.53	51.33%	1,196,094.47
Debt Service	SSS	307,013.00	307,013.00	163,972.92	53.41%	143,040.08
Technology Expenses	UUU	2,256,245.00	2,427,204.94	1,546,326.16	63.71%	880,878.78
		87,369,732.00	87,369,732.00	36,042,466.20	41.25%	51,327,265.80

Approved Budget 88,580,163.00

Amount Loaded into source 405 Transfer Account (1,210,431.00)

87,369,732.00


Variance -



March 2, 2020

MEMORANDUM

TO: WSU Board of Trustees

FROM: Barry M. Maloney
President 

SUBJECT: University Campus Climate, Diversity & Inclusion

At the request of Board of Trustee Chair Craig Blais, I share this overview of the University's concerted and multipronged efforts to provide a welcoming, safe, and inclusive climate for the academic success of our students and an affirming community for our faculty and staff – consistent with our mission as a public university in Massachusetts.

The Academy – of which Worcester State University is a constituent – has a long tradition of seeking to foster open dialogue and a constructive engaged learning environment. As American higher education has changed over generations, that tradition has evolved to welcome an ever more diverse group of students and employees, and strived to maintain a supportive climate for the communities it serves. For Worcester State, the expectation of being open to all academically qualified students has meant a proactive effort to recruit students and employees that fully reflect the larger community's diversity in its many varying characteristics.

In 2016, I launched an inclusivity initiative intended to not only foster and support a diverse and inclusive campus community, but to be proactive in ways that encourage the University to reflect and be intentional in meeting that aspiration. That effort – started with my *Five Points of Action* – continues to evolve and be refined by our community.

Over the course of these recent years, our national dialogue on these topics has been challenging and often rife with disagreement and conflict. We have had our own particular local experiences that are a part of this national reality. The Unity Rally Against Hate, at which several Trustees were in attendance, last month is but one overt expression of our collective effort to respond to these challenges, express our aspirations of being a more welcoming community for all who wish to be with us, and strive to be a fully inclusive educational institution.

I welcome the Trustees active engagement with this effort.

With this memorandum, I share four documents that outline the University's commitment, planning and data about diversity and inclusivity. Collectively, these materials provide a rich information source to inform Board discussions on this topic. The documents are:

1. *Toward a More Inclusive Campus Climate* (2018), a WSU Report
2. 2017-18 WSU Affirmative Action Report
3. Equal Opportunity, Diversity and Affirmative Action Plan of the State Universities, approved by the Massachusetts Board of Higher Education (2018)
4. WSU Faculty Demographic Data by gender, race and ethnicity, Fall 2019

Going forward, I recommend that the Board consider scheduling meetings to receive annual updates from our diversity and inclusion governance committees. These reports would cover the ongoing work of four campus governance committees that I have initiated, and which are populated by faculty, students and staff. Memberships in these committees are reconstituted annually. Below is a brief summary of each of their charges:

Campus Climate Committee

The Campus Climate Committee (CCC) works collaboratively on a multi-stage approach to evaluating diversity, inclusion and equity, utilizing quantitative and qualitative data, to propose, design and assess short- and long-term systemic initiatives.

The purposes of the Advisory Committee are:

- To effectuate the University's mission:

Worcester State University champions academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. A Worcester State education equips students with knowledge and skills necessary for lives of professional accomplishment, engaged citizenship, and intellectual growth; and

- To implement the President's Five Point Plan of Action, Toward a More Inclusive Campus Climate:
 - classroom context
 - student engagement
 - cross-racial interactions
 - cultural competency training
 - diversity in all hiring processes

Bias Incident Response Team

The Bias Incident Response Team (BIRT) is responsible for providing a comprehensive approach to addressing incidents of bias that challenge the University's mission, core values, civility policies, policy against discrimination, discriminatory harassment, and retaliation, and efforts toward improving campus climate.

The purposes of the BIRT Committee are:

- to promote a safe and welcoming climate that is open to all;
- to provide care, support, resources, and education to individuals or groups who are the targets of bias incident and/or hate crimes and to the campus community concerning the resulting impact;
- to funnel reported incidents to the appropriate office for investigation and/or discipline;
- to recommend appropriate programs that are both preventative and responsive to bias incidents and hate crimes; and
- to document and monitor reported incidents of bias and hate.

Advisory Committee for Equal Opportunity, Diversity, and Affirmative Action

The Advisory Committee for Equal Opportunity, Diversity, and Affirmative Action is explicitly derived from the state-wide Equal Opportunity, Diversity, and Affirmative Action Plan.

The purposes of the Advisory Committee are:

- to serve as an advisory group to the President;
- to make recommendations to the President as well as respective campus and governance committees concerning effective implementation of the University's Equal Opportunity, Diversity, and Affirmative Action Plan;
- to evaluate institutional compliance with respect to all equal opportunity, diversity, and affirmative action programs, and to recommend appropriate strategies to the President; and
- to keep informed as to federal and state laws and regulations as well as institutional policies impacting equal opportunity, diversity, and affirmative action.

LGBTQ+ Advisory Group

The mission of the LGBTQ+ Advisory Group is to advocate for the needs of the LGBTQ+ community and work towards a campus culture where members of the LGBTQ+ community are welcomed and respected.

The purposes of the LGBTQ+ Advisory Group are:

- to make recommendations to the Office of Diversity and Inclusion about policies, programs, and services for LGBTQ+ students, faculty, and staff at WSU
- to identify and provide educational resources and programs supporting and celebrating the LGBTQ+ community
- Collaborate with WSU offices, programs, and groups that address the needs of the LGBTQ+ community.

WORCESTER STATE UNIVERSITY
Toward a More Inclusive Campus Climate



WORCESTER
STATE
UNIVERSITY

Toward a More Inclusive Campus Climate

By: Isaac Tesfay, ABD, MBA and Alex Briesacher, Ph.D.

Date (Revised): January 26, 2018

Submitted to President Barry Maloney

Introduction

Pursuing multicultural change on college campuses remains an elusive journey for many post-secondary institutions across the country. Many institutions espouse diversity goals that often guide campus efforts toward more inclusive campus climates; however, those diversity efforts remain aspirations and are often not reflected in institutional investments or changes in processes (Pope et al., 2014). Many of these diversity efforts are rooted in civil rights movements of the 1950s and 60s, and rapidly changing student demographics. Institutions have experienced significant increases in non-traditional students, racial and ethnic minorities, and growing international populations (Pope et al., 2009) that challenge traditional approaches to post-secondary pedagogies and institutional services. As a result, these demographic changes have greatly influenced the need for post-secondary institutions to be better prepared for and respond to the growing diversity initiatives required to be successful in a diverse and increasingly interconnected world (Smith & Parker, 2005).

This report is intended to provide a foundation for structural, cultural, and programmatic changes to the way Worcester State University could advance toward a more inclusive campus climate. Using a data driven approach, we have aligned our campus climate efforts with the University's mission to equip all campus community members, students and employees, for lives of professional accomplishment, engaged citizenship, global awareness, and intellectual growth.

Traditional Approaches to Multiculturalism

During the 1990s, colleges and universities embraced multiculturalism as a social imperative and celebrated their implementation of diversity-related programs and increasingly diversified student bodies as testament to their commitment to diversity (Smith & Parker, 2005). With an emphasis on increasing efficiency and effectiveness, many institutions focused on increasing access and opportunities for underrepresented populations and invested in efforts that created a more affirming campus environment. Many of these affirming efforts emphasized cross-cultural management trainings and policies to address climate concerns (Ramos & Chesler, 2010). These individual consciousness-raising approaches to workplace diversity often served as tools to briefly highlight how individuals could interact with others who may be different than themselves (Jackson & Holvino, 1988). Examples include celebratory events with guest lecturers, lunch-time presentations, movie series, and food-related events (Ulana Klymyshyn, O'Neil Green, & Richardson, 2010).

Although these activities resulted in increased structural representation and diversity programming, colleges continued to struggle with diversity-related issues on their campuses. Subsequently, these activities seemingly improved campus diversity concerns at the surface level, but they did not improve organizational relationships or cultures that continue to challenge campus climate initiatives (Pope et al., 2009; 2014). Higher education's approach to multiculturalism emphasized a "train-the-trainer" model where an individual or small group

would conduct organization-wide diversity training and awareness workshops (Jackson, 2005), while also tailoring interventions, increasing access and participation in campus programs and services for racial minorities and low-income students, or making minimal changes to policies and services (Nagda & Gutierrez, 2000). These multicultural efforts often highlighted the fair treatment of employees and typically involved the recruitment of underrepresented populations and the promotion of these new underrepresented hires as evidence of their commitment to diversity, multiculturalism, and institutional values (Kaiser, et al., 2013).

The individualized approach to multiculturalism resulted in a compliance-oriented strategy where racial and ethnic minorities were expected to assimilate into dominant culture rather than changing institutional values, practices, and policies (Smith & Parker, 2005). Consequently, these strategies maintained the normative standards and ideologies that uphold the dominant culture, values, and practices that sustain unwelcoming campus environments today (Pope et al., 2014). For example, few institutions have clearly articulated their definitions, commitment, and desired outcomes for diversity and multiculturalism, leaving most efforts disjointed, ineffective, and the appearance of fairness and success (Kaiser et al., 2013; Levine, 1991). Subsequently, institutions continue to lack genuine data on diversity outcomes and measurable progress toward goals and little connection between departmental programs and institutional diversity goals and strategic plans (Smith & Parker, 2005).

Additionally, traditional institutional evaluatory methods, which are frequently rooted in the normative standards that multicultural activities try to dismantle, often reduce these efforts to programmatic impositions, further eliminating opportunities to create systemic or organizational change toward a more welcoming campus environment (Kaiser et al., 2013; Smith & Parker, 2005). These ineffective approaches to multiculturalism call for a new standard through which institutions can move away from compliance and affirming practices to one that also confronts normativity in the pursuit of social justice.

Conceptual Frameworks

This research is driven by merging three different theoretical frameworks to begin a campus-wide discussion about the roles and relationships between the organizational structure of the educational environment, the psychological well-being of the students within the university, and the continued success of those students as academics – Multicultural Organizational Development Theory (MCOD), Social Identity Theory, and Identity Theory.

Multicultural Organizational Development

In order to pursue sustainable and meaningful changes, WSU's campus climate efforts are rooted in theory to ensure a pragmatic approach toward a more inclusive campus climate. According to Bess & Dee (2008);

Without theory, organizational leaders are forced to treat each problem that they encounter as unique – as if it were encountered for the first time. While leaders may have some experience with a particular problem, their solutions are usually not informed by the accumulated wisdom of others who have already encountered and solved similar problems, perhaps with much greater efficiency and effectiveness (xxxi).

The alignment of diversity, engaged citizenship, social justice, and intellectual growth resulted in the application of Multicultural Organizational Development Theory (MCOD). Consistent with the University's core values and strategic plan, MCOD serves as the theoretical foundation for the call to action by the University president.

Multicultural Organizational Development Theory (MCOD) emerged from the union between Organizational Development Theory (OD) and behavioral sciences in the 1980s as organizations attempted to develop best practices with techniques that addressed internal diversity issues (Jackson, 2005). In the late 1980s, Jackson & Holvino (1988) first proposed MCOD as a theory for systemic multicultural change by merging OD, social justice, and diversity. The crux of this new theory was to avoid the individual-consciousness approach and emphasize comprehensive systemic change (Pope et al., 2014). “Diversity is no longer about understanding and appreciating differences, breaking down stereotypes, or providing access to a wider range of students, it is also about confronting systems that privilege some groups and challenging the defensive reactions to the dismantling of those systems” (Pope et al., 2009, p. 645).

This new approach to multiculturalism promotes a system that seeks to align organizational values and activities with social justice and diversity (Jackson, 2005). Shortly after Jackson & Holvino’s (1988) introduction of MCOD, Pope (1993) defined it as:

A systemic, planned change effort that utilizes behavioral science knowledge and technologies for improving organizational effectiveness. MCOD incorporates and extends OD, challenges the status quo, and questions the underlying cultural assumptions and structures of organizations, as opposed to assuming that system change will be accompanied or followed by themes of social justice. Inherent in MCODs adaptation of behavioral-science knowledge and techniques is the commitment to address the underlying racial, gender, disability, class, sexual orientation, and religious issues with an organization (203).

With its critical lens on normative practices, MCOD distinguishes itself from traditional approaches to multiculturalism by focusing directly on social identity and oppression, assuming that organizational policies and practices reflect normative ideologies, assuming that traditional approaches will insignificantly impact attitudinal change, and building upon climate concerns and cross-cultural trainings (Ramos & Chesler, 2010).

The cultural assumptions as outlined by Pope (1993) suggest that organizational systems are not simply defined in a static sense of good, bad, monocultural, or multicultural, but instead exist on a continuum that fluctuates between these stages (Jackson, 2005). Principally, multicultural change efforts do not assume a linear progression but rather a continuous journey in the pursuit of a multicultural ideal, which is subject to internal and external factors that advance or detract an organization from achieving its goals. In the pursuit of social justice and inclusivity, MCOD inherently assumes that conflict is both necessary and inevitable, allowing organizations to better understand their structures, cultures, and the process of becoming a multicultural organization (Wilcox & McCray, 2005). The journey toward the multicultural ideal is deeply rooted within an organization’s internal assessment, and ownership over the data and systemic monitoring of the process will guide organizations toward becoming fully multicultural (Jackson, 2005). Additionally, the data-driven process provides guidance in overcoming challenges and conflict as well as identifying areas of needed improvement, which may include opportunities for trainings and professional development.

MCOD inherently emphasizes that in order to adequately address oppression and discrimination, community members may require professional development and trainings that evaluate their own values, attitudes, and beliefs toward others who may be different from themselves (Ramos & Chesler, 2010). In order to effectively advance multicultural efforts, organizations must develop an internal team of change agents who will create innovative solutions and interventions. To achieve these outcomes, change agents must use the organization’s assessment data and remain grounded in MCOD theory and practice, as multicultural change efforts will

likely require dismantling existing practices or policies that maintain normative standards and culture (Ramos & Chesler, 2010).

Due to the nature of dismantling normative culture, aligning multicultural change efforts with MCOB is essential in providing a foundation, structure, and control points to achieve the multicultural ideal. According to Pope et al. (2014), “MCOB questions the underlying cultural assumptions and structures of organizations, as opposed to assuming that system change will be accompanied or followed by themes of social justice” (22). Essentially, MCOB acknowledges the value of celebratory activities, but its main purpose is to explore the patterns of discrimination and inequality, re-examine beliefs, assess organizational practices, and fundamentally transform the way the organization works (Pope et al., 2014).

The MCOB model and its framework provide a critical lens for evaluating and advancing a multicultural environment that values the cultures and perspectives of its employees as an essential asset to its organizational success. Once an organization designs and implements its assessment instruments and its location within the stage model, the next task is to devise an action plan that addresses the areas requiring improvement so as to ensure the institution moves along the continuum to the next stage.

Social Psychological Theories

The call of MCOB for continuous analysis and evaluation falls short of providing a framework for evaluating individuals within a complex organizational structure. Additionally, the multidimensional nature of college students requires consideration of both who these students are (race, gender, sexuality, etc.), and what these students do within the structure. In order to incorporate the different layers of identity, this research follows the call of Hogg et al. (1995) to attempt to bridge the gap between psychological and sociological social psychology by exploring the relationship between Social Identity Theory (Tajfel and Turner, 1979) and Identity Theory (Serpe, 1987). The integration of Social Identity Theory and Identity Theory allows for the simultaneous consideration of the psychological well-being of students as multicultural actors and the impact of the social environment on student performance in the classroom.

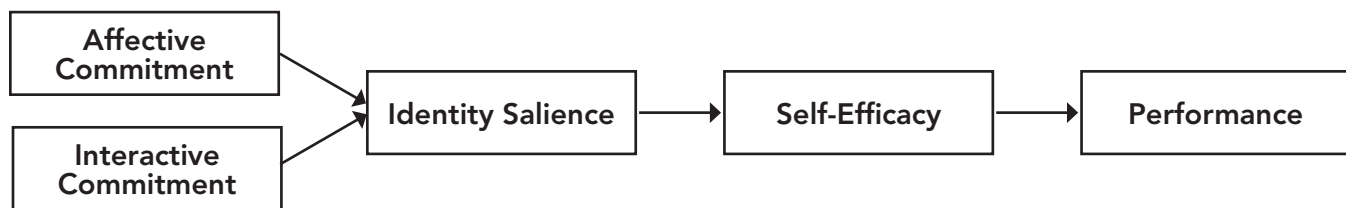
Developed by Tajfel and Turner (1979), Social Identity Theory (see Figure 1) argues that the social identities (race, gender, sexuality, etc.) that people identify with help provide a sense of belonging in the world around them. This sense of belonging helps people navigate the social world in a manner that seeks out self-enhancing interactions. When an individual is faced with perceived prejudice or discrimination, they are more likely to seek out greater connections to their social identities as a self-protective mechanism due to the static nature of those identities (as opposed to their role identities, discussed below). Extended exposure to perceived prejudice and discrimination, while increasing one’s ties to their social identity, has the potential to result in disidentification, whereby the individual begins to withdraw from the social situation where the discrimination is experienced.

Figure 1 — Social Identity Theory



While there is a larger focus on the psychological well-being of individuals within Social Identity Theory, Identity Theory (See Figure 2) allows for the incorporation of performance-based measures stemming from individuals' role identities (Hogg et al. 1995, Serpe, 1987). While social identities can generally be thought of as static identities (race, gender, etc.), role identities are a bit more dynamic in that not only can they change throughout the day (student, friend, worker), they can also change throughout one's life (high school graduate, college graduate, etc.). Identity Theory argues that an individual's affective (emotional) and interactive (number of people an individual works with within an identity) commitment to a role identity help determine the importance of that role identity to one's sense of self (or identity salience) (Owens 2003). The more salient an identity is, the more likely an individual will seek out opportunities to invoke that identity. As individuals spend more time within their most salient identities, their confidence (or self-efficacy) in their ability to succeed in those identities begin to rise. This confidence has a positive relation to the individual's performance within the role (Bandura 1997).

Figure 2 — Identity Theory



Toward a More Inclusive Campus Climate

During the Fall 2015 semester, WSU President Maloney convened campus community members to discuss how the institution could build upon its existing programs and services to ensure that the university is championing academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. Shortly thereafter, at the beginning of the Spring 2016 semester, the President announced his Five-Point Plan of Action toward a more inclusive campus climate and stated that he would like to pursue a data-driven approach to evaluating WSU's campus climate. These efforts would be jointly achieved through a partnership with NERCHE (New England Resource Center for Higher Education) at UMASS Boston and the National Institute for Transformation and Equity at Indiana University (NITE).

NERCHE visited the campus several times throughout the year, including their initial assessments with students, faculty, staff, deans, provost and president. Throughout the academic year, NERCHE also met with the campus climate committee, conducted focus group interviews with students, and co-presented their findings at three open-campus presentations. WSU also disseminated the Culturally Engaging Campus Environments (CECE) survey, which is distributed nationally by NITE. The CECE survey serves as the foundation for the quantitative analysis of student opinions on our campus climate research.

Sample and Data Collection

Consistent with MCODE theory, WSU conducted qualitative and quantitative studies in order to develop a baseline for future programmatic and systemic changes. Each student who participated in a qualitative focus group session was awarded a coffee voucher to the Sheehan Dining Hall. Nearly 200 (n=200) undergraduate students participated in faculty and staff led focus groups. In order to ensure rapport and a comfortable environment, student participants were selected through snowball sampling and convenience sampling. Faculty committee members used their current classes as well as those within their departments, and staff identified participants through their involvement in student activities and other organizations.

The collection of quantitative data occurred through multiple avenues. Committee members solicited students during peak hallway periods to participate in the survey, multiple campus-wide e-mails were distributed with a link to the online survey, and faculty offered voluntary opportunities during class to complete the survey. Of the 5,094 students enrolled in the spring semester, 1,238 participated in the survey (24.3% of the population), and 754 students completed the entire survey (a completion rate of 60.9%). Survey participants had the option to enter into a raffle to win a \$25 Amazon gift card.

Variables and Operationalization

Social Identity Theory

Five different types of self-identified social identities are incorporated within this study. First, race was operationalized as either White, Black, or Latino (while other racial categories were included in the survey, the significantly smaller sample of Asians, Native Americans, Pacific Islanders, and Multi-Racial respondents prevented a more thorough analysis). Second, sexual orientation is operationalized using two different techniques: within the larger analysis, comparisons are made between Heterosexual and Non-Heterosexual respondents.

Non-Heterosexual respondents, which are broken down within the analysis to provide a better picture of what is happening, include those students that identified as Asexual, Bisexual, Gay, Queer, Pansexual, Demisexual, Questioning, or Unsureⁱ. Additionally, gender is defined as male and female within this analysis (the small number of trans- respondents within the sample prevented a meaningful statistical analysis). Next, socioeconomic status is operationalized based on family income (on a scale of 1-11), highest degree earned by the respondent's parents or guardian (on a scale of 1-8), and whether the respondent is a first generation college student. Finally, students with disabilities were operationalized based upon self-identification with the question, "Have you been diagnosed with a disability or impairment?"

The Culturally Engaging Campus Environment (CECE) survey has a series of measures that are designed to tap into different elements of Social Identity Theory. Three different scales were used in the analysis of the campus environment: Collectivist Cultural Orientationⁱⁱ, Cultural Validationⁱⁱⁱ, and Cultural Familiarity from Others^{iv}. Two additional scales were developed from a modified multiethnic identity measure (Phinney 1992) to evaluate the attachment that individuals have to their most salient cultural identity: Culturally Relevant Knowledge^v, and Cultural Familiarity for one's self^{vi}. Finally, psychological well-being, with a specific focus on disidentification, is operationalized using a Subjective Belonging scale^{vii}.

Identity Theory

For the current analysis, participant's commitment to their student identities is operationalized in three ways: the number of credits they have completed in their degree, their current academic goals (based on the highest degree they hope to achieve), and their self-rated likelihood that they will graduate from Worcester State University. Additionally, student identity salience is measured based on Academic Motivation^{vii}, and Academic Self Efficacy^{ix} is based on a series of eight questions. Finally, performance is operationalized based on self-reported grade point average.

MCOD Theory

The final section of the theoretical structural equation model that was constructed was based around the idea of cultural responsiveness with a University focus. While each element of the cultural responsiveness scales may be more easily promoted in different facets of the University (Student Support, Administrative Leadership, and Curriculum), these scales were selected to be analyzed because all facets of the University maintain some level of influence. First, the focus of Holistic Support^x is on student's perceived *abilities to find* someone to help them on campus if they have a problem or an issue. In contrast to Holistic Support, Proactive Philosophies focus on the perceived importance of information that *is given to* students on campus. The motivation for the inclusion of Proactive Philosophies^{xi} is specifically about a focus on learning opportunities, services, and events *outside* the classroom. Finally, the Cross Cultural Engagement^{xii} is a measure of student's desires to have cross cultural discussions of social, political, and cultural importance. While the Proactive Philosophies scale is functionally exclusive of inside the classroom, the Cross Cultural Engagement scale is not exclusive of any location on campus.

Controls

In addition to the scales and models discussed above, controls were included for respondents: full or part time status within the University, dorm life, whether the student is an athlete, number of hours worked in an average week, high school grade point average, advanced placement courses taken in high school, whether the respondent attended a primarily White high school, primarily working class high school, primarily middle class high school, whether the respondent did community work in high school, citizenship status, age, and disability status. Descriptive statistics of all variables can be found in Appendix B.

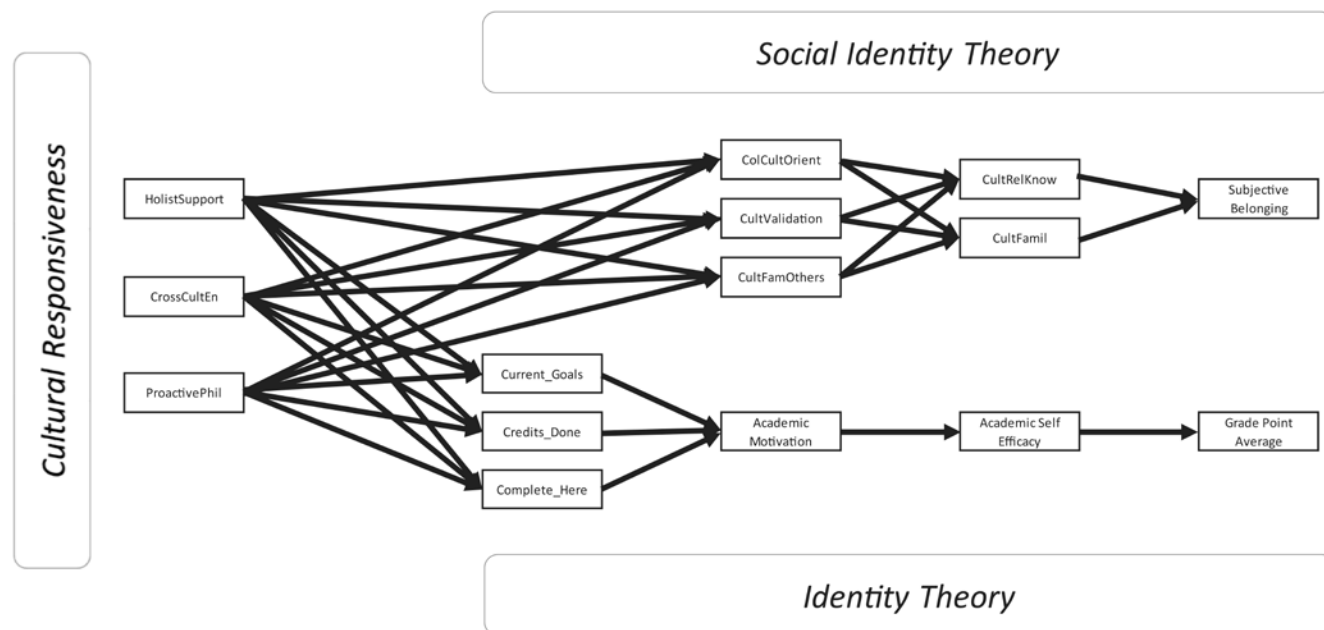
Analytic Strategy

The analytic approach used in this research is based on the construction of a structural equation model (SEM) drawing together three separate approaches to the cultural climate of the University (Social Identity Theory, Identity Theory, and Cultural Responsiveness). The advantage of SEM over other statistical techniques is that it allows for the simultaneous estimation of numerous different theoretical paths in order to identify the most statistically significant processes in predicting multiple outcomes at a time. While the initial theoretical model was developed from the literature within sociological and psychological social psychology, the Wald statistic within SEM allows for the recommendation of additional predictors within the theoretical model based on the empirical data in order to generate the most accurate statistical model available. While SEM was used to identify statistically and theoretically significant paths, specific analyses within this paper will focus on portions of the model for the sake of clarity. The full statistical model can be found in Appendix C.

While previous research has shown a reciprocal relationship between psychological well-being and academic performance (Rosenberg et al. 1995), the cross-sectional nature of the current data does not allow for a specific modeling of that relationship. As such the error terms for subjective belonging and grade point average have been correlated in order to provide a more accurate, yet conservative estimation, of the model (Baron and Kenny 1986).

The final theoretical structural equation model analyzed can be viewed in Figure 3.

Figure 3 — Driving Theoretical Model



The specific analyses discussed in this paper will focus on race, gender, sexuality, ability, and class differences generated within the model, as well as the effects of the cultural responsiveness at key points in the model.

Race Analysis

Table 1

Mean Differences, Direct and Total Effects of Black and Latino/a Respondents within SEM

		Black Respondents				Latino Respondents				Comparative: White	
		Mean	Difference from Sample	Direct Effects	Total Effects	Mean	Difference from Sample	Direct Effects	Total Effects	Mean	Difference from Sample
Performance Track	Likelihood Compete	4.65	0.09	0.17	0.12	4.59	0.03	0.08	0.17	4.56	0.00
	Credits Completed	6.09	0.05	-0.17	-0.10	6.00	-0.04	0.39	-0.14	6.08	0.03
	Current Goals	4.33	-0.18	-0.15	0.16	4.54	0.02	0.15	-0.14	4.55	0.03
	Academic Motivation	20.52	0.67	0.74	0.32	20.27	0.42	0.32	0.20	19.98	0.13
	Self Efficacy	31.94	0.20	0.05	0.08	32.46	0.72	0.53	0.57	31.84	0.10
Perceived Environment	Grade Point Average	5.09	-0.80	-0.71	-0.68	5.66	-0.23	0.06	0.07	6.05	0.15
	Collectivist Cultural Orientation	10.56	-0.97	-0.28	-0.96	10.54	-0.99	-0.51	-0.55	11.76	0.23
	Cultural Validation	9.57	-0.94	-0.14	-0.75	10.09	-0.42	0.00	-0.06	10.77	0.26
	Cultural Familiarity - Others	10.09	-0.80	-0.23	-0.85	9.52	-1.37	-0.91	-0.95	11.26	0.37
	Cultural Familiarity-Self	10.19	-1.13	-0.17	-0.91	9.66	-1.66	-0.54	-1.00	11.82	0.51
	Culturally Relevant Knowledge	8.80	-1.23	-0.21	-0.98	8.96	-1.07	-0.44	-0.63	10.43	0.40
Cultural Responsiveness	Subjective Belonging	10.52	-0.20	0.35	-0.43	9.50	-1.22	-0.60	-0.98	10.99	0.27
	Holistic Support	11.17	-0.33	-0.28	-0.28	11.43	-0.07	0.29	0.29	11.61	0.12
	Cross Cultural Engagement	9.20	-1.33	-1.32	-1.32	9.86	-0.67	-0.33	-0.33	10.76	0.23
	Proactive Philosophies	9.39	-0.80	-0.55	-0.55	10.16	-0.03	0.06	0.06	10.29	0.10

In analyzing the total effects of race in the current model, some striking differences begin to arise when comparing Black, Latino, and White students (See Table 1). When looking at Black students specifically, there is relatively little difference between Black respondents and the rest of the sample through the performance track (or the Identity Theory portion of the model), until comparing Black student GPA, which is significantly lower than the rest of the sample. Despite the relative similarity between Black students and the rest of the sample within the student identity, the significantly lower levels of perceived inclusion throughout the social identity theory portion of the model is concerning. The perceived lack of inclusion and validation within the University environment indicate one of two possible explanations for significantly lower GPA for Black respondents: First, the perceived lack of inclusion and validation is a trigger for stereotype threat within the Black student identity adding an additional performance burden to Black student success (Steele and Aronson 1995). Alternatively, the model indicates a level of disidentification within the Black student population that would be reflected in lower retention rates, and a weaker relationship between grade point average and retention at Worcester State University.

Following the trend of Latino students, a similar pattern begins to arise as with Black respondents. While there are no significant differences between Latino students and the rest of the sample in relation to the performance track within the model (including GPA), there are significantly lower levels of perceived inclusion throughout the environment portion of the model. This is especially poignant at the Cultural Familiarity from others portion of the model, which has the largest impact on subjective belonging for Latino respondents. The model indicates that the perceived difficulty of Latino students to find people that they feel understands them has become a significant barrier to feeling as if they belong within the University.

In terms of the cultural responsiveness portion of the model, both Black and Latino students are less satisfied with cross cultural engagement opportunities. The data indicates a desire by these students to have greater cross cultural discourse surrounding issues pertaining to social, cultural, and political diversity. While a focus on cross cultural engagement opportunities does not have a direct effect within the model on GPA (a specific concern for Black students in this analysis), the potential moderating effects of belongingness within Identity Theory should not be overlooked (Briesacher, 2014). Essentially, no matter how important being a student is to an individual, if they do not feel like they belong within an environment, the additional psychological toll makes success more difficult.

Sexuality Analysis

Table 2 — Mean Differences, Direct and Total Effects by Sexuality within SEM

		Heterosexual				Comparative: Nonheterosexual	
		Mean	Difference from Sample	Direct Effects	Total Effects	Mean	Difference from Sample
Performance Track	Likelihood Compete	4.62	0.07	0.22	0.22	4.29	-0.25
	Credits Completed	6.24	0.20	1.22	1.21	5.34	-0.70
	Current Goals	4.54	0.02	0.04	0.04	4.45	-0.07
	Academic Motivation	20.01	0.21	0.02	0.50	19.07	-0.73
	Self Efficacy	32.09	0.42	0.59	1.29	30.20	-1.47
	Grade Point Average	5.95	0.07	0.02	0.22	5.63	-0.25
Perceived Environment	Collectivist Cultural Orientation	11.63	0.16	0.34	0.35	10.90	-0.57
	Cultural Validation	10.58	0.10	0.08	0.09	10.11	-0.36
	Cultural Familiarity - Others	11.02	0.18	0.29	0.29	10.21	-0.64
	Cultural Familiarity-Self	11.43	0.18	0.02	0.20	10.62	-0.63
	Culturally Relevant Knowledge	10.07	0.06	-0.12	-0.02	9.79	-0.22
	Subjective Belonging	10.84	0.21	0.23	0.47	9.87	-0.76
Cultural Responsiveness	Holistic Support	11.57	0.11	-0.10	-0.10	11.09	-0.38
	Cross Cultural Engagement	10.56	0.07	0.06	0.06	10.24	-0.25
	Proactive Philosophies	10.28	0.09	0.07	0.07	9.87	-0.32

At its outset, the interpretation of the sexuality analysis requires a slightly alternative approach than other areas of interest. The diverse number of sexualities identified within the sample (Heterosexual, Asexual, Bisexual, Gay, Queer, Questioning or Unsure, Pansexual, and Demisexual) prevented a more meaningful analysis within the structural equation model. The only statistically significant direct effect within the structural equation model is the positive relationship between Heterosexuality and credits completed (See Table 2). If we take a step back from the structural equation model, and begin to compare means across groups, a different story begins to form (See Table 3).

Table 3 — Scale Mean Comparisons of Student Sexualities

	Heterosexual (N = 572)		Asexual (N = 45)		Bisexual (N = 50)		Gay (N = 15)		Queer (N = 10)	
	Mean	St. Dev	Mean	St. Dev	Mean	St. Dev	Mean	St. Dev	Mean	St. Dev
Culturally Relevant Knowledge	10.08	3.26	9.62	3.56	10.62	3.14	8.80	3.34	8.40	3.53
Cultural Validation	10.56	2.93	9.89	3.31	10.80	2.62	10.47	3.62	9.40	3.24
Cultural Familiarity - Self	11.42	** 3.09	10.67	3.32	11.40	3.18	10.07	3.61	10.40	3.44
Holistic Support	11.57	3.09	10.62	* 3.59	11.38	3.39	11.93	2.79	10.70	3.89
Academic Motivation	20.01	** 3.75	19.00	4.33	19.44	3.37	20.87	4.32	18.20	6.53
Academic Self-Efficacy	32.11	** 5.70	29.78	** 8.49	31.44	5.40	31.13	6.10	27.4	* 9.88
Cultural Familiarity - Others	11.03	** 3.00	10.44	3.04	10.76	3.09	10.33	3.39	8.60	* 3.60
Cross Cultural Engagement	10.55	2.99	10.20	3.03	11.38	3.00	10.53	3.70	7.90	* 3.60
Proactive Philosophies	10.26	* 2.26	10.07	2.24	10.48	2.10	10.47	3.04	8.70	* 2.21
Subjective Belonging	10.85	** 3.39	10.22	3.56	10.42	3.95	10.60	3.66	7.50	** 3.41

* = p<.05 in a T-Test comparing category with remaining sample ** = p<.01 in a T-Test comparing category with remaining sample *** = p<.001 in a T-Test comparing category with remaining sample

When breaking down the Non-Heterosexual identities into some of their parts, Heterosexual respondents consistently show higher levels of inclusiveness and belongingness within the University, while Queer students show consistently lower levels across many of the scales. The disappearance of these statistical differences when incorporated into a larger model indicates a series of possible explanations.

First, the age of college students is a critical time in the exploration and discovery of sexualities (Garcia et al. 2013). It is possible that, in relation to sexuality, the survey is picking up the exploration and discovery of our younger students along with the development of a more static notion of a sexual self in our older students. This should not be interpreted that the measures for Heterosexual students are any more or less reliable than our non-Heterosexual students. Issues of heteronormativity make it more likely that non-Heterosexual students would identify as Heterosexual due to social expectations.

Additionally, considering the significantly more credits that have been completed by our heterosexual students as compared to the rest of the student population, this may be an issue of retention. It is possible that non-heterosexual students are dropping out at a higher rate than their heterosexual counterparts. More research would need to be conducted in order to construct a more accurate picture. Given the potential instability for the development of a sexual self within the sample, it seems as if a focus on Holistic Support and Proactive Philosophies as it pertains to sexual identity would be beneficial. University outreach surrounding sexuality would provide students the knowledge to find support if needed within a, potentially, more personal and/or private safe spaces. This is not to say that a more public discourse pertaining to sexuality would not be beneficial, it absolutely would, but a focus on outreach of support networks would be more beneficial for non-Heterosexual identities.

Gender Analysis

Table 4 — Mean Differences, Direct and Total Effects by Gender within SEM

		Female				Comparative: Male	
		Mean	Difference from Sample	Direct Effects	Total Effects	Mean	Difference from Sample
Performance Track	Likelihood Compete	4.60	0.06	0.11	0.74	4.42	-0.12
	Credits Completed	6.11	0.07	0.07	0.64	5.88	-0.16
	Current Goals	4.58	0.06	0.16	0.16	4.39	-0.13
	Academic Motivation	20.10	0.30	0.39	0.74	19.17	-0.63
	Self Efficacy	31.99	0.31	-0.08	0.88	31.02	-0.66
	Grade Point Average	6.04	0.15	0.33	0.37	5.55	-0.33
Perceived Environment	Collectivist Cultural Orientation	11.81	0.34	0.34	0.79	10.75	-0.72
	Cultural Validation	10.79	0.32	0.08	0.72	9.81	-0.66
	Cultural Familiarity - Others	11.09	0.25	0.29	0.45	10.31	-0.53
	Cultural Familiarity-Self	11.64	0.39	0.02	0.77	10.43	-0.82
	Culturally Relevant Knowledge	10.12	0.11	-0.12	0.06	9.78	-0.23
	Subjective Belonging	10.90	0.28	0.23	0.47	10.04	-0.59
Simple Solutions	Holistic Support	11.66	0.20	0.10	0.10	11.04	-0.42
	Cross Cultural Engagement	10.64	0.15	0.23	0.23	10.16	-0.33
	Proactive Philosophies	10.37	0.18	0.15	0.15	9.80	-0.38

The analysis of gender differences within the model produced some relatively unexpected results (see Table 4), as women showed either statistically similar or more positive effects as compared to men across all the scales within the model. While we have avoided incorporating different majors within the overall statistical model (due partly to the complexity in which the major questions were asked, and partly due to viewing this research as a first step), an analysis of the gender makeup for different selected majors begins to shed light on gender differences within the research.

Table 5 — Percentage Female of Top 5 Identified Majors (Categories)

Top 5 Majors (Categories)	N	Mean	Chi-Squared
Health Professions	206	0.840 ***	36.55
Social Sciences	130	0.723	1.92
Education	84	0.810 **	8.21
Business	81	0.469 ***	16.77
Biological Sciences	72	0.708	0.50
TOTAL SAMPLE	754	0.671	

* = $p < .05$

** = $p < .01$

*** = $p < .001$

Three of the top five majors within the sample (See Table 5) show significantly different distributions of gender than the rest of the sample (Health Professions and Education majors have significantly more women, while Business majors are significantly more male). As these categories are deconstructed into smaller groups, gender differences only become more apparent (90% of Nursing majors within the sample are Female, while 82% of Psychology majors in the sample are Female).

The significant difference in gender distributions across majors can begin to explain the higher levels of belongingness and academic performance within the sample of women as compared to men. Research has indicated that when historically oppressed social identities are placed within an environment where those identities become the dominate group, then higher feelings of belongingness and cooperation ensue (Gore 2007; Tajfel and Turner, 1979). As a result, the gender segregation between majors serves as a psychological boost for women that would not be experienced by men^{xiii}.

There are various potential explanations as to the segregated nature of the majors at Worcester State University, few of which can begin to be answered with this survey. In order to understand whether it is the University environment that is encouraging this segregation (disidentification with an identity early enough within a student's career may result in simply a change of major), or if students simply enter into the University in vastly different fields (due to socialization or previous disidentification) an analysis of student movement across majors would need to take place.

Class Analysis

Table 6 — Direct and Total Effects of Socioeconomic Status Indicators

		Family Income		Parent Education		First Generation	
		Direct	Total	Direct	Total	Direct	Total
Performance Track	Current Goals	0.00	0.00	0.03	0.03	0.15	0.16
	Credits Complete	0.11	0.11	0.05	0.04	-0.06	-0.12
	Likelihood Finish	0.03	0.03	-0.05	-0.04	-0.18	-0.15
	Academic Motivation	-0.05	-0.01	0.00	0.02	-0.39	-0.24
	Academic Self-Efficacy	0.02	0.05	0.14	0.17	-0.11	-0.29
	Grade Point Average	0.02	0.03	0.08	0.08	0.11	0.09
Perceived Environment	Collectivist Cultural Orientation	-0.01	-0.01	0.00	0.02	-0.39	-0.12
	Cultural Validation	0.01	0.00	0.07	0.09	0.25	0.49
	Cultural Fam. - Others	0.09	0.09	0.05	0.07	-0.14	0.11
	Cult. Relevant Know.	0.04	0.04	0.03	0.09	0.42	0.78
	Cult. Famil. - Self	0.06	0.10	-0.04	0.03	-0.17	0.09
Cultural Responsiveness	Subjective Belonging	-0.05	-0.03	0.00	0.04	0.04	0.13
	Holistic Support	0.00	0.00	-0.02	-0.02	0.00	0.00
	Cross Cultural Engagement	0.00	0.00	0.04	0.04	0.42	0.42
	Proactive Philosophy	-0.03	-0.03	0.07	0.07	0.67	0.67

Table 6 focuses on the direct and total effects of the various socioeconomic status indicators incorporated into the model. While there are no statistically significant parameter estimates from family income or parent's education within the structural equation model, interesting effects begin to arise when focusing in on first generation students. Significantly higher levels of cross cultural engagement and proactive philosophies for first generation college translate into significantly higher levels of inclusiveness throughout the perceived environment portion of the structural equation model. This indicates that there has been an additional effort within Worcester State University to reach out to first generation students that has paid off in levels of subjective belonging being similar between first generation and non-first generation students.

Of concern, though, is the statistically significant lower levels of academic motivation and academic self-efficacy among first generation students. Lower levels of academic motivation and self-efficacy may be indicative of the lack of socialization in preparation for the college classroom experience (Bernstein 1975). While economically disadvantaged students may show similar levels of academic skill to their counterparts within the classroom, the lack of clear university expectations has a tendency to make the transition to a University environment especially more difficult for students.

These lower levels of academic self-confidence for first generation college students seem to be reflective of the statistically similar levels of holistic support that first generation students are receiving (Holistic Support is the strongest predictor of both Academic Motivation and Self Efficacy within the model). From an instructor perspective, when first generation students have had discussions with me about their experiences, one of their concerns (at least when starting college) is that people will look at them differently due to being a first generation student. The additional concern of asking the “wrong” question, or asking a question they think they “should” know the answer to weighs heavily on their classroom experience.

Students with Disabilities Analysis

In today's technological and fast-paced society, higher education continues to serve as a primary vehicle to personal and professional success. Obtaining a college degree continues to be touted as the engine to social and individual mobility and economic prosperity. However, students who often experience persistent forms of discrimination, like those with disabilities, are increasingly challenged to remain in higher education and complete their degrees (Getzel & Thoma, 2008). Research has found that a central tenet toward fostering a more inclusive environment for students with disabilities begins with understanding their needs and providing space to learn about their experiences (Vickerman & Blundell, 2010). The CECE survey serves as an initial platform to empower their voices and identify barriers toward inclusion.

Table 7 — Direct and Total Effects for Students with Disabilities

		Students with Disabilities				Comparative: Students without Disabilities	
		Mean	Difference from Sample	Direct Effects	Total Effects	Mean	Difference from Sample
Performance Track	Likelihood Compete	4.48	4.48	0.03	0.03	4.56	4.56
	Credits Completed	6.73	6.73	0.27	0.24	5.91	5.91
	Current Goals	4.53	4.53	0.09	0.06	4.53	4.53
	Academic Motivation	19.37	19.37	-0.28	-0.59	19.95	19.95
	Self Efficacy	30.62	30.62	-0.82	-0.92	32.00	32.00
	Grade Point Average	5.81	5.81	0.05	0.06	5.90	5.90
Perceived Environment	Collectivist Cultural Orientation	11.16	11.16	-0.19	-0.25	11.61	11.61
	Cultural Validation	10.01	10.01	-0.51	-0.51	10.62	10.62
	Cultural Familiarity - Others	10.21	10.21	-0.61	-0.67	11.04	11.04
	Cultural Familiarity-Self	10.50	10.50	-0.12	-0.58	11.47	11.47
	Culturally Relevant Knowledge	9.95	9.95	0.15	-0.13	10.07	10.07
	Subjective Belonging	10.07	10.07	0.00	-0.47	10.76	10.76
Simple Solutions	Holistic Support	10.76	10.76	-0.56	-0.56	11.64	11.64
	Cross Cultural Engagement	10.79	10.79	0.42	0.42	10.48	10.48
	Proactive Philosophies	9.68	9.68	-0.44	-0.44	10.34	10.34

Table 7 presents the direct and total effects for students with disabilities within the Structural Equation Model. In regards to cultural responsiveness, there are no significant differences between students with disabilities, and those without disabilities. Instead, the perceived lack of cultural validation and cultural familiarity from others within the University serves a mediator for the significantly lower estimates on both the performance side of the structural equation model, and the belongingness side of the structural equation model. In other words, while many of the direct effects for students with disabilities are insignificant, it is *through* cultural validation and cultural familiarity from others where the effects become significant.

The data indicates that students with disabilities do not view the environment as valuing their personal identities and experiences while struggling to find other people on campus who do understand their experiences. These perceptions serve to reduce the academic motivation and self efficacy of students with disabilities. While this decline in motivation and efficacy does not negatively impact the grade point average of students with disabilities in comparison to other students on campus, it does have a significant effect on their feelings of belongingness within the University.

An additional focus on cross cultural engagement for students with disabilities would serve to improve the perceptions of validation and familiarity of others. The model predicts that this focus would allow for a closing of academic motivation and self-efficacy gap for students with disabilities, while improving their feelings of belongingness within the University.

Limitations

Given the complexities and breadth of this campus climate project, we identified a few limitations that may have a potential impact on this study. In partnering with the National Institute for Transformation and Equity at Indiana University, WSU agreed to use their national Culturally Engaging Campus Environment (CECE) survey as the primary quantitative tool to assess campus climate. First, the usage of a national study does not afford WSU the opportunity to significantly customize its questions to meet the more-specific interests of our campus community, however it does provide the University with a national comparison that can be used to gauge our current and future efforts. Second, the University had a successful participation rate with $N = 1,238$ students; which makes up 27% of the Spring 2017 undergraduate class, in addition, 61% of survey participants ($n = 754$) completed the voluntary demographic data at the conclusion of the survey.

Additionally, the structural equation model may not be best aligned to effectively evaluate the diverse forms of sexual identities in this sample, requiring further analysis and investigation into its applicability with the CECE survey. Lastly, there are numerous potential explanations for the segregated nature of majors, making it difficult to more effectively evaluate disidentification between race, gender, sexual orientation, socio-economic status, and so forth.

Conclusion

The quantitative analysis of the campus climate survey data is both complex and multifaceted. In order to provide guidance toward our future campus climate efforts, the data suggests that we more thoroughly examine several areas for growth and opportunity toward achieving our goal of a more inclusive campus climate. Black and Latino respondents indicated a perceived lack of inclusion and validation on campus, which may be contributing to lower GPAs, retention rates, and disidentification. With several avenues to address the perceived lack of inclusion and validation on campus, it may be best to focus future efforts on institutional activities that promote Black and Latino identities and dismantle potential barriers toward inclusivity.

The data also suggests that heterosexual students have higher academic success and retention rates than non-heterosexual students. This is in part due to the fact that heterosexual student respondents indicated much higher levels of inclusiveness and belonging than non-heterosexual students. These findings thus recommend significant modifications to curricular and co-curricular activities so as to incorporate social, political, and cultural issues relating to gender and sexuality. The data also suggests an increased emphasis on LGBTQ+ support networks on campus.

While the data indicated significantly higher levels of belongingness and performance amongst women within the University, the highly gender segregated nature of some majors complicates the interpretation of the results. Unlike the race, sexuality, and class analysis of this study, additional work needs to be completed to uncover both how and why these segregated classes are forming. Additionally, the data indicates that significantly lower levels of academic motivation and feelings of belongingness amongst students with

disabilities can best be attributed to a lack of cultural validation and perceived cultural familiarity from others on campus. Ultimately, the perceived lack of visibility and inclusion of issues pertaining to students with disabilities has impacted our students with disabilities in meaningful ways. An approach targeting cross cultural engagement may be an appropriate first step in bridging this gap for our students.

Finally, the data has shown that the additional focus of Worcester State University on first generation college students has paid off in both first generation students feeling as if they belong in the University environment, and their performance within the classroom. Despite these additional efforts, academic motivation and self-efficacy are significantly lower for first generation students. An approach focused on increasing perceived levels of Holistic Support for first generation students would help bridge the gap between them, and other students within the University.

Through an incorporation of Social Identity Theory and Identity Theory into a Multicultural Organizational Development framework, the goal of this report was to provide a data driven approach to identifying areas of focus in order to improve the campus climate at Worcester State University. While there is not a singular facet of the University (Student Support, Administrative Leadership, and Curriculum) that is responsible for any one aspect of cultural responsiveness included within this report (Holistic Support, Proactive Philosophies, and Cross Cultural Engagement), all aspects of the campus environment are in a position to help improve *both* feelings of inclusivity and the academic success of our students. There is no “one size fits all” approach to the creation of a positive multicultural campus environment, and as targeted actions are constructed to help improve the student experience, continuous evaluation should take place to make sure that contextually appropriate initiatives are successful.

Appendix A – CECE Social Identity Scales

ⁱ While certain sexual identities within the study may appear to be overlapping (Pansexual, Demisexual, Bisexual) and/or politically charged language (Queer), the decision was made not to combine sexual orientations when breaking down the analysis in order to maintain consistency with Social Identity Theory. While this paper includes a discussion of “Non-Heterosexual” identities, primarily as a statistical technique, the political statement behind self-identification is both necessary and significant within Social Identity Theory.

ⁱⁱ Collectivist Cultural Orientation is based on three questions - Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. In general, people on campus help each other succeed.
2. In general, people on this campus support each other.
3. In general, people on this campus work together toward common goals.

ⁱⁱⁱ Cultural Validation is based on three questions – Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. In general, people on campus value knowledge from my cultural community.
2. In general, my cultural community is valued on campus.
3. In general, people on campus value the experiences of people in my cultural community.

^{iv} Cultural Familiarity from other is based on three questions – Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. It is easy to find people on campus who understand me.
2. It is easy to find people on campus who understand my struggles.
3. People on campus are generally willing to take time to understand my experiences.

^v Culturally Relevant Knowledge is based on three questions – Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. On campus, there are enough opportunities to learn about the culture of my own community.
2. On campus, there are enough opportunities to learn about important issues within my own cultural community.
3. On campus, there are enough opportunities to gain knowledge about my own cultural community.

^{vi} Cultural Familiarity with one’s self is based on three questions – Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. On campus, there is sufficient space for me to connect with people from my community.
2. It is easy to find people on campus with similar backgrounds as me.
3. I frequently interact with people from similar backgrounds as me on campus.

^{vii} Subjective Belonging is based on three questions – Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. I feel like I am part of the community on campus.
2. I feel like I belong on this campus.
3. I feel a strong connection to the community on this campus.

^{viii} CECE measures Academic Motivation using the following scale: Please tell us about the knowledge and skills you have acquired in college on a scale of 1 (much worse) to 5 (much better). Compared to when you first entered this institution, how would you describe your...

1. Communication skills (e.g., writing, speaking, presenting, etc.).
2. Ability to be an effective leader?
3. Commitment to continue learning throughout your lifetime?
4. Commitment to having a positive impact on your community?
5. Commitment to having a positive impact on larger society?

^{ix} CECE measures Academic Self Efficacy using the following scale: Please tell us about the knowledge and skills you have acquired in college on a scale of 1 (much worse) to 5 (much better). Compared to when you first entered this institution, how would you describe your...

1. Ability to be academically successful?
2. Motivation to work hard in school?
3. Knowledge of the world?
4. Ability to think critically?
5. Ability to view issues from multiple perspectives?
6. Ability to solve problems?
7. Ability to analyze things?
8. Ability to generate original ideas?

^x Holistic Support is based on three questions - Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. If I need support, I know a person on campus who I can trust to give me that support.
2. If I have a problem, I know a person on campus who I can trust to help me solve that problem.
3. If I need information, I know a person on campus who I can trust to give me the information I need.

^{xi} Proactive Philosophies is based on three questions - Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. People on this campus often send me important information about new learning opportunities.
2. People on this campus often send me important information about support that is available on campus.
3. On campus, I feel like I have to seek out new learning opportunities on my own (REVERSE CODED)

^{xii} Cross Cultural Engagement is based on three questions - Please tell us about your experiences within your college environment on a scale of 1 (strongly disagree) to 5 (strongly agree):

1. On campus, there are enough opportunities to discuss important social issues with people from different cultural backgrounds.
2. On campus, there are enough opportunities to discuss important political issues with people from different cultural backgrounds.
3. On campus, there are enough opportunities to discuss important diversity-related issues with people from different cultural backgrounds.

^{xiii} Similar statistical tests were run checking for racial segregation between the top five majors, and while Education was statistically more White, and Biology was statistically more non-White than the rest of the University, those differences did not even begin to approach the significance of the differences by gender. Additionally, the diversity of races on campus would make the prerequisite of a historically oppressed group the majority population within a major, substantially less likely.

Appendix B – Descriptive Statistics

Descriptive Statistics - Student Level Data with Select WSU Spring 2017 Demographics

		N	Mean	Std Dev.	Alpha	WSU Spring 2017
Social Identity Theory	Subjective Belonging	746	10.62	3.53	0.93	
	Cultural Familiarity - Self	746	11.25	3.16	0.84	
	Culturally Relevant Knowledge	746	10.01	3.28	0.93	
	Cultural Familiarity - Others	746	10.84	3.03	0.86	
	Cultural Validation	746	10.47	2.97	0.90	
	Collectivist Cultural Orientation	746	11.47	2.89	0.92	
Identity Theory	GPA	725	5.88	1.11		
	Self Efficacy	746	31.68	6.04	0.93	
	Academic Motivation	746	19.80	3.85	0.90	
	Current Goals	738	4.52	0.86		
	Credits Complete	746	6.04	3.83		
	Likelihood Compete Here	746	4.55	1.02		
Simple Solutions	Proactive Philosophies	746	10.19	2.32	0.51	
	Holistic Support	746	11.46	3.18	0.93	
	Cross Culture Engagement	746	10.49	3.11	0.90	
Race	Asian	754	0.05			0.043
	Black	754	0.08			0.083
	Latino	754	0.09			0.103
	Native American	754	0.01			0.004
	Pacific Islander	754	0.00			0.000
	White	754	0.74			0.663
	Multi-Racial	754	0.04			0.028
Sex	Female	754	0.67			0.584
	Male	754	0.28			0.416
	Other Sex	754	0.05			
Sexuality	Heterosexual	754	0.77			
	Asexual	754	0.06			
	Bisexual	754	0.07			
	Gay	754	0.02			
	Queer	754	0.01			
Socioeconomic Status	Family Income	558	7.43	3.28		
	Parent's Education	707	4.67	2.09		
	First Generation	745	0.25			
Students with Disabilities		717	0.17			
Current Academic	Full Time	746	0.85			
	Live in Dorms	746	0.51			
	Athlete	745	0.13			
	Hours Completed	746	3.83	3.14		
Skill and Experience	High School GPA	746	5.93	1.14		
	AP Courses	746	1.86	2.22		
	Predominately White HS	711	0.70			
	HS Community Work	746	10.11	3.86		
	Citizen	754	0.91			
	Age	746	21.56	3.50		
	Working Class HS	715	0.17			
	Middle Class HS	715	0.49			

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WORCESTER STATE UNIVERSITY

	Perceived Campus Environment						Cultural Identification						Psychological Subjective Belonging	
	ColCultOrient		CultValidation		CultFamIOthers		CultRelKnow		CultFamIl				Estimate	P
	Estimate	S.E.	P	Estimate	S.E.	P	Estimate	S.E.	P	Estimate	S.E.	P	Estimate	P
complete_HERE														
Commitment														
Credits_DONE														
Current_Goals														
Performance														
Track														
Academic Motivation														
AcasucEng													0.07 ***	0.02 0.00
ColCultOrient													0.30 ***	0.04 0.00
CultValidation													-0.01	0.04 0.77
CultFamOthers													0.16 ***	0.05 0.00
Cultural													0.13 **	0.04 0.00
Identification													0.06	0.03 0.09
CultRelKnow													0.27 ***	0.03 0.00
HolistSupport	0.28 ***	0.03	0.00	0.19 ***	0.03	0.00	0.26 ***	0.03	0.00	0.01	0.03	0.84	0.07	0.04 0.07
Simple Solutions	0.39 ***	0.03	0.00	0.37 ***	0.03	0.00	0.36 ***	0.03	0.00	0.07 *	0.03	0.04	0.07	0.04 0.07
CrossCultEn	0.17 ***	0.04	0.00	0.12 **	0.04	0.01	0.15 **	0.04	0.00	0.03	0.04	0.37	0.07	0.04 0.12
ProactPhil														
Black	-0.28	0.29	0.34	-0.14	0.34	0.69	-0.23	0.33	0.48	-0.21	0.35	0.55	0.35	0.32 0.28
Race	-0.51	0.29	0.07	0.00	0.34	0.99	-0.91 **	0.32	0.01	-0.44	0.35	0.21	-0.60	0.32 0.06
Latino														
Female	0.64 ***	0.17	0.00	0.60 **	0.20	0.00	0.32	0.19	0.10	-0.39	0.21	0.06	-0.04	0.19 0.85
Sex														
Heterosexual	0.34	0.19	0.07	0.08	0.22	0.72	0.29	0.21	0.18	-0.12	0.23	0.61	0.23	0.21 0.27
Sexuality														
Family Income	-0.01	0.03	0.78	0.01	0.04	0.81	0.09 *	0.04	0.01	0.04	0.04	0.34	-0.05	0.04 0.15
Socioeconomic	0.00	0.07	0.95	0.07	0.08	0.39	0.05	0.08	0.49	0.03	0.08	0.72	0.00	0.08 0.96
Parent Education														
Status	-0.39	0.30	0.19	0.25	0.36	0.48	-0.14	0.34	0.69	0.42	0.37	0.26	0.04	0.34 0.90
First Generation														
Students with Disabilities	-0.19	0.22	0.39	-0.51	0.26	0.05	-0.61 *	0.25	0.01	0.15	0.27	0.59	0.00	0.25 0.99
Full Time	0.17	0.25	0.49	0.43	0.29	0.14	0.22	0.28	0.43	-0.21	0.30	0.49	0.04	0.28 0.90
Current	-0.25	0.19	0.19	0.25	0.22	0.26	0.15	0.22	0.48	0.30	0.23	0.19	1.01 ***	0.21 0.00
Dorm Life														
Athlete	0.54 *	0.23	0.02	-0.33	0.28	0.23	0.26	0.27	0.32	0.39	0.29	0.17	0.52 *	0.26 0.05
Work Hours	0.01	0.03	0.66	0.05	0.03	0.10	-0.03	0.03	0.41	0.02	0.03	0.54	0.02	0.03 0.43
High School GPA	-0.10	0.07	0.15	-0.14	0.09	0.09	-0.10	0.08	0.24	0.09	0.09	0.33	-0.07	0.08 0.41
AP Courses	0.03	0.04	0.41	0.04	0.04	0.31	0.02	0.04	0.64	-0.02	0.04	0.69	-0.02	0.04 0.59
White High School	0.32	0.20	0.10	0.14	0.23	0.55	-0.13	0.22	0.55	0.16	0.24	0.50	-0.26	0.22 0.25
HS Community Work	-0.03	0.02	0.17	-0.02	0.02	0.39	-0.01	0.02	0.74	-0.05	0.03	0.06	0.03	0.02 0.15
Citizen	0.13	0.29	0.65	0.44	0.34	0.20	0.14	0.33	0.67	0.23	0.35	0.51	-0.47	0.32 0.14
Age	0.00	0.03	0.98	0.08 *	0.03	0.02	0.07 *	0.03	0.03	0.03	0.03	0.38	0.04	0.03 0.18
Working Class HS	0.02	0.23	0.94	-0.03	0.28	0.93	0.10	0.27	0.72	-0.03	0.28	0.91	0.16	0.26 0.55
Middle Class HS	0.05	0.18	0.76	0.44 *	0.21	0.04	0.47 *	0.20	0.02	0.09	0.22	0.69	0.19	0.20 0.35
Constant	2.43 *	1.00	0.02	0.22	1.18	0.85	0.16	1.14	0.89	-0.93	1.22	0.45	-3.70 **	1.15 0.00

		Simple Solutions								
		Holistic Support			Cross Cultural Engagement			Proactive Philosophy		
		Estimate	S.E.	P	Estimate	S.E.	P	Estimate	S.E.	P
Race	Black	-0.28	0.43	0.52	-1.32 ***	0.43	0.00	-0.55	0.32	0.08
	Latino	0.29	0.43	0.50	-0.33	0.43	0.43	0.06	0.31	0.86
Sex	Female	0.10	0.26	0.70	0.23	0.25	0.36	0.15	0.19	0.42
Sexuality	Heterosexual	-0.10	0.28	0.72	0.06	0.28	0.83	0.07	0.21	0.73
Socioeconomic Status	Family Income	0.00	0.05	0.99	0.00	0.05	0.93	-0.03	0.03	0.44
	Parent Education	-0.02	0.10	0.84	0.04	0.10	0.67	0.07	0.07	0.35
	First Generation	0.00	0.46	0.99	0.42	0.45	0.35	0.67 *	0.33	0.05
Students with Disabilities		-0.56	0.33	0.09	0.42	0.33	0.20	-0.44	0.24	0.07
Current Academic	Full Time	0.47	0.37	0.21	0.09	0.37	0.81	0.18	0.27	0.51
	Dorm Life	0.80 **	0.28	0.00	-0.53	0.28	0.06	0.03	0.21	0.89
	Athlete	0.06	0.35	0.87	0.77 *	0.35	0.03	-0.40	0.26	0.12
	Work Hours	0.00	0.04	0.96	-0.07	0.04	0.09	-0.05	0.03	0.11
Skill and Experience	High School GPA	0.04	0.11	0.73	0.08	0.11	0.48	0.15	0.08	0.06
	AP Courses	0.02	0.05	0.74	-0.10	0.05	0.05	0.03	0.04	0.49
	White High School	0.17	0.30	0.57	0.12	0.30	0.69	0.16	0.22	0.48
	HS Community Work	0.11 ***	0.03	0.00	0.10 **	0.03	0.00	0.05 *	0.02	0.05
	Citizen	1.74 ***	0.43	0.00	1.34 ***	0.42	0.00	1.35 ***	0.31	0.00
	Age	0.01	0.04	0.79	-0.04	0.04	0.35	-0.03	0.03	0.35
	Working Class HS	-0.43	0.36	0.23	-0.37	0.35	0.29	-0.46	0.26	0.08
	Middle Class HS	0.19	0.27	0.49	-0.06	0.27	0.81	-0.26	0.20	0.20
Constant		7.48 ***	1.44	0.00	8.80 ***	1.42	0.00	7.97 ***	1.05	0.00

^{xiii} While certain sexual identities within the study may appear to be overlapping (Pansexual, Demisexual, Bisexual) and/or politically charged language (Queer), the decision was made not to combine sexual orientations when breaking down the analysis in order to maintain consistency with Social Identity Theory. While this paper includes a discussion of “Non-Heterosexual” identities, primarily as a statistical technique, the political statement behind self-identification is both necessary and significant within Social Identity Theory.

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WORCESTER
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Office of Diversity, Inclusion, Affirmative Action, and Equal Opportunity
486 Chandler Street, Worcester, MA 01609 | worcester.edu | 508-929-8053



WORCESTER
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AFFIRMATIVE ACTION REPORT

2017-2018



A Message from President Maloney

In February of 2016, we laid out our Five Points of Action Toward a More Inclusive Campus Climate:

- Cultural Competency Training
- Diversity in Hiring Processes
- Student Engagement
- Contextualizing Classrooms
- Cross-Racial Interaction

This plan was put forward in the context of national student actions aimed at improving race relations on campuses. It seemed a good time to review how inclusive we are and pledge to respect differences and accept others as they are.

Every division—indeed, every employee—has a role to play in moving our inclusion goals forward. Implementation of the “Five Points” is helping Worcester State meet the strategic plan’s imperative that “all members of the WSU community will feel included and valued” and help us achieve two of the strategic plan’s five overarching goals: cultivate a vibrant and collaborative campus; and enroll and retain diverse and motivated students. We are making progress in all five areas.

Student surveys and focus groups last academic year revealed some areas of special focus. One take-away: we need to do more to improve the campus climate for our LGBTQ+ students. So, administratively, we are pursuing ways to ensure our student records include preferred pronouns and names. A need to recognize the diverse backgrounds of our students publicly was also identified. This summer, we hung new campus banners on our light poles, to celebrate the diversity of our campus community. These are small, yet important, steps.

I appreciate the support of our campus community—both inside the Tiffany Gates and beyond them—as we engage in the sometimes difficult work to make Worcester State an open, welcoming, inclusive campus.

Sincerely,

A handwritten signature in black ink, reading "Barry M. Maloney". The signature is fluid and cursive.

Barry M. Maloney, President

A Message from Isaac Tesfay



It is my privilege to serve as the Director of Diversity, Inclusion, Affirmative Action, and Equal Opportunity here at Worcester State University. Among many responsibilities, I facilitate search orientations that inform search committee members about University hiring procedures and affirmative action guidelines, and work closely with search committees throughout the entire hiring process. I am honored to work with my colleagues in recruiting and retaining a diverse workforce that champions academic and professional excellence.

Over the last two years, the University has embarked on transformational change guided by the President's Five Point Plan of Action: Student Engagement, Classroom Content, Cultural Competence, Cross-Racial Engagement, and Diversity in Hiring. Under this framework, the University has pursued more robust hiring and recruitment strategies toward a greater representation of the Commonwealth's workforce and local Worcester communities. This annual analysis of the degree to which the University's workforce is reflective of the demographics of the Commonwealth labor market directs our efforts toward diversifying our faculty and staff.

Sincerely,

A handwritten signature in black ink, appearing to read 'Isaac Tesfay', with a long, sweeping flourish extending from the end.

Isaac Tesfay, ABD, MBA

Director of Diversity, Inclusion, Affirmative Action, and Equal Opportunity

Mission and Core Values

Worcester State University champions academic excellence in a diverse, student-centered environment that fosters scholarship, creativity, and global awareness. A Worcester State education equips students with knowledge and skills necessary for lives of professional accomplishment, engaged citizenship, and intellectual growth.

Core Values

As a public institution, Worcester State University embraces the belief that widespread access to high-quality educational opportunities is the cornerstone of a democratic society. Members of the Worcester State community share the following core values:

- **Academic Excellence:** We are committed to providing opportunities to excel in a close-knit learning environment characterized by distinguished faculty, excellent teaching, and creative linkages between classroom learning and real-world experiences.
- **Engaged Citizenship:** We are committed to promoting community service, social justice, the democratic process, environmental sustainability, and global awareness to prepare students to be active and informed citizens.
- **Open Exchange of Ideas:** We are committed to inviting and considering the most expansive range of perspectives in teaching and learning, in scholarly and creative work, and in the governance of a complex, diverse institution.
- **Diversity and Inclusiveness:** We are committed to being an inclusive community in which our diversity enhances learning for all and in which people from all cultures and backgrounds have the opportunity to participate fully and succeed.
- **Civility and Integrity:** We are committed to respecting the dignity of all members of our community and to demonstrating this commitment in our interactions, decisions, and structures.

WORCESTER STATE UNIVERSITY'S STRATEGIC PLAN 2020 GOALS



Promote academic excellence
and innovation



Prepare students to lead
and impact the wider world



Cultivate a vibrant
and collaborative campus



Enroll and retain diverse
and motivated students



Promote financial strength
and stability

Worcester State University
2017 Full Time Non-Instructional Staff Employee Data*

		WORCESTER STATE UNIVERSITY PERCENTAGES BY COMPARISON				
	MA Total Civilian Labor Force**	Business & Financial Operations 13-000 ^a	Community, Social Service, Legal, Arts, Design, Entertainment, Sports, & Media Occupations 21-000 + 23-000 + 27-000 ^a	Computer, Engineering, & Science Occupations 15-000 + 17-000 + 19-000 ^a	Healthcare Practitioners & Technical Occupations 29-000 ^a	Librarians & Library Technicians 25-4020 + 25-4030 ^a
American Indian or Alaska Native	.4%	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Asian/Pacific Islander	5.4%	0 (0%)	1 (4%)	3 (10%)	0 (0%)	1 (6%)
Black/African American	6.1%	2 (10%)	2 (8%)	1 (6%)	0 (0%)	0 (0%)
Hispanic/Latino	7.7%	1 (6%)	1 (4%)	3 (10%)	0 (0%)	0 (0%)
Two or More Races	—	0 (0%)	1 (4%)	1 (6%)	0 (0%)	0 (0%)
White	80.4%	17 (85%)	19 (79%)	21 (72%)	2 (100%)	11 (92%)
All Minorities	20.7%	3 (15%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Women	48.8%	16 (80%)	12 (52%)	11 (40%)	1 (50%)	7 (58%)
Total		20	24	29	2	12

Total Full Time Non-Instructional Staff Employees = 344

Total Part Time Non-Instructional Staff Employees = 221

Total Full Time Instructional Staff Employees = 211

Total Part Time Instructional Staff Employees = 230

Based on 2010 Standard Occupational Classification and Coding Structure

* WSU IPEDS November 1, 2017 Freeze Date

** American Community Survey—(ACS) US Census 2010 Employment by State and Local Occupation Groups

*** Any sum total above or below 100% is a result of rounding error

^a U.S. Bureau of Labor Statistics Standard Occupational Classification and Coding Structure (bls.gov/soc)

Management Occupations 11-000 ^a	Natural Resources, Construction, & Maintenance Occupations 45-000 + 47-000 + 49-000 ^a	Office & Administrative Support Occupations 43-000 ^a	Production, Transportation, & Material Moving Occupations 51-000 + 53-000 ^a	Service Occupations 31-000 + 33-000 + 35-000 + 37-000 + 39-000 ^a	Student & Academic Affairs & Other Education Services Occupations 25-2000 + 25-3000 + 25-9000 ^a	Total***
0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
0 (0%)	0 (0%)	2 (2%)	0 (0%)	1 (6%)	1 (6%)	9 (3%)
3 (5%)	0 (0%)	5 (6%)	0 (0%)	2 (10%)	3 (10%)	18 (5%)
1 (2%)	0 (0%)	5 (6%)	0 (0%)	10 (15%)	3 (10%)	24 (7%)
1 (2%)	0 (0%)	1 (1%)	0 (0%)	0 (0%)	0 (0%)	4 (1%)
59 (92%)	13 (100%)	69 (84%)	3 (100%)	52 (80%)	23 (77%)	289 (84%)
5 (8%)	0 (0%)	13 (16%)	0 (0%)	10 (15%)	6 (20%)	55 (16%)
34 (53%)	0 (0%)	70 (85%)	0 (0%)	8 (12%)	25 (83%)	184 (54%)
64	13	82	3	65	30	344

Worcester State University

2017 Part Time Staff by Occupational Category

(excluding Part Time Instructional Staff and Student Employees)*

		WORCESTER STATE UNIVERSITY PERCENTAGES BY COMPARISON				
	MA Total Civilian Labor Force**	Business & Financial Operations 13-000 ^a	Community, Social Service, Legal, Arts, Design, Entertainment, Sports, & Media Occupations 21-000 + 23-000 + 27-000 ^a	Computer, Engineering, & Science Occupations 15-000 + 17-000 + 19-000 ^a	Healthcare Practitioners & Technical Occupations 29-000 ^a	Librarians & Library Technicians 25-4020 + 25-4030 ^a
American Indian or Alaska Native	.4%	0 (0%)	1 (2%)	0 (0%)	0 (0%)	0 (0%)
Asian/Pacific Islander	5.4%	0 (0%)	1 (2%)	0 (0%)	0 (0%)	0 (0%)
Black/African American	6.1%	0 (0%)	1 (2%)	0 (0%)	0 (0%)	0 (0%)
Hispanic/Latino	7.7%	0 (0%)	1 (2%)	0 (0%)	0 (0%)	0 (0%)
Two or More Races	—	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
White	80.4%	2	55 (87%)	4 (100%)	1 (100%)	0 (0%)
Unknown	—	0 (0%)	4 (6%)	0 (0%)	0 (0%)	0 (0%)
All Minorities	20.7%	0 (0%)	4 (6%)	0 (0%)	0 (0%)	0 (0%)
Women	48.8%	2 (100%)	28 (44%)	1 (25%)	1 (100%)	0 (0%)
Total		2	63	4	1	0

Total Full Time Non-Instructional Staff Employees = 344

Total Part Time Non-Instructional Staff Employees = 221

Total Full Time Instructional Staff Employees = 211

Total Part Time Instructional Staff Employees = 230

Based on 2010 Standard Occupational Classification and Coding Structure

* WSU IPEDS November 1, 2017 Freeze Date

** American Community Survey—(ACS) US Census 2010 Employment by State and Local Occupation Groups

*** Any sum total above or below 100% is a result of rounding error

^a U.S. Bureau of Labor Statistics Standard Occupational Classification and Coding Structure (bls.gov/soc)

Management Occupations 11-000 ^a	Natural Resources, Construction, & Maintenance Occupations 45-000 + 47-000 + 49-000 ^a	Office & Administrative Support Occupations 43-000 ^a	Production, Transportation, & Material Moving Occupations 51-000 + 53-000 ^a	Service Occupations 31-000 + 33-000 + 35-000 + 37-000 + 39-000 ^a	Student & Academic Affairs & Other Education Services Occupations 25-2000 + 25-3000 + 25-9000 ^a	Total***
0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	1 (.5%)
0 (0%)	0 (0%)	2 (6%)	0 (0%)	0 (0%)	3 (3%)	6 (3%)
0 (0%)	0 (0%)	2 (6%)	0 (0%)	0 (0%)	5 (4%)	8 (4%)
0 (0%)	0 (0%)	2 (6%)	0 (0%)	0 (0%)	15 (13%)	18 (10%)
0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
3 (100%)	0 (0%)	26 (81%)	0 (0%)	1 (100%)	82 (71%)	174 (93%)
0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	10 (9%)	14 (6%)
0 (0%)	0 (0%)	6 (19%)	0 (0%)	0 (0%)	23 (20%)	33 (15%)
2 (67%)	0 (0%)	27 (84%)	0 (0%)	1 (100%)	87 (76%)	149 (67%)
3	0	32	0	1	115	221

Worcester State University
2017 Full Time & Part Time Instructional Staff with Academic Rank,
Tenure Status, and Annual Contract*

		WORCESTER STATE UNIVERSITY PERCENTAGES BY COMPARISON				
	MA Total Civilian Labor Force**	Professors	Associate Professors	Assistant Professors	Instructors	Lecturers
American Indian or Alaska Native	0.4%	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Asian/Pacific Islander	5.4%	10 (14%)	4 (7%)	5 (7%)	0 (0%)	0 (0%)
Black/African American	6.1%	2 (3%)	3 (6%)	2 (3%)	0 (0%)	0 (0%)
Hispanic/Latino	7.7%	2 (3%)	5 (9%)	8 (11%)	0 (0%)	0 (0%)
Non-Resident Alien	—	0 (0%)	0 (0%)	1 (1%)	0 (0%)	0 (0%)
Two or More Races	—	1 (1%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Unknown	—	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
White	80.4%	58 (80%)	43 (78%)	54 (77%)	13 (100%)	0 (0%)
All Minorities	20.7%	15 (21%)	12 (22%)	16 (23%)	0 (0%)	0 (0%)
Women	48.8%	43 (59%)	29 (53%)	35 (50%)	10 (77%)	0 (0%)
Total		73	55	70	13	0

Total Full Time Non-Instructional Staff Employees = 344

Total Part Time Non-Instructional Staff Employees = 221

Total Full Time Instructional Staff Employees = 211

Total Part Time Instructional Staff Employees = 230

Based on 2010 Standard Occupational Classification and Coding Structure

* WSU IPEDS November 1, 2017 Freeze Date

** American Community Survey—(ACS) US Census 2010 Employment by State and Local Occupation Groups

*** Any sum total above or below 100% is a result of rounding error

^a U.S. Bureau of Labor Statistics Standard Occupational Classification and Coding Structure (bls.gov/soc)

Total		Part Time Instructional Staff	Grand Total***
0 (0%)		3 (1%)	3 (1%)
19 (9%)		8 (4%)	46 (10%)
7 (3%)		10 (4%)	24 (5%)
15 (7%)		8 (4%)	38 (9%)
1 (.5%)		0 (0%)	2 (.5%)
1 (.5%)		0 (0%)	2 (.5%)
0 (0%)		14 (6%)	14 (3%)
168 (80%)		187 (81%)	355 (81%)
43 (20%)		29 (13%)	72 (16%)
117 (56%)		131 (57%)	248 (56%)
211		230	441



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**EQUAL OPPORTUNITY,
DIVERSITY AND AFFIRMATIVE ACTION PLAN**

BRIDGEWATER STATE UNIVERSITY

FITCHBURG STATE UNIVERSITY

FRAMINGHAM STATE UNIVERSITY

MASSACHUSETTS COLLEGE OF ART AND DESIGN

MASSACHUSETTS COLLEGE OF LIBERAL ARTS

MASSACHUSETTS MARITIME ACADEMY

SALEM STATE UNIVERSITY

WESTFIELD STATE UNIVERSITY

WORCESTER STATE UNIVERSITY

APPROVED BY THE BOARD OF HIGHER EDUCATION: SEPTEMBER 28, 2018

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I. INTRODUCTION

Together, Bridgewater State University, Fitchburg State University, Framingham State University, Massachusetts College of Art and Design, Massachusetts College of Liberal Arts, Massachusetts Maritime Academy, Salem State University, Westfield State University and Worcester State University (collectively, “the Universities”) have carefully developed the major elements of this Equal Opportunity, Diversity and Affirmative Action Plan with the understanding that a successful plan requires more than knowledge of the laws, regulations and current government requirements.

This Equal Opportunity, Diversity and Affirmative Action Plan (“the Plan”) demands vision to fully comprehend what challenges the Universities face in preparing our students for their post-commencement lives. With this Plan, the Universities continue to take a step beyond and, both collectively and individually, commit themselves to the valuing of human dignity, and to the appreciation of the necessity of providing all members of the University community an experience that equips them to relate to all persons and groups in the increasingly global and diverse world in which we all live and work.

PURPOSES

Pursuant to M.G.L. Chapter 15A, the Commonwealth of Massachusetts’ Board of Higher Education (“BHE”) is responsible for the overall governance of the Universities. Together with the BHE, the Universities’ Boards of Trustees maintain and promote a policy of non-discrimination on the basis of race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status. A primary purpose of this Plan is to inform the campuses of: (1) the Universities’ prohibition of all forms of discrimination, discriminatory harassment, sexual violence, sexual and gender-based harassment, domestic violence, dating violence, stalking and retaliation; (2) the Universities’ efforts to prevent such behaviors; and (3) the manner in which the Universities will respond to such behaviors, including the prompt, impartial, fair and thorough investigation and resolution of complaints.

Through this Plan, the Universities also seek to responsibly recognize and, when possible, resolve the effects of past societal discrimination and the impact that discrimination has had. To those ends, the State Universities commit to an ongoing examination of all policies and procedures to ensure that they do not operate to the detriment of any person on any discriminatory basis. Finally, the Universities commit to a pro-active affirmative action posture with respect to the recruitment, selection and promotion of students and employees.

II. POLICY STATEMENT OF NON-DISCRIMINATION AND DIVERSITY

The Universities are committed to a policy of non-discrimination, equal opportunity, diversity and affirmative action, and dedicated to providing educational, working and living environments that value the diverse backgrounds of all people.

The Universities do not discriminate in admission or access to, or treatment or employment in, its educational programs and activities on the basis of race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status. The Universities prohibit discrimination or discriminatory harassment on all of those bases. Such behaviors violate the Universities' Policy Against Discrimination, Discriminatory Harassment and Retaliation, will not be tolerated, and may result in disciplinary action up to and including termination or expulsion.

It is also the Universities' policy to provide each student, employee, and other person having dealings with the institutions an environment free from sexual violence and all forms of misconduct on the basis of gender. The Universities prohibit rape, statutory rape, sexual assault, sexual exploitation, incest, sexual harassment, gender-based harassment, domestic violence, dating violence and stalking, and retaliation. These behaviors violate the Universities' Sexual Violence Policy, will not be tolerated, and may result in disciplinary action, up to and including termination or expulsion.

The Universities' Non-Discrimination, Discriminatory Harassment and Retaliation Policy and Sexual Violence Policy apply in all University programs and activities, including, but not limited to, athletics, instruction, grading, housing, and employment. They apply to all members of the campus communities, including, but not limited to, students, faculty, librarians, staff, visitors, contractors and applicants for employment or admission. They also apply to off-campus conduct that negatively affects a community member's experience in the University environment.

Each University has appointed an Equal Opportunity Officer ("EO Officer") to oversee its compliance with this Plan, as well as the state and federal non-discrimination and equal opportunity laws. Details regarding the EO Officer's specific duties and responsibilities can be found at Appendix 1. Anyone with questions, concerns or complaints regarding discrimination, discriminatory harassment or retaliation may contact the EO Officer.

Any person with questions or concerns about any form of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence and stalking and/or retaliation may also contact:

The U.S. Department of Education
Office for Civil Rights
33 Arch Street, 9th Floor
Boston, MA 02119-1424
(617) 289-0111/Fax (617) 289-0150
TDD (877) 521-2172
OCR.Boston@ed.gov

or

the University's
Title IX Coordinator

The Title IX Coordinator at each University is responsible for the University's compliance with Title IX and the administration of the Universities' Sexual Violence Policy. Details regarding the Title IX Coordinator's specific duties and responsibilities can be found at Appendix 2.

III. SCOPE AND DURATION

Equal opportunity, diversity and affirmative action programs are an integral part of the mission of the Universities. This Plan, by its very nature, shall affect and impact not only personnel and admissions policies, but also the procedures and practices that contribute to the academic and educational experiences of our students, and the employment opportunities throughout the Universities.

The provisions of this Plan, in compliance with applicable laws^{vi,ii} and collective bargaining agreements, apply to every educational, employment and co-curricular activity at the Universities. All benefits, services and opportunities pertaining to the Universities' educational programs, employment and services are available to all applicants, students, employees and others having dealings with the Universities regardless of race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status. No provision of this Plan is intended, and should not be used, to discriminate against any applicant, employee or student on any prohibited basis.

Pursuant to this Plan, the actions of persons responsible in matters of employment and education, including all supervisors and faculty, must be non-discriminatory. Should one of the Universities discover discrimination in any employment, educational or service decision, action, inaction or practice, all appropriate corrective and/or disciplinary actions shall be taken under the direction of the President of the University, subject to any applicable collective bargaining agreement or other policy or procedure of the University.

This Plan shall take effect as soon as it is approved by the BHE and the Universities' Boards of Trustees, and shall remain in effect for the period determined by those Boards.

CONTINUING REVIEW

The Universities will continually review this Policy and the Complaint Investigation and Resolution Procedures at Appendix 4 to ensure compliance with the requirements of federal and state law and regulations.

APPLICATION

The Plan applies to all members of the campus communities, including, but not limited to, students, faculty, librarians, staff, visitors, contractors and applicants for employment or admission. The Plan also applies to off-campus conduct that negatively affects a community member's experience in the University environment.

IV. PLAN DEFINITIONS AND TERMS

For the purposes of this Plan, the following terms are defined as follows:

Equal Opportunity. The Universities' effort to ensure that all employment and academic decisions, programs and policies are formulated and conducted in a manner to ensure equal access for all people and to prevent discrimination. As part of this effort, the Universities will ensure that employment and academic decisions, programs and policies will be based solely on the individual eligibility, merit or fitness of applicants, employees and students without regard to race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status.

Equal Opportunity Officer or “EO Officer”. A University official charged with the responsibility for the University’s administration of this Plan, and the state and federal non-discrimination and equal opportunity laws. The EO Officer may also serve as the University’s Title IX Coordinator. If the positions are held by different individuals, the EO Officer and Title IX Coordinator may collaborate on the enforcement of any part of this Plan. The identity and contact information for the EO Officer shall be published and widely distributed on each campus, including on the website of each campus. See also Appendix 1.

Protected Classes. Characteristics or groups of persons protected from discrimination by law, including:

1. Race. Discrimination laws do not contain a definition of “race,” but are interpreted to prohibit discrimination on the basis of ancestry or physical or cultural characteristics associated with a certain race, such as skin color, hair texture or styles, or certain facial features, and on the basis of stereotypes and assumptions about abilities, traits, or the performance of individuals of certain racial groups. All individuals, including persons of more than one race and the following racial classifications, are protected from discrimination:

Black: All persons having origins in any of the Black racial groups of Africa including, but not limited to, African-Americans, and all persons having origins in any of the original peoples of the Cape Verdean Islands.

White (not of Hispanic origin): Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Hispanic/Latino: All persons of Mexican, Puerto Rican, Cuban, Central, Latin or South American or other Spanish culture or origin, regardless of race.

Asian or Pacific Islander: All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent or the Pacific Islands, including, for example, the areas of China, India, Japan, Korea, the Philippine Islands and Samoa.

American Indian or Alaskan Native: All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

2. Color. Variations in skin tone among persons of the same race.
3. Religion. “Religion” and “creed” have the same or equivalent meaning: all religious and spiritual observances, practices, and sincerely held beliefs.
4. National Origin. A “national origin group” or “ethnic group” is a group sharing a common language, culture, ancestry, and/or other similar social characteristics.
5. Persons of Color. Members of the following racial classifications: Black, American Indian/Native Alaskan, Asian/Pacific Islander, and Hispanic/Latino.
6. Age. For employment purposes, persons 40 years of age or older. For the purposes of access to and participation in University programs and services, all persons of all ages are protected on the basis of age.

7. Disability. A person with a disability is one who has a physical or mental impairment that substantially limits one or more major life activities, has a record of such impairment, or is regarded as having such impairment.
8. Gender. A person's sex (female or male). "Gender" and "sex" may be used interchangeably for the purposes of the EO Plan.
9. Gender Identity. Gender identity is a person's internal view of the person's gender. "Gender identity" covers a multitude of sexual identities including, but not limited to, male, female, and transgender or gender-nonconforming individuals, who are persons whose gender identity or gender presentation falls outside of stereotypical gender norms.
10. Gender Expression. Gender expression is a term that refers to the ways in which individuals manifest or express masculinity or femininity. It refers to all of the external characteristics and behaviors that are socially defined as either masculine or feminine, such as dress, grooming, mannerisms, speech patterns and social interactions.
11. Sexual Orientation. Actual or perceived heterosexuality, homosexuality or bisexuality, either by orientation or by practice.
12. Genetic Information. Any written, recorded individually identifiable result of a genetic test or explanation of such a result or family history pertaining to the presence, absence, variation, alteration, or modification of a human gene or genes.
13. Marital/Parental Status. A person's status as single, married, parent or non-parent, where discrimination on these bases has disparately impacted against those of different protected classes, including gender and sexual orientation.
14. Veteran Status. A person who is a member of, has served in, applies to perform or is obligated to perform service in, a uniformed military service of the U.S., including the National Guard.

Discrimination. An intentional or unintentional act that adversely affects employment and/or educational opportunities because of a person's membership in a protected class or association with a member(s) of a protected class. Discrimination may be classified as either disparate impact (facially neutral practices that fall more harshly on one group than another and cannot be justified by business necessity) or disparate treatment (treatment of an individual that is less favorable than treatment of others based on discriminatory reasons). A single act of discrimination may be based on more than one protected class status. For example, discrimination based on anti-Semitism may relate to religion, national origin, or both; discrimination against a pregnant woman might be based on sex, marital or parental status, or both; discrimination against a transgender individual might be based on sex or sexual orientation.

Discriminatory harassment. A form of discrimination including verbal and/or physical conduct based on legally protected characteristics and/or membership in a protected class that:

1. has the purpose or effect of creating an objectively intimidating or hostile work or educational environment;
2. has the purpose or effect of unreasonably interfering with an individual's work or educational opportunities; or

3. otherwise unreasonably adversely affects an individual's employment or educational opportunities.

Reasonable directions or warnings by authorized University personnel as to the time, place and manner in which employees perform their assigned responsibilities, students carry out their educational assignments or program participants engage in sponsored activities do not constitute evidence of discriminatory harassment under this Policy.

For purposes of this Plan, unwelcome conduct constitutes hostile environment harassment when:

- it is targeted against a person on the basis of his/her membership in a protected class;

AND

- it is sufficiently severe or pervasive that it alters the conditions of education or employment and creates an environment that a reasonable person would find intimidating or hostile; **OR**
- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education; **OR**
- submission to, or rejection of, such conduct by an individual is used as a basis for academic or employment decisions affecting that individual.

The determination of whether an environment is "hostile" is based on the totality of the circumstances. These circumstances could include the frequency of the conduct, its severity, and whether it is threatening or humiliating. Simple teasing, offhand comments and isolated incidents (unless extremely serious) will not amount to hostile environment harassment under this Plan.

For emphasis, conduct that is not based on a person's membership in a protected class is not considered hostile under this Plan.

Retaliation. Taking adverse employment or educational action against a person who: (a) files claims, complaints or charges under this Plan, or under applicable local, state or federal statute; (2) is suspected of having filed such claims, complaints or charges; (3) has assisted or participated in an investigation or resolution of such claims, complaints or charges; or, (4) has protested practices alleged to be violative of the non-discrimination policies of the University, the BHE, or local, state or federal regulation or statute. Retaliation, even in the absence of provable discrimination in the original complaint or charge, constitutes as serious a violation of this Plan as proved discrimination under the original claim, complaint or charge.

Title IX Coordinator. A University official charged with the University's overall compliance with Title IX of the Education Amendments of 1972. Among other duties, the Title IX Coordinator is responsible for the enforcement of this Plan regarding all issues pertaining to sexual violence, sexual and gender-based harassment, domestic violence, dating violence, stalking and retaliation. A campus may have Deputy Title IX Coordinators. The Title IX Coordinator may also serve as the University's EO Officer. If the positions are held by different individuals, the Title IX Coordinator and the EO Officer may collaborate on the enforcement of any part of this Plan. The identities and contact information for all Title IX Coordinators and Deputy Title IX Coordinators shall be published and widely distributed on each campus, including on the website of each campus. See also Appendix 2.

Sexual Violence. As defined by the U.S. Department of Education's Office for Civil Rights and this Plan, sexual violence "refers to physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent (e.g., due to the [person's] age or use of drugs or alcohol, or because an intellectual or other disability prevents the [person] from having the capacity to give consent)." All forms of sexual violence are prohibited by the Universities and Title IX.

Title II/504 Coordinator. A University official charged with the responsibility for the University's compliance with Title II of the Americans with Disabilities Act of 1990, as amended, Section 504 of the Rehabilitation Act of 1973, the University's Policies for Reasonable Accommodations for Persons with Disabilities, and this Plan with regard to issues of disability discrimination. The Title II/504 Coordinator may also serve as the University's EO Officer. If the positions are held by different individuals, the Title II/504 Coordinator and the EO Officer may collaborate on the enforcement of any part of this Plan. The identity and contact information for the Title II/504 Coordinator shall be published and widely distributed on each campus, including on the website of each campus.

Individual with a Disability. A person who has a physical or mental impairment that substantially limits one or more major life activities, has a record of impairment, or is regarded as having an impairment. Examples of disabilities include, but are not limited to: alcoholism; asthma; blindness or other visual impairments; cancer; cerebral palsy; depression; diabetes; epilepsy; hearing or speech impairments; heart disease; migraine headaches; multiple sclerosis; muscular dystrophy; orthopedic impairments; paralysis; thyroid gland disorders; tuberculosis; loss of body parts.

Qualified Individual with a Disability. An employee or applicant who satisfies the skill, experience, education, and other job-related requirements of the position held or desired, and who, with or without reasonable accommodation, can perform the essential functions of that position; a student who meets the academic and technical standards requisite for admission or participation in the institution's educational program or activity.

Reasonable Accommodation. Modifications or adjustments to an application process, job, work environment, academic program or activity, or a course of study, that permit a qualified individual with a disability to perform the essential functions of a position or to enjoy the benefits and privileges of employment or education equally with persons without disabilities.

Undue Hardship. The Universities are required to make reasonable accommodations to qualified individuals with disabilities unless doing so would impose an undue hardship on the operation of the Universities' business. Undue hardship means an action that requires significant difficulty or expense when considered in relation to factors such as the University's overall size, financial resources, and the nature and structure of its operation.

Interactive Process. An on-going communication between the University and an individual with a documented disability in an effort to provide reasonable accommodation, auxiliary aids, or academic adjustments.

Complainant. An individual who makes a complaint under the Complaint Investigation and Resolution Procedures at Appendix 4 of the EO Plan. The Complainant may also be the University under certain circumstances.

Respondent. An individual who is accused of violating the EO Plan.

Day. As used in the Complaint Investigation and Resolution Procedures at Appendix 4 of the EO Plan, a day shall mean a calendar day, except where otherwise noted.

Timeframes. While the Universities encourage prompt reporting of incidents of discrimination, discriminatory harassment, sexual violence, sexual or gender-based harassment, domestic violence, dating violence, stalking and retaliation, they do not limit the timeframe for filing a complaint under this Plan.

Complaints may be filed at any time, but the University's ability to take action may be limited by the matriculation or employment status of respondents or witnesses. A prompt report will enable the University to most effectively respond to a complaint.

The process for resolving a complaint consists of three major stages: the investigation, the administrative review, and a possible appeal. Every effort will be made to investigate a complaint within sixty (60) calendar days after its receipt. Extenuating circumstances, including the complexity or severity of a complaint, breaks in the academic calendar or exam periods, may require that the investigation process be extended beyond 60 days. Every effort will be made to conclude the administrative review within fourteen (14) calendar days after the receipt of the investigation report and, where practicable, the appeal process will be concluded within thirty (30) days of receipt of the appeal.

In the event that good cause prevents the investigation and resolution process from being concluded in this time frame, the University will notify in writing all parties of the need for additional time and best efforts will be made to complete the process as expeditiously as possible. As a matter of course, parties can expect to receive status updates at reasonable intervals until the matter is resolved.

Standard of Review. All complaints pursued under the Complaint Investigation and Resolution Procedures will be evaluated under a "preponderance of the evidence" standard. Under this standard, conclusions must be "more likely than not." Accordingly, the fact-finder must find that it is more likely than not that the respondent violated the University's EO Plan, Student Code of Conduct or other relevant University policy.

Advisors. Each party to an investigation initiated under the Complaint Investigation and Resolution Procedures is entitled to have an advisor present during any meetings regarding the process (other than meetings between a party and University officials regarding accommodations or protective interim measures). Except as otherwise required by law, the advisor may observe, but may not participate in any way whatsoever, including, without limitation, by asking questions or speaking during the meeting or proceeding. The advisor's role is to provide support and/or advice to the party. During meetings and proceedings, the advisor may speak with the party or pass notes in a non-disruptive manner. The Universities reserve the right to remove from the meeting or proceeding any advisor who disrupts the process, or who does not abide by the restrictions on their participation. In addition, please note that the University does not need to cancel or delay a meeting or proceeding simply because an advisor cannot be present. Further, the advisor is not permitted to attend a meeting or proceeding without the advisee.

The personal advisor for a complainant, a student respondent or a non-unit employee respondent can be any person, including an attorney.

Respondents who are unit members may elect to have a union representative (or other University employee) present during any meeting that the unit member reasonably believes may result in discipline

pursuant to the unit member's Weingarten rights. A respondent unit member who invokes their Weingarten right to a union representative or other University employee is not also permitted an advisor.

If a party's advisor is an attorney, the University's legal counsel may also attend the meeting or proceeding.

Discipline or Sanctions. For the purposes of the investigation and resolution procedures, the terms may be used interchangeably.

V. POLICY AGAINST DISCRIMINATION, DISCRIMINATORY HARASSMENT AND RETALIATION

PROHIBITED CONDUCT

The Policy prohibits all conditions and all actions or omissions, including all acts of discrimination, discriminatory harassment and retaliation, which deny or have the effect of denying to any person their rights to equity and security on the basis of their membership in or association with a member(s) of any protected class. This Policy reaffirms the values of civility, pluralism and pre-eminence of individual human dignity as preconditions to the achievement of an academic community, which recognizes and utilizes the resources of all people.

The prohibited conduct contained in this Policy shall apply to and be enforced against all members of the University community, including, but not limited to, faculty, librarians, administrators, staff, students, vendors, contractors and all others having dealings with the institution.

Examples of discrimination, all of which are prohibited by this Policy, include, but are not limited to:

- Differences in terms, conditions and privileges of employment (including, but not limited to hiring, promotion, reassignment, termination, salary, salary increases, discipline, granting of tenure, selection for awards, etc.) on a prohibited basis.
- Disparity of treatment in educational programs and related support services on the basis of membership in a protected class.
- Differences in salaries or other benefits that are paid to one or more men or women if the differences are not based on a bona fide occupational qualification.
- Developing position descriptions or qualifications, which, without lawful justification, are so specific as to have a disparate exclusionary impact on a group of individuals because of their membership in a protected class.
- Limiting access to housing, or participation in athletic, social, cultural or other activities to students because of membership in a protected class not based on a bona fide requirement or distinction.
- Failing or refusing to hire or promote a person because of their age.
- Classifying a position or positions as unsuitable for persons of certain religions.

- Excluding members of a certain race or national origin from a category of positions or from a department or division.
- Restricting the number of veterans or qualified persons with disabilities in a category of positions or in a department or division.
- Using information on marital or parental status for employment decisions where the use of such information has a disparate impact on persons of one gender or sexual orientation.
- Advising students of similar interests and backgrounds differently because of their gender or gender identity.
- Forcing female students to sit in the back of the class on the stereotyped assumption that each of them has a lower aptitude for learning that particular subject than male students.
- Placing unreasonable expectations upon students of particular races or national origins based on stereotyped assumptions that members of those protected classes have a better aptitude for certain academic subjects than students not of those protected classes.

Examples of discriminatory harassment, all of which are prohibited by this Policy, include, but are not limited to:

- Physically harassing another individual or group because of that person's or persons' membership in a protected class by assaulting, touching, patting, pinching, grabbing, staring, leering at them, making lewd gestures, invading their personal space, blocking their normal movement, or other physical interference.
- Encouraging others to physically or verbally abuse an individual (or group of individuals) because of that person or persons' membership in a protected class.
- Threatening to harm an individual or group because of that person or persons' membership in a protected class.
- Directing epithets, slurs, derogatory comments, unwelcome jokes or stories at an individual or group because of that person or persons' membership in a protected class.
- Displaying hostile, derogatory and/or intimidating symbols/objects, such as posters, cartoons, bulletins, drawings, photographs, magazines, written articles or stories, screen savers, or electronic communications, to an individual or group because of that person or persons' membership in a protected class.

Examples of retaliation, all of which are prohibited by this Policy, include, but are not limited to:

- Terminating an employee for stating an intention to file a complaint of discrimination or for assisting another employee in filing a discrimination complaint.
- Refusing to hire an employee because the employee pursued an age discrimination charge against a former employer.
- Denying a promotion to an employee for complaining about alleged sexual orientation harassment.

- Refusing tenure to a faculty member for filing a complaint of sexual harassment pursuant to the Complaint Investigation and Resolution Procedures.
- Issuing an unjustified negative evaluation to an employee for testifying in a legal proceeding concerning a complaint of discrimination or harassment.
- Assigning a student an unearned poor grade for requesting a reasonable academic accommodation based on religion.
- Assigning a student an unearned failing grade for cooperating with an internal investigation of alleged discriminatory practices or a complaint of discrimination or harassment.
- Refusing to admit a student for requesting a reasonable accommodation based on disability in the admission process.

Members of the academic community should not assume that any of the forms of speech described above are protected by the principles of academic freedom or the First Amendment to the United States Constitution.

CONDUCT THAT IS NOT PROHIBITED

The Universities are committed to protecting, maintaining and encouraging both freedom of expression and full academic freedom of inquiry, teaching, service, and research. Nothing in this Policy shall be construed to penalize a member of the University community for expressing an opinion, theory, or idea in the process of responsible teaching and learning. Accordingly, any form of speech or conduct that is protected by the principles of academic freedom or the First Amendment to the United States Constitution is not subject to this Policy.

COMPLAINT INVESTIGATION AND RESOLUTION PROCEDURES

The Universities have established specific Complaint Investigation and Resolution Procedures to review and resolve allegations of discrimination, discriminatory harassment and retaliation on their campuses. Any member of the University community or any applicant for admission or employment who believes that he or she has been a victim of such conduct in violation of this Plan may initiate a complaint as outlined in these procedures, which are set forth at Appendix 4.

Further advice or information about Universities' Complaint Investigation and Resolution Procedures may be obtained by contacting the EO Officer on each campus.

DUTY TO COOPERATE

Every faculty member, librarian, administrator, staff member and University employee has a duty to cooperate fully and unconditionally in an investigation conducted pursuant to the Complaint Investigation and Resolution Procedures, subject to the provisions of any relevant collective bargaining agreements. This duty includes, among other things, speaking with the EO Officer, Administrative Investigator, reviewing or appellate body, and voluntarily providing all documentation that relates to the claim being investigated. The failure and/or refusal of any employee, other than an employee subject to criminal charges or who invokes a Fifth Amendment privilege, to cooperate in an investigation may result in a separate disciplinary action up to and including termination.

DUTY TO REPORT DISCRIMINATION, DISCRIMINATORY HARASSMENT OR RETALIATION

No member of the University community, including a faculty member, can ignore a report of discrimination, discriminatory harassment or retaliation.¹ He or she should provide the reporter as much assistance in bringing it to the attention of the EO Officer as is reasonably appropriate given his or her position at the University and relationship with the reporter.

In terms of reports of discrimination, discriminatory harassment or retaliation, any trustee, administrator, department chair, program coordinator, manager or supervisor who receives such a complaint from a student or other member of the University community is obligated to report the complaint to the EO Officer as soon as he or she becomes aware of it. Likewise, any member of the campus community is encouraged to report to the EO Officer any conduct of which they have direct knowledge and which they in good faith believe constitutes discrimination, discriminatory harassment or retaliation in violation of this Policy.

Any member of the University community who has a question about his or her responsibilities under this Policy Against Discrimination, Discriminatory Harassment and Retaliation should contact the EO Officer.

FALSE CHARGES

Filing a false charge of discrimination, discriminatory harassment or retaliation is a serious offense. If an investigation reveals that a person knowingly filed false charges, the University shall take appropriate actions and issue sanctions, up to and including termination or expulsion, pursuant to other applicable University policies, including any applicable collective bargaining agreement. The imposition of such sanctions does not constitute retaliation under this Plan.

¹ In terms of reports of complaints of sexual violence, sexual or gender-based harassment, domestic or dating violence, or stalking, those community members designated as Responsible Employees for the purposes of Title IX or Campus Security Authorities for the purposes of the Clery Act must act in accordance with their specific reporting obligations. All other community members are encouraged, in accordance with the level of confidentiality requested by the complainant, to report reliable knowledge of an incident(s) of such conduct to the Title IX Coordinator. See the Sexual Violence Policy at Section E for more information on employees' duty to report conduct prohibited by that Policy.

VI. SEXUAL VIOLENCE POLICY

INCLUDING SEXUAL HARASSMENT, GENDER-BASED HARASSMENT, DOMESTIC VIOLENCE, DATING VIOLENCE AND STALKING

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A. POLICY INTRODUCTION

The Massachusetts State Universities are committed to maintaining safe and healthy learning, living and working environments that are free from all forms of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation. Consistent with this commitment, the Universities comply with Title IX of the Higher Education Amendment of 1972, which prohibits discrimination and harassment on the basis of sex in education programs and activities, as well as retaliation for the purpose of interfering with any right or privilege secured by Title IX. The Universities do not discriminate on the basis of sex in admission to or employment in its education programs and activities.

This Policy prohibits all forms of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation. These behaviors are antithetical to the Universities' educational mission and are prohibited forms of harassment under Title IX. The Universities provide educational and prevention programs, services for individuals who have been impacted by discrimination and harassment on the basis of sex, and accessible, timely and equitable methods of investigation and resolution of complaints.

This Policy and the Complaint Investigation and Resolution Procedures are intended to comply with Title IX, the reauthorized Violence Against Women Act, including the Campus SaVE Act, the Clery Act, and the guidance documents on Title IX issued by the Department of Education's Office for Civil Rights and the White House Task Force to Protect Students from Sexual Assault.

1. Policy Purposes

The purpose of this Policy is for the Universities to educate their campuses about sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation, as well as their efforts to prevent, address and remedy all forms of such prohibited conduct. Accordingly, this Policy:

- states that sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation are prohibited and will not be tolerated;
- defines and describes the conduct that is prohibited;
- explains what to do if one experiences sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation;
- identifies available on- and off-campus resources;
- identifies the persons with whom one may speak confidentially;
- describes all reporting options, including how to file a complaint with the University;
- specifies the rights of both complainants and respondents; and
- explains the Universities' response to alleged incidents, including how reports of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation are evaluated, investigated and resolved.

2. Prohibition Against Sexual Violence, Sexual Harassment, Gender-Based Harassment, Domestic Violence, Dating Violence, Stalking and Retaliation

The Universities prohibit and will not tolerate sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation. These behaviors violate this Policy, state and federal civil rights laws, and possibly the criminal laws of Massachusetts.²

These behaviors can occur between strangers or acquaintances, including between people involved in an intimate or sexual relationship. Victims³ can be any gender. Any person, regardless of gender identity, can commit sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation, and these behaviors can occur between people of the same or different gender.

The Universities prohibit any student, faculty or staff member, visitor or contractor, regardless of gender, from sexually harassing, stalking, engaging in sexual violence toward or committing domestic or dating violence against another community member or anyone having dealings with the Universities. Any member of the University community who believes that s/he has been subjected to such misconduct is encouraged to report it as described in this Policy. Upon receiving a report, the University will respond quickly and seriously, and, where appropriate, will take steps to prevent the recurrence of the behavior, remedy its effects, and discipline individuals who violate this Policy.

The Universities prohibit retaliation against anyone who reports sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation, who assists another in making a report, or who participates in an investigation of a report. All persons should feel free to report their concerns without fear of retribution or reprisal.

3. Policy Application

This Policy applies to all University community members, including students, faculty, staff, visitors, contractors and applicants for employment or admission, and without regard to a person's race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status. This Policy applies to all University programs and activities, both on and off campus.

Acts of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation that take place off campus may be subject to investigation and disciplinary action under this Policy when the conduct involves behavior by or toward a community member, which (1) occurs during University-sponsored events or the events of organizations affiliated with the University, including study abroad and outside internships; (2) negatively impacts a person's access to education programs and activities; (3) adversely affects or disrupts the campus community; and/or (4) poses a threat of harm to the campus community.

² Incidents of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation as described in this Policy may also constitute criminal acts when they meet the standards set forth in Massachusetts' criminal laws, which are listed in Section M of this Policy. An individual can be prosecuted by the Commonwealth for violating a criminal law and simultaneously subject to discipline for Policy violations by the University.

³ This Policy uses the term "victim" or "complainant" to describe a person who has been subjected to sexual violence, and does so with respect for those who have been subjected to sexual violence and without making a presumption about the responsibility (or lack thereof) of the alleged respondent.

4. Title IX Coordinator

Pursuant to Title IX and its implementing regulations at 34 C.F.R. Part 106, each University has appointed a Title IX Coordinator, who has the primary responsibility for coordinating the University's efforts to comply with and carry out its responsibilities under Title IX.

In this role, the Title IX Coordinator: administers this Policy; monitors the University's responsive actions to ensure that the learning, living and working environments are free of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation; and monitors the steps taken to remedy the effects of the misconduct on the complainant(s), including any investigation, resolution or disciplinary proceedings. The Title IX Coordinator also: provides information about reporting options and support resources; initiates interim protective measures; evaluates requests for confidentiality; coordinates appropriate accommodations; assists persons in filing complaints with law enforcement (when requested); provides or facilitates training for faculty, staff and students; and may investigate complaints.

The Title IX Coordinator may also serve as the University's Equal Opportunity Officer ("EO Officer"). If these positions are held by different persons, the Title IX Coordinator and EO Officer may collaborate on the enforcement of any aspect of this Policy. There may also be a Deputy Title IX Coordinator(s) designated to assist the Title IX Coordinator in the performance of the Coordinator's duties and to whom specific responsibilities may be delegated.

Anyone with questions, concerns or complaints related to Title IX, sexual violence, sexual harassment, gender-based harassment, domestic or dating violence, stalking and retaliation, and/or this Policy may contact the Title IX Coordinator on the relevant campus. The names and contact information for the Universities' Title IX Coordinators and any Deputy Coordinators are identified on each campus's website.

Bridgewater State University

<https://www.bridgew.edu/>

<http://www.handbook.bridgew.edu/PoliciesProcedures/SexualMisconductandRelationshipViolence.cfm>

Fitchburg State University

<http://www.fitchburgstate.edu/>

<http://www.fitchburgstate.edu/about/equal-opportunity-diversity-and-affirmative-action-title-ix/>

Framingham State University

<http://www.framingham.edu/>

<http://www.framingham.edu/shape>

Massachusetts College of Art and Design

<http://www.massart.edu>

Massachusetts College of Liberal Arts

<http://www.mcla.edu/titleix>

Massachusetts Maritime Academy

<http://www.maritime.edu/title-ix>

Salem State University

<http://www.salemstate.edu>

<http://www.salemstate.edu/chs/27875.php>

Worcester State University

<http://www.worcester.edu>

http://www.worcester.edu/Title_IX

Westfield State University

<http://www.westfield.ma.edu/>

http://catalog.westfield.ma.edu/content.php?catoid=8&navoid=329#Sexual_Misconduct_Policy

5. Coordination with the Policy Against Discrimination, Discriminatory Harassment and Retaliation Harassment, misconduct or violence related to a person's sex, sexual orientation, gender identity or

expression is sometimes also related to a person's race, age, disability, or membership in another protected class. Discriminating against or harassing any person on such bases is prohibited by the Universities' Policy Against Discrimination, Discriminatory Harassment and Retaliation. In cases where the alleged conduct implicates both Policies, the University will coordinate its evaluation, investigation and resolution efforts to address the alleged conduct on all prohibited bases.

Note: While this Policy and the Complaint Investigation and Resolution Procedures identify certain University officers and employees who have particular roles and duties, the Universities may designate other officers or employees to perform specific roles and/or duties set forth in this Policy or the Complaint Investigation and Resolution Procedures.

B. DEFINITIONS AND EXAMPLES OF POLICY VIOLATIONS

For the purposes of this Policy, the following definitions and terms apply:

1. Sexual Violence

As defined by the U.S. Department of Education's Office for Civil Rights, sexual violence "refers to physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent (e.g., due to the [person's] age or use of drugs or alcohol, or because an intellectual or other disability prevents the [person] from having the capacity to give consent)." All forms of sexual violence are prohibited by the Universities and Title IX.

a. Rape

Rape is the penetration, no matter how slight, of (1) the vagina or anus of a person by any body part of another person or by an object, or (2) the mouth of a person by a sex organ of another person, without that person's consent. Rape is also the performance of oral sex or anal sex on another person without that person's consent.

b. Sexual Assault

Sexual assault is any kind of sexual physical contact that involves any form of coercion, force or lack of consent. Sexual physical contact includes the intentional touching of another person on an area of the body generally recognized as a private part of the body, or touching any part of another person's body with a private part of one's own body or object, no matter how slight. Sexual intercourse means penetration, no matter how slight, of a bodily orifice (vagina, anus, or mouth) by an object or by a body part, and/or non-consensual oral sex or anal sex. Examples of sexual assault include, but are not limited to:

- kissing or fondling without consent;
- rape;
- advancing sexual activity without consent;
- ignoring a partner's objections to sexual activity on one occasion even when consent has been given in the past; and
- engaging in manipulative, threatening and coercive behavior to obtain consent.

c. Sexual Exploitation

Sexual exploitation is taking sexual advantage of another person for one's own benefit or the benefit of anyone other than that person without that person's consent. Examples of behavior that could rise

to the level of sexual exploitation include, but are not limited to:

- prostituting another person;
- recording images (*e.g.*, video, photograph) or audio of another person's sexual activity, intimate body parts, or nakedness without that person's consent;
- distributing through social media, text, email or other media images (*e.g.*, video, photograph) or audio of another person's sexual activity, intimate body parts, or nakedness, if the individual distributing the images or audio knows or should have known that the person depicted in the images or audio did not consent to such disclosure and objects to such disclosure;
- viewing child pornography; and
- viewing another person's sexual activity, intimate body parts, or nakedness in a place where that person would have a reasonable expectation of privacy, without that person's consent.

d. Incest

Incest is sexual intercourse between persons who are related to each other and whose marriage would be prohibited by law. Attempts to commit incest are also prohibited.

e. Statutory Rape

Statutory rape is sexual intercourse with a person who is under the statutory age of consent, which is 16 in Massachusetts. Attempts to commit statutory rape are also prohibited.

f. Aiding in the Commission of Sexual Violence

The aiding or assisting in the commission of an act(s) of sexual violence is prohibited. Examples of aiding in the commission of sexual violence include, but are not limited to:

- videotaping a friend having sex with a person who has passed out drunk at a party;
- helping a friend to drug the friend's date's drink; and
- encouraging students to engage in sexual activity when one knows those students to be incapacitated by drugs or alcohol.

g. Affirmative Consent

Consent is an understandable exchange of affirmative words or actions, which indicate a willingness by all parties to participate in mutually agreed upon sexual activity. Consent must be informed, freely and actively given. It is the responsibility of the initiator to obtain clear and affirmative responses at each stage of sexual involvement.

Whether an individual has taken advantage of a position of influence over a complainant may be a factor in determining consent. For example, a position of influence could include supervisory or disciplinary authority.

Silence, previous sexual relationships or experiences, and/or a current relationship may not, in themselves, be taken to imply consent. While nonverbal consent is possible (through active participation), it is best to obtain verbal consent. Similarly, consent to one form of sexual activity does not imply consent to other forms of sexual activity. Consent to sexual activity may be withdrawn at any time, as long as the withdrawal is communicated clearly.

h. Incapacitation

An individual who is incapacitated by alcohol and/or drugs both voluntarily or involuntarily consumed may not give consent. Alcohol or drug related incapacitation is more severe than impairment, being under the influence, or intoxication. Evidence of incapacity may be detected from context clues, such as slurred speech, bloodshot eyes, the smell of alcohol on the breath, shaky equilibrium, vomiting, unusual behavior or unconsciousness. While context clues are important in determining incapacitation, they alone do not necessarily indicate incapacitation.

Persons unable to consent due to incapacitation also include, but are not limited to: persons under age sixteen (16); persons who are intellectually incapable of understanding the implications and consequences of the act or actions in question; and persons who are physically helpless. A physically helpless person is one who is asleep, blacked out, involuntarily physically restrained, unconscious, or, for any other reason, unable to communicate unwillingness to engage in any act.

The use of alcohol or drugs to render another person mentally or physically incapacitated as a precursor to or part of a sexual assault is prohibited. The use of alcohol, medications or other drugs by the respondent or accused does not excuse a violation of this Policy.

i. Force

Force is the use of physical strength or action (no matter how slight), violence, threats of violence or intimidation (implied threats of violence) as a means to engage in sexual activity. A person who is the object of actual or threatened force is not required to physically, verbally or otherwise resist the aggressor.

j. Coercion

Coercion is unreasonable pressure or emotional manipulation to persuade another to engage in sexual activity. When someone makes it clear that s/he does not want to engage in sexual behavior, or s/he does not want to go beyond a certain point of sexual activity, continued pressure beyond that point can be considered coercive. Being coerced into sexual activity is not consent to that activity.

2. Sexual Harassment

Unwelcome conduct of a sexual nature is prohibited when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education; and/or
- submission to, or rejection of, such conduct by an individual is used as a basis for academic or employment decisions affecting that individual; and/or
- such conduct has the purpose or effect of substantially interfering with an individual's academic or work professional performance or creating a sexually intimidating or hostile employment, educational, or living environment.

Examples of sexual harassment may include, but are not limited to:

- repeatedly pressuring another person for sexual activity;
- making sexist remarks about an individual's clothing, body or sexual activities;

- unnecessary touching, patting or pinching another person;
- demanding sex from a subordinate while making threats concerning the subordinate's job;
- demanding sex from a student while making implied threats concerning the student's grade;
- electronically transmitting derogatory, demeaning or pornographic materials;
- posting explicit sexual pictures on an exterior office door or on a computer monitor; and
- sexually assaulting another person.

Sexual harassment can occur between people of any gender. It can occur between equals (*e.g.*, student-to-student, staff-to-staff, faculty-to-faculty) or between those of differing power status (*e.g.*, supervisor-to-subordinate, faculty-to-student, coach-to-athlete). It is possible for one who appears to have the lesser power to commit sexual harassment (*e.g.*, a student harassing a faculty member).

In order for conduct to constitute sexual harassment under this Policy, a reasonable person under similar circumstance would have to conclude that the behavior was harassing or discriminatory.

Reasonable directions or warnings by authorized University personnel as to the time, place and manner in which employees perform their assigned responsibilities, students carry out their educational assignments or program participants engage in sponsored activities do not constitute evidence of sexual harassment under this Policy.

Hostile Environment

A hostile environment exists when sexual harassment is sufficiently serious to deny or limit a person's ability to participate in or benefit from the University's programs or activities. A hostile environment can be created by anyone involved in the University's programs or activities (*e.g.*, administrators, faculty members, students, and campus visitors).

To make the ultimate determination of whether a hostile environment exists for campus community member(s), the University considers a variety of factors related to the severity, persistence, or pervasiveness of the sexual harassment, including: (1) the type, frequency, and duration of the conduct; (2) the identity and relationships of persons involved; (3) the number of individuals involved; (4) the location of the conduct and the context in which it occurred; and, (5) the degree to which the conduct affected one or more person's education or employment.

A single or isolated incident may create a hostile environment if the incident is sufficiently severe. The more severe the conduct, the less need there is to show a repetitive series of incidents to show evidence of a hostile environment, particularly if the harassment is physical.

3. Gender-Based Harassment

Unwelcome conduct of a nonsexual nature based on a person's actual or perceived sex, including conduct based on gender identity, gender expression, and nonconformity with gender stereotypes, is prohibited when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or education; and/or
- submission to, or rejection of, such conduct by an individual is used as a basis for academic or employment decisions affecting that individual; and/or

- such conduct has the purpose or effect of substantially interfering with an individual's academic or professional performance or creating an intimidating or hostile employment, educational, or living environment based on gender.

Examples of gender-based harassment include, but are not limited to:

- using derogatory comments and terms toward a male or female who do not act in ways that align with their gender stereotype, such as a male being called names for being interested in the arts or a female being called names for being interested in construction;
- telling someone to use a restroom that does not align with that person's gender identity; and
- making generalized derogatory comments about one gender, such as "all females" are _____ or "all males" are _____.

While harassment based on non-sexual factors may be distinguished from sexual harassment, these types of behaviors may contribute to the creation of a hostile environment. Thus, in determining whether a sexually hostile environment exists, the University may consider acts of gender-based harassment. In order for conduct to constitute gender-based harassment under this Policy, a reasonable person under similar circumstances would have to conclude that the behavior was harassing or discriminatory.

Reasonable directions or warnings by authorized University personnel as to the time, place and manner in which employees perform their assigned responsibilities, students carry out their educational assignments or program participants engage in sponsored activities do not constitute evidence of gender-based harassment under this Policy.

The definition of hostile environment provided under the Sexual Harassment section above also applies in the context of gender-based harassment.

4. Domestic and Dating Violence

Domestic and dating violence are acts of abusive or coercive behavior (physical, sexual, financial, verbal and/or emotional) used by a perpetrator to gain or exercise control over another, including any behaviors that intimidate, manipulate, humiliate, isolate, frighten, threaten, blame, hurt, injure, or wound someone. Domestic and dating violence can occur in relationships between persons of any gender.

Domestic violence is such behavior directed against a current or former spouse, family member (blood, step, adoptive or foster), person with whom a child is shared, or cohabitant (possibly a roommate).

Dating violence is such behavior directed against another person in a social relationship of a romantic or intimate nature, and where the existence of such a relationship is determined based on a consideration of the length and type of relationship and frequency of interaction between the persons involved.

Examples of domestic and dating violence may, under the totality of the circumstances of each case, include, but are not limited to:

- hitting, slapping, punching, kicking, pulling hair or other physical misconduct;
- isolating a partner from family and friends;
- destroying a roommate's personal items;
- physically assaulting the child of a partner;

- pursuing sexual activity when a partner is not fully conscious, is not asked, or is afraid to say no, or coercing a partner to have sex without protection;
- threatening to reveal a person's sexual orientation without the person's permission;
- exhibiting excessive possessiveness and jealousy;
- constantly belittling or insulting a partner;
- checking a roommate's cell phone or email account without permission;
- demanding that a partner dress or act in a certain way; and/or
- threatening violence against the victim's acquaintances, friends, or family members.

5. Stalking

Engaging in a course of harassing, threatening, or unwanted behavior that would cause a reasonable person to suffer substantial emotional distress or fear for their safety or the safety of others. Stalking may occur in a range of formats including, but not limited to, in-person conduct, writings, texting, voicemail, email, social media, following someone with a global position system (GPS), and video/audio recording. Examples of stalking behaviors include, but are not limited to:

- repeated unwanted or unsolicited contact or leaving unwanted gifts or items;
- posting disturbing messages or threats online;
- creating, attempting to create, or disseminating unauthorized recordings of another;
- gathering information about an individual from family, friends, co-workers, and/or classmates, or by electronic means by installing spy-ware on a computer or using GPS;
- threats in any form about an individual or their loved ones or threats to harm oneself;
- damaging, stealing, borrowing, or relocating property, trespassing and vandalism;
- pursuing, waiting, or showing up uninvited at a workplace, residence, classroom, or other locations frequented by an individual; and
- directing a third party to take any of the above acts.

6. Retaliation

The Universities prohibit retaliation against any person for making a complaint of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation, for assisting in making a complaint, for resisting or openly opposing such conduct, or for otherwise using or participating in the complaint investigation process under the Policy. Persons who file, or participate in the investigation or resolution of, claims or complaints of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation with outside agencies, law enforcement or otherwise pursuant to any applicable state or federal law, are also protected from retaliation by this Policy.

Prohibited retaliation includes, but is not limited to: threats; intimidation; reprisals; continued harassment or misconduct; other forms of harassment; slander and libel; and adverse actions related to employment or education. Retaliation can be committed by individuals or groups, including friends, relatives or other associates of the person against whom a complaint is filed. Retaliation, even in the absence of proven sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence or stalking in an underlying complaint, constitutes a violation of this Policy that is just as serious as the main offense itself.

Any person who believes that he or she is the object of retaliation, or any person with questions or concerns about retaliation should contact the University's EO Officer.

C. CONDUCT THAT IS NOT PROHIBITED

The Universities are committed to protecting, maintaining and encouraging both freedom of expression and full academic freedom of inquiry, teaching, service and research. Nothing in this Policy shall be construed to penalize a member of the University community for expressing an opinion, theory, or idea in the process of responsible teaching and learning. Any form of speech or conduct, no matter how offensive, unpleasant or even hateful, which is protected by the principles of academic freedom or the U.S. Constitution, is not subject to this policy.

D. CONSENSUAL RELATIONSHIPS

Consensual romantic and/or sexual relationships in which one party retains a direct supervisory or evaluative role over the other party are unethical and create a risk for real or perceived coercion. The Universities do not intrude upon private choices regarding personal relationships when these relationships do not violate the Universities' policies, or cause harm or increase the risk of harm to the safety and wellbeing of members of the campus community.

1. Faculty/Administrator/Staff Member Relationships with Students

No faculty member shall have a romantic and/or sexual relationship, consensual or otherwise, with a student who is being taught or advised by the faculty member or whose academic work is being supervised or evaluated, directly or indirectly, by the faculty member. No administrator or staff member shall have a romantic and/or sexual relationship, consensual or otherwise, with a student who the administrator or staff member supervises, evaluates, advises, or provides other professional advice or services as part of a University program or activity. A romantic and/or sexual relationship, consensual or otherwise, between a faculty member, administrator or staff member and a student is looked upon with disfavor and is strongly discouraged.

2. Relationships Between Supervisors and Subordinates or Between Co-Workers

A consenting romantic and/or sexual relationship between a supervisor and subordinate or co-workers may interfere with or impair the performance of professional duties and responsibilities and/or create an appearance of bias or favoritism. Further, such relationships could implicate state ethics laws and/or result in claims of discrimination, sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation. Therefore, such workplace relationships are strongly discouraged.

E. RESOURCES

The safety, health and well-being of the campus communities are of paramount importance to the Universities. All who experience any form of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation are strongly urged to talk to someone to get the support they need, no matter when or where the incident occurred.

For information on the location, phone numbers, hours and services provided for the campus and community resources listed below, please contact the Title IX Coordinator or Deputy Title IX Coordinator, the EO Officer, Human Resources, Student Life or Student Conduct, Residence Life, Health Services, the Counseling Center and/or Campus Police. The information is also listed on each University's website as identified earlier on page 17.

1. Immediate Needs: Assuring One's Safety and Preserving Evidence

If an incident occurs, the Universities encourage victims to report the incident and seek both police and medical assistance. Seeking police or medical assistance does not obligate a victim to make a complaint or take any further action, but the decision to seek medical help and gather evidence allows victims to preserve the full range of available options. The Universities will assist any community member to get to a safe place, provide transportation for medical help and, if requested, contact law enforcement. For 24/7 help, contact Campus Police, or contact the Title IX Coordinator during normal University hours.

Any person who has experienced sexual violence is encouraged to take steps to preserve evidence of the incident, as doing so may be necessary to the proof of a crime or to obtain a protection order from the court. After an incident occurs, one should try to refrain from bathing, showering, brushing teeth, drinking, eating, douching or changing clothes until the evidence can be collected. If one changes clothes, one should place each garment in a separate paper (not plastic) bag. If the incident involves any written or electronic communications (*e.g.*, pictures/videos, texts, social media posts, etc.), take care to preserve copies and not delete the originals.

2. Confidential Medical Attention

Medical attention is strongly encouraged to treat any possible injuries, including internal injuries, or infections. Please note that there are some medical actions that are more effective if taken within a few days after an offense, such as preventative treatment for pregnancy and sexually transmitted infections, evidence collection, and toxicology testing if there are signs that drugs or alcohol facilitated the offense. One may generally discuss the incident with licensed medical personnel confidentially.

a. Confidential Medical Resources on Campus

Students may access the services of the Student Health Center on a confidential basis. Employees may seek the confidential services of the Employee Assistance Program ("EAP").

b. Confidential Community Medical Resources

Sexual Assault Nurse Examiners (SANEs) are specially trained, certified professionals skilled in performing quality forensic medical-legal exams. One may find more information about SANE services and where to obtain them here:

<https://www.mass.gov/orgs/division-of-sexual-and-domestic-violence-prevention-and-services>

3. Confidential Counseling and Support

Generally, one may discuss the incident with a licensed mental health counselor or a counselor recognized by a religious order or denomination on a confidential basis. These counselors are good options if one wishes to discuss one's situation with someone who can keep one's information as confidential as possible while assisting one to determine what additional steps to take, such as obtaining further counseling, seeking medical attention, preserving evidence, and/or reporting to University or law enforcement authorities then or at a later time.

a. Confidential Counseling and Support Resources on Campus

Students may access the services of Counseling Services on a confidential basis. Employees may seek the confidential services of the EAP. All community members may access the confidential services of any religious/pastoral counselors on campus.

b. Confidential Community Counseling and Support Resources

Many off-campus counseling resources are available. These service providers are not required to report any information to the University and will generally maintain one's confidentiality.

White House Initiative to Combat Sexual Assault on College Campuses
www.notalone.gov (searchable listing of local resources & hotlines)

The National Stalking Resource Center
<http://www.victimsofcrime.org/our-programs/stalking-resource-center>

National Sexual Assault Hotline
(800) 656-4673 (24 hour)

RAINN [Rape Abuse & Incest National Network]
(800) 656-4673 (Hotline)
www.rainn.org (On-Line Chat Live)

National Domestic Violence Hotline
(800) 799-7233 (24 hour)

MA Spanish Language Rape Crisis Center Hotline
(Llamanos)
(800) 223-5001(Hotline)

National Suicide Prevention Lifeline
(800) 273-8255 (Hotline)

Victim Rights Law Center
115 Broad Street, 3rd Floor Boston, MA 02110
Phone: 617-399-6720
(legal services for victims of sexual assault)

Massachusetts Office for Victim Assistance
<http://www.mass.gov/mova/>
Ask MOVA: 844-878-6682
MOVA Office: 617-586-1340
mova@state.ma.us

<http://changingourcampus.org/get-help/>

Additionally, the Rape Crisis Centers listed below offer FREE services, including:

- 24/7 hotline counseling, information, and referral;
- will go with victims to hospitals and/or police stations 24/7;
- will go with a victim to court;
- provide one-to-one counseling and support group counseling; and
- provide primary prevention education, professional training and outreach.

Greater Boston Area

Boston Area Rape Crisis Center, Cambridge

(800) 841-8371 (24-hour hotline), (617) 492-6434 TTY

BARCC ha ayudado a miles de mujeres y hombres. Por favor llámanos si necesita ayuda. Estamos aquí para usted. Usted puede llamar nuestra oficina al numero 617.649.1297 o llamar la línea de ayuda de Llámanos y Hablemos al numero 1.800.223.5001

Francais et Kreyol: <http://www.barcc.org/francais>; <http://www.barcc.org/francais/kreyol>

Northeastern Massachusetts

North Shore Rape Crisis Center, Lynn, 800-922-8772

Center for Hope and Healing, Lowell, 800-542-5212 Hotline, 978-452-8723 TTY

YWCA of Greater Lawrence, 877-509-9922 SA Hotline, 978-686-8840 TTY

Central Massachusetts

Pathways for Change, Inc., Worcester, 800-870-5905 Hotline, 888-877-7130

Pathways for Change, Inc., Fitchburg, 800-870-5905

Wayside Trauma Intervention Services, Milford, 800-511-5070 Hotline, 508-478-4205 TTY

Voices Against Violence, Framingham, 800-593-1125 Hotline, 508-626-8686 TTY

Southeastern Massachusetts

A Safe Place, Nantucket, 508-228-2111 Hotline, 508-228-7095 TTY

Independence House, Hyannis, 800-439-6507 Hotline, 508-771-6702 TTY

Martha's Vineyard Community Services, Vineyard Haven, 508-696-7233; Hotline 508-693-7900 TTY

Greater New Bedford Women Center, New Bedford, 508-999-6636 Hotline, 508-996-1177 TTY

New Hope, Attleboro, 800-323-4673 Hotline/TTY

The Women's Center, Fall River, 508-672-1222 Hotline, 508-999-6636; TTY 508-996-1177

A New Day, Brockton, 508-588-8255 Hotline, 508-588-8255 or toll free at 888-293-7273

Western Massachusetts

Elizabeth Freeman Center, Pittsfield, (866) 401-2425 Hotline, 413-499-2425 TTY

Center for Women and Community, Amherst, 413-545-0800 Hotline, 413-577-0940 TTY

NELCWIT, Greenfield, 413-772-0806 Hotline; 413-772-0815 TTY

YWCA of Western Mass, Springfield, 800-796-8711 (24/7) Hotline and TTY; 800-223-5001 Spanish

YWCA of Western Mass, Westfield, 800-796-8711 (24/7) Hotline and TTY

As the above contact information may be subject to change, current contact information on rape crisis centers in Massachusetts can be found at:

<http://www.mass.gov/eohhs/consumer/physical-health-treatment/health-care-facilities/rape-crisis-centers.html>

For more information about programs and services offered by the Commonwealth regarding sexual and domestic violence see: <http://www.mass.gov/eohhs/gov/departments/dph/programs/community-health/dvip/violence/sapss/>

Finally, each county in Massachusetts maintains a Victim Advocate/Assistance Program:

Barnstable	http://www.mass.gov/capeda/public-safety-assistance/victim-and-witness-assistance/
Berkshire	http://www.mass.gov/berkshireda/victim-assistance.html
Bristol	http://www.southcoastserve.org/bristol_county_district_attorneys_office
Dukes	http://www.mass.gov/capeda/public-safety-assistance/victim-and-witness-assistance/
Essex	http://www.mass.gov/essexda/victim-witness-services.html
Franklin	https://northwesternda.org/victim-witness-assistance-unit
Hampden	http://hampdenda.com/victim-witness-unit/
Hampshire	https://northwesternda.org/victim-witness-assistance-unit
Middlesex	http://middlesexda.com/prosecution/victim-witness-services.php
Nantucket	http://www.mass.gov/capeda/public-safety-assistance/victim-and-witness-assistance/
Norfolk	http://www.mass.gov/norfolkda/victimwitness.html
Plymouth	http://www.mass.gov/daplymouth/prosecution/victimwitness.html
Suffolk	http://www.suffolkdistrictattorney.com/victim-assistance/
Worcester	http://worcesterda.com/resources/victim-resources/

4. Non-Confidential Campus Resources

The Universities offer a variety of resources to those community members who have experienced or been affected by sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation. While the following resources are not bound by confidentiality, they will maintain one's privacy within the limited group of University personnel necessary to address the issues of prohibited conduct presented.

- Title IX Coordinator (and any Deputies)
- EO Officer
- Campus Police
- Human Resources
- Housing/ Residence Life
- Student Life/Student Affairs
- Student Conduct
- Disability Services

F. REPORTING OPTIONS

The Universities strongly encourage all who have experienced sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation to report the incident so that the University can provide support and pursue an appropriate resolution. The Universities prohibit and will not tolerate retaliation against anyone who makes a report.

Victims have several options for reporting: **Confidential Reports, Non-Confidential Reports** and **Making No Report**. While each option will be described in detail below and is summarized at Appendix A, as a general rule, if a University receives a report of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation, it must investigate the report. If one is unsure of someone's duty to report or ability to maintain one's privacy, one should ask them before one talks to them about an incident. They will be able to explain if they are required to make a report, and they can identify others who can help.

All parties and witnesses to incidents of such prohibited conduct have reasonable expectations of privacy in matters reported and investigated under this Policy. The Universities want all community members to seek the assistance they need without fear that their private information will be shared more broadly than they would like. Federal and state laws, however, impose reporting obligations on certain University employees that, under some circumstances, require those employees to share information about an incident of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation with others at the University. Even when these employees have an obligation to report, they will protect the privacy of the reporter to the greatest extent possible and share information on only a need-to-know basis.

When a person makes a report, a University employee or official will try to ensure that the person is informed of their reporting obligations, and they will direct the person to Confidential Resources to whom one may make a private report. So that one fully understands the ability to make reports and the ability to keep one's information confidential, please review the following reporting options. If one needs assistance in making a report, please contact the Title IX Coordinator.

1. Confidential Reporting Options

a. Clergy, Pastoral Counselors, Licensed Medical and Mental Health Providers

One may report sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation in confidence to licensed mental health counselors, licensed

health care personnel, pastoral counselors or clergy who work for the Universities. Employees may also report such misconduct in strict confidence through the EAP. Except in rare, extreme circumstances, these individuals will share nothing without one's permission. For example, a University official who works as a clinical provider is legally required to break confidentiality when there appears to be a risk of immediate harm. Further, the University may be required to notify the Massachusetts Department of Children and Families if it receives a report regarding the abuse (including sexual assault) of a child.

Even if one does not wish to make a complaint, these individuals can help one to obtain support services and provide information about one's options. Please bear in mind, however, that if one requests certain protective interim measures from the University, *e.g.*, extension for academic work or changing classes, residence halls or work locations (see Section H), the Dean of Students and/or other University officials as necessary may be contacted only for the purpose of providing the requested measures. In such cases, one's privacy will be maintained to the extent that maintaining confidentiality will not impair the University's ability to provide the requested measures.

One may also confidentially report sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation to community support resources, which are not required to share information with the Universities.

b. Anonymous Reporting

One may file an anonymous report (without including one's personal identification) with the Title IX Coordinator. Anonymous reports will typically be used only for statistical data collection under the Clery Act, will be kept confidential, and will not be used to initiate an investigation or a complaint except: (1) when necessary to comply with applicable law; or (2) to protect the health and safety of the campus community.

2. Non-Confidential Reporting Options

a. Campus Reporting Options

If one wishes to report sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation to the University, one may notify the Title IX Coordinator or a Deputy Title IX Coordinator, the EO Officer, Campus Police, the Human Resources Director, the Dean of Students or Student Conduct. Upon receipt of a report, the University will conduct appropriate follow-up to ensure that one has access to support, services, safety measures, and accommodations. One may also request a criminal investigation through Campus Police, who will assist in contacting the appropriate law enforcement agency that has jurisdiction (see below for more information on Criminal Reporting Options).

The Universities recognize that one may feel most comfortable disclosing an incident to a University employee that one knows well, such as a resident advisor, coach or faculty member. Pursuant to Title IX, however, certain employees are required, under nearly all circumstances, to report incidents to the Title IX Coordinator. These employees, known as "Responsible Employees" or "REs" are those with supervisory responsibilities or the authority to address or remediate sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation, or whom a student might reasonably believe has such supervisory responsibility or authority.

The Universities encourage victims to speak with an RE so that the incident can be investigated and properly resolved. When one makes a report to an RE, one has the right - and should expect - the

University to take the report seriously, to undertake a prompt, thorough and fair investigation, and to resolve the matter in accordance with the procedures in this Policy.

The REs at the Universities include persons holding the following positions:

- Members of the Boards of Trustees;
- The President and Vice Presidents;
- Assist./Assoc. Vice Presidents;
- Title IX Coordinator/ Deputy Coordinators;
- EO Officer;
- Campus Police;
- Institutional Security Officers;
- Director and Assist./Assoc. Director of Human Resources;
- Departmental Directors and Assist./Assoc. Directors⁴;
- Residence Life Staff (including RDs and RAs);
- Athletic Coaches, Assistant Coaches and Athletics Administrators;
- Studio Managers;
- Lab Managers;
- Deans and Assistant/Associate Deans
- Academic Department Chairs;
- Academic and Non-Academic Program Directors/ Coordinators;
- Faculty/Staff Leading or Chaperoning Travel or Overnight Trips; and
- Faculty/Staff Advisors to Student Organizations.

The complete listing of the REs for each University can be found on each University's website.

Once an RE receives the report, the University is "on notice" of the incident and the University is then required, under most circumstances, to investigate. If one makes a report to an RE, however, only the people who need to know about the report will be told. Personal information will be shared only as necessary, and consistently with state and federal law: (1) with Administrative Investigators, witnesses, and the accused; (2) with other University officials to provide interim measures or accommodations; or (3) when required to be disclosed by law.

Whenever possible, REs will disclose their duty to report incidents before someone reveals information about an incident. REs will also inform a person making a report of their option to make a confidential report on campus, and where to obtain support services.

Additionally, University employees who are designated as Campus Security Authorities ("CSAs") for the purposes of the Clery Act must provide Campus Police with non-identifying statistical information regarding all reported incidents of sexual assault, dating violence, domestic violence and stalking. This statistical information is used by the Universities to compile their Annual Security Reports, and by Campus Police for purposes of advising the campus of any potential safety risks or concerns.

Accordingly, unless a University employee or official is identified as a Confidential Resource in Appendix A, most other University employees and officials who receive reports of incidents of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation are required to report them to the Title IX Coordinator.

b. Criminal Reporting Options

Victims may file a criminal complaint with Campus Police and/or the local police department where the

⁴ Those Departmental Directors, Assistant Directors and Associate Directors who serve in professional roles in which communications are afforded confidential status under the law (e.g., licensed mental health care providers, medical providers, pastoral counselors and clergy) are not REs under this Policy.

incident occurred. Victims can make a criminal report and a report to the University; one does not have to choose one or the other.

The Universities encourage victims to report incidents to the police so that the police can take appropriate measures to help victims and prevent future crimes. If one would like assistance in filing a report with local law enforcement, Campus Police will help.

Victims are never required, however, to report an incident to Campus Police or local law enforcement. If a victim elects not to make a criminal report, the Universities will respect that decision not to report the incident to the police.

If a victim chooses to make a report to Campus Police, the Department will conduct an investigation and, if wished, assist the victim in filing criminal charges against the alleged offender. Campus Police can also assist a victim in the process of obtaining protective restraining orders and abuse prevention orders for relationship/domestic violence. The Department has specially trained officers to respond to complaints of sexual assault and domestic violence, and, whenever possible, Campus Police will make every effort to offer female complainants/victims an opportunity to have a female officer present during all interviews. Campus Police also helps the University to evaluate, investigate and resolve complaints under this Policy, and Campus Police assists in protecting the safety of complainants.

c. Governmental Reporting Options

If one wishes to file a complaint of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation outside of the University or in addition to a complaint filed under the University's Complaint Investigation and Resolution Procedures, the following agencies may provide additional resources:

U.S. Department of Education,
Office for Civil Rights
<http://www2.ed.gov/about/offices/list/ocr/index.html>
U.S. Department of Education
Office for Civil Rights
33 Arch Street, 9th Floor
Boston, MA 02119-1424
(617) 289-01111, TDD (877) 521-2172
Email: OCR.Boston@ed.gov

U.S. Department of Justice, Office on
Violence Against Women
<http://www.ovw.usdoj.gov/>
Office on Violence Against Women
145 N St., NE, Suite 10W.121
Washington, D.C. 20530
(202) 307-6026
Fax: (202) 305-2589
Email: ovw.info@usdoj.gov

Persons who have questions or who wish to file a complaint of gender discrimination or sexual harassment under state law may contact the Massachusetts Commission Against Discrimination:

Boston Office:
One Ashburton Place
Rm. 601
Boston, MA 02108
(617) 994-6000
Springfield Office:
436 Dwight Street, Rm. 220
Springfield, MA 01103
(413) 739-2145

Worcester Office:
Worcester City Hall
484 Main Street, Rm. 320
Worcester, MA 01608
(508) 453-9630
New Bedford Office:
800 Purchase Street, Rm. 501
New Bedford, MA 02740
(508) 990-2390

Employees with complaints, questions or concerns about gender discrimination, sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation may also contact the Equal Employment Opportunity Commission, John F. Kennedy Federal Building, 475 Government Center, Boston, MA 02203, (800) 669-4000, TTY (800) 669-6820.

d. Third Party Reporting

Anyone may make a report of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation against another member of the campus community or a person affiliated with the University by contacting the Title IX Coordinator, Campus Police or another Responsible Employee.

e. Unknown/Non-University Offenders

If one does not know the identity of an alleged offender, or if the alleged offender is not a member of the campus community, the University will assist a victim in identifying appropriate resources or local authorities if the victim wishes to file a report. In addition, the University may investigate to the fullest extent possible and take other actions to protect the University community.

3. Making No Report

Victims have the right not to make a report to anyone. The Universities, however, strongly encourage victims to seek medical attention, counseling and support. Victims are always welcome to file a report at a later date, but please note that a delay in reporting could weaken the evidence necessary to determine whether the accused is found responsible for committing an act of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation.

4. Amnesty

Students may be hesitant to report sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation out of concern that they, or witnesses, might be charged with violations of the Universities' drug/alcohol policies. While the Universities do not condone such behavior, they place a priority on the need to address sexual violence and misconduct. Accordingly, a University may elect not to pursue discipline against a student who, in good faith, reports, witnesses, or participates in an investigation of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation.

5. Timeframe for Reporting

The Universities do not limit the timeframe for filing a complaint under this Policy. While reports may be made at any time, complainants are reminded that the more time that passes from the time of the incident, the more difficult it is for the University to obtain information and contact witnesses, and the alleged respondent may no longer be affiliated with the University.

6. False Charges

The initiation of a knowingly false report of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation is a serious offense prohibited by this Policy. A report made in good faith, however, is not considered false merely because the evidence does not ultimately support the allegation of prohibited conduct. If an investigation reveals that a complainant knowingly filed false charges, the University shall take appropriate actions and issue

sanctions pursuant to other applicable University policies, including any applicable collective bargaining agreement. The imposition of such sanctions does not constitute retaliation under this Policy.

7. Employees' Duty to Report

All members of the Universities' campus communities are encouraged to promptly report incidents of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation to the Title IX Coordinator.

As set forth above in Subsection 2, each University employee designated as a Title IX Responsible Employee who is informed about an allegation of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation involving any member of the campus community is required to notify the Title IX Coordinator either directly or through their relevant reporting structure.

Additionally, as set forth above in Subsection 2, University employees who are designated as CSAs for the purposes of the Clery Act must provide Campus Police with non-identifying statistical information regarding all reported incidents of sexual assault, dating violence, domestic violence and stalking.

University employees who serve in professional roles in which communications are afforded confidential status under the law (*e.g.*, licensed mental health care providers, medical providers, pastoral counselors and clergy) may, consistent with their ethical and legal obligations, be required to report limited information about incidents without revealing the identities of the individuals involved, to the Title IX Coordinator. Such employees who receive reports of violence or misconduct when not functioning in their licensed capacity (*i.e.*, teaching a course) are not prohibited by their ethical codes or legal obligations from making a full report to the University.

8. Employees' Duty to Cooperate

Every faculty member, librarian, administrator, staff member and University employee has a duty to cooperate fully and unconditionally in an investigation conducted pursuant to the Complaint Investigation and Resolution Procedures at Appendix 4 of the EO Plan, subject to the provisions of any relevant collective bargaining agreements. This duty includes, among other things, speaking with the EO Officer, Title IX Coordinator, Administrative Investigator, reviewing or appellate body, and voluntarily providing all documentation that relates to the claim being investigated. The failure and/or refusal of any employee, other than an employee subject to criminal charges or who invokes a Fifth Amendment privilege, to cooperate in an investigation may result in a separate disciplinary action up to and including termination.

G. PRIVACY AND CONFIDENTIALITY: ADDITIONAL CONSIDERATIONS

1. Requests for Confidentiality or for No Investigation

If a victim discloses an incident of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation, but requests that the University maintain confidentiality or that no investigation or disciplinary action occur, the University will weigh the request against its obligation to provide a safe, non-discriminatory environment for its entire community, including the victim, and its obligation to comply with applicable laws. It is important to understand that the University's ability to investigate an incident and pursue disciplinary action against the alleged perpetrator(s) may be limited if the University honors a confidentiality or no investigation request.

In consultation with Campus Police and other University personnel as necessary, the Title IX Coordinator will evaluate a request for confidentiality or that investigation/discipline occur by considering a range of factors including, but not limited to, whether:

- there have been other similar complaints about the same alleged perpetrator;
- the alleged perpetrator has a history of arrests or records indicating a history of violence;
- the alleged perpetrator threatened any further violence against the victim or others;
- the misconduct was committed by multiple perpetrators;
- the act was perpetrated with a weapon;
- the alleged perpetrator holds a position of power over the victim;
- the victim is a minor;
- the University possesses no other means to obtain relevant evidence (*e.g.*, security cameras or personnel, physical evidence);
- there appears to be a pattern of perpetration (*e.g.*, via illicit use of drugs or alcohol) at a given location or by a particular group; and/or
- other circumstances indicating an increased risk of violence or harm.

The presence of one or more of these factors could lead the University to investigate and/or pursue discipline. The University will inform the victim prior to starting an investigation and, to the extent possible, will share information with only the people responsible for handling the University's response.

The Universities may not require a victim to participate in any investigation or disciplinary proceeding. If none of the above factors are present, the University will likely honor the victim's request for confidentiality. It will also take interim measures as necessary to protect and assist the victim. In this circumstance, the University will consider broader remedial action, such as increased monitoring, supervision or security, increased or targeted education or prevention measures, conducting climate assessments/victimization surveys, and/or revisiting its policies and practices.

In the event that the victim requests that the University inform the alleged perpetrator that the victim asked the University not to investigate or seek discipline, the University will honor this request and inform the alleged perpetrator that the University made the decision to go forward.

2. Privacy for Respondents Who Are Students

A student's right to privacy is primarily governed by the Family Educational Rights and Privacy Act ("FERPA"), which provides that personally identifiable information maintained by the Universities in students' educational records may not be disclosed except with the consent of the student or as otherwise specified by law. For more information, see each University's website for its Annual Notice on FERPA.

3. Disclosures Made At Public Awareness Events

Public awareness events such as "Take Back the Night," the Clothesline Project, candlelight vigils, protests, "survivor speak outs" or other forums in which individuals disclose incidents of sexual violence or relationship violence are not considered notice to the Universities and do not trigger an obligation to investigate any particular incident(s). Such events, however, may inform the Universities' education and prevention efforts.

4. Statistical Reporting and Timely Warnings under The Clery Act

The Clery Act requires the Universities to maintain a daily log of reports of crimes that occurred on campus, University-controlled property or public property immediately adjacent to campus, including reports of sexual assault, domestic or dating violence and stalking. The Universities must also publish an Annual Campus Crime Report concerning reported incidents. The Universities do not include names or other personally identifying information in the daily logs or the Annual Security Reports.

Additionally, when the University becomes aware that an incident of sexual misconduct or violence occurred, and there is a potential for bodily harm or danger to members of the campus community, the University will issue a timely warning to the campus. While the University will provide enough information to safeguard the campus community, a victim's name or other personally identifying information will not be disclosed in the timely warning.

H. PROTECTIVE INTERIM MEASURES

The Universities may provide individualized services as appropriate to either or both parties involved, making every effort to avoid depriving a student of access to the student's education, throughout the investigation process. The Universities want all community members to be safe, to receive appropriate medical attention, and to get the help they need to heal and to continue to access their educational or employment opportunities.

The Universities further wish for complainants to understand how to access available interim measures. Complainants may obtain protective interim measures by either (1) reporting the incident to the Title IX Coordinator or other Responsible Employee and requesting interim measures, or (2) disclosing the incident to a counselor, who in turn can request interim measures on the complainant's behalf from the University.

If a complainant elects to confidentially disclose an incident to a counselor and seek protective interim measures from the University, the counselor may ask the complainant to sign a release specifying the information that may be shared with the University. In accordance with the University's practice of allowing counselors to seek such measures for complainants of trauma without requiring that the nature of the trauma be disclosed, the University will not require a counselor to disclose that sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation is the basis for the request. Additionally, if a complainant does not wish for the University to investigate or otherwise notify the alleged respondent of the reported incident, a counselor may still request protective interim measures on behalf of the complainant. In such cases, the Title IX Coordinator will consider whether the University can honor the request for confidentiality or no investigation while still providing a safe and nondiscriminatory environment for the campus.

Respondents may seek interim measures by making a request directly to the Title IX Coordinator and/or the Administrative Investigator assigned to the matter in which the respondent is a party.

The Universities will maintain as confidential any accommodations or protective interim measures provided, to the extent that maintaining such confidentiality would not impair the ability of the Universities to provide the accommodations or protective interim measures.

In assessing the need for either or both parties to receive interim measures, the Universities will not rely on fixed rules or operating assumptions that favor one party over another. The determination of interim measures shall be made on a case-by-case basis in consideration of the information available to the Title

IX Coordinator. The Universities may provide one or more of the following protective measures:

- “no contact/communication” orders;
- escorts to ensure safety while moving between locations on campus;
- changes in academic or work schedules;
- statutorily-provided leave to employees, such as Domestic Violence Leave pursuant to M.G.L. c. 49, §52D;
- alternative housing, dining and/or office accommodations;
- restrictions from areas of campus;
- medical and/or mental health services;
- assistance in identifying an advocate to help secure additional assistance, such as off-campus and community advocacy, support and services; and/or
- academic accommodations, such as:
 - transferring to another section of a course, lecture or lab;
 - rescheduling an academic assignment or test;
 - arranging for incompletes, a leave of absence, or withdrawal from campus; and
 - preserving eligibility for academic, athletic, or other scholarships, financial aid, internships, study abroad, or foreign student visas.

The Universities may also suspend a student on an interim basis or place an employee on paid administrative leave prior to completing an investigation under this Policy when it reasonably concludes that the person: (a) poses a threat to health or safety; (b) poses a threat to University property or equipment; (c) is disruptive or interferes with an investigation under this Policy or the normal operations of the University; or (d) is charged with a serious violation of state or federal law. The University shall provide the employee or student of the specific reason(s) for the interim action. During an interim action, the University reserves the right to prohibit the person from entering upon the University’s property or participating in any University activities absent written authorization from an appropriate University official. When a person has been placed on interim suspension or paid leave of absence, the Universities will make reasonable efforts to complete the investigation process in an expedited manner. The interim measures needed by either or both parties may change over time, and the Title IX Coordinator shall communicate with each party throughout the investigation and resolution process to ensure that interim measures are appropriate and effective based on the parties’ evolving needs.

The failure of a person to comply with an interim suspension, temporary leave or other interim measure is a violation of this Policy and may lead to additional disciplinary action.

Additionally, in some circumstances, a complainant may wish to seek an order of protection from a court or appropriate jurisdiction against the alleged perpetrator. In these circumstances, Campus Police will assist individuals in their attempt to secure these orders. Individuals may also seek restriction of access to the University by non-students or non-employees when appropriate.

I. WRITTEN NOTIFICATION OF RIGHTS, OPTIONS, AVAILABLE RESOURCES, SERVICES AND INFORMATION

The Universities will provide written information to community members regarding counseling, medical and mental health services, disability accommodations, victim advocacy, legal assistance, visa and immigration assistance, and other services available on and off campus.

The Universities will notify parties alleging sexual violence, sexual harassment, gender-based

harassment, domestic violence, dating violence, stalking and/or retaliation in writing that they have the following rights:

- to an explanation of the options available;
- to referrals to confidential assistance and support services from both on- and off-campus resources, including 24 hour services;
- to a change in on-campus residence and/or an adjustment to their academic schedule if such changes are reasonably available;
- to request that the University impose no contact/communication orders or other interim protective measures;
- to make a complaint that starts the University's investigation and resolution processes;
- to a prompt, thorough and equitable investigation and resolution of a complaint;
- to choose whether or not to initiate a formal investigation of the complaint, unless the University deems it necessary to investigate to protect the safety of the community or in compliance with applicable law;
- to the confidentiality of the investigation process to the extent possible (see Privacy and Confidentiality at Section G);
- to an advisor of one's choice who will assist and be present at any time during the investigation proceedings, but who may not participate in or otherwise provide representation in any way throughout the process;
- to reasonable accommodations for a documented disability during the process;
- to know, in advance, the names of all persons known to be involved;
- not to have irrelevant sexual history discussed;
- to be present at certain meetings and review evidence;
- to speak and present information on one's own behalf;
- to submit questions for the Administrative Investigator to ask witnesses;
- to know the status of the case at any point during the process;
- to be provided with a copy of the investigation report and an opportunity to respond to the report in advance of the administrative review;
- to be informed of the outcome of the process in a timely manner;
- to an appeal from the outcome of the process (if proper grounds for appeal exist);
- to file no complaint with the University, but receive support services from the University;
- to file a police report and/or take legal action separate from and/or in addition to the University discipline process;
- to seek and enforce a no contact, restraining or similar court order;
- to be assisted by the University in seeking assistance from or filing a complaint with local law enforcement;
- to not file a complaint or seek assistance from local law enforcement, but receive support services from the University;
- to be free from any behavior that may be construed by the University to be intimidating, harassing or retaliatory; and
- to have the matter handled in accordance with University Policy.

Parties who are respondents to claims of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation have the following rights:

- to an explanation of the allegations against them;
- to referrals to confidential assistance and support services from both on- and off-campus resources, including 24 hour services;
- to request that the University impose no contact/no communication orders or other interim protective measures;
- to receive a copy of the complaint filed against them;
- to be presumed not in violation of University policy until a violation is established through the complaint investigation process;
- to the confidentiality of the investigation process to the extent possible (see Privacy and Confidentiality at Section G);
- to an advisor of one's choice who will assist and be present at any time during the investigation proceedings, but who may not participate in or otherwise provide representation in any way throughout the process (pursuant to Weingarten, respondent unit members may exercise their right to a union representative or other University employee at meetings which the unit member reasonably believes may result in discipline);
- to reasonable accommodations for a documented disability during the process;
- to know, in advance, the names of all persons known to be involved;
- not to have irrelevant sexual history discussed;
- to be present at certain meetings and review evidence;
- to speak and present information on one's own behalf;
- to submit questions for the Administrative Investigator to ask witnesses;
- to know the status of the case at any point during the investigation and resolution process;
- to be provided with a copy of the investigation report and an opportunity to respond to the report in advance of the administrative review;
- to be informed of the outcome of the process in a timely manner;
- to an appeal from the outcome of the process (if proper grounds for appeal exist);
- to be free from any behavior that may be construed by the University to be intimidating, harassing or retaliatory; and
- to have the matter handled in accordance with University Policy.

J. EDUCATION AND PREVENTION PROGRAMS

As part of the Universities' commitment to providing working, living and learning environments free from sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation, this Policy shall be disseminated widely to the campus communities through publications, new employee and student orientations, physical posting in places where students and employees are likely to see it, and other appropriate communications. A copy of this Policy shall be prominently posted on each University's website.

The Universities provide sustained and comprehensive training to the campus community concerning: (1) prevention and awareness programs that address rape, acquaintance rape, domestic and dating violence, sexual assault, and stalking; (2) the provisions of the Universities' Sexual Violence Policy; and (3) the Universities' Complaint and Investigation Procedures for alleged violations of the Sexual Violence Policy. Additionally, the Universities provide all new or incoming students and employees primary

prevention and awareness programs that promote awareness of rape, acquaintance rape, domestic and dating violence, sexual assault, and stalking.

The Universities have implemented primary and on-going prevention and awareness programs for students and employees focused on sexual violence, domestic and dating violence and stalking, and the promotion of positive and healthy behaviors that foster mutually respectful relationships and sexuality. The Universities shall make preventative educational materials available to all community members to promote compliance and familiarity with this Policy.

In the training programs for students and employees, the Universities address the following:

- The Universities' prohibition of sexual assault, domestic violence, dating violence and stalking.
- The Universities' Sexual Violence Policy and Complaint and Investigation Resolution Procedures for addressing complaints of sexual assault, domestic violence, dating violence and stalking.
- The Massachusetts' legal definitions of the crimes of sexual assault, domestic violence, dating violence and stalking.
- The legal definition of "consent" in reference to sexual activity in Massachusetts.
- The rights and remedies of students and employees under Title IX.
- Practical information about identifying, preventing, and reporting sexual violence and sexual harassment.
- The reporting options available to victims, on and off campus.
- The confidential resources available to the victims, on and off campus.
- How to obtain accommodations and/or interim protective measures.
- How the Universities' analyze complaints.
- Positive options for bystander intervention that an individual may take to prevent harm or intervene in risky situation.
- The role of alcohol and drugs and student safety.
- How employees should respond to reports of sexual violence, sexual and gender-based harassment, domestic and dating violence, and stalking; employees' duty to make reports to the Universities and how to make such reports.
- The Universities' prohibition against retaliation.

In addition, the Universities provide annual training to its Title IX Coordinators and Deputy Coordinators, EO Officers, Administrative Investigators, review and appellate body members, REs, Campus Police, and all others involved with the administration of this Policy and the Complaint Investigation and Resolution Procedures on the topics listed above, as well as the following:

- The obligations of responsible employees when interacting with students or employees making reports of sexual violence, sexual and gender-based harassment, domestic and dating violence, and stalking.
- The obligations of responsible employees to forward reports to the Universities.
- The dynamics of sexual violence and the unique toll it can take on self-blaming and traumatized individuals.
- Understanding how sexual violence occurs, how it is perpetrated, and how victims naturally respond during and after assault.
- Issues related to sexual violence, domestic violence, dating violence and stalking.
- The requirements of the Complaint Investigation and Resolution Procedures.

- How to conduct an investigation in a manner that protects the safety of the parties and promotes accountability.
- How to conduct prompt, fair, impartial and thorough investigations.

Furthermore, the Universities pledge to routinely:

- evaluate current policies, procedures, and practices;
- ensure appropriate training of all persons charged with administering this Policy and/or involved in the complaint investigation and resolution process;
- evaluate who is designated an RE for Title IX reporting purposes and/or CSA for Clery Act reporting purposes, and disseminate and publish applicable list of REs and CSAs;
- ensure appropriate training of REs and CSAs;
- evaluate campus climate assessment survey data;
- provide education and prevention programming for students and employees; and
- evaluate physical security needs on campus.

K. INDEPENDENT INVESTIGATIONS

At any time, the University, at its discretion, may conduct an investigation independent of, or in addition to, the procedures described in this Policy.

L. COMPLIANCE CONCERNS

All are encouraged to report any concerns about the University's handling of a sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation investigation to the University's Title IX Coordinator. Individuals may also report concerns about the University's handling of such investigations to:

U.S. Department of Education
Office for Civil Rights
33 Arch Street, 9th Floor
Boston, MA 02119-1424
Telephone: (617) 289-0111
FAX: (617) 289-0150; TDD (877) 521-2172
Email: OCR.Boston@ed.gov

M. MASSACHUSETTS LEGAL DEFINITIONS

Alleged incidents of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation are determined by the language of this Policy rather than by the provisions of the criminal laws of Massachusetts. However, community members who believe they have been the victim of a crime may choose to pursue a criminal investigation through local law enforcement. In those instances, the criminal laws will apply. Here are the definitions of Massachusetts crimes related to the conduct prohibited by this Policy:

1. Sexual Assault

Massachusetts uses the term "rape." The definition encompasses (1) the penetration of any orifice by any body part or object (2) by force (or threat) and (3) without consent. Rape also includes instances where the victim is incapacitated ("wholly insensible so as to be incapable of consenting") and the perpetrator is aware or should have known of the incapacitation. Relatedly, under M.G.L. c. 268, § 40, a

person who knows that an individual is a victim of an aggravated rape and is at the scene of the crime, must report the crime to law enforcement as soon as is reasonably practicable.

<https://malegislature.gov/Laws/GeneralLaws/PartIV/TitleI/Chapter265/Section22>

2. Domestic Violence

Section 1 of M.G.L. c. 209A defines domestic abuse as “the occurrence of one or more of the following acts between family or household members: (a) attempting to cause or causing physical harm; (b) placing another in fear of imminent serious physical harm; (c) causing another to engage involuntarily in sexual relations by force, threat or duress.”

<https://malegislature.gov/Laws/GeneralLaws/PartII/TitleIII/Chapter209A>

For the purposes of Chapter 209A, “family or household members” are defined as persons who: (a) are or were married to one another; (b) are or were residing together in the same household; (c) are or were related by blood or marriage; (d) have a child in common regardless of whether they have ever married or lived together; or (e) are or have been in a substantive dating or engagement relationship, which shall be adjudged by district, probate or Boston municipal courts’ consideration of the following factors: (1) the length of the relationship; (2) the type of relationship; (3) the frequency of interaction between the parties; and (4) if the relationship has been terminated by either person, the length of time elapsed since the termination.

<https://malegislature.gov/Laws/GeneralLaws/PartII/TitleIII/Chapter209A>

Section 13M of M.G.L. c. 265 prohibits assault and/or assault and battery against family or household members, which is defined as: “persons who: (i) are or were married to one another, (ii) have a child in common regardless of whether they have ever married or lived together or (iii) are or have been in a substantive dating or engagement relationship.”

<https://malegislature.gov/Laws/GeneralLaws/PartIV/TitleI/Chapter265/Section13m>

<https://malegislature.gov/Laws/SessionLaws/Acts/2014/Chapter260>

In determining whether Section 13M applies to a particular relationship, the courts shall consider the following factors: “(1) the length of time of the relationship; (2) the type of relationship; (3) the frequency of interaction between the parties; and (4) if the relationship has been terminated by either person, the length of time that has elapsed since the termination of the relationship.”

<https://malegislature.gov/Laws/GeneralLaws/PartIV/TitleI/Chapter265/Section13m>

Section 15D of M.G.L. c. 265 prohibits the strangulation or suffocation of another person.

<https://malegislature.gov/Laws/SessionLaws/Acts/2014/Chapter260>

3. Dating Violence

While Massachusetts does not have a law concerning dating violence, conduct may constitute an assault or assault and battery under M.G.L. c. 265, § 13A. An assault or an assault and battery: (i) upon another and [the perpetrator] by such assault and battery causes serious bodily injury; (ii) upon another who is pregnant at the time of such assault and battery, [the perpetrator] knowing or having reason to know that the person is pregnant; or (iii) upon another who [the perpetrator] knows has an outstanding temporary or permanent vacate, restraining or no-contact order or judgment issued pursuant to

[applicable law], in effect against him at the time of such assault or assault and battery.”

<https://malegislature.gov/Laws/GeneralLaws/PartIV/Title/Chapter265/Section13a>

Section 13M of M.G.L. c. 265 prohibits assault and/or assault and battery against family or household members, which is defined as: “persons who: (i) are or were married to one another, (ii) have a child in common regardless of whether they have ever married or lived together or (iii) are or have been in a substantive dating or engagement relationship.”

<https://malegislature.gov/Laws/GeneralLaws/PartIV/Title/Chapter265/Section13m>

<https://malegislature.gov/Laws/SessionLaws/Acts/2014/Chapter260>

In determining whether Section 13M applies to a particular relationship, the courts shall consider the following factors: “(1) the length of time of the relationship; (2) the type of relationship; (3) the frequency of interaction between the parties; and (4) if the relationship has been terminated by either person, the length of time that has elapsed since the termination of the relationship.”

<https://malegislature.gov/Laws/GeneralLaws/PartIV/Title/Chapter265/Section13m>

Section 15D of M.G.L. c. 265 prohibits the strangulation or suffocation of another person.

<https://malegislature.gov/Laws/SessionLaws/Acts/2014/Chapter260>

4. Stalking

Section 43 of M.G.L. c. 265 defines “stalking” as “(1) willfully and maliciously engages in a knowing pattern of conduct or series of acts over a period of time directed at a specific person which seriously alarms or annoys that person and would cause a reasonable person to suffer substantial emotional distress, and (2) makes a threat with the intent to place the person in imminent fear of death or bodily harm.”

<https://malegislature.gov/Laws/GeneralLaws/PartIV/Title/Chapter265/Section43>

5. Consent

There is no definition of the term “consent” in the Massachusetts General Laws. Massachusetts courts use the term “against his/her will” which means without consent. Cases have held that consent cannot be compelled or induced by force or threats, and consent is not present when the victim is incapacitated. In other words, consent requires a voluntary agreement demonstrated by words or actions, by a person with sufficient mental capacity to make a conscious choice to do something proposed by another, free of duress. *Commonwealth v. Lopez*, 433 Mass. 722 (2001), *Commonwealth v. Lefkowitz*, 20 Mass. App. Ct. 513 (1985); see also:

<https://malegislature.gov/Laws/GeneralLaws/PartIV/Title/Chapter265/Section22>

APPENDIX A

CONFIDENTIALITY AND REPORTING		
Personnel/Organization	Confidential Status	Obligation to Report to the University's Title IX Coordinator and/or Outside of the University
University Counseling Services	Confidential	<p>None, with the following exceptions:</p> <p>If there is reasonable cause to suspect that a minor, or an elderly or disabled person, has been abused, Counseling Services may report this to the University in compliance with state law.</p> <p>If a person presents an imminent threat of harm to one's self or others, a clinical provider may break confidentiality.</p> <p>If one would like to request certain protective interim measures in the aftermath of reported sexual violence, <i>e.g.</i>, more time to submit academic work or changing classes, residence halls or work locations, the Dean of Students and/or other University officials as necessary may be contacted only for the purpose of implementing the interim measures.</p> <p>De-identified statistical information may be reported to Campus Police in compliance with the Clery Act.</p>
University Health Services	Confidential	<p>None, with the following exceptions:</p> <p>If there is reasonable cause to suspect that a minor, or an elderly or disabled person, has been abused, Counseling Services may report this to the University in compliance with state law.</p> <p>If a person presents an imminent threat of harm to herself or others, a medical provider may break confidentiality.</p> <p>If one would like to request certain protective interim measures in the aftermath of reported sexual violence, <i>e.g.</i>, more time to submit academic work or changing classes, residence halls or work locations, the Dean of Students and/or other University officials as necessary may be contacted only for the purpose of implementing the interim measures.</p> <p>De-identified statistical information may be reported to Campus Police in compliance with the Clery Act.</p>
University Chaplains, Clergy or Pastoral Counselors	Confidential	<p>None, with the following exceptions:</p> <p>If one would like to request certain protective interim measures in the aftermath of reported sexual violence, <i>e.g.</i>, more time to submit academic work or changing classes, residence halls or work locations in the aftermath of reported sexual violence, the Dean of Students and/or other University officials as necessary may be contacted only for the purpose of implementing the interim measures.</p> <p>De-identified statistical information may be reported to Campus Police in compliance with the Clery Act.</p>

CONFIDENTIALITY AND REPORTING		
Personnel/Organization	Confidential Status	Obligation to Report to the University's Title IX Coordinator and/or Outside of the University
University Employee Assistance Program	Confidential	None
Off-Campus Medical Providers	Confidential	None
Off-Campus Rape Crisis Centers, Counseling and/or Victim Support Services	Confidential	None
Off-Campus Chaplains, Clergy, Pastoral Counselors	Confidential	None
Local Police or other Law Enforcement	<i>Not Confidential</i>	There is no obligation for local police or law enforcement to make a report to the University, but information may be shared with the University within the requirements of Massachusetts law.
Outside Agencies (MCAD, EEOC, OCR, BHE)	<i>Not Confidential</i>	The relevant agency will notify the University of accepted complaints.
Title IX Coordinators (and Deputies)	<i>Not Confidential</i>	Yes. The Title IX Coordinator will share information with University officials and employees who need to know it in order to implement University policies and procedures.
EO Officers	<i>Not Confidential</i>	Yes. The EO Officer will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Campus Police/Public Safety	<i>Not Confidential</i>	<p>Yes. Campus Police will share information with University officials and employees who need to know it in order to implement University policies and procedures.</p> <p>Depending on the circumstances, an anonymous public warning may be issued by Campus Police. Whenever possible, the University will notify one if this will be issued and one's name and identifying information will not be included.</p>
University Trustees	<i>Not Confidential</i>	Yes. Members of the Board of Trustees will share information with University officials and employees who need to know it in order to implement University policies and procedures.
The President	<i>Not Confidential</i>	Yes. The President will share information with University officials and employees who need to know it in order to implement University policies and procedures.

CONFIDENTIALITY AND REPORTING		
Personnel/Organization	Confidential Status	Obligation to Report to the University's Title IX Coordinator and/or Outside of the University
Vice Presidents, Associate and Assistant Vice Presidents	<i>Not Confidential</i>	Yes. The Vice Presidents and Associate/Assistant Vice Presidents will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Director and Assistant Director of Human Resources	<i>Not Confidential</i>	Yes. The Director/Assistant Director of Human Resources will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Departmental Directors and Assistant Directors	<i>Not Confidential</i>	<p>Yes. Departmental Directors and Assistant Directors will share information with University officials and employees who need to know it in order to implement University policies and procedures, except:</p> <p>Those Departmental Directors and Assistant Directors who serve in professional roles in which communications are afforded confidential status under the law (e.g., licensed mental health care providers, medical providers, pastoral counselors and clergy) will maintain confidentiality.</p>
Residence Life Professional Staff (including RDs/RAs)	<i>Not Confidential</i>	Yes. These Residence Life professionals will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Athletic Coaches, Assistant Coaches and Athletics Administrators	<i>Not Confidential</i>	Yes. These members of the Athletics Department will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Studio Managers	<i>Not Confidential</i>	Yes. Studio Managers will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Deans, Associate and Assistant Deans	<i>Not Confidential</i>	Yes. The Deans and Associate/Assistant Deans will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Academic Department Chairs	<i>Not Confidential</i>	Yes. Academic Department Chairs will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Academic and Non-Academic Program Directors and Program	<i>Not Confidential</i>	Yes. Academic and Non-Academic Program Directors/ Coordinators will share information with University officials and employees who need to know it in order to implement University policies and

CONFIDENTIALITY AND REPORTING		
Personnel/Organization	Confidential Status	Obligation to Report to the University's Title IX Coordinator and/or Outside of the University
Coordinators		procedures.
Faculty and Staff Leading or Chaperoning Travel or Overnight Trips	<i>Not Confidential</i>	Yes. Faculty and Staff Travel Leaders and/or Chaperones will share information with University officials and employees who need to know it in order to implement University policies and procedures.
Faculty and Staff Advisors to Student Groups	<i>Not Confidential</i>	Yes. Faculty and Staff Advisors to Student Groups will share information with University officials and employees who need to know it in order to implement University policies and procedures.

VII. POLICIES FOR REASONABLE ACCOMMODATIONS FOR PERSONS WITH DISABILITIES

The Universities are committed to providing equal access to otherwise qualified persons with disabilities. The Universities recognize that individuals with disabilities may need reasonable accommodations to have equally effective opportunities to participate in or benefit from educational programs, services, activities and employment.

EDUCATION OF PERSONS WITH DISABILITIES

The Universities will examine all existing admissions, student support and other student life policies, practices and facilities to assure that they do not disparately treat or impact otherwise qualified persons with disabilities. Where such disparity is found, it will be corrected as quickly and completely as is reasonable under existing financial constraints.

In accordance with state and federal requirements, the Universities will provide necessary reasonable accommodations, auxiliary aids and academic adjustments (including support services) to otherwise qualified students with disabilities to assure equal access to its programs, facilities and services. Reasonable accommodations will also be afforded to applicants for admission who have disabilities to enable them to adequately pursue all opportunities for enrollment in the programs of study.

EMPLOYMENT OF PERSONS WITH DISABILITIES

The Universities will examine all existing employment policies, practices and facilities to assure that they do not disparately treat or adversely impact otherwise qualified persons with disabilities. Where such disparity is found, it will be corrected as quickly and completely as is reasonable under existing operational constraints.

In accordance with the requirements of state and federal law, and through the interactive process, the Universities will afford reasonable accommodations to any otherwise qualified employee with a disability to enable the employee to perform the essential functions of the job. Reasonable accommodations will also be afforded to applicants for employment who have disabilities to enable them to adequately pursue a candidacy for any available positions.

PROCESS BY WHICH TO REQUEST ACCOMMODATIONS

Any member of the University community who seeks reasonable accommodation for a disability may contact the EO Officer and/or the Title II/Section 504 Coordinator for more information. Similarly, any applicant for employment or admission who seeks assistance in the application process may contact the EO Officer and/or the Title II/Section 504 Coordinator.

Additionally, a student seeking reasonable accommodations, auxiliary aids and/or academic adjustments for a disability must contact the appropriate Office of Disability Services on the student's campus to obtain such services.

COMPLAINT INVESTIGATION AND RESOLUTION PROCEDURES

Any member of the University community or any applicant for admission or employment who believes that he or she has been a victim of disability discrimination or harassment, or who alleges that the University has failed to provide reasonable accommodations, appropriate auxiliary aids and/or academic adjustments, may initiate a claim as outlined in the Universities' Complaint Investigation and Resolution Procedures located at Appendix 4.

Further advice or information may be obtained by contacting the EO Officer and/or the Title II/Section 504 Coordinator of each University.

VIII. POLICY AGAINST DISCRIMINATION IN EMPLOYMENT BASED ON PREGNANCY AND PREGNANCY-RELATED CONDITIONS AND REQUIREMENT TO PROVIDE REASONABLE ACCOMMODATIONS

The Universities are committed to providing equal access to employment for all current and prospective employees. The Universities recognize that employees and job applicants may not be treated less favorably because of pregnancy or pregnancy-related conditions and that employees and job applicants may need reasonable accommodations for pregnancy or pregnancy-related conditions to allow them to have effective opportunities to participate in or benefit from employment.

In accordance with the requirements of state law, and through the interactive process, the Universities will provide necessary, reasonable accommodations that will allow an employee to perform the essential functions of the job while pregnant or experiencing pregnancy-related conditions that exist during and/or after pregnancy (*e.g.*, morning sickness, lactation, or the need to express milk), unless doing so would impose an undue hardship on the University. The Universities recognize that they cannot make an employee accept a particular accommodation if another reasonable accommodation would allow the employee to perform the essential functions of the job, or require an employee to take a leave if another reasonable accommodation may be provided without an undue hardship.

Reasonable accommodations may include, but are not limited to, the following:

- more frequent or longer paid or unpaid breaks;
- time off to attend to a pregnancy complication or recover from childbirth with or without pay;
- acquisition or modification of equipment or seating;
- temporary transfer to a less strenuous or hazardous position;
- job restructuring;
- light duty;
- private non-bathroom space for expressing breast milk;
- assistance with manual labor; and/or
- modified work schedule.

Upon the request from the employee or prospective employee, the Universities will engage in a timely, good faith and interactive process to determine an effective, reasonable accommodation to enable the employee to perform the essential functions of the position.

The Universities recognize that they may require documentation regarding the need for an accommodation from a healthcare professional that explains what accommodation(s) the employee needs, but that they cannot require documentation for the following accommodations: (1) more frequent restroom, food, or water breaks; (2) seating; (3) limits on lifting more than 20 pounds; and (4) private, non-bathroom space for expressing breast milk.

PROCESS BY WHICH TO REQUEST ACCOMMODATIONS

University employees who seek an accommodation for pregnancy or a pregnancy-related condition may contact the EO Officer and/or the Title II/Section 504 Coordinator for more information.

COMPLAINT INVESTIGATION AND RESOLUTION PROCEDURES

Employees or job applicants who believe that they have been a victim of discrimination as a result of pregnancy or a pregnancy-related condition, or who allege that the University has failed to provide reasonable accommodations, may initiate a claim as outlined in the Universities' Complaint Investigation and Resolution procedures located in Appendix 4.

Further advice or information may be obtained by contacting the EO Officer and/or the Title II/Section 504 Coordinator at each University.

IX. MANDATORY CHILD ABUSE REPORTING POLICY

Persons under 18 may be students or may be engaged in activities sponsored by the Universities or by third parties utilizing University facilities. Where an employee has reasonable cause to believe that a child is suffering injury from sexual abuse on campus or on University owned or controlled property, the employee and/or the University *may* be obligated to comply with the mandatory child abuse reporting requirements established at M.G.L. c. 119, §§ 51A-E. In such cases, the employee must immediately report the matter to Campus Police, who, in consultation with other officials, shall contact the Department of Children and Families (“DCF”) and/or outside law enforcement. An employee may also directly contact law enforcement or DCF in cases of suspected abuse or neglect. Massachusetts law also has mandatory reporting requirements for certain occupations where elderly and disabled abuse or neglect is suspected. For more information, please contact the Campus Police.

X. CONTRACTING AND PURCHASING

EQUAL OPPORTUNITY VENDORS

When selecting contractors, suppliers, and vendors of goods and services, including goods and services secured in connection with construction projects, the Universities will offer equal opportunity to all qualified persons and entities and will not discriminate on the basis of race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status.

The Universities shall seek to locate and shall encourage the use of minority and female contractors, subcontractors, vendors, and suppliers. The Universities will identify businesses primarily operated by members of such protected classes with the help of agencies such as the State Office of Minority Business Assistance in order to encourage bids and proposals from potential contractors, vendors and suppliers.

EQUAL EMPLOYMENT OPPORTUNITY

The Universities require that all persons and entities with which they contract for the provision of goods and services shall provide equal opportunity for all persons without regard to race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status.

CONTRACTOR COMPLIANCE

Prior to the awarding of any contract, the Universities shall require that the contractor provide written assurance of its compliance with applicable state and federal laws and regulations, including the provisions of this Policy, prohibiting discrimination in employment.

The Universities shall require that every contract made on or after July 1, 1996, for the purchase of goods and services contain the following provisions.

“During the performance of this Agreement, the Contractor agrees as follows:

1. The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, national origin, age, disability,

gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status.

2. The Contractor will comply with the provisions of the Governor's Code of Fair Practices, with Chapter 151B of the General Laws of Massachusetts, with the Americans with Disabilities Act and with all other applicable state and federal laws barring discrimination in employment, and with Section IV of the Massachusetts State Universities' Equal Opportunity, Diversity and Affirmative Action Plan.
3. In the performance of this Agreement, the Contractor shall take affirmative action to employ minority and female subcontractors, vendors and suppliers.
4. The University may at any time require the Contractor to supply it with such data, as it shall reasonably require for purposes of determining whether the Contractor is adhering to the above-described prohibitions against discrimination in employment.
5. In the event that the Contractor shall have failed to comply with the requirements contained in any of foregoing clauses 1, 2, 3 and 4, the University may enforce such compliance by withholding part or all of any payment then due until such time as the Contractor complies with any such requirement, and/or by cancelling, terminating or suspending the whole or any part of this Agreement. Nothing herein contained shall bar the University from pursuing such other lawful recourse as it may have to enforce compliance with the above-described requirements and to recover damages for their breach."

The Universities reserve the right to disqualify as a contractor any person or entity that fails to adhere to the prohibitions against the discrimination, discriminatory harassment and retaliation in employment that are contained in Section IV of this Plan.

CONTRACTOR CONDUCT

All contractors, vendors, consultants and suppliers of goods and services shall be required, during any period when they or their agents or employees are present at the Universities, to adhere to standards of conduct that are consistent with this Policy, and all such contractors, vendors and suppliers, their agents and employees shall refrain from acts or conduct that constitute harassment of any person by reason of such person's race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status. The Universities shall require every contractor, vendor, consultant, and supplier to instruct its agents and employees concerning the requirements of this paragraph, and to take actions including disciplinary actions, to correct any violation thereof.

COMPLAINT INVESTIGATION AND RESOLUTION PROCEDURES

Any member or the University community or any applicant for employment or admission who believes that he or she has been a victim of discrimination, discriminatory harassment, sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation by a vendor or contractor may initiate a complaint pursuant to the Universities' Complaint Investigation and Resolution Procedures located at Appendix 4. Further advice or information may be obtained by contacting the EO Officer and/or Title IX Coordinator on each University campus.

XI. MONITORING AND GOALS

By and through this Plan, the Universities commit themselves to a policy of equal opportunity, diversity, affirmative action and non-discrimination in all aspects of campus life.

The Universities shall endeavor to increase the representation of qualified women, veterans, persons with disabilities and minorities in their workforces. To this end, the Universities shall continually examine and monitor their affirmative action and equal opportunity policies, procedures and practices for the purpose of determining the degree to which their workforces are reflective of the demographics of the Commonwealth's labor market. To the extent that this review reveals areas of deficiency or shortcomings, the Universities will make reasonable and good faith efforts, consistent with requirements of the law, to address and improve such deficiencies or shortcomings.

The Universities realize that the development and implementation of specific policy and programmatic efforts is essential to the establishment of a pro-active, system-wide Plan. The Universities further realize, however, that policies and programs of equal opportunity, diversity, affirmative action and non-discrimination are only as effective as the commitment to them at the local level. Accordingly, each University shall determine and implement for itself the projects, programs, defined strategies, structured activities or other tactical steps to achieve the equal opportunity, diversity, affirmative action and non-discrimination goals of this Plan on its individual campus.

On an annual basis, each University will review the progress being made toward the achievement of its compliance with this Plan and its equal opportunity, diversity, affirmative action and non-discrimination goals.

XII. AFFIRMATIVE ACTION HIRING PROCEDURES

The procedures set forth in this Plan take into consideration both organizational limitations and opportunities with respect to current and future employees. The Plan calls upon all staff to engage in a major effort in order to fulfill the objectives of equal opportunity for all persons at all levels of employment, in compliance with all applicable collective bargaining agreements. Each EO Officer will monitor the employment policies of the University with respect to the areas of recruitment and appointment to vacant positions to assure compliance with the objectives of this Plan. The areas to be monitored should include, but not be limited to, pre-recruitment procedures, recruitment, selection, appointments (permanent, acting, emergency and temporary), salary and benefits, and shall include employees of continuing education, grant funded programs and other appropriate areas.

COMPLAINT INVESTIGATION AND RESOLUTION PROCEDURES

The Universities have established specific internal Complaint Investigation and Resolution Procedures to help resolve claims and complaints of discrimination, discriminatory harassment and retaliation on their campuses. The Universities' Complaint Investigation and Resolution Procedures also serve as a system of review and resolution for claims of discrimination in hiring. Any applicant for employment who believes that he or she has been a victim of discrimination in hiring may initiate a claim as outlined in the Universities' Complaint Investigation and Resolution Procedures located at Appendix 4. Further advice or information regarding these complaint procedures may be obtained by contacting the EO Officer of any University.

XIII. RESPONSIBILITY FOR THE IMPLEMENTATION OF THE EQUAL OPPORTUNITY DIVERSITY AND AFFIRMATIVE ACTION PLAN AND RELATED PROGRAMS, POLICIES AND PROCEDURES

The final authority and ultimate responsibility for the implementation of this Plan rests with the Presidents of the State Universities. The EO Officer on each campus, however, has the responsibility for the overall development, administration and monitoring of all policies, procedures and programs pertinent to the implementation of this Plan. The EO Officer commonly reports to the President and bears the responsibility for the preparation and execution of all affirmative action policies and programs. Details regarding the EO Officer's specific duties and responsibilities can be found at Appendix 1.

All Vice Presidents, Deans, Directors, Program Coordinators, Department Chairs, and other supervisory personnel will be accountable for ensuring that equal opportunity, non-discrimination, diversity and affirmative action are integrally tied to all actions and decisions for which they are responsible and which fall within the scope of the Plan. A statement concerning such accountability will be added to all appropriate position descriptions. It shall be considered a regular function of faculty, librarians, administrators and supervisory staff that they are aware of goals and consult with the EO Officer prior to and in the course of those actions that may have an impact on the implementation of this Plan. In the event that a supervisor and/or the EO Officer identify problem areas that are impeding a University's efforts to meet its goals, they shall develop an action plan designed to move the University toward successful attainment of its objectives.

XIV. POLICY AWARENESS PROCEDURES

DISSEMINATION

At the commencement of each academic year, all policy statements regarding equal opportunity, non-discrimination, diversity and affirmative action at the State Universities will be distributed, either electronically or in hard copy or in both formats, as follows:

- to every office at each University, including the Human Resources Office and the Office of the Equal Opportunity Officer;
- to each University's Library;
- to all students, either in the relevant Student Handbook, Course Catalog or by e-mail;
- to all employees, either in a relevant publication or by e-mail;
- posted to all relevant sections of the Universities' websites;
- copies will be made available to the campus community and to the public upon request; and
- copies will also be made available in accessible formats upon request.

Periodic meetings and workshops will be held with various segments of the campus community to assist their understanding of the Universities' commitment to equal opportunity, non-discrimination, diversity and affirmative action.

Copies of all policy statements regarding equal opportunity, non-discrimination, diversity and affirmative action will also be provided to students who enroll mid-year and to all new employees upon their hire.

POSTING

The Universities' Policy Statement on Non-Discrimination, Diversity and Affirmative Action will be posted in areas customarily used for public announcements and on the Universities' websites. Prospective

employees and applicants for admission will be informed of this Policy Statement in all advertisements posted both on and off campus.

RECRUITING

All employment recruiting sources used by the Universities will be informed of their commitment to equal opportunity, non-discrimination, diversity and affirmative action. Listings of current openings will be sent on a regular basis to appropriate sources for the recruitment and referral of applicants who are persons of color, women, veterans, persons with disabilities, and persons of diverse religions and national origins.

In addition, notices of position openings will be posted on campus and on the Human Resources sections of the Universities' individual websites, so that all current employees are aware of opportunities for promotion or transfer.

CONTRACTORS AND VENDORS

The Universities will notify all contractors, sub-contractors and vendors of the Universities' responsibilities and commitments to equal opportunity, non-discrimination, diversity and affirmative action.

ADVERTISING

Selection for and participation in the State Universities' employment is without regard to race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status. An Affirmative Action, Equal Opportunity and Non-Discrimination/Diversity statement will be placed in all appropriate University operational publications and advertisements.

COMMUNITY RELATIONS

The State Universities will cooperate and work with local, state and federal government agencies and community groups, as well as national minority, multicultural, multiracial, disability, women's and veteran's organizations and other national groups that have equal employment opportunity objectives, for the purpose of developing significant access to equal opportunity for persons of color, women, veterans, persons with disabilities, and persons of diverse religions and national origins.

XV. CONCLUSION

In developing and presenting this Plan for approval to the BHE, the State Universities have committed themselves to institutional change in order to provide maximum access to a university education and university experience that equips all of our students to live and work in our diverse world. The State Universities believe that access to affordable higher education is an integral part of their mission.

With this Plan, the State Universities commit themselves not only to providing each student and employee a safe, yet exciting academic and living environment, where each member of the community is valued as an individual, whose racial, cultural, religious, gender, orientation, age, disability or socioeconomic status make her or him a valued member of a diverse community of pluralism, but in doing so, to fully prepare our students for the great diversity of the larger world. If this Plan is fully implemented, we will have moved beyond merely prohibiting the violation of human dignity and civility to the fulfillment of our mission of providing accessible higher education to the increasingly diverse population of the Commonwealth.

We commit ourselves to this effort.

APPENDIX 1

POSITION DESCRIPTION: EO OFFICER

The Equal Opportunity Officer (“EO Officer”) provides campus-wide leadership to promote equal opportunity, diversity and affirmative action on campus. The EO Officer works closely with the President, Vice Presidents, Department Chairs, Program Coordinators and Directors in the implementation, monitoring and evaluation of the Universities’ Equal Opportunity, Diversity and Affirmative Action Plan. The EO Officer works with faculty and student organizations to introduce a variety of multicultural issues across the curriculum and across the campus. The EO Officer is the ombudsman for all issues of discrimination, including discriminatory harassment, and retaliation.

The EO Officer may also serve as the Title II/Section 504 Coordinator. Similarly, the EO Officer may be the primary Title IX Coordinator for each University, although the individual campuses may designate one or more additional Deputy Coordinators to assist with Title IX compliance.

SUPERVISION: Reports directly to the President or the President’s designee.

SUPERVISION EXERCISED: Over assigned professional and non-professional staff.

DUTIES AND RESPONSIBILITIES: Include, without limitation:

- Provides leadership in planning and organizing events and programs to increase the awareness of diversity on campus.
- Develops plans and policies to recruit and employ members of protected classes through affirmative action and equal employment opportunity programs.
- Responsible for monitoring, implementing and evaluating recruitment to insure a policy of non-discrimination, affirmative action, equal employment/educational opportunity and diversity.
- Serves as an ex-officio member of faculty hiring committees.
- Works closely with the Vice Presidents, Directors, Program Coordinators and Department Heads to develop and implement program initiatives designed to increase diversity among faculty, staff and students.
- Plans and develops policies and procedures regarding the implementation of the ADA and the Rehabilitation Act.
- Responsible for overseeing investigations of all complaints of discrimination, discriminatory harassment, and retaliation filed pursuant to the Universities’ Discrimination Complaint Investigation and Resolution Procedures. Responsible for communicating all relevant information to appropriate persons on campus regarding the investigation process.
- May act as a representative of the University on claims presented to state/federal agencies.
- Reviews all University policies for potential discriminatory impact.
- Communicates information on laws, regulations and policies on affirmative action and equal opportunity to members of the University community.
- Exercises sign-off authority on all personnel actions.
- Assumes additional support duties assigned by the President.

*This Position Description is illustrative and not necessarily exhaustive.

APPENDIX 2

POSITION DESCRIPTION: TITLE IX COORDINATOR

The Title IX Coordinator has primary responsibility for managing the day-to-day responsibilities associated with the University's compliance obligations pursuant to Title IX.

The Title IX Coordinator may also serve as the EO Officer and/or the Title II/Section 504 Coordinator. Additionally, the individual Universities may designate one or more additional Deputy Coordinators to assist the lead Title IX Coordinator with Title IX compliance.

SUPERVISION: Reports directly to the President or the President's designee.

SUPERVISION EXERCISED: Over assigned professional and non-professional staff.

DUTIES AND RESPONSIBILITIES: Include, without limitation:

- Serving as the University's central resource on issues related to sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation.
- Implementing and managing the University's Sexual Violence Policy.
- Ensuring that community members know their options and resources concerning the reporting of sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation.
- Evaluating and implementing of requests for accommodations or interim protective measures.
- Overseeing the receipt, investigation and resolution of complaints of sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation by employees, students and others protected under state/federal laws/regulations and/or the University EO Plan. Where appropriate, conducting complaint investigations.
- Maintaining investigation files; maintaining a University-wide reporting system for complaints and investigation findings; identifying patterns and making recommendations.
- Developing and implementing long-term goals for programming, services, education and assessment of Title IX compliance efforts, including but not limited to sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation; providing leadership for University-wide initiatives to increase gender equity on campus.
- Overseeing education, training, and outreach programming concerning awareness and prevention of sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation.
- Providing or recommending training to Deputy Title IX Coordinators, complaint Mediators and Administrative Investigators, and other campus officials with Title IX responsibilities.
- Maintaining current knowledge of the laws, policies, procedures and best practices with regard to sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation; attending trainings, workshops, conferences to augment knowledge.
- Acting as the University's representative when attending conferences and communicating with government compliance or investigation officers; processing inquiries from third parties. Assuming additional support duties assigned by the President.

MINIMUM QUALIFICATIONS:

1. J.D. with at least one year of coordinator's experience OR Master's Degree with at least 3 year's coordinator's experience.
2. Demonstrated knowledge of and ability to interpret federal and state discrimination, harassment and equal opportunity laws, including Title IX, Title VII, VAWA and Clery.
3. Exceptional communication, organizational and interpersonal skills.
4. Demonstrated ability to maintain a high level of collegiality with different campus constituencies.
5. Experience with sexual violence prevention programming and training.
6. Experience designing and implementing training for difference campus constituencies.
7. Experience with reporting software and databases.

PREFERRED QUALIFICATIONS:

1. At least 3 years' experience conducting Title IX investigations in higher education.
2. At least 3 years' experience interpreting federal and state discrimination, harassment and equal opportunity laws.
3. Experience participating in administrative hearings and proceedings.
4. Experience with and understanding of mental health/counseling issues in higher education.

*This Position Description is illustrative and not necessarily exhaustive.

APPENDIX 3

POSITION DESCRIPTION: EQUAL OPPORTUNITY INVESTIGATOR

The EO Investigator is responsible for investigating alleged incidents of discrimination, harassment, retaliation and sexual violence, including domestic/dating violence and stalking, as defined in the University's Equal Opportunity, Diversity and Affirmative Plan ("EO Plan"). The EO Investigator is responsible for gathering, preserving and analyzing evidence/information to determine the outcome of the investigation and recommended corrective action and/or resolution.

SUPERVISION: Reports directly to the EO Officer.

SUPERVISION EXERCISED: Over assigned professional and non-professional staff.

DUTIES AND RESPONSIBILITIES: Include, without limitation:

- Conduct investigations of complaints of discrimination, harassment, retaliation and sexual violence in a timely, fair, impartial and thorough manner.
- Prepare comprehensive investigation reports, including factual findings, conclusions, and recommendations for discipline and/or other corrective action.
- Serve as the contact for all parties to an investigation and manage communications regarding the investigation process.
- Assist the EO Officer and/or Title IX Coordinator in the evaluation and implementation of requests for accommodations or interim protective measures.
- Assist the EO Officer and/or Title IX Coordinator in the development of training programs for faculty, staff and students on equal opportunity, discrimination, harassment, retaliation, sexual violence, Title IX, and other related topics.
- Provide information to the campus community regarding the EO Plan and the Complaint Investigation and Resolution Procedures.
- Remain abreast of University, state and federal policies, statutes, regulations and guidance documents in the areas of discrimination, harassment, retaliation and sexual violence. Participate in professional forums, conferences, training and/or seminars. Continuously identify and integrate best practices in the equal opportunity investigation field into knowledge base and practice.
- Identify systemic problems in the investigation process and make recommendations to the EO Officer and/or Title IX Coordinator concerning appropriate changes to the EO Plan and/or the Complaint Investigation and Resolution Procedures.
- Perform other duties as required or assigned which are reasonably within the scope of the duties enumerated above.

MINIMUM QUALIFICATIONS:

1. Master's Degree, OR Bachelor's Degree in related field with equivalent combination of relevant education and experience (degrees in psychology, counseling, social work and criminal justice are favored).
2. At least 3 years' experience investigating complaints and/or grievance investigation and resolution.
3. Knowledge of state and federal laws regarding discrimination, harassment, retaliation and equal opportunity.
4. Exceptional communication and organizational skills.

5. Demonstrated ability and to project neutrality and to appropriately handle confidential and sensitive information.
6. Demonstrated ability to maintain a high level of collegiality with different campus constituencies.

PREFERRED QUALIFICATIONS:

1. J.D. or Master's Degree.
2. Experience in higher education.
3. Experience and training in human resources, student conduct, civil rights and/or diversity programming.
4. Knowledge of investigation techniques and best practices.
5. Experience with Title IX, VAWA, Clery Act and Title VII.

*This Position Description applies to a dedicated EO Investigator position; it is illustrative and not necessarily exhaustive.

APPENDIX 4

INVESTIGATION AND RESOLUTION PROCEDURES

FOR COMPLAINTS OF DISCRIMINATION, DISCRIMINATORY HARASSMENT,
SEXUAL VIOLENCE, SEXUAL HARASSMENT, GENDER-BASED HARASSMENT, DOMESTIC VIOLENCE,
DATING VIOLENCE, STALKING AND RETALIATION

I. INTRODUCTION AND APPLICATION

It is the policy of the Universities to provide each student, employee, and other person having dealings with the institutions an environment free from all forms of discrimination, discriminatory harassment, sexual violence, sexual and gender-based harassment, domestic and dating violence, stalking and retaliation as defined in the Universities' Equal Opportunity, Diversity and Affirmative Action Plan ("EO Plan") and/or each University's Student Code of Conduct.

These Procedures are intended to provide a mechanism to investigate and resolve complaints of discrimination, discriminatory harassment, sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation. These Procedures are available and applicable to all students, faculty, librarians, staff, visitors, contractors, applicants for employment or admission, and others having dealings with the Universities.

No community member may retaliate, harass, intimidate, threaten, coerce or otherwise discriminate against any individual for filing a complaint under these Procedures or for otherwise exercising his or her rights or responsibilities under the EO Plan or the Student Code of Conduct.

Complaints of the following prohibited behaviors may be made under these Procedures:

**Discrimination or discriminatory harassment
on the basis of:**

- race
- color
- religion
- national origin
- age
- disability/failure to accommodate
- sex/gender
- sexual orientation
- gender identity
- gender expression
- genetic information
- marital/parental status
- veteran status

Any form of the following prohibited conduct:

- sexual violence
 - rape
 - sexual assault
 - sexual exploitation
 - incest
 - statutory rape
 - aiding in the commission of sexual violence
- sexual harassment
- gender-based harassment
- domestic violence
- dating violence
- stalking

Retaliation

II. INVESTIGATION AND RESOLUTION PROCEDURES

Investigations of complaints are necessary to determine:

- whether a complaint alleges a violation of the EO Plan or the Student Code of Conduct;
- whether prohibited conduct has occurred;
- whether there is an ongoing risk of harm for further prohibited conduct and, if so, what steps must be taken to prevent its recurrence;
- whether interim protective measures should be in place for the safety of the complainant or the community, or to redress the effects of prohibited conduct;
- whether the conduct warrants disciplinary action; and
- whether local or system-wide changes to policies, practices or training should be considered and implemented by the Universities.

These Procedures have been designed to provide prompt, thorough, fair and impartial processes from investigation to final result. The proceedings pursuant to these Procedures will be conducted transparently and consistently with the Universities' policies. The formal rules of process or evidence, such as those applied in criminal or civil courts, are not used under these Procedures.

All investigations of alleged sexual harassment, sexual violence, dating violence, domestic violence and stalking under these Procedures will be conducted using a trauma-informed approach to support complainants, while ensuring that appropriate support and due process protections are provided to all parties.

The trauma-informed approach is based on scientific evidence that a person who is subjected to a traumatic situation experiences a change in brain function that can materially affect the person's response to the situation and how memories of the event may be stored and recalled. A trauma-informed approach acknowledges that a complainant in a sexual harassment, sexual violence, dating violence, domestic violence or stalking case may have suffered a traumatic incident that may affect their participation during an investigation. A trauma-informed approach is also consistent with the provision of a fair and equitable process for the respondent.

The complaint investigation and resolution process is comprised of two processes, the **Informal Resolution Procedure** and the **Formal Investigation Procedure**, which are detailed below.

Deviations from the Informal Resolution Procedure or Formal Investigation Procedure shall not necessarily invalidate a decision, unless significant prejudice may result to a party or the University.

Note: While these Procedures identify certain University officers and employees who have particular roles and duties, the Universities may designate other officers or employees to perform specific roles and/or duties set forth in these Procedures.

A. Informal Resolution Procedure

After full disclosure of the allegations and the parties' option for formal resolution, and if the University determines that a particular complaint is appropriate for such process, the parties to a dispute may attempt to reach an informal resolution of the potential violation. The Universities encourage involved parties to request the intervention of the University to assist in an informal resolution by contacting the EO Officer.

In conference with the Title IX Coordinator and/or others as necessary, the EO Officer or the EO Officer's designee will assess the request for informal resolution against the severity of allegations and the potential risk of a hostile environment or safety concern for other campus community members. If an informal resolution is appropriate, the EO Officer will notify the parties. The University will not ask a

complainant to resolve a problem with a respondent without the involvement of the EO Officer or designee.

The EO Officer or designee will facilitate a dialogue with the parties in an attempt to reach a resolution. At no time prior to the resolution of the matter shall either party question or confront the other, or engage a third party to do so, outside the presence of the EO Officer or designee.

The matter will be deemed resolved when all parties expressly agree to an outcome that is acceptable to them and to the University. Every attempt will be made to conclude the Informal Resolution Process within sixty (60) days of the date of the complainant's request.

A complainant is not required to use the Informal Resolution Procedure before initiating the Formal Investigation Procedure. A party may withdraw from the Informal Resolution Procedure and initiate the Formal Investigation Procedure at any time.

B. Formal Investigation Procedure

Submission of Complaint and Initial Review

When a person believes that s/he has been harassed, discriminated or retaliated against, stalked or subjected to violence in violation of the EO Plan and/or the Student Code of Conduct, s/he may file a written complaint, preferably using the Complaint Form attached to these Procedures.⁵ Individuals are encouraged to file complaints directly with the EO Officer, but complaints may also be filed with other offices, such as the Title IX Coordinator, Student Conduct, Human Resources, Residence Life or Campus Police. Any complaint that is initially filed with other offices will be reported to the EO Officer.

In certain circumstances, the University may initiate the Complaint Investigation and Resolution Procedures without the filing of a written complaint or the active participation of a complainant. Complaints may be generated upon receipt of a report by a complainant or by a third-party reporter, such as, but not limited to, a friend, spouse, family member, advisor, parent or coworker.

A complaint must be filed by the complainant or a University official, and the complaint must be in the words of the complainant or the University official. Complaints should contain all known facts pertaining to the alleged violation, the names of any known witnesses and others with knowledge of the allegations, and an identification of any documents or other evidence.

The EO Officer or designee will determine if the complaint falls within the jurisdiction of these Procedures. When complaints allege sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and/or retaliation, the EO Officer or designee will refer them to the Title IX Coordinator for jurisdictional evaluation and review. At this point, the University will implement any necessary and/or appropriate interim protective measures, or monitor and/or revise any measures already in place. If the University determines that the complaint is not properly filed pursuant to these Procedures, it will provide written notice to the complainant (or third party reporter).

⁵ Individuals who believe they have been subjected to conduct prohibited by the Sexual Violence Policy also have options to report such incidents confidentially; victims are encouraged, but not required, to file complaints pursuant to these Procedures. Please see Section E of the Sexual Violence Policy for more information on reporting options.

Investigation Process

1. Complaints and the Respondent's Response

If a complaint has been properly filed, or the University otherwise determines that an investigation is necessary, the University will assign the matter to an Administrative Investigator. The University may also designate other trained and knowledgeable University officials to assist with the investigation. Under circumstances where the University deems it necessary or appropriate, the University may also appoint an external investigator.

The Administrative Investigator will notify the respondent of the complaint, provide him or her with a copy of the complaint, and invite the respondent to submit a written response. See the model Notice to Respondent attached to these Procedures. If the respondent does not respond, or otherwise fails to participate in the investigation, the Administrative Investigator will complete the investigation on the basis of the other information obtained.

Where a complaint is brought by a third party reporter, the Administrative Investigator shall attempt to meet with the potential complainant to discuss his/her participation in the investigation, and to gain additional information.

2. Counterclaims

At times a Respondent may assert a counterclaim against the Complainant in which the Respondent alleges that the Complainant has engaged in conduct that violates the EO Plan. Such counterclaims are treated as separate complaints under the EO Plan.

Under such circumstances, the Investigator will notify and/or provide a copy of the Respondent's complaint to the Complainant for his or her response in the same manner that the initial complaint is provided to the Respondent.

The University has the discretion to consolidate into one investigation all complaints between a Complainant and a Respondent (or among multiple parties), if the evidence related to each incident would be relevant and probative in reaching a determination on the other incident(s).

Any complaint by a Respondent against a Complainant that is frivolous, knowingly false, or asserted in bad faith will be considered retaliation against the Complainant who filed the original complaint, and will become a separate violation of the EO Plan for which the Respondent may be subject to potential sanctions.

3. Investigation

The investigation shall include, but is not limited to: an analysis of the allegations and defenses presented using the preponderance of the evidence (more likely than not) standard; consideration of all relevant documents, including written statements and other materials presented by the parties; interviews of the parties and other individuals and/or witnesses; and/or reviewing certain documents or materials in the possession of either party that the Administrative Investigator has deemed relevant. The Administrative Investigator may also review any available campus police investigation reports or the investigation reports of local law enforcement authorities.

In regards to complaints alleging sexual violence, domestic violence, dating violence or stalking, questions, statements, or information about the sexual activity of alleged victim with any person other

than the other party(ies) to the investigation is not relevant and will not be considered. Parties to such complaints are permitted to submit questions for the Administrative Investigator to ask of the other parties and witnesses, but the questions must be specifically about the allegations of the present complaint.

At the conclusion of the investigation of the complaint, the Administrative Investigator shall prepare an Investigation Report for an administrative review. The Investigation Report shall: outline the investigatory steps undertaken; summarize the factual findings; state whether any policy violations have occurred based on the preponderance of the evidence; explain the rationale for each violation determination; and, if applicable, recommend a sanction(s).

Both parties shall be provided with an opportunity to review the Investigation Report and an opportunity to respond in writing in advance of a decision of responsibility and before the Investigation Report is submitted for administrative review.

In providing both parties with the opportunity to review the Investigation Report before a decision of responsibility is made, both parties should be afforded the opportunity to come to campus with his/her advisor (or, if a respondent is a unit member, a Weingarten representative) to review the Investigative Report. To minimize the risk of compromising the investigation and to protect the sensitivity of the information contained in the Investigation Report, the parties should be given as much time as they need to review the Investigative Report, but should not be provided with a hard or electronic copy of the Investigative Report to take with them. Both parties shall then be afforded seven (7) to ten (10) business days to respond in writing to the Investigative Report. The Investigator should follow-up on any material comments made by either party that have not already been given appropriate consideration. Subsequently, the Investigative Report should be finalized by the Investigator to include a decision of responsibility and then submitted for administrative review.

A person making a complaint of sexual violence, domestic violence, dating violence or stalking may submit an impact statement during the Investigation Process. A respondent to such a complaint may submit a statement of mitigation or extenuation during the Investigation Process. At any point during the investigation, a respondent to any complaint may agree to the allegations and the recommended sanction.

Administrative Review

The EO Officer, Title IX Coordinator or other designated University official(s) (the “reviewing body”) will conduct an administrative review of the Investigation. The purpose of the administrative review is to determine whether the investigation is prompt, fair, impartial and thorough. If the reviewing body determines the investigation is deficient, the reviewing body shall remand the matter back to an Administrative Investigator for further investigation.

If the reviewing body determines that the investigation is prompt, fair, impartial and thorough, the reviewing body will then consider whether the recommended discipline or sanction for each violation is consistent with University policy and practice. In determining discipline, the Administrative Investigator and the reviewing body may consider the disciplinary history, if one exists, of the party found responsible. The Administrative Investigator and/or reviewing body may discuss sanctions with other University personnel as necessary, such as Human Resources, Student Conduct or upper-level administrators.

At any point during the administrative review, a respondent to any complaint may agree to the allegations and the recommended sanction.

Notice of Outcome

At the completion of the administrative review, the University will notify the party found responsible of all sanctions imposed. If the sanctions imposed include a separation from the residence halls or the University, and, in the opinion of the Administrative Investigator and/or reviewing body, the party poses a continued threat to the safety of the campus community, the sanctions may take effect immediately, and while an appeal is pending.

At the completion of the administrative review, the University will also contemporaneously issue a written Notice of Outcome to all parties. The Notice of Outcome shall include the following:

1. the factual findings of the investigation;
2. the policy violation determination and the rationale for the determination;
3. all sanctions that result from an allegation of sexual violence or other crime of violence;
4. the sanctions that directly relate to the complaining party that arise from an allegation of discrimination, discriminatory harassment, non-violent sexual or gender-based harassment, and/or retaliation; and
5. the parties' appeal rights.

If no appeal is filed by either party within ten (10) business days of their receipt of the Notice of Outcome, the results will become final and the University will proceed with the imposition of the recommended sanction(s).

Option for Mediation of Formal Complaints

During a formal investigation, at any time prior to the issuance of the Notice of Outcome, either party may request mediation of the complaint by contacting the EO Officer or Title IX Coordinator. All parties must agree to mediation for this option to be used.

The purpose of mediation is to resolve the dispute to the satisfaction of all parties. When mediation is appropriate, the EO Officer shall designate an impartial Mediator, who shall be mutually agreed upon and not unreasonably refused by the parties, and inform the parties in writing of the mediation process and schedule. Where practicable, a mediation session shall be conducted no later than thirty (30) days after agreed to by the parties. The timelines presented under these Complaint Investigation and Resolution Procedures shall be tolled pending the outcome of mediation. If successful in resolving the complaint, the Mediator shall reduce to writing the terms of the mediated resolution, which shall be signed by the parties. If mediation does not result in a resolution, all mediation discussions shall remain confidential and may not be used or introduced in this process or any other forum.

Timeframe

The University will make every attempt to investigate a complaint within sixty (60) days of the date of its submission. If, for good cause, an investigation cannot be completed within 60 days, the University will provide the parties status updates at reasonable intervals until the investigation is completed. The University will make every effort to conclude the administrative review within fourteen (14) calendar days of receipt of the Investigation Report.

C. Appeals

Either party may appeal the results of an investigation under these Procedures by submitting a written letter of appeal to the EO Officer or designee within ten (10) business days of the party's receipt of the Notice of Outcome. An appeal may be transmitted electronically to the EO Officer or designee. Appeals may be submitted on the following grounds:

1. to allege a material procedural error within the investigation and resolution process that would substantially change the outcome; or
2. to consider new evidence that was not known at the time of the investigation that would substantially change the outcome.

Appeals will not be considered on any other basis.

Upon timely receipt of the appeal letter, the EO Officer shall transmit the Investigation Report and the appeal letter to the appropriate appellate officer or body for review. If the appealing party has presented an appeal on the basis of the grounds set forth above, the appellate officer or body, who shall not have participated in the investigation or administrative review, will review the appeal and make a determination to uphold, reverse or modify the decision. When necessary, the appellate officer or body may seek additional information and/or refer the matter back to the Administrative Investigator, prior to making an appellate determination.

Where practicable, within thirty (30) days of receiving the appeal, the appellate officer or body shall contemporaneously issue a written decision to the parties in which it may uphold, reverse or modify the decision. All appellate decisions are final, provided that any corrective action and/or discipline imposed upon a unit member is subject to applicable collective bargaining agreements.

Under limited, exceptional circumstances, and in compliance with the principles of due process, the University reserves the right to correct, amend, supplement or modify a finding, conclusion or sanction to ensure that an investigation has been prompt, fair, impartial and thorough.

D. Possible Sanctions And Additional Remedies

For Employee Respondents. Disciplinary action taken against an employee shall be regarded as an administrative action, up to and including termination, subject to all provisions of applicable collective bargaining agreements or personnel policies.

Additional disciplinary action, subject to all provisions of applicable collective bargaining agreements or personnel policies, shall also be taken against an employee who violates a sanction or sanctions imposed pursuant to this Plan.

For Student Respondents. A student who has been found to have violated the EO Plan and/or Student Code of Conduct may be subject to sanctions including, but not limited to:

- | | |
|--|-------------------------------------|
| • reprimand | • fines and/or restitution |
| • warning | • disciplinary hold |
| • disciplinary probation | • assessment |
| • loss of privileges | • educational program or project |
| • relocation of residence | • revocation of admission or degree |
| • restriction from facilities or activities | • withholding of degree |
| • temporary or permanent residence hall suspension | • suspension |
| | • expulsion |

In general, the sanction typically imposed for students for rape or non-consensual sexual intercourse is expulsion. The sanction typically imposed for students for non-consensual sexual contact, sexual exploitation, domestic violence, dating violence and stalking is suspension or expulsion. All student sanctions, however, are determined on a case-by-case basis in consideration of: the seriousness of the violation; sanctions typically imposed for similar violations; prior disciplinary history; and any other circumstances indicating that the sanction should be more or less severe.

Additional disciplinary action shall also be taken against a student who violates a sanction or sanctions imposed pursuant to this Plan. Depending on the nature of the violation, such discipline may be imposed pursuant to the provisions of this Plan or pursuant to the applicable provision of the Student Code of Conduct. Additional Remedies Following Finding of a Violation.

Where necessary, the Universities will provide additional measures to remedy the effects of a violation. These remedies are separate from, and in addition to, any protective interim measures that may have been provided or sanctions that have been imposed. If the complainant declined or did not take advantage of a specific service or resource previously offered as a protective interim measure, such as counseling, the University will re-offer those services to the complainant as applicable or necessary.

In addition, the University will consider broader remedial action for the campus community, such as increased monitoring, supervision, or security at locations where the incidents occurred, increased or targeted education and prevention efforts, climate assessments/victimization surveys, and/or revisiting its policies and Procedures.

III. RELATED INFORMATION AND DEFINITIONS

For the purposes of these Procedures, the following terms are defined and used as follows:

Complainant. An individual who makes a complaint under these Procedures. The Complainant may also be the University under certain circumstances.

Respondent. An individual who is accused of violating the EO Plan.

Day. A day shall mean a calendar day, unless otherwise specified herein.

Discipline or Sanctions. The terms may be used interchangeably.

Advisors.

Each party to an investigation initiated under the Complaint Investigation and Resolution Procedures is entitled to have an advisor present during any meetings regarding the process (other than meetings between a party and University officials regarding accommodations or protective interim measures). Except as otherwise required by law, the advisor may observe, but may not participate in any way whatsoever, including, without limitation, by asking questions or speaking during the meeting or proceeding. The advisor's role is to provide support and/or advice to the party. During meetings and proceedings, the advisor may speak with the party or pass notes in a non-disruptive manner. The Universities reserve the right to remove from the meeting or proceeding any advisor who disrupts process, or who does not abide by the restrictions on their participation. In addition, please note that the University does not need to cancel or delay a meeting or proceeding simply because an advisor cannot be present. Further, the advisor is not permitted to attend a meeting or proceeding without the advisee.

The personal advisor for a complainant, a student respondent or a non-unit employee respondent can be any person, including an attorney.

Respondents who are unit members may elect to have a union representative (or other University employee) present during any meeting which the unit member reasonably believes may result in discipline pursuant to the unit member's Weingarten rights. A respondent unit member who invokes their Weingarten right to a union representative or other University employee is not also permitted an advisor.

If a party's advisor is an attorney, the University's legal counsel may also attend the meeting or proceeding.

Referrals to Title IX Coordinator. Complaints of sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking and retaliation will be referred to the Title IX Coordinator for evaluation. Before starting an administrative investigation, the Title IX Coordinator or his/her designee will determine whether the reported facts, if true, would violate the Sexual Violence Policy and/or the Student Code of Conduct, and may consult with the complainant to obtain more information and discuss his/her options.

Interim Protective Measures. Upon review of a complaint, the University may determine that interim protective measures are necessary or appropriate for either party, making every effort to avoid depriving any student of access to the student's education. The Universities will implement interim measures on a case-by-case as described in Section H of the Sexual Violence Policy. Interim measures may also be instituted and/or modified at any point during the investigation and resolution process.

Off Campus Behavior. The Universities may investigate off-campus conduct alleged to violate the EO Plan and/or Student Code of Conduct when such conduct involves behavior by or toward a community member, which (1) occurs during University-sponsored events or the events of organizations affiliated with the University, including study abroad and outside internships; (2) negatively impacts an alleged victim's access to education programs and activities; (3) adversely affects or disrupts the campus community; and/or (4) poses a threat of harm to the campus community.

Grade Disputes. While grade changes must generally be pursued through the academic grade change procedure, a complaint may proceed under these Procedures when a student alleges that a grade was improper because of discrimination, discriminatory harassment, sexual violence, sexual or gender-harassment, domestic or dating violence, stalking or retaliation. The remedy for policy violations in cases pursued under these Procedures may be determined and/or implemented in conjunction with Academic Affairs.

Amnesty. Students may be hesitant to report sexual violence, sexual or gender-harassment, domestic or dating violence, stalking or retaliation out of concern that they, or witnesses, might be charged with violations of the Universities' drug/alcohol policies. While the Universities do not condone such behavior, they place a priority on the need to address sexual violence and other conduct prohibited by the Sexual Violence Policy. Accordingly, a University may elect not to pursue discipline against a student who, in good faith, reports, witnesses, or participates in an investigation of sexual violence, sexual or gender-harassment, domestic or dating violence, stalking or retaliation.

Conflicts of Interest. If any University official involved in the investigation, resolution or appeal process believes there is a potential or actual conflict of interest regarding their role, they must disclose this

conflict in advance to the EO Officer, Title IX Coordinator (where applicable) or designee. Likewise, if a complainant or respondent believes there is a conflict of interest present regarding any University official involved in the investigation, resolution or appeal process, s/he must disclose the conflict in advance to the EO Officer, Title IX Coordinator (where applicable) or designee. If a valid conflict of interest exists, the University will take steps to remedy or eliminate the conflict.

Confidentiality of Process. These Procedures will be conducted as confidentially as reasonably possible to protect the privacy of all involved. The Universities may share information about the allegations with parties, witnesses or others on a need-to-know basis, and shall share information with union representatives pursuant to M.G.L. Chapter 150E, or as otherwise required by law. All with whom information is shared shall be advised of the confidential nature of the information and directed not to discuss it with anyone except an advisor or union representative. See Section VI of the Sexual Violence Policy for more information about confidential reporting options.

Joint Investigation. In some circumstances, a respondent's conduct may constitute a potential violation of other University conduct policies in addition to the EO Plan and/or the Student Code of Conduct. To avoid duplicative efforts, the University may undertake a joint investigation of the conduct under these Procedures. Based on the findings of the joint investigation, the respondent may be subject to disciplinary action for violations of the EO Plan and/or the Student Code of Conduct, as well as other policy violations.

Preponderance of the Evidence. The standard of review used to evaluate all complaints. Under this standard, conclusions must be "more likely than not." Accordingly, the fact-finder must find that it is more likely than not that the respondent violated the University's EO Plan, Student Code of Conduct or other relevant University policy.

Notice of Meetings and Access to Information. Each party to an investigation will be provided timely notice of meetings at which such party or both parties may be present. The parties will be afforded the same and timely access to any information that the University is aware will be used at any meeting or hearing. Where appropriate or required by law, the University may redact the complainant's name and other identifying information from any information provided to the respondent, including the specific charge and the complaint or related materials.

Training of Officials Who Participate in the Investigation and Resolution Process. Proceedings pursuant to these Procedures are conducted by officials who receive annual training on the issues of discrimination, discriminatory harassment and retaliation. Officials also receive training specific to matters of sexual and gender-based harassment, domestic violence, dating violence, stalking, as well as how to conduct an investigation that protects the safety of complainants, promotes accountability, and provides all parties with the same opportunities to be accompanied to meetings or proceedings by an advisor of their choice.

Refusal of Participation. In cases where a complainant or respondent (or both) refuses or fails to participate in the investigation and resolution process, the University may continue the process without the complainant and/or respondent's participation. The failure of the respondent to participate in the investigation and resolution process will not prevent the University from imposing discipline or other sanctions when a violation is found.

Right to File an Outside Complaint. Individuals have the right to file charges of discrimination, discriminatory harassment, sexual violence, sexual or gender-harassment, domestic or dating violence,

stalking or retaliation at any time with the appropriate government agency, with or without utilizing these Procedures. More information about filing an outside complaint can be found in the Non-Discrimination and Harassment Policy and the Sexual Violence Policy, both of which are contained in the EO Plan.

Concurrent Criminal or Civil Proceedings. Persons may be accountable to both the Universities and the state for conduct that constitutes potential violations of the EO Plan and/or Student Code of Conduct and state or federal law. University investigations may be conducted before, after or simultaneously with civil or criminal proceedings, and University investigations are not subject to challenge on the grounds that civil or criminal charges involving the same conduct have been dismissed or reduced. When a person has been charged with a crime or a violation of civil law, the Universities will neither request nor agree to special consideration for the individual solely because of his/her student status. Persons subject to parallel criminal charges shall be instructed that their statements and/or other information supplied by them may be subject to subpoena.

When a criminal investigation of an incident of sexual violence, sexual or gender-based harassment, domestic or dating violence, stalking or retaliation is also occurring, the University will not delay its investigation due to the criminal investigation, unless law enforcement requests to gather evidence. When law enforcement makes such a request, the University will typically resume its investigation within three to ten days.

Withdrawal of Complaint. The complainant may withdraw a complaint at any point during the investigation. The EO Officer, Title IX Coordinator, or designee, however, may determine, in their discretion, that the allegations raised in the complaint warrant further investigation despite the complainant's desire to withdraw the complaint. See Section VII(A) of the Sexual Violence Policy for more information on the circumstances under which the University may elect to proceed with an investigation of alleged sexual violence, sexual harassment, gender-based harassment, domestic violence, dating violence, stalking or retaliation.

MODEL COMPLAINT FORM

COMPLAINT FORM

This form is used to report information necessary to initiate an investigation of alleged discrimination, harassment, sexual or gender-harassment, domestic or dating violence, stalking or retaliation pursuant to the Universities' Equal Opportunity, Diversity and Affirmative Action Plan ("EO Plan") and/or the Student Code of Conduct. All reasonable efforts will be made to maintain the involved parties' confidentiality during the investigation and resolution procedure.

It is a violation of University Policy to retaliate against a student, employee or any other person affiliated with the University for filing a complaint or for cooperating in an investigation of a complaint.

All parties to a complaint may have a personal advisor assist them throughout the process, in accordance with Sexual Violence Policy, Student Code of Conduct and applicable collective bargaining agreements. Pursuant to Weingarten, respondents who are unit members may have a union representative or other University employee present at any meeting which the unit member reasonably believes may result in discipline.

Date Filed: _____ Date(s) of Alleged Incident(s): _____

A. Name (Print): _____

B. Check One: Student: _____ Employee: _____

Other: _____ (describe relationship to University)

C. Type of alleged discrimination or discriminatory harassment:

- | | | |
|---|--|---------------------------------------|
| <input type="radio"/> Race | <input type="radio"/> Color | <input type="radio"/> Religion |
| <input type="radio"/> National Origin | <input type="radio"/> Age | <input type="radio"/> Disability |
| <input type="radio"/> Sex/Gender | <input type="radio"/> Sexual Orientation | <input type="radio"/> Gender Identity |
| <input type="radio"/> Gender Expression | <input type="radio"/> Marital Status | <input type="radio"/> Veteran Status |
| <input type="radio"/> Genetic Information | <input type="radio"/> Other: _____ | |

D. Type of alleged sexual violence or other prohibited conduct:

- | | | |
|---|---|---------------------------------------|
| <input type="radio"/> Rape | <input type="radio"/> Sexual Exploitation | <input type="radio"/> Incest |
| <input type="radio"/> Statutory Rape | <input type="radio"/> Aiding in the Violence | <input type="radio"/> Stalking |
| <input type="radio"/> Sexual Assault | <input type="radio"/> Domestic Violence | <input type="radio"/> Dating Violence |
| <input type="radio"/> Sexual Harassment | <input type="radio"/> Gender-Based Harassment | |
| <input type="radio"/> Other _____ | | |

E. ☐ Retaliation

F. Name of individual(s) you believe harassed you, discriminated or retaliated against you, or engaged in violence toward you: _____

G. List any witnesses: _____

H. List any others with knowledge of the incident(s): _____

I. Description of Complaint - please list the sequence of events, including dates, if possible, and any relevant facts, statements and/or evidence currently known to you:

(If additional writing space is needed, please attach additional sheets)

To the best of my knowledge and belief, the above information is complete, true and accurate and not a "false charge" as defined under the EO Plan, and I hereby submit this complaint under the University's Complaint Investigation and Resolution Procedure.

Signature of Complainant

Received by _____ on: _____

NOTICE TO RESPONDENT

Date: _____

To: _____, Responding Party

From: _____, Administrative Investigator

Subject: Complaint of Discrimination, Discriminatory Harassment, Sexual Violence, Sexual Harassment, Gender-Based Harassment, Domestic Violence, Dating Violence, Stalking and/or Retaliation

This is to notify you that on _____ a complaint alleging a violation of the University's Equal Opportunity, Diversity and Affirmative Action Plan ("EO Plan") and/or the Student Code of Conduct was filed against you with the University. A copy of the complaint is attached, as is a copy of the complaint investigation and resolution procedure. Please submit to me a written response to the complaint.

An Administrative Investigator will be contacting you to schedule an appointment to discuss this matter. Please be advised that it is a violation of University Policy to retaliate against a student, employee or any other person for filing a complaint or for cooperating in an investigation related thereto.

All reasonable efforts will be made to maintain confidentiality during the complaint procedure.

If you are an employee, any disciplinary sanctions imposed as a result of this investigation shall be regarded as an administrative action subject to all terms and conditions of applicable collective bargaining agreements or personnel policies.

All questions concerning this matter should be addressed to the Equal Opportunity Officer, Title IX Coordinator or Administrative Investigator at _____.

Finally, all parties to a complaint may have a personal advisor assist them throughout the process, in accordance with Sexual Violence Policy, Student Code of Conduct and applicable collective bargaining agreements. Pursuant to Weingarten, respondents who are unit members may have a union representative or other University employee present at any meeting that the unit member reasonably believes may result in discipline.

APPENDIX 5

GUIDELINES FOR CAMPUS POLICIES AGAINST DISCRIMINATION, DISCRIMINATORY HARASSMENT AND RETALIATION

The State Universities have promulgated a policy prohibiting discrimination and harassment based on race, color, religion, national origin, age, disability, gender, sexual orientation, gender identity, gender expression, genetic information, marital or parental status, or veteran status, and affirming their collective commitment to a diverse learning and living environment where intolerance and bigotry are looked upon with disfavor. With this Policy, the Universities call upon the individual campuses to develop environments that embrace the accords of civility and human dignity as preconditions to the establishment of a community and that achieve optimum utilization of its human and intellectual resources.

These Guidelines are established in order to provide guidance to the individual campuses in their effort to develop and implement a campus policy consistent with the State Universities' policy. The Guidelines consist of two components, required elements and suggested activities.

REQUIRED ELEMENTS

All individual University policies against discrimination and discriminatory harassment on the basis of membership in a protected class, particularly including those policies addressing discrimination and/or discriminatory harassment based on race, religion, and national origin, must contain certain elements, including:

1. A firm, unequivocal statement condemning discrimination and embracing multicultural/multiracial pluralism.
2. Procedures for the periodic and wide dissemination and publicity of the written policy.
3. A program of educational activities designed to enlighten faculty, librarians, administrators, staff and students with regard to:
 - developing an appreciation for diversity and pluralism;
 - developing greater awareness of the multiple ways in which racial, religious or cultural insensitivity and hostility may be manifested;
 - understanding ways in which the dominant society manifests and perpetuates racism; and
 - learning ways in which to prevent and combat racial, religious and cultural insensitivity and intolerance.
4. Determination of strategies and efforts to be undertaken for the purpose of institutional analysis to reveal institutional factors which give rise to racism and other forms of intolerance, insensitivity and discriminatory actions against members of protected classes. Remedial actions will be developed for all revealed institutional factors.
5. Incorporation of the spirit of this Policy into the official campus code of conduct for students.
6. Specific procedures of recording reported incidents of racial, cultural or religious harassment or violence, events and related confrontations. Confidentiality will be afforded to any reporting individual wishing to remain anonymous, but will be offered only insofar as it does not violate the rights of the respondents or charged parties.

SUGGESTED ACTIVITIES

Each University must determine the specific programs and activities it will carry out in the process of implementing the policy objectives. These activities should include those that would address deterrence, education, institutional analysis, monitoring, resource development, counseling, and sanctions for prohibited behavior. What follows below represents many suggested activities, which the Universities might consider undertaking in addition to those required above. This list is not intended to represent an exhaustive set of activities.

1. Develop approaches to incorporate racial and cultural sensitivity training as a component of staff and faculty development efforts;
2. Apprise incoming students of the policy and expected standards of behavior during orientation sessions;
3. Include a synopsis of the policy with all letters of acceptance sent to students;
4. Incorporate information on the policy during all student and employee recruitment efforts - these activities help make a college more attractive to students and employees interested in a safe environment;
5. Encourage and support research and scholarly activity which examines cultural diversity, racism, and strategies for combating racism;
6. Develop residential unit programs for promoting living and learning environments that foster interracial and intercultural awareness and sensitivity - films, speakers, workshops and forums within the dormitories help facilitate these promotions; and
7. Develop mechanisms to assist the institution in monitoring the racial climate at the University and identify areas needing remedial attention.

APPENDIX 6

ADVISORY COMMITTEE FOR EQUAL OPPORTUNITY, DIVERSITY AND AFFIRMATIVE ACTION

The President of each University shall appoint an Equal Opportunity, Diversity and Affirmative Action Advisory Committee. This Committee shall consist of members representing the respective campus constituencies of administration, faculty and librarians, and staff, and should attempt to include student(s). The Committee shall include appropriate representation of persons of color, women and persons with disabilities. Each President shall consult with his or her EO Officer with respect to these appointments. The EO Officer of each University shall be an ex-officio member of the Committee.

PURPOSE

The purposes of the Advisory Committee are:

1. to serve as an advisory group to the President;
2. to make recommendations to the President as well as to respective campus and governance committees concerning effective implementation of the Universities' Equal Opportunity, Diversity and Affirmative Action Plan;
3. to evaluate institutional compliance with respect to all equal opportunity, diversity, and affirmative action programs and to recommend appropriate strategies to the President; and
4. to keep informed as to federal and state laws and regulations as well as institutional policies impacting equal opportunity, diversity, and affirmative action.

RESPONSIBILITIES

The responsibilities of the Advisory Committee include, but are not limited to, the following:

1. to establish its own rules of order with respect to election of officers, meeting times, quorum restrictions, etc.;
2. to furnish a report of its activities and recommendations to the President upon her/his request, but at least annually;
3. if the EO Officer deems it appropriate, to appoint a member to sit on a search committee as a non-voting member to assure that the search committee complies with affirmative action/equal opportunity policies and regulations; and
4. each University will develop its own policies with respect to additional functions or tasks which may be assigned to this Committee and with respect to Committee members sitting on search committees.

i This EO Plan incorporates by reference, and where applicable, the requirements of: Titles VI and VII of the Civil Rights Act of 1964; Title VI of the Civil Rights Act of 1968; Titles I and II of the Civil Rights Act of 1991; Title IX of the Education Amendments of 1972 and its regulations found at 34 C.F.R. part 106; the Equal Pay Act of 1963; Civil Rights Restoration Act of 1988; Sections 503 and 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990, as amended; Section 402 of the Vietnam-era Veterans Readjustment Act of 1974,

Uniformed Services Employment and Reemployment Rights Act; the Age Discrimination Act of 1975; the Age Discrimination in Employment Act of 1967, as amended; the Family and Medical Leave Act of 1993; the Genetic Information Nondiscrimination Act of 2008; the reauthorized Violence Against Women Act, Pub. Law No. 113-4 (2013); the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act; the Higher Education Act of 1965, as amended; Federal Executive Order 11246 of 1965, as amended by Executive Order 11375 of 1967; Federal Executive Order 12900 of 1994; Federal Executive Order 13145 of 2000; Federal Executive Order 13160 of 2000; Federal Executive Order 13166 of 2000; Massachusetts Civil Rights Act; Massachusetts General Laws Chapters 151B, 151C, and Chapter 149; St.2011, c. 199 (H3810), An Act Relative to Gender Identity; directives of the BHE, the Universities' Boards of Trustees and the Commonwealth; and other applicable local, state and federal constitutions, statutes, regulations and executive orders.

ii Section 106.13 of the Title IX regulations provides: "This part does not apply to an educational institution whose primary purpose is the training of individuals for a military service of the United States or for the merchant marine." 34 C.F.R. § 106.13. Massachusetts Maritime Academy voluntarily complies with the provisions of this EO Plan that incorporate the requirements of, or make reference to compliance with, Title IX.

	Professor																
	Hisp/Latino Male	Hisp/Latina Female	Black/AA Male	Black/AA Female	White Male	White Female	Asian Male	Asian Female	Amer/Alaskan Nat. Male	Amer/Alaskan Nat. Female	Nat. Hawaiian/Pacific Islander Male	Nat. Hawaiian/Pacific Islander Female	2+ Races Male	2+ Races Female	Unknown Male	Unknown Female	Total
Biology					3	3											6
Chemistry	1					2		1									4
Communication Science Disorders					1	1											2
Computer Science					1	1		1									3
Earth, Environment and Physics					1	1		1									3
Education		1				4		1									6
Health Sciences																	0
Mathematics					1	1		2									4
Nursing						1											1
Occupational Therapy						1											1
Business Administration and Economics			1			4	2	1									8
Communications	1		1			3											5
Criminal Justice					2							1					3
English		1			2	2											5
History/Political Science	1				3	1											5
Philosophy																	0
Psychology					2	5		1									8
Sociology					1												1
Urban Studies				1													1
Visual and Performing Arts					5	4											9
World Languages						1											1
Totals by Gender	3	2	2	1	22	35	2	8	0	0	1	0	0	0	0	0	76
Totals by Race/Ethnicity	5		3		57		10		0		1		0		0		76

	Associate Professor																
	Hisp/Latino Male	Hisp/Latina Female	Black/AA Male	Black/AA Female	White Male	White Female	Asian Male	Asian Female	Amer/Alaskan Nat. Male	Amer/Alaskan Nat. Female	Nat. Hawaiian/Pacific Islander Male	Nat. Hawaiian/Pacific Islander Female	2+ Races Male	2+ Races Female	Unknown Male	Unknown Female	Total
Biology	1				1	1											3
Chemistry					3	1											4
Communication Science Disorders					2	1											3
Computer Science																	0
Earth, Environment and Physics	1				1	1											3
Education					1	3											4
Health Sciences		1					1										2
Mathematics					1	1											2
Nursing						4											4
Occupational Therapy						1											1
Business Administration and Economics					1	3											4
Communications			1		2												3
Criminal Justice						2		1									3
English					2	2											4
History/Political Science				1	2	2											5
Philosophy																	0
Psychology			1		2	1											4
Sociology	1					1											2
Urban Studies					1												1
Visual and Performing Arts					1												1
World Languages		1															1
Totals by Gender	3	2	2	1	20	24	1	1	0	0	0	0	0	0	0	0	54
Totals by Race/Ethnicity	5		3		44		2		0		0		0		0		54

	Assistant Professor																
	Hisp/Latino Male	Hisp/Latina Female	Black/AA Male	Black/AA Female	White Male	White Female	Asian Male	Asian Female	Amer/Alaskan Nat. Male	Amer/Alaskan Nat. Female	Nat. Hawaiian/Pacific Islander Male	Nat. Hawaiian/Pacific Islander Female	2+ Races Male	2+ Races Female	Unknown Male	Unknown Female	Total
Biology					1	2		1									4
Chemistry						1	1										2
Communication Science Disorders						2											2
Computer Science						1		1									2
Earth, Environment and Physics					2	1	1										4
Education		1		1													2
Health Sciences	1				1	1											3
Mathematics					3	2											5
Nursing						3											3
Occupational Therapy						2											2
Business Administration and Economics	1				3	2		1									7
Communications					1												1
Criminal Justice					3												3
English					1	2	1										4
History/Political Science					3			1									4
Philosophy			1		1	2											4
Psychology						5											5
Sociology		1			1												2
Urban Studies		1			2												3
Visual and Performing Arts																	0
World Languages	1	1				1											3
Totals by Gender	3	4	1	1	22	27	3	4	0	0	0	0	0	0	0	0	65
Totals by Race/Ethnicity	7		2		49		7		0		0		0		0		65

	Instructor																
	Hisp/Latino Male	Hisp/Latina Female	Black/AA Male	Black/AA Female	White Male	White Female	Asian Male	Asian Female	Amer/Alaskan Nat. Male	Amer/Alaskan Nat. Female	Nat. Hawaiian/Pacific Islander Male	Nat. Hawaiian/Pacific Islander Female	2+ Races Male	2+ Races Female	Unknown Male	Unknown Female	Total
Biology						1											1
Chemistry																	0
Communication Science Disorders																	0
Computer Science																	0
Earth, Environment and Physics																	0
Education																	0
Health Sciences																	0
Mathematics						1											1
Nursing		1		1	1	5											8
Occupational Therapy						1											1
Business Administration and Economics																	0
Communications																	0
Criminal Justice																	0
English					1	1											2
History/Political Science																	0
Philosophy																	0
Psychology																	0
Sociology																	0
Urban Studies																	0
Visual and Performing Arts																	0
World Languages																	0
Totals by Gender	0	1	0	1	2	9	0	0	0	0	0	0	0	0	0	0	13
Totals by Race/Ethnicity	1		1		11		0		0		0		0		0		13

	Department Headcount	Minority Headcount	Percentage Minority	
Biology	14	2	14%	
Chemistry	10	3	30%	
Communication Science Disorders	7	0	0%	
Computer Science	5	2	40%	
Earth, Environment and Physics	10	3	30%	
Education	12	4	33%	
Health Sciences	5	3	60%	
Mathematics	12	2	17%	
Nursing	16	2	13%	
Occupational Therapy	5	0	0%	
Business Administration and Economics	19	6	32%	
Communications	9	3	33%	
Criminal Justice	9	2	22%	
English	15	2	13%	
History/Political Science	14	3	21%	
Philosophy	4	1	25%	
Psychology	17	2	12%	
Sociology	5	2	40%	
Urban Studies	5	2	40%	
Visual and Performing Arts	10	0	0%	
World Languages	5	3	60%	
Totals by Gender	208	47	23%	
Totals by Race/Ethnicity	208			

President's Update

March 2020

President's Message



Oversight of Worcester State University's operations is critical to the University's success. I thank every board member for the uncompensated time you dedicate to carrying out this role. Like many senior administrators, though, you don't often see first-hand the impact of programs on students, so I thought I'd share a couple of stories.

Olivia Pettrucci, a senior who founded a cheer team club that has competed in nationals, has a dream to be an occupational therapist. To pay for college, she's saved earnings from summer internships at a medical company and from a part-time job, in addition to securing loans. Even so, she says, returning last fall was "a struggle...and I honestly thought I was not going to be able to come back." The Dan Manning, Jr. Occupational Therapy Scholarship, she says, made all the difference. This is the impact Worcester State's fundraising operations can have.

First-year student Serena Jaber has known since she was seven that she wants to be a teacher. "I took reading textbooks," she says, "and actually made packets out of them and would assign them to my sister." She spoke in February at "Call to Teaching," an annual event that is a partnership among WSU, Quinsigamond Community College, and the Worcester Public Schools aimed at encouraging Worcester middle- and high-school students to consider teaching careers. Free Worcester State courses that she took in high school, through a [dual-enrollment program](#) called High School Scholars, meant that Serena entered Worcester State with nine credits under her belt, saving her time and money. It's just one example of the many ways Worcester State paves the way toward degree completion.

Olivia and Serena are like so many of our students – hard working, goal-oriented, and passionate about their future careers. It's great to know that what we do is helping them to succeed.



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PRESIDENT'S OFFICE

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Internships and Experiential Learning at Worcester State University

Another key to student success is the availability of real-world experiences for undergraduates. Experiential learning, which includes internships, practica, clinicals, student teaching, field work, and study away – often referred to collectively as “High Impact Practices” – is an institutional emphasis. Worcester State offers these throughout the curriculum. Some majors require them, such as Nursing and Education, while they are strongly encouraged in many others. The term “internships” often is used to refer to any work-based experience that can be tied to the professional aspirations of a student, though Worcester State requires approval before they can be used to earn academic credit.

For the 2019-2020 academic year, one in five Worcester State students (approximately 1,000) have enrolled in various internships and experiential activities. (This figure does not capture those involved in Study Away.) Different data show that in the 2019 calendar year, approximately 340 credit-bearing internships and field work experiences (not counting clinicals and practica) were offered to students; spring tends to be the most popular time for internships, with 198 (approximately 7%) student undergraduate participants. Anecdotally we know that many students have non-credit-bearing internships, like student Olivia Pettrucci, referenced above.

Internships only sometimes are compensated, and Worcester State benefits from a state-funded matching internship incentive program. Annually, the University has received approximately \$115,000 in matching funds to support Massachusetts students in internship programs. Since the inception of this program, the value of these matched dollars is approaching \$675,000 and likely will be about \$750,000 by the end of the current fiscal year.



Academic Affairs

Worcester State is proposing three new undergraduate degree programs, Theater, Art, and Political Science. Each proposal represents exciting opportunities for our undergraduate students and represents the work of the academic department faculty and the Curriculum and All University Committees' approval.

As a result of two years of effort on the part of faculty, staff, and multiple divisions of the University, Worcester State will launch its first wholly online graduate degree programs in Education late this month. As of this writing, the program has 22 initial applicants. In association with Academic Partnerships, Inc., we have been pleased with the national advertising that has supported this launch.

This March, two comprehensive proposals will be submitted to academic governance to establish the curricular foundation for the Roadmap for Advancing Student Excellence (the RASE Plan). The Major+ proposal details the requirement that all full-time, first-time students must declare a major with a minor or a double major of their own choosing and complete both for graduation. The LASC proposal introduces greater flexibility to the University's general education curriculum to enable students the opportunity to pursue multiple academic courses of study. Both of these proposals have received significant feedback from the University community and represent a strong commitment to stabilizing undergraduate enrollment and extending opportunities to underrepresented populations. The goal is for the RASE Plan to be in place for the Fall 2021 semester.



Administration & Finance

Diversity, Inclusion, Human Resources, and Equal Opportunity

Worcester State University launched a community-wide response to antisemitism on campus with a program that featured national, regional, and local experts, as well as two rabbis and members from three local Jewish congregations. This initiative has resulted in the establishment of a new Jewish Student Club and the development of a campus-wide anti-bias event.

The Campus Climate Committee is completing the first round of student, faculty, and staff surveys and focus groups. These data, as well as data from other surveys (including the interdisciplinary studies survey and the strategic planning committee surveys) also will be considered when updating the campus climate implementation strategy.

On May 28, 2020, Worcester State University's Office of Human Resources and our local chapter of AFSCME are planning the first ever full-day professional development for all classified staff. This day will include workshops and sessions ranging from benefits, cultural humility, and workplace safety, to technical and soft-skill development. Whenever possible, an effort will be made to reassign second and third shift AFSCME employees to the first shift so that they may participate.



Enrollment Management

Work continues on implementing the Roadmap for Advancing Student Excellence (the RASE Plan), which was the result of a cross-divisional group's work on the positioning study in Summer 2019. To date, several draft proposals for the RASE Plan focusing on student support, first generation students, and campus life have been created and are being finalized. Complete proposals will be submitted to the President's Cabinet's Innovation Subcommittee for final consideration this Spring 2020 semester.

The University enrolled 243 new students for Spring 2020, eight fewer than Spring 2019, and very close to our new student enrollment goal of 250. These 243 new students include 31 first-time students, 186 transfer students, 39 on-campus residents, 204 commuting students, 15 out-of-state students, and 228 Massachusetts residents.

The University will host Congratulations Day for newly admitted Fall 2020 students on Saturday, April 4th, in the Wellness Center, beginning at 9 a.m. The event will include academic break-out sessions, campus tours, residence hall tours, academic and student organization fairs, and more. This is a critical event for realizing the University's target goals for the Fall 2020 semester.



Student Affairs

To better address the needs of a more diverse student body, Worcester State became a JED certified campus. **JED Campus** is a program sponsored by the Jed Foundation, which is a nonprofit that protects emotional health and prevents suicide for teens and young adults. Initial work focused on establishing a baseline assessment of the emotional well-being and substance use issues of undergraduate and graduate students. This spring, Student Affairs' partnership with Marketing and Enrollment Management will promote emotional health, suicide prevention and substance misuse support to prospective students and their families.

The Office of Student Involvement and Leadership Development will have hosted (March 6) Worcester State's inaugural Leadership Symposium. Designed as a one-day leadership event, the Symposium is an opportunity for students to learn about the different facets of leadership from staff, faculty, and alumni. This program is designed as an anchor to the newly developed three-part Circles of Leadership program. See <https://lead.worcester.edu/circles-of-leadership> for additional details.

This semester saw the official opening of the LGBTQ+ Resource Room as part of the University's ongoing efforts to create a campus environment in which all members of the University feel welcomed and included. This space was designed at the request of students as a place on campus to promote a safe environment for the LGBTQ+ community. Read more here: <https://news.worcester.edu/lgbtq-resource-center-opens-in-student-center/>.



University Advancement

As of January 30, 2020, \$2,040,001 in cash and pledges has been raised towards the FY 2020 goal of \$3.5 million. Significant gifts since the BOT report in January include:

- \$100,000 Pledge from John Esler of Esler Companies to provide funding for the Center for Entrepreneurial Studies;
- \$100,000 anonymous gift to the Worcester State Foundation;
- \$25,000 pledge from Dr. Elizabeth Wark to form a second scholarship;
- \$9,000 gift from John '74 and Alice '76 Riordan to their scholarship fund;
- \$4,000 pledge from Stephen '77 and Diane '79 Bostic to the Corrine Bostic Memorial Scholarship Fund;
- \$1,125 from Kevin '73 and Kathleen '73 Campbell to purchase three seats as part of the "Name a Seat" Campaign;
- \$1,000 from Marguerite St. Amand '73 to the Ronald F. St. Amand Biology Scholarship; and
- \$1,000 gift from Janice Sohlman '60 to the Adopt a Scholar fund.

Key Campus Events/Activities Planned for Spring Semester 2020

- **4th Annual Backpack to Briefcase: Professional Advice for Life after WSU** series takes place from Monday, February 24, to Friday, March 5. A partnership with the student club Enactus, this series showcases our outstanding alumni through a variety of workshop presentations, providing students with real-life skills to assist in their success at Worcester State and beyond. Highlights of the week include sessions on dining etiquette, developing an elevator speech, social media dos and don'ts, a panel of Worcester State alumni who pursue careers in medical fields such as MDs, VMD, and PharmD, and internship search tips. The concluding signature event, **Dinner with Strangers Student Alumni Networking Dinner**, will gather together alumni and students for a special dinner and the opportunity to meet alumni from a variety of professions. All events during the **4th Annual Backpack to Briefcase** are free and open to all WSU students. For the complete schedule of events, visit: <https://alumni.worcester.edu/b2b20>.
- The **Lancers Across the Nation** regional alumni events series continues to grow and reach more alumni outside of Massachusetts, with Spring 2020 efforts focusing on the expansion of Florida regional events. President Maloney joined or will join Advancement staff at events in Naples (took place February 24), Boca Raton (March 12) and Orlando (March 19). Each of the Florida events is graciously sponsored by donors of the University: Gene and Julianne DeFeudis (Naples); Dr. GB and Alexandria '85 Singh (Boca Raton); and Gregg '86 and Pamela '87 Rosen (Orlando).

- The **2020 March Days of Giving**, branded as **Chandler's Challenge**, will take place on Monday, March 9, and Tuesday, March 10, with an awards ceremony on Wednesday, March 11. In this crowdfunding event, official student clubs, academic departments and centers, and athletic teams go head-to-head in a bracketed-style competition to see who can get the most donors to support their cause. Teams advance to the next round by raising more gifts per team members than their competition, with the chance to win up to an additional \$2,500 in donated prize money. There are 33 teams registered to participate in the challenge, including 15 student clubs, two academic departments, and all of the Worcester State athletic teams. For more information on Chandler's Challenge, visit: <https://www.worcester.edu/chandlers-challenge/>.

Accolades and Celebrating Philanthropy

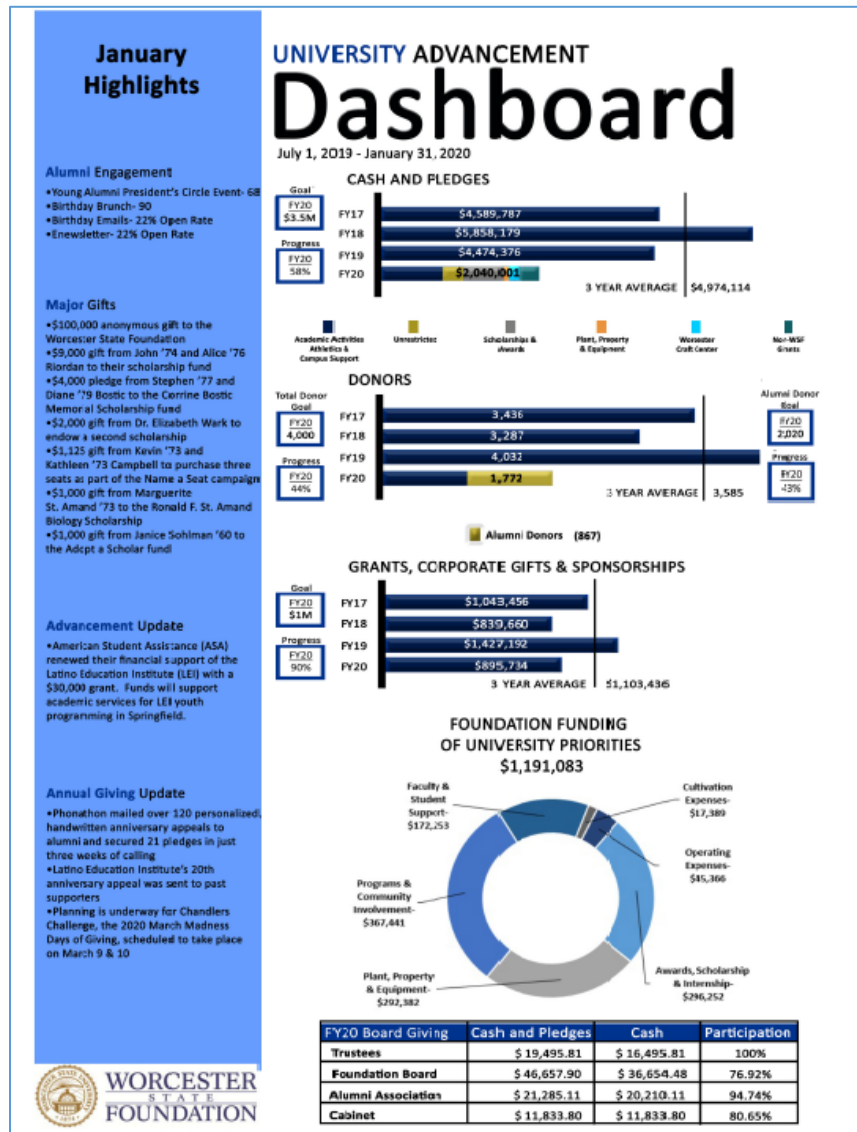
- **Innovative Fundraising Event Recognized by CASE**
March Madness, the 2019 Days of Giving fundraising event, received a bronze award from the Council for the Advancement and Support of Education (CASE) in the 2020 District I Excellence Awards competition. Worcester State will be recognized at a luncheon celebrating all winners on Thursday, March 12, in conjunction with the CASE District I Annual Conference. Also winning awards in the Special Events category were Dartmouth College (gold and silver), MIT (silver), and the University of Connecticut (silver).
- On February 11, 2020, the Division of University Advancement held a surprise "pop up" celebration to thank John Esler, President & CEO of Esler Companies, for his \$100,000 gift in support of the Center for Entrepreneurial Studies – complete with a presentation of balloons, flowers, and cupcakes – at the Introduction to Entrepreneurship class, where Mr. Esler was guest lecturing.



Data and Reports

University Advancement's January 2020 Dashboard

([click here to download](#))



University Advancement's Update
([click here to download](#))

University Advancement – January 2020 Board of Trustees Update

At the conclusion of the Fall 2019 semester the Division of University Advancement has many accomplishments to report. They include:

Fundraising:

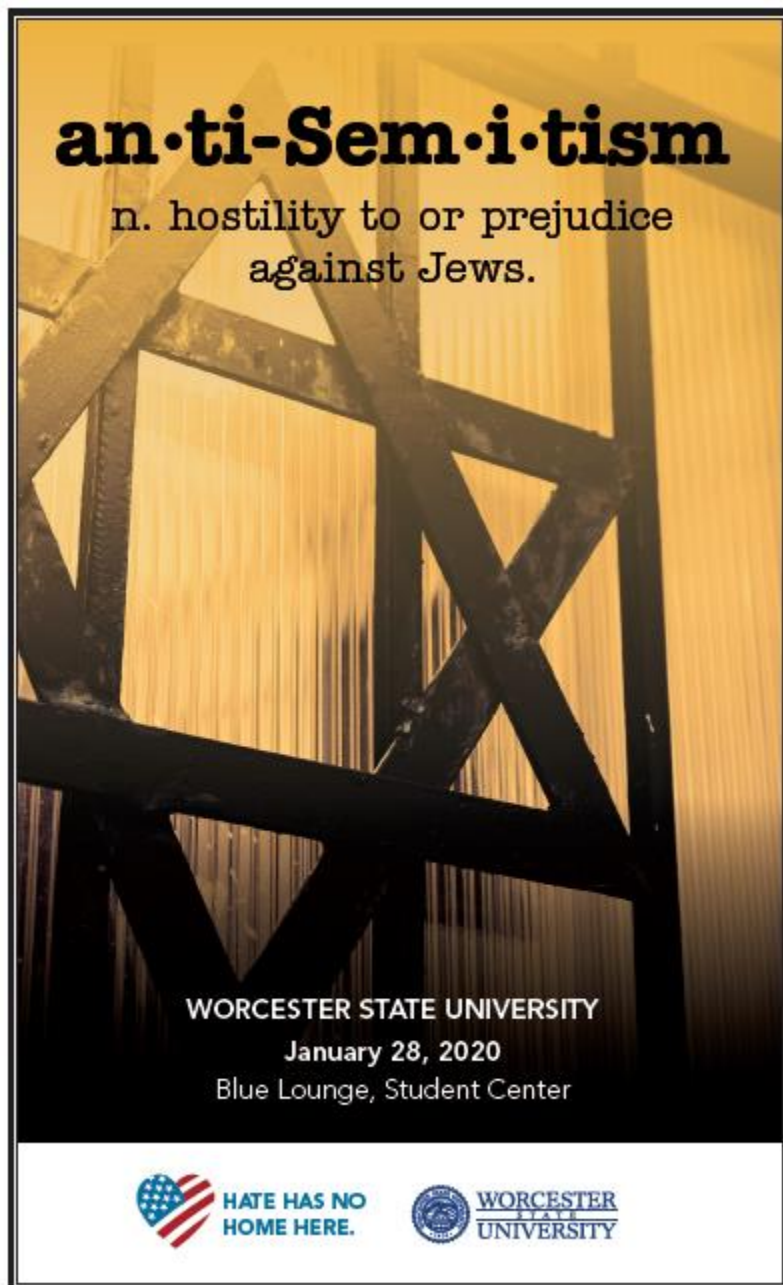
As of November 30th, University Advancement has raised \$1.2 in cash and pledges and is 37% to the goal of \$3.5 million in fundraising for FY 20. In addition, we have 1203 total donors of which 567 are alumni donors towards the goal of 4000 for FY20. We anticipate December will be a strong month of fundraising as many donors make their gift before the end of the calendar year.

Significant gifts to date include:

- Reliant Foundation awarded a grant of \$18,225 in support of the new Addictions Counseling Interdisciplinary Minor and Certificate programs. This support underwrites one-time capacity-building needs for the acquisition of new clinical journals and academic resources, marketing & outreach, and pilot program support.
- Santander Bank, N.A. awarded a \$25,000 grant to support scholarships for students studying Business Administration and Entrepreneurial Studies. Partial funding will underwrite the *Santander Venture Fund* to help students move their new business projects from concept to prototype. The *Santander Scholars* program will provide assistance for Business Administration students with demonstrated financial need. Both programs will award at least 50% of scholarships to first-generation students and first preference will go to applicants who have taken Introduction to Entrepreneurship.
- DCU renewed their financial support through a sponsorship of \$60,000 to further campus

Anti-Semitism Program

([click here to download](#))





WORCESTER STATE UNIVERSITY

President's Office
Phone: 508-929-8020
Fax: 508-929-8191
Email: bmaloney@worchester.edu

TO: Members, WSU Board of Trustees
FROM: Barry M. Maloney, President
RE: 2020 Commencement Speaker/Honorary Degree
DATE: February 24, 2020

I am forwarding to you my recommendation for Billy Starr to serve as our Commencement Speaker, and seek approval to award him an honorary degree. Mr. Starr's speaker nomination was vetted through the Speaker/Awards Committee and approved by the All-University Committee.

Billy Starr founded and leads the Pan-Mass Challenge, the most successful athletic fundraising event in the world. Since 1980, the PMC, a 190-mile bike-a-thon, has contributed \$414 million to cancer research. By 1984, the PMC had established itself as the largest-grossing fundraising event for the Jimmy Fund, New England's most popular charity. In 1993, the Jimmy Fund honored Starr and the PMC at Fenway Park by awarding him the Tom & Jean Yawkey Memorial Award for outstanding service. In 1997, the bridge connecting the Jimmy Fund Clinic to the new Smith Research Labs and Dana-Farber Cancer Institute was named the Pan-Massachusetts Challenge Bridge to Progress. In 1998, Starr was the speaker at Babson College's graduate commencement and received an honorary degree for "entrepreneurial vision and leadership."

In 2004, Starr was featured in a documentary about entrepreneurs titled Lemonade Stories, along with corporate moguls Richard Branson, Russell Simmons, and Arthur Blank. That same year, Dana-Farber awarded Starr the Sidney Farber Medical Research Award, a prestigious honor given to those who have made an exceptional contribution to reduce the burden of cancer on society. In October 2006, the National Lung Cancer Alliance presented Starr with its Lifetime Achievement Award. The Friends of Dana-Farber honored Starr in 2010 for his more than 30 years of support and service to the Institute.

Before starting the PMC, Starr was a reporter for newspapers in Massachusetts and Colorado, worked in public relations, and was the squash coach at Babson College. He received his B.A. from the University of Denver in 1973, a Masters in Education from Northeastern University in 1978. He has also received an honorary Doctorate of Laws from Babson College in 1998 and an honorary degree from Bay Path College in 2008 and Salem State University in 2014.

I ask that you act favorably upon my recommendation to approve Billy Starr as a recipient of an Honorary Degree at the March 10, 2020, meeting of the Board of Trustees.

Attachment: 1

Pool for Commencement Speakers and Award Recipients

Updated 2/2020

If a person was chosen for what they were nominated for (award or CS) they do not appear on this list.

Chimananda Ngozi Adichie, CS, HD

is a Nigerian novelist, nonfiction writer and short story writer. She has been called “the most prominent” of a “procession of critically acclaimed young Anglophone authors that is succeeding in attracting a new generation of readers to African literature.” Adichie spoke on “the Danger of a Single Story” for TED in 2009. In 2012, she delivered the “Connecting Cultures” Commonwealth Lecture in London. Adichie also spoke on being a feminist for TEDxEuston in December 2012, with her speech entitled, “we should all be feminists”. This speech was sampled for the 2013 song “***Flawless” by Beyonce. She was awarded the Orange Broadband Prize for Fiction and a MacArthur Award Fellowship in 2007 and 2008, respectively.

Wendy and Rich Ardizzone, HD

The Joy of Music Program recently celebrated their 25th anniversary of providing music lessons, concerts and outreach work for the community of Worcester, and this couple, Director/founder and Associate Director (respectively) have worked tirelessly to build their non-profit school and spread the gospel of music with an energy and devotion that has changed the lives of multitudes of young and old alike.

Beah, Ishmael, CS

Author of well-known book, A Long Way Gone; Memoirs of Boy Soldier.

The book describes his journey in Sierra Leone throughout the war due to the blood diamond controversy. His childhood was taken away because of a completely unjust war and he was forced into combat.

Campbell, Kevin, CS

a WSU Alumnus and a 2010 recipient of a Worcester State College Honorary Doctoral Degree, is the current commander of the U.S. Army Space and Missile Defense Command. His military education includes the Air Defense Artillery Officer Basic and Advanced Courses, the Nike-Hercules Officer Course, Ranger and Airborne Schools, the Army Command and General Staff College, and the Naval War College. General Campbell's decorations and awards include the Legion of Merit, Bronze Star, Defense Meritorious Service Medal, Meritorious Service Medal, Army Commendation Medal, Army Achievement Medal, Southwest Asia Service Medal, Kuwait Liberation Medal (Saudi Arabia), Kuwait Liberation Medal (Kuwait) Ranger Tab, and Parachutist Badge.

Dr. Gail Carberry, HD

Recently retired from the Presidency of Quinsigamond Community College and holds a Certificate in Small Business Management from Springfield Technical Community College, a B.S. from Worcester State University and a Master's and Doctorate degrees from the University of Massachusetts at Amherst, specializing in organizational development, strategic

planning and staff development. She currently serves on numerous local, State and national Boards including the Massachusetts Clean Energy Center, Latino Education Institute, Bay Path Regional/Vocational High School Foundation, National Association for Community College Entrepreneurship, Worcester Educational Collaborative, Boys & Girls Club of Worcester, Central Mass Workforce Investment Board, Greater Worcester Community Foundation, Worcester Business Development Corporation and the Massachusetts Biomedical Initiatives. She co-chairs the Mayor's Commission for Hispanic Education Excellence and chairs the Early Education Matters Task Force.

Steve Carrell, CS

Comedian and actor from Concord, MA. Starred in movies, "Dan in Real Life" and "Evan Almighty." His television hit is "The Office."

Avram Noam Chomsky, CS

is an American linguist, philosopher, cognitive scientist, historian, social critic, and political activist. Sometimes described as "the father of modern linguistics," Chomsky is also a major figure in analytic philosophy and one of the founders of the field of cognitive science. Considered the founder of modern linguistics, Noam Chomsky is one of the most cited scholars in modern history. Among his groundbreaking books are "Syntactic Structures", "Language and Mind," "Aspects of the Theory of Syntax," and "The Minimalist Program," each of which has made distinct contributions to the development of the field. He has received numerous awards, including the Kyoto Prize in Basic Sciences, the Helmholtz Medal and the Ben Franklin Medal in Computer and Cognitive Science.

Martha Coakley, CS, HD

a former Attorney General of Massachusetts.

Prior to serving as Attorney General, she was District Attorney of Middlesex County from 1999 to 2007. Coakley was the Democratic nominee in the 2010 special election to fill the United States Senate seat long held by Ted Kennedy. She won reelection as the Attorney General in the 2010 general election. Coakley was the Democratic nominee for Governor in 2014.

Mary DeFeudis, CS , HD

was born in Worcester and lived in Worcester for most her life. She serves as the Chairman of the Board of Directors for the University of Massachusetts Memorial Foundation and serves on the Board of Directors of the American Red Cross of Central Massachusetts and the Board of Directors for Becker College. A Founding Member of the Hanover Theatre, she also serves on their Board of Directors. She was named the 2010 Isaiah Thomas Award recipient in recognition of the many and varied outstanding contributions she has made to the Central Massachusetts community. She funded the Mary C. DeFeudis Training Center for the Red Cross, located in Leominster, which offers training programs such as CPR, babysitting certifications and nurse assistant training.

Daniel Garvey, CS

Earned a BA from WSU majoring in Sociology. Twelfth President of Prescott College. He was a faculty member at the University of New Hampshire and had a 25-year career as an administrator and educator focused on education reform and improvement.

Anand Giridharadas, CS, HD

is an author and columnist, writing about a world in transition as seen through the lens of culture. He writes the "Currents" column for The New York Times and its global edition, the International Herald Tribune, and also writes for The New York Times Magazine. His "Admit One" column, which is dedicated to the New York City arts audience, appears regularly in the Weekend Arts section of The New York Times. He is the author of *India Calling: An Intimate Portrait of a Nation's Remaking*, about returning to the India his parents left. Mr. Giridharadas visited Worcester State in February 2015 as a keynote speaker. He inspired students, faculty, and administrators alike. He was described by one faculty member as an "articulate, engaging intellectual on the rise."

Green, Ronald Michael, CS

Ronald Michael Green was Professor of Religion and the Eunice and Julian Cohen Professor for the Study of Ethics and Human Values at Dartmouth College. He is a member of the Department of Religion and the Department of Community and Family Medicine at Dartmouth's Geisel School of Medicine, and he served from 1992-2011 as Director of Dartmouth's Institute for the Study of Applied and Professional Ethics. A summa cum laude graduate of Brown University, he received his Ph.D. in religious ethics from Harvard University in 1972. In 1996 and 1997, Professor Green was the founding director of the Office of Genome Ethics at the National Human Genome Research Institute of the National Institutes of Health. Professor Green's research interests are in genetic ethics, biomedical ethics, and ethics in organizations. Health. Professor Green's research interests are in genetic ethics, biomedical ethics, and ethics in organizations. He is the author of nine books, editor of four, and author of more than 170 articles in theoretical and applied ethics. His three most recent books are *Babies by Design: The Ethics of Genetic Choice* (Yale University Press in 2007), *Kant and Kierkegaard on Time and Eternity* (Mercer University Press, 2011), and *Suffering and Bioethics* (co-edited with Nathan Palant, Oxford University Press 2014).

Lani Guinier, CS and HD

Bennett Boskey Professor of Law at Harvard Law School.

Research interests include access to higher education, critical perspectives on race, class, and gender, law and social change, responsibilities of public lawyers, etc. The focus of her work is in keeping with WSU's interest in broadening the diversity perspectives of our students. One of her areas of expertise is Access to Higher Education. Another area of expertise is voting Rights and Democratic Theory. Inspirational speaker.

Donald Hall, CS and HD

Poet Laureate for the Library of Congress. Besides numerous awards for his poetry, including nomination for the Pulitzer, he has received several fellowships. He is an engaging speaker, a highly honored artist and visited WSU in the 70s.

Thomas W Halloran, CS

President of Voya Financial Advisors, Inc. (VFA), a registered broker-dealer business. The Voya broker-dealer, offers retail financial products, services and support to clients through a network of over 2,200 affiliated representatives across the country. An industry veteran, he has over 28 years of experience with financial advisors in various marketing, product and sales leadership roles. Received a B.S. in business administration from Worcester State University in 1988 and an M.B.A. from Boston University in 2000. Tom was formerly a member of the Worcester State Foundation Board from 2000-2007.

Maura T. Healey, CS

is an American attorney, a member of the Democratic Party and the Attorney General of Massachusetts. Born in New Hampshire, Healey graduated from Harvard College in 1992. She then spent two years playing professional basketball in Austria before returning to the United States and receiving a Juris Doctor degree from the Northeastern University School of Law, in 1998. After clerking for federal judge A. David Mazzone, she worked in private practice for seven years, also serving as a special assistant district attorney in Middlesex County. Hired by Massachusetts Attorney General Martha Coakley in 2007, Healey served as Chief of the Civil Rights Division, where she spearheaded the state's challenge to the federal Defense of Marriage Act. She was then appointed Chief of the Public Protection & Advocacy Bureau and then Chief of the Business and Labor Bureau before resigning in 2013 to run for attorney general in the 2014 election as Coakley ran for Governor. She defeated former State Senator Warren Tolman in the Democratic primary and then defeated Republican attorney John Miller in the general election, thus becoming the first openly gay state attorney general elected in America

Hickman, Homer, CS

American author, Vietnam Veteran and former NASA engineer. His most famous book, *Rocket Boys*, is about his growing up in Coalwood, WV. The popular film, *October Sky* was based on the book and his life.

Roald Hoffmann, CS

was born in 1937 in Zloczow, Poland. Having survived the war, he came to the U. S. in 1949, and studied chemistry at Columbia and Harvard Universities (Ph.D. 1962). Since 1965 he is at Cornell University, now as the Frank H. T. Rhodes Professor of Humane Letters Emeritus. He has received many of the honors of his profession, including the 1981 Nobel Prize in Chemistry (shared with Kenichi Fukui). Notable at the same time is his reaching out to the general public; he participated, for example, in the production of a television course in introductory chemistry titled "The World of Chemistry," shown widely since 1990. And, as a writer, Hoffmann has carved out a land between science, poetry, and philosophy, through many essays and three books, "Chemistry Imagined" with artist Vivian Torrence, "The Same and Not the Same and Old Wine" (translated into six languages), "New Flasks: Reflections on Science and Jewish Tradition," with Shira Leibowitz Schmidt. Unadvertised, a monthly cabaret Roald runs at the

Cornelia Street Cafe in Greenwich Village, "Entertaining Science," has become the hot cheap ticket in NYC.

John Krasinski, CS

A 2001 graduate from Brown University. A native of Brighton, MA. A main character in the TV series, "The Office."

Leary, Dennis, CS or CSA

Native son – started the Leary Firefighters Foundation to support the City of Worcester Fire Department (as well as others) with money and equipment. Graduate of Emerson College and taught at the college for five years. Has had several articles in magazine and worked at stand-up comedy. He has starred in several movies and is active in raising funds for various causes.

Ling, Laura, CS

Laura Ling is an American journalist and writer. She worked for Current TV as a correspondent and vice president of its Vanguard Journalist Unit, which produced the Vanguard TV series. She was the host and reporter of E! Investigates, a documentary series on the E! Network. In November 2014, Ling joined Discovery Digital Networks as its Director of Development. Laura Ling is the sister of Lisa Ling, who is a special correspondent for The Oprah Winfrey Show, National Geographic Explorer, and CNN. Laura Ling, and fellow journalist Euna Lee were detained in North Korea after they illegally crossed into North Korea from the People's Republic of China without a visa. They were tried and convicted, then subsequently pardoned after former U.S. President Bill Clinton flew to North Korea to meet with Kim Jong-il.

Lundberg, Jan Christian, HD

For more than 28 years, Jan has been an advocate for the adoption of a sustainable lifestyle. His earlier background as an oil industry analyst led him to an appreciation of the dangers of peak oil and the overuse of fossil fuels. Jan has also been a tireless opponent of the "plastic plague," and has attempted to heighten public awareness of the dangers posed to the ecosystem by overuse of plastics. Jan was an early proponent of alternative energy systems and has pioneered the Pedal Power Produce, the Alliance for a Paving Moratorium, and the Sail Transport Network. Jan also founded Culture Change, which maintains a website where articles and essays of interest are freely available to those concerned with the future of the ecosystem. He has published numerous articles and has been a featured speaker at conferences and has been interviewed by all forms of the media. Requested additional information.

Maddox '82, Dr. Debra CSA

Alumna with a long record of community service, academic accomplishments, and is President of Multicultural Wellness Center. She is a licensed mental health counselor in the Commonwealth of Massachusetts and is also a licensed marriage and family therapist, a licensed rehabilitation counselor, a certified school psychologist and a nationally certified

rehabilitation counselor. She received a B.A. in Psychology from WSU, a M.A. in Rehabilitation Counseling from Assumption College and a Psychology Doctorate from Antioch New England Graduate School. Dr. Maddox has been employed in a wide range of mental health and human services settings. She has worked in social, judicial, education and mental health clinical settings. She worked for Department of Children and Families, conducting investigations of abuse and neglect, with an emphasis on children who were sexually abused. Within the judicial system, she worked as a probation officer and also worked as an independent court investigator for the Massachusetts Trial Court, Juvenile Division. Dr. Maddox has taught undergraduate and graduate level courses and supervised the clinical work of graduate students as a part-time faculty member at QCC and Assumption. She has clinical interest in race, and culture and the impact of culture on adjustment and acculturation.

Devin McCourty CSA

James McGovern, CS

Congressman for the Third Congressional District representing people from Central and Southeastern Massachusetts. He has been a passionate advocate for human rights around the world and is a strong support of education at all levels.

Dominique Morisseau CS

is a dynamic, successful playwright and poet, and a fierce champion of social and racial justice. She is a 2018 MacArthur Fellow ("Genius Grant").

Dominique received a B.F.A. (2000) from the University of Michigan at Ann Arbor. She is currently a Residency Five Playwright at the Signature Theatre. She has had work commissioned by the Steppenwolf Theatre, the Hip Hop Theater Festival, the South Coast Repertory, and the Oregon Shakespeare Festival; and her work has been staged at the Public Theater, the Williamstown Theatre Festival, and the Atlantic Theater Company.

Moylan, Robert, CSA

Should be recognized for his leadership as the Commissioner of the Department of Public Works and Parks for the City of Worcester. He is considered, by his peers, to be one of the top 10 public works leaders in the nation. Although his accomplishments are numerous, it should be noted that he instituted the recycling program long before "sustainability" was popular. Recently, WSU benefitted from how quickly, and efficiently, the recent crisis involving the water main break was resolved. He is an excellent example of a leader who maintains high standards for his Department which benefits all residents of Worcester.

Conan O'Brien, CS

Conan O'Brien was born in Brookline, MA and is most famous for his late night show. He has won 2 primetime Emmy awards. Former writer for "Saturday Night Live" and worked on the "The Simpsons." Graduate of Harvard.

Congressman Richard E. Neal, HD

Congressman Richard E. Neal represents the First Congregational District of Massachusetts in the United States Congress. Richard Neal was born in Worcester, Massachusetts on February 14, 1949 and was raised and educated in the City of Springfield. He is a 1972 graduate of American International College, where he received his Bachelor's Degree in Political Science and was a member of the National Honor Society. He received his Master's Degree in Public Administration from the Barney School of Business and Public Administration at the University of Hartford in 1976.

Parker Palmer, CS

Writer, teacher and activist known for his work in education, spirituality and social change in institutions including schools, community organizations, primary, secondary and higher education, and business and corporations. His writing earned him numerous awards and citations. His work, *The Courage to Teach*, has provided a touchstone of renewal for thousands of educators at all levels. He is a native of Chicago and a graduate of Carleton College and University of California at Berkeley.

Steven Michael Palermo, CS, CSA

is a former umpire in Major League Baseball who worked in the American League from 1977 to 1991. Although he attended WSU, he did not finish, as he left to attend the Umpire Development Program. His career includes the 1982 World Series, three American League Championship Series, the 1981 American League Division Series and the 1986 All-Star Game. In 1991, *The Sporting News*, ranked him "Number 1" among American League umpires for overall performance. In 1978 he was serving as the third base umpire that signaled "fair Ball" for the game-winning home run of the Yankees-Red Sox Eastern Division final. His field career ended when he was shot in the back following his intervention in an altercation outside a Dallas Italian restaurant. He wore uniform number 14 when the American League began using uniform numbers for its umpires in 1980, and the number was never reassigned to another AL umpire until after the AL and NL umpire staffs were unified by MLB in 2000. In 1994, he won the Arthur Ashe Courage Award. In 2003, he began serving as the Honorary Chairman of Assurant Employee Benefits' Will Return Council. The Council annually presents the Shining Star of Perseverance Award to individuals who overcome disabilities. He currently serves as a major league supervisor of umpires and works as a motivational speaker.

Deval Patrick, CS

The Honorable Deval Patrick was first elected Governor of Massachusetts in November of 2006. He came from Chicago at the age of 14 and attended Milton academy. He spent a postgraduate year working on a United Nations youth training project in the Darfur region of Sudan. He attended Harvard Law School in the fall of 1979 where he led the Legal Aid Bureau, the nation's oldest student-run legal services organizations. He served as a law clerk to a federal appellate judge before joining the NAACP Legal Defense and Education Fund. He joined the Boston Law firm of Hill & Barlow and was named partner in 1990. In 1994, President Clinton appointed him Assistant Attorney General for Civil Rights, the nation's top civil rights post. He returned to private practice in 1997 with the Boston firm of Day, Berry & Howard. In 2001, he joined the Coca-Cola Company as Executive Vice President and

General Counsel. He was later elected to the role of Corporate Executive Vice President and General Counsel. He was later elected to the role of Corporate Secretary and served as part of the company's senior leadership team as a member of the Executive Committee. Governor Patrick has been the speaker at several of our sister institutions.

Sasha Pfeiffer CS, CSA

Steven Arthur Pinker, CS

is a cognitive psychologist, linguist, and popular science author. He is Johnstone Family Professor in the Department of Psychology at Harvard University, and is known for his advocacy of evolutionary psychology and the computational theory of mind. Pinker's research on vision, language, and social relations has won prizes from the National Academy of Sciences, the Royal Institution of Great Britain, the Cognitive Neuroscience Society, the American Psychological Association, and the Association for Psychological Science. He has also received eight honorary doctorates, several teaching awards at MIT and Harvard, and numerous prizes for his books *The Language Instinct*, *How the Mind Works*, *The Blank Slate*, *The Better Angels of Our Nature*, and *The Sense of Style*. He is Chair of the Usage Panel of the American Heritage Dictionary, and often writes for *The New York Times*, *Time*, and other publications. He has been named Humanist of the Year, *Foreign Policy's* "100 Global Thinkers," and *Time* magazine's "100 Most Influential People in the World Today." Prof. Pinker is currently doing research on a diverse array of topics in psychology, including the role of common knowledge (where two or more people know that the others know what they know) in language and other social phenomena; historical and recent trends in violence and their explanation; the psycholinguistics of good writing; the nature of the critical period for acquiring language; the neurobiology and genetics of language; and the nature of regular and irregular phenomena in grammar.

Amy Poehler, CS

Born and raised in Massachusetts, she graduated from Burlington High School where her mother was a teacher. She went on to Boston College and discovered the art of improvisation. She was part of a group known as the Upright Citizens Brigade which were four special agents and was a Monty Python type of sketch comedy. They started their own theater in New York City and taught classes as well covering both improv and sketch writing. She went on to star in several shows including *Blades of Glory*, *On Broadway*, *Spring Break down* and *Shrek the Third*.

James Polito, CS

An alum of WSU has gone far with his Communication degree. He covered stories such as the disappearance of Molly Bish and September 11. He currently works at WTAG where he is known for his wit and humor encouraging people to voice their opinions.

Alisan Porter, CS

Born to Jewish parents in Worcester, Massachusetts, she is the great-granddaughter of prominent Worcester Rabbi Joseph Klein. Her grandmother ran the

Charlotte Klein Dance Center and her father, Ric Porter, was co-founder, lead singer, and songwriter of the Worcester-based band Zonkaraz. She has been singing and performing since age three and at age five, she became the youngest Star Search participant ever to win the competition. She acted in several films as a child and became known for playing the title role in the 1991 movie Curly Sue opposite Jim Belushi. She has openly discussed her battles with alcoholism and drug addiction and has been sober since October of 2007. Alisan sang the National Anthem at the 2016 A Capitol Fourth special at the U.S. Capitol West Lawn and also sang the anthem prior to the nationally televised Sunday Night Football game in Oakland, California in November of 2016. On May 24, 2016 she was crowned the season 10 winner of The Voice.

Matthew Quick, CS

Acclaimed author of, "Silver Lining Playbook: as well as two other books currently in print and soon to be released, "Forgive me, Leonard Peacock." Award winning writer known for writing stories with a powerful message. Work has been translated into more than twenty languages. Native of Holden, Massachusetts.

JP Ricciardi, HD

A graduate of WSU and former baseball coach with the 1983 NCAA Baseball Team. Former general manager of the Toronto Blue Jays.

Navyn Salem, CS CSA

is the founder of Edesia. Edesia is a unique non-profit organization that manufactures specialized ready-to-use foods (RUFs) that change lives. Each year millions of "miracle packets" leave Edesia's Rhode Island factory and are delivered into the hands of malnourished children all over the world by humanitarian aid workers working in the hardest-to-reach and most inhospitable places on the planet.

Ilyasah Shabazz, CS

Third daughter of Malcom X and Betty Shabazz. She is an author, most notably of a memoir, Growing Up X, a community organizer, social activist and motivational speaker. She was two years old and present with her mother and sisters at the assassination of her father. She says she has no memory of the event and to learn about her father, she read his autobiography as a college student, and enrolled in a class to learn more. She is a graduate of the State University of New York at New Paltz and received a master's degree in Education and Human Resource Development from Fordham University.

Sharon Shipley '74, CSA

Alumna with a career in industry and a record of charity work.

Worked for Unilever for most of her career in the military section. She was instrumental in developing programs to enhance the quality of life for military families through promotions that funded scholarships for military children through the Fisher House Foundation and collaborated with Unilever's laundry team to build or refurbish 20 ball fields on military installations. She refers to WSU as the most amazing place and encouraged her two nieces to

attend. She is an avid donor.

Andrew Solomon, CS

A writer on politics, culture and psychology who recently published the book, *Far From the Tree*, a study of the lives of parents whose children have differing abilities. He lives in New York and London. He has written for *The New York Times*, *The New Yorker*, *Artforum*, *Travel and Leisure*, and other publications on a range of subjects. His book, *The Noonday Demon: An Atlas of Depression* won the 2001 National Book Award, and was a finalist for the 2002 Pulitzer Prize. He is a brilliant speaker and inspiring individual.

Billy Starr, CS

founded and leads the Pan-Mass Challenge, the most successful athletic fundraising event in the world. Since 1980, the PMC, a 190-mile bike-a-thon, has contributed \$414 million to cancer research. By 1984, the PMC had established itself as the largest grossing fundraising event for the Jimmy Fund, New England's most popular charity. By 1990, the PMC had become the most successful cycling fundraiser in the world. Today, the PMC raises two to three times more money for charity than any other athletic event in the world. The PMC is Dana-Farber's single largest contributor. In 1993, the Jimmy Fund honored Starr and the PMC at Fenway Park by awarding him the Tom & Jean Yawkey Memorial Award for outstanding service. In 1997, the bridge connecting the Jimmy Fund Clinic to the new Smith Research Labs and Dana-Farber Cancer Institute was named the Pan-Massachusetts Challenge Bridge to Progress. In 1998, Starr was the speaker at Babson College's graduate commencement and received an honorary degree for "entrepreneurial vision and leadership." In 2004, Starr was featured in a documentary about entrepreneurs entitled *Lemonade Stories*, along with corporate moguls Richard Branson, Russell Simmons and Arthur Blank. This same year, Dana-Farber awarded Starr the Sidney Farber Medical Research Award, a very prestigious honor given to those who have made an exceptional contribution to reduce the burden of cancer on society. In October 2006, the National Lung Cancer Alliance presented Starr with its Lifetime Achievement Award. The Friends of Dana-Farber honored Starr in 2010 for his more than 30 years of support and service to the Institute. Before starting the PMC, he was a reporter for newspapers in Massachusetts and Colorado, worked in public relations, and was the squash coach at Babson College. He received his BA from the University of Denver in 1973, a Masters in Education from Northeastern University in 1978, an honorary Doctorate of Laws from Babson College in 1998, and an honorary degree from Bay Path College in 2008.

Albert Toney, CS, CSA

Albert Toney III, an alumnus of WSU, is a civil rights activist who retired from the Worcester Massachusetts Police Department after being shot in the line of duty. He was born and raised in Worcester, as the son of a Massachusetts State Police Sergeant and an elementary school teacher. He joined the Worcester Massachusetts Police Department in 1987. In 1991, he was shot in the line of duty in an incident that killed his then life partner, Robert Domiano Jr. As a result of the shooting, Albert became the first openly gay police officer on the Worcester Police Department, and he publicly

declared that he would focus his efforts on gay civil rights. Albert retired from the police force in 1995 as a result of his injuries from the shooting, but he continued on the path of educating people about the many myths and stereotypes people learn about those who are different than them, particularly the gay and lesbian community and communities of color.

Neil deGrasse Tyson, CS

Neil deGrasse Tyson is an American astrophysicist, author, and science communicator. Since 1996, he has been the Frederick P. Rose Director of the Hayden Planetarium at the Rose Center for Earth and Space in New York City. The center is part of the American Museum of Natural History, where Tyson founded the Department of Astrophysics in 1997 and has been a research associate in the department since 2003. Tyson's professional research interests are broad, but include star formation, exploding stars, dwarf galaxies, and the structure of our Milky Way. In 2001, Tyson was appointed by President Bush to serve on a 12-member commission that studied the Future of the US Aerospace Industry. The final report was published in 2002 and contained recommendations (for Congress and for the major agencies of the government) that would promote a thriving future of transportation, space exploration, and national security. In 2004, Tyson was once again appointed by President Bush to serve on a 9-member commission on the Implementation of the United States Space Exploration Policy, dubbed the Moon, Mars, and Beyond commission. This group navigated a path by which the new space vision can become a successful part of the American agenda. And in 2006, the head of NASA appointed Tyson to serve on its prestigious Advisory Council, which will help guide NASA through its perennial need to fit its ambitious vision into its restricted budget. In addition to dozens of professional publications, Dr. Tyson has written, and continues to write for the public from magazine articles to approachable, "playful" books. He has appeared on numerous television and radio shows. He is the recipient of twenty honorary doctorates and the NASA Distinguished Public Service Medal, the highest award given by NASA to a non-government citizen. His contributions to the public appreciation of the cosmos have been recognized by the International Astronomical Union in their official naming of asteroid 13123 Tyson. Recently Tyson served as Executive Editor and on camera Host & Narrator for *Cosmos: A SpaceTime Odyssey*, the 21st century continuation of Carl Sagan's landmark television series. The show appeared in 181 countries in 45 languages around the world on the National Geographic Channels. *Cosmos*, which is also available in DVD and BluRay, won four Emmy Awards, a Peabody Award, two Critics Choice awards, as well as a dozen other industry recognitions. Tyson is the head of the world-renowned Hayden Planetarium in New York City and the first occupant of its Frederick P. Rose Directorship. He is also a research associate of the Department of Astrophysics at the American Museum of Natural History.

Warren, Elizabeth, CS

Elizabeth Warren is from Massachusetts and took office on January 3, 2013 as the Massachusetts US Senator. She has been assigned to three important committees: Health, Education, Labor – Pensions (HELP) and Banking and Aging. She was a former professor at Harvard Law School.

Cornell West, CS

One of America's most provocative public intellectuals. Has been a champion for racial justice since childhood. His writing, speaking and teaching weave together the traditions of the black Baptist Church. Class of 1943 Professor at Princeton University noted for his bestselling book, *Race Matters*, a searing analysis of racism in American Democracy.

Oprah Winfrey, CS

Creator of a multinational business. Known for her entrepreneurial skill and caring ear for those in need.

Patricia Yancey '00, CSA

Chapter President of local NAACP with a service record in the religious community. Active in the Faith in Worcester Day of Prayer (September 2016) with leaders from diverse communities of faith to include all cultures because that is what Worcester looks like. Married to Dr. George Yancey, first vice president of the local chapter of the NAACP the response was overwhelming.

KEY TO POOL

CSA COMMUNITY SERVICE AWARD

CS COMMENCEMENT SPEAKER

HD HONORARY DEGREE



The Commonwealth of Massachusetts

AUDITOR OF THE COMMONWEALTH

ONE WINTER STREET, 9TH FLOOR
BOSTON, MASSACHUSETTS 02108

SUZANNE M. BUMP, ESQ.
AUDITOR

TEL: (617) 727-0025

2020-0186-3E

February 25, 2020

Mr. Barry M. Maloney, President
Worcester State University
Office of the President
Suite A-255
486 Chandler Street
Worcester, MA 01602

Dear President Maloney:

In accordance with Chapter 11, Section 12, of the Massachusetts General Laws, we will be conducting an audit of Worcester State University's MassTransfer programs for the period of July 1, 2017 through December 31, 2019. We intend to start this audit on or around March 2, 2020.

Our audit will be conducted in accordance with generally accepted government auditing standards and will include but not be limited to a review of the implementation and application of policies and procedures related to the MassTransfer program, specifically the A2B Degree and Commonwealth Commitment programs.

Chapter 11, Section 12, of the General Laws requires organizations being audited to provide us with books, documents, and other records pertaining to the audit. We will also need to discuss audit issues with the members of your staff directly responsible for the functions under audit. Management is responsible for making sure that all requested records and information are made available to us in a timely manner and for the accuracy and completeness of this information. We would prefer to have unrestricted access to agency records and staff. However, if you chose to designate a member of your staff as a liaison for the audit, we ask that this liaison provide us with all requested records within 72 hours of the date of the request. Also, we ask that you allow inquiries with your staff to be completed as expeditiously as possible. As part of our audit process, we also may request written confirmation from management of statements your staff made to us during the audit.

Attached to this letter is an initial request for documents in connection with our review. Additional data may be required as the audit progresses. Data should be provided in an electronic format where possible. Please be advised that our office will take appropriate measures if our audit staff experiences unreasonable delays in obtaining information or are denied access to requested records or individuals. These measures will include, but are not limited to, disengaging from the audit and reporting the lack of cooperation as a limitation to the scope of our audit in a public audit report and/or using the authority

granted to us by our enabling legislation to request that the Superior Court enforce the mandate that your staff provide us with the requested records.

At the completion of our audit, your agency will be provided with a draft copy of our report for your review and comments. According to Chapter 11, if our office requires your organization to respond to audit results that are contained in our draft report, such response must be forwarded to our office within 15 days of notification or the date shown on the draft report. If a formal exit meeting is needed, it is the auditee's responsibility to request the meeting at that time.

John McKeon of our staff will contact you to make arrangements for an entrance conference to be scheduled the week of March 2, 2020. Both John and I can be contacted at (857) 242-5718 and (857) 242-5418 respectively, if you have any questions.

Sincerely,



Paul M. Travaglini
Audit Manager

cc: Craig L. Blais, Chair of the Board of Trustees, Worcester State University
Sarah Mongeau, Director of Authority and Education Audits, Office of the State Auditor
Kim Stanley, Manager of Audit Planning, Office of the State Auditor
Abigail Durland, Legislative Affairs Coordinator, Office of the State Auditor

ATTACHMENT

We request the following be made available upon or before we commence on-site field work. To the extent possible, please provide documents in electronic format. Documents and information can be electronically submitted to John McKeon at the following email address: John.McKeon@sao.state.ma.us

1. Written policies and procedures related to the internal processes over WSU's MassTransfer programs, specifically the A2B Degree and Commonwealth Commitment programs
2. Contracts, Agreements, and/or Grant Agreements related to WSU's MassTransfer programs, specifically the A2B Degree and Commonwealth Commitment programs
3. WSU's most recent Internal Control Plan along with any risk assessments performed by management
4. Current organizational chart by position and employee
5. A list of WSU funding sources and respective funding amounts for fiscal years 2018, 2019 and 2020
6. List of WSU Board of Trustees members and the dates appointed (when membership started) and their terms of office
7. Board of Trustee and Sub-Committee Minutes for the period July 1, 2017 through December 31, 2019
8. Copies of any internal/external audit reports and/or program reviews received during the audit review period related to WSU's MassTransfer programs, specifically the A2B Degree and Commonwealth Commitment programs
9. Information technology policies and procedures

FY20

Conference & Event Services

PROFIT AND LOSS STATEMENT

NET INCOME

\$60,841

Revenue	FY20 Q1	FY20 Q2 Reconciling													YE Reconciling	YTD
	Reconciling Items	Items	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	Items	
Facility Fees		A (20,417.75)	69,393.50	12,650.00	3,600.00	3,300.00	13,650.00	3,850.00	H 39,943.50							125,969.25
Wellness Center Facility Fees		B (2,825.00)	8,825.00	7,315.00	-	-	8,650.00	15,060.00								37,025.00
Facilities Personnel Fees			10,240.00	5,780.00	320.00	640.00	6,440.00	3,480.00								26,900.00
University Police Personnel Fees			1,600.00	-	-	400.00	5,720.00	2,800.00								10,520.00
Athletic Personnel Fees			405.00	560.00	90.00	20.00	2,280.00	920.00								4,275.00
CESO Personnel Fees			2,540.00	750.00	-	120.00	1,580.00	2,724.00								7,714.00
Residential Life Fees			145,340.00	99,566.00	-	-	-	-								244,906.00
Gross Profit	-	(23,242.75)	238,343.50	126,621.00	4,010.00	4,480.00	38,320.00	28,834.00	39,943.50						-	457,309.25
Expenses	FY20 Q1	FY20 Q2 Reconciling													YE Reconciling	YTD
	Reconciling Items	Items	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	Items	
Facilities Personnel (AAA08)	C 1,328.01	E (2,129.48)	8,254.40	4,357.21	274.56	549.12	4,980.61	2,721.14	I 39,943.50							60,279.07
University Police (AAA20)	D 991.65	F (1,788.35)	2,158.23	272.12	-	524.26	5,827.28	2,878.80								10,863.99
Athletic Team Fundraising			-	-	-	-	2,675.00	150.00								2,825.00
Athletic Personnel (CCC00)			405.00	560.00	90.00	20.00	280.00	920.00								2,275.00
CESO Personnel (CCC00)			2,540.00	750.00	-	120.00	1,580.00	2,724.00								7,714.00
Office Supplies/Admin Exp (EEE01/FFF00)			379.13	8,040.10	401.74	1,335.70	399.96	-								10,556.63
Printing (EEE02)			-	-	-	-	-	-								-
Travel (BBB0)			625.00	-	-	1,961.45	-	-								2,586.45
Advertising (EEE13)			-	600.00	-	-	-	-								600.00
Permits/Inspection Fees (EEE19)			-	-	-	-	-	-								-
Food/Beverage (Non-Chartwells) (FFF01)			9,164.00	-	-	-	-	-								9,164.00
Linens (FFF10)			-	-	-	-	-	-								-
Fringe (DDD)			-	-	363.30	-	-	337.59								700.89
Support Services (Contracted) (JJJ70, JJJ12)			400.00	-	476.11	-	-	-								876.11
Laundry Services (JJJ27)			-	-	-	-	-	-								-
Police Details (External) (JJJ28)			-	-	-	-	-	-								-
Food Service (Chartwells) (JJJ56)			2,220.00	-	-	-	-	-								2,220.00
Facility Equipment (KKK03)			-	-	-	-	-	-								-
Office Equipment (KKK04)			-	-	-	-	-	-								-
AV Equipment (KKK12)			-	-	-	-	592.50	-								592.50
Rentals (Equipment) (LLL23)			19,936.60	-	-	-	1,438.83	540.00								21,915.43
Rentals (AV) (LLL23)			3,381.40	-	-	-	-	-								3,381.40
Residential Life (EEE22)			140,126.40	99,566.00	-	-	-	-								239,692.40
Wellness Center Rental		G (20,417.75)	8,825.00	7,315.00	-	-	8,650.00	15,060.00								19,432.25
Telecommunication (UUU00)			-	-	165.00	627.99	-	-								792.99
Total Expenses	2,319.66	(24,335.58)	198,415.16	121,460.43	1,770.71	5,138.52	26,424.18	25,331.53	39,943.50						-	396,468.11
Net Income	(2,319.66)	1,092.83	39,928.34	5,160.57	2,239.29	(658.52)	11,895.82	3,502.47	-						-	60,841.14
Profit Margin			17%	4%	56%	-15%	31%	12%	0%	#VALUE!	#VALUE!	#VALUE!	#VALUE!	#VALUE!		13%

Notes:

A = Removing FY20 Q2 revenue received in Q3 (Tab D, Column B) plus outstanding Q2 balances (Tab F).

B = Removing Athletic Site Manager Fees deposited directly to Fund Six accounts (T21).

C = FY19 custodial payroll charges paid in FY20.

D = FY19 police payroll charges paid in FY20.

E = Removing Q2 Facilities Details paid in Q3.

F = Removing Q2 Police Details paid in Q3.

G = Removing FY20 Q2 revenue pass-through as revenue was not received until Q3.

H = FY 20 Q3-Q4 revenue received in Q2.

I = Removing FY20 Q3-Q4 revenue pass-through.